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Research Article

Analysis of a Visual Imitation Algorithm on a Robot Swarm

Ferhat DEMİRAY [a], Mehmet Dinçer ERBAŞ [a,*]

[a] *Department of Computer Engineering, Faculty of Engineering, Bolu Abant İzzet Baysal University, Bolu, TURKEY*
* Corresponding author's e-mail address: dincer.erbas@ibu.edu.tr
First author's e-mail address: ferhatdemiray@ibu.edu.tr
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ABSTRACT

In this research, we examined a visual imitation algorithm on a group of real robots and analyzed the source of copying errors that are made by the robots visually learning by using this algorithm. As the two possible sources of the copying errors, the actuators of the demonstrator robot and the sensors of the learner robot were specified. First, it is calculated the amount and frequency of errors due to the actuators and we showed that errors due to actuators of the demonstrator robot were minimal. Second, it is examined the errors due to the sensors by using two different trajectory similarity metric in an experiment scenario and we discussed the origin of this kind of imitation error. In this way, we were able to model a source of behavioral diversity in a robot collective, which is similar to the natural systems, which results from errors that emerge during imitation activity.

Keywords: *Visual imitation, Multi-robot systems, Swarm robotics*

Bir Robot Sürüsünde Görsel Kopyalama Algoritmasının Analizi

Öz

Bu çalışmada gerçek robotlar üzerinde bir görsel kopyalama algoritması incelenmiş ve bu algoritmayı kullanarak birbirlerinden görsel yolla öğrenen robotların yaptıkları imitasyon hatalarının kökeni araştırılmıştır. İmitasyon hatalarının olası kaynakları olarak, gösterici robotun eyleyicileri ile izleyici robotun algılayıcıları belirlenmiştir. Öncelikle eyleyici kaynaklı hataların miktarı ve sıklığı ölçülmüş ve bu hata türünün minimal ölçüde gözlemlendiği belirtilmiştir. Daha sonra algılayıcı kaynaklı hatalar bir deney senaryosu içerisinde iki farklı güzergâh karşılaştırma metriği kullanılarak incelenmiş ve bu tür hataların kökeni tartışılmıştır. Böylece, gerçek robotlar üzerinde yapılan deneylerde, doğal sistemlerdekine benzer şekilde, imitasyon sırasında ortaya çıkan hatalardan kaynaklı davranış çeşitliliği gözlemlenebildiği belirtilmiştir.

Anahtar Kelimeler: *Görsel imitasyon, Çok-robotlu sistemler, Sürü robotlar*

I. INTRODUCTION

Imitation is an important social learning method that allows individuals to learn from other individuals in a group. Due to this feature, imitation has been studied by biologists for many years and it has been claimed that imitation ability increases the adaptability of individuals to their environment [1]. For this reason, many studies have been conducted on the origin and functions of imitation ability. The main aim of these studies is to observe the effect of this ability on individuals by studying organisms with the ability to imitate in their natural environment.

Throughout the research on imitation, some definitions have been made to explain this ability. The most well-known of these definitions was made by Thorndike in the 19th century, and it is the learning of a behavior by seeing how it is done [2]. This definition states that imitation is a method that is usually used to acquire behaviors that the individual does not have. Imitation differs from other adaptive learning methods because, through imitation, individuals benefit from their social interactions and can learn from others the skills and behaviors they do not possess. Thus, Thorpe [3] argues that when imitation occurs, individuals can copy new or unexpected behaviors. There may not be any instinctive tendency that triggers the newly learned behaviors. Mitchell [4] describes important parts of the imitation mechanism. For example, during imitation, a copy behavior emerges, which is similar to the observed original behavior. Furthermore, the original behavior must have been perceived at the time of the appearance of the copy behavior. Finally, the individual performing the imitation activity should try to make the copy behavior resemble the observed original behavior. In other words, the imitating individual should aim to elicit an intrinsically similar behavior. According to Mitchell, if these conditions are met, it can be said that imitation is actually performed.

In light of the above-mentioned definitions, biologists have conducted observational studies on many different animals, looking for traces of imitation ability [5]. Birds, mice, monkeys and chimpanzees are among the animals claimed to have this ability ([6], [7], [8], [9]). On the other hand, it is known that human beings have the ability to imitate from birth. It has also been claimed that the ability to imitate has a key function in the emergence of human culture, which we can define as the common behaviors and beliefs that human communities have [10]. For this reason, many studies conducted by biologists have examined the meaning and importance of imitation in human development. In these studies, it has been shown that through imitation, certain behaviors can be learned by many individuals in a community and this leads to the formation of a common behavioral repertoire over time. In this way, it has been emphasized that people can become a part of human society, which includes very complex rules [11].

An important step in human imitation research was the discovery of mirror neurons. These neurons are activated when an individual performs a certain behavior and observes another individual performing the same behavior. Neurons with this property are found in animals (birds and primates) and humans, which are claimed to have the ability to copy. For this reason, it has been claimed that these neurons are neural structures that enable imitation [12].

Following the discovery of the neural infrastructure that enables imitation, research on the links between imitation and cultural activities has gained momentum. One of the most important human cultural activities is the formation of natural languages. Imitation must have an important function in the emergence, development and, spread of natural languages. Research on this topic has argued that learning and use by many individuals over time plays a key role in the origin of languages [13]. Based on this view, Kirby [14] proposed a method called iterative learning. Iterative learning occurs when an individual learns certain behaviors through imitation by observing another individual; this other individual has learned the same behavior by observing someone else. In this way, common behaviors can emerge through recurrent learning chains consisting of a high number of observation-learning-use steps.

Cornish et al. [15] modeled the emergence of natural languages through iterative learning. One of the important elements of this model is the copying errors that occur during learning with inter-individual imitation. Accordingly, individuals may make errors during copying due to their own biases or memory-based constraints. As a result of these errors, behaviors learned during iterative learning chains become different. Over time, the differentiated behaviors become more easily learnable by the individuals forming the group and spread to all individuals. It has been claimed that this mechanism allows the formation of natural languages. In controlled experiments on humans, it has been shown that simple proto-languages developed through iterative learning can be learned by human groups with increasing accuracy.

Another research area where the direct relationship between imitation and learning has attracted interest is robotics and several recent studies in the field of robotics have investigated imitation learning [16]. This is because robots with imitation capability have several theoretically important advantages. Today, robots can work in many different dynamic environments that can change over time. It is a laborious activity to think in advance about all the situations that the robot may encounter in a changing environment and, accordingly, to program the control architectures needed for the robot to respond appropriately to the changing situations. From this point of view, the ability of robots to learn from their environment in changing environments will increase their adaptability to their environments. In this way, it will not be necessary to pre-program all the behaviors that robots should have. In addition, if robots can learn by imitation, there is no need to spend extra effort or energy to train robots, because robots can learn new behaviors by observing individuals in a working system.

Some mechanisms have been proposed to perform imitation on robots. For example, Bakker and Kuniyoshi [17] claimed that the imitation activity consists of three different phases. These are *"observe the action"*, *"represent the action"* and *"reproduce the action"*. As can be seen, these stages are highly similar to the observe-learn-use steps of the iterative learning method. In another study, Dautenhahn et al. [18] state that for imitation to take place on robots, it is necessary to create a system that answers five different questions. These questions are who to imitate, when to imitate, what behavior to imitate, how to imitate the chosen behavior, and how to define a successful imitation.

The process of representing the observed behaviors by the robot and translating them into actions that the robot can perform is called the correspondence problem [19]. Accordingly, the observed behaviors must first be transformed into a structure that can be understood by the robot. Then, this structure should be translated into a collection of actions that can be performed by the robot. In this way, robots can reproduce and perform the actions they observe in their environment. The correspondence problem is usually solved by automatic translation methods.

As can be seen, imitation has practical benefits and a wide range of applications in robotics. For this reason, imitation learning has been the subject of many studies in recent years (e.g. [20], [21], [22], [23] and [24]). In these studies, robots have attempted to accomplish a task by copying the behavior of another robot or a human demonstrator. Thus, a research field called learning by observation emerged [25].

As mentioned above, there have been many studies on the impact of the ability to imitate on the formation of human culture and natural languages. These studies often focused on modeling with humans or groups of simulated agents. Experiments with humans have shown that prior cognitive biases [26], [27], [28] or memory-based [15] constraints cause copying errors during imitation, and that these errors have an important function in the development and propagation of natural languages. In the case of groups of agents in simulated systems, artificially induced errors have been introduced into the imitation process [29], and thus the evolution of linguistic items that change during imitation has been studied. From this point of view, robot groups consisting of individuals who can imitate each other offer an alternative method for studying the meaning and function of imitation. Compared to humans, mobile robots have very limited sensor and actuator capabilities. Therefore, when imitation is performed entirely on robots, spontaneous sensor and actuator errors can be observed. Modeling research with this approach has been able to study the development of simple proto-languages on robots. For example, Steels [30] used imitation-based social learning to develop a grounded

communication system for humanoid robots. In the system, the robots interacted with each other during experiments called "talking heads" and thus agreed on a common lexicon that they could use during their communication. In another study, Steels and Spranger [31] modeled the spontaneous emergence and development of a common lexicon within a group of robots capable of copying each other's actions. In their experiments, robots observed the body images of other robots and matched these images with their own action sequences. In this way, agreement on the content of a common symbolic language between robots was achieved. Erbas [32] developed a visual copying based algorithm on real robots and investigated the evolution of an artificial proto-language in a group of mobile robots. The experiments showed that the symbols of the artificial antecedent language became more easily understandable during multiple iterative learning chains, thus increasing the transferability of the evolving artificial proto-language.

In this study, we investigate an embedded copying algorithm on real robots and investigate the origin of imitation errors made by robots that learn visually from each other using this algorithm. There are two possible sources of imitation errors. The first of these sources is the actuators of the robots. In order to observe the errors caused by the actuators, the robots were programmed to follow certain movement trajectories and the success rate of the robots in following the specified movement trajectories correctly was calculated. The second possible source of imitation errors is the robots' sensors. In order to observe sensor-related errors, imitation experiments were conducted using more than one robot. In these experiments, one robot was assigned as a demonstrator and programmed to follow some predefined movement trajectories. Another robot followed the movement trajectories displayed by the demonstrator and replicated them using a visual imitation algorithm [32]. The movement trajectory followed by the demonstrator robot and the copy obtained by the tracker robot were compared with two different trajectory similarity metrics and the cause of the resulting sensor-related errors was investigated.

The rest of the paper is organized as follows: Section 2 introduces the robots used in the experiments and the visual imitation algorithm to be studied on the robots. Section 3 describes the experiments conducted to investigate the errors that occur during imitation and presents the results of these experiments. Finally, in section 4, the results are discussed and new research questions that may arise in the light of the findings are mentioned.

II. EXPERIMENTAL SETUP

A. ROBOTS

In the experiments conducted in this study, e-puck miniature robots were used [33]. The robots are 7 cm in diameter and 5 cm in height. Thanks to their microprocessor and two-step motor, they can be programmed to follow predefined movement trajectories. There is also an image sensor on the front of the robots. The images obtained by the robot using this sensor are used by the visual imitation algorithm. Furthermore, to facilitate on-board image processing, the processing power of the e-puck robots are enhanced with a Linux extension board [34] and ROS [35] is installed on the extension board of the robots. All programming on robots is done in C Programming Language.
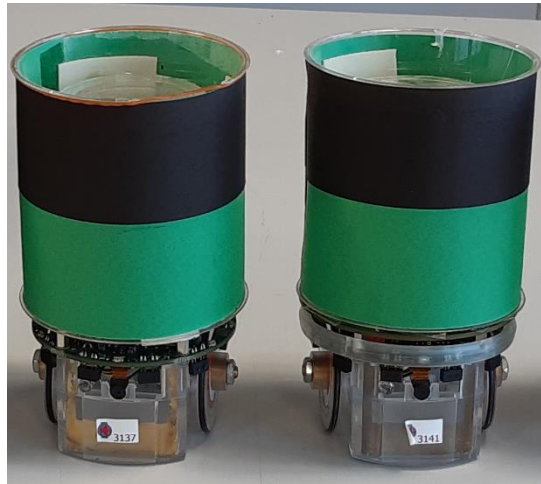
Figure 1. *E-puck miniature robots. The figure shows the robots and their colorful heads*

The bodies of the robots are partially made of transparent material. In order to facilitate image processing operations on mobile robots, a colored head was placed on the robots. The Blobfinder module of ROS [35] is used to detect the predefined color of this head so that it is possible for the robots to detect each other on the image they obtained.

Figure 2. *Two e-puck robots on the experimental setup. The one on the left is programmed as a tracker and the one on the right as a demonstrator.*

B. VISUAL IMITATION ALGORITHM

Using a visual imitation algorithm [32], a follower robot can replicate the movement trajectory followed by a demonstrator robot in its environment. The algorithm consists of steps corresponding to the observation - learning - replication phases specified in imitation mechanisms. The operations performed during these steps can be summarized as follows:

- Observation: During the movement of the demonstrator robot, the tracker robot acquires two images per second using its image sensor.

- Learning: The tracker robot calculates the size of the head on the demonstrator robot and its relative position on each acquired image.

- Replicate: The trajectories that are demonstrated by the robots consist of straight movements and turns on the spot between those straight movements. In order to estimate the length and direction of straight movements that are demonstrated by the robots, a linear regression method [36] is applied to the positions calculated in the previous stage and the trajectory followed by the demonstrator robot is reconstructed.

- Translation: Finally, the movement trajectory generated in the previous stage is translated into motor commands that can be executed by the tracker robot. Thus, the correspondence problem mentioned above is solved.

At the end of these steps, the imitation activity is completed by the tracker robot. As can be seen, the imitation algorithm works entirely based on the sensors and actuators on the robot's body. No other means of communication between the robots was allowed during the experiments. Further technical details on the specific operations that are part of the imitation algorithm can be seen in [32].

Figure 3 shows a movement trajectory followed by the demonstrator robot and a copy of this movement trajectory generated by the tracker robot. As can be seen in the figure, there is a difference between the original trajectory and the replicated copy. The original movement trajectory is a square with 20 cm sides, consisting of straight movements and 90° counterclockwise turns. The reproduced copy consists of an 18 cm straight movement, 81° counterclockwise rotation, and finally 23 cm straight movement, 89° counterclockwise rotation, 16 cm straight movement, 73° counterclockwise rotation and finally 23 cm straight movement. The rest of the paper will analyze the origin of this type of copying error.
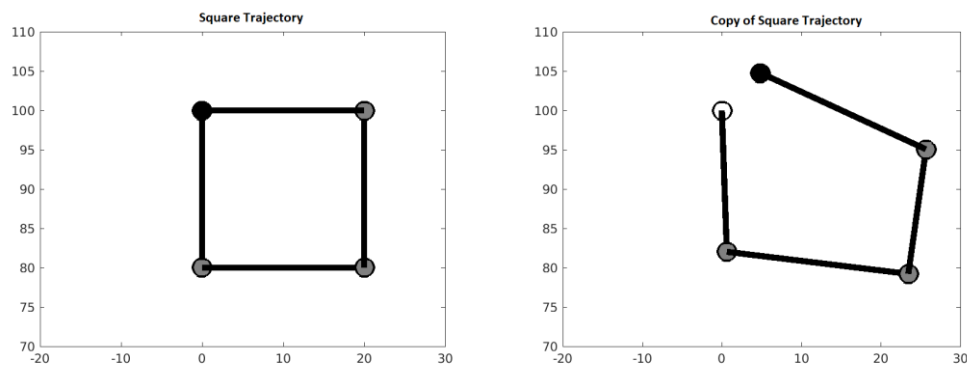
Figure 3. On the left is the trajectory followed by the demonstrator robot and on the right is the copy of this itinerary created by the tracker robot. The starting positions of the trajectories are indicated by the white circle, the turns by the gray circle and, the ending position by the black circle.

III. IMITATION EXPERIMENTS

As mentioned in the previous section, during imitation, the tracker robot makes some errors when copying the movement trajectory followed by the demonstrator robot. During the imitation activity, two different pieces of hardware are involved. These are the actuators (motors) of the demonstrator robot and the image sensor of the tracker robot. Therefore, the source of the imitation errors should be the mentioned hardware parts. The aim of this research is to investigate the source and content of the imitation errors. For this purpose, the following experiments are organized.

A. IMITATION ERRORS DUE TO ACTUATORS

The robots have a microprocessor and two stepping motors. As mentioned before, robots can be programmed to move in certain movement trajectories. The purpose of the experiments conducted in this chapter is to calculate the extent to which the robots can successfully perform the movement trajectories that they are programmed to follow, consisting of straight movements at certain distances

and turns at certain angles, in a physical environment. In this way, the amount and content of actuator-related imitation errors in a swarm of e-puck robots will be determined.

For the detection of actuator-related errors, a demonstrator robot is programmed to move 10 times along the trajectory shown in Figure 2. During this movement, each straight movement and turn of the robot was examined externally and the amount of the physically performed turn or straight movement was compared with the programmed movement trajectory. In this way, the imitation errors caused by the actuators of the demonstrator robot were analyzed. The results obtained are shown in table 1. As can be seen, there is minimal error in the robot's turns. A deviation of ±1° was observed for 90° turns. In addition, the errors have a normal distribution around the actual rotation angle and are not statistically significant.

When the straight movements that the demonstrator robot is programmed to follow are examined, it is observed that the straight movement of 20 cm in length can be performed with an error of approximately 1 mm. The error is distributed between 0 and 0.1 mm. In the light of these findings, the following conclusions were drawn:

  - The robots used in the experiments can perform the movement trajectories they are programmed to follow with high accuracy.

  - The observed actuator related errors are very low and do not affect the overall shape and structure of the pre-programmed movement trajectory.

Table 1. Actuator-related errors.

Programmed movement type	Performed average movement	Standard deviation	Mean error
90° rotation	90.2333°	0.6789°	0.5°
20 cm straight movement	20.0125 cm	0.0335 cm	0.0125 cm

B. SENSOR RELATED IMITATION ERRORS

The robots copy the movement of another robot using the visual imitation algorithm introduced in the previous section. The visual imitation algorithm is executed by using the images captured by the robots with the image sensor on their bodies. In this section, some experiments are conducted to investigate the sources and effects of sensor-related errors. Two robots were used in the experiments. One of these robots is defined as a demonstrator and is programmed to follow the randomly generated movement trajectories shown in Figure 4. The other robot was defined as a follower and was programmed to copy the movement trajectory exhibited by the demonstrator robot using the visual imitation algorithm.
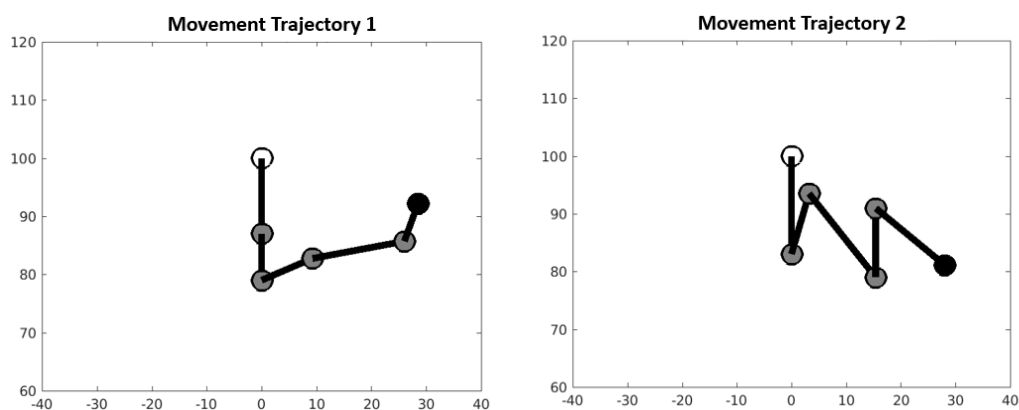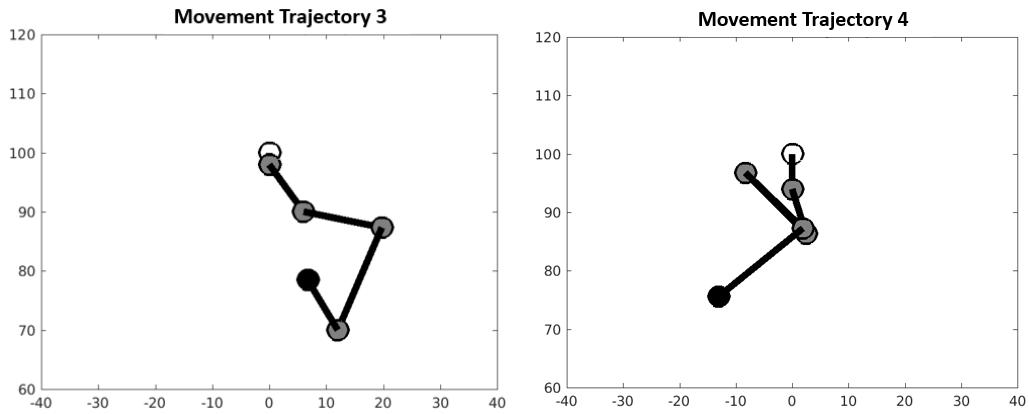
Figure 4. Randomly generated movement trajectories to be exhibited and replicated.

Each experimental set consists of the following steps:

    - The demonstrator robot and the tracker robot are placed on a 120 cm x 120 cm robot arena as shown in Figure 2, with 100 cm between them.

    - The demonstrator robot chooses one of the movement trajectories shown in Figure 4 and announces the start of the demonstration by turning on the LEDs on its body.

    - The tracker robot detects the LEDs and starts the visual imitation activity.

    - The demonstrator robot turns off the LEDs and demonstrates the selected movement trajectory. Meanwhile, the tracker robot copies the movement trajectory of the demonstrator robot.

    - When the demonstrator robot completes the defined movement trajectory, it turns its LEDs back on and announces that the demonstration is completed.

    - The tracker robot saves the observed movement trajectory in its memory.

    - The demonstrator robot returns to the starting point where it was previously placed.

During the experiments performed in this way, each movement trajectory shown in Figure 4 was displayed 10 times by the demonstrator robot and copied by the tracker robot. The flow-chart of the experiment setup is given in figure 5.
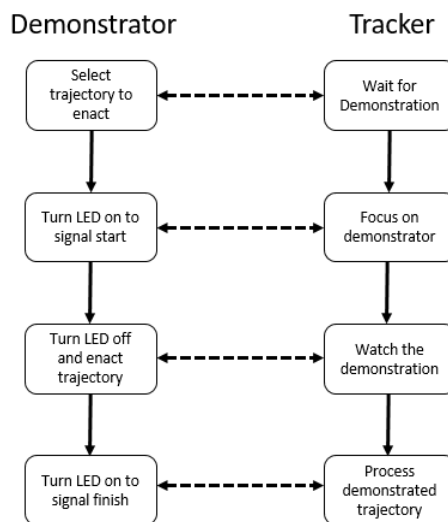
Figure 5.Flow-charts of the demonstrator and the tracker robots during the experiments

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In order to quantify the amount of sensor-related errors that occur during imitation, it is necessary to calculate the similarity between the demonstrated movement trajectories and the generated copies. There are many trajectory comparison methods designed for this purpose [37]. In this study, sensor-related imitation errors will be analyzed using two different methods.

The first method is the piecewise similarity function, which is similar to the method we used to measure actuator-related errors [32]. This method treats each straight movement and turn as a separate part, matches the demonstrated trajectory with the straight movements and turns of the copy, respectively, and calculates the difference between them. Accordingly, each copy has three different similarity measures to be calculated. The first one is the quality of move length and is calculated as follows:

$$Q_l = 1 - \frac{\sum_n |l_n^D - l_n^C|}{\sum_n l_n^D} \tag{1}$$

In the formula, l_n^D is the length of nth straight moves in the demonstrated trajectory and l_n^C is the length of nth straight moves in the copy trajectory. If two trajectories contain a different number of straight moves, the comparison is made for the number of straight moves of the trajectory containing the least number of straight moves. Similarly, turn similarity is calculated as follows:

$$Q_a = 1 - \frac{\sum_n |a_n^D - a_n^C|}{\sum_n a_n^D} \tag{2}$$

In the formula a_n^D is the turn angle following n^{th} move in the demonstrated trajectory and a_n^C is the turn angle following n^{th} move in the copy. Finally, the quality of the segment number is calculated as follows:

$$Q_s = 1 - \frac{|N^O - N^C|}{N^O} \tag{3}$$

In the formula, N^O is the number of straight movements in the exhibited trajectory and N^C is the number of straight movements in the copy. As a result, the similarity between the demonstrated trajectory and its copy is calculated by combining three different quality measures:

$$Q_P = \frac{Q_l + Q_a + Q_s}{3} \tag{4}$$

The copy obtained as a result of the imitation activity shown in Figure 3 has a Q_l value of 0.8605, a Q_a value of 0.9, a Q_s value of 1 and so a Q_p value of 0.9202.

The second method used to quantify sensor-related errors is the edit distance function [38]. Accordingly, the edit distance between the demonstrated movement trajectory O consisting of $(o_1, o_2, o_3, ..., o_m)$ vectors and the copy movement trajectory C consisting of $(c_1, c_2, c_3, ..., c_n)$ vectors is calculated as follows:

$$Diff(O, C) = \begin{cases} \sum_{i=1}^{m} dist(o_i, 0) & if \; n = 0 \\ \sum_{i=1}^{n} dist(c_i, 0) & if \; m = 0 \\ min \begin{cases} Diff(Rest(O), Rest(C)) + dist(o_i, c_i) \\ Diff(Rest(O), C) + dist(c_i, 0) \\ Diff(O, Rest(C)) + dist(o_i, 0) \end{cases} & else \end{cases} \tag{5}$$

In the formula, Rest(O) and Rest(C) denote the respective trajectories except their first vectors and $dist(o_i, c_i)$ is equal to the distance between vectors o_i and c_i. Based on the calculated difference value, imitation quality between the demonstrated trajectory and its copy is calculated as follows:

$$Q_T = 1 - Diff(O, C) \tag{6}$$

The Q_T value of the copy obtained during the imitation activity shown in Figure 3 was calculated as 0.7333.

Figure 6 shows the imitation success rates of the copies created as a result of the imitation activities performed during the experiments, calculated with Q_P and Q_T metrics. When both results are analyzed, it is seen that the tracker robot makes some sensor-related errors during imitation, similar to natural systems. The reason for this situation can be explained as follows:

 - Image capture is performed from a single point and with relatively low resolution (320 x 240 pixels). For any movement of the demonstrator robot to be detected by the tracker robot, this movement must cause a change in the captured image. Otherwise, that is, if the movement does not cause any change in the pixel values on the image, the tracking robot can't detect this movement. For this reason, it was observed that some of the movements in the exhibited trajectories could not be detected and some of them could be partially detected.

- During the image capture process, the demonstrator robot is in motion. Compared to a static target, the fact that the demonstrator robot is in motion may cause some perceptual error in the captured image. As a result, it was observed that the turning and straight movements of the exhibited movement trajectory could be reproduced with some error.
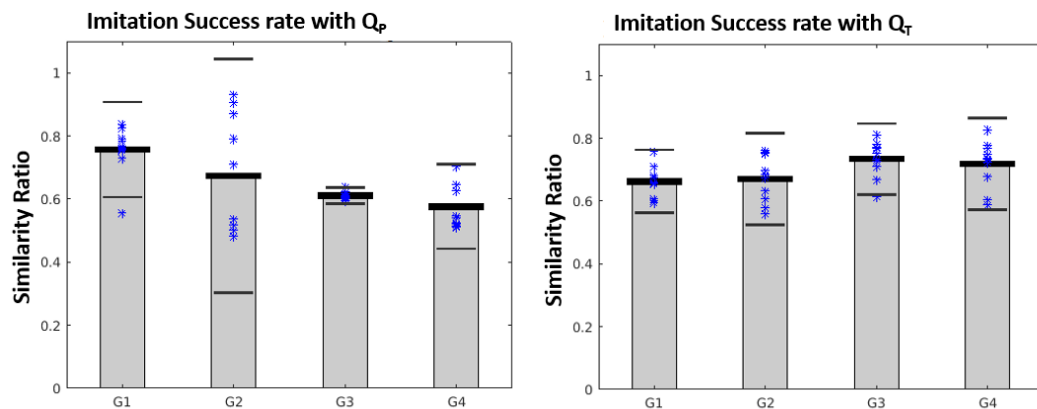
Figure 6. On the left is the similarity ratios of the copies obtained in the imitation experiments calculated with the Q_P metric). On the right is the similarity ratios of the same copies calculated with the Q_T metric. The copies of each trajectory are shown in a separate column (G1 = trajectory 1, G2 = trajectory 2, G3 = trajectory 3, G4 = trajectory 4).

Although a certain amount of sensor-related error is observed in each imitation activity, an analysis of the copies of randomly generated trajectories shows that some trajectories can be replicated with statistically higher accuracy. To analyze the reason for this, Figure 7 shows the exhibited movement trajectories and a randomly selected copy of these trajectories. As a result of this analysis, the findings listed below were obtained:

- When trajectory 3 shown in Figure 6 and its copies are examined, it is seen that although the copy resembles the exhibited movement trajectory in general shape, it does not include the first action in the demonstrated trajectory, the 2 cm straight movement. When all copies of trajectory 3 were analyzed, it was observed that the tracker robot had difficulty in copying this action, which has a relatively short length. From this point of view, it can be said that the straight movements with relatively short distances in the demonstrated trajectories are more affected by sensor-related errors. Trajectories 3 and 4 contain relatively more of these types of short straight movements, so the imitation accuracy rates of the copies of these trajectories calculated with the Q_P metric are relatively lower. Trajectory 1, on the other hand, does not contain these types of straight movements, so the accuracy of the copies of this trajectory calculated with the Q_P metric is higher.
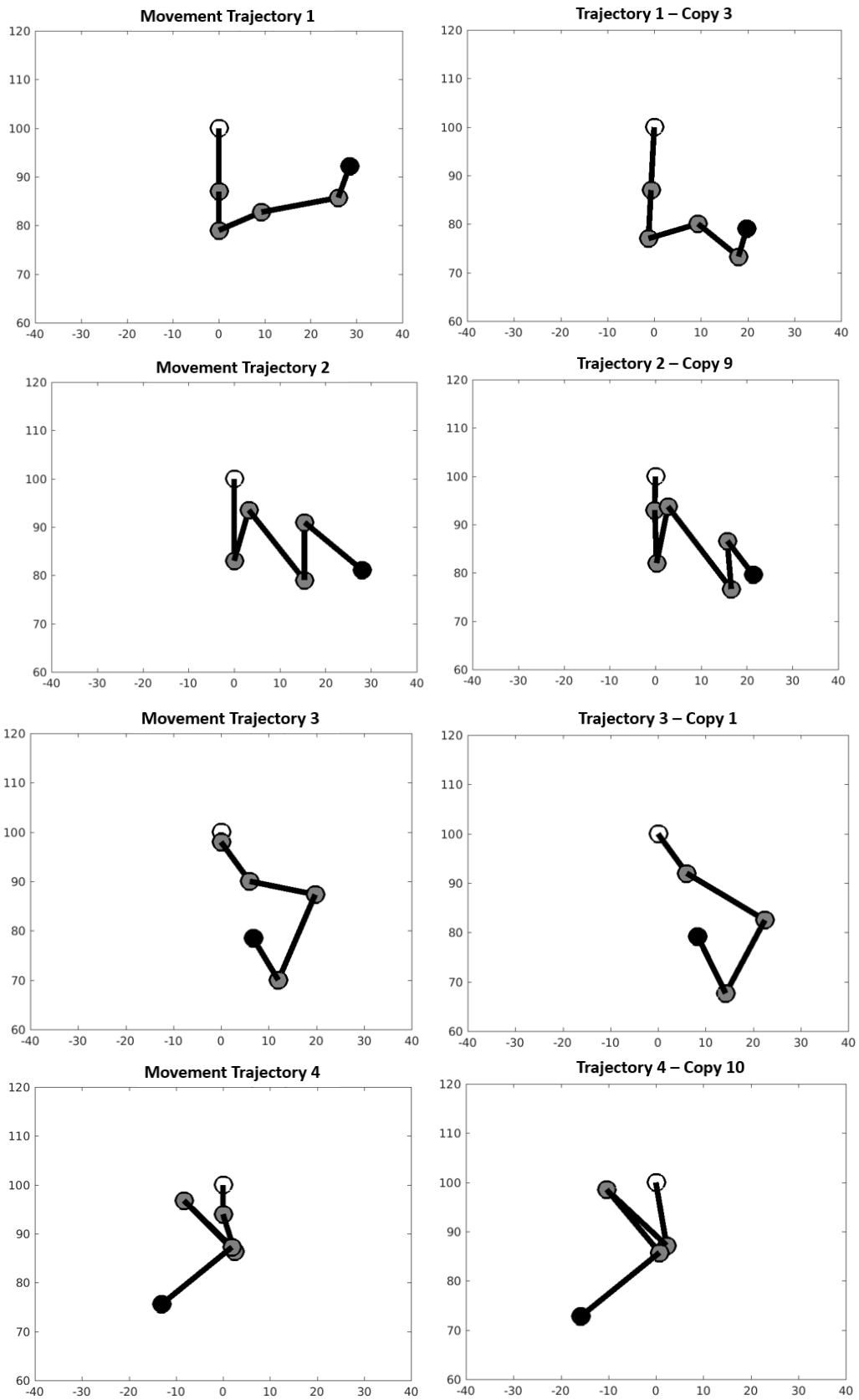
Figure 7. *On the left is the exhibited trajectory and on the right is a randomly selected copy of the exhibited trajectory.*

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In the cases described above where short distance movements cannot be replicated or a long vertical movement is split into multiple segments, the overall shape of the copies of the demonstrated trajectory remains unchanged. Therefore, the Q_T metric is not affected by such errors and the geometric properties of the demonstrated trajectories and their copies can be compared efficiently with this function. When the imitation accuracy rates calculated with the Q_T metric are analyzed, it is seen that similar imitation accuracy rates are calculated for the copies of different trajectories. When the accuracy rates of the different trajectories are statistically compared with the paired t-test method, it is seen that only the copies of trajectory 1 can be replicated with statistically low accuracy, while there is no statistical difference between the accuracy rates of the copies of the other trajectories. In order to analyze the reason for this situation, the geometric properties of trajectory 1 and other trajectories were compared, and the following observations were made:

- The demonstrated movement trajectories contain 90° or wider turns, which cause significant changes in direction. Movement trajectories containing such turns can be copied by the tracker robot with higher accuracy. When the randomly generated movement trajectories are analyzed, it is seen that trajectory 1 contains only one wide-angle turn, while the other trajectories have a relatively higher number of wide-angle turns. This made trajectory number 1 more difficult to replicate.

- When the demonstrated movement trajectories contain straight movements with vertical and horizontal components, the start and end points can be replicated with relatively high accuracy. When trajectory number 1 is examined, it is seen that it contains a relatively large number of straight movements with only vertical or horizontal components. For this reason, the similarity ratios of the copies of this trajectory calculated with the Q_T metric were relatively low.

IV. CONCLUSION

In this study, we analyze a visual imitation algorithm on real robots. For this purpose, it is first shown that when imitation is performed on robots, the movement trajectories learned by imitation differ between robots during learning. The possible sources of the differences are the actuators of the demonstrator robot and the sensors of the tracker robot. First, the errors due to the actuators of the demonstrator robot are analyzed and it is shown that such errors are minimal. Then, the errors due to the tracker robot's sensors were analyzed in an experimental scenario and the errors due to sensors during imitation were measured with two different similarity metrics. By analyzing the results obtained, it is seen that movement trajectories with certain geometric features can be replicated with relatively low accuracy in the experiments performed. It has been shown that trajectories exhibited with the effect of the listed geometric features can be learned with different accuracy rates.

In order to calculate the copying accuracy rates, two different trajectory comparison functions commonly used in the literature were used to calculate the similarity of the demonstrated and learned trajectories. It was observed that each function prioritizes different geometric features during the comparison and calculates different accuracy rates accordingly. From this point of view, it should be noted that the comparison method used to measure learning success is of high importance in research using imitation learning. In research on physical systems, a comparison function should be chosen that is appropriate for the intended goal of imitation and the meaning and accuracy of imitation should be explained with the measurements made with the chosen function.

As mentioned above, the ability to imitate and the variety of behaviors that emerge during imitation are thought to be of great importance in the emergence and development of natural languages. In modeling studies on this topic, mobile robot collectives that can learn from each other through imitation provide a very important research environment. As shown in this study, in experiments on real robots, similar to natural systems, behavioral variation due to errors made during imitation can be

observed. This is an important research topic that can help in the development of efficient robot-to-robot or robot-to-human communication systems.

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A Novel Model Based on Ensemble Learning for Phishing Attack

Aykut KARAKAYA [a],*, Ahmet ULU [b]

[a] Department of Computer Technologies, Zonguldak Bulent Ecevit University, Zonguldak, TURKEY
[b] Department of Computer Engineering, Artvin Coruh University, Artvin, TURKEY
* Corresponding author's e-mail address: aykut.karakaya@bil.omu.edu.tr
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ABSTRACT

With the increase in the speed of the internet environment and the development of the infrastructures used, people have started to perform most of their work online. As much as this makes life easier, it also increases the possibility of being attacked by malicious people. Attackers can activate a phishing attack that aims to steal information from victims by creating copied, fake websites. While this attack is very old and somewhat simple, it can still be effective due to low IT literacy. People can enter their information on these fake websites out of spontaneity or ignorance or good intentions and be exposed to Phishing attacks. The compromise of a user's account information also puts at risk the security of the organization or institution to which it is connected. In this study, we propose a new machine learning-based ensemble model with feature selection methods to detect phishing attacks. Also, an ablation study is presented to measure the effect of different feature selection methods. The proposed model which we named as NaiveStackingSymmetric (NSS) is analyzed using the widely used accuracy (ACC), the area under curve (AUC), and F-score metrics as well as the polygon area metric (PAM), and it is shown that it outperforms other studies in the literature using the same dataset.

Keywords: Phishing attack, ensemble learning, malicious URL, stacking, information security

Kimlik Avı Saldırısı için Ensemble Öğrenmesine Dayalı Yeni Bir Model

Öz

İnternet ortamının hızının artması ve kullanılan altyapıların gelişmesiyle birlikte, insanlar çoğu işlerini çevrimiçi olarak gerçekleştirmeye başlamıştır. Bu durum hayatı kolaylaştırırken, kötü niyetli kişiler tarafından saldırıya maruz kalma olasılığını artırmaktadır. Bu saldırılardan biri de kimlik avıdır. Kimlik avı saldırısında saldırganlar, kopyalanmış, sahte web siteleri oluşturarak kullanıcılardan bilgi çalmayı amaçlamaktadır. Bu saldırı nispeten eski ve kolay olmasına rağmen, düşük bilgi teknolojileri okuryazarlığı nedeniyle hâlâ etkili olabilmektedir. Kullanıcılar, bu sahte web sitelerine anlık tepki, bilgisizlik veya iyi niyetle bilgilerini girebilmekte ve kimlik avı saldırılarına maruz kalabilmektedir. Bir kullanıcının hesap bilgilerinin tehlikeye girmesi, bağlı olduğu kuruluşun veya kurumun güvenliğini de riske atmaktadır. Bu çalışmada, kimlik avı saldırılarını tespit etmek için yeni bir makine öğrenimi tabanlı topluluk (ensemble) model öneriyoruz. Ayrıca, farklı özellik seçimi yöntemlerinin etkisini ölçmek için bir ablasyon çalışmaları sunuyoruz. NaiveStackingSymmetric (NSS) olarak adlandırdığımız model doğruluk (ACC), eğri altındaki alan (AUC) ve F-skor metrikleri ile çokgen alan metriği (PAM) kullanılarak analiz edilmekte ve aynı veri kümesini kullanan diğer çalışmalara göre daha iyi sonuçlara sahip olduğu gösterilmektedir.

Anahtar Kelimeler: Kimlik avı saldırısı, ensemble öğrenme, kötücül URL, stacking, bilgi güvenliği

I. INTRODUCTION

Developing technology allows people to meet many of their needs via the internet. Although it is valuable in terms of time and comfort, it also creates an environment for being exposed to more attacks. Attackers can create a large number of attacks using the internet and web environment, and their victims can trigger these attacks. One of the most encountered is Phishing attacks based on URLs with copy websites.

Although many protocols have been developed for cyber attacks, the need for systems and the number of threats that may occur are increasing at a similar level [1], [2]. As an example of an advanced social engineering attack, a phishing attack is one of the oldest types of attacks in internet history [3]. It is generally based on sending fake e-mails containing gifts, discount vouchers, and e-invoices to victims' e-mail boxes, causing the user to click on links in the e-mail or files containing malicious software. With the clicked link, the user is directed to a fake website created by the attacker, which is very similar to the legitimate website, and is asked to enter the account information. With this attack, the attacker aims to capture the victim's passwords, credentials, bank account information, or other sensitive information. In order to be protected from a phishing attack, precautions such as different passwords on each platform, not clicking on shortened URL links, not logging into the system without making sure that the website that seems to be legitimate is safe, and not responding to e-mails that ask for personal information should be taken. However, the scenarios in which these types of attacks are successful, which try to take advantage of people's momentary distraction or ignorance, are not to be underestimated.

A. RELATED WORK

The implementation of the phishing attack dates back to almost as old as the early times of the web service. Although the techniques are different today, their purposes are basically the same. In this section, the methods and results of current studies in the literature are given.

In [4], Almomani et al. have made a comparison with different machine-learning algorithms to detect phishing websites using semantic features. For this purpose, the 10 most effective semantic features have been tested with 16 machine learning methods and it has been stated that GradientBoostingClassifier and RandomForestClassifier methods give the best results with approximately %97. In [5], data preprocessing has been performed with adaptive synthetic sampling, and phishing attacks have been detected with a hybrid structure using S-shaped and V-shaped transfer functions. The k parameter of KNN (K-nearest-neighbours) is optimized. According to the polygon area metric [6], it is stated that a accuracy of 97.044 is achieved.

By detecting phishing in [7], machine learning performance results have been analyzed to help users identify fake websites. Accordingly, random forest and gradient boosting with XGBoost models have been stated to be the best model with %97.3. In [8], a dataset has been created by considering URL feature extraction, word analysis, and TinyURL approaches for phishing and tested with machine learning models. Accordingly, it has been emphasized that extra tree and deep neural network (DNN) gave the best results with %98. A phishing website detection model is proposed in [9], which is based on machine learning and takes into account the characteristics of the URL, the source code, and the threat intelligence of the websites. Accordingly, it is stated that Random Forest, Extra Tree, and Decision Tree models showed %97.56, %97.33, and %97.29 accuracies respectively.

A supervised learning approach that uses deep learning algorithms to detect phishing websites is proposed in [10]. It is stated that the standard neural network model achieves %94.8 accuracy and the CNN (Conv2D) model %93.6 accuracy. In [11], for malicious URL detection, after feature selection has been made on the dataset, LR (Linear Regression), SVM(Support Vector Machine), and KNN models have been tested. In the results, it is stated that LR achieved %92, KNN %93, and SVM %94 accuracy. In [12], mitigations against the most common web application attacks are set, and the web

administrator is provided with ways to detect phishing links which is a social engineering attack, the study also demonstrates the generation of web application logs that simplifies the process of analyzing the actions of abnormal users to show when behavior is out of bounds, out of scope, or against the rules. It is stated that Random forest, logistic regression, and SVM models have performed using the dataset in UCI, and the highest performance resulted as %94.13 by SVM. Then, with the data set they obtained from OpenPhish and Phishtank sites, it is stated that the highest performance was %98.86 by LSTM (Long Short-Term Memory).

In [13], two datasets with 30 and 48 features have been combined to identify 18 common features to detect phishing websites. Feature selection methods have been applied to reduce this to 13. When the random forest algorithm has been applied to these two datasets differently, it has been stated that the 48-attribute dataset has given better results than the 30-featured dataset with %93.7 accuracy. In [14], 5 machine learning-based experiments have been carried out for phishing website detection. It has been stated that the success rate of the approach that gave the best results from these experiments was %95.7. In order to detect phishing websites with common features in [15], data was obtained from Phishtank and compared to SVM, bayes, and neural network methods. It is stated that the neural network gives the best accuracy with an accuracy of %99.16.

In [16], machine learning-based models have been examined to detect phishing websites. F-score, ROC, and AUC parameters have been used as criteria. As a result, it has been stated that the SVM-supported Adaboost method has given the best result with %97.61. Using Random Forest in [17] is intended to detect whether a website is phishing or legitimate. It has been emphasized that the result obtained after the feature extraction techniques was %97.27 accuracy. In [18], phishing has been detected with the 5-layer PhiDMA (Phishing Detection using Multi-filter Approach) method. As a result of the experiments, it has been stated that %92.72 accuracy was achieved in detecting phishing sites.

The meta-algorithm plugin is proposed in [19] to support the improvement of classification performance for the development of various web phishing detection systems. It is stated that %97.5 accuracy was achieved by using the stacking process. In [20], different classification models were compared using different feature selection methods. It is seen that the performance of the dataset with the feature selection methods applied has decreased compared to the original dataset. As a result of the comparison, it seems that the ID3 (Iterative Dichotomiser 3) method, which is the decision tree without feature selection, has the best accuracy with %96.73.

In [21], various machine learning algorithms is aimed at predicting whether a website is phishing or legitimate are examined. It was stated that the Random Forest method with PCA (Principal Component Analysis) applied has given the best accuracy with %98.4. An intelligent system that uses data mining to detect phishing attacks is proposed in [22]. As criteria, accuracy, AUC, and F-score are used. In the experimental results, it is stated that the method with the highest accuracy was Random Forest with %97.36. Machine learning models were compared to detect a phishing attack in [23]. As a result of this comparison, it is emphasized that the Random Forest method, which applied PSO (Particle swarm optimization) feature selection, gave the best accuracy with %95.2.

In this study, a new stacking-based machine-learning model that is one of the ensemble learning types for phishing attacks is proposed. To accelerate the performance of the proposed model whose name is NSS (NaiveStackingSymmetric) a feature selection method is applied to the dataset. Besides, examining the effect of feature selection on classification results, we have conducted an ablation study. To this purpose, two filter approaches and two wrapper approaches which are based on feature selection algorithms are chosen. The proposed new model presented outperforming results compared with state-of-art methods under different metrics.

B. MOTIVATION AND CONTRIBUTIONS

Cyber threats and attacks are among the most important problems of today's world. The phishing attack is one of the most common of these threats because it does not require high technical knowledge to carry out. Although it is thought to be easy to protect against these attacks, it can lead to bad consequences if people are exposed to these attacks as a result of possible carelessness. In this study, we propose a machine learning-based model to detect whether a website contains a phishing attack. The main motivation of this study is the topicality of the attack type, the widespread use of the attack, the high probability of exposure, and the scarcity of machine learning-based systems with high performance.

The contributions of this study can be summarized as follows:
- A detailed literature review on the subject is conducted and evaluated together with the accuracy rates and discussed the methods that are mostly using the same dataset.
- Using the stacking method, one of the ensemble methods, a new machine learning-based model is proposed for phishing detection.
- In order to improve the performance of the NSS, the feature selection method is used. An ablation study is also presented to evaluate the effect of feature selection methods on the NSS. In this ablation study, a comprehensive analysis is performed for 4 different selection methods, two of which are filter approaches and two are wrapper approaches.
- The NSS is evaluated under the ACC, AUC, F-score, and polygon area metric(PAM). It can be seen that the proposed stacking ensemble model with feature selection outperforms compared with state-of-the-art denoising methods.

C. ORGANIZATION

The literature review and contributions of the paper are presented in the previous sections. The following sections are organized as follows. Section 2 contains preliminaries describing the methods used in the paper, Section 3 details the dataset used and the proposed methodology, Section 4 presents the results obtained and a discussion for the analysis of these results, section 5 contains directions for future work, and the last section concludes the paper.

II. PRELIMINARIES

This section provides a detailed preliminary overview of the methods used in the proposed machine learning model. A detailed explanation of k-means, random forest, modlem, and naive bayes methods used in building the stacking-based machine learning model is given. In addition, the details of the feature selection methods which are genetic search, particle swarm optimization, significance attribute evaluation, and symmetrical uncertainty attribute evaluation in the preprocessing section are also explained in this section.

A. CLASSIFICATION ALGORITHMS

A. 1. k-Nearest-Neighbours (kNN)

In classification using k-nn, the distance of each data in the dataset is calculated. However, for a given data, only k points of the other data are taken into account. These k points are the points that are closest to the point whose distance is calculated compared to the other data. The k value is chosen in advance. Too high a value causes dissimilar data to be assigned to the same class, too small a value causes data that should be in the same class to be assigned to different classes.

Algorithm 1. KNN algorithm [24]

Initialization. Training data (X); class labels (Y); number of nearest neighbors (K)

Foreach sample X in the test data **do**

Calculate the distance: $d(x, X) = \sqrt{\sum_{i=1}^{n}(x_i - X_i)^2}$

Classify x in the majority class: $C(x_i) = argmax_k \sum_{X_i \in KNN} C(X_j, Y_K)$

Output. Class of a test sample x

As a working principle, a distance measurement method is first determined. The most commonly used one is the Euclidean distance. The k points closest to each other are identified. The class closest to the group is determined and the group is labeled with that class. The general structure is given in Algorithm 1. The performance of the KNN classifier algorithm also depends on the value of K [25]. Usually, the optimal value of k is determined empirically.

A. 2. Random Forest

Breiman first introduced the random forest (RF) algorithm, which has since become a widely used nonparametric classification and regression tool for developing prediction rules based on various types of predictor variables without making any assumptions about how they will be associated with the response variable [26]. For classification and regression problems, RF can be used; RF combines the output of various decision trees (DT) to produce a singular outcome. That is why, it is referred to as an "ensemble learning" approach to reduce the overfitting of DT.

Tree-based models iteratively split the dataset into two groups until a certain predefined stopping criterion is met. Depending on how the splitting and stopping criteria are set, decision trees can be designed for both classification and regression tasks. In both cases, the subset of variables chosen to split the node is generated according to a predetermined splitting criterion formulated as an optimization problem [27]. Entropy, a practical application of Shannon's source coding theorem, is widely used as a splitting criterion in classification. The entropy formula is given in Equation 1.

$$E = -\sum_{i=1}^{c} p_i \times log(p_i) \tag{1}$$

Here c represents the number of unique classes, and p_i represents the prior probability of each class. The value of E is maximized to get the most information in each part of the decision tree. The disadvantage of decision trees is that they cause too much overfitting. This leads to a low accuracy of the overall estimation. Building numerous separate trees while just taking into account a portion of the observations can improve generalization accuracy. The random-subspace method was first proposed by Ho, and then expanded and formally published as the random forest by Breiman [27]. The random forest model is a community-based learning algorithm. Estimates are averaged over many individual trees. Trees are built on bootstrap instances rather than the original instance and This reduces the overfitting. The random forest method is illustrated in Algorithm 2.

Algorithm 2. Random forest algorithm

Initialization. Training data (D), subtrees (B)

For $i \leftarrow 1$ to B **do**

Draw a bootstrap sample of size N from D

While node size $\neq$ minimum node size **do**

Randomly select a subset of m predictor variables from total p

For $j \leftarrow 1$ to m **do**

> **If** jth predictor optimizes splitting criterion **then**
> Split internal node into two child nodes
> **break**
> **Output.** The ensemble tree of all B subtrees is created.

Random forest structures, which are a collection of decision trees, perform better than individual decision trees. Compared to decision trees, the random forest algorithm more precisely predicts the mistake rate. According to mathematical proof, the error rate always decreases as the number of trees rises [26]. The size of the subset of predictor variables, m, in the random forest algorithm, is essential for regulating the final depth of the trees. Therefore, it is a parameter that should be adjusted during model selection.

A. 3. Modlem

One of the key objectives in machine learning, data mining, and rough set theory is the discovery of rules from examples. As one of them, the Modlem algorithm develops rules using rough set theory and it is suited to deal with numerical and imperfect data [28]. It is a sequential covering algorithm that generates the smallest possible collection of unordered rules. It repeatedly looks for the best rule for a given class, deletes any positive instances from the learning set that have been covered by that rule, and repeats the process until all examples from that class have been covered. For every single class, the procedure is repeated. Finding the best condition is the first step in building a single rule, and adding further conditions is done so until a stopping requirement is satisfied. The direct processing of numerical attribute values (without pre-discretization) and missing values makes up Modlem's unique feature. Additionally, it can be used to handle inconsistent or noisy instances using rule pruning or rough estimates. The Modlem method is shown in Algorithm 3.

Algorithm 3. Modlem algorithm

> **Initialization.** A set of positive examples from a given decision concept (B), an evaluation measure ($criterion$)
> $G := B$; a temporary set of rules covered by generated rules
> $R := \emptyset$
> **While** $G \neq \emptyset$ **do**
> $T := \emptyset$; a candidate for a rule condition part
> $S := U$; a set of objects currently covered by T
>   **While** $T = \emptyset$ or not ($[T] \subseteq B$) **do**
> $t := \emptyset$; a candidate for an elementary condition
>   **Foreach** attribute $q \in C$ **do**
>   Find best conditions with q and S, assign to new_t
>   **If** Better($new_t, t, criterion$) **then**
> $t := new_t$; evaluate if a new condition is better than previous one
>   according to the chosen evaluation measure
> $T := T \cup \{t\}$; add the best condition to the candidate rule
> $S := S \cap [t]$; focus on examples covered by the candidate
>   **Foreach** elementary condition $t \in T$ **do**
>   **If** $[T - t] \subseteq B$ **then**
> $T := T - \{t\}$; test a rule minimality
> $R := R \cup \{T\}$; store a rule
> $G := B - \cup_{T \in R}[T]$; remove already covered examples
>   **Foreach** $T \in R$ **do**
>   **If** $\cup_{T' \in R - T}[T'] = B$ **then**

$R := R - T$; test minimality of the rule set

Output. R single local covering of B, treated here as rule condition parts

A. 4. Naive Bayes

Naive Bayes (NB) is a straightforward learning algorithm that makes use of the Bayes rule and the fundamental presumption that, given the class, the attributes are conditionally independent [29]. Despite the fact that in practice this independence assumption is frequently broken, naive Bayes frequently produces competitive classification accuracy. This, together with its computational effectiveness and numerous other appealing characteristics, contributes to Naive Bayes' widespread use in practice.

Given a training dataset D_{train} of t classified objects, Naive Bayes estimates the probability $P(y|x)$ that a new instance $x = \{x_1, x_2, \ldots, x_a\}$ belongs to a class y. Where x_i represents the value of attribute X_i, $y \in \{1, \ldots, c\}$ represents the value of class variable Y [30]. D_{test} is the test dataset, c is the number of classes, a is the number of attributes.

The definition of conditional probability is $P(y|x) = P(y, x)/P(x)$. Taking $P(x)$ as the normalization constant, it makes sense to estimate the joint probability $P(y, x)$. If there are not enough x samples in the training data, an accurate estimate of $P(y, x)$ cannot be obtained directly. It is necessary to infer these estimates from observations of lower-dimensional probabilities in the data [30]. Accordingly, redefining conditional probabilities yields Equation 2.

$$P(y, x) = P(y)P(x|y) \tag{2}$$

If the number of classes k is not too large, $P(y)$ in Equation 2 can be accurately estimated from the sample frequencies. To compute $P(x|y)$ based on low-dimensional probabilities, it is factorized by the chain rule in Equation 3.

$$P(x|y) = \prod_{i=1}^{a} P(x_i|x_1, x_2, \ldots, x_{i-1}, y) \tag{3}$$

Equation 3 is optimal in theory. However, for datasets with a large number of features, the conditional probability $P(x_i|x_1, x_2, \ldots, x_{i-1}, y)$ cannot be estimated accurately enough because the feature dependency arcs are too large, leading to high complexity. Consequently, Naive Bayes assumes that the attributes of a given class are independent of each other. Thus Equation 4 It simplifies the calculation of $P(x|y)$.

$$P(x|y) = \prod_{i=1}^{a} P(x_i|y) \tag{4}$$

As a result, Naive Bayes calculates the joint probability $P(y, x)$ according to Equation 5.

$$P_{NB}(y, x) = P(y) \prod_{i=1}^{a} P(x_i|y) \tag{5}$$

Thus, Naive Bayes classifies a new instance of x by choosing it as in Equation 6.

$$argmax_y \left(P'(y) \prod_{i=1}^{a} P'(x_i|y) \right) \tag{6}$$

Here $P'(y)$ and $P'(x_i|y)$ are estimates of the probabilities derived from the frequencies of their respective arguments in the training sample with possible corrections. The training process of NB is given in Algorithm 4.

Algorithm 4. *Naive Bayes training process* [30]

Initialization. $Count$: Table of observed counts of combination of 1 attribute value and the class label
For $instance \in D_{train}$ **do**
    Get the value of class variable in $instance$, suppose it is the yth value
    For $X_i, i \in \{1,2,3,\ldots,a\}$ **do**
        Get the value of attribute X_i in $instance$, suppose it is the jth value
        Increase the element in $Count$ with index (i,j,y) by 1

B. FEATURE SELECTION METHODS

B. 1. Genetic Search

The Genetic Algorithm (GA) is an evolutionary algorithm (EA) that promotes the survival of the fittest and was influenced by Charles Darwin's idea of natural selection [31]. According to the principle of natural selection, only the fittest individuals are chosen to have children. To increase the likelihood of survival, the traits of the fittest parents are subsequently transferred to their kids through cross-over and mutation. The natural selection process, such as selection, cross-over, and mutation, is biologically inspired, and genetic algorithms mimic this process to produce high-quality optimization solutions. There are five phases in a genetic algorithm:

- Initial population: Given that each individual is represented binary, the population is a binary matrix where the rows represent the randomly chosen individuals and the columns represent the potential predictors. With a random selection of 0 and 1, for each entry, an initial population with a predetermined number of people is formed.
- Fitness function: Each member of the population has their fitness value determined using a predetermined fitness function. For the following generation, the person with the lowest prediction error and the fewest predictors has been chosen [32].
- Selection: Through crossover and mutation processes, the elite individuals who have been chosen based on their fitness value are chosen as parents to create offspring.
- Crossover: By transferring entries between two chosen parents from the previous stage, a new generation is created using this process.
- Mutation: This procedure, which is used after crossover, assesses whether a person should be modified in the following generation and ensures that no predictors have been permanently eliminated from the GA population.

The flow chart of the genetic search algorithm is shown in Figure 1.
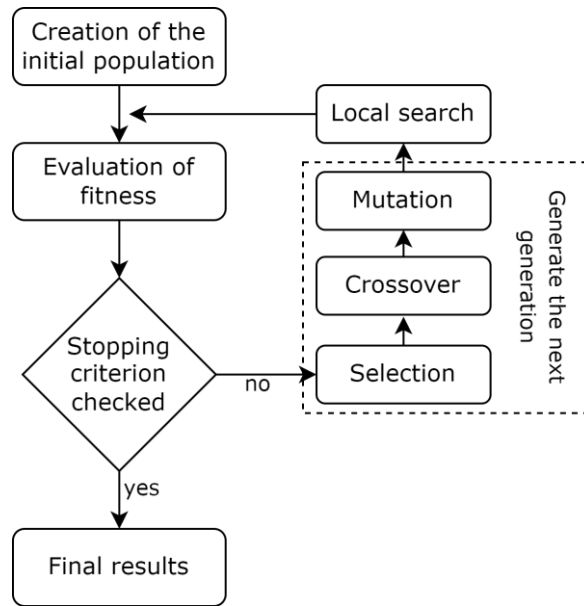
Figure 1. *Genetic search algorithm*

B. 2. Particle Swarm Optimization

PSO is an intelligent evolutionary computer system that is influenced by the social behavior of creatures like a flock of birds finding food sources. Kennedy and Eberhart introduced it in 1995 [33]. It is a computer strategy that resolves a problem by repeatedly attempting to enhance a candidate arrangement with regard to a certain percentage of value [34]. PSO's goal is to collaborate and share data among the particles or molecules in a group that may be thought of as a population in order to identify the best solution. A particle is a constituent or element of the swarm's population. In order to locate promising scene territories, the swarm must fly over the hunting area. Every particle is randomly initialized, has a searching space across which it searches for food, and carries both velocity and position information. Each particle is aware of both its own optimal position P_{best} and the optimal position within the group of particles G_{best}. Using the following Eq. 7 and 8, the velocity and position of each particle are updated after each iteration.

$$V_i^{t+1} = W * V_i^t + c_1 * r_1(P_{best}^t - X_i) + c_2 * r_2(G_{best}^t - X_i) \tag{7}$$

$$X_i^{t+1} = X_i^t + V_i^{t+1} \tag{8}$$

where V_i is velocity, X is position, t is iteration, W is inertia weight, c is cognitive constant, r is random number. The steps of the PSO algorithm can be summarized as follows:

- (1) Generate the initial position randomly
- (2) Calculate the parameters of each particle
- (3) Evaluate each particle via fitness function(objective function)
- (4) Calculate global ve particle best values
- (5) Update the velocity and position of each particle
- (6) Go step 2 until the stopping criteria is satisfied

B. 3. Significance Attribute Evaluation (SAE)

A feature ranking technique called significance attribute evaluation determines an attribute's effect by computing its conditional probability-based significance as a two-way function (feature-classes and

classes-feature association) [35]. Feature-classes(FC) and classes-feature(CF) association can be defined as follows:

$$FC = \left(\frac{1}{m} \sum_{i=1}^{m} \gamma^i \right) \tag{9}$$

$$CF = \left(\frac{1}{k} \right) \times \left(\sum_{j=1}^{n} \delta^i \right) - 1.0 \tag{10}$$

where m is the number of unique features, γ is the discriminating power, δ is the separability of a single feature with regard to class j and n is the total class number. SAE is calculated as an average of FC and CF as follows:

$$SAE = \frac{FC + CF}{2} \tag{11}$$

B. 4. Symmetrical Uncertainty Attribute Evaluation (SUAE)

Mutual information is a fundamental method for calculating the degree of correlation between two features. It is described as the difference between the joint entropy and the sum of the marginal entropies. The mutual information for two completely independent items is always 0. Most feature selection systems based on mutual information use symmetric uncertainty (SU), one of the best feature selection approaches [36]. By calculating the relationship between the feature and the target class, symmetric uncertainty can be utilized to determine the fitness of features for feature selection. A feature that has a high SU value is given a lot of importance. The definition of symmetric uncertainty can be done as follows:

$$IG(A|B) = E(A) - E(A|B) \tag{12}$$

$$SU(A, B) = 2 \times \frac{IG(A, B)}{E(A) + E(B)} \tag{13}$$

where $E(A)$ and $E(B)$ are the entropy of features A and B, $E(A|B)$ is the joint probability and $IG(A|B)$ is the information gain of A under B.

III. PROPOSED MODEL

This section contains the details and analysis of the proposed model. The article proposes a novel ensemble learning-based model for detecting malicious URL and phishing websites. For this purpose, the determination of the dataset, the feature selection methods, the establishment of the classification model and the details of the algorithms used are explained.

A. DATASET DESCRIPTION

In order to train and test the proposed model that named as NSS, first of all, accurate and reliable datasets are needed. In this paper, "Phising Website Features" [37] dataset from the UCI dataset pool was used in order to be reliable and comparable. The dataset has 30 input attributes, 1 output attribute, and 11055 record data. After detailed analysis of the dataset, Figure 2 is created, which includes the

value ranges determined for each attribute. The dataset is located in the data store with normalization applied. In this study, the dataset is parsed for %70 training and %30 testing.

No	Feature	Value	Description
1	having_IP_Address	{-1,1}	Having an IP address in the URL *(yes, P | no, L)*
2	URL_Length	{1,0,-1}	URL length *(<54, L | >=54 and <=75, S | otherwise, P)*
3	Shortining_Service	{1,-1}	Using URL shortening services "TinyURL" *(yes, P | otherwise, L)*
4	having_At_Symbol	{1,-1}	URL's having "@" symbol *(yes, P | otherwise, L)*
5	double_slash_redirecting	{-1,1}	Redirecting using "//", except the first "https://" *(URL index>7, P | otherwise, L)*
6	Prefix_Suffix	{-1,1}	Adding prefix or suffix separated by (-) to the domain *(yes, P | otherwise, L)*
7	having_Sub_Domain	{-1,0,1}	Sub/Multisub domain, except for extensions *(dots in domain=1, L | 2, S | otherwise, P)*
8	SSLfinal_State	{-1,1,0}	Use HTTPS - issuer is trusted - age of certificate *(yes-yes and >=1year, L | yes-no, S | otherwise, P)*
9	Domain_registeration_length	{-1,1}	Domain registration length *(domain expires on<=1year, P | otherwise, L)*
10	Favicon	{1,-1}	Favicon loaded from external domain *(yes, P | otherwise, L)*
11	port	{1,-1}	Only needed ports should be open *(Only required ports are open, L | otherwise, P)*
12	HTTPS_token	{-1,1}	Using HTTP token in domain part of the URL *(yes, P | otherwise, L)*
13	Request_URL	{1,-1}	Most of objects in a webpage are the same domain *(Request URL <22%, L | >=22% and <=61%, S | otherwise, P)*
14	URL_of_Anchor	{-1,0,1}	Using the <a> tag, similar to URL request *(URL of Anchor <31%, L | >=31% and <=67%, S | otherwise, P)*
15	Links_in_tags	{1,-1,0}	Use of links in <Meta>, <Script>, and <Link> tags *(<17%, L | >=17% and <=81%, S | otherwise, P)*
16	SFH	{-1,1,0}	Server Form Handler *("about:blank" or is empty, P | refers to a different domain, S | otherwise, L)*
17	Submitting_to_email	{-1,1}	Using "mail()" or "mailto:" function to submit user information *(yes, P | otherwise, L)*
18	Abnormal_URL	{-1,1}	The host name is not included in URL *(yes, P | otherwise, L)*
19	Redirect	{0,1}	Number of redirect page *(<=1, L | >=2 and <4, S | otherwise, P)*
20	on_mouseover	{1,-1}	Changes status bar *(onMouseOver, P | it does't change, L)*
21	RightClick	{1,-1}	Blocking access to the source code of the web page, "event.button==2" *(right click disabled, P | otherwise, L)*
22	popUpWindow	{1,-1}	Pop up window contains text fields *(yes, P | otherwise, L)*
23	Iframe	{1,-1}	Using iframe redirection without frame borders *(yes, P | otherwise, L)*
24	age_of_domain	{-1,1}	Most phishing websites live for a short period of time *(age of domain >=6 months, L | otherwise, P)*
25	DNSRecord	{-1,1}	No DNS record for the domain *(yes, P | otherwise, L)*
26	web_traffic	{-1,0,1}	The popularity of the website - website rank *(<100k, L | >100k, S | otherwise, P)*
27	Page_Rank	{-1,1}	How important a web page is on the Internet - interval 0 and 1 *(<0.2, P | otherwise, L)*
28	Google_Index	{1,-1}	Webpage indexed by Google *(yes, L | otherwise, P)*
29	Links_pointing_to_page	{1,0,-1}	Legitimacy level - the number of links pointing to the web page *(=0, P | >0 and <=2, S | otherwise, L)*
30	Statistical_report	{-1,1}	Host belongs to top phishing IPs or top phishing domains *(yes, P | otherwise, L)*
Result		**{-1,1}**	**Phishing or legitimate decision of the website *(output)***
	Abbreviations - P: Phishing, S: Suspicious, L: Legitimate		

Figure 2. Dataset features and descriptions

B. FEATURE SELECTION

Before the classification of the dataset, a feature selection is used to find the best relative feature and eliminate the redundant ones. There could be some redundant or useless attributes in a dataset containing features. A feature selection algorithm eliminates redundant and unnecessary features to choose the best set possible. The two major categories of feature selection approaches are the filter approach and the wrapper approach. The filter approach is a feature ranking technique that assesses relevant and nonredundant features in accordance with the inherent characteristics of the data without reference to the classification methods. Filter techniques have the benefits of being quick, scalable, and independent of a learning algorithm. The filter approach's drawbacks include neglecting the classifier's interaction and the prediction of feature dependencies. Another feature ranking technique is the wrapper strategy, which rates nonredundant and pertinent features in accordance with the classifier. The wrapper method's shortcomings include overfitting and time-consuming computing. The connection between feature subset search and classification algorithm is one benefit of wrapper techniques.

In this paper, instead of using a single feature selection algorithm, we have used four different methods which are two of their filter and the other two wrapper approach. Besides, we have analyzed the results as an ablation study. While as filter approaches, Significance Attribute Evaluation(SAE) and Symmetrical Uncertainty Attribute Evaluation (SUAE) have been chosen, as wrapper approaches Particle Swarm Optimization(PSO) and Genetic Search(GS) have been chosen.

C. CLASSIFICATION

In this section, details of the proposed stacking model are explained. For this reason, different classification algorithms are combined via another classification algorithm which is also known as a meta-learner in stacking methods. In addition to the stacking method, we also combine these classification algorithms with a voting approach which one of the ensemble learning methods for better analysis.

C. 1. Ensemble Learning

Bagging, stacking, and boosting are the three structures that make up ensemble learning. First, the data set for bagging is split into test and train groups (often with a ratio of 70/30). A certain number of bags are filled with random and repeated samples taken from the train data. Every sample bag receives training using recognized models. The outputs are averaged or voted on to make decisions. Similar to bagging, data is separated and randomly sampled in the boosting process. Each sample is trained independently and generates output in the bagging method, giving each model an equal opportunity to succeed. In contrast, in the boosting method, data that was incorrectly identified by one model is given priority [38].

Three sets of classifiers are created at once during the boosting process. Similar to bagging, the first and second classifiers are trained using various randomly selected portions of the data set. On data on which the first and second classifiers failed, the third classifier was trained. The majority vote technique is then paired with these three classifiers. On the other hand, the stacking decides based on the percentage of the feature space where the classifiers are successful. The outputs of the classifiers are combined with another classifier and the decision is made [39].
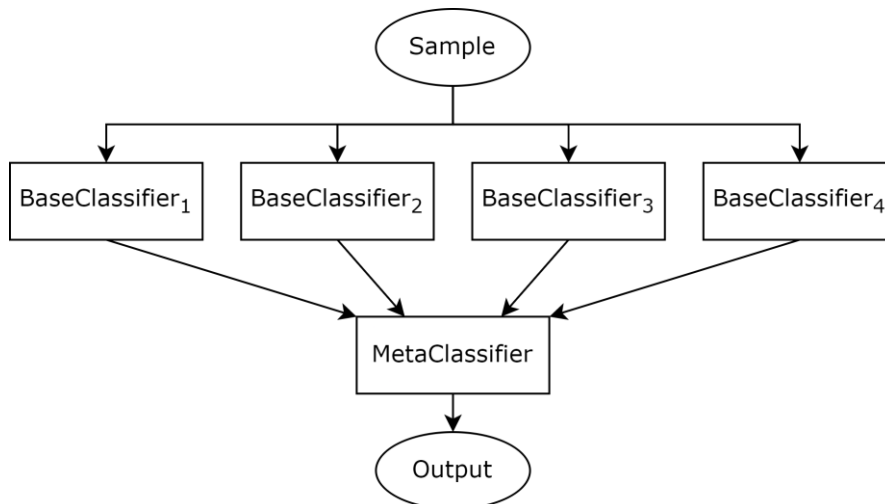
Figure 3. *Stacking process in the ensemble learning*

Stacking in ensemble learning is shown in Figure 3. Here there are four different basic classifier examples. Fewer or more classifiers can be used depending on the model design. The new incoming sample is evaluated in each classifier to be classified. The results from each are evaluated in a new metaclassifier. According to the result of the meta classifier, the sample data is marked with a class label [40].

One of the ensemble learning is also a voting classifier. A voting classifier's architecture is made up of n machine learning models, whose predictions are valued in both hard and soft ways. In a hard vote, the prediction that receives the most votes wins. The winning class will be the one with the highest weighted and averaged probability, on the other hand, because the Voting Classifier in soft mode takes into account the probabilities generated by each machine learning model.

C. 2. Details of Proposed Ensemble Model

We have described the details of the proposed ensemble model in this section. As a classification method, we have chosen a stacking ensemble learning algorithm. In this stacking method as a meta-learner, we prefer the Naive-Bayes and as heterogeneous weak learners, we prefer the K-NN, the Modlem, and the Random forest. So, the design stacking method consists of 4 different classification algorithms. The stacking process of the NSSis shown in Figure 4.
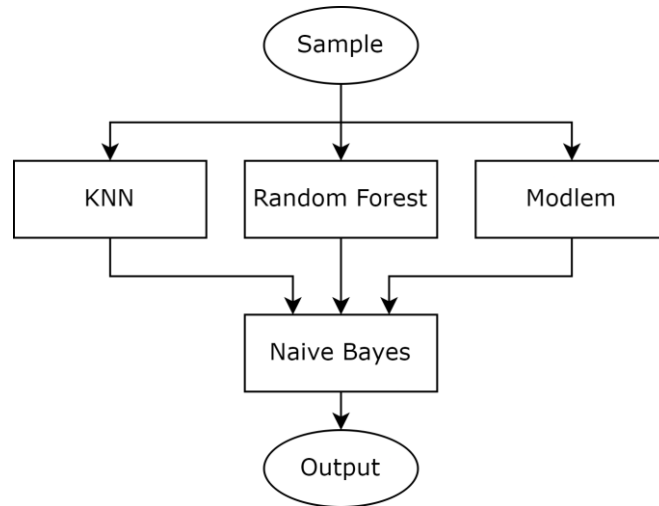
Figure 4. *Stacking process of the NSS*

The proposed stacking model is evaluated under different metrics. For this purpose, we have chosen PAM (the polygon area metric) in addition to well-known metrics like accuracy(ACC), the area under curve(AUC), and F-score. We also provided a confusion matrix to better analyze the classification results.

Firstly, to choose the best feature selection method, we conducted an ablation study. For this purpose, four different feature selection methods are chosen. As wrapper approaches we ran PSO and Genetic Search (GS) methods. As a classification algorithm to carry out PSO and GS, the multi-layer perceptron is preferred. While under PSO feature selection, 22 features are selected under 30 total features, under GS, 26 features are selected. For SUAE and SAE feature selection methods, 30 features are ranked and %10 pruning is done to prefer the most relevant features. When the features selected by both SUAE and SAE are analyzed, it is seen that two features which are "popUpWindow" and "Favicon" are selected as mostly irrelevant while the most relevant features selected by filter approaches are "SSL final State", "URL of Anchor" and "Prefix Suffix".

The only ensemble method is not stacking, there are also other methodologies like voting. Therefore for analysis, we also carried out another one of the ensemble models which is voting under the same feature selection algorithm(SUAE) and classification algorithms (KNN, Random Forest, Modlem).

IV. RESULTS AND DISCUSSION

This section contains detailed analysis, evaluation, and comparison of the results obtained. The NSS is evaluated according to different metrics. These metrics are produced according to the complexity matrix of the result obtained from the model. In complexity matrices, there are four states: true positive (TP), true negative (TN), false positive (FP), and false negative (FN). The first of the metrics evaluated according to these situations is Accuracy. Accuracy gives the ratio of correct predictions to total predictions. The mathematical formula of accuracy is given in Equation 14.

$$Accuracy = \frac{TP + TN}{TP + TN + FP + FN} \tag{14}$$

Precision is the ratio of correctly predicted positive results to total positive results. The mathematical formula of precision is given in Equation 15.

$$Precision = \frac{TP}{TP + FP} \tag{15}$$

Specificity is the percentage of correctly classified belonging to negative samples and its formula can be given as in Equation 16.

$$Specificity = \frac{TN}{TN + FP} \tag{16}$$

Sensitivity or in other words recall is the ratio of correctly predicted positive results to all results in the true class. The mathematical formula of recall is given in Equation 17.

$$Recall = \frac{TP}{TP + FN} \tag{17}$$

The Jaccard similarity index (JI), also known as the Jaccard similarity coefficient, compares the sample in two sets to determine which samples are similar and which samples are different. JI can be calculated as in Equation 18.

$$JI = \frac{TP}{TP + FP + FN} \tag{18}$$

It gives the weighted harmonic average of F-score, precision and recall values. The F-score formula is given in Equation 19.

$$Fscore = 2 \cdot \frac{Precision \cdot Recall}{Precision + Recall} \tag{19}$$

The area under the curve (AUC) is a graphical area metric that is calculated according to the ROC curve. The performance of a classification model at each classification threshold is represented graphically by the ROC curve. True Positive and False Positive rates at different thresholds are shown in this graph. On the other hand, The AUC is a metric obtained by measuring the entire two-dimensional area under the whole ROC curve. AUC can be calculated as in Equation 20.

$$AUC = \int_0^1 g(x)dx \tag{20}$$

where $g(x)$ is a ROC curve that is drawn with the true-positive rate and the false-positive rate for different cut-off points.

The Polygon Area Metric (PAM) is calculated using the regular hexagon area created by using six different metrics [6]. These metrics are accuracy, sensitivity, specificity, AUC, JI, and F-score. Basically, a regular hexagon is divided into 6 areas(triangle) and each of them fills these 6 metrics. Then, the percentage of filled area is calculated according to the Equation 21.

$$PAM = \frac{PA}{2.59807} \tag{21}$$

where *PA* is the filled area, and the number of 2.59807 is the area of the regular hexagon. As can be seen, the calculated PAM is ranging between [0,1].

A. ABLATION STUDY

The proposed stacking model is trained with four different feature selection algorithms. The obtained accuracy values are %97.5271 and %97.3160 PSO and GS, respectively. While SAE gives %97.6779 accuracy, SUAE gives %97.7382 accuracy. For the NSS, under evaluation of F-score, with SUAE and SAE feature selection it gives 0.9744 and 0.9737 respectively, while it gives 0.9719 and 0.9695 respectively for PSO and GS. Besides, Under evaluation of AUC, while with SUAE and SAE feature selection it gives 0.9767 and 0.9762 respectively, with PSO and GS it gives 0.9742 and 0.9723 respectively. As for the PAM metric, for SUAE and SAE, it gives 0.9447 and 0.9434, while it gives 0.9393 and 0.9345 for PSO and GS. PAM results are also presented in Figure 5.

(a) GS (PAM:0.9345)   *(b) PSO (PAM:0.9393)*

(c) SAE (PAM:0.9434)   *(d) SUAE (PAM:0.9455)*
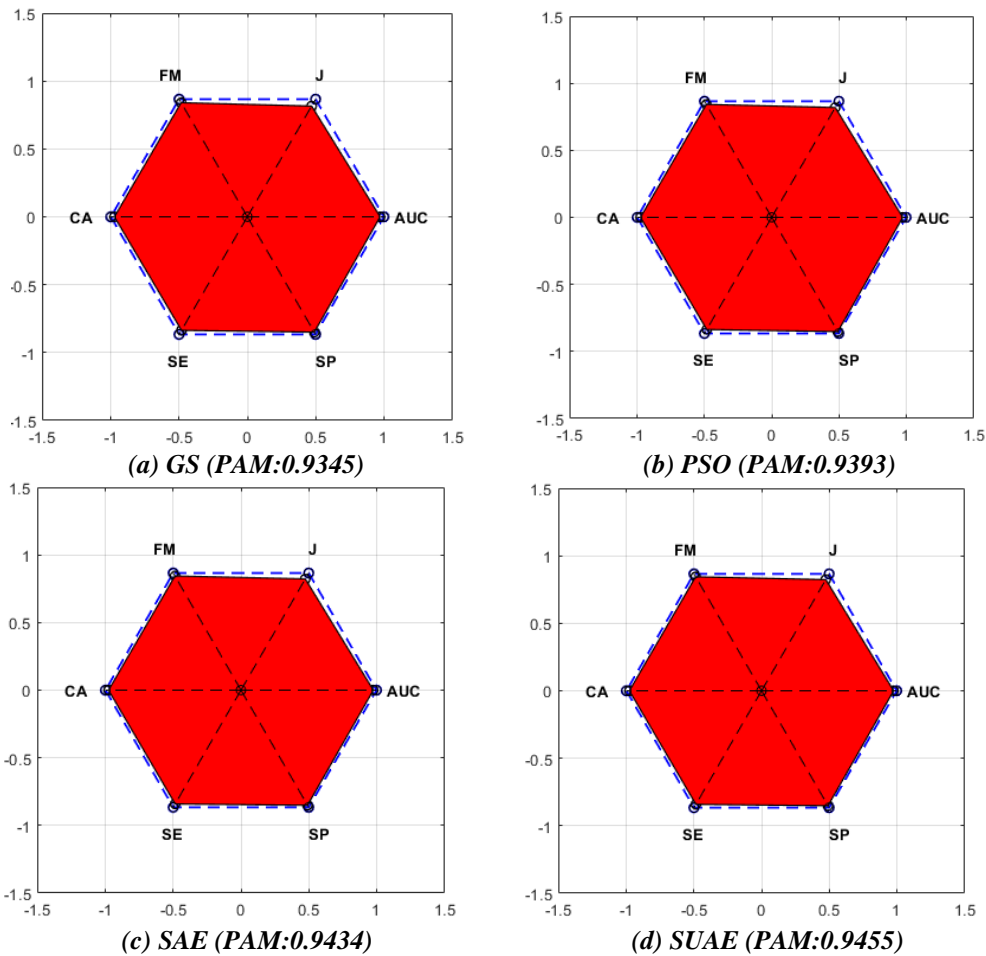
***Figure 5.** PAM results for the NSS with four different feature selections*

For the proposed stacking model, all results are summarized in Table 1 for four different feature selection methods under the 4 different metrics which are accuracy, AUC, F-score, and PAM. Besides, confusion matrixes are provided in Figure 6. In this figure, the "A" presents a phishing class, and the "B" presents a legitimate class. It can be seen that filter approaches gave better results for the proposed stacking model. It is most likely that, wrapper methods can result in over-fitting results.

***Table 1.** Results for the proposed method under four different feature selections*

Feature Selection Method	Accuracy (%)	AUC	F-Score	PAM
Genetic Search	97.3160	0.9723	0.9695	0.9345

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PSO Search	97.5271	0.9742	0.9719	0.9393
SAE	97.6779	0.9762	0.9737	0.9434
SUAE	97.7684	0.9770	0.9747	0.9455

Figure 6. Confusion matrices for proposed ensemble learning model under four feature selection algorithms

The NSS with the SUAE feature selection method is chosen as the final proposed algorithm and named as NaiveStackingSymmetric model because the NaiveStackingSymmetric model gives %97.7382 accuracy, it also gives 0.9767, 0.9744, and 0.9447 under AUC, F-score, and PAM metrics respectively which are also better than other feature selection algorithms.

B. PROPOSED MODEL ANALYSIS

In the model where the best results are obtained, that is, the SUAE feature selection method is used, %10 pruning is applied for the best relevant features selection. Then, an ensemble learning model consisting of K-NN, Modlem, and random forest methods is applied and the results are stacked with Naive Bayes.

In order to provide an analysis of the classification methods used, it is presented as an ablation study by using hard voting and soft voting methods from ensemble methods as well as the stacking method. Accordingly, the results obtained using the accuracy, AUC, F-score and PAM metrics are shown in Table 2. Hard voting performs a little better than soft voting under all metrics. However, the stacking method using Naive Bayes as the meta classifier has still higher performance than both voting methods.

Table 2. Results for the proposed method under three different meta classifiers

Ensemble Methods	Accuracy (%)	AUC	F-Score	PAM
Hard Voting	97.0748	0.9689	0.9665	0.9277
Soft Voting	97.0446	0.9687	0.9662	0.9271
Stacking	97.7684	0.9770	0.9747	0.9455

According to these results, the stacking method is the most efficient compared to voting methods for K-NN, random forest, and modlem classification algorithms. In addition to the results presented in Table 2, the resulting confusion matrices using different ensemble methods are also indicated in Figure 7.

(a) Hard Voting

(b) Soft Voting
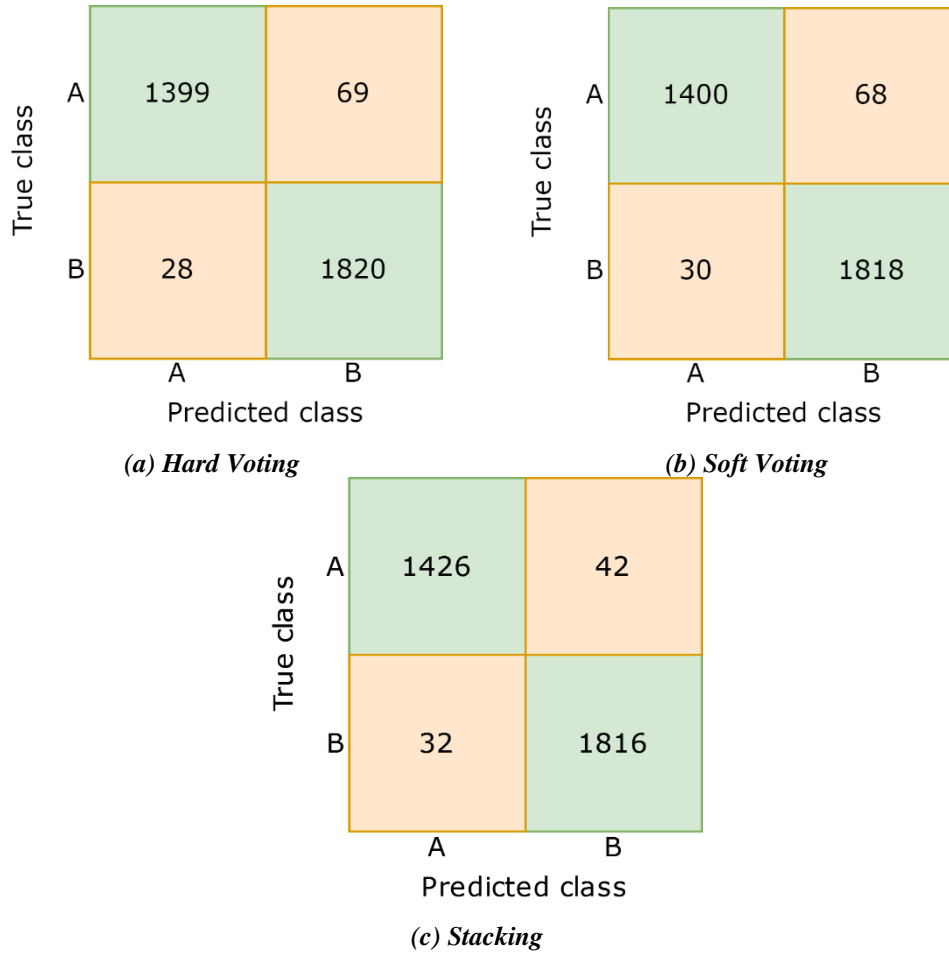
(c) Stacking

Figure 7. *Confusion matrices for proposed ensemble learning model under four feature selection algorithms*

We have also investigated the classification algorithms separately to see the effect of the stacking method on these algorithms. The results obtained when the K-NN, random forest, and the modlem classification algorithms used in the proposed ensemble method are applied to the dataset separately under the SUAE feature selection method are presented in Table 3. Under accuracy, AUC, F-score, and PAM metrics, K-NN gives the best results and the modlem gives the worst. While K-NN, random forest, and the modlem give accuracy %97.1954, %97.1351, %96.9843 respectively, stacking these methods with the naive bayes gives %97.7382. The proposed stacking method also outperforms the classification algorithms evaluated separately under other metrics. This shows that the proposed stacking method contributes classification problem effectively. The confusion matrices of the individual results and PAM results of the machine learning methods used in the proposed ensemble learning model are shown in Figure 9 and Figure 8 respectively.

Table 3. *Separate results of machine learning methods used in the proposed ensemble model*

ML Methods	Accuracy (%)	AUC	F-Score	PAM
K-NN	97.1954	0.9708	0.9681	0.9314
Random Forest	97.1351	0.9699	0.9673	0.9296
Modlem	96.9843	0.9679	0.9654	0.9254
Proposed Ensemble Model	97.7684	0.9770	0.9747	0.9455

(a) K-NN (PAM:0.9314)

(b) RF (PAM:0.9296)

(c) Mod (PAM:0.9254)

(d) NSS (PAM:0.9455)
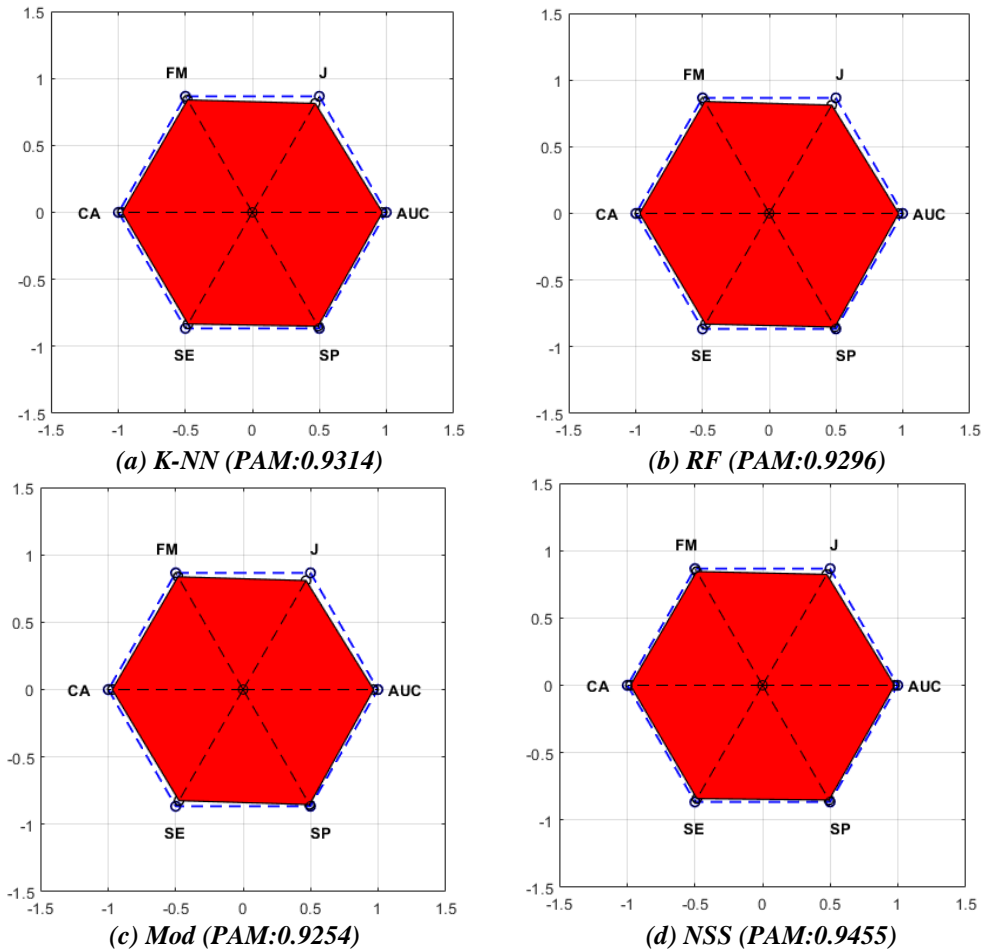
Figure 8. *PAM results for K-NN, Random Forest(RF), Modlem(Mod), and NSS(PM)*

(a) K-NN

(b) Random Forest

(c) Modlem *(d) NSS*
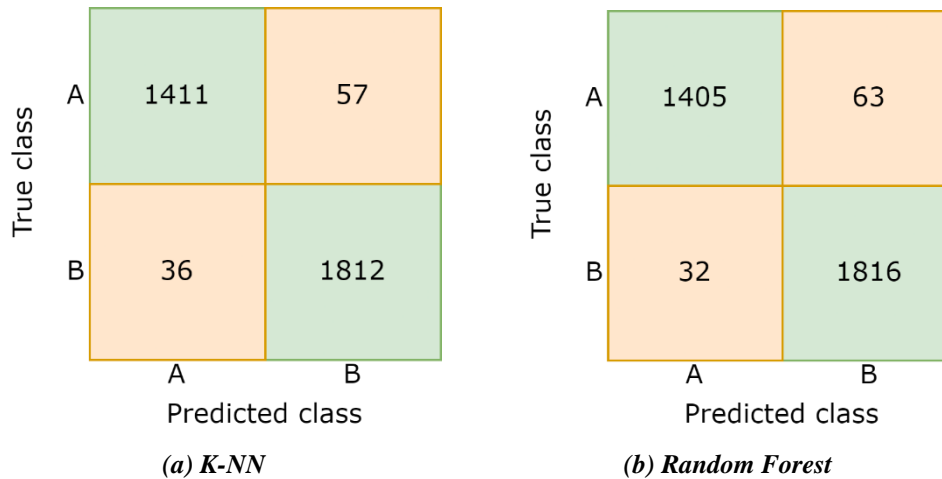
Figure 9. *Confusion matrices for each of the machine learning methods used in the proposed ensemble learning model*

For SUAE and SAE feature selection methods, 30 features are ranked and %10 pruning is done to prefer the most relevant features. When the features selected by both SUAE and SAE are analyzed, it is seen that two features which are "popUpWindow" and "Favicon" are selected as mostly irrelevant while the most relevant features selected by filter approaches are "SSL final State", "URL of Anchor" and "Prefix Suffix". Figure 8d, Figure 6d, Figure 7c, Figure 9d and their associated tables relevant values indicate the proposed ensemble model. As seen from all comparisons, the proposed ensemble model for phishing detection achieves the best results.

The comparison of the proposed ensemble model with other studies using the dataset in the NSS is shown in Table 4. According to this table, the proposed ensemble model has higher performance than other approaches using the same dataset.

Table 4. *Summary of Related Works*

Ref.	Year	Models	Accuracy (%)
[4]	2022	Gradient boosting, random forest	97.0000
[5]	2022	S-shaped, V-shaped transfer function, KNN	97.0440
[41]	2022	XGBoost	97.0455
[7]	2022	Gradient boosting with XGBoost	97.3000
[9]	2022	Random forest, extra tree and decision tree	97.5600
[10]	2022	Standart neural network	94.8400
[11]	2022	LR, KNN, SVM	94.0000
[12]	2021	Random forest, logistic regression, SVM	94.1390
[14]	2021	CRAN-R, random forest	95.7000
[16]	2020	SVM + Adaboost	97.6100
[17]	2020	Random forest	97.2700
[18]	2020	Multi-filter	92.7200
[19]	2019	Stacking process	97.5000
[20]	2019	Decission tree (ID3)	96.7300
[22]	2017	Random forest	97.3600
[23]	2017	PSO feature selection, random forest	95.2000
NSS	2024	NaiveStackingSymmetric (ensemble) (proposed)	97.7684

A comparison of machine learning models performed using phishing datasets with different metrics such as F-score, AUC, precision, recall is given in Table 5. In this comparison, only studies that directly share the metrics or share the information and the values of the metrics are taken into

consideration. Only the accuracy values of other studies are given. In Table 5 there are studies that share more metric information or calculate metrics from the information provided.

Table 5. More Detailed Summary of Related Works

Ref.	Accuracy (%)	F-Score	AUC	Precision	Recall
[4]	97.0000	0.9685	0.9639	0.9622	0.9748
[5]	97.0440	0.9701	0.9704	0.9714	0.9695
[41]	97.0455	0.9736	N/A	0.9592	0.9794
[7]	97.3000	0.9740	N/A	0.9690	0.9820
[9]	97.5600	0.9722	N/A	0.9762	0.9682
[12]	94.1390	0.9343	N/A	0.9223	0.9466
[16]	97.6100	0.9760	0.9960	N/A	N/A
[17]	97.2700	0.9645	N/A	0.9456	0.9842
[18]	92.7200	0.9090	N/A	0.9124	0.9055
[22]	97.3600	0.9740	0.9940	N/A	N/A
NSS	97.7684	0.9744	0.9767	0.9827	0.9707

We have also investigated the selection of a splitting approaches for the training set. For this purpose, we have used 3 different splitting types which are 80/20 and 90/10 different from the used one in NSS which is 70/30. The results are presented in Table 6.

Table 6. Different splitting approaches in training for NSS

ML Methods	Accuracy (%)	AUC	F-Score	PAM
%70-30	97.7684	0.9770	0.9747	0.9455
%80-20	97.3768	0.9731	0.9709	0.9368
%90-10	98.0090	0.9796	0.9787	0.9525

V. FUTURE DIRECTIONS

In this section, there are directions for future studies on the subject. Machine learning approaches for cyber security are becoming more and more popular today. Therefore, the following directions are offered for future work.

- Models can be built and tested with a secure dataset for all other types of attacks, such as phishing.
- The rapid development of technology also increases cyber security needs and carries security strategies to different dimensions. With the emergence of quantum computers, many systems that are considered safe become insecure. Therefore, new protocols can be produced to make systems quantum resistant [42].
- With the development of 5G, 6G and IPv6 systems, the interest in Internet of Things (IoT) is constantly increasing. However, the nature of the wireless environment is insecure, leading to increased threats to IoT systems. In addition, the use of resource-constrained sensor devices increases the importance of lightweight security protocols. For this reason, machine learning-based security models can be developed for IoT systems that put a low load on the sensors [43].
- In mobile operating systems, security levels can be increased by detecting anomalies in data flow based on machine learning.
- Deep learning techniques, which are one of the popular topics of recent years and are frequently used in the field of image processing and whose use on numerical data are increasing, can be applied to phishing detection data sets [44].

VI. CONCLUSION

This paper proposes a new ensemble learning-based model for detecting whether a website is phishing or legitimate. Model training/test is performed on the dataset obtained from the UCI machine learning repository. Processes are performed using many methods and ablation studies are carried out. According to the results obtained, the best performance with %97.7382 accuracy belongs to the proposed ensemble model, which applies SUAE feature selection and stacks K-NN, random forest, and modlem approaches with Naive Bayes.

All other studies using the dataset are analyzed in detail and their results are compared with the proposed ensemble model. Here, not only accuracy but also the comparison is provided over different metrics such as AUC, F-score, precision, and recall. Based on the average performance of all these metrics, the proposed ensemble model has better performance than all other machine learning studies using the dataset.

In addition to a proposed novel model, the paper has an extensive literature review including machine learning-based phishing detection approaches and all other studies using the dataset. This shows that phishing attack is a very old and frequently used type of attack and reveals the necessity of taking precautions against this attack. Therefore, the NSS can effectively fills the gap in the literature. In future studies, we plan to develop deep learning-based cyber security models that have attracted great interest in recent years.

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Research Article

Lung Nodule Detection Interface Design and Development From Computerized Tomography Images

Yasin İLHAN [a*], Arif ÖZKAN [b], Bora KALAYCIOĞLU[a], Cantekin ÇELİKHASI[b]

[a] Biomedical Engineering Deparment, Kocaeli University, Kocaeli 41100,
[b] Izmit Science and Art Center, Ministry of Education, Kocaeli 41100, TURKIYE
* Corresponding author's e-mail address: hazanyasinilhan@gmail.com
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ABSTRACT

Lung cancer is one of the leading diseases that cause death in the world. Early diagnosis of lung cancer is as important as its treatment. Therefore, we propose the LinkNet architecture, which is a deep learning model that will detect the location and size of nodules from the lung tomography image. The study was conducted with 110 patients and 343 nodules with nodules detected in Lung Computed Tomography (CT) Images. In the study, no public dataset was used and tomography images were obtained from the hospital. In the pre-processing stage, thresholding is made according to the lung Hounsfield Unit (HU) threshold value with the Otsu method and the lung is segmented. The XML (Extensible Markup Language) files of ROIs(Region of Interest) of the nodules previously marked by the radiologist are extracted and converted into images. Using template nodules trained with LinkNet and U-Net architectures, comparison and success percentage tables for 16 different architectures were presented. Using LinkNet, the model achieved an intersection of union (IoU) score of 69% for valid and an IoU score of 94% for the train. 274 nodule data were used in the train section and 69 nodule data were used in the validation section. Experimental results show that nodules that may be overlooked by a radiologist can be detected with CAD (Computer- Aided Design) performed and will be useful in the diagnosis of lung cancer.

Keywords: Lung Nodule Detection, CT Image, Otsu Thresholding, U-Net, LinkNet

Bilgisayarlı Tomografi Görüntülerinden Akciğer Nodülü Tespit Arayüzünün Tasarımı ve Geliştirilmesi

ÖZ

Akciğer kanseri dünyada ölüme neden olan hastalıkların başında gelmektedir. Akciğer kanserinin erken teşhisi, tedavisi kadar önemlidir. Bu nedenle akciğer tomografi görüntüsünden nodüllerin yerini ve boyutunu tespit edecek bir derin öğrenme modeli olan LinkNet mimarisinin kullanımı ile bu çalışma uygulanmıştır. Bu çalışmada, akciğer Bilgisayarlı Tomografi (BT) görüntülerinde nodül saptanan 110 görüntü ve 343 nodül modeli kullanılmıştır. Bu çalışma dahilinde herhangi bir kamuya açık veri seti kullanılmamış ve etik kurul izni dahilinde tomografi görüntüleri elde edilmiştir. Ön işleme aşamasında OTSU yöntemi ile akciğer Hounsfield Unit (HU) eşik değerine göre eşikleme yapılmış ve akciğer görüntülerine segmentasyon uygulanmıştır. Uzman radyolog tarafından işaretlenen nodüllerin ROI'lerinin (Region of Interest) XML (Extensible Markup Language) dosyaları ayıklanarak görüntülere dönüştürülmüştür. LinkNet ve U-Net mimarileri ile eğitilmiş şablon nodüller kullanılarak 16 farklı mimari için karşılaştırma ve başarı yüzdesi tabloları sunulmuştur. Model, LinkNet'i kullanarak geçerli için %69'luk birleşim (IoU) puanı ve çalışma için %94'lük bir IoU puanı elde edilmiştir. Sonuç bölümünde 274 nodül verisi, validasyon bölümünde 69 nodül verisi kullanılmıştır. Deneysel sonuçlar, radyolog tarafından gözden kaçırılabilecek nodüllerin yaptığımız CAD (Bilgisayar Destekli Tasarım) ile tespit edilebileceğini ve akciğer kanseri tanısında faydalı olacağını göstermektedir.

I. INTRODUCTION

Lung cancer is a type of cancer that starts when abnormal cells grow in an uncontrolled way in the lungs. It is a serious health issue that can cause severe harm and death. According to World Health Organization (WHO) and major cancer research centers, lung cancer is the leading cause of cancer-related death in men and women worldwide. It is important to seek medical care early to avoid serious health effects. Treatments depend on the person's medical history and the stage of the disease. When lung nodules are detected at a treatable stage, the patient's chances of survival will increased [1-6]. An estimated 2.1 million new cases of lung cancer were detected in the world, and 1.8 million deaths occurred due to lung cancer in 2018 [3]. According to Turkish Cancer Statistics, lung cancer is most common among Turkish men citizens. It stands out as the type of cancer and the leading cause of death. It is the fifth most common type of cancer in women [4]. The number of deaths and cases indicated shows how important early diagnosis and treatment are. Lung cancer begins when cells that consist of structurally normal lung tissue proliferate out of need and control, forming a mass (tumor) in the lung. The mass formed here primarily grows in its environment, and in later stages, it spreads to surrounding tissues or distant organs through circulation, causing damage. Early detection of lung nodules is very important in the clinical diagnosis and treatment of lung cancer. The most appropriate method used in the diagnosis of lung diseases is the Computed Tomography Imaging [5]. Computer-aided diagnosis (CA-D) system offers many supports to its users, including; Diagnosis of cancer cells from computed tomography (CT) images, their variants and predictions regarding treatment. Among the studies carried out using this method, CA-D systems created with the help of artificial intelligence technology using Computed Tomography images stand out. These CA-D systems can be automatic and semi-automatic. Considering the studies, Javaid et al. [6] in their study; firstly, contrast enhancement was performed in the preprocessing stage. Segmentation was applied with density thresholding and the external environment of the lung image was improved. After that; detection of potential nodules has been performed with K-means Clustering. Harsono et al. [7] were performed nodule detection with the "I3DR-Net" algorithm, which is called a single-stage object detector, in 1019 CT Images taken from the LIDC (The Lung Image Database Consortium) database. In the study conducted by Mukherjee et al. [8]; pulmonary nodule detection was performed with 552 high-resolution tomography images taken from Peerless Hospital. Masking was performed using Multi-Level Thresholding and segmentation of the nodules was performed with Rolling Ball Algorithm. In the study of Gupta et al. [9]; the grayscale thresholding process was performed in the first stage with 1018 CT Images taken from the LIDC database. After nodule development study was carried out with the Erosion Operation and 3D visualization of the detected nodules was designed. In the study of Kuo et al. [10] ; edge optimization and noise filtration were performed with an Adaptive wiener filter in pre-processing of CT images. Lung segmentation has been performed with the Otsu method; afterward, candidate nodules were determined using the Ground Glass Opacity (GGO) feature. In the study by Zhao et al. [11]; pre-processing was performed on 800 CT images by applying thresholding, erosion, and dilation procedures. Lung was segmented with pre-processing. Candidate nodules were segmented with the U-Net algorithm. Then, nodule classification was completed with CNN (Convolutional Neural Network). In the study conducted by Aresta et al. [1], 1018 CT images taken from the LIDC database were segmented with the IW-Net algorithm. It also enables correction by analyzing two points. As can be understood from studies in the open literature, public database was used in almost all of the studies. In this study, instead of public database, actual medical images for patients with lung nodules whose diagnosis and treatment process were carried out in the hospital were used. Increasing the success of this study will help make the lung tomography images that we have studied available to the public. However, the acquisition and classification of computed tomography images are more time-consuming compared to studies with public database. In addition, while comparisons were made with a single architectural structure in all of the studies carried out, 16 different models were compared in this study. Hyperparameters at the U-Net and LinkNet

structure are adapted to the nodule segmentation process. U-Net and LinkNet algorithms used and fast processing capacity despite the high number of parameters are among other advantageous conditions.

Detection of nodules by radiological examinations requires superior clinical knowledge and is time-consuming, and the diagnosis process becomes more difficult as the shape and density of the nodules change [1-5]. The system design that automatically detects the nodule will make this situation advantageous for both patients and radiologists.

The purpose of this study; To assist the diagnosis process by detecting nodules with the fully automatic CA-D system, without being dependent on radiologists in the subsequent procedures of lung tomography images. Thus, nodules that the physician missed during the examination will be detected and medical errors that occur during the diagnosis process will be prevented.

II. METHODOLOGY

The study consists of four main processes; segmentation of the lung parenchyma, marking of the nodules by a radiologist, taking images of the nodules, and detecting the nodules. In the first step of this study, lung segmentation is performed and then in the the segmentation process, the nodules are marked by the radiologist. The last step, in order to detect the nodules, which is the main purpose of the project, only the segmentation of the relevant area including the lung is performed. The Computed Tomography images used in this study are not public data sets but are the data of 110 patients with nodules detected in the lung tomography images of the Ministry of Health Kocaeli Izmit Seka State Hospital. In the beginning, tomography images of 300 patients in total were obtained from this hospital with the permission of the ethics committee. However, in patients whose cancer tissue was clearly evident in tomography images, nodules were detected by chest diseases specialists, but no nodules were found, and respiratory and motion artifacts that occurred on tomography were not included in the study. A total of 343 nodules belonging to 110 patients were identified by the radiologist. 274 nodules were used as training data and 69 nodules as validation data. This study was performed in line with the principles of the Declaration of Helsinki. Approval was granted by the Ethics Committee of Kocaeli University. (Approval Date: 16.11.2020 / Approval Number: 78754) Overview of the proposed lung nodule detection framework is given in Figure 1.
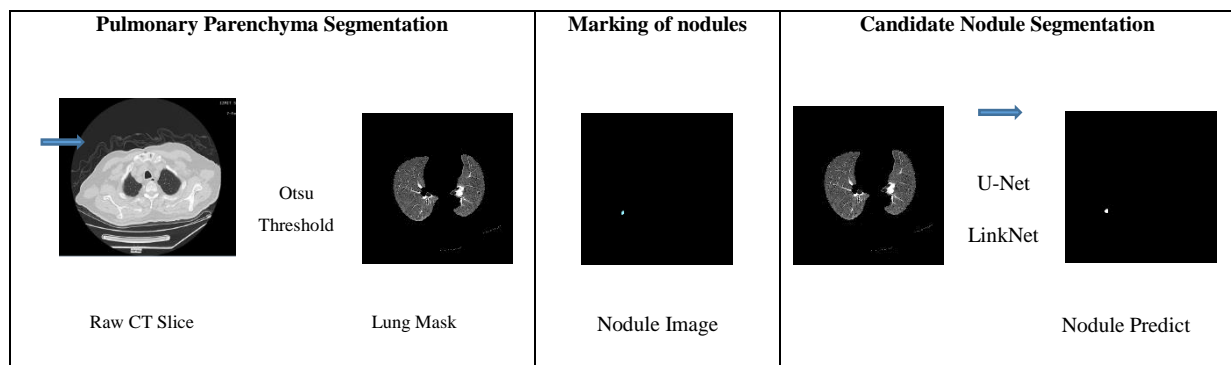
Figure 1. Overview of proposed lung nodule detection framework

A. PULMONARY PARENCHYMA SEGMENTATION
At this stage, only the area containing the lung border was segmented and the area outside the lung border was removed. This process was performed by thresholding using the HU values in the Computer Tomography Images. The values measured and digitized by the detectors are converted into X-ray capture values of each voxel by computers. This is done according to a scale that assumes the X-ray

absorption value of water to be 0, with one end being –1000 and the other end being +3095. The scale used is called the Hounsfield Unit, and the numbers on this scale are called CT Units or HU Units, after the British Physicist Hounsfield who was one of the developers of the method [2]. In HU, each value represents a texture. For example, the value - 1000 represents air, while the range of values +400 - +1000 represents bone tissue. The range of 600 -700 is the range of HU values for the lung [12]. To segment the lung, the part containing the lung area is taken by adjusting the -1024 HU value below 0, and the other parts are cut and discarded. 0 and above -1000 HU values of air and bone tissue were not taken into account and lung HU value range was used as the threshold scale. The Otsu method was used in the study for thresholding.

Otsu algorithm is the concept of binary thresholding, the parts of an array (image matrix) below a certain threshold value are 0; it is an algorithm that is used to create a binary image by making the above parts as 1 [12]. After thresholding, images containing only the borders of the lung will be obtained. Segmented lung image with the Otsu method is given by Figure 2.
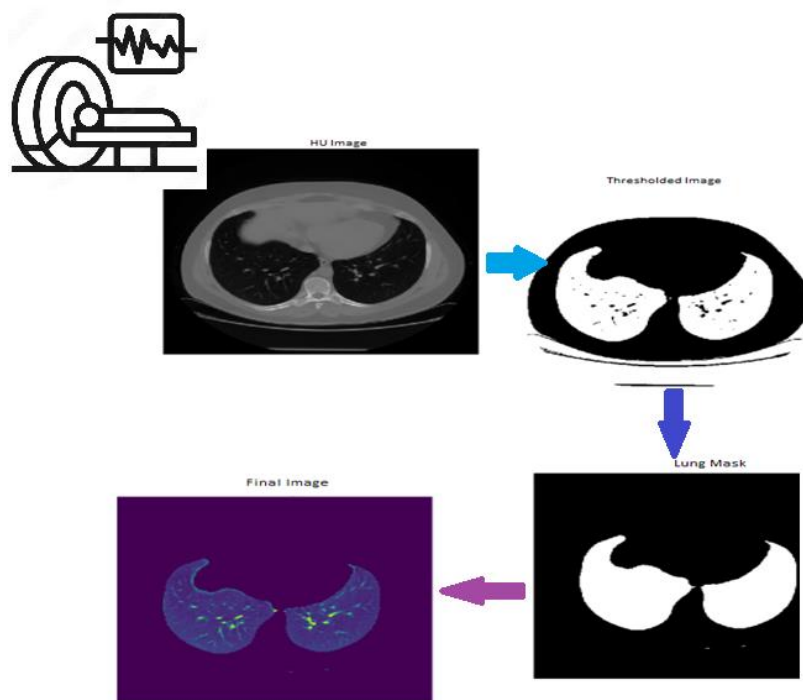
Figure 2. Lung parenchyma segmentation structure

B. MARKING OF NODULES

The locations of the nodules are marked by the radiologist from the tomography images of 110 patients with nodules. Computed Tomography images with nodules are marked by the radiologist using the Osirix program. Numerical data regarding the positions of the nodules are exported as an XML file to enable processing. Osirix software performs operations such as navigation and processing of Multi-modal and multi-dimensional images with impressive speed. The contents maintained in this way provide the opportunity to proceed easily during the transactions without the need for additional requirements. The software was developed in Objective-C, an object-oriented programming language, using a Macintosh platform under the MacOS X operating system. It also takes advantage of the high-speed and optimized 3D graphics capabilities of the OpenGL graphics development interface commonly used for computer games. In the design of the software, its user-friendly feature, which enables navigating between large image data sets and performing complex operations, has been prioritized [13]. The reason why the Osirix program is preferred for marking nodules due to the specified requirements

is that the marked ROI regions can be converted into numerical data and exported. After the nodules are marked on the tomography images determined in the Osirix software and their coordinates are determined, the process is completed by exporting the definitions of the ROI regions as an XML file containing the indexes.

C. CREATING NODULE IMAGES

It is the stage in which the images of the nodules for which numerical position data have been created by marking them by the radiologist are created. The numerical values of the nodule in the XML files (Figure 3) are matched with the image in that section and the patient name in which section of the computed tomography image of the patient. Looking inside the XML files, there are libraries for each nodule and the position values in the x and y coordinate plane of the marked nodule. Nodule masks were created by setting the fields with the position values obtained from the XML file to 1 through a matrix with the created 512x512 field values of 0. These nodule masks will be used for matching segmented lung images.

When looking at the XML file, the total section in the patient's tomography image, the number of the processed section in the image, the patient's number, the length and width values of the image, the number of ROIs, the ROI method, etc. information is included. The following data is location data and includes area information. Nodule masks are created using this data. Figure 4 shows sample nodule masks in different shapes and positions belonging to different patients used in this study.

Figure 3. XML example of created nodule mask
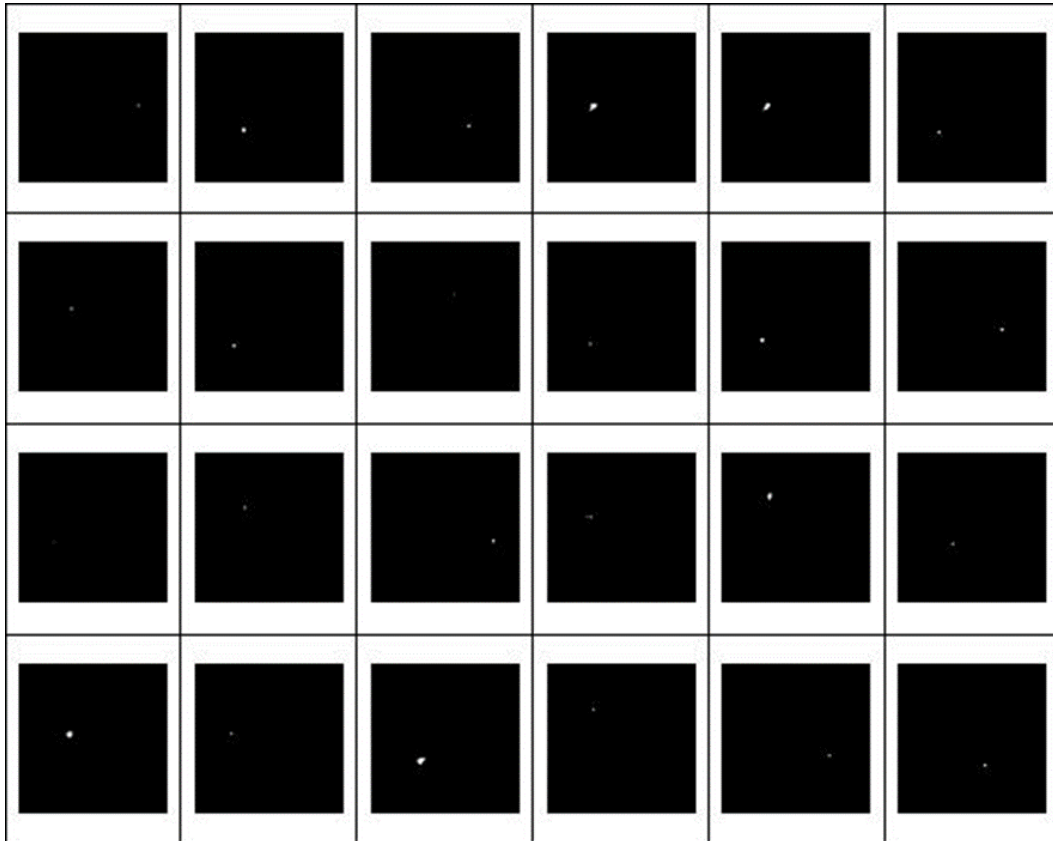
Figure 4. *Images of marked nodules.*

D. CANDIDATE NODULE SEGMENTATION

It is the stage where the created nodule masks are searched in segmented lung tomography images and matching is performed. When the nodule masks match the true nodules, they are segmented from the masked lung. The segmentation of the nodules was carried out using the LinkNet and U-Net architecture. This studies' goal was to work on multiple models to find the model with the highest success. In the study, the highest success was seen in the LinkNet model when compared with other models. U-Net is a kind of CNN approach. It was introduced by Olaf Ronneberger, Phillip Fische, and Thomas Brox in 2015 [14]. Their main aim was to perform better segmentation of medical images. It is named so because the shape of the model resembles the letter U. U-Net method is more successful than other conventional models, even with limited dataset images [14]. LinkNet architecture used series of the decoder and encoder blocks for breaking down the image and make it up again before passing it towards a final convolutional layer. For real-time segmentation, the number of parameters should be minimized for this structure of the network was designed. LinkNet is a relatively easy-working network with around 11.5 million parameters different from difficult networks like VGG which has 10x more workload [15]. For the reasons stated, the use of U-Net and LinkNet algorithm provided advantages in the project. It has been chosen because the highest success is on the LinkNet. We recommend the LinkNet algorithm because we achieved the highest success in this study. The architecture of the LinkNet is given in Figure

5 (a), convolutional modules in encoder-block are given in Figure 5(b) and convolutional modules in decoder-block are given in Figure 5(c) [15].

a. LinkNet Architecture   b. Encoder Block   c. Decoder Block
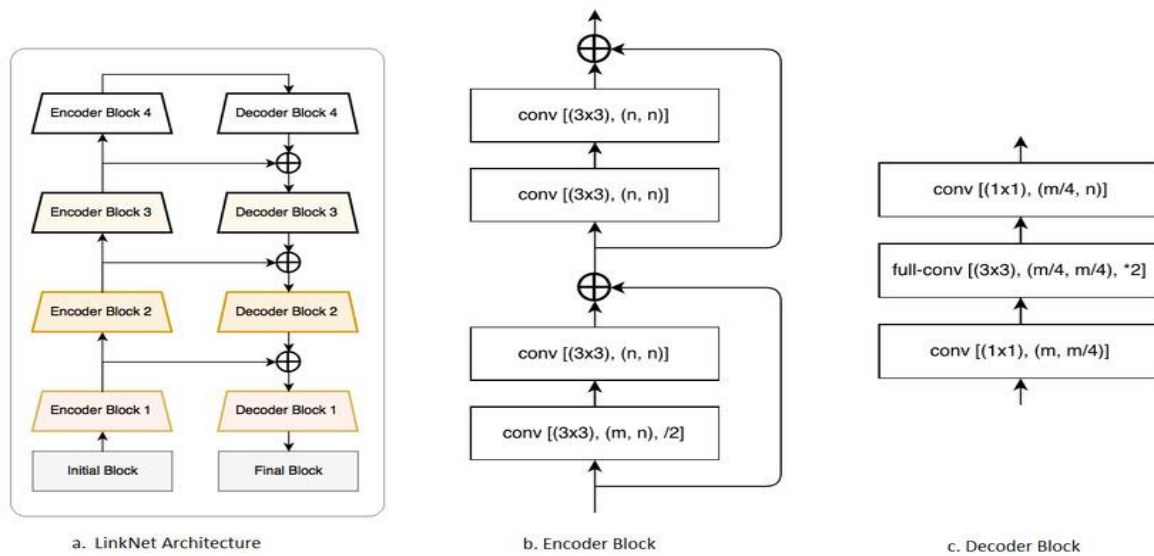
Figure. 5 (a) LinkNet architecture, (b) convolutional modules in encoder-block, (c) convolutional modules in decoder-block.

LinkNet architecture consists of 4 main processes (Figure 5); "Initial Block", "Decoder Block", "Encoder Block" and "Final Block". The initial block represents the nodule images in which the images are introduced to the system, and the final block represents the predicted nodule images. The number of encoder block and decoder block is 4, here is the part where nodule images are searched in masked lung tomography images, matches are detected, and transferred to the final block. Encoder and decoder blocks are performed by converting images to different matrix sizes and by feedback. The "conv" command is used to convert to different matrix sizes. In the final block are given in Figre 5, the predicted nodule images.

III. RESULTS

This study started with lung segmentation, then nodule masks were created by exporting the location data of the nodules marked by the Radiologist. The nodules marked by the radiologist are this studies' target nodules, and with the U-Net and LinkNet models used in this study, the intersection of the nodule templates in the images were determined and the nodules in the tomography images were segmented. As indicated in Table 1, the success rate in the images segmented using the LinkNet model, vgg16 bockbone, SDG optimizer in terms of success achieved higher success than the other structures.

Table 1 *Success rates for U-Net and LinkNet architecture*

	Model	Backbone	Optimizer	Activation	Image_Size	Batch Size	Train Count	Valid Count	Train IoU	Valid IoU	Epoch	Preprocess	Loss	Model
Study1	U-Net	resnet18	SGD	sigmoid	320	8	274	69	0,49	0,4061	100	yes	negative	final
Study2	U-Net	resnet18	SGD	sigmoid	448	8	274	69	0,49	0,37	100	yes	negative	final
Study3	U-Net	resnet34	SGD	sigmoid	384	8	274	69	0,48	0,46	1000	yes	negative	final
Study4	U-Net	resnet50	SGD	sigmoid	320	8	274	69	0,46	0,35	1000	yes	negative	final
Study5	U-Net	resnet34	SGD	sigmoid	320	8	274	69	0,48	0,47	1000	yes	negative	final
Study6	U-Net	Vgg16	SDG	sigmoid	256	16	274	69	0,79	0,64	100	no	positive	final
Study6	U-Net	Vgg16	SDG	sigmoid	256	16	274	69	0,77	0,65	100	no	positive	best
Study7	U-Net	Vgg16	adam	sigmoid	256	16	274	69	0,76	0,59	100	no	positive	final
Study7	U-Net	Vgg16	adam	sigmoid	256	16	274	69	0,71	0,63	100	no	positive	best
Study8	U-Net	vgg19	adam	sigmoid	256	16	274	69	0,58	0,22	100	no	positive	final
Study8	U-Net	vgg19	adam	sigmoid	256	16	274	69	0,78	0,61	100	no	positive	best
Study9	U-Net	vgg19	SDG	sigmoid	256	16	274	69	0,78	0,63	100	no	positive	final
Study9	U-Net	vgg19	SDG	sigmoid	256	16	274	69	0,78	0,63	100	no	positive	best
Study10	U-Net	ef0	SDG	sigmoid	256	16	274	69	0,72	0,58	100	no	positive	final
Study10	U-Net	ef0	SDG	sigmoid	256	8	274	69	0,65	0,61	100	no	positive	best
Study11	U-Net	ef1	SDG	sigmoid	256	8	274	69	0,62	0,56	150	no	positive	final
Study12	U-Net	ef2	SDG	sigmoid	256	8	274	69	0,31	0,14	150	no	positive	final
Study13	LinkNet	vgg16	SDG	sigmoid	256	8	274	69	0,85	0,64	150	no	positive	final
Study14	LinkNet	vgg16	SDG	sigmoid	320	8	274	69	**0,94**	**0,69**	150	no	positive	final
Study14	LinkNet	vgg16	SDG	sigmoid	320	8	274	69	**0,92**	**0,69**	150	no	positive	best
Study15	LinkNet	seresnet18	SDG	sigmoid	320	8	274	69	0,87	0,55	150	no	positive	final
Study16	LinkNet	vgg19	SDG	sigmoid	288	10	274	69	0,85	0,64	150	no	positive	final

Table 1 shows the determination of the model with the highest success among the models with 16 different architectures by trying different "Bacbone" , "Optimizer", "Image Size", "Batch Size" and "Epoch" methods of the U-Net and LinkNet algorithms used in this study. 274 nodule data were used in the train section and 69 nodule data were used in the validation section. The 14th study with the highest success rate actually shows the success of this study.

According to the analysis, many researchers have proposed improved techniques and have achieved excellent results for lung nodule segmentation. When a comparison was carried out, the IoU Score of the model proposed by Tan et al. [17] was 65 %. Lassen et al. [18] proposed their technique and achieved an IoU score of 52%. Ronneberger et al. [14] presented their approach, achieving an IoU score of 62.8 %. Moreover, Wu et al. [19] and Aresta et al. [1] achieved IoU scores of 58 and 55, respectively. IoU (%) performance of nodule segmentation between different approaches is given in Table 2.

Table 2. IoU (%) Performance of nodule segmentation between different approaches

Sr. No.	Approach	Nodule Amount	IoU Score(%)	Year
1	Tan et al.	23	65	2013
2	Lassen et al.	19	52	2015
3	Ronneberger et al.	59	62.8	2015
4	Wu et al.	1404	58	2018
5	Aresta et al.	284	55	2019
6	*This Study*	**343**	**69**	----

The above comparison with existing approaches revealed that the proposed model performs well. The segmented lung images are followed by nodules marked by the radiologist and transformed into images (Figure 6). In the area at the end of the figure, a segmented nodule structure with an IoU score 69% is seen. Figure 6 shows that the shape and location data of the nodules marked by the radiologist match the predicted nodules.
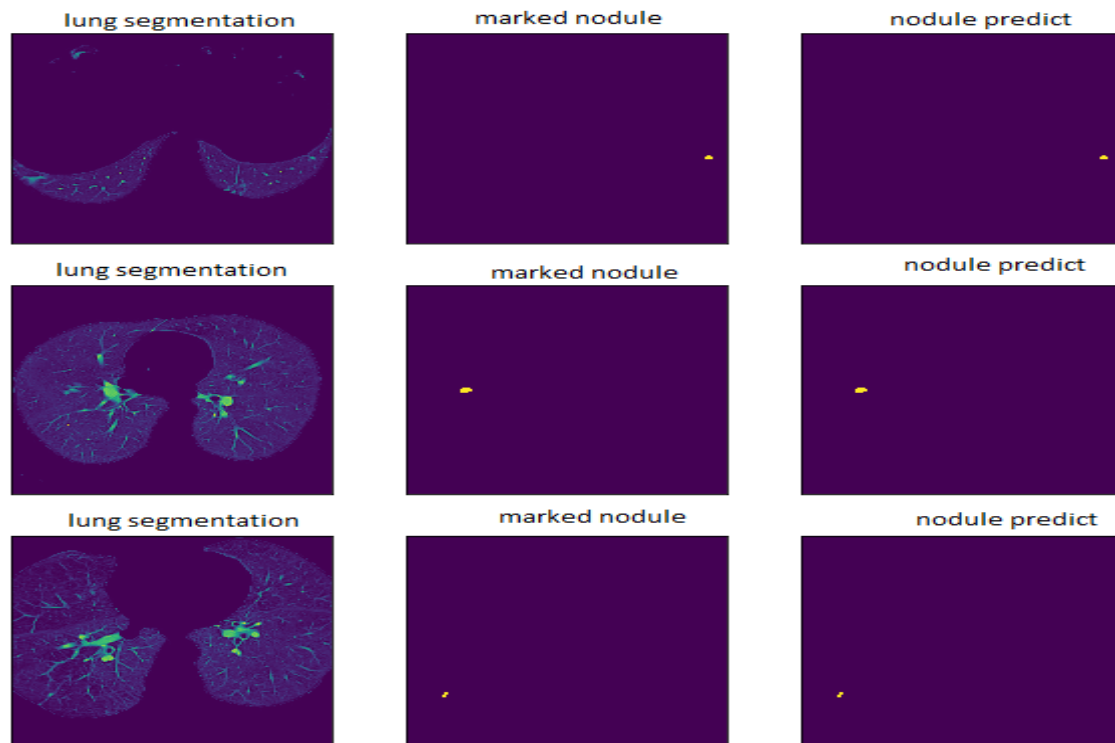
Fig. 6 *Structure of lung nodule detection*

IV. CONCLUSION

In this study, we propose an algorithm that will become a fully automatic system to detect the nodule in the future. Significant gains that will contribute to the literature have been achieved in the study, which is based on increasing the number of specialists who will make the diagnosis and the number of tomography images, and implementing a system that will detect the nodule that a specialist misses and the nodule that others miss and create all nodule masks. In the first stage, a specialist radiologist was used for marking, but with the nodule template database created in different sizes and locations, automatic recommendation was provided instead of the need for a specialist radiologist. Thus, the possibility of missing nodules of all sizes and shapes will be minimized. A total of 110 patients and 343 nodules were used for the study. CT images of 56 male and 54 female patients were used. Firstly, the HU values were determined as threshold values and the lung mask was created with the Otsu method. Afterward, the radiologist marked the nodules and turned them into nodules that were converted to digital location data and then to an image. Using the U-Net and LinkNet models, the intersections of the tomography images were previously determined and the nodules were segmented. This study aims to develop a computer-based diagnostic method with a minimum error rate in hospitals where radiologists work with a high workload. A software infrastructure was created to contribute to the healing process of patients by early diagnosis of nodules missed by the expert radiologist. In this study, as in other studies, a publicly available data set was not used, so that correct classification was achieved by using tomography images taken directly from the hospital and classified, not artificial. When the results of the study were compared with similar studies, it was found to be successful and effective in nodule detection.

Among the important achievements of this study are the study of images of patients in all age groups and the verification of nodules previously marked by a radiologist by a second radiologist. Additionally, examining all parts of the computed tomography image instead of a single part can be stated as an innovation in the literature. Choosing the most successful one among 16 different architectural works instead of a single model and architecture eliminates the limitations of the process and contributes to the diagnosis. The achievements of the study are that detecting nodules with different patterns will increase

the success rate. However, considering the limitations of this study, the time required for the radiologist to mark images for the tomography portion is long. Considering the operations performed, the features of the graphics card to be used for image processing must be very good. Image elimination processes also emerge as the most effective elements that must be followed to achieve good results accurately. According to all these, an important application and library contribution to the literature for the diagnosis of an important disease has been achieved with this study.

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Chromatographic Determination of Denatonium Benzoate in Colognes

ID Emine Kübra İNAL [a],*

[a] Department of Chemistry, Faculty of Science, Ankara University, Ankara, TURKEY
* Sorumlu yazarın e-posta adresi: inal@science.ankara.edu.tr
DOI: 10.29130/dubited.1409022

ABSTRACT

Denatonium benzoate, commercially known as Bitrex, is an ionic compound containing a quaternary ammonium cation (denatonium) and negatively charged benzoate. It is commonly used as a bittering agent in various alcohol-based products to deter ingestion. The national regulations regarding the production and domestic-foreign trade of ethyl alcohol and methanol states that ethyl alcohols for domestic use should contain 0.8 g denatonium benzoate per 100 L of absolute alcohol. This leads to the necessity of quantitative analysis of denatonium benzoate in alcoholic products. Cologne samples of different brands were analyzed using reversed-phase high performance liquid chromatography (RP-HPLC) coupled with UV/vis detector. Isocratic elution was performed on an ODS column with a mobile phase containing 75% MeOH:25% H_2O. Since the proposed method does not require any pre-treatment step, the procedure is simple and rapid. The limit of quantitation was found to be 0.17 mg/L. The linearity of the method was tested in the range 0.26 – 15.75 mg/L with a limit of detection of 0.050 mg/L (signal-to-noise ratio of 3).

Keywords: Denatonium benzoate, Bitrex, Denaturant, Alcohol-based hand sanitizers, Cologne, HPLC

Kolonyalarda Denatonyum Benzoatın Kromatografik Tespiti

ÖZ

Ticari olarak Bitrex adıyla bilinen denatonyum benzoat, bir kuaterner amonyum katyonu (denatonyum) ve negatif yüklü benzoat içeren iyonik bir bileşiktir. Genellikle çeşitli alkol bazlı ürünlerde kazara yutmayı önlemek amacıyla kullanılır. Etil alkol ve metanol üretimi ve iç-dış ticaretine ilişkin ulusal düzenlemeler, evsel kullanım için etil alkollerin 100 L mutlak alkol başına 0,8 g denatonyum benzoat içermesi gerektiğini belirtmektedir. Bu durum, alkollü ürünlerdeki denatonyum benzoatın nicel analizinin gerekliliğini ortaya koymaktadır. Farklı markalara ait kolonya numuneleri UV/vis dedektörü ile ters-faz yüksek performanslı sıvı kromatografisi (RP-HPLC) kullanılarak analiz edilmiştir. %75 MeOH:%25 H_2O içeren mobil faz ile ODS kolonda izokratik elüsyon gerçekleştirilmiştir. Önerilen yöntem herhangi bir ön işlem adımı gerektirmediğinden, işlem basit ve hızlıdır. Alt tayin sınırı 0,17 mg/L olarak bulunmuştur. Yöntemin doğrusallığı 0,26 – 15,75 mg/L aralığında test edilmiş ve gözlenebilme sınırı 0,050 mg/L olarak bulunmuştur (sinyal-gürültü oranı 3).

Anahtar Kelimeler: Denatonyum benzoat, Bitrex, Denatüran, Alkol bazlı el dezenfektanı, Kolonya, HPLC

I. INTRODUCTION

Ethanol is an organic solvent widely used for scientific research and industrial purposes. It is also used in the production of adhesives, inks, chemicals, plastics, paints, thinners, nail polish remover, cleaning agents and personal care products [1].

Alcohol can be rendered unfit for human consumption by adding a chemical marker that has a very bad taste and/or odor. The process of rendering alcohol unfit for human consumption is called (complete or partial) denaturation [2].

Since alcohol is used in many different industries, from personal care to household cleaning, it is key that the intrinsic properties of alcohol are not altered by the addition of additives; therefore, additives should be selected so that they do not affect the chemical composition [3]. Methanol, benzene, pyridine, castor oil, gasoline, isopropanol, acetone, tertiary butanol, denatonium benzoate are used as additives (i.e. denaturants) in denaturation [4]. Denatonium benzoate (DB) is added to alcohol to make it taste bitter. It can also be found in different types of products:

i. Household Cleaning Products such as dishwashing liquids, and window cleaners. Its bitter taste helps prevent accidental ingestion, especially by children and pets.
ii. Automotive Products such as automotive fluids, such as antifreeze, windshield washer fluid, and radiator coolant. These products often contain denatonium benzoate to discourage ingestion due to their potentially toxic nature.
iii. Garden and Pest Control Products such as herbicides, insecticides, and rodenticides, may contain denatonium benzoate. It serves as a deterrent to prevent accidental ingestion or unauthorized use.
iv. Personal Care Products such as nail polish removers, nail-biting deterrents, face mist, and colognes. It is also added to discourage thumb-sucking habits.
v. Paints and Solvents such as inks, varnishes, and solvents. They may incorporate denatonium benzoate to prevent accidental ingestion.
It is important to note that the presence of denatonium benzoate in a product may vary depending on the brand, formulation, and country-specific regulations.

In studies conducted as a result of the use of products containing DB, the effect on the human body has also been examined. It is reported that toxicity data were found to be low [5]. DB has also been reported to affect gastrointestinal functions. In humans, intragastric administration of DB has been reported to impair relaxation of the proximal stomach after infusion of a liquid food and increase satiety during oral food tolerance testing. In studies in men and women, they were given DB before a meal and asked to rinse their mouths with tap water. DB was found to increase satiety compared to normal. In addition, based on the information that women perceive bitter linguistic stimuli more intensely than men, it was observed that women stayed full longer than men [6]. Asthma and respiratory diseases occurred due to high exposure to products such as cologne and disinfectants used during the COVID-19 (the coronavirus disease in 2019) [7].

COVID-19 has become a pandemic, leading to a massive increase in the use of alcohol-based hand sanitizers worldwide. Governments and public health agencies around the world have advocated for the importance of hand hygiene as one of the preventive measures against the COVID-19 pandemic. The ethanol used to produce sanitizers is of industrial quality and is usually denatured to prevent human consumption.

According to the regulations and principles regarding the production and domestic-foreign trade of ethanol and methanol published in the Legal Gazette dated 30/10/2011 and numbered 28100, denaturation of ethanol is carried out by adding 0.8 grams of denatonium benzoate to 100 liters of absolute alcohol [8]. Both companies adding denaturant agents to the products and government agencies monitoring regulatory compliance need an easy analytical technique for the reliable and rapid analysis of products containing denatured alcohol [9].

DB can be analyzed by capillary electrophoresis, liquid chromatography, colorimetry, ion selective potentiometry, UV-Vis spectrophotometry and Raman spectroscopy. Older analysis methods such as colorimetry and thin layer chromatography are time-consuming techniques with low sensitivity and precision. Fast, sensitive, selective and accurate methods are needed to determine whether denaturants have been added at the values allowed by regulations. High performance liquid chromatography (HPLC) has been validated as a qualified method for this purpose [10].

The reasons for denaturing alcohol include protecting the health of individuals, and denaturation is particularly important to prevent people in treatment for alcoholism from secretly drinking alcohol-based industrial products. In this study, the denatonium benzoate content of colognes sold in markets were examined and evaluated their compliance with the legislation. The proposed chromatographic method with a lower limit of detection has been confirmed to be qualified for the analysis of denatonium benzoate as HPLC methods offer significant utility by delivering the necessary separation to attain optimal sensitivity for detecting analytes present at low concentrations.

II. MATERIALS and METHODS

A. REAGENTS and SOLUTIONS
HPLC-grade methanol was purchased from Merck (Darmstadt, Germany). Denatonium benzoate (99.5%) (Figure 1) was obtained from The Lakshmiji Organics (Sitapur, India). Samples of five different brands of cologne were purchased from local markets in Turkey.

Stock solution of denatonium benzoate (0.0105 g/100 mL) was prepared using methanol. Working solutions were prepared by diluting the stock solution with the mobile phase at ratios of 1:400, 1:200, 1:130, 1:100, 1:40, 1:20, 1:13, 1:10, 1:8, 1:6.5. An aliquot of 20 µL of each diluted solution was injected to HPLC in three times. Methanol and double distillled water were filtered through a 0.45 µm nylon membrane filter (Supelco, USA). Samples were diluted 1:2 with the mobile phase.
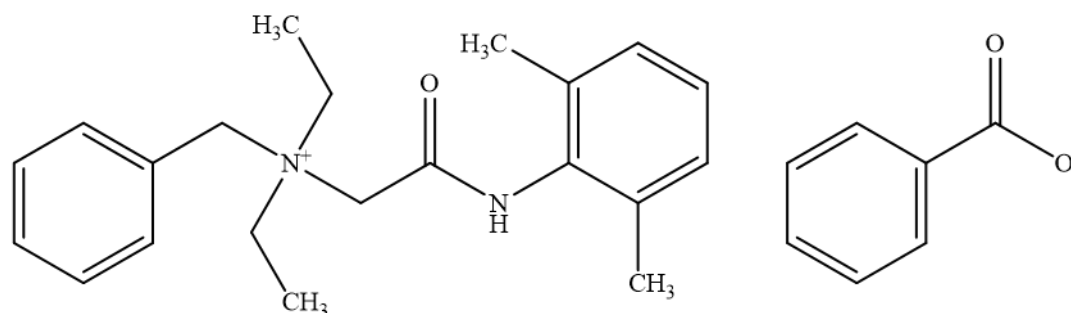
Figure 1. The structural formula of denatonium benzoate = Bitrex

B. INSTRUMENTATION
The high-performance liquid chromatography (HPLC) instrument consisted of Shimadzu Prominence LC-20AT pump (Shimadzu, Japan) with DGU-20A5 degasser, CTO-20A column oven, 7725i Rheodyne manual injector and SPD-20A UV/vis detector with data processor LC Solution was used. Double-distilled water was supplied from the mpMINIpure dest model device.

C. HPLC CONDITIONS
The mobile phase consisted of methanol/water (75:25) and was filtered through a 0.45 µm membrane filter and degassed for 10 min. Inertsil ODS-3 (150 × 4.6 mm, 5 µm) (GL Sciences Inc., Japan) column was used for the chromatographic separation. Isocratic elution was performed at a flow rate of 1.0 mL/min. Before injection, all solutions were filtered through a 0.45 µm membrane filter. The column temperature was set to 35 °C, and denatonium benzoate was monitored at 210 nm.

D. VALIDATION

Once the experimental conditions were optimized, the method was validated with respect to the following parameters: linearity, limit of detection (LOD and limit of quantitation (LOQ). The linearity of the method was tested by preparing a calibration curve. The calibration curve was prepared in the range of 0.2 – 15 mg/L standard DB solutions. LOD and LOQ are calculated according to equations 1-2.

$$LOD = 3 \times \frac{s}{m} \tag{1}$$

$$LOQ = 10 \times \frac{s}{m} \tag{2}$$

where, s is the standard deviation of 10 different peak areas recorded for the lowest standard DB solution and m is the slope of calibration curve. The applicability of the method was evaluated by recovery test through the analysis of samples after the addition of known amounts of standard DB solution.

III. RESULTS and DISCUSSION

At the beginning of the work, the experimental conditions applied in the literature (Table 1) were tested and it was concluded that the two important parameters affecting the separation were organic solvent content and pH. Methanol and acetonitrile were tested as a mobile phase. The effect of phosphate buffered saline (PBS) was also evaluated. The plots of retention time, relative standard deviation (RSD) of retention time, peak area, relative standard deviation (RSD) of peak area, resolution, retention factor and number of plates versus different compositions of mobile phase are presented in Figure 2. In general, the retention time increases as the organic solvent content decreases. Decreasing the amount of organic solvent in reversed-phase HPLC increases the polarity of the mobile phase, weakens hydrophobic interactions with the stationary phase, and can lead to increased retention times for denatonium benzoate molecules. Both methanol and acetonitrile can be suitable solvents for chromatographic analysis of denatonium benzoate, the choice between methanol and acetonitrile as a solvent, particularly for compounds like denatonium benzoate, depends on several factors including the nature of the compound. The solubility of DB in the chosen solvent is crucial for achieving good peak shape and resolution. DB is generally considered to be more soluble in methanol compared to acetonitrile. When the effects of acetonitrile and methanol were examined, it was observed that the retention time has lower values in the case of using methanol as an organic solvent. It was decided to use methanol providing short elution time and cost. In reversed-phase chromatography, a buffer is often used as part of the mobile phase to maintain pH stability and provide suitable ionic strength. However DB may be ionizable, and the presence of a buffer can affect its ionization state. Buffer components can compete with DB for ionization, leading to changes in retention times and peak shapes. This can result in peak broadening or splitting, which can degrade the chromatogram quality. As can be seen in Figure 2, the high RSD for retention time and peak area with PBS buffer is the result of the inability to obtain reproducible chromatograms, therefore no buffer was used. In conclusion, methanol/water ratio of 75:25 (v/v) was selected without any buffer for further separations because it provided the shortest separation time with acceptable resolution. The chromatogram obtained under optimized experimental conditions for stock DB solution (105 mg/L) is shown in Figure 3. The retention time of DB was recorded as 1.50 min. Retention factor, number of plates and resolution were taken from LC Solution data processor and calculated according to equations 3-6.

$$k = \frac{t_R - t_M}{t_M} \tag{3}$$

$$\alpha = \frac{k_1}{k_2} \tag{4}$$

$$N = 16 \left(\frac{t_R}{W}\right)^2 \tag{5}$$

$$R_S = \frac{\sqrt{N}}{4}\left(\frac{\alpha-1}{\alpha}\right)\left(\frac{k_1}{1+k_1}\right) \tag{6}$$

where, t_R is retention time, t_M is dead time, k is retention factor that is used to define the migration rate of an analyte through a column, , α is selectivity factor that is defined as the ratio of retention factor of more retained component (1) to retention factor of less retained component (2), N is number of plates, W is the width of the peak and R_s is the resolution and defined as a quantitative measure of column ability to separate components.

	1	2	3	4	5	6	7	8	9
Retention Time (min)	2,26	2,00	2,73	2,76	2,48	2,68	3,80	1,39	1,50
RSD Retention Time (%)	2,19	0,81	2,02	0,79	0,11	0,29	14,06	1,21	0,28
Peak Area (A.U.)	5,20	10,48	5,52	9,33	9,91	9,94	10,79	7,13	7,46
RSD Peak Area (%)	11,27	3,46	4,13	6,48	8,93	1,34	18,18	5,00	1,23
Resolution	2,05	1,32	0,21	1,54	1,04	0,76	1,13	3,17	1,56
Retention factor	1,64	7,94	1,16	1,57	10,14	8,27	7,01	4,5	8,01
Number of plates (× 100)	4,97	2,90	0,54	7,73	7,39	5,63	5,94	3,73	5,44
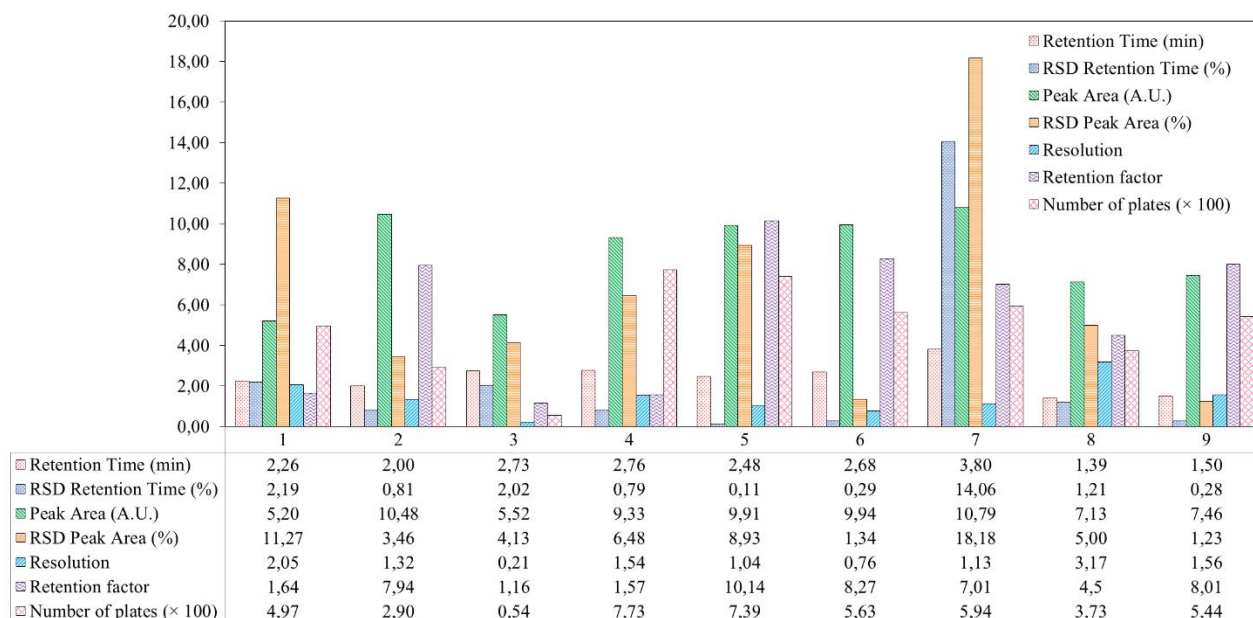
Figure 2. The change in the retention time, relative standard deviation of retention time (%), peak area (A.U.), relative standard deviation of peak area (%), resolution, retention factor and number of plates ($\times 10^2$) versus different compositions of mobile phase (1: 85:15 MeCN/H_2O; 2: 75:25 MeCN/H_2O; 3: 60:40 MeCN/H_2O; 4: 50:50 MeCN/H_2O; 5: 85:15 MeCN/PBS buffer; 6: 75:25 MeCN/PBS buffer; 7: 60:40 MeCN/PBS buffer; 8: 85:15 MeOH/H_2O; 9: 75:25 MeOH/H_2O; N=3)
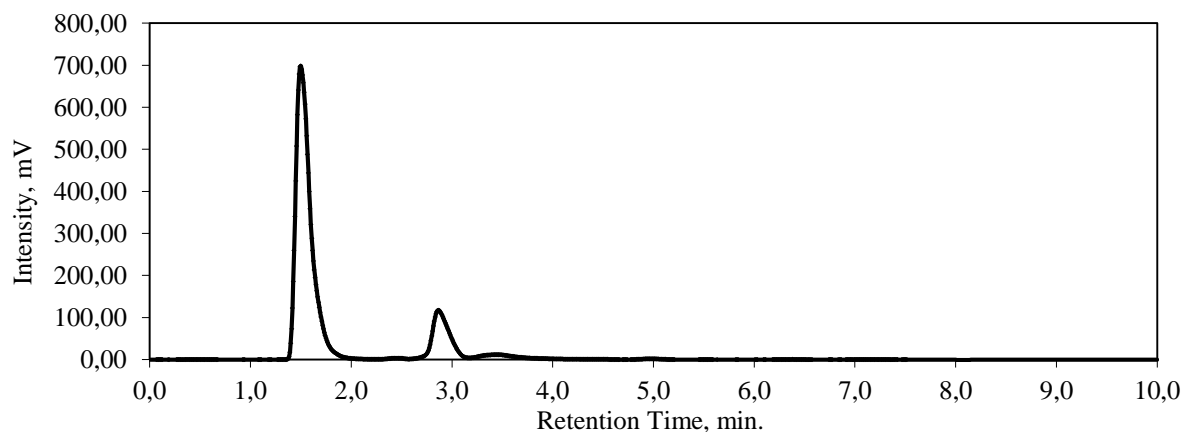
Figure 3. The chromatogram of stock solution (105 mg/L) of denatonium benzoate (Mobile phase: MeOH/H_2O 75:25; Wavelength: 210 nm; Flow rate: 1.0 mL/min.; Temperature: 35 °C)

After the optimum conditions were determined, calibration curves were established for the quantitative determination of denatonium benzoate. The linearity of the method was tested by preparing a calibration curve ranging from 0.26 to 15.75 mg/L standard DB solutions with a correlation coefficient of 0.9979

(Figure S1). According to the equations 1-2, LOD and LOQ were found to be 0.050, 0.17 mg/L, respectively. RSD of the peak areas was calculated as 1.25%.

Table 1. *Summary of some studies in the literature and the proposed method*

Technique	GC-FID	LC-APCI-MS	HPLC-UV	HPLC-UV	LC-MS	UPLC	HPLC-UV
Analyte	Isopropanol, ethanol, methyl ethyl ketone	Denatonium benzoate	Denatonium benzoate	Denatonium benzoate	Denatonium benzoate	Denatonium benzoate	Denatonium benzoate
Matrix	Denaturated ethanol	Alcoholic beverages	Cleaning products	Ethanol	Liquid detergents	FFP1 and FFP2 masks	Colognes
Column	AT-1 column (30 m × 0.53 mm)	Purospher RP-18e (125 mm × 3 mm × 5 μm); Syringe filter (13 mm/0,2 μm)	Separon TM SGX CN (150 mm × 3 mm × 10 μm)	Chromolith Performance RP-18e (100 mm × 46 mm)	TXB-C10 column (50 mm × 2.1 mm × 3.6 μm)	BEH C18 (50 mm × 2 mm × 1.7 μm)	Inertsil ODS-3 (150 × 4.6 mm, 5 μm)
Experimental Conditions	Equilibration temperature: 170 °C; Equilibration time:35 min; Needle temperature: 180 °C; Transfer line temperature: 190 °C; Pressure time: 1.0 min; Injection time: 0.04 min; Injection temperature: 200 °C; Carrier gas pressure: 130 kPa; Split ratio: 1:5; Injection volume: 10 μL	Gradient elution with solvent A (acetonitrile) and solvent B (25 mM ammonium formic buffer, pH 4.5); flow rate: 0.4 mL/min; Evaporation temperature: 480 °C; Gas flow rate: 65 L/min; Current: 4.5 μA; Capillary temperature: 220 °C; Capillary voltage: 3 V	Mobile phase: 55% CH_3OH and 45% 0.05 mol/L Na_2HPO_4 pH 6.5; Flow rate: 0.5 mL/min; Wavelength: 214 nm	Gradient elution with solvent A (aqueous solution containing 0.1 mol/L H_3PO_4) ve solvent B (acetonitrile)	Mobile phase: Water containing 0.1% formic acid (A) and acetonitrile containing 0.1% formic acid (B); Injection volume: 5 μL; Flow rate: 0.1 mL/min; Mass range: 50-1600 m/z; Nitrogen gas flow rate: 4.0 L/min; Temperature: 200 °C; Potential: 4.2 kV	Temperature: 50°C; Injection volume: 2.0 μL; Gradient elution with solvent A (water + 0.2% formic acid) and solvent B (acetonitrile + 0.2% formic acid); Flow rate: 0.6 mL/min, Capillary voltage: 2.5 kV; Source temperature: 150 °C; Desolvation temperature: 600 °C; Desolvation gas flow rate: 600 L/h (nitrogen)	Mobile phase: 75% CH_3OH and 25% water; Flow rate: 1.0 mL/min; Wavelength: 210 nm
Reference	[11]	[12]	[13]	[14]	[15]	[16]	Proposed method

To determine the amount of denatonium benzoate, cologne samples were spiked with DB at three different concentrations (2.625, 4.200, 5.250 mg/L) and calibration graphs were generated according to the standard addition method (Figure S2). As given in Table 2, DB amount in the samples ranged from 3.39 mg/L to 7.39 mg/L. The results obtained are summarized in Table 2. As can be seen in the Table 2, the concentrations found were in good agreement with the added concentration (2.100 mg/L) of DB, with recoveries between 98.7 and 104.3 %. These results show that the interferences due to other matrix components are negligible and the proposed method is suitable to achieve sufficient accuracy.

Table 2. The results of denatonium benzoate in 5 different brands of cologne obtained by standard addition method and their % average recovery (N=3)

Sample	Amount of DB (standard addition) (mg/L)	Calculated DB after spike (mg/L)	Measured DB after spike (mg/L)	Recovery (%)
1	7.30 ± 0.14	9.40	9.35	99.46 ± 2.30
2	6.47 ± 0.05	8.57	8.71	101.58 ± 2.51
3	7.39 ± 0.31	9.49	9.40	98.96 ± 0.23
4	3.39 ± 0.08	5.49	5.41	98.68 ± 1.60
5	7.29 ± 0.17	9.39	9.80	104.31 ± 1.00

IV. CONCLUSION

The fact that alcohol is used in many different areas from personal care to household cleaning makes it necessary to analyze the agents used in the denaturation process accurately and quickly. According to the current regulations in our country, ethyl alcohol to be used in cologne production should contain 0.8 g denatonium benzoate per 100 L.

In this study, a reversed-phase HPLC method was developed for determination of denatonium benzoate in colognes and was used to analyze commercially-available consumer products. Optimum HPLC conditions were set methanol/water of 75:25 (v/v) as mobile phase after testing different solvent compositions and ODS column as stationary phase, providing short analysis time with acceptable resolution. The limit of quantitation was found to be 0.17 mg/L which is about fifty times lower than the amount of denatonium benzoate that denaturated alcohol should contain according to the national regulations. The limit of detection of the proposed method was found to be 0.050 mg/L and is comparable to the studies in Table 1 with values of 0.007 mg/L, 0.025 mg/L, 0.45 mg/L, 0.10 mg/L and 0.015 mg/L. With the procedure, the sample preparation was straightforward without significant interference.

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Development of Multifunctional Tablet Formulation for Use In Swimming Pools

Yüsra AYVAZ [a,b], Haydar GÖKSU [a*], Ahmet Türkmen [b], Elif Aydınlı [a]

[a] Duzce University, Kaynasli Vocational School, Department of Materials and Material Processing Technologies, Duzce, Türkiye
[b] Label Chemistry&Purification Systems, Duzce, Türkiye
* *Corresponding author's e-mail address: haydargoksu@duzce.edu.tr*
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ABSTRACT

The pool waters pose certain risks to public health. Therefore, it is crucial for swimming pool water to meet the desired standards in terms of physical, chemical, and biological parameters, and to be regularly monitored to ensure the provision of healthy and safe swimming conditions. In our country, swimming pool water standards are determined in accordance with regulations set forth by the Ministry of Health. To maintain these standards, various pool chemicals are required, including pool water disinfectants, pH reducers, precipitators, brighteners, and algae inhibitors. The objective of our study is to develop a multifunctional tablet formulation, a technological innovation that combines the properties of these chemicals into a single product. To achieve this goal, we conducted physical and bactericidal tests on new formulations containing disinfectants such as calcium hypochlorite, trichloroisocyanuric acid, and sodium dichloroisocyanurate. The multifunctional tablet formulations developed provide an effective solution to meet and exceed the required standards for swimming pool water quality.

Keywords: Disinfection, Formulation, Multifunctional Tablet, Swimming Pool

Yüzme Havuzlarında Kullanıma Yönelik Çok Fonksiyonlu Tablet Formülasyonunun Geliştirilmesi

Öz

Havuz suları halk sağlığı açısından belirli riskler taşımaktadır. Bu nedenle yüzme havuzu suyunun fiziksel, kimyasal ve biyolojik parametreler açısından istenilen standartları karşılaması ve sağlıklı ve güvenli yüzme koşullarının sağlanması için düzenli olarak izlenmesi büyük önem taşımaktadır. Ülkemizde yüzme havuzu suyu standartları Sağlık Bakanlığı tarafından belirlenen yönetmeliklere göre belirlenmektedir. Bu standartları korumak için havuz suyu dezenfektanları, pH düşürücüler, çöktürücüler, parlatıcılar ve yosun inhibitörleri gibi çeşitli havuz kimyasallarına ihtiyaç duyulmaktadır. Çalışmamızın amacı, bu kimyasalların özelliklerini tek bir üründe birleştiren teknolojik bir yenilik olan multifonksiyonel bir tablet formülasyonu geliştirmektir. Bu hedefe ulaşmak için kalsiyum hipoklorit, trikloroizosiyanürik asit ve sodyum dikloroizosiyanürat gibi dezenfektanlar içeren yeni formülasyonlar üzerinde fiziksel ve bakterisidal testler yapılmıştır. Geliştirilen çok işlevli tablet formülasyonları, yüzme havuzu suyu kalitesi için gereken standartları karşılamak ve aşmak için etkili bir çözüm sunmaktadır.

Anahtar Kelimeler: Dezenfeksiyon, Formülasyon, Çok İşlevli Tablet, Yüzme Havuzu

I. INTRODUCTION

Swimming pools are environments where many people come into direct contact with water [1]. This condition contributes to the emergence and spread of certain infectious diseases facilitated by water contact. Maintaining a healthy and safe environment in swimming pools has become increasingly important with the rise in the number of users [2]. The Ministry of Health has established standards on various issues such as hygiene and disinfection methods by publishing regulations in the official gazette, outlining the principles to which swimming pools must adhere [3]. Various pool chemicals are used to maintain these standards at the determined level. These include liquid chlorine for pool disinfection, anti-algae agents, clarifiers to improve water clarity, precipitators to settle suspended and contaminating particles, and pH regulators to adjust the pool's pH value. The variety of chemicals reflects the potential for conducting various studies to optimize pool water management. However, there is a gap in the literature in this area, with most studies focusing on by-products that are predominantly formed in swimming pools [4].

Chlorine is widely used to prevent contamination in pool waters [5]–[9]. This disinfection method provides a rapid and long-lasting bacteriological effect with the least possible potential for the formation of by-products in swimming pools [10].

Chlorine added to pool waters reacts primarily with water and turns into hydrochloric acid (HCl) and hypochlorous acid (HOCl) (Eqn.1) [11].

$$Cl_2 + H_2O \longrightarrow HCl + HOCl \tag{1}$$

It is hypochlorous acid that reacts with the pollutants in the pool and kills them. This acid is called free chlorine [9]. Free chlorine has the ability to neutralize microorganisms such as bacteria, viruses, algae, and react with organic matter [12]. With this feature, it ensures that the water is hygienic and safe. Before the chlorination process, the pH of the pool should be brought to the range of 7.2-7.8, which are the established standards. Otherwise, chlorine delivered at a high pH cannot be converted into hypochlorous acid sufficiently for the oxidation and disinfection of organic substances. Chlorine, which is given to water in this reaction, is very dangerous in gaseous form [11].

Table 1. pH and free chlorine ratios of chlorine products.

Type of Chlorine	Free Chlorine Ratio, %	pH	The free chlorine rate when 1 kg is added to 100 Tons of water (mg/L, ppm)*
Sodium Hypochlorite (Liquid Chlorine)	10	14	1
Lithium Hypochlorite	35	11	3
Calcium Hypochlorite	65	12	7
Dichloroisocyanuric acid ($C_3Cl_2N_3NaO_3$)	56	6.5-7.5	6-9
Trichloroisocyanuric acid ($C_3Cl_3N_3O_3$) (TClCA)	90	6.5-7.5	6-9

*After 1 kg of product, free chlorine should be measured at least 4 hours later.

Chlorine in gas form (Cl_2) reacts with water 100%, sodium hypochlorite in liquid form (NaClO) reacts with water 10%, lithium hypochlorite in powder form (LiClO) 35%, calcium hypochlorite ($Ca(ClO)_2$) 65%, stabilized sodium dichloroisocyanuric acid ($C_3Cl_2N_3NaO_3$) 56%, stabilized trichloroisocyanuric acid ($C_3Cl_3N_3O_3$) provides 90% free chlorine (Table 1) [13]. The content of stabilized chlorins contains cyanuric acid, also known as a stabilizer. For this reason, free chlorine has anti-breakdown effects by sunlight [7]. It is used only in outdoor pools. According to the regulation published by the Ministry of

Health on the supervision of swimming pools, the amount of free chlorine should be in the range of 1-1.5 mg/L in indoor pools and 1-3 mg/L in outdoor pools (Table 2).

The preference for gas chlorine has decreased over the years due to the difficulties in application and toxic properties, while liquid chlorine has low chlorine content, transportation, and application problems. In recent years, chlorine products in powder or granular form have come to the fore. Solid chlorine products have many advantages such as ease of transportation, shelf life, stability, and easy application.

Table 2. The chemical properties of chlorinated compounds (Attachment 1).

Parameter	Analysis Range	Unit	Limit Values	
			Minimum	Most
Cyanuric acid[1]	Once a month	mg/L	-	100
Biguanid [2]			2	30
Hidrojen Peroksid [2]			40	80
pH [2]			6.5	7.8
Ammonium[2]				0.5
Nitrite				0.5
Nitrate				50
Copper				1
Aluminium				0.2
Total alkalinity [2] ($CaCO_3$)			30	180
Chlorine bound [3]				0.2
Indoor swimming pool water free chlorine [3]			1	1.5
Outdoor swimming pool water free chlorine [3]			1	3
Free chlorine [4]			0.3	0.6

(1) It is monitored in pools where chlorine compounds with stabilizers are used for water disinfection.
(2) If "hydrogen peroxide + biguanide" is used for water disinfection, hydrogen peroxide should be in the range of 40-80 ppm. In this case, a pH of 8.2, ammonium at 1.5 ppm, and total alkalinity up to a level of 220 ppm are considered appropriate. In these pools, free chlorine measurement is not conducted; instead, hydrogen peroxide and biguanide levels are measured.
(3) It is monitored in pools where chlorine and chlorinated compounds are used for water disinfection.
(4) It is the level to be monitored in pools where ozone, UV, chlorine dioxide, and other disinfection systems are used for water disinfection.

In Turkey, liquid chlorine is produced in liquid form and serves as a precipitant, algaecide, pH regulator, brightener, and disinfectant. However, chemicals in solid form that provide these properties are not produced. In the literature, sodium hypochlorite is commonly used for disinfection, polyaluminum chloride for precipitation, didecyldimethylammonium chloride as an algaecide, and polydadmac as a brightener. The primary market for pool chemicals in powder and tablet form is China.

The chemical, physical, and microbiological properties of pool water are indicators of water quality. Water temperature, turbidity, color, and odor are important factors (Table 3). Chemical properties include both organic and inorganic parameters as regulated (Table 2).

Table 3. *The physical properties of chlorinated compounds (Attachment 2).*

Parameter	Analysis Range	Desired Value		
Color	Once a month	10 units in Pt/Co		
Blur	Once a month	5 units in SiO_2 or Jackson units or 0.5 units in NTU or FNU		
Temperature [1]	Once a month		**Minimum**	**Most**
		Indoor pool	26 ºC	28 ºC
		Outdoor pool	26 ºC	38 ºC

(1) Temperature measurement is carried out at the pool area.

Microbiological quality assessment in pool water is based on indicators such as total colony count, total coliform bacteria count, presence of *P. aeruginosa, L. pneumophila, E. coli,* and *E. faecium* from *Enterococci*, as well as *S. aureus* from the Staphylococci family [14]. These bacteria are typically of human origin and can cause various diseases [13]. The total number of colonies is determined by counting the colonies formed at 36°C and 22°C. This helps to assess the pollution status of the water and whether the applied disinfectant dose is sufficient for pollution control. According to regulations, the total number of aerobic heterotrophic bacteria in pools should be ≤ 200 kob/mL (Table 4). The number of these bacteria may increase when there are a large number of swimmers in the pool or when there are deviations in water parameters such as chlorine, temperature, pH, alkalinity, conductivity, and total dissolved solids [11].

The coliform group consists of bacteria from the Enterobacteriaceae family. The total number of coliform bacteria is a reliable indicator of water quality. Coliform bacteria can be found in the human and animal intestines, as well as in the environment, and can indicate potential fecal contamination. This group of bacteria includes species from the genera *Escherichia, Citrobacter, Enterobacter, Klebsiella,* and *Serratia* [15].

The majority of *Enterococci* are of fecal origin, and their presence in water has long been central to water microbiology as an indicator of fecal contamination [16]-[19]. Among *Enterococci, E. coli* can cause clinical infections such as urinary tract infections and meningitis, and some studies have shown a direct correlation between gastrointestinal diseases and *E. coli* [20]. *E. coli* is an organism known to be very sensitive to free chlorine [21].

Table 4. *The microbiological properties of chlorinated compounds (Attachment 3).*

Parameter	Recommended Method[1]	Analysis Range[2]	Limit Values
Total number of colonies (germs)	TS EN ISO 6222	Once a month	200 CFU[3] /mL
Total coliform bacteria	TS EN ISO 9308-1		0/100 mL
Escherichia coli	TS EN ISO 9308-1		0/100 mL
Pseudomonas aeruginosa	TS EN ISO 16266		0/100 mL

[1] Laboratories may use another method other than the recommended method, provided that they show references.
[2] The analysis range should be twice a month during periods of intensive swimming pool use.
[3] CFU Colony Forming Unit.

It has also been observed that swimming-related illnesses are caused by waterborne pathogens such as *E. faecium* and *E. faecalis* [19]. *L. pneumophila* is the most pathogenic species among Legionella species and can cause upper respiratory tract infections that may result in death. As the temperature rises above 25°C and organic substances reduce the effectiveness of disinfection, Legionella bacteria have a higher

chance of survival in pool water and can easily enter the body through the respiratory tract during swimming [11]. A free chlorine level of 1.5-2.0 mg/L is sufficient to control this organism [13].

P. aeruginosa is the most resistant thermophilic bacterium among these bacteria and is more resistant to disinfectants. It causes various diseases, including urinary tract infections, pneumonia, otitis media, and gastrointestinal infections [4], [22]–[24]. According to a study of waterborne diseases conducted in the United States between 1999 and 2008, *P. aeruginosa* has been identified as the second most common pathogenic microorganism [22].

Another group of bacteria commonly found in swimming pools is Staphylococci. These bacteria are from the skin, oral cavity, and nasal passages of swimmers. The *S. aureus* bacterium can cause serious skin infections as well as respiratory tract infections. Relatively low levels of free chlorine (<1.0 mg/L) are sufficient to neutralize this group of bacteria [13].

In our study, the aim is to develop a multifunctional swimming pool water chemical in tablet form by combining disinfectants, flocculants, clarifiers, and pH balancers used separately in swimming pools into a single formula.

II. MATERIALS AND METHODS

Materials

The tablets have been pressed on a Prism Pharma Machinery branded PTCMD4-16 model machine.

Eleven types of chemicals were used for the developed tablet formulation. Palm oil, sodium dichloroisocyanurate ($C_3Cl_2N_3NaO_3$), trichloroisocyanuric acid (99%) ($C_3Cl_3N_3O_3$), sodium chloride (NaCl), sodium carbonate (Na_2CO_3), microcrystalline cellulose (MCC), alginic acid, calcium hypochlorite ($Ca(ClO)_2$), technical grade magnesium stereat ($Mg(C_{18}H_{35}O_2)_2$), sodium aluminate ($NaAlO_2$), sodium carboxymethyl cellulose (CMC) were obtained and used without purification.

In the subsequent experiments, a Tess brand digital balance was used to add raw materials in the quantities we determined, and an Emir brand grinding machine was used to mix and homogenize these raw materials.

Various preliminary analyses were carried out to determine the efficacy of the formulations obtained. Wtw pH meter, conductivity meter, temperature meter and Merck portable free chlorine meter were used in these analyses. The pH meter helped us determine the pH level that the formulation should have by measuring the acidic or basic properties of the solution. The conductivity meter evaluated the distribution of the components of the formulation in solution by measuring the electrical conductivity of the solution. The temperature meter allowed us to perform the experiments at a consistent temperature.

Finally, the amount of free chlorine in the formulation was determined using a portable free chlorine meter. These measurements helped us to verify the efficacy and assess the quality of the formulation.

Methods

Creation of Formulations

The formulations developed in our study are based on carefully defined criteria aimed at improving pool water quality and meeting hygiene standards. Among these criteria, the selection of chemicals that do not react with each other and the solid form of the chemical are prioritized, as well as the free chlorine content. Other disinfection materials mentioned in the literature were not utilized due to their low free chlorine content and the fact that most of them are in liquid form. Consequently, 9 formulations were developed in this direction.

1. **Formulation:** 80-85% $Ca(ClO)_2$, 7-10% $NaAlO_2$, 3-5% Na_2CO_3, 7-10% NaCl were taken and homogeneous powder form was obtained in a grinder at 1500 rpm.
2. **Formulation:** $Ca(ClO)_2$ in the range of 80-85%, $NaAlO_2$ in the range of 7-10%, Na_2CO_3 in the range of 2-4%, NaCl in the range of 6-8%, palm oil in the range of 1-3%, $Mg(C_{18}H_{35}O_2)_2$ in the range of 1-3% was taken and a homogeneous powder formula was obtained in the grinder at 1500 rpm.
3. **Formulation:** $Ca(ClO)_2$ in the range of 80-85%, $NaAlO_2$ in the range of 7-10%, Na_2CO_3 in the range of 1-3%, NaCl in the range of 2-4%, palm oil in the range of 1-3%, $Mg(C_{18}H_{35}O_2)_2$ in the

range of 1-3%, CMC in the range of 3-6% was taken and a homogeneous powder form was obtained in the grinder at 1500 rpm.

4. **Formulation:** $Ca(ClO)_2$ in the range of 80-85%, $NaAlO_2$ in the range of 7-10%, Na_2CO_3 in the range of 1-3%, NaCl in the range of 2-4%, palm oil in the range of 1-3%, $Mg(C_{18}H_{35}O_2)_2$ in the range of 1-3%, MCC in the range of 3-6% was taken and a homogeneous powder form was obtained in the grinder at 1500 rpm.

5. **Formulation:** $Ca(ClO)_2$ in the range of 80-85%, $NaAlO_2$ in the range of 7-10%, Na_2CO_3 in the range of 2-4%, NaCl in the range of 4-6%, palm oil in the range of 1-3%, $Mg(C_{18}H_{35}O_2)_2$ in the range of 1-3%, alginic acid in the range of 2-5% was taken and a homogeneous powder form was obtained in the grinder at 1500 rpm.

6. **Formulation:** $Ca(ClO)_2$ in the range of 80-85%, $NaAlO_2$ in the range of 7-10%, Na_2CO_3 in the range of 3-5%, NaCl in the range of 6-8%, palm oil in the range of 1-3% were taken and formed into homogeneous powder in the grinder at 1500 rpm. Was obtained.

7. **Formulation:** $Ca(ClO)_2$ in the range of 80-85%, $NaAlO_2$ in the range of 7-10%, Na_2CO_3 in the range of 3-5%, NaCl in the range of 6-8%, palm oil in the range of 1-3%, $Mg(C_{18}H_{35}O_2)_2$ in the range of 1-3% and a homogeneous powder form was obtained in the grinder at 1500 rpm.

8. **Formulation:** $C_3Cl_3N_3O_3$ in the range of 80-85%, $NaAlO_2$ in the range of 9-11%, Na_2CO_3 in the range of 3-5%, NaCl in the range of 6-8% were taken and a homogeneous powder form was obtained in the grinder at 1500 rpm.

9. **Formulation:** $C_3Cl_2N_3NaO_3$ in the range of 80-85%, $NaAlO_2$ in the range of 5-8%, Na_2CO_3 in the range of 3-5%, NaCl in the range of 6-8% were taken and a homogeneous powder form was obtained in the grinder at 1500 rpm.

The Production of Tablets

Through the main electric motor of the machine, the operating pressure has been set to 10 tons. The upper punch penetration has been adjusted to 6. The optimizations made are crucial stages for achieving the desired dimensions of the tablet. Tablet compressions were carried out with a formulation pulverized into powder at 1500 rpm through a force feeder motor with a power of 0.25 hp/0.18 kW, with tablet diameters of 25 mm and a filling depth of 20 mm (Figure 1).

Fig. 1. Powder and tablet forms of multifunctional tablet formulations.

pH, Conductivity, Free Chlorine and Temperature Measurement

The formulations, prepared with free chlorine sources ranging from 80% to 85%, were dissolved in 2 liters of distilled water to theoretically provide free chlorine within the range of 1-2 ppm. pH, conductivity, free chlorine, and temperature measurements were conducted. For formulations 1-7, 0.005 gram of $Ca(ClO)_2$ was added to 2 liters of distilled water, while for the 8th formulation, 0.0041 gram of $C_3Cl_3N_3O_3$, and for the 9th formulation, 0.0066 gram of $C_3Cl_2N_3NaO_3$, were added.

Physical, Chemical and Microbiological Tests

All tests in Table 6 were conducted in an accredited laboratory with TURKAK accreditation. Sensory characteristics such as color, odor, and turbidity were assessed using organoleptic methods. Coliform enumeration was performed according to TS EN ISO 9308-1, enterococci enumeration according to TS EN ISO 7899-2, Escherichia coli enumeration according to TS EN ISO 9308-1, and sulfite-reducing anaerobic bacteria (Clostridia) enumeration according to TS 8020 EN 26461-2. Arsenic, iron, and aluminum analysis were conducted according to EPA 200.8.

Microbiological Analysis of Multifunctional Tablet Formulations

All tests in Table 7 were conducted in an accredited laboratory with IAS accreditation. Enterococcus faecium testing was performed according to ISO 7899, Pseudomonas aeruginosa testing according to ISO 22717, Legionella pneumophila testing according to ISO 11731, Staphylococcus aureus testing according to ISO 22718, and Escherichia coli testing according to ISO 21150.

III. RESULTS AND DISCUSSION

Our aim in this study is to introduce a multifunctional tablet formulation, a technological product offering numerous benefits to industries and consumers. The multifunctional tablet combines precipitating, brightening, pH-regulating, anti-algae, and decontamination properties. Through production modification, many advantages such as easy transportation, storage, packaging, long shelf life, and controlled active substance release can be achieved. The formulations were developed based on the chemicals and chemical ratios specified by the Ministry of Health for use in swimming pools. Calcium hypochlorite, trichloroisocyanuric acid, and sodium dichloroisocyanuric acid were separately used for disinfection, which also possess anti-algae properties. Sodium aluminate served as a precipitant and brightener, while sodium carbonate and sodium chloride acted as pH stabilizers. Additional components included palm oil for particle adhesion, magnesium stearate, alginic acid, and sodium carboxymethyl cellulose for tablet printing.

During formulation development, combinations of chemicals with desired properties that do not react with each other were preferred, considering the amount of chlorine released into the environment after dissolution in water. This is crucial for enhancing formulation stability and controlling interactions in pool water. The compatibility of selected chemicals and their desired properties ensure the long-term effectiveness of the formulations, minimizing unwanted reactions in pool water.

The formulations we have developed are based on the 200 grams tablet form of chlorine, which is widely used globally. This standard form facilitates practical, effective, and reliable use of chlorine tablets. Since tablets of this size are not produced in Turkey and are imported, our modified formulations have the potential to capture more market share in the sector due to the advantages they offer.

The physical, chemical, and biological quality of water in swimming pools is paramount for public health. Therefore, compliance with hygienic conditions and water quality standards is determined by the Ministry of Health through regulations such as the Regulation on the Health Principles to be Subject to Swimming Pools in our country (T.C. Official Gazette, Issue: 28143, December 15, 2011, Attachment 1-3) and the Regulation on the Working Procedures and Principles of Laboratories for Public Health Services (T.C. Official Gazette, Issue: 30709, March 9, 2019) [25].

Tests conducted in accredited laboratories for the formulations developed in this direction include physical, chemical, microbiological, bactericidal, virucidal, first-day analysis, antibacterial, and fungal analyses. These tests were carried out through service procurement. Prior to the accreditation process, preliminary analyses such as pH, conductivity, free chlorine, and temperature tests were performed in our own laboratory (Table 5).

Table 5. *Preliminary analysis results of multifunctional tablet formulations.*

Sample Name	Measuring Range	pH	Conductivity (µS/cm)	Temperature (°C)	Free Chlorine (ppm)
Pure Water	-	6.40	4.7	14.7	0
1.Formulation	0th hour	6.77	13.2	16	0.71
	1st hour	6.78	6.4	17.5	0.61
	2nd hour	6.85	14.7	18.5	0.42
	4th hour	6.81	15.2	18.9	0.35
2.Formulation	0th hour	6.94	11.4	16.1	1.64
	1st hour	7.03	12.2	17.5	1.49
	2nd hour	7.03	12.5	18.2	1.47
	4th hour	7.02	12.8	18.9	1.33

3.Formulation	0th hour	6.43	14.3	16.3	0.03
	1st hour	6.57	14.9	17.5	0.02
	2nd hour	6.63	17.4	18.2	0.06
	4th hour	6.66	16.7	18.8	0.04
4.Formulation	0th hour	6.44	8.1	19	0
	1st hour	6.47	8.7	18.8	0.06
	2nd hour	6.44	9.1	18.9	0.02
	4th hour	6.45	10	19.5	0.04
5.Formulation	0th hour	6.45	9.7	18.8	0.1
	1st hour	6.44	9.5	18.9	0.05
	2nd hour	6.48	9.7	19	0.04
	4th hour	6.51	9.9	19.2	0.04
6.Formulation	0th hour	6.39	10.5	19	0.03
	1st hour	6.46	10.6	19	0.06
	2nd hour	6.44	10.8	19	0.02
	4th hour	6.44	11.2	19.5	0.05
7.Formulation	0th hour	5.93	4.6	18.1	0.09
	1st hour	6	5.1	19	0.06
	2nd hour	6.01	5.2	19.7	0.04
	4th hour	6.27	6	20.1	0.04
8.Formulation	0th hour	6.28	11.7	18.5	2.23
	1st hour	6.3	12.1	19.2	2.18
	2nd hour	6.27	12.1	19.8	1.92
	4th hour	6.33	12.3	20	2.04
9.Formulation	0th hour	6.06	7.8	18.3	0.3
	1st hour	6.07	7.9	19.4	0.23
	2nd hour	6.04	8	19.9	0.13
	4th hour	5.99	8	20.2	0.11

The effectiveness of disinfection relies on several factors including the chlorine dosage, water temperature, contact time, and ambient pH. Therefore, physical and chemical parameters such as free chlorine, temperature, pH, and conductivity in pool water serve as indicators to determine the healthiness of pools. The pH value of water indicates its acidity or alkalinity [1], with the pH level in pool waters considered appropriate between 6.5 and 7.8. Conductivity in pool water measures the electrical conductivity of ions in solution, typically expressed in microsiemens per centimeter (µS/cm) [2].

Table 6. Physical, chemical and microbiological tests.

The parameters analyzed	Unit	Formulation (1-9)
Color	-	White
Smell	-	Characterization
Appearance	-	Solid
Blur	-	Detected
Coliform Census	kob/100 mL	0
Enterococcus Census	kob/100 mL	0
Escheria Coli Count	kob/100 mL	0
Sulfite-Reducing Anaerobic Bacteria (Clostridia) Count	kob/100 mL	0
Determination of Arsenic	µg/L	Not Detected

Determination of Iron	µg/L	Not Detected
Determination of Aluminum	µg/L	Not Detected

Tests for each formulation were conducted by adding the calculated sample amounts to 2 liters of distilled water. During the calculation, the required amount of free chlorine, ranging from 1 to 1.5 mg/L for indoor pools and 1 to 3 mg/L for outdoor pools per 100 m3 of water, was considered [25]. Measurements were taken initially in distilled water and then at subsequent intervals after adding the sample, specifically at the first, second, and fourth hours. Repeated measurements enabled the observation of any variations in the water. As shown in Table 5, it is evident that the ratio of free chlorine decreases as pH and temperature increase for the measured values of formulations 1-9, illustrating the impact of pH and temperature on free chlorine.

Table 6 presents the parameters common to the physical, chemical, and microbiological tests conducted in the accredited laboratory for the 9 formulations. According to the results, the active substance in all formulations is granular chlorine, with a white color and a distinct chlorine odor dominating the smell. The presence of iron in pool water can lead to water hardness and discoloration [4]. Arsenic is considered an undesirable heavy metal in pool water due to its toxic effects on human health. Aluminum ions form strong complex ions with organic matter, sulfate, and fluoride, contributing to water hardness and corrosion. Therefore, their presence in water is undesirable, and salts of aluminum are often used to address water color and turbidity [26]. Sodium aluminate, in salt form, was included in the formulation for its precipitating and brightening effects. The heavy metals arsenic, iron, and aluminum were not detected in the formulations, meeting the standards required by regulations. Arsenic, iron, and aluminum were analyzed by ICP-OES, and none were observed in any of the formulations.

Table 7. Microbiological analysis of multifunctional tablet formulations

Microorganisms	Formulation				
	1	2	7	8	9
Enterococcus faecium	*	*	*	*	*
Pseudomonas aeruginosa	*	*	*	*	*
Legionella pneumophila	*	*	*	*	*
Staphylococcus aureus	*	*	*	*	*
Escherichia coli	*	*	*	*	*
Streptococcus uberis	*	*	*	*	*
Enterococcus hirae	*	*	*	*	*

* Appropriate, the unit cfu/g was used.

The bacteria analyzed included *E. faecium, P. aeruginosa, L. pneumophila, S. aureus, E. coli, S. uberis, and E. hirae* (Table 7). In the first, second, and seventh formulations, the preliminary analysis results were very similar in terms of appearance and tablet durability. However, for the eighth and ninth formulations, bactericidal tests were preferred due to the use of different chlorine providers in these formulations. Therefore, these formulations were prioritized for bactericidal testing.

In order for formulations to be suitable for use in swimming pools, they should be free from *E. faecium, P. aeruginosa, L. pneumophila, S. aureus,* and *E. coli* bacteria. According to the results, these bacteria were not detected in the formulations. The suitability of these formulations for *E. coli, E. faecium,* and *P. aeruginosa* indicates their potential for use as bactericidal agents in drinking water disinfection. Similarly, the presence of *S. aureus, P. aeruginosa, E. coli, S. uberis,* and *E. hirae* bacteria suggests the potential use of these formulations as disinfectants in the veterinary field, as well as for surface disinfection and in food and feed areas. These formulations can be further modified for use in these specific areas.

IV. CONCLUSION

In our study, we developed a multifunctional tablet designed to serve as a comprehensive pool water chemical, combining disinfection, precipitant, polishing, and pH balancing properties. To achieve this, we formulated 9 different compositions using calcium hypochlorite, trichloroisocyanuric acid, and sodium dichloroisocyanurate compounds as the main ingredients. To assess the efficacy of these formulations, we conducted a series of physical, chemical, microbiological, and bactericidal analyses as required by the Ministry of Health.

For each formulation, we measured pH, conductivity, temperature, and free chlorine levels. Additionally, we conducted tests for color, odor, appearance, turbidity, coliform, enterococci, *Escherichia coli* count, sulfite-reducing anaerobic bacteria (Clostridia) count, as well as determinations for arsenic, iron, and aluminum. After converting all formulations into 17-gram tablet forms through procurement services, we examined their physical structures. Bactericidal tests were specifically conducted for Formulations 1, 2, 7, 8, and 9, considering both their physical characteristics and chemical compositions.

The results of our analyses indicated that all measurement outcomes fell within the legal limits stipulated by regulatory standards. This technological product offers a myriad of benefits for pool owners, operators, and users by providing an effective amalgamation of various chemicals. Furthermore, the formulations' compliance with the Ministry of Health standards enhances the product's marketability, establishing it as a reliable option within the industry.

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Identifying Infill Wall Failures in Kahramanmaraş Earthquakes and Strategies for Performance Improvement

🆔 Anil Ozdemir [a,*], 🆔 Coskun Cakmak [a]

[a] *Department of Civil Engineering, Faculty of Technology, Gazi University, Ankara, TURKIYE*
* *Corresponding author's e-mail address: anilozdemir@gazi.edu.tr*

ABSTRACT

Non-structural walls play a very important role in buildings, as they are used to create partitions and provide aesthetic appeal. However, their failures during earthquakes have been a recurring issue. Damage to the infill walls that occurred due to the Kahramanmaraş earthquake on February 6, 2023, was observed in residential and industrial buildings and especially in transformer structures that provide vital electricity distribution. This article presents the findings of field surveys conducted in Kahramanmaraş after recent earthquakes, focusing on non-structural wall collapses that obstructed mainly residential building entrances-exits and structures of particular importance. Within the scope of this study, deficiencies in the certification process in the field of infill walls were seen as the root of workmanship defects. Recommendations were made for the deficiencies in the certification process and for improving the process for the future. Infill walls shouldn't exhibit out-of-plane behavior, causing loss of life and property and for escape routes to be blocked due to falling walls. With today's technology and engineering, it is possible to positively improve the energy consumption capacity and out-of-plane behavior of infill walls. In this context, a detailed literature review was conducted, and the different techniques used were explained in the article. In addition, explanations were given regarding the force of regulation in Türkiye. Within the scope of the study, the compatibility of regulations and national qualifications in the direction from the design to the production of infill walls is revealed.

Keywords: Non-structural walls, Infill Wall, Wall, Earthquake, Building failures, Construction practices, National qualification system, TBDY 2018

Kahramanmaraş Depremlerinde Dolgu Duvar Hatalarının Belirlenmesi ve Performans Geliştirme Stratejileri

ÖZ

Yapısal olmayan duvarlar, bölmeler oluşturmak ve estetik çekicilik sağlamak için kullanıldıklarından binalarda çok önemli bir rol oynamaktadırlar. Ancak deprem sırasındaki başarısızlıkları sürekli tekrarlanan bir sorun olmuştur. 6 Şubat 2023 Kahramanmaraş depremi sonucu konut, sanayi binaları ve özellikle hayati öneme sahip elektrik dağıtımını sağlayan trafo yapılarındaki dolgu duvarlarda hasarlar gözlemlendi. Bu makale, Kahramanmaraş'ta meydana gelen son depremlerden sonra yapılan saha araştırmalarının bulgularını, özellikle konut binalarının giriş-çıkışlarını kapatan ve özel önem taşıyan yapıların işlevselliğini kaybetmesine neden olan yapısal olmayan duvar göçmelerine odaklanmaktadır. Bu çalışma kapsamında dolgu duvar alanındaki sertifikasyon sürecindeki eksiklikler işçilik kusurlarının kökeni olarak görülmüştür. Sertifikasyon sürecindeki eksikliklere ve geleceğe yönelik sürecin iyileştirilmesine yönelik önerilerde bulunulmuştur. Dolgu duvarların düzlem dışı davranış sergileyerek can ve mal kaybına yol açması, göçen duvarlar nedeniyle kaçış yollarının kapanması istenmez. Günümüz teknolojisi ve mühendisliği ile dolgu duvarların enerji tüketim kapasitesini ve düzlem dışı davranışlarını olumlu yönde iyileştirmek mümkündür. Bu bağlamda detaylı bir literatür taraması yapılmış ve kullanılan farklı teknikler çalışmada irdelenmiştir. Buna ek olarak konu hakkında Türkiye'de

yürürlükte olan mevzuata ilişkin açıklamalarda bulunulmuştur. Çalışma kapsamında, dolgu duvarların tasarımından üretimine kadar olan süreçte kullanılan mevzuat ve ulusal yeterliliklerin eşgüdümün önemine vurgu yapılmıştır.

Anahtar Kelimeler: Yapısal olmayan duvarlar, Dolgu Duvar, Duvar, Deprem, Yapısal Göçmeler, İnşaat uygulamaları, Ulusal yeterlilik sistemi, TBDY 2018

I. INTRODUCTION

Earthquake is one of the leading causes of structural or non-structural damage in reinforced concrete (RC) buildings [1]. Earthquakes are a phenomenon that shakes the environment, and the vibrations that occur suddenly due to the fractures in the earth's crust spread as waves. Depending on the earthquake's type, effect, severity, and/or size, severe damage may occur to the structure [2]. During the earthquake, the energy released on the structure by the oscillation of the structure must be consumed by the load-bearing elements such as columns, beams, and shear walls. With the dissipation of energy, these carrier elements are damaged. The extent of the damage is directly related to the design, material quality, and workmanship [3]. Making mistakes in these headings causes total collapse of the structure and causes loss of life and property. In non-structural elements, the most significant damage is generally observed in infill walls [4]. The infill walls move with the oscillation during the earthquake. Infill walls: Since they are in direct contact with load-bearing elements such as columns, beams, and slabs, they show the behavior of acting together during an earthquake. However, these elements suffer severe damage in the first vibrations due to their low energy dissipation capacity. At the same time, contact with carrier elements is lost, and as a result, it causes loss of life/property. For these reasons, the design is made by ignoring the bearing capacities of these walls in the building design guides worldwide [5]. Thus, it can be said that the design is on the safe side.

Most partition wall systems available in Türkiye are produced with brick, lightweight concrete briquette, and aerated concrete materials [6]. Since the mechanical properties of these materials are quite low, these elements are expected to be damaged during the earthquake [7]. Some numerical and analytical studies have shown that the effect of the infill wall on the building systems cannot be neglected [8-9]. Shing and Mehrabi (2002) conducted a study to predict the behavior of brick partition walls within the frame. In their research, they revealed that brick partition walls act as a pressure bar within the frame and that the strength of these walls is not merely the sum of the strengths of the frame and the brick infill separately. In addition, they classified the possible failure mechanisms observed in the walls [10]. These failure mechanisms are bending, mid-height crack, horizontal slip, diagonal crack, and corner crush. These damages represent a behavior called in-plane. The in-plane failure mechanism is the favourable one in terms of ductility and energy dissipation. Apart from this, out-of-plane behavior is an undesirable failure on infill walls. Out-of-plane mechanisms represent the most dangerous source of local collapse. Such deficiencies lead to the need to subsequently strengthening/repairing the infill walls. Many methods are applied in the literature to strengthening/repairing infill walls [11-14]. However, during the application of these methods, building owners cannot benefit from the building. The important issue here is that the infill walls are manufactured with high performance during the construction of the building and that there is no need for strengthening/repairing in these walls.

On February 2023, at 04.17 and 13.24, according to GMT+3 time zone, two earthquakes occurred in Pazarcık/Kahramanmaraş and Elbistan/Kahramanmaraş epicentre. The first earthquake occurred at a depth of 10 km and M_w= 7.8. The second earthquake occurred at a depth of 10 km and M_w=7.5 [15]. These earthquakes affected eleven city centres and rural areas, with approximately 10 million people living. As a result of the earthquakes, more than 50.000 people lost their lives, and about 212.000 buildings collapsed or were severely damaged in 10 cities affected. Türkiye announced that the financial loss was approximately 104 billion dollars [16]. Unfortunately, most RC structures were built after the 1970s, and many buildings were reported to have been seriously damaged or entirely collapsed by the earthquake sequence [17]. After the Kahramanmaraş earthquakes, fieldwork was also conducted by the

authors to observe the damages on the infill walls. Heavy shear damage, crushing at the corners, and the most out-of-plane behavior were observed on the infill walls of the damaged structures in the region. In the earthquake that occurred on the night of February 6, it was observed that the infill walls fell on people while they were sleeping, resulting in severe injuries and deaths. As another observation, it was observed that the infill walls were toppled towards the building's main exits and stairwells. For this reason, it was determined that people could not get out of the building because the escape routes were blocked, and they were injured/died by falling on the walls in mass during the escape. Finally, it has been observed that the infill walls have been knocked down, preventing the opening of the interior and exterior doors and causing people's escape routes to be blocked. While such problems are experienced in residential areas, it has been determined in the field study that there are also infill wall problems in energy transformers that provide electricity to cities with vital importance. In post-earthquake search and rescue efforts, energy is important in ensuring the continuity of public services such as hospitals. However, in the Kahramanmaraş earthquake, it was determined that many single-storey energy transformers, previously installed in the region, either collapsed altogether or the infill walls were overturned. The equipment with high material value was damaged. As a result of these damages, it was seen that vital needs could not be met.

This article presents the findings of field surveys conducted in Kahramanmaraş after recent earthquakes, focusing on non-structural wall collapses that obstructed especially residential building entrances-exits and structures of special importance. For this, field work was done by the authors. Observed damages were noted and categorized on the basis of structure. The field study reveals significant deficiencies in the production process, including poor installation techniques, inadequate anchorage and connections, and the use of low-quality materials. These failures pose hazards to occupants and hinder rescue efforts. The second chapter focuses on the infill wall damages observed in the structures during the field work and the out-of-plane behavior in the infill walls. Seismic resistance of buildings can be significantly increased by preventing out-of-plane behavior with correct construction techniques, material selection and structural connections. In addition, the training processes and awareness of the personnel involved in the production process of infill walls are very important. In the third section, determinations were made regarding the qualifications within the scope of the training of individuals involved in the production process of infill walls and the reasons for the workmanship defects. In the fourth chapter, current studies in the literature on how to design infill walls with high-performance levels are included, rather than the individuals who produce infill walls. These studies have been evaluated comprehensively. The article emphasizes the need for improved construction practices, stricter quality control measures, and enhanced awareness among stakeholders to enhance building's seismic resilience. This study aims to improve construction practices and stricter quality control measures and increase awareness among stakeholders to eliminate the risks of infill walls in buildings. Taking proactive measures will ensure the safety and well-being of building occupants and mitigate risks in earthquake-prone regions, ultimately contributing to the overall resilience of the built environment.

II. INFILL WALL DAMAGES OBSERVED IN KAHRAMANMARAŞ EARTHQUAKES

In RC structures, masonry walls are employed for structural and functional requirements. An infilled frame is a composite construction that consists of infill walls and a moment-resistant RC frame. In Türkiye, infill walls are frequently employed owing to a need for both aesthetics and functionality [18]. Brick is one of the most significant building materials commonly used to make walls, particularly in the construction sector. It is also used in materials such as aerated concrete, pumice brick, and fire brick. These materials have different mechanical properties. Apart from these materials used in infill walls, wall productions are made with plasterboard wall systems. When the structures in the earthquake-affected areas are examined, hollow core clay bricks are the most popular type of filling material. These materials have a lower tensile strength and a much lower capacity to absorb energy during earthquakes [19-20]. Damage to the infill wall included diagonal cracking, crushing, and interface cracking at frame-boundary contacts [21]. Shear cracks (diagonal cracks) brought on by shear stresses are the most frequent kind of damage in buildings made of RC [22]. In addition, out-of-plane behavior is also undesirable in infill walls. A field study is planned to examine the damages on the infill walls in the

affected city after the Kahramanmaraş earthquakes. In this field study, the damages in the infill walls were classified, and the deficiencies that caused these damages were tried to be determined. The most common diagonal cracks in the infill walls occurred in most buildings due to the Kahramanmaraş earthquakes. Photographs of buildings with this damage type are given in **Figure 1**.

Figure 1. Diagonal cracks in infill walls after Kahramanmaras earthquakes.

The infill walls within the reinforced concrete frame are first tried to limit the movement of the frame. Then, with the increasing load, the infill wall and the frame begin to separate. After this weathering, X-shaped shear cracks occur in the infill walls with high earthquake movements, and the width of the cracks increases. At higher damage levels, the X-cracks expand excessively, break apart, and the wall moves out-of-plane and shows a tipping behavior. These behaviors are seen in **Figure 1**. The main subject of this study is the examination of out-of-plane behavior, which is almost non-existent behavior compared to the energy dissipation in in-plane behavior. The probability of observing out-of-plane behavior is very high in the walls that rest on cantilever projections on the exterior, the walls that are attached to the floor and do not reach anywhere and do not extend to the ceiling, the lack of workmanship, material, and poor quality infill walls that are in a reinforced concrete frame. Out-of-plane behavior in the infill walls occurred in buildings due to the Kahramanmaraş earthquakes. Photographs of buildings with this damage type are given in **Figure 2**.

Figure 2. *Out-of-plane behavior in the infill walls occurred after the Kahramanmaraş earthquakes,(a),(b),(c), (d)brick infill walls, (e) aerated concrete infill wall and (f) briquette infill wall.*

Figure 2 shows the overturning of the infill walls in structures extended with cantilever beams, the overturning of the infill wall in reinforced concrete carcass along the ground outside the building, not using girders in the infill wall in high frames, workmanship Errors, manufacturing of aerated concrete used as infill wall in a fragmented-fractured hospital building, manufacturing defects of infill walls. In **Figure 3**, pictures are shared showing the infill walls toppling towards the building's main exits and stairwells. In addition, pictures of the buildings, which were rendered useless by overturning the filling walls of single-storey energy transformers, were shared.

Figure 3. *(a) The closing of the building exits with the overturning of the infill walls, and (b) the infill walls in the energy transformers being inoperative by overturning after the Kahramanmaraş earthquakes*

Suddenly and unexpected collapse of infill walls can be prevented. For this, many regulations contain compelling rules and recommendations for designers. However, there are many compelling provisions regarding training personnel who implement the designer's wishes on-site and produce infill walls. In the third chapter, details about these issues are shared.

III. TRAINING OF MASONRY WORKERS AND PREVENTION OF WORKMANSHIP DEFECTS

This section will address the knowledge, skills, and competencies that these masters must possess, and the infill/partition walls, which are commonly used in almost all frame building systems produced for residential purposes and serve to divide the interior space into spaces. Masons are the main players in the production of these walls. It has been demonstrated in the earlier portions of this research that, in the event of destruction or damage to the wall structural element, there may be a loss of life and/or property due to numerous scholarly investigations and on-site observations. While this fact is obvious, it is necessary to examine in full detail what kind of measurement-evaluation process the people involved in producing this building element are qualified to do this job and the adequacy and applicability of the existing legislation throughout this process.

Mould making, blacksmithing, plastering, masonry, etc., in the Turkish construction industry. Some of the employees employed in professions consist of people who have completed (or think they have completed) their professional development with what they have learned as a result of the master-apprentice relationship. Since this process is not subject to any supervision or control, it cannot be said that there is an environment where the level and quality of work of people who have reached their current professional skills in this way can be visible or measurable. For this reason, in our country, The

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Vocational Qualifications Authority (MYK) was established in 2006. To recognize and level past "unofficial" learning and to carry out all measurement-evaluation processes and the relationship between different achievements. MYK emerges as the leading authoritarian unit in Türkiye in terms of creating National Vocational Standards (UMS), which reveal the detailed analysis of a profession, and National Qualifications (NQ), which can be described as the curriculum that people follow to certify in an official environment that they are successful in their work in the light of these standards. These processes, which take place under the control of MYK, are called National Qualification System (UYS). National Qualification System: It is defined as a system in which career candidates in the construction branch are certified as a result of theoretical and practical exams, and the comparability of the documents received is ensured at national and international levels. As can be clearly understood from the definition, in Türkiye, people now have the opportunity to certify their knowledge and skills on an official level after being exposed to a specific measurement-evaluation process. Although no deficiencies in the quality of workmanship produced by employees are expected in such a system, it seems a reasonable expectation that no profound differences will be observed. This part of the study, first the conceptual framework for introducing the country UYS will be presented. Afterward, it will be examined to what extent these studies carried out by MYK, specific to the masonry profession, are sufficient for a sector employee who is a candidate to receive a certificate in the mason qualification of the current UYS and UY. An attempt will be made to reveal aspects of the subject that are open to improvement.

A. CONCEPTUAL FRAMEWORK

A. 1. European and Turkish Qualifications Framework

The European Qualifications Framework (EQF) emerged with the recommendation decision numbered 2008/C/111/01 of the European Commission and the European Parliament in 2008. The EQF is in an inclusive position, providing a common reference point for the national qualification frameworks of member countries and allowing different qualification levels in these countries to be compared with each other [23]. With this framework, which is the basis of the Lifelong Learning philosophy, and by the recommendation, the national qualification systems of all other countries should be associated with the EQF. At this point, Türkiye has prepared the Turkish Qualifications Framework (TQF) and has become one of the countries that have completed the referencing process to the 8-level EQF. As of today, 30 countries, including 25 European Union (EU) countries and five non-EU countries, including Türkiye, have associated their national qualification systems with the EQF [24].

A. 2. Vocational Standards

Vocational standards can be defined as descriptions and classifications of the jobs people do. In many countries, occupational standards are defined as a collection of competencies needed in the work environment related to the job performed. Another critical point about professional standards is that they form the basis of qualifications related to the profession [25]. MYK has defined UMSs in parallel with the definition of professional standards in the recommendation of the European Parliament in 2008 [26]. The prioritization process for professions that require professional standards is carried out by MYK, considering the needs of the business world and educational institutions.

A. 3. National Qualifications

National qualifications (NQ) are qualifications that emerge within the scope of each country's unique national qualifications framework. The profile of authorities, institutions, and organizations in the process preparing of these qualifications referenced to the EQF to their acceptance as official documents varies. Many countries prioritize stakeholders from the education and training sector in the national qualification preparation and implementation processes. However, in some countries such as Germany, France, and Türkiye, especially the business world and civil society, stakeholders seem essential for the system's sustainability and play an active role [27]. In Türkiye, UY's are defined as documents that contain expressions of skill-competence and knowledge at a level that will allow it to be measured whether an individual can perform his profession correctly or not [28]. As can be inferred from the

definition, national qualifications are tools used to measure the level of success of an individual practicing a profession in that profession. Although UMSs, which are the framework of the profession, have a much broader information content, UYs are prepared in a more limited, short, and measurement-oriented manner in order to be able to conclude that an individual has officially fulfilled the requirements of that profession.

A. 4. Authorised Certification Bodies

After the measurement-evaluation process, successful candidates are issued a document that proves their current knowledge, skills, and competencies. Ministries, chambers of commerce, qualification institutions, etc. provide these documents. It is arranged by the authorities and delivered to its owner. In Türkiye, this responsibility falls on Authorised Certification Bodies (YBKs) authorized by MYK. YBKs are private organizations that stand at perhaps the most critical point in the certification industry and organize measurement-evaluation processes according to existing UYs. These organizations have essential duties, such as managing the examination processes for candidates who aspire to receive a certificate and determining whether the candidates are entitled to receive a certificate within the relevant qualification framework.

B. NATIONAL QUALIFICATION SYSTEM SPECIFICALLY FOR MASONRY

A mason in UMS is defined as a person who carries out his work by occupational health and safety rules, practices masonry units and masonry, also carries out applications such as stone walls, chimneys, and fireplaces, ensures sufficient quality conditions while performing these works and carries out studies for his professional development [29]. Its place in national classification systems is defined in ISCO 08: 7112. This document contains information such as the conditions under which the profession should be performed and what theoretical and practical knowledge, skills, and competencies the personnel who do this job must have. In parallel with this information, it is also included in the UMS in force in Türkiye. UMS is updated over time with relevant organizations and participants. UY, created by adhering to the content of this UMS, is, in a sense, the most crucial measurement-evaluation step that candidates must overcome on the way to certification. In other words, in order for a bricklayer to be able to introduce his previous learning after the application of the certification obligation begins, he must be subject to the measurement-evaluation process designed within the scope of this UY and carried out by YBKs and only after he can create a profile that overlaps with this UY, should he be included in the certification process and take his place in the sector. Mason UMS document describes the masonry job under 9 task headings. These;

- Implementing occupational health and safety, environmental protection and quality measures,
- Preparation before wall and chimney application,
- Applying wall building,
- Building a stone wall,
- Knitting a chimney,
- Building a fireplace/barbecue,
- Building a wall with glass bricks,
- Performing post-application procedures,
- Participating in professional development activities is included in the Mason (Level 3) UMS document code 11UMS0157-3.

Within these nine headings, there are steps "Preparing the application area-C1" and "Building a wall with masonry materials-C2 (brick, briquette, pumice block, aerated concrete and similar)" under the main heading of "Making the wall building application". The part that includes brick, pumice, and aerated concrete and wall building sub-processes, which we encounter in most of the constructions in the sector, is expressed here. When considered together with the steps of preparing the area to be applied, constructing a wall according to the standard, by the technique and with quality conditions is a process

that takes place in a total of 21 steps. When we exclude the two steps containing conditional expressions, it becomes clear that a bricklayer must have a skill-competence set of 19 steps to prove his competence. However, when it comes to the necessary steps to ensure that these walls remain stable under the influence of lateral loads without compromising their integrity and without risking life safety, they have been observed to match some application steps. These;

- It places the gaps between the screed bricks, pumice blocks, briquettes, and aerated concrete at both corners, following the rope, paying attention to the knitting rules and joint spacing, and using knitting mortar or ready-made masonry mortar,
- In practice, care is taken to ensure that vertical joints are staggered and that horizontal and vertical joints are of appropriate thickness and continuity,
- It makes the wall corners and joints threaded/interlocking,
- It ensures the connection of the wall to columns and beams when necessary,
- It makes beams in high and long wall applications,
- It places the ready-made lintel suitable for door or window openings,

are steps that directly affect life safety under lateral loads such as earthquakes.

In Türkiye, proving the candidate's mastery within the scope of the relevant UY consists of two stages. Within the scope of these stages, candidates must demonstrate that they have the necessary theoretical knowledge in the qualification they apply for, and they can be entitled to receive a certificate by successfully carrying out a business scenario created by YBK in practice. In the theoretical exams, candidates are expected to verbally answer correctly the questions measuring the knowledge statements (BG) specified as examples in **Table 1**. Similarly, they are expected to demonstrate their competence and skills (BY) in the jobs presented as examples in **Table 1**. Candidates are scored separately for these steps (BG and BY). There are a total of 20 BG statements in the theoretical exam and a total of 39 BG statements in the Practical exam.

Table 1. Some BG and BY expressions are required for candidates in the theoretical and practical exams of bricklayer qualification

BG/BY	Qualification Explanation	Relevant Section of UMS
BG 5	Explains the reasons for grating in aerated concrete applications.	C.2.7
BG 8	Explains the points to be considered in joint construction.	C.2.10
BG 9	Explains the points to be considered in chimney construction.	E.2.1
BY 8	It moistens/wets the wall element or the area where the application will be made (the wall will be built).	C.1.1
BY 19	It makes wall corners and joints threaded/interlocking.*	C.2.11
BY 24	It places the ready-made lintel suitable for door or window openings.*	C.4.6
BY 29	According to the project, the first row of the chimney is placed with the help of knitting mortar by the technique.	E.2.1

Different findings emerge when the expression/address matches shared above are examined. It is important to include six specifications in the UY document, which are thought to be much more essential in the measurement and evaluation processes, especially in ensuring resistance to horizontal loads in wall applications. However, when the current mason UY document is examined, it is seen that the skill and competence expressions coded C.2.7, C.2.8, C.2.16, and C.2.17 are not included in the list of skills and competencies that the candidates must achieve. Tasks C.2.7 and C.2.8 are not among the six items that are critical for the stability of the walls. However, it is a significant deficiency that the steps of column-beam connection (C.2.16) and beam manufacturing (C.2.17), which are the most essential items, are not included among the skill and competence expressions.

Candidates who want to be certified as masons are given a specific masonry project during the practical exam. It is expected that the walls specified in this project will be manufactured by the rules and with

different materials specified in the project. It has been published as an example of how the proficiency practice exam project published by MYK can be. It is expected that YBKs will conduct a practical exam similar to this project. Details of the project are presented in **Figure 4**.
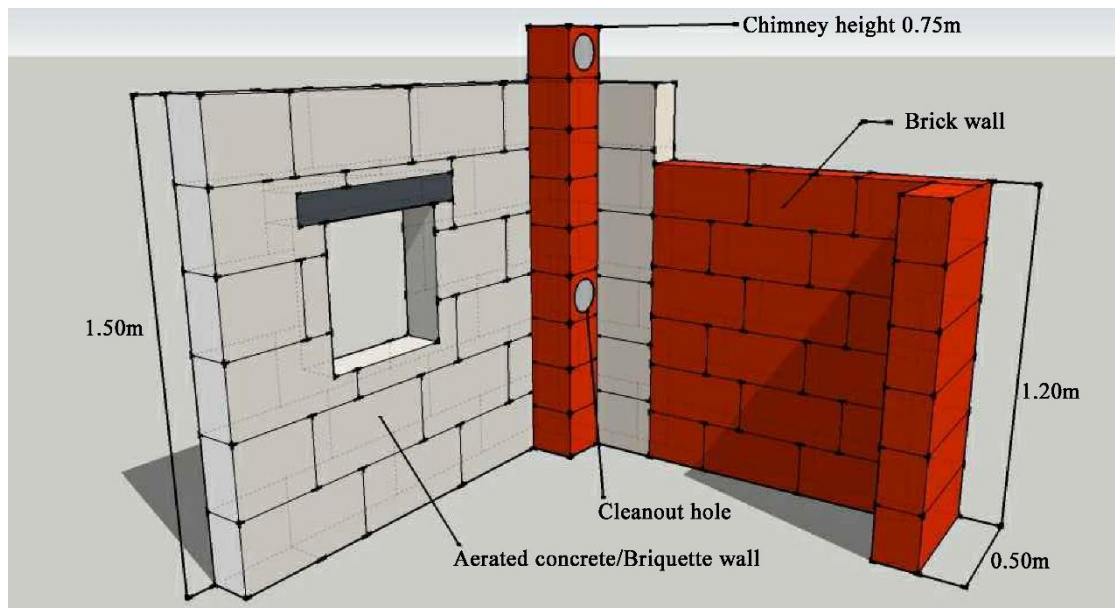
Figure 4. The scenario required to be produced by mason candidates

As seen in **Figure 4**, candidates are expected to manufacture the wall using aerated concrete/briquette and brick materials, paying attention to the details of the project. Infill walls are expected to be manufactured within a framework (such as columns and beams) or between two floors, as defined before. However, the project has no load-bearing elements such as columns and beams. In addition, even though it is a scenario, there are no details about which materials and how to connect these elements to the carrier elements. Due to these deficiencies, candidates are certified without this information. These individuals then carry out actual practices in the field in this direction. Similarly, there needs to be details on how to manufacture beams on high and wide walls. It is also seen the wall that the candidate is asked to build is different from the size of an actual wall.

IV. DESIGN OF INFILL WALLS WITH HIGH PERFORMANCE

Infill walls are a structural technology with outstanding load-bearing capability that is frequently used in low-rise structures all over the world. Beginning in the middle of the 1950s, laboratory and analytical studies were conducted on the seismic response of infills in terms of in-plane and out-of-plane behaviors [30, 31]. Numerous studies have been performed in recent years investigating in plane and out-of-plane responses of infills with various height/length ratios, infill unit strengths, openings, and perimeter frame characteristics, etc. [32-34]. Also, there exist several experimental tests investigating the effect of prior in plane damage on the out of plane performance of infills. Confined infill wall (CM), reinforced infill wall (RM), and unreinforced infill wall (URM) are the three primary forms of wall construction. In URM, the load-bearing walls are not surrounded by any vertical structural elements, such as columns. In addition, the wall's high inertia, broken masonry units, and insufficient deformation capacity make it earthquake-prone without horizontal reinforcement. This construction is usually used in areas with relatively minimal seismic risk for structures that are not taller than three storeys [35]. Typical URM building types include solid and cavity walls, which are combined with mortar. Understanding the failure hierarchy and structural flaws is essential to comprehending the seismic behavior of URM structures. The geometrical characteristics of the wall, boundary constraints, and material quality all affect how URM barriers collapse [36]. Reinforcements are added to RM walls vertically and horizontally to strengthen them against in-plane and out-of-plane failure modes. Because the masonry units used in RM

walls are usually hollow, steel bars can be inserted into the vertical cells. These cells must be filled with mortar or grout to allow stress transmission between the steel bars and the masonry. Based on these factors, two primary failure processes in RM walls subjected to in-plane lateral stress may be recognized [37]. The first of them is a flexural failure, often indicated by masonry crushing at wall toes and tensile yielding of flexural reinforcement. The second failure mechanism is the shear failure mode, primarily marked by diagonal tensile cracking. Generally speaking, analytical models may be used to forecast an RM wall's flexural capacity with accuracy [38]. Because the mechanisms involved in the shear failure mode are complicated, predicting the shear strength can be a challenging. These methods may involve increased frictional strength along diagonal cracks, the dowel effect of vertical reinforcement, and the tension of lateral reinforcement [39].

All cells in fully grouted reinforced wall (FG-RM) [40], including the ones without reinforcement, are grouted. On the other hand, only the cells with vertical steel bars grouted in partly grouted reinforced masonry (PG-RM) [41] result in significant cost savings. The shear resistance is usually provided by horizontal reinforcement bars, which may be classified into bond-beam (BB) or bed-joint reinforcement (BJR). An example of a wall produced in the BB and BJR types is illustrated in **Figure 5**.
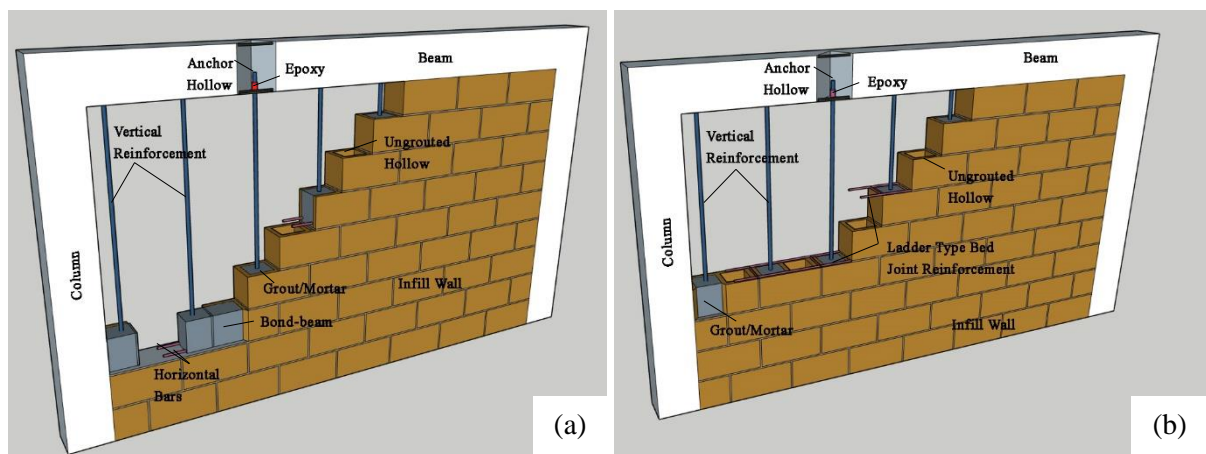
Figure 5. *An example of a wall produced in (a) BB and (b) BJR types*

In BB, which is used in the USA [42], Canada [43], New Zealand [44], and Mexico [45], RM beams made of grout-filled hollow rectangular units have horizontal reinforcing bars inserted into them. It has been demonstrated that these reinforcements may provide the brickwork with both high strength and appropriately ductile behavior. Specifically, the steel reinforcing makes the increased wall deformation capability possible. However, because the distribution of seismic activities depends on the stiffness ratio between the two materials, the reinforcement's contribution may be eliminated if it prematurely separates from the masonry [46]. Regarding the effect of the vertical reinforcement ratio, it has been shown that shear strength improves with an increase in this ratio [47]. However, because diagonal cracking predominates at medium to high levels of vertical pre-compression, the advantage of the vertical reinforcement ratio on the lateral strength is not apparent [48]. Conversely, a higher vertical reinforcement ratio does not have an impact on the walls' rigidity or displacement ductility [49]. The presence of BJR augments the in-plane deformation and ductility capacity, as well as the resistance to out-of-plane horizontal bending of the masonry wall. Aerated concrete infill walls' seismic performance was examined in a study by Halici et al. [50]. It highlighted how critical bed-joint reinforcing is to improving the out-of-plane seismic performance for both cord-type and flat truss constructions. Faridmehr et al. [35] applied the BJR technique on briquette walls. These walls contain vertical reinforcement and bed-joint reinforcement. Within the scope of the study, the inside of the wall elements through which the vertical reinforcements pass were filled with mortar. In addition, the vertical reinforcement within the infill wall is embedded in the upper and lower load-bearing reinforced concrete elements. The parametric study demonstrates that BJR significantly impacts the shear strength of walls.

A few experimental studies on masonry walls reinforced with textile-reinforced mortar coatings or prefabricated composite meshes demonstrated how these reinforcement systems can improve masonry's out-of-plane resistance while also markedly increasing its capacity to withstand plastic deformation [51-54]. Still, a crucial subject for a successful material design is the masonry-matrix bonding capabilities [55]. Shear bond tests [56, 57] are commonly based on tiny masonry samples (single bricks, stone units, or masonry wallets) to which the reinforcement is placed on one or both sides for a predetermined area. These tests evaluate the interaction between the composite material and the masonry substrate. Therefore, it is essential to provide a strong bond for painting or repointing (such as by cleaning, saturating, or treating the masonry surface mechanically or chemically) and, if required, appropriately size connections [58]. Flexible joint connections applied between the infill wall and frame are a technique being researched to increase frame ductility. However, the gaps left between the infill wall's and the frame do not affect the out-of-plane behavior. This may cause the walls inside the frame to topple out of the plane under horizontal loads. Researchers have reported that the experiments with frames using angle iron or sliding connectors filled with flexible material in columns positively affected the performance values of the wall [59]. In the Turkish Building and Earthquake Regulation (TBDY 2018) [60], the "flexible joint connection" option was first introduced to prevent damage to infill walls and to prevent any adverse effects it may cause in structural behavior. If the 2018 TBDY infill wall is isolated from the frame system with flexible joints, the allowed relative storey drift in the building increases by two times. The flexible connection detail example presented in Information Annex 4C in the 2018 TBDY is shown in **Figure 6**.
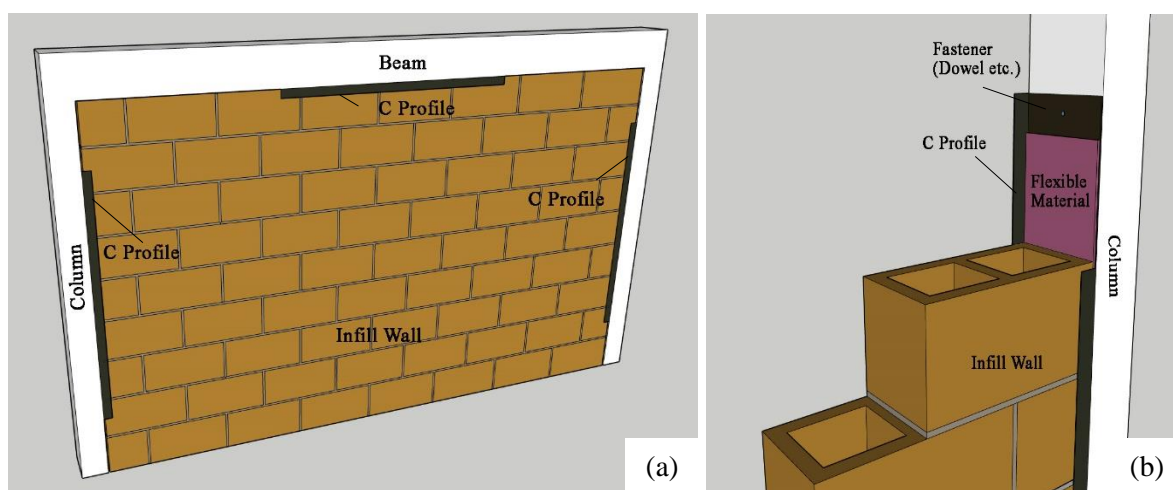
Figure 6. Infill wall-column flexible connection detail (a) general view (b) detailed view

In the system shown in Figure 6, the flexible material between the infill wall and column continues along the length of the vertical and horizontal carriers. Flexible materials are placed inside the C-profile, connected to the inner surfaces of the carrier elements with anchors. This system prevents interaction between the infill wall and the column in structures subject to lateral load. The flanges of the C-profile anchored to the surfaces of the load-bearing elements prevent the out-of-plane movement of the infill walls. There are some studies that examine the effect of such anchors placed in infill walls on the infill wall and reinforced concrete frame [61]. It has been stated that applying this technique significantly contributes to the rigidity of the walls. In addition, it has been reported that epoxy-based adhesives will be useful in anchoring such additional profiles to carrier elements.

V. CONCLUSIONS

Infill walls in buildings are widely used worldwide for partitioning and separating rooms, as well as for architectural and commercial purposes. As a result of earthquakes, in addition to the load-bearing systems of buildings, damage may also occur to elements that are not considered load-bearing. One of the damages that occur in buildings after earthquakes is these infill wall damage. As a result of the out-of-plane behavior of the partition walls, direct or indirect loss of life and/or property may occur. Damage

to the infill walls that occurred due to the Kahramanmaraş earthquake on February 6, 2023, was observed in residential and industrial buildings and especially in transformer structures that provide vital electricity distribution. The damage observed on the walls was found to be workmanship and design defects. Within the scope of this study, deficiencies in the certification process in the field of masonry were seen as the root of workmanship defects. Recommendations were made for the deficiencies in the certification process and for improving the process for the future. Infill walls shouldn't exhibit out-of-plane behavior, causing loss of life and property and for escape routes to be blocked due to falling walls. With today's technology and engineering, it is possible to positively improve the energy consumption capacity and out-of-plane behavior of infill walls. In this context, a detailed literature review was conducted, and the different techniques used were explained in the article. In addition, explanations were given regarding the force of the regulation in Türkiye. Within the scope of the study, the compatibility of regulations and national qualifications in the direction from the design to the production of infill walls is revealed.

It has been observed that the exam project used as a scenario by MYK has no similarities with the actual wall production in the field. In particular, it has been observed that the walls were built on any flat ground and were manufactured without any frame systems around them. It has been observed that the dimensions of the walls requested from the candidate are far from the actual dimensions. The candidates are not supervised while performing the application directly on the construction site. There needs to be instruction showing candidates how to manufacture a wall higher than the generally used floor height. There is no information regarding the production of lintels used in window and door openings by the candidates in the relevant regulations. In the exam project given to the candidates, there are no details on how the infill walls will be connected/clamped to the reinforced concrete elements. Due to this lack of knowledge, deficiencies occur in the field practices of certified masons.

When international standards on masonry are examined, there are many methods to delay undesirable out-of-plane behavior in infill walls and increase the bearing capacity of in-plane behavior. Within the scope of this study, it has been seen that the reinforcement used in vertical and horizontal directions in wall production, especially the techniques anchored to the carrier system, are benefical. While these techniques increase construction and labour costs, they also improve infill wall behavior. It is known that this type of reinforcement is used in areas at risk of earthquakes. It is understood that the system recommended within the scope of TBDY 2018, which is in force in Türkiye, does not provide sufficient benefit.

As a result of these findings, it is thought that workmanship defects and design errors can be prevented with the following recommendations;
- Candidates who want to get a bricklayer certificate must take their exams in their work area, and the wall to be produced must be of actual size.
- Constructing the application exam specifically to be held within a reinforced concrete frame and including techniques that improve the in-plane and out-of-plane behavior of reinforced concrete elements in the exam project,
- Replacing the connection type recommended in TBDY 2018 with the reinforced infill wall technique is essential.
- There is a need to establish national competence in Türkiye for reinforced infill wall manufacturing and to certify candidates.
- Especially in buildings built in regions with high earthquake risk, the manufacture of infilled and reinforced infill walls on the walls facing escape halls should be made mandatory by regulation. Epoxy injection of anchors should be used in reinforced wall manufacturing.
- It should be mandatory to design the walls surrounding vital structures, which will be used to meet needs such as energy after the earthquake, or the walls surrounding the compartments where vital equipment is located, as reinforced concrete shear walls. The walls of such buildings in earthquake-prone areas should be strengthened as soon as possible or converted to reinforced concrete shear walls.

They are reviewing the regulations and national qualifications to keep the application and designer on the same denominator. People who have reached a certain level of professional qualification must take their place in the construction industry by obtaining a certificate, and therefore, each stakeholder in the sector must pass through a measurement-evaluation system with a confident quality assurance and have a share in this severe organization. People who have already successfully completed these processes must be periodically inspected by the relevant institutions.

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Performance Analysis of Firewall and Virtual Private Network (VPN) Usage in Video Conferencing Applications

Serdar ARPACI [a,*], Arafat ŞENTÜRK [b]

[a] *Department of Computer Technologies, Akçakoca Vocational School, Düzce University, Düzce, TURKEY*
[b] *Department of Computer Engineering, Faculty of ENGINEERING, Düzce University, Düzce, TURKEY*
* *Corresponding author's e-mail address: serdararpaci@duzce.edu.tr*
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ABSTRACT

Rapid developments in information technologies have made these technologies indispensable elements of our lives with application areas such as e-government, e-commerce, e-health, e-learning. Particularly the global Covid-19 pandemic period has led to forced improvements in video conferencing applications, which enable users in different locations at the same time to communicate via video and audio over internet. Developments in technology, which cause the rapid increase of applications served over internet, also cause a significant increase in the number of devices connected to internet and the data traffic flowing over internet. As a result, the security needs of applications used over internet, such as video conferencing applications, are increasing in proportion to the increasing security threat risks. The use of firewall and VPN (Virtual Private Network) are the most basic security solutions for applications used over internet. A firewall is a device, which is positioned between a corporate network and the internet cloud, filtering incoming and outgoing traffic to and from the network according to defined rules. VPN, on the other hand, provides a secure point-to-point connection to a corporate network through the internet cloud. In this study, the effects of firewall and VPN usage in video conferencing applications were analyzed in terms of application performance. In video conferencing applications; since there is a real-time, bidirectional and large-scale data flow between the participants, delay and packet loss determine the performance of these applications. Analyzing how these applications perform when used with firewalls and VPN will guide further improvements in network protocols, components and related applications. In the study in which the simulation method was used, the data obtained from the simulation of different scenarios created with the OPNET tool were analyzed comparatively.

Keywords: Network Performance, OPNET, Video Conferencing

Video Konferans Uygulamalarında Güvenlik Duvarı ve Sanal Özel Ağ (VPN) Kullanımının Performans Analizi

Öz

Bilgi ve iletişim teknolojilerindeki süratli gelişmeler; e-devlet, e-ticaret, e-sağlık, e-öğrenme gibi uygulama alanlarıyla bu teknolojileri hayatımızın her alanının vazgeçilmez öğesi haline getirmiştir. Özellikle küresel Covid-19 salgın süreci; aynı anda farklı yerlerde bulunan kişilerin, internet üzerinden görüntülü ve sesli bir şekilde iletişim kurmalarını sağlayan video konferans uygulamalarında zorunlu gelişmelere yol açmıştır. İnternet üzerinden sunulan uygulamaların hızla yaygınlaşmasına sebep olan teknolojideki gelişmeler, aynı zamanda internete bağlı cihaz sayısında ve internet üzerinden akan veri trafiğinde çok ciddi artışlara sebep olmaktadır. Bunun neticesi olarak, video konferans uygulamaları gibi internet üzerinden kullanılan uygulamaların güvenlik ihtiyaçları da artan güvenlik tehdidi riskleriyle orantılı olarak artmaktadır. Güvenlik duvarı ve sanal özel ağ kullanımı, internet üzerinden kullanılan uygulamalar için en temel güvenlik çözümlerindendir. Güvenlik duvarı,

kurumsal bir ağ ile internet bulutu arasına konumlandırılarak ağa gelen ve giden trafiği tanımlı kurallara göre filtreleyen cihazdır. Sanal özel ağ ise, kurumsal bir ağa, internet bulutu üzerinden noktadan noktaya güvenli bir bağlantı sağlar. Bu çalışmada, video konferans uygulamalarının güvenlik duvarı ve sanal özel ağ ile kullanımının uygulama performansına etkileri analiz edilmiştir. Video konferans uygulamalarında; katılımcılar arasında gerçek zamanlı, çift yönlü ve büyük boyutlu bir veri akışı olduğundan bu uygulamaların performansında gecikme ve paket kayıpları belirleyici olmaktadır. Bu uygulamaların güvenlik duvarı ve sanal özel ağ ile kullanımının performans analizinin yapılması ağ protokollerinde, ağ bileşenlerinde ve video konferans uygulamalarında daha sonra yapılabilecek iyileştirmeler için yol gösterici olacaktır. Benzetim metodunun kullanıldığı çalışmada, OPNET benzetim aracı ile oluşturulan farklı senaryoların benzetimiyle elde edilen veriler karşılaştırılmalı olarak analiz edilmiştir.

Anahtar Kelimeler: Ağ Performansı, OPNET, Video Konferans

I. INTRODUCTION

The developments in information technologies and the decrease in internet usage costs have led transactions and processes using these technologies to become increasingly widespread. In this period; opportunities for fast and easy access to information and resources have emerged, business and decision-making processes have become possible through services and applications provided over the internet, and many applications that institutions and businesses offer to citizens over the internet have emerged. Remote working opportunities have emerged for employees, and institutions and businesses have transitioned to flexible working models by transcending geographical borders [1], [2]. Learning opportunities have been expanded with online education applications in educational institutions [3], [4]. Especially the global Covid-19 pandemic period has caused mandatory developments in application areas such as e-learning and e-meeting, the infrastructure of which is formed by video conferencing technology [4], [5], [6], [7].

Video conferencing is a communication technology that enables people who are in different places at the same time to communicate with each other via audio and video over an internet connection [8], [9]. This technology allows participants to interact using various features such as audio, video, and screen sharing [10], [11]. Video conferencing is generally used for business meetings, distance education, teleworking and personal meetings [12]. This technology can be used in audio and video calls with the participation of a few people, as well as in audio and video calls with dozens of participants [11].

In video conferencing calls, there is a real-time and bidirectional communication between the participants making and answering the call [13]. In this communication, there is a continuous and large data flow. For a quality video conference call, end-to-end delay and delay variation values should be minimized and packet losses should be prevented [13], [14]. End-to-end delay is the time it takes for a packet to arrive at the application layer of the destination from the source [13], [15]. In a video conferencing call, the end-to-end delay should be below human perception so that participants can interact naturally [9], [16]. This value is approximately 100 msecs [9], [16]. However, some studies such as [13], [17] claim that the maximum end-to-end delay for a quality video call is 150 msecs. Delay variation, also referred to as jitter, is defined as the maximum difference between the end-to-end delays of two consecutive packets [18]. Real-time applications such as video conferencing are highly sensitive to delay variation. In a video conferencing call, high delay variation reduces the quality of the call and degrades the user experience by preventing audio and video from synchronizing. The acceptable value for delay variation is 50 msecs at most [15]. Preventing packet loss in video conferencing calls is of vital importance for call quality [19]. In this context, the packet loss rate value, which determines the quality of the call, can be at most 1% [17]. Otherwise, the call quality is noticeably degraded. The most popular video conferencing applications used today are Zoom, Google Meet, Microsoft Teams and Skype [11], [20].

Technological developments causing the rapid increase in applications served over internet are also causing a significant increase in the number of devices connected to internet and in the traffic flowing over internet. As a result, the security needs of applications used over internet, such as video conferencing applications, are growing in proportion to the increasing risks of security threats [21]. The use of a firewall and VPN are the most basic security solutions for applications used over the internet, such as video conferencing applications. A firewall is a device that is placed at the internet connection point of a corporate network and filters the network traffic passing through it according to defined rules [22]. A VPN, on the other hand, allows a node outside the network to establish a secure connection to a corporate network through the internet cloud [23]

This study investigates the effects of firewall and VPN usage on application performance in video conferencing applications. Using simulation methodology, the study compares and analyses the results obtained by executing different simulation scenarios. Analysis of the effects of firewall and VPN usage on video conferencing application performance will provide guidance for future improvements in related applications, network protocols and components.

II. RELATED STUDIES

In this section, a literature review is presented. First, studies related to videoconferencing applications were mentioned. Then studies related to VoIP (Voice over Internet Protocol), another delay sensitive real-time application, were presented. Later, other network performance studies were given. All the studies presented in this section used the simulation method. Finally, the contribution of this study to the literature is mentioned.

In the study [24], the effects of using 802.11a, 802.11b and 802.11g standards in video conferencing applications are analyzed in terms of application performance. In the study where the simulation method was used, a different scenario was created for each standard. During the simulations of the scenarios, end-to-end delay time, WLAN (Wireless Local Area Network) delay time, MAC (Medium Access Control) delay time, number of packets sent, number of packets received, load and throughput statistical data were collected. When the results were analyzed, it was stated that video conferencing applications performed best in 802.11a standard and worst in 802.11b standard.

The study [25] analyzed the effects of FIFO (First-In-First-Out) queuing and WFQ (Weighted-Fair Queuing) mechanisms on the performance of video conferencing applications. During the simulations of the scenarios, data such as end-to-end delay time, packet delay variation, number of packets sent and received were collected and compared. As a result of the study, it was concluded that in terms of application performance, both queuing mechanisms provide results within acceptable value ranges, however, the FIFO queuing mechanism provides a better result.

In the study [26], the use of HTTP (HyperText Transfer Protocol), Remote Login, video conferencing and VoIP applications in 802.11 standard was analyzed in terms of performance. During the simulation of the scenarios, the number of packets sent and WLAN throughput statistics were collected and analyzed. Although the number of nodes was higher in HTTP and Remote Login applications, the data flow was lower compared to video conferencing and VoIP applications. As a result of the study, it was concluded that video conferencing and VoIP applications are prioritized in the network since they are delay-sensitive and real-time applications.

The study [27] analyzed the performance of DSR (Dynamic Source Routing) routing protocol under different traffic loads. HTTP, FTP (File Transfer Protocol), e-mail and video conferencing applications were used in the simulation scenarios. End-to-end delay time and throughput values were used as performance evaluation criteria. According to the simulation results, the average end-to-end delay time was the highest in the video conferencing application and the lowest in the HTTP application. In terms of throughput, video conferencing application achieved the highest value while HTTP application

achieved the lowest value. According to the overall results, it is concluded that HTTP application performed the best with DSR routing algorithm.

In the study [28], the performance of VoIP application with firewall and VPN was analyzed. During the simulation of the scenarios, end-to-end delay time, packet delay variation, number of sent and received packets values were collected. By analyzing the data, it has been stated that the use of VPN in VoIP applications gives better results than the use of firewall.

The study [29] compared the performance of MPLS (Multiprotocol Label Switching) and IP (Internet Protocol) routing algorithms using HTTP, FTP, VoIP and video conferencing applications. Data such as HTTP page response time, amount of data sent and received, packet delay variation and IP packet losses were collected during the simulation of the scenarios. As a result of the study, it was stated that MPLS routing performs better than IP routing.

In the study [30], the performance of FTP, database, VoIP and video conferencing applications were compared using Priority Queuing (PQ) and Weighted Fair Queuing (WFQ) mechanisms. Statistical data such as queuing delay time, queuing delay variation, end-to-end delay time, buffer memory usage, average throughput were collected during the execution of the simulated scenarios. According to the results, the video conferencing application produced the highest queuing delay time and queuing delay variation values in both PQ and WFQ mechanisms. As a result of the study; it was found that increasing the amount of buffer memory in the video conferencing applications increases the buffer memory usage while decreasing the dropped traffic, and also increasing the amount of buffer memory decreases the packet delay variation.

In the study [31], the performance of VoIP, a real-time application, was analyzed for its use with Differentiated Services in IPv4 and IPv6 networks. End-to-end delay time, packet delay variation and packet loss values were used as performance evaluation criteria. As a result of the simulations of the scenarios, it was observed that the use of Differentiated Services significantly improves the application performance in both IPv4 and IPv6 networks.

The study [32], investigates the effects of using firewall and VLAN (Virtual Local Area Network) for VoIP applications. According to the simulation results, the use of a firewall prevents threats from the external network, but in the event of an intense attack, performance is degraded, although application accessibility is preserved. While the use of firewall cannot protect against threats from the internal network, the use of a VLAN can. The use of a VLAN also enables the system to run more efficiently.

In the study [33], the effects of firewall and VPN usage on network performance were analyzed. Analyzing the results of simulated scenarios for HTTP, email and database applications, it was found that using a firewall increased application response time, reduced network utilization and the amount of data received. Using a VPN increased application response times more than using a firewall, but reduced network utilization and the amount of data received more than using a firewall.

Our study analyzed the effects of firewall and VPN usage on application performance in video conferencing applications. The end-to-end delay time, delay variation and packet loss values were used as determining criteria for application performance metrics. In our study, where the simulation method was used, statistical data for the corresponding criteria were collected during the simulation of the modelled scenarios. Previous studies have analyzed the performance of applications such as HTTP, FTP, email, database, VoIP and video conferencing in many aspects. However, there is no study specifically on the effects of firewall and VPN usage on application performance in video conferencing applications. This study addresses this gap in the literature by identifying and analyzing the effects of firewall and VPN usage on the performance of video conferencing applications. Future improvements in video conferencing applications, network protocols and components will be based on the identification and analysis of these effects.

III. MATERIAL AND METHOD

This section first introduced the network simulation approach and provided information on the network simulation tool used. It then discusses the network topology and scenarios that were modelled to obtain the study data. Finally, the video conferencing parameters used and the statistical data collected are described.

A. NETWORK SIMULATION and OPNET TOOL

Network simulation is a widely used approach for the design, implementation, optimization and performance evaluation of network topologies by modelling the behavior of a real network operating under various configurations [34]. With this approach, the planned scenarios can be run in a controlled and repetitive manner without the cost of setting up a real test network with real nodes, links and devices [34]. There are various simulation tools used for network simulation. With these tools, complex network topologies and traffic patterns that are difficult or impossible to replicate in a physical network can be easily created [35]. These tools provide the opportunity to test different protocols, compare different network designs and identify potential problems before building a real network. NS-2, NS-3, OMNeT++ and OPNET are among the most popular simulation tools accepted in the literature [35], [36], [37]. [38], [39] are among the studies in which these simulation tools are used. Because OPNET has a high-level graphical interface that is very easy to use [40], [41] and has fast simulation capabilities [41], [42], it was preferred in this study.

OPNET (OPtimized Network Engineering Tool) [43] is a well-recognized simulation tool in the literature that provides a comprehensive development environment for simulating, measuring and evaluating the performance of networks [35]. The main difference that distinguishes OPNET from other network simulation tools is its power and versatility [40]. OPNET, which has three basic functions as modelling, simulation and analysis, includes an extremely well-designed, user-friendly graphical interface [40].

OPNET can be used to design a wide variety of network models such as LAN (Local Area Network), WAN (Wide Area Network), internet network, mobile network, sensor network and satellite network [43]. For a designed network model, different scenarios can be created based on different topologies, routing, traffic and load parameters. These scenarios can be simulated and many different statistical data can be collected.

In the OPNET simulation tool, HTTP, FTP, Email, Database, Print, Remote Login, Video conferencing and VoIP applications are defined as default applications. In this study, the simulation of video conferencing applications was performed with version 14.5 of the OPNET simulation tool.

B. MODELLED TOPOLOGY AND SCENARIOS

The topology modelled in this study is shown in Figure 1. In this topology, a video conferencing call with three participants takes place. In the right part of the topology: two video conferencing clients (Video_Client_1 and Video_Client_2) are located in a local area network and connected to a switch (Switch_Client) via a 100 Mbps network cable. This switch is connected to the router (Router_Client) via a 100 Mbps network cable. In the left part of the topology, a video conferencing server (Video_Server) is located in a corporate network and is connected to a switch (Switch_Server) via a network cable with a speed of 100 Mbps. This switch is connected to a router (Router_Server) via a 100 Mbps network cable. The routers in both parts are connected to the internet cloud (IP Cloud) via fiber cables with a speed of 1 Gbps.
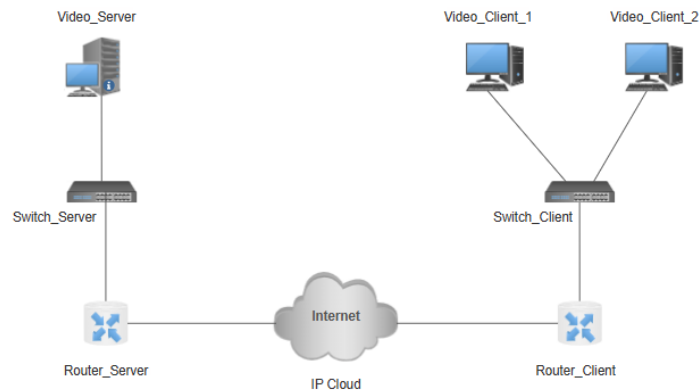
Figure 1. Video conferencing topology

Three scenarios were created on this topology. In the first scenario, no firewall and VPN connection were used. In this scenario, the simulation was performed with the topology as shown in Figure 1. This scenario is labelled as LAN in OPNET.

The difference of the second scenario, labelled as LAN_FW in the OPNET tool, from the first scenario is the firewall added to the topology. In this scenario, a firewall object was added between the router (Router_Server) and internet cloud (IP Cloud) objects in the left part of the topology. The topology of the scenario is shown in Figure 2.
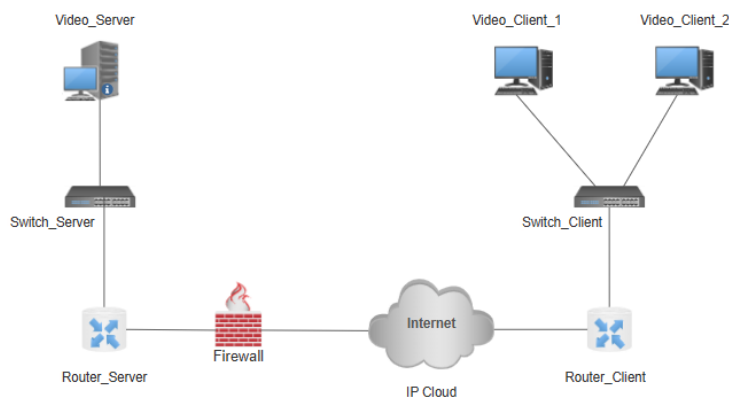
Figure 2. LAN_FW: Topology of -firewall usage scenario

The third scenario was created by adding an IP VPN configuration object labelled as VPN to the topology of the second scenario. Firewall and VPN objects were configured to ensure video conferencing traffic is over the VPN connection. The topology of this scenario, labelled as LAN_VPN in OPNET, is shown in Figure 3.

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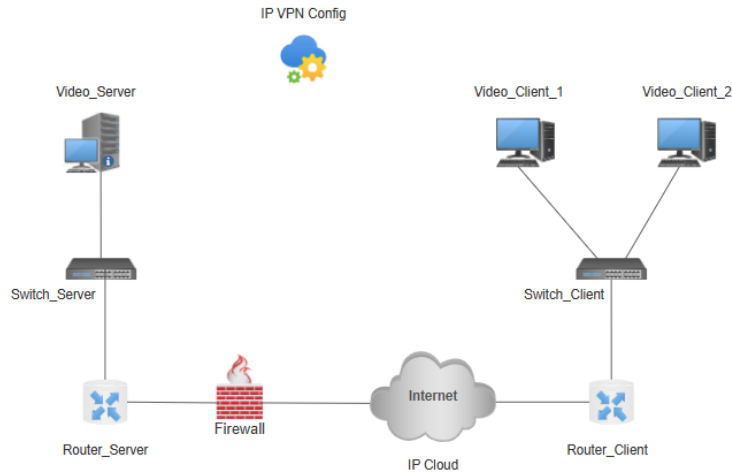
Figure 3. *LAN_VPN: Topology of VPN usage scenario*

C. VIDEO CONFERENCING CALL PARAMETERS

The OPNET simulation tool allows customizing the settings of defined applications. The video packet size of the video conference calls used in this study is 1,440 bytes. In the conference call, 15 video frames are produced every second and transmitted over the network.

D. COLLECTED STATISTICAL DATA

In this study, end-to-end delay, delay variation and packet loss values, which are determinants of the quality of video conferencing calls [13], [14], were measured. In studies such as [24], [25], performance analyses were performed by measuring the same values. In OPNET, the statistics selection screen shown in Figure 4 was accessed by clicking Choose Individual Statistics from the DES menu in the Project Editor. The statistical data collected during the simulation of the scenarios in this study are described in Table 1.
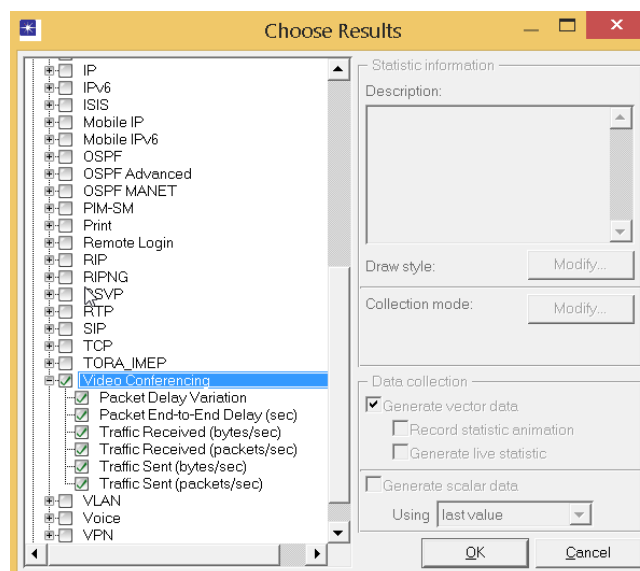
Figure 4. *Statistical data selection screen*

Table 1. *Collected statistical data.*

Statistics Name	Description	Measurement Unit
Packet End-to-End Delay	End-to-End delay time	msecs
Packet Delay Variation	Delay variation	msecs
Traffic Received	Amount of data received per sec	bytes/sec
Traffic Received	Number of packets received per sec	packets/sec
Traffic Sent	Amount of data sent per sec	bytes/sec
Traffic Sent	Number of packets sent per sec	packets/sec

IV. APPLICATION

In some previous studies, simulation scenarios were executed for 900 seconds in [44], 1,800 seconds in [45], 3,600 seconds in [33], [46]. In this study, on the Manage Scenarios screen of OPNET, which is shown in Figure 5 accessed from the Scenarios menu in the Project Editor, simulation durations are set to 1,800 seconds. By clicking OK, the simulations are executed as shown in the Simulation Execution Manager screen shown in Figure 6. The statistical data collected at the end of the simulation were converted into graphs and the effects of firewall and VPN usage in video conferencing applications on application performance were analyzed.
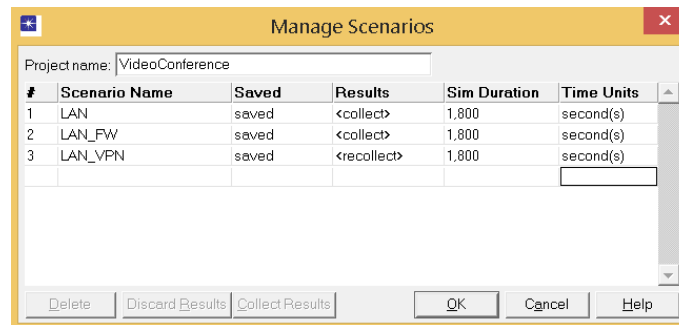
Figure 5. *Manage scenarios screen*
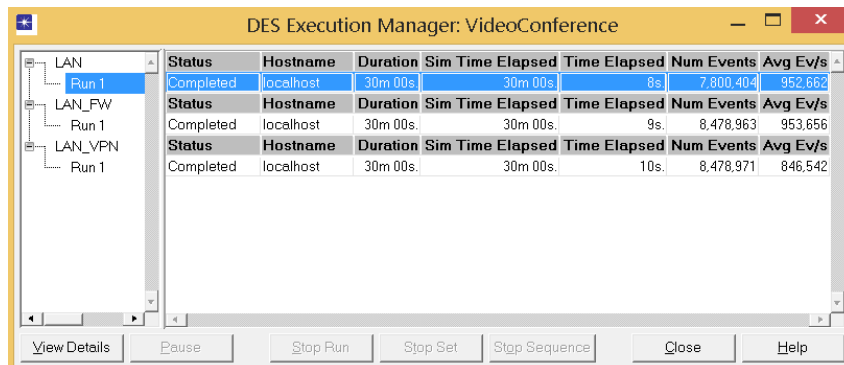
Figure 6. *Simulation execution manager screen*

A. END-TO-END DELAY TIME

As can be seen in Figure.7, the end-to-end delay is 0.54 msecs in the absence of firewall and VPN connection. The use of firewall increases the end-to-end delay by approximately 0.035 msecs. When a VPN connection is used, the end-to-end delay increases by about 0.047 msecs. These found values are below 100 msecs, which is the acceptable value for a quality video conference call.
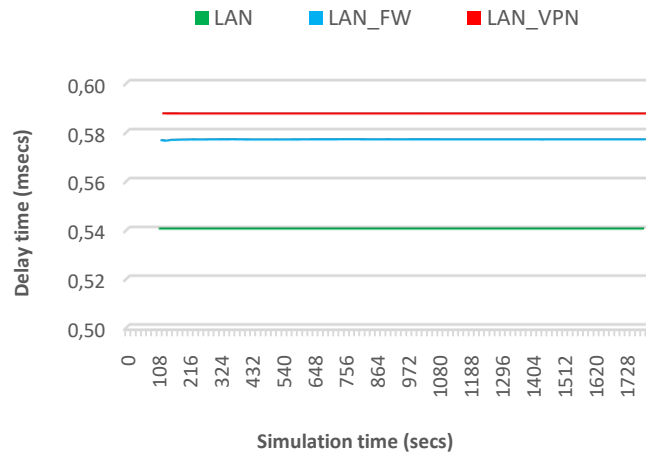
Figure 7. *End-to-end delay time*

B. PACKET DELAY VARIATION (JITTER)

When a firewall and VPN connection are not used, the packet delay variation is 0. In the scenario where a firewall is used, this value is 0.0000012 msecs. When VPN is used, the packet delay variation is again 0. These values are below the acceptable value of 50 msecs for a quality video conference call. The graph of the measured values is shown in Figure.8.
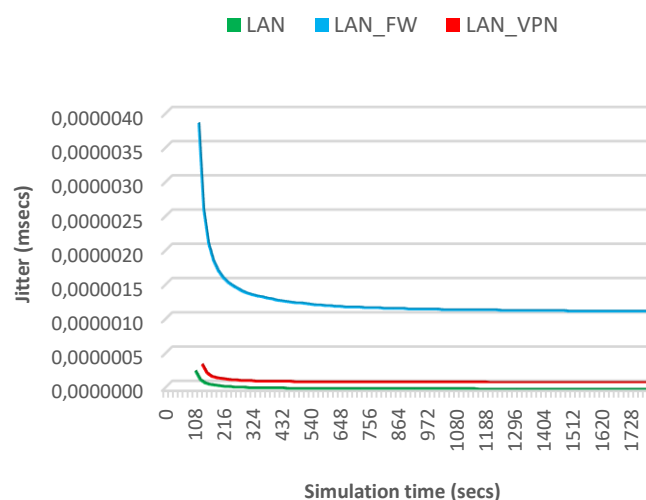
Figure 8. *Packet delay variation (Jitter)*

C. NUMBER OF PACKETS SENT AND RECEIVED

The number of packets sent refers to the total number of packets sent by participants in the video conference call per second. The total number of packets sent per second during the video conference call is 60 for all three scenarios, as shown in Figure 9 (a). Each client sends 15 video packets per second. The server sends 30 video packets per second. Therefore, there is no packet loss.

The total number of packets received per second by the participants in the video conference call is 60 for all three scenarios, as shown in Figure 9 (b). Since each client receives 15 video packets per second and the server receives 30 video packets per second, there is no packet loss in the conference call.
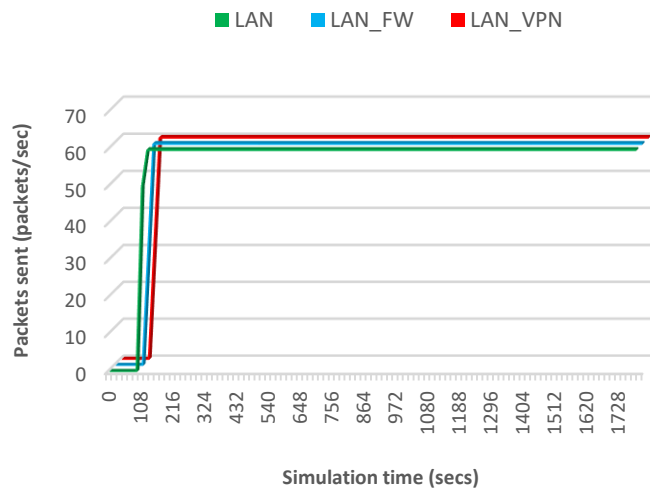
(a)
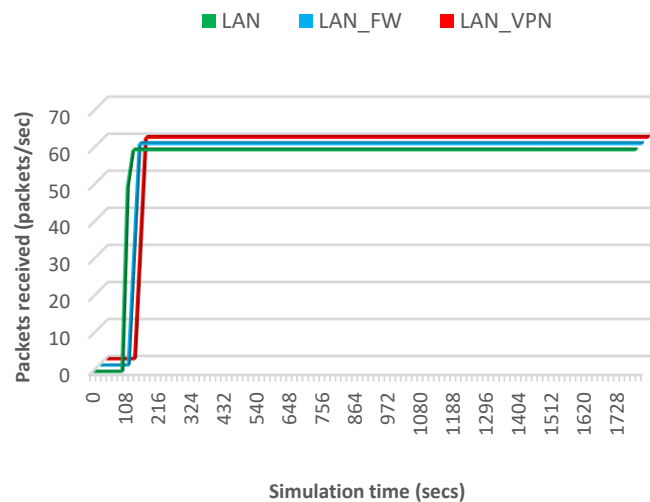
(b)

Figure 9. *(**a**) Number of packets sent (**b**) Number of packets received*

D. AMOUNT OF DATA SENT AND RECEIVED

The amount of data sent is the total amount of data sent by the participants of the call in one second. This value is 86,400 for all scenarios during the video conference call. This value is compatible because 60 video packets of 1,440 bytes each are sent per second across the entire network. The measured values are shown in Figure 10 (a).

The total amount of data received per second by the participants in the video conference call is 86,400 in all scenarios, as shown in Figure 10 (b). In the whole network, a total of 60 video packets of 1,440 bytes each are received per second.
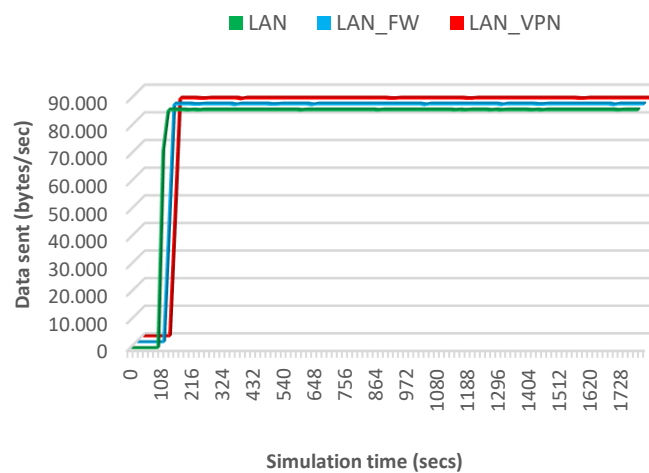
(a)
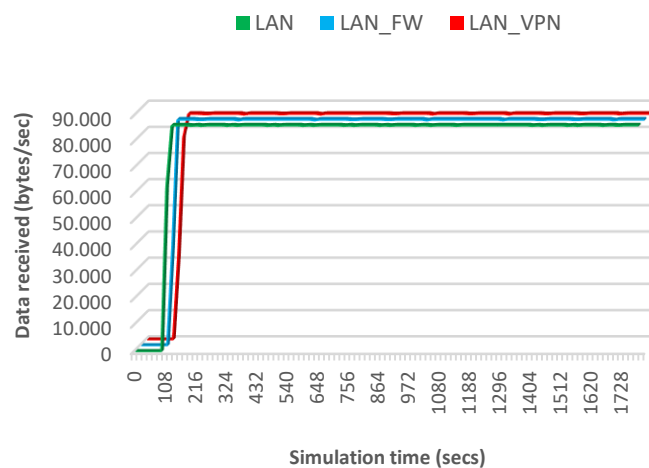
(b)

***Figure 10.** (a) Amount of data sent (b) Amount of data received*

V. CONCLUSION

This section begins by evaluating the results of the study. It then discusses the limitations of the study and how it could be improved. Finally, some suggestions are made for other areas that could be the subject of study.

A. EVALUATION OF THE RESULTS

The use of a firewall and VPN is known to affect the performance of applications used on the network. In this study, their effects on video conferencing applications were measured and analyzed. It was found that the use of a firewall increases the end-to-end delay time by about 0.035 msecs. The firewall filters all packets passing through it according to predefined rules. It allows packets that comply with the rules to pass through while blocking packets that do not comply with the rules. It is clear that this filtering process causes extra delay. When a VPN connection is used, the end-to-end delay time increases by about 0.047 msecs. The VPN connection encrypts packets and adds additional headers to the packets to establish a secure end-to-end connection. These processes applied to the packets cause extra delay. It was also found that the use of a VPN connection causes a greater increase in end-to-end delay time than the use of a firewall.

The study measured packet delay variation as 0 in the scenarios in which no firewall and VPN were used. This indicates that two consecutive packets arrive at the destination with the same latency in these scenarios. When the firewall was used, the packet delay variation was 0.0000012 msecs. While the firewall filters the packets passing through it, it causes a delay in the packets. However, it is almost impossible for two consecutive packets that need to reach their destination at the same time to have the same filtering time. Packet delay variation takes the value 0 when VPN is used. When using a VPN, the filtering process on the firewall is bypassed and all data communication takes place directly between two secure endpoints.

When packet loss is considered in the study, video packets are successfully transmitted in all simulated scenarios and no packet loss is observed.

In this study, end-to-end delay, delay variation and packet loss values were measured for video conferencing calls. All simulated scenarios meet the minimum requirements for these values. In other words, the modelled topology and scenarios provide high quality video conferencing calls.

B. DISCUSSION AND SUGGESTIONS

With the widening of application areas in accordance with current communication needs, the need to use video conferencing applications with more participants and higher video resolution values is increasing. In addition, video conferencing applications are being enhanced each passing day with additional features such as screen sharing and whiteboarding. As a result of these developments in video conferencing applications, it can be predicted that the effects measured in our study will be greater with the use of higher resolution and more participants. Again, as additional features are added to video conferencing applications, it can be predicted that the amount of data transmitted, and thus the effects analyzed in our study, will increase. In this context, the evaluation of our study, together with further studies with higher resolution and more participants, will provide much more meaningful results. Thus, more advance information will be obtained for improvements in video conferencing applications, which is one of our study goals. Based on this information, for example, video compression algorithms and methods can be improved. This advanced information will be used to help improve network protocols and components, one of the goals of our study.

In this study, video conferencing application is studied with a particular video resolution and three participants. Further developments of the study using different parameters, will provide more meaningful information in this area. In this context, in video conferencing applications

- Using higher video resolution values,
- Increasing the number of participants,
- Using different network technologies such as Wi-Fi (Wireless Fidelity) and WiMAX (Worldwide Interoperability for Microwave Access),
- Changing the features of network devices,
- Using different network topologies,
- Using different queuing mechanisms and
- Using different routing methods,

are other areas that need to be analyzed for their effects on performance. Another area worthy of further research is the application of similar studies to web conferencing applications, which are used over web browsers.

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Effect of Different Dimpled Fin Configurations and Angles on Entropy Generation, Flow Behavior, and Thermal Performance

Emrehan GÜRSOY [a,*], Alper ERGÜN [b], Engin GEDİK [b]

[a] *Audit Department, Kardemir Karabük Iron Steel Industry Trade & Co. Inc., Karabük, TÜRKİYE*
[b] *Department of Mechanical Engineering, Faculty of Engineering, Karabük University, Karabük, TÜRKİYE*
* *Corresponding author's e-mail address: emrehangursoy@gmail.com*
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ABSTRACT

Recent studies highlight that flow in tubes with dimpled fins provides significant thermal performance improvement. Although the variety of these fins comes to the fore today, there is no comprehensive study on which geometry provides better performance. In this study, the heat transfer, entropy generation, and performance effects of dimpled fins with 6 different geometries and 17 different configurations, machined on a smooth tube and having the same surface area, were numerically analysed under steady-state, thermally and hydrodynamically developing flow conditions. Water has been considered as working fluid and it flowed under laminar conditions (1000≤Re≤2000). According to obtained results, the cube-shaped dimpled fins arranged as parallel to flow (CuDT/C) exhibit the highest average Nusselt number, with increases of 95.21%, 176.25%, and 272.13% for Re=1000, 1500, and 2000, respectively, compared to smoot tube. It has been determined that CuDT/C increases the performance evaluation criterion at the rates of 65.94%, 115.96%, and 176.79% for Re=1000, 1500, and 2000, respectively.

Keywords: Different dimpled fin types, Entropy generation, Laminar flow regime, Performance evaluation criterion, Thermo-hydraulic performance

Farklı Çukurlu Kanat Konfigürasyonları ve Açılarının Entropi Üretimi, Akış Davranışları ve Termal Performans Üzerindeki Etkisi

ÖZ

Son yapılan çalışmalar, çukurlu kanatçıklara sahip kanallardaki akışın önemli ölçüde termal performans iyileştirmesi sağladığını vurgulamaktadır. Ancak günümüzde bu kanat çeşitliliği öne çıkmasına rağmen, hangi geometrinin daha iyi performans sağladığına dair kapsamlı bir çalışma bulunmamaktadır. Bu çalışmada, düz boru üzerinde işlenmiş ve aynı yüzey alanına sahip 6 farklı geometri ve 17 farklı konfigürasyonuna sahip çukur kanatların, ısı transferi, entropi üretimi ve performans etkileri, sürekli durum, ısıl ve hidrodinamik olarak gelişen akış koşullarında sayısal olarak analiz edilmiştir. Çalışma akışkanının su olduğu ve laminer koşullar altında (1000≤Re≤2000) akışın gerçekleştiği varsayılmıştır. Elde edilen sonuçlara göre akışa paralel olarak düzenlenmiş küp şekilli çukur kanatlar (CuDT/C), en yüksek ortalama Nusselt sayısını sağlamıştır ve düz kanal ile kıyaslandığında Re=1000, 1500 ve 2000 için sırasıyla %95,21, %176,25 ve %272,13 artışlar kaydedilmiştir. CuDT/C'nin performans değerlendirme kriterini Re=1000, 1500 ve 2000 için sırasıyla %65,94, %115,96 ve %176,79 oranlarında artırdığı belirlenmiştir.

Anahtar Kelimeler: Entropi üretimi, Farklı çukur kanat tipleri, Laminer akış rejimi, Performans değerlendirme katsayısı, Termo-hidrolik performans.

I. INTRODUCTION

Heat transfer enhancement studies have gained importance due to the increase in energy consumption on a global scale and the decrease energy sources [1]. As a result, researchers and engineers have proposed many methods grouped under two main heat transfer enhancement techniques passive and active [2]. From a different viewpoint, passive heat transfer enhancement techniques are preferred over active heat transfer enhancement techniques because of their simple producibility and cost-effectiveness during both operation and investment [3]. Therefore, most researchers have spent their time examining the heat transfer and flow characteristics of passive heat transfer enhancement techniques [4], [5].

According to previous studies, dimpled fins evaluated under heat transfer area augmentation procure an important enhancement rate and control compared with others [4]. On the basis of this outcome, many researchers have carried out remarkable studies both experimentally and numerically. It is aimed to reveal the heat transfer phenomenon of dimpled fin shapes and rheological functions in these studies. For example, Paul et al. [6] conducted a numerical study on a cross-flow heat exchanger modelled with spherical dimpled fins. The results show that dimpled fins enhanced the Nusselt number (Nu) at the rate of 7.33% compared to smooth surfaces. Besides, the maximum performance evaluation criterion (PEC) has been found as 1.034 on the condition using the dimpled fins. Pazarlıoğlu et al. [7] conducted a detailed study on a sudden expansion tube modified with elliptical dimpled fins under a laminar flow regime. In the study, dimpled fins were aligned in different positions, horizontal and vertical. According to the results, vertically aligned dimpled fins performed remarkable increments in convective heat transfer compared with horizontal fins. Another special dimpled fin-shaped study was performed by Zhang and colleagues [8]. They used star-shaped dimpled fins locally mounted on a tube to examine the heat transfer and flow characteristics. The result indicated that star-shaped dimpled fins performed a more convective heat transfer than elliptical dimpled fins at a rate of 24.8%. Sabir et al. [9] numerically investigated the thermo-hydraulic performance of both elliptical and teardrop dimpled fins under a turbulent flow regime with a range of 9000≤Reynolds number (Re)≤40000. The researchers have determined the optimal working range in their study. Another performance enhancement investigation for a teardrop-dimpled tube on twisted tape was conducted by Bucak and Yılmaz [10]. The simulations were conducted for 3000≤Re≤27000 and different pattern densities (N=30 and 45). The results demonstrated that teardrop dimpled fins can increase the thermal performance by up to 50%. Mironov et al. [11] performed a numerical analysis on a tube retrofitted with capsule dimpled fins, which have different geometric configurations, to examine the heat transfer performance, vortex generation, and flow characteristics of a heat exchanger. According to the results, it can be seen that not only does the application of oval dimpled fins increase the convective heat transfer rate in the system, but also the change in the oval shape significantly affects this phenomenon.

Based on existing studies, many researchers have carried out many studies on different fin shapes to reveal the thermo-hydraulic performance of the system. However, there is no comprehensive study aimed at determining which fin shape is prominent in terms of thermo-hydraulic performance and entropy generation on a thermal system. For this purpose, a comparative study was conducted on six different dimpled fins, including different placement angles, in the scope of this study. In total, seventeen geometries have been investigated independently from the surface area under laminar flow conditions (1000≤Re≤2000). The results are comparatively given and supported by several contours and local velocity vectors.

II. MATERIAL METHOD

Detailed information about numerical analysis, working fluid, and solution methods has been presented in this section.

A. DESCRIPTION OF THE ANALYSIS DATA

In this numerical study, a comparative investigation was conducted to present the thermo-hydraulic characteristics of different dimpled fin shapes with different placement angles. Summarized geometric information, dimensions of the dimpled fins, and boundary conditions are presented in Figure 1. As the fluid domain, a circular tube with length and diameter L=1500 mm and D=16 mm was used, respectively, and water has been used as a working fluid at Re=1000, 1500, and 2000. In addition, the fluid enters the tube at a constant inlet temperature of 300 K and as a hydrodynamically developing flow. Different dimpled fins with $A_{surface}$= 36 mm^2 were mounted on the tube at a pitch length of P=15 mm, and the entire wall was heated by an imaginary heater by exposure to a heat flux of q″=600 W/m^2. The inlet velocity (V_{inlet}) shows variation with Re, and it has been assumed that fluid flows to the atmosphere (P_{outlet}=1 atm). Several assumptions given below have been considered in this study.

- Solutions are conducted for single-phase,
- The no-slip condition is accepted for the entire tube wall,
- Buoyancy force and inertial force are neglected,
- Fluid flow is incompressible,

(a)

(b)
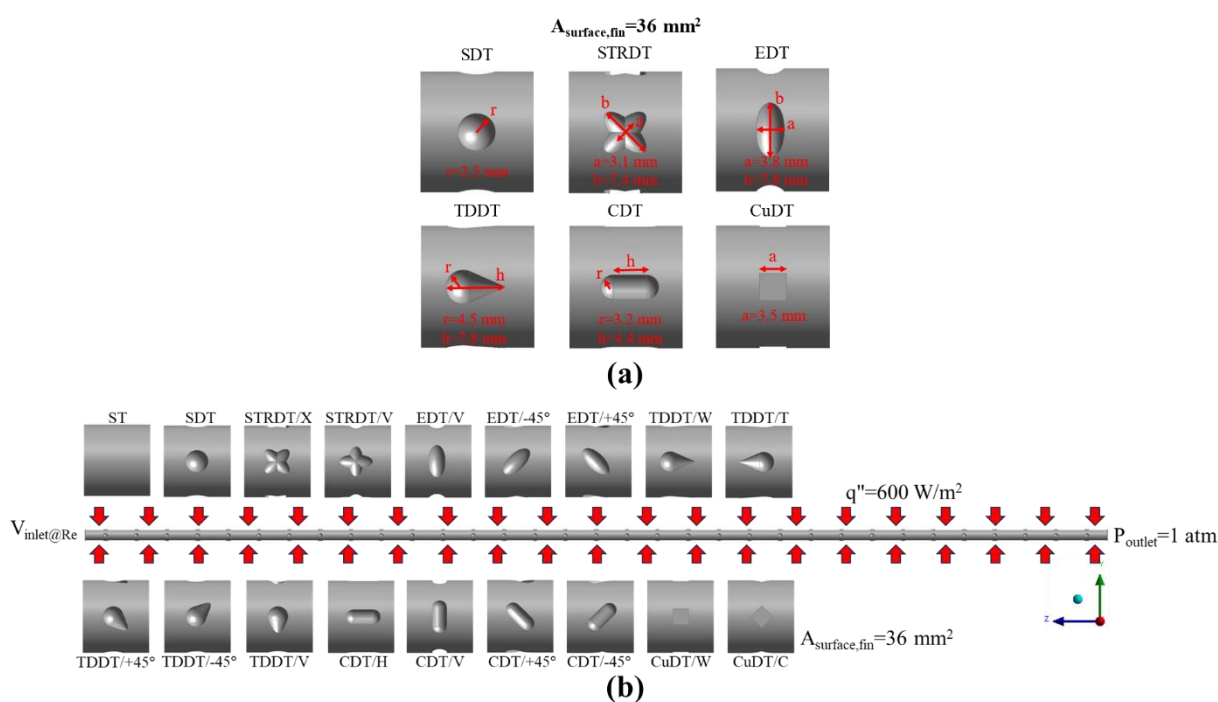
Figure 1. Detailed view of; (a) dimpled fin dimensions and (b) boundary conditions of the computed fluid domain.

B. GOVERNING EQUATIONS

Based on the assumption given in the above section, the dimensionless governing equations are as follow:

Continuity equation [12]:

$$\frac{\partial U_x}{\partial x} + \frac{\partial U_y}{\partial y} + \frac{\partial U_z}{\partial z} = 0 \tag{1}$$

Momentum equation [12]:

$$\frac{\partial (U_i U_x)}{\partial x} + \frac{\partial (U_i U_y)}{\partial y} + \frac{\partial (U_i U_z)}{\partial z} = -\frac{\partial p}{\partial i} + \frac{1}{Re}\left(\frac{\partial \tau_{xi}}{\partial x} + \frac{\partial \tau_{yi}}{\partial y} + \frac{\partial \tau_{zi}}{\partial z}\right) \tag{2}$$

Energy equation [12]:

$$\frac{\partial(U_x T)}{\partial x} + \frac{\partial(U_y T)}{\partial y} + \frac{\partial(U_z T)}{\partial z} = \frac{1}{RePr}\left(\frac{\partial^2 T}{\partial x^2} + \frac{\partial^2 T}{\partial y^2} + \frac{\partial^2 T}{\partial z^2}\right) \tag{3}$$

C. DATA REDUCTION

Some dimensionless and mathematical impressions were used in the study to reach meaningful results in terms of heat transfer and flow characteristics. In this connection, Re, which is a dimensionless flow regime indicator, has been used to determine the flow regime status as given in Eq. (4) [13].

$$Re = \frac{\rho U D}{\mu} \tag{4}$$

where, ρ [kg/m^3], U [m/s], D [m], and μ [kg/ms] specify the density, velocity, diameter, and dynamic viscosity, respectively. When considering the adiabatic mixing of the working fluid in the tube, the equilibrium temperature defined as the bulk temperature can be found in Eq. (5). In addition, the convective heat transfer rate between the tube wall and the working fluid can be identified with Eq. (6) [13].

$$T_b = \frac{T_{inlet} + T_{outlet}}{2} \tag{5}$$

$$h = \frac{q''}{T_w - T_b} \tag{6}$$

where, q'' [W/m^2] and T_w [K] describe the heat flux and average wall temperature, respectively. Furthermore, dimensionless convective heat transfer can be expressed using Eq. (7) [14].

$$Nu = \frac{hD}{k} \tag{7}$$

where, k [W/mK] is the thermal conductivity of the working fluid. To determine the frictional energy loss through the longitudinal tube, the theoretical Darcy friction factor given in Eq. (8) can be used [14].

$$ff = \frac{\Delta P}{\frac{L}{D}\frac{\rho V^2}{2}} \tag{8}$$

where ΔP [Pa] denotes the pressure drop between the inlet and outlet of the tube. In addition, PEC, which is a dimensionless number, is used to reveal the effectiveness of the dimpled fins and can be calculated with Eq. (9) [15]. In this equation, Nu and ff obtained from a dimpled tube (DT) are compared to those from a smooth tube (ST), and the cases provided with a PEC>1 condition are considered.

$$PEC = \frac{Nu_{xDT}/Nu_{ST}}{f_{xDT}/f_{ST}} \tag{9}$$

Another investigation of thermal system performance examines entropy generation. In thermal systems, considerable irreversibility occurs due to friction, finite temperature differences, and chemical reaction phenomena. Thanks to this, the entropy generation effect of different dimpled fins has been investigated. The total entropy generation is divided into two sections: thermal entropy generation and frictional entropy generation arising from finite temperature difference and friction along the tube, respectively. The equations related to entropy generation are presented in Eqs. (10)-(12) [7].

$$\dot{S}_{gen,total} = \dot{S}_{gen,thermal} + \dot{S}_{gen,frictional} \tag{10}$$

$$\dot{S}_{gen,thermal} = \frac{q'^{2}L}{\pi k N u T_{b}^{2}} \tag{11}$$

$$\dot{S}_{gen,frictional} = \frac{32\dot{m}^{3}fL}{\rho^{3}T_{b}\pi^{2}D^{5}} \tag{12}$$

where, q´ [W/m] specifies the applied heat power magnitude per meter. On the other hand, the Bejan number (Be), which evaluates the share of thermal entropy generation on total entropy generation, has been researched via Eq. (13) [7].

$$Be = \frac{\dot{S}_{gen,thermal}}{\dot{S}_{gen,total}} \tag{13}$$

D. THERMOPHYSICAL PROPERTIES OF THE WORKING FLUID

Water, which is one of the most used heat trasnfer fluids in systems, was selected as the working fluid in this study. The thermophysical properties of water are shown in Table 1.

Table 1. Thermophysical properties of water [16].

Thermophysical Properties	Magnitude
Density, ρ, kg/m^3	998.2
Thermal Conductivity, k, W/mK	0.6
Specific Heat, cp, J/kgK	4182.0
Dynamic Viscosity, μ, kg/ms	0.001003

E. COMPUTATIONAL SOLUTION PROCEDURE

In this numerical investigation, the steady state and single-phase solution approach was employed. The analysis focused on laminar flow conditions, encompassing activities such as geometry formation, mesh examination, solution processing, and post-processing using the ANSYS Fluent 2020 R2 software. Computational data were processed using the pressure-based type and absolute velocity formulation, with the SIMPLE algorithm for pressure-velocity coupling. The second-order upwind scheme was deliberately chosen because its ability to ensure reasonable stability in internal flow issues across all simulations. Error minimization in the analyses was achieved by adopting of the least squares cell-based method. Meanwhile, the iterative process persisted until the residuals reached a threshold of 10^{-6}.

F. MESH CONVERGENCE STUDY AND MESH STRUCTURE

Since the numerical analyses were carried out according to the Finite Volume Method, the fluid domain was divided into many small volumes, and software conducted the analysis process for each small volume. When dividing the fluid domain into small volumes, attention should be paid to mesh quality values and mesh methods. In this study, local and general mesh settings were used to form the mesh structure, and a tetrahedron mesh structure was used. In each mesh setting obtained, skewness and orthogonal mesh quality values were considered. Since the number of mesh structures formed in the fluid domain directly affects the results and solution time, a mesh independence study was conducted. The relevant study was performed for the case where water at Re=2000 flows from the ST. According to the outcomes of this study, variations in the results, number of meshes, and quality values are given in Table 2. The mesh structures belonging to ST and CuDT/C taken from selected mesh settings are shown in Figure 2.

Table 2. Mesh convergence study results.

Study No	Mesh Number	Nu	Deviation of Nu	f	Deviation of f	Min. Orthogonal Quality	Max. Skewness Quality
1	52360	11.20	19.79%	0.0372	9.4%	0.564	0.725
2	220540	10.54	12.73%	0.0345	2.2%	0.611	0.605
3 (selected)	425600	9.39	0.43%	0.0339	0.5%	0.815	0.469
4	621560	9.36	0.11%	0.0338	0.3%	0.841	0.415
5	740400	9.35	0.0%	0.0338	0.3%	0.865	0.406
6	950390	9.35	0.0%	0.0337	0.0%	0.894	0.401
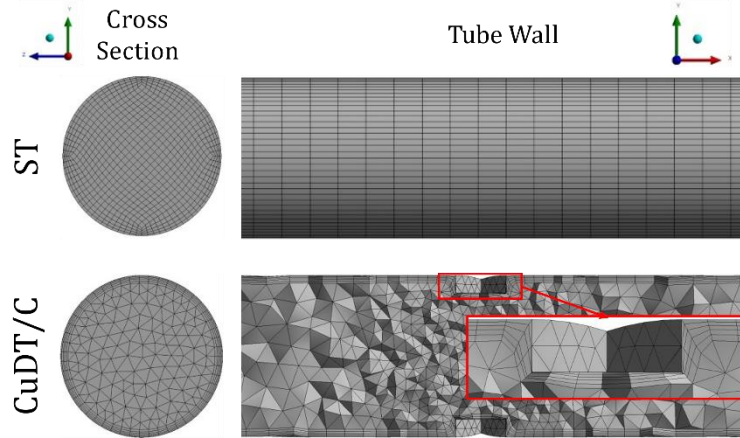
Figure 2. The mesh structure of ST and CuDT/C after optimal settings.

III. RESULTS

Before the start of continuous analyses, validation of the mesh structures and solution procedures has to be performed. For this purpose, the validation process of the fluid domain has been conducted for ST using water at Re=1000, 1500, and 2000, and well-known correlations in the literature were used for comparison. Whereas Shah-London and Sieder-Tate correlations, which are given for the laminar flow regime, have been used for the validation of Nu, Hagen–Poiseuille has been utilized for the validation of ff. These equations and auxiliary equations have been presented in Eqs. (14)-(17), respectively. The comparative results are presented in Figure 3. According to the results, the error rate of Nu has been detected as 4.72% and 9.76% at Re=2000 compared to Sieder-Tate and Shah-London correlations, respectively. Besides, the error rate of ff has been found to be 5.71% compared to the Hagen-Poiseuille correlation. Generally, the obtained error rate can be accepted for continuous analyses when looking at published studies.

Shah-London correlation [17]:

$$Nu = 1.953 \left(Re \cdot Pr.\frac{D}{L}\right)^{1/3} ; \left(Re \cdot Pr.\frac{D}{L}\right) \geq 33.3 \tag{14}$$

Sieder-Tate correlation [18]:

$$Nu = 1.86 \left(Re \cdot Pr.\frac{D}{L}\right)^{1/3} \tag{15}$$

Hagen- Poiseuille correlation [19]:

$$ff = \frac{64}{Re} \tag{16}$$

Prandtl number [20]:

$$Pr = \frac{c_p \mu}{k} \tag{17}$$
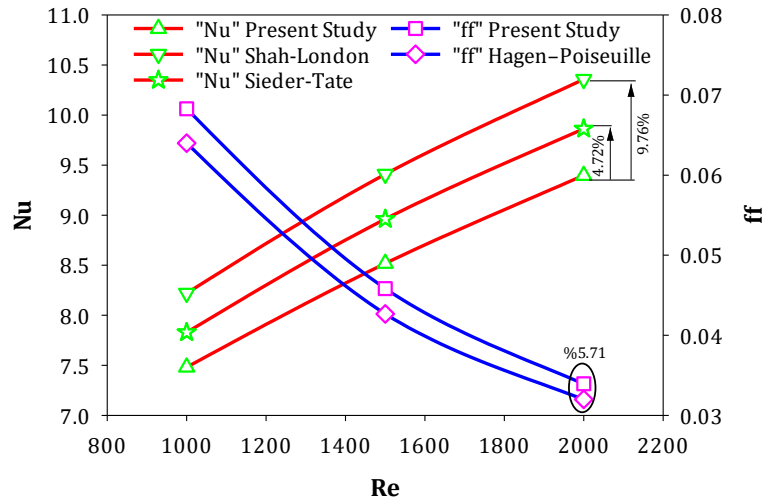
Figure 3. *Validation of the numerical results with well-known correlations.*

The convective heat transfer performance of DTs has been presented in Figure 4 as a function of Re. The results show that as Re increases, Nu tends to increase as expected. The highest Nu has been obtained from the CuDT/C case as 34.97 at Re=2000. The main reason for these results is based on the effect of the cube shape and its placement angle on flow characteristics. As the working fluid flows over the CuDT/C, it divides into two and forms the highest vortex in the channel as shown in Figure 12. This contributes to the hydraulic boundary layer on the near-wall being distributed and heat transfer being increased. The order of the cases from highest to lowest at Re=2000 according to Nu is as follows; CuDT/C, SDT, CuDT/W, TDDT/-45°, TDDT/+45°, TDDT/W, TDDT/V, TDDT/T, CDT/+45°, CDT/V, CDT/-45°, EDT/+45°, EDT/-45°, EDT/V, STRDT/V, CDT/H, STRDT/X, ST. Besides, the Nu increment rate of CuDT/CT is acquired as 95.21%, 176.25%, and 272.13% at Re=1000, 1500, and 2000, respectively. Furthermore, the placement angle transition of CuDT from W to C resulted in enhancement of 26.47%, 51.54%, and 65.46% at Re=1000, 1500, and 2000, respectively.
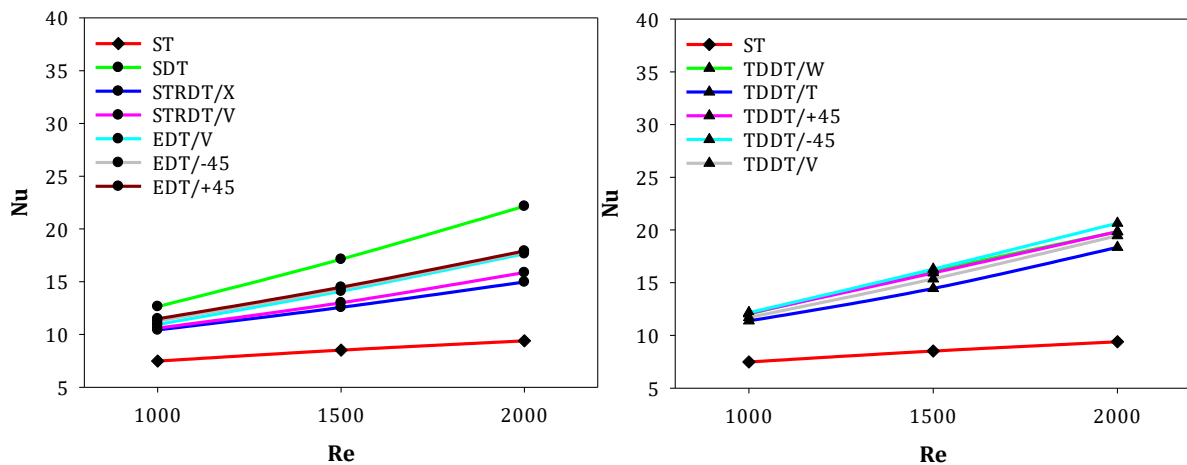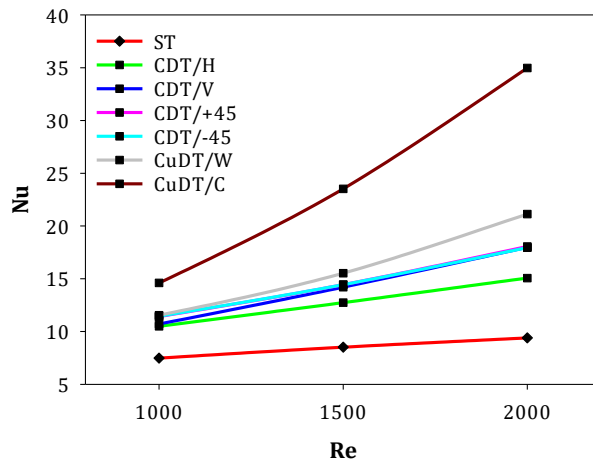
Figure 4. *Variation of Nu with Re for different DTs.*

Variation of ff with Re is given in Figure 5. The results show that as Re increases, ff tends to decrease as expected. The lowest ff has been presented by CDT/H, except for ST. The increment rate of ff along with CFT/H is realized as 37.35%, 51.37%, and 66.90% for Re=1000, 1500, and 2000, respectively. The order of the cases from lowest to highest at Re=2000 according to ff is as follows; ST, CDT/H, STRDT/X, STRDT/V, TDDT/T, TDDT/W, CDT/V, CDT/-45, CDT/+45, EDT/-45, CuDT/W, TDDT/+45, EDT/+45, EDT/V, TDDT/-45, TDDT/V, SDT, CuDT/C. Besides, the placement angle transition of CDT from H to V, +45°, and -45° causes a decrease of 15.16%, 16.19%, and 16.31% at Re=2000, respectively.
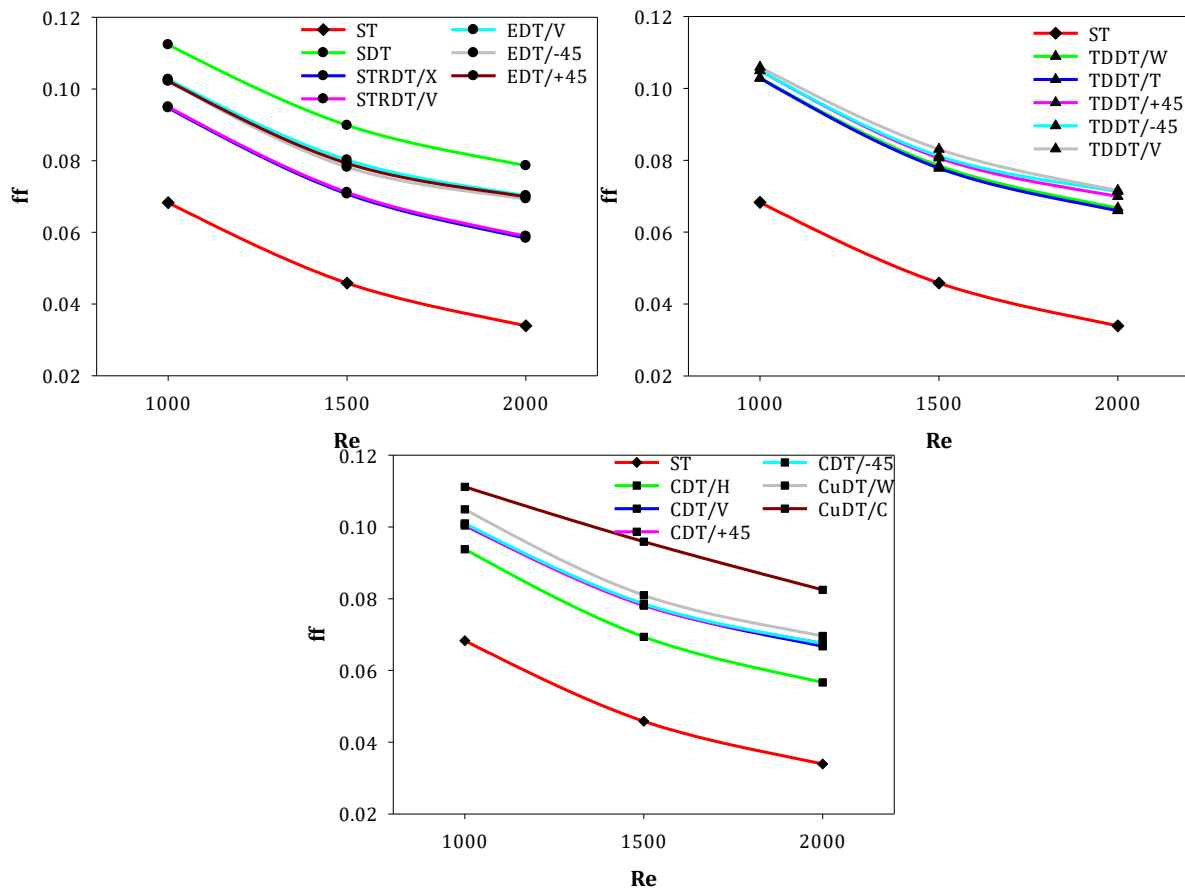
Figure 5. Variation of ff with Re for different DTs.

Based on the Nu and ff results, the PEC, which shows the effectiveness factor of enhancement techniques, is presented in Figure 6 as a function of Re. The results indicate that although CuDT/C causes the highest ff among the fin types, it performed the highest PEC. The reason for this result is that CuDT/C forms more vortices, distributing the velocity and temperature boundary layers and causing Nu to be more dominant on f. According to the calculation, CuDT/C increases the PEC at the rates of 65.94%, 115.96%, and 176.79% for Re=1000, 1500, and 2000, respectively. Compared to CuDT/W, the PEC results of CuDT/C exhibited an increase of 19.39%, 30.18%, and 36.05% at Re=1000, 1500, and 2000, respectively.
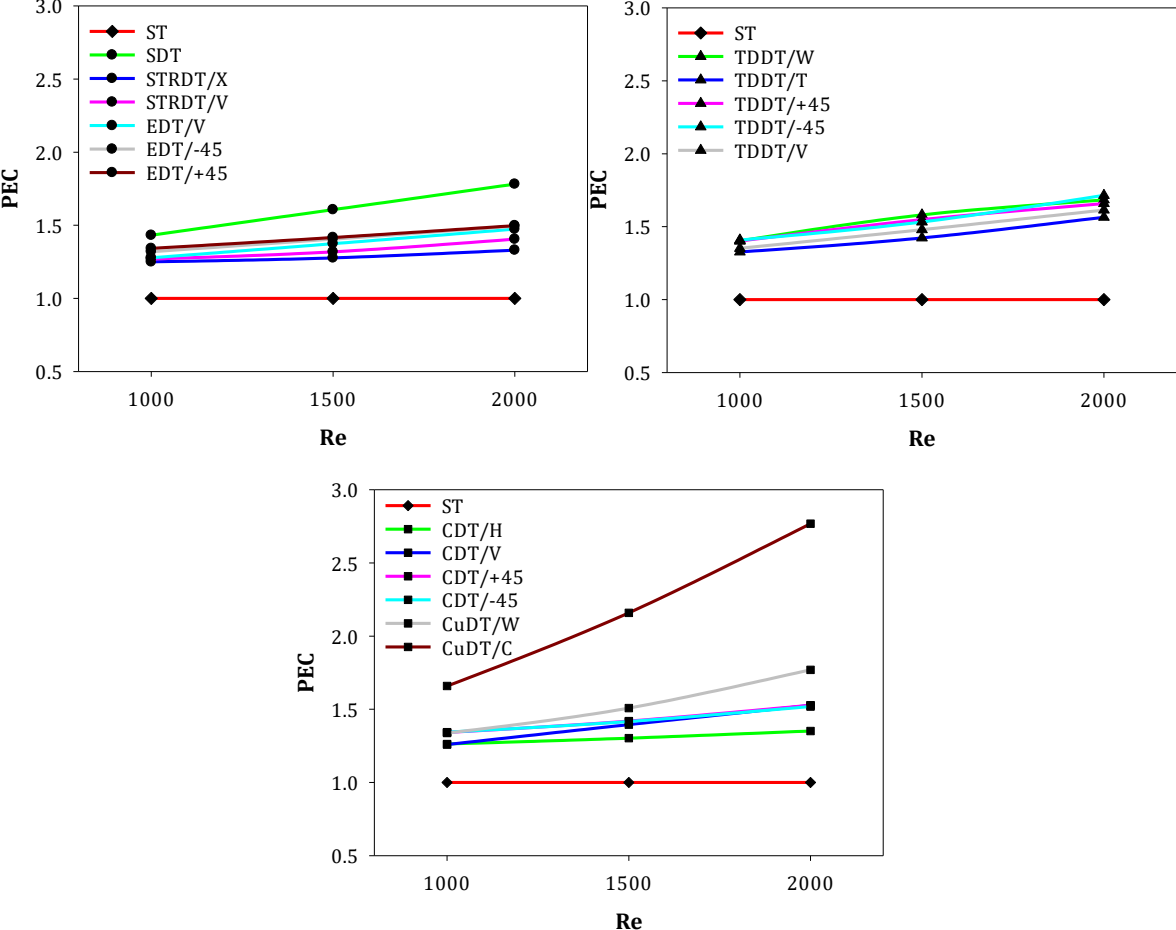
Figure 6. *Variation of PEC with Re for different DTs.*

The entropy generation arising from the finite temperature difference is presented in Figure 7 for all DTs. According to the result, all DTs show a remarkable decrease in $\dot{S}_{gen,\,thermal}$ compared to ST and the lowest situation has been performed by CuDT/C. The decrement rate in CuDT/C has been realized as 40.49%, 54.36%, and 63.37% for Re=1000, 1500, and 2000, respectively, compared to ST. When investigating the dimpled fin placement angle effect on $\dot{S}_{gen,\,thermal}$, CuDT/C provided a decrease of 17.56%, 27.83%, and 30.63% compared with CuDT/W. The reason for this is that CuDT/C forms more vorticity on both the upstream side and around, with this effect becoming more pronounced as Re increases. This vorticity positively affects the thermal and hydrodynamic boundary layers, enhancing the fluid's ability to absorb heat from the heated surface of the tube, thereby increasing convective heat transfer. Because of this, $\dot{S}_{gen,\,thermal}$ performed more decreasing with the help of CuDT/C.
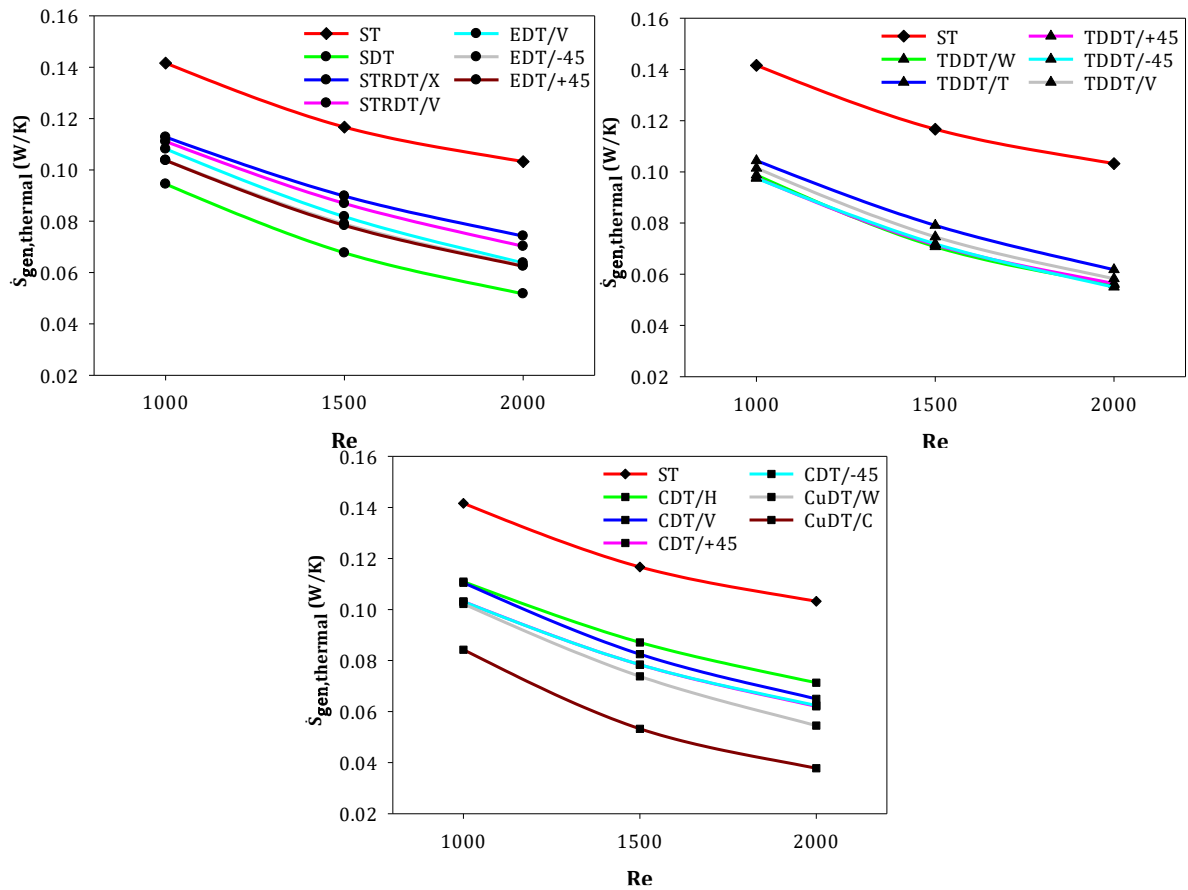
Figure 7. *Variation of $\dot{S}_{gen,\,thermal}$ with Re for different DTs.*

The entropy generation derived from various phenomena such as friction, pressure drop, and viscous dissipation friction are shown in Figure 8. It can be clearly seen that $\dot{S}_{gen,\,frictional}$ of all DTs is greater than that of ST because of the increased surface area and direct impingement of water on the upstream side of the dimpled fins. Among the DTs, CDT/H had the lowest $\dot{S}_{gen,\,frictional}$. The results show that CDT/H has more $\dot{S}_{gen,\,frictional}$ than ST at the rates of 37.35%, 51.37%, and 66.89% for Re=1000, 1500, and 2000, respectively.
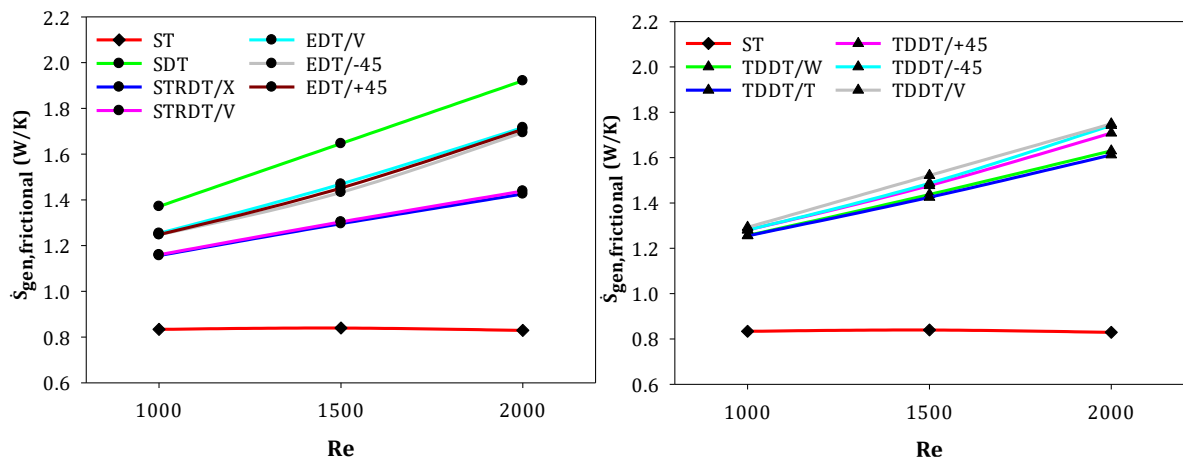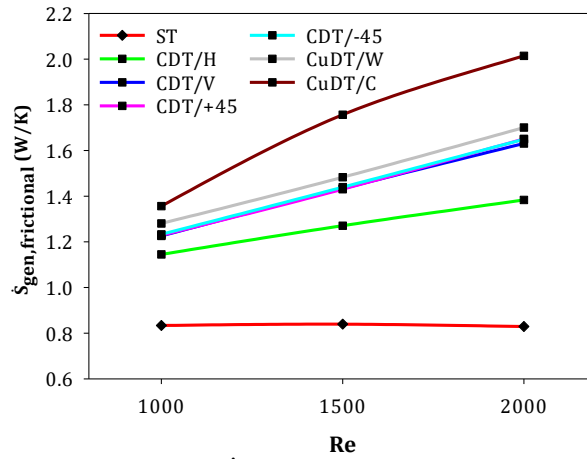
Figure 8. *Variation of $\dot{S}_{gen, frictional}$ with Re for different DTs.*

$\dot{S}_{gen, total}$ results of DTs are given in Figure 9. According to the results, $\dot{S}_{gen, total}$ tends to increment with increasing of Re due to $\dot{S}_{gen, frictional}$ is more dominant than $\dot{S}_{gen, total}$. CDT/H exhibited the lowest $\dot{S}_{gen, total}$ in the scope of this study, as expected. $\dot{S}_{gen, total}$ increment rate of CDT/H has been realized as 28.78%, 42.01%, and 56.06% at Re=1000, 1500, and 2000 compared with ST.
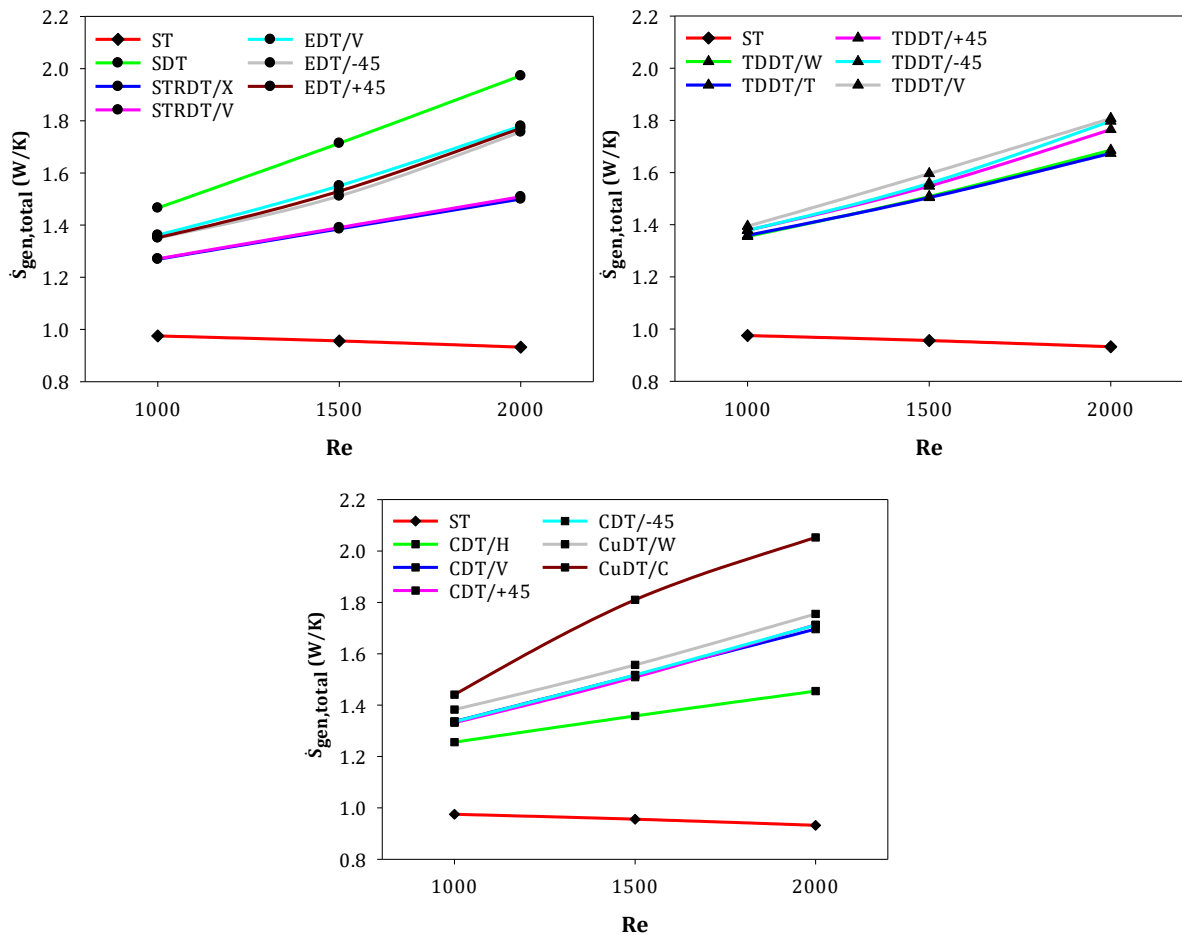
Figure 9. *Variation of $\dot{S}_{gen, total}$ with Re for different DTs.*

Evaluation of Be variation of all DTs is shown in Figure 10. The results show that the lowest Be was acquired from CuDT/C because it provided the highest convective heat transfer rate. This result can be explained by the lowest $\dot{S}_{gen, thermal}$ achieved by CuDT/C according to the calculations based on Eq. (13).

According to the results, CuDT/C causes 65.94%, 115.96%, and 176.79% less Be than ST for Re=1000, 1500, and 200, respectively.
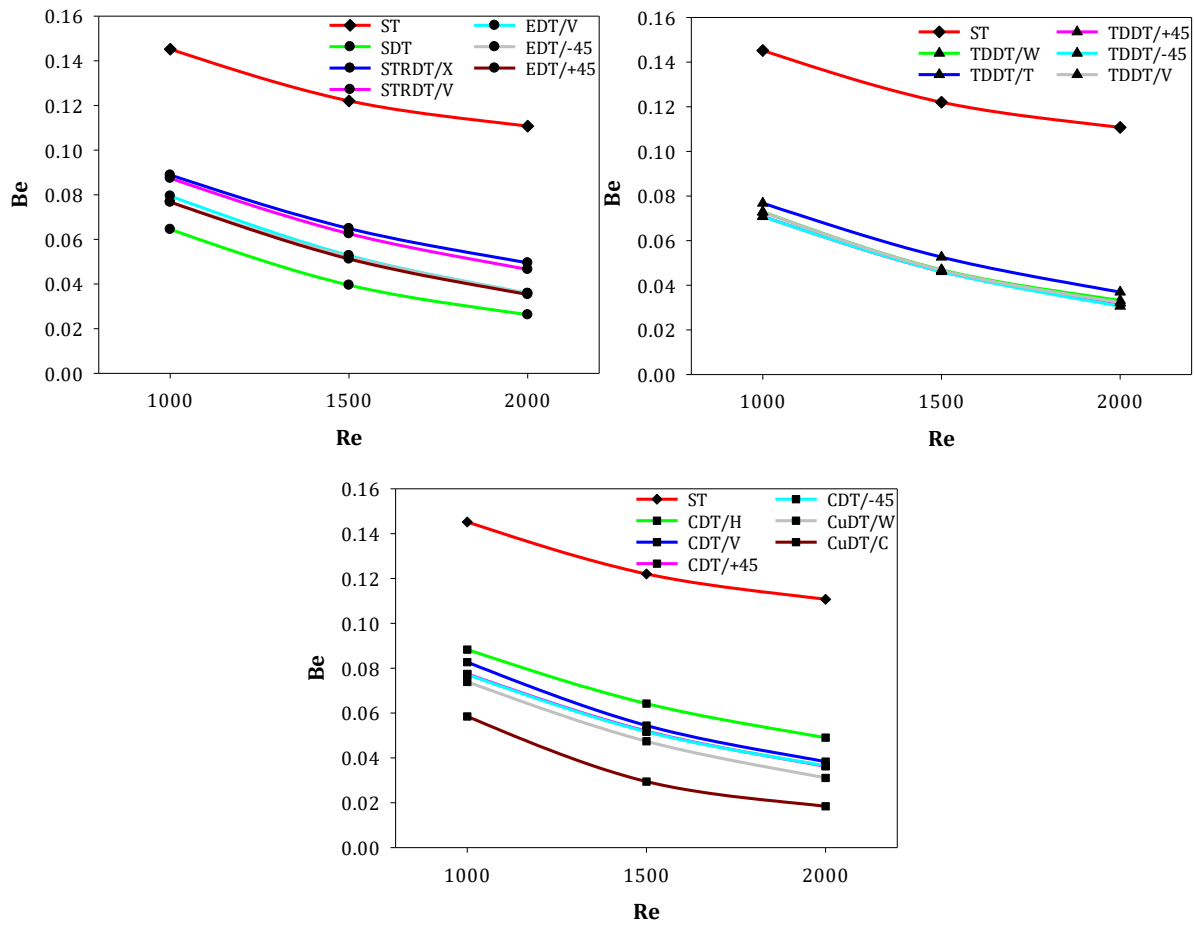
Figure 10. *Variation of Be with Re for different DTs.*

Many figures have been presented below in order to reveal the visual thermo-hydraulic performance of the study. Based on this, local Nu variation of the entire fluid domain is given in Figure 11 for Re=2000. The contours clearly indicate that CuDT/C exhibits a more local Nu enhancement than others because it causes more local severe vortex, especially upstream of the dimpled fins. This rheological behavior is presented and compared in Figure 12 for the entire fluid domain. The velocity vectors given in this figure are given at z=705 mm and Re=2000.
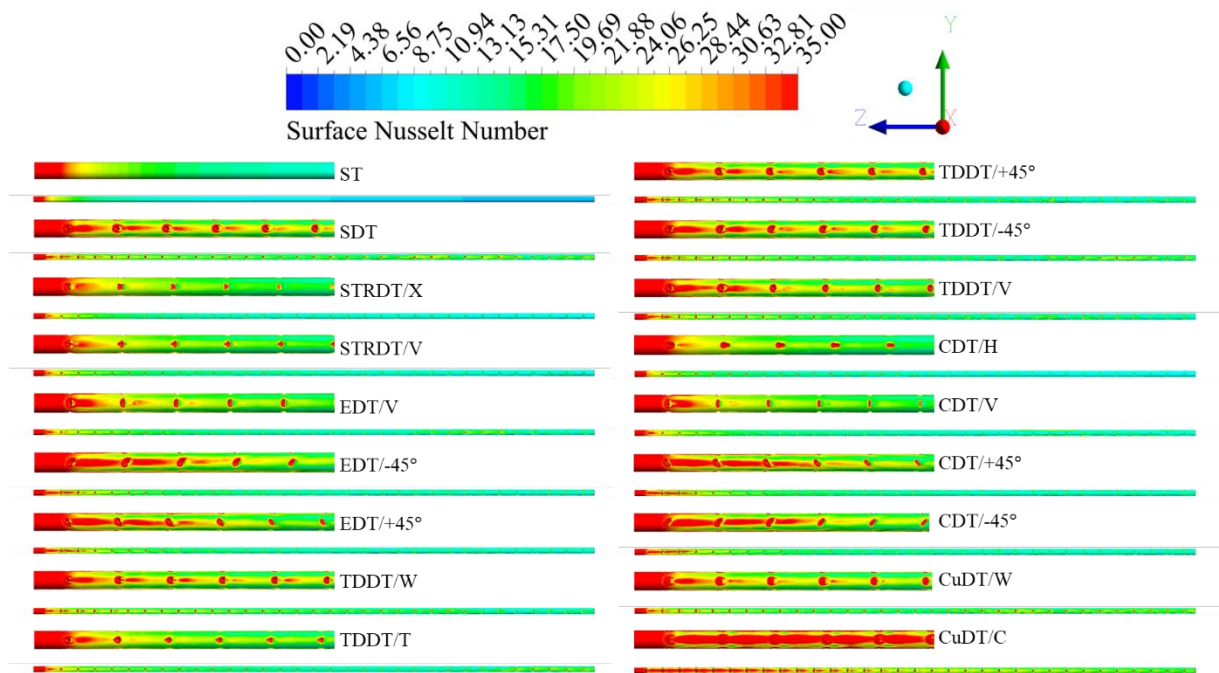
Figure 11. *Visualisation of local Nu variation of the entire fluid domain at Re=2000.*
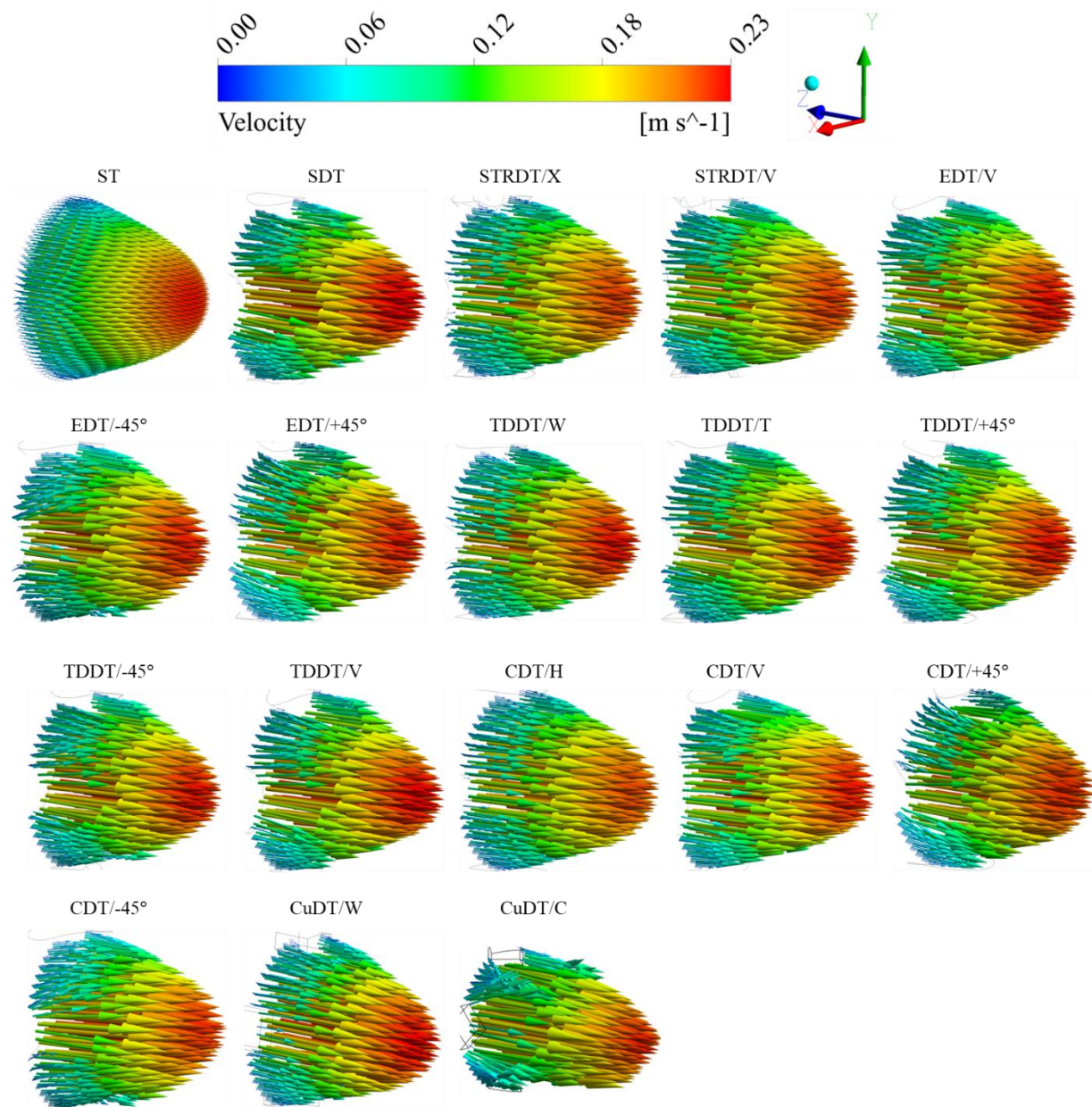
Figure 12. 3D velocity profiles in dimpled fins at z=705 mm and Re=2000.

On the other hand, the vorticity distribution of DTs is given in Figure 13 for Re=2000. The contours clearly show that the entire dimpled fins formed a vorticity at the upstream side. However, CuDT/C causes a flow behaviour that further increases the vorticity intensity from the upstream side and between the two dimpled fins. Because of this, vorticity distributes both velocity and thermal boundary layers and enhances the convective heat transfer rate. When the differences between the placement angles of the fins are examined, it is seen that CuDT/W causes the same severe vorticity on the upstream side as CuDT/C. However, since CuDT/C causes an increase in vorticity until the subsequent dimpled fin, the convective heat transfer rate is better than CuDT/W.
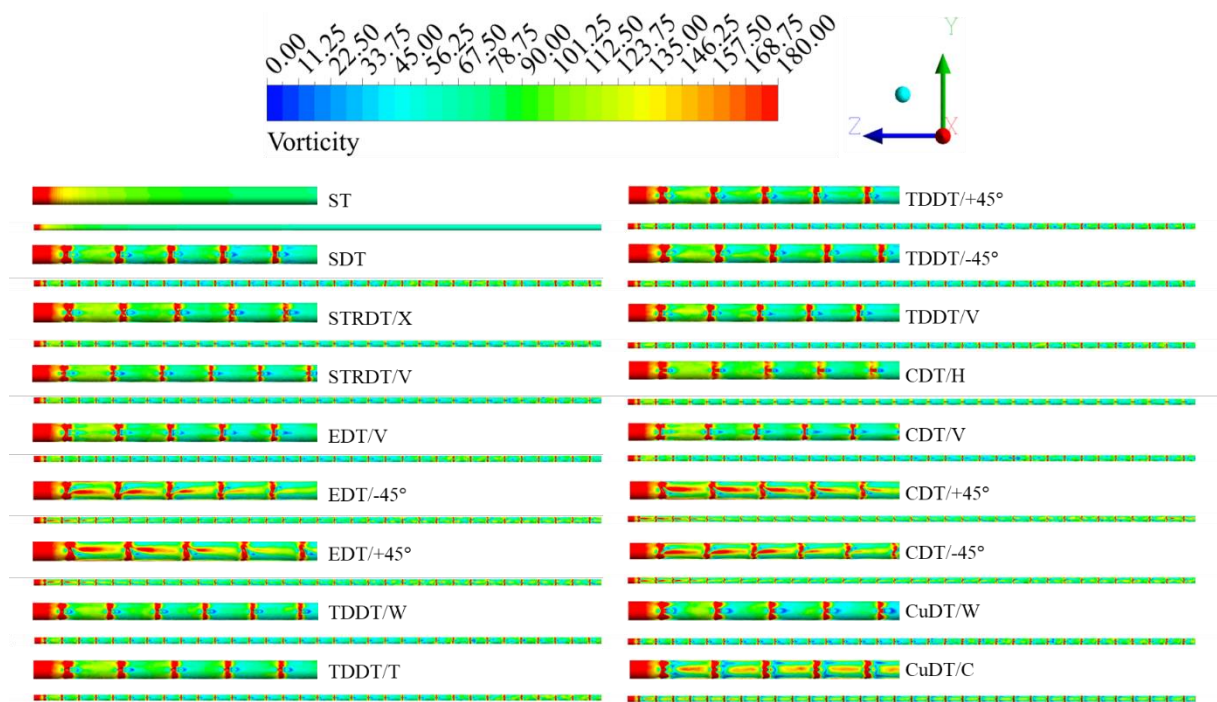
Figure 13. *Vorticity distribution on entire fluid domains at Re=2000.*

The temperature distribution of the fluid domains is presented in Figure 14 for Re=2000. It has been observed from the contours that CuDT/C presents a more homogeneous temperature distribution than others. The underlying factor for this situation is severe vortex dispersion. The heat applied to the tube surface is better transferred to the fluid because of severe vorticities. In this way, the tube surface temperature remains at a lower level and the difference between the wall temperature and bulk temperature given in Eq. (6) tends to decrease. As a result, the convective heat transfer rate increases.
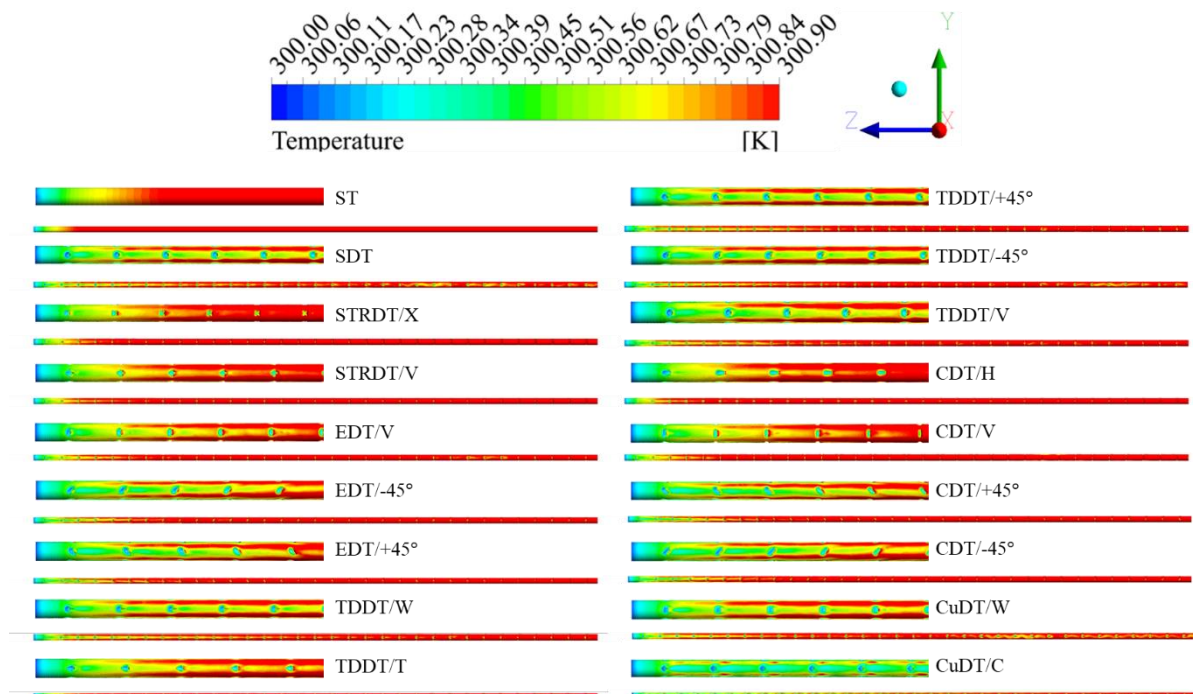
Figure 14. *Temperature distribution over entire fluid domains at Re=2000.*

The pressure drop distribution through the DTs and ST has been given in Figure 15 for Re=2000. It has been clearly seen that a substantial increase is seen in the pressure drops of DTs compared to ST. It has

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been determined that the cases that cause the least pressure drop among DTs are STRDT/X, STRDT/X, and CDT/H. It has been determined that the DT causing the highest pressure drop is CuDT/C.
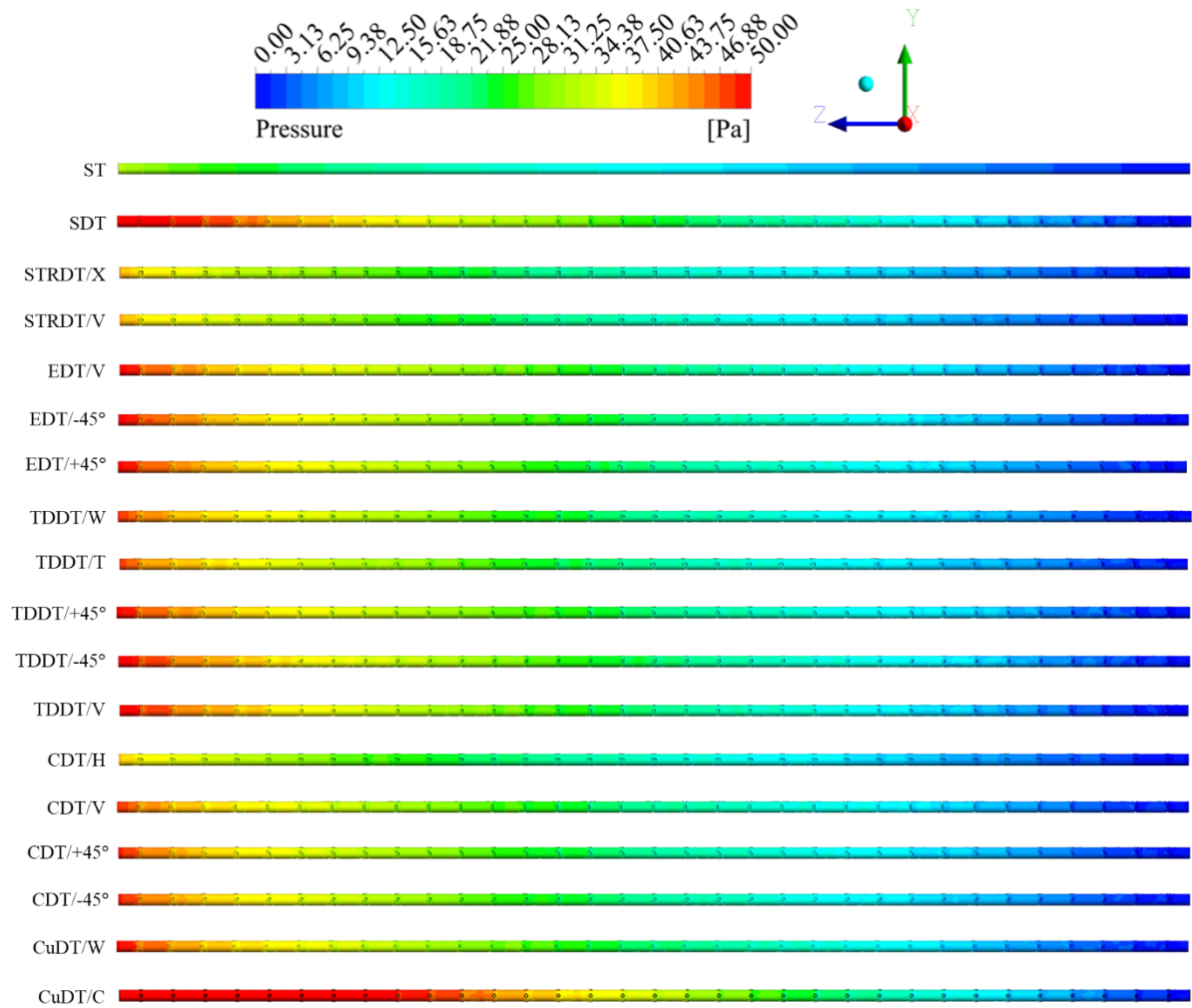
Figure 15. *Pressure drop distribution on entire fluid domains at Re=2000.*

IV. CONCLUSION

Enhancement of the thermo-hydraulic performance of the thermal system is important in terms of reducing fossil fuel consumption and saving. For this reason, researchers and engineers conduct development studies. One of these studies is an enhancement of the thermo-hydraulic performance of heat exchangers, and many studies were conducted under two main groups named as passive and active heat transfer enhancement techniques. In this study, the thermo-hydraulic performance of five dimpled fins aligned, in different directions was, investigated and compared. According to the results, the highest convective heat transfer rate and PEC were exhibited by CuDT/C. In addition, the entropy generation of DTs has been investigated, and the lowest $\dot{S}_{gen,\,total}$ has been acquired by CDT/H.

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Drying of Nettle Using Concentrated Air Collector and Concentrated Photovoltaic Thermal Supported Drying System and Modeling with Machine Learning

🆔 Mehmet Onur KARAAĞAÇ [a,b] *

ᵃ Department of Energy Systems Engineering, Faculty of Engineering and Architecture, Sinop University, Sinop, TÜRKİYE
ᵇ Energy Research and Application Center, Sinop University, Sinop, TÜRKİYE
* Corresponding author's e-mail address: okaraagac@sinop.edu.tr
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ABSTRACT

This study examines the performance of a solar assisted drying system in the nettle drying process. The drying process works by using thermal energy obtained from solar air collectors and PV modules. The experimental were carried out in October 2022, and the room temperature, total efficiency and moisture content parameters were investigated. The data obtained from the drying system were modelled using machine learning algorithms such as artificial neural networks (ANN), support vector machines (SVM), and gradient boosting decision trees (GBDT). The average thermal energy transferred to the drying cabin was calculated as 154 W, with 77% of this energy was obtained from the air collector and the remaining 23% from the PV module. The stinging nettle was dried from an initial moisture content of 11.18 g water/g dry matter to a final moisture content of 1.18 g water/g dry matter. The average total efficiency of the drying system was found to be 16.8%. Additionally, the results show that the SVM algorithm exhibits the best performance in estimating important parameters such as chamber temperature, moisture content, and total efficiency. Especially in total efficiency prediction. The SVM algorithm has a significant advantage over other algorithms. As a result, it was concluded that the SVM algorithm can be used effectively utilized in solar energy-supported drying systems and can be a precious choice for the optimization of the drying process.

Keywords: Solar energy-supported drying systems, Machine learning algorithms, Drying process optimization

Yoğunlaştırılmış Havalı Kolektör ve Yoğunlaştırılmış Fotovoltaik Termal Destekli Bir Kurutma Sistemi ile Isırgan Otunun Kurutulması ve Sistem Verilerinin Makine Öğrenmesi ile Modellenmesi

Öz

Bu çalışma, ısırgan otu kurutma sürecinde güneş enerjisi destekli bir kurutma sisteminin performansını incelemektedir. Kurutma işlemi, havalı güneş kolektöründen ve PV modüllerden elde edilen termal enerjiyi kullanarak çalışmaktadır. Deneyler, 2022 yılı ekim ayında gerçekleştirilmiş ve oda sıcaklığı, toplam verimlilik ve nem içeriği parametrelerin değişimi incelenmiştir. Kurutma sürecinde elde edilen veriler, yapay sinir ağı (YSA), destek vektör makinesi (SVM) ve gradyan artırıcı karar ağacı (GBDT) gibi makine öğrenmesi algoritmaları kullanılarak modellenmiştir. Isırgan otu başlangıçta 11,18 gr su / gr kuru madde nem içerirken, 1,18 gr su /gr kuru madde miktarına kadar kurutulmuştur. Kurutma kabinine aktarılan ortalama termal enerji 154 W olarak hesaplanmıştır. Bu enerjinin %77 kolektörden geri kalan %23 kısımda FV modelden elde edilmiştir. Kurutma sisteminin ortalama toplam verimi %16,8 olarak hesaplanmıştır. Isırgan otu başlangıçta 11,18 gr su / gr kuru madde nem içeriğinden 1,18 gr su /gr kuru madde miktarına kadar kurutulmuştur. Ayrıca elde edilen sonuçlar, kabin

sıcaklığı, nem içeriği ve toplam verim gibi önemli parametrelerin tahmin edilmesinde SVM algoritmasının en iyi performansı sergilediğini göstermektedir. Özellikle toplam verim tahmininde SVM algoritması, diğer algoritmalara göre önemli bir üstünlük sağlamıştır. Sonuç olarak, güneş enerjisi destekli kurutma sistemlerinde SVM algoritmasının etkili bir şekilde kullanılabileceği ve kurutma sürecinin optimize edilmesinde değerli bir araç olabileceği sonucuna varılmıştır.

Anahtar Kelimeler: Güneş enerjisi destekli kurutma sistemleri, Makine öğrenme algoritmaları, Kurutma prosesi optimizasyonu

Nomenclature

A	Area (m²)
ANN	Artificial Neural Networks
Cp	Specific heat (kJ/(kg K))
GBDT	Gradient Boosting Decision Trees
GPR	Gaussian Process Regression
LM	Levenberg-Marquardt
ML	Machine Learning
MAPE	Mean Absolute Percentage Error
PTSC	Parabolic Trough Solar Collectors
RSM	Response Surface Methodology
RMSE	Root Mean Square Error
R^2	Coefficients Of Determination
SVM	Support Vector Machines
SAC	Solar Air Collector
I(t)	Solar radiation (W/m2)
L	Latent heat (kJ/kg)
m	Mass (kg)
PV	Photovoltaic
PV/T	Photovoltaic-thermal
T	Temperature (°C)
Q	Thermal energy (kJ)
W	Electrical energy input (kJ)

Subscripts

a	Ambient
i	Initial
in	Inlet
L	Liquid
out	Outlet
w	water

I. INTRODUCTION

Considering that Türkiye is in an extremely advantageous position, especially in terms of solar energy, the use of this resource is of much greater importance than industrial and critical importance. The increasing energy demand and limited fossil fuel reserves have led humanity to search for different energy sources. As a result of studies and research, many new approaches have been developed for heat energy and electricity production using solar energy, a renewable energy source. The solar energy usage has become extensive in many areas such as heating, cooling, and air conditioning systems [1], [2], [3], electricity production [4], [5], clean water production [6], agricultural areas [7], [8], and drying of products [9], [10], [11], [12].

Solar energy-supported drying systems are emerging as an environmentally friendly and sustainable option for drying agricultural products. These systems include solar air collectors, PV panels, and air circulation systems to dry products using solar. Drying products with high water content can reduce energy costs and minimize environmental impact using renewable energy sources. Drying agricultural and industrial products under the sun has been used since ancient times. However, this method lacks

control over the drying process and cannot provide a hygienic environment against environmental effects such as rain and dust. Therefore, it is important to use closed systems where the process is controlled and homogeneous drying is ensured, instead of drying under the sun [13]. Traditional drying systems require the development of new systems and methods due to high electricity costs.

Concentrated solar energy drying of agricultural and industrial products is widely utilized, aiming to minimize energy consumption by eliminating disadvantages encountered in sun drying and traditional methods. Enclosed cabinet solar-powered drying systems offer advantages over sun drying systems, including protection of the product against pollutants and pests, reduction of external factors such as rain, ensuring homogeneous temperature and humidity distribution, and control over the desired temperature level. Among solar energy-supported drying systems, air collector dryers with solar collectors are the most prevalent. These systems consist of a solar-powered air collector, a circulation fan, and a drying chamber. A typical solar-powered air collector comprises an absorber plate, parallel plates through which air flows, a glass or plastic covering at the top, and an insulated casing at the bottom and sides [14]. Despite being produced in various designs, solar-powered air collectors operate on the same principle. Plates with different surface profiles serving as absorbers are stacked with gaps in between, allowing air passing through the gaps to absorb heat upon contact with the absorber surface. As a result of this contact, the air exits the collector as hot air. Numerous significant studies concerning solar energy-supported systems for agricultural and industrial product drying exist. Some studies related to hot air production, product drying systems, and convective heat transfer could be found below.

Uçar and Oral conducted an experimental analysis of a cabin heating system using a solar air collector (SAC). This system employed two SACs with solar energy storage and a thermal storage tank. When heating was needed in the cabin, the required heat was retrieved from the insulated storage tank. The analysis revealed that the thermal energy storage in the tank averaged 2.15 kW per day, with an energy efficiency of 83% [15].

Kaya et al. conducted theoretical and experimental research on a solar collector drying system with heat pipes and heat recovery. Experiments carried out in Karabuk climate conditions showed that at an average irradiance of 770 W/m², the temperature of the drying chamber was 49% higher than the ambient temperature. Furthermore, the average efficiency of the system was 24% [16].

Machine learning (ML) has recently become a useful technology that can develop high-accuracy models in various fields, especially data analysis. This technology works by mimicking the human brain's ability to discern patterns and establish relationships between input and output data without prior assumptions [17]. Artificial neural network models (ANNs) that mimic the functioning of the Human Brain can effectively predict PV parameters and optimize drying processes. Their ability to simulate process variables, self-tune, and improve performance for a specific task is promising. Additionally, machine learning can be used to better understand the drying processes of agricultural and industrial products and to model nonlinear processes. Machine learning algorithms have been used to eliminate the complexity in the drying process of various agricultural products such as banana [18], dragon fruit [19], and pumpkin [20]. When the literature was examined, studies emerged in which various mathematical and ML methods were used to examine solar drying systems. Some of these studies are highlighted below.

Saydam et al. conducted the design and experimental analysis of a SAC with a double-pass V-type absorber surface. An attempt was made to estimate the SAC exit temperature using three different artificial neural network algorithms. Their analysis revealed an average thermal efficiency of 56% with a maximum temperature difference of 36°C between the collector inlet and outlet. The best results among the ANN models were obtained using the Levenberg-Marquardt (LM) learning algorithm [21].

In another study, Özdemir et al. experimentally researched the convective infrared and heat recovery drying systems and modeled the results achieved using the Response Surface Methodology (RSM). In modeling, LM and Fermi transfer function algorithms estimate drying parameters such as moisture content and drying rate. Multiple coefficients of determination (R2), root mean square error (RMSE),

and mean absolute percentage error (MAPE) were used in modeling for evaluation. Additionally, the energy efficiency of the system was found to be 18% on average [22].

Saydam et al. investigated the drying performance of a SAC in a drying chamber. In the test results, the average drying rate was found to be 0.0017 g water/g dry matter. The best results in mathematical modeling of drying rates were obtained with sigmoid and empirical Gaussian Process Regression (GPR) models [23].

Şevik et al. designed and tested a new mushroom drying system using an air heat pump and solar energy at different air flow rates. Moisture content and drying parameters obtained from this system were modeled using the Levenberg-Marquardt learning algorithm and ANN. R², MAPE, and RMSE were taken into account to determine the statistical validity and accuracy of the models. The study concluded that the experimental results were consistent with the modeling results [24].

In this study, unlike the literature, the performance of a novel solar energy-assisted drying system has been examined, focusing on the prediction of key parameters such as cabin temperature, moisture content, and overall efficiency using machine learning algorithms to enhance the effectiveness of drying systems. Drying of nettle products using a solar energy-assisted drying system was investigated. The system is designed to be used even on cloudy days in summer or in winter with low irradiance. Additionally, research on modeling the room temperature, total efficiency and moisture content values obtained from this system using machine learning algorithms is presented. The aim is to facilitate analysis by better understanding system dynamics and drying parameters.

II. Materials and Methods

A. Experimental System

Products were dried using airflow in a closed cabin that does not transmit solar radiation. The hot air for drying the products in the cabin was obtained from an SAC. Solar drying processes can be conducted during the summer when ambient temperatures and solar radiation are high. Therefore, experiments were conducted during the winter when ambient temperatures and solar radiation were lower. Additionally, photovoltaic panels were used in the design to meet the energy needs of electrical devices in the system. This allows the drying system to be used in areas without access to electricity.

The system was designed to operate during winter conditions as well, so concentrators were used to increase the amount of solar radiation. Figure 1 shows the schematic view of the drying system, while the front and rear views of the assembled system are presented in Figure 2. This system, which will be used in the drying of agricultural and industrial products, is an indirect drying system in which concentrated SAC and photovoltaic modules are combined. The hot air obtained from the air collector was conveyed to the drying cabin with the assistance of a fan. An automation system controlled the humidity and temperature of the drying cabin, while other sensor data from the system was also recorded in real time by the same automation system. Cooling with water was implemented to prevent overheating of the photovoltaic module, and the hot water obtained from this process was used to preheat the inlet air of the air collector. A heat exchanger was used for this preheating process. The electrical energy generated from the photovoltaic module was stored in a solar battery and later used to meet the electricity needs of the fan, pump, and automation system.
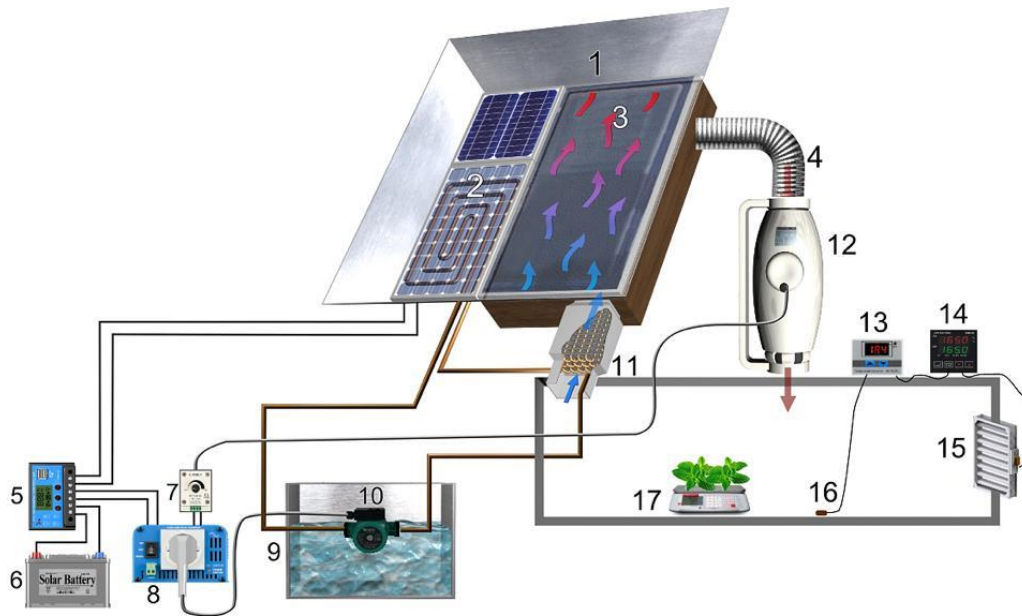
Figure 1. Appearance of the system

Figure 2. Indirect solar-powered drying system: (a) rear view, (b) front view

Table 1 presents the specifications of the measurement instruments used in the drying system.

Table 1. Technical Specifications of Measurement Instruments in the Experimental System

Equipment	Specifications
K-Type Thermocouple	K-type TP-01 Thermocouple Measurement Range: -50°C to 400°C
18b20 Temperature Probe	Waterproof 18b20 Temperature Probe Measurement Range: -20°C to 105°C
Hygrometer	Humidity: 0-100%RH ±3% (Max ±5%) RH
Solar Meter	PCE, 0–2000 W/m² ±5 W/m²

Multimeter	DC Voltage Range Resolution Accuracy: 200mV- 600V 1V: ± (0.5% 2) DC Current Range: 20uA-10A 10mA ± (1% 2)
Load Cell	Capacity: 0-5 kg ±0.002 kg Operating Temperature Range: -20/80°C

B. Artificial Neural Network Algorithm

ANNs are artificial intelligence models that mimic the functioning of the human brain. ANNs associate specific input values with output values based on given inputs [13]. ANNs have various applications, including pattern recognition, prediction, and classification, and are computer systems capable of performing human-like learning through their learning capabilities. This system consists of artificial neurons, and the weight value of each connection is where the information is stored. Training and testing data sets are typically used when creating an ANN model. These data sets are used during the model's learning process to evaluate its accuracy. ANNs, an important artificial intelligence technique, consist of three fundamental layers: the input, hidden, and output layers. Input data is directly applied to the input layer, so the number of neurons in the input layer is equal to the number of different input samples at any given time [25]. Then, these data go through operations such as summation, multiplication, and activation functions until they reach the output layer. Finally, the network is tested with test data that was not used during training, and its accuracy is determined. This study used a feedforward neural network as the learning function, and a backpropagation algorithm (multilayer perceptron) was used as the training function.

C. Artificial Neural Network Algorithm

Support Vector Machines, introduced by Boser and his colleagues, encompassed classification and non-linear function estimation, which attracted the interest of many researchers [26]. For regression, the support vector method is formulated as a convex optimization problem, particularly a second-order programming (QP) problem. To achieve this, the approximate problem is transformed into a constrained optimization problem by using Vapnik's ε-insensitive loss function [27]. Particularly, SVM models exhibit excellent scalability in high-dimensional input spaces. They find applications in engineering, time series analysis, handwriting recognition, face recognition, speaker identification, healthcare, and many other fields.

D. Artificial Neural Network Algorithm

The decision tree algorithm in ML is a method for the classification and prediction of non-linear functions based on a gradient-boosting technique [28]. Gradient Boosting Decision Trees (GBDT) consist of a series of weak classification models that have a strong relationship among them. The number of these weak classification models is repeated until it reaches a predetermined value, and a strong classification model is obtained by training the last weak classification model. The gradient boosting algorithm differs from the random forest algorithm. Additionally, the gradient boosting algorithm predicts the error of each weak classification algorithm and gradually reduces this error. Thus, a strong model is obtained through hundreds of iterations.

E. Comparison Statistical Metrics

Three fundamental measures have been considered when evaluating the results of ANNs, SVM, and GBDT algorithms. These measurements include determination coefficient (R^2), root mean squared error (RMSE), and mean absolute error (MAE). The detailed equations and explanations of these metrics are

provided in Table 2. In Table 2, p_i, e_i, and n represent the prediction, experimental data, and number of observations, respectively.

Table 2. Comparison metrics

Metric	Equation	Description
R^2	$1 - \dfrac{\sum(e_i - p_i)^2}{\sum(e_i - e)^2}$	This metric provides information about how well a model can predict a particular measured dataset. The value of R^2 ranges from 0 to 1. As the R^2 value approaches 1, it indicates better performance [29].
RMSE	$\sqrt{\dfrac{1}{n}\sum_{i=1}^{n}(p_i - e_i)^2} \times 100$	RMSE provides information about how well a model can predict a series of measured data. It exhibits better performance when RMSE is close to zero [30].
MAE	$\dfrac{1}{n}\sum_{i=1}^{n}|e_i - p_i| \times 100$	MAE evaluates the absolute magnitude of differences between corresponding data points and allows for a direct comparison between the predicted values and actual observations in a given context. A low MAE value indicates better prediction [13].

III. EXPERIMENTAL ANALYSIS

The electrical power gain generated from the PV/T module can be calculated as follows:

$$\dot{E}_{el} = V.I \tag{1}$$

Where, V is the PV module voltage, and I is the current. PV module electrical efficiency can be found with Equation 2 below:

$$\eta_m = \frac{\dot{E}_{eI}}{I(t)xA} \tag{2}$$

Where, I(t) refer to the solar radiation intensity, and A refers to the PV module area. The total thermal efficiency of the drying system can be calculated using Equation 3 below:

$$\eta_{total} = \frac{\dot{Q}_{total}}{I(t) \times A_{sc} + \dot{W}_f + \dot{W}_p} \tag{3}$$

The total thermal energy gain of the system can be calculated using Equation 4.

$$\dot{Q}_{total} = +\dot{Q}_{PV} + \dot{Q}_{COL} \tag{4}$$

Thermal energy obtained from the PV module can be calculated by measuring the input water temperature and the exit water temperature [31].

$$\dot{Q}_{PV} = \dot{m}_w \times c_p \times \left(T_{PV,in} - T_{PV,out}\right) \tag{5}$$

Thermal energy obtained from the air collector can be calculated with Equation 6 using the inlet and outlet air temperatures of the collector.

$$\dot{Q}_{SAC} = \dot{m}_{air} \times c_{p,air} \times \left(T_{SAC,out} - T_{SAC,in}\right) \tag{6}$$

Nettle moisture content values on a wet basis can be calculated using Equation 7:

$$MC = \frac{M_i - M_d}{M_d} \tag{7}$$

Where, M_i is the initial mass of the dried products and M_d is the mass of the product in the dried state.

IV. RESULT AND DISCUSSIONS

In this section, the performance of the solar energy-assisted drying system was evaluated using stinging nettles in October 2022. The system's design and installation were examined, and the obtained data during the drying process were evaluated to assess how successfully the drying process could be modeled using artificial neural network models.

The variation of ambient temperature and radiation intensity in the vicinity of the drying system is depicted in Figure 3. Throughout the study, data recorded at one-minute intervals were averaged over twelve-minute intervals to generate the graphs. The experiment, commencing at 11:00, saw the ambient temperature starting at 33.3 °C and reaching a peak of 53 °C. The average ambient temperature was calculated to be 42.8 °C. The right axis of the same graph displays the intensified radiation data. The radiation intensity peaked at 14:00 and then began to decrease. The highest radiation intensity recorded was 1013 W/m^2, while the average solar radiation intensity was found to be 795 W/m^2.
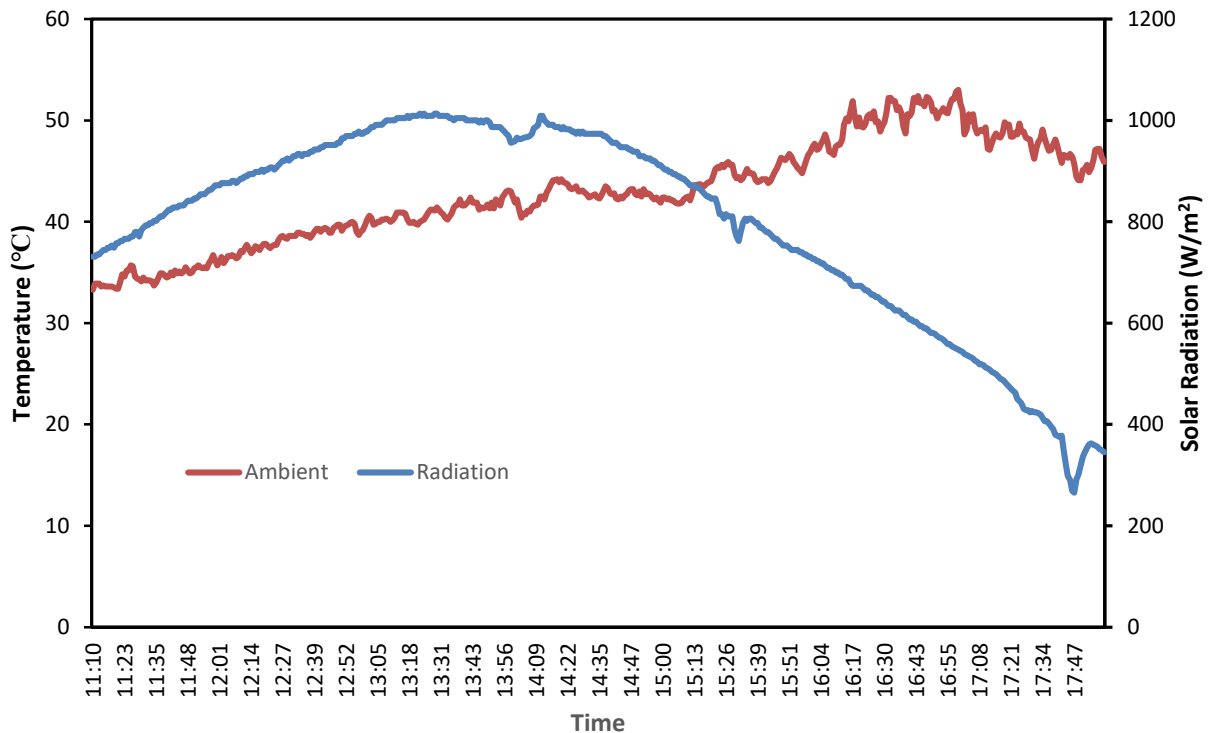
Figure 3. Change of radiation with environmental temperature.

Figure 4 shows the variation in drying chamber temperature, photovoltaic module rear temperature, and ambient temperature. Throughout the day, the temperature of the photovoltaic panel ranged from a minimum of 38°C to a maximum of 52°C. The average rear temperature of the photovoltaic module was calculated at 43°C. Despite fluctuations in the rear temperature of the photovoltaic module during the

experiment, the cooling process occurred. The drying cabin temperature was determined to be an average of 55.5°C during the drying process. Observations showed that it reached a minimum of 35°C and a maximum of 62°C. This drying chamber temperature facilitated the drying of the nettle.
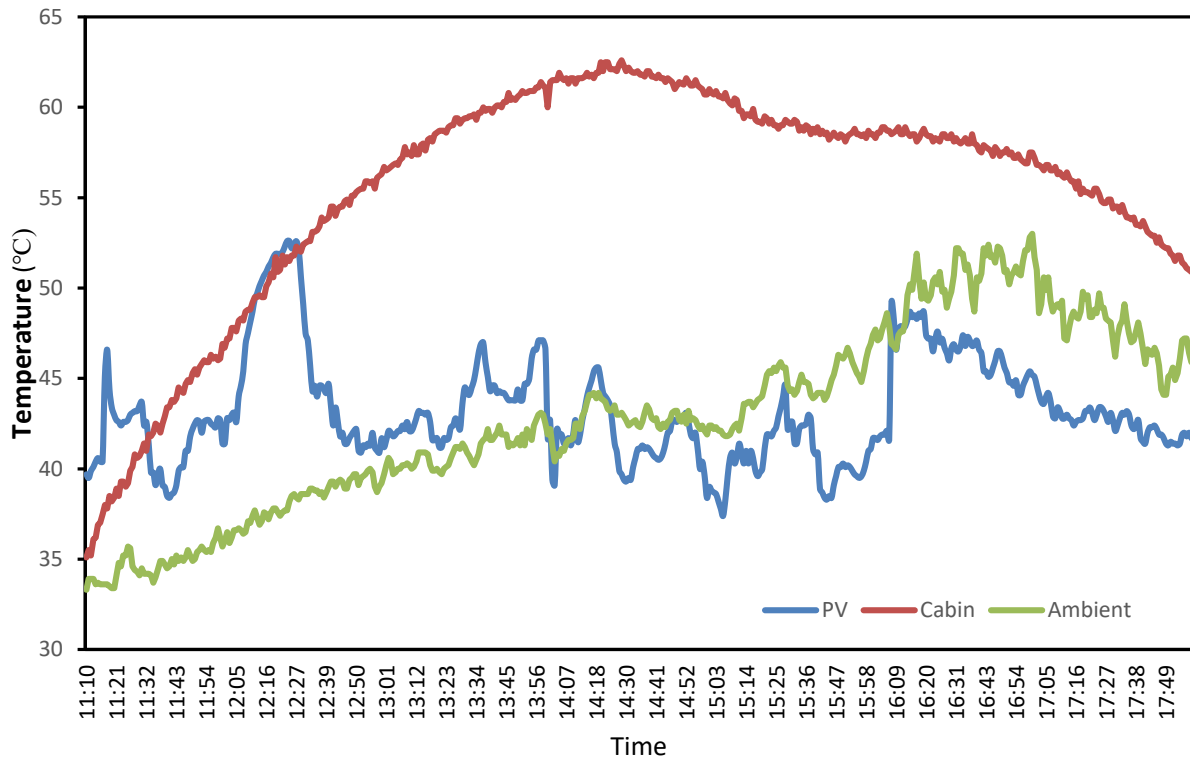
Figure 4. Change of drying cabin temperature, photovoltaic module rear temperature and ambient temperature

Figure 5 shows the heat obtained from the SAC, the heat obtained from the PV module, and the heat transferred to the drying chamber. The average thermal energy obtained from the collector was calculated as 119 W, while the thermal energy obtained from the PV module was 35 W. The thermal energy transferred to the drying chamber was found to be 154 W. While the collector provided 77% of the thermal energy used in the drying process, the remaining 23% was obtained from the PV model. Thus, cooling is provided in the PV module, and additional thermal energy is used for drying.
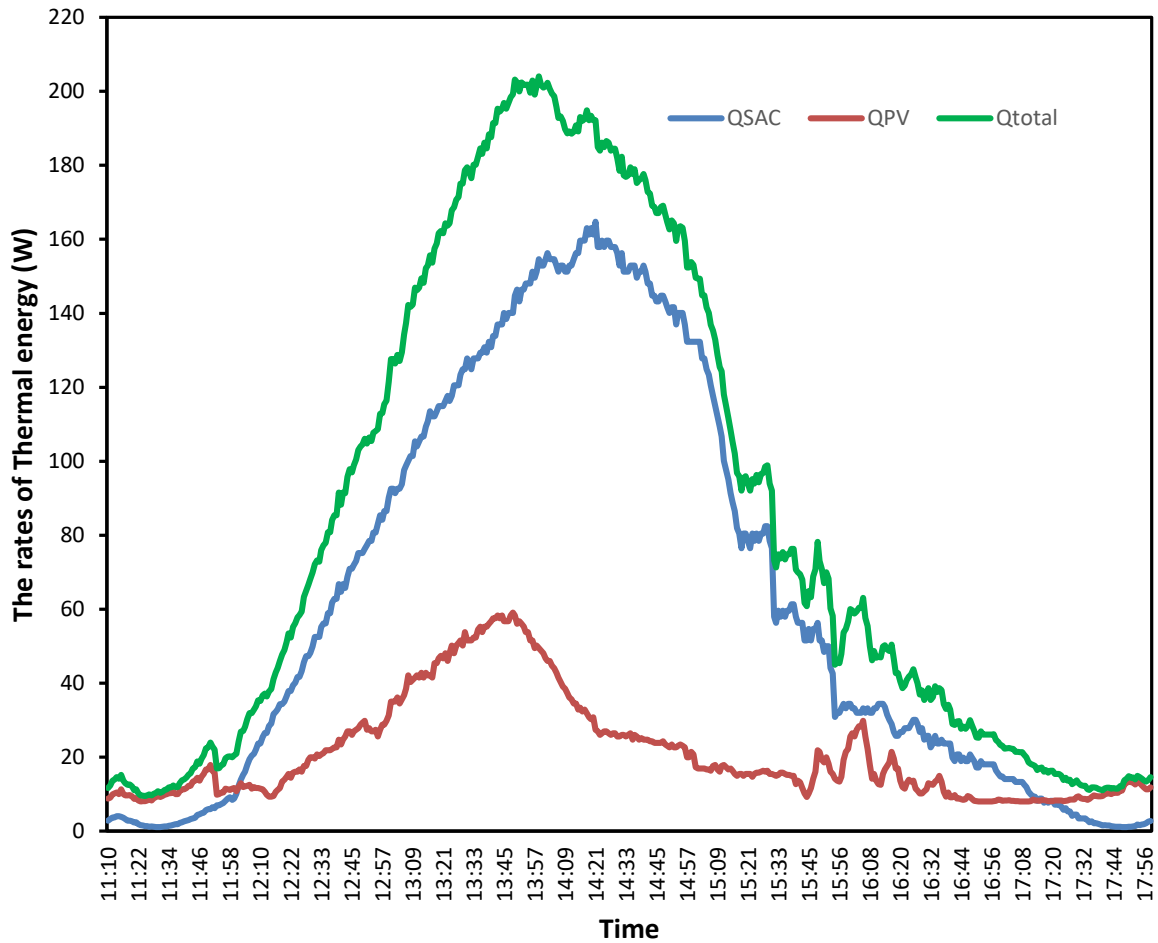
Figure 5. SAC, PV/T and drying cabin thermal energy flows

The variation in total efficiency during the experiment is shown in Figure 6. Total efficiency is expressed as the ratio of the thermal energy transferred to the drying chamber to the solar radiation intensity incident on the experimental system, as indicated in Equation 3. At the beginning of the experiment, the total efficiency was approximately 3.5%, and it increased as the solar radiation intensity increased. The total efficiency reached its highest value of 37%. Subsequently, as the solar radiation intensity decreased, the total efficiency also decreased. The average total efficiency was calculated as 16.8%.
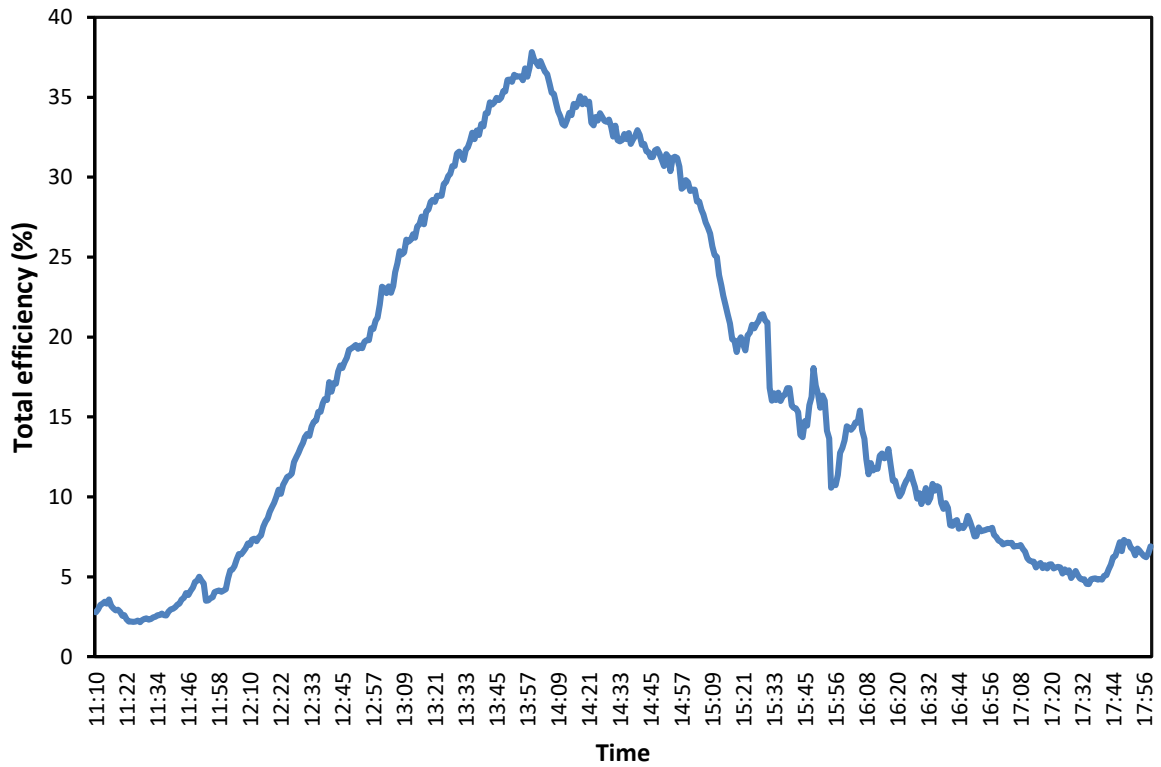
Figure 6. Change in total efficiency during the experiment

Figure 7 shows the change in the nettle's moisture content during the experiment. The nettle was dried from a moisture content of 11.18 g water / g dry matter to 1.18 g water / g dry matter.
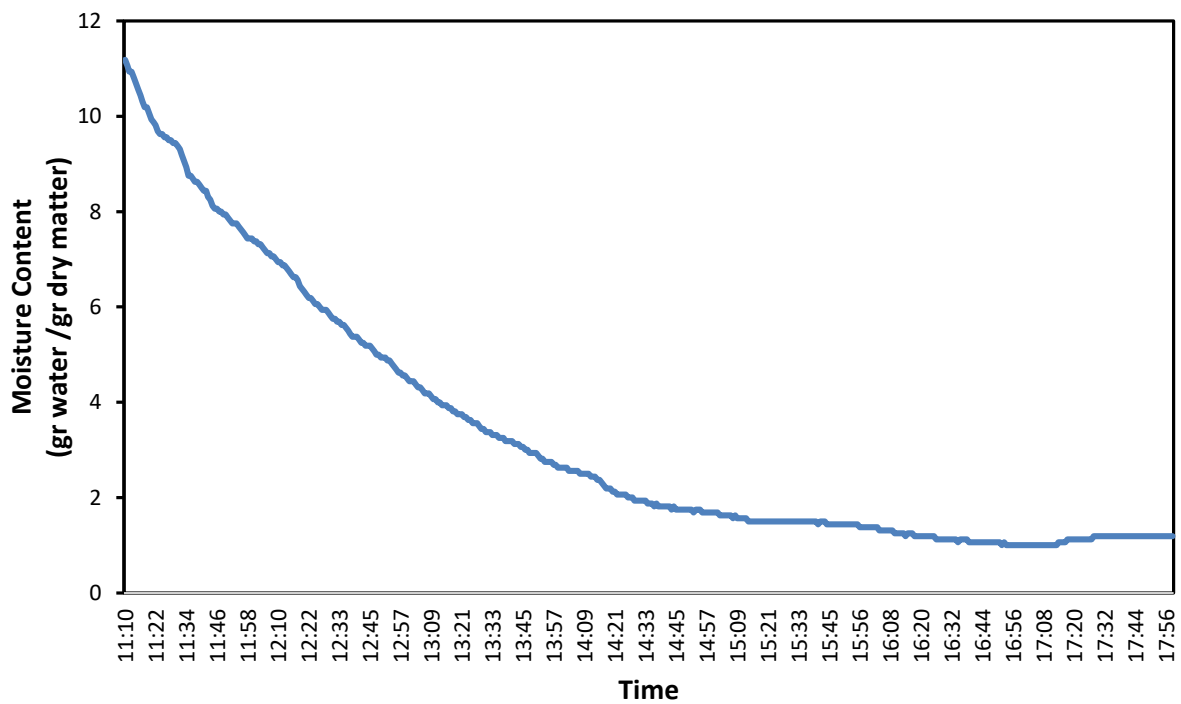
Figure 7. Moisture content change during the experiment

A. EVALUATING AND COMPARING PREDICTION RESULTS

The experimental dataset was divided into two parts, with 60% used for training and 40% for testing. The data was split using random sampling. The input data for the specified prediction values is introduced in the relevant sections of the following graphics. The data obtained from ANN, support vector machines, and gradient-boosting decision tree ML algorithms are presented in Table 3.

Table 3. Statistical metric comparison of machine learning algorithms

Label	Statistical Metrics	ANN	SVM	GBDT
Cabinet Temperature	R^2	0.94	0.98	0.95
	RMSE, %	40.30	13.31	17.20
	MAE, %	31.50	9.015	13.10
Moisture Content	R^2	0.95	0.99	0.99
	RMSE, %	15.96	5.40	6.91
	MAE, %	12.35	3.86	5.05
Total efficiency	R^2	0.94	0.99	0.97
	RMSE, %	35.20	4.60	39.30
	MAE, %	26.10	3.60	29.20

According to the statistical metrics shown in Table 3, the SVM algorithm has demonstrated a significant superiority in predicting the cabin temperature. The SVM algorithm has outperformed the ANN and GBDT algorithms in all metrics. Again, the best results are obtained with the SVM algorithm across all statistical metrics when predicting humidity content. Following the SVM algorithm, the GBDT algorithm and the ANN algorithm have succeeded. Although the GBDT algorithm did not perform as well as the SVM algorithm in predicting humidity content, it still yielded successful results. Finally, looking at the prediction of total efficiency, the SVM algorithm has shown a significant superiority over the other two algorithms according to the statistical metrics. While all three ML algorithms perform well according to the R^2 statistical metric, other statistical metrics reveal their fundamental differences. Despite the instantaneous changes in test values, the SVM algorithm has been able to predict them quite well.

Figure 8 shows the variation in predicted cabin temperature values using the YSA, SVM, and GBDT algorithms based on the data obtained from the experimental system. Time, PV module rear temperature, collector output temperature, PV/T output temperature, and solar radiation data were provided as inputs to the ML algorithms to predict the cabin temperature. When Table 3 and Figure 8 are considered together, it is observed that the SVM algorithm is the most successful in predicting cabin temperature. Additionally, it is seen that the GBDT algorithm is also quite successful, but it falls behind the SVM algorithm in some observation values.
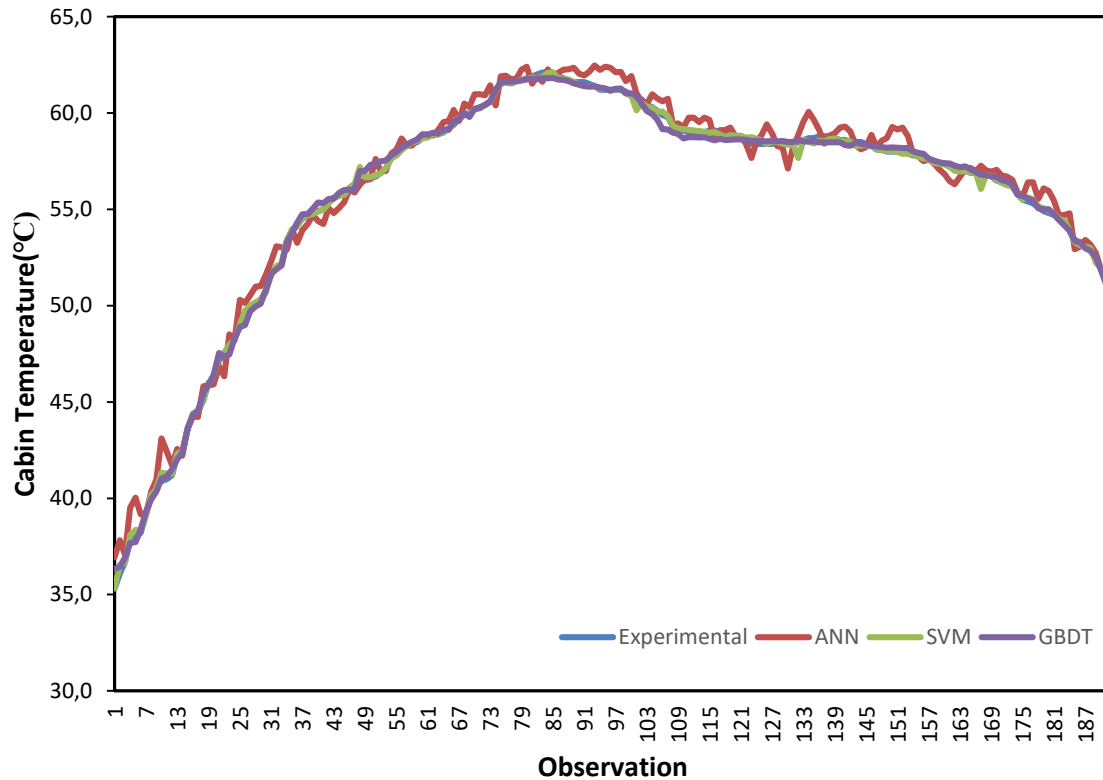
Figure 8. Graph of cabin temperature according to machine learning algorithms predictions

Figure 9 shows the variation in predicted moisture content values according to the YSA, SVM, and GBDT ML algorithms. Time, PV module rear temperature, cabin temperature, solar radiation, and ambient temperature data were provided as inputs to the ML algorithms to predict the moisture content. Based on the statistical metrics in Table 3 and the data in Figure 9, it was found that the most successful predictions were obtained from the SVM algorithm using the experimental system's measured data. The GBDT algorithm also made successful predictions, but errors in predicting actual data at the beginning of the experiment were observed. The YSA algorithm's significant errors in predictions towards the end of the experiment negatively affected its performance.
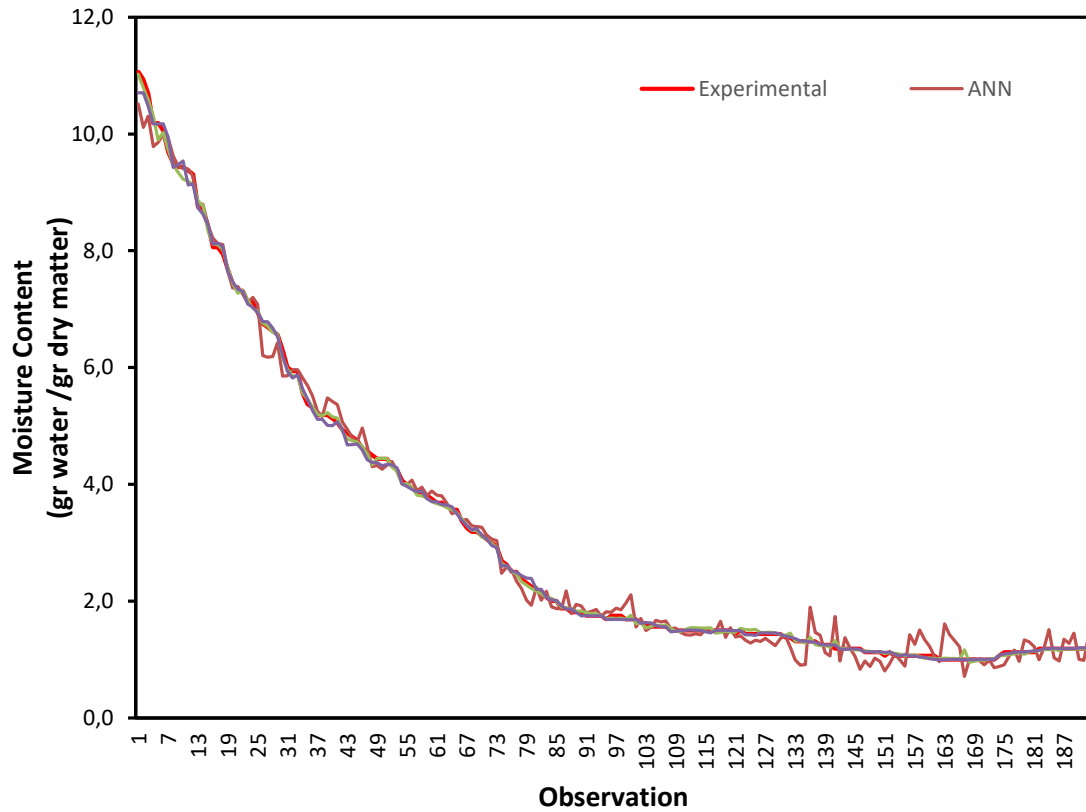
Figure 9. Graph of moisture content according to machine learning algorithms predictions

The graph in Figure 10 illustrates the variation in total efficiency predicted by ML algorithms. Time, FV module input-output temperatures, collector input-output temperatures, cabin temperature, solar radiation intensity, and ambient temperature data were inputs to the ML algorithms to predict total efficiency. As seen in the statistical metrics in Table 3 and Figure 10, the SVM algorithm best predicted the total efficiency results from the data obtained from the experimental system. Although the YSA and GBDT algorithms made fairly close predictions, they lagged behind the SVM algorithm.
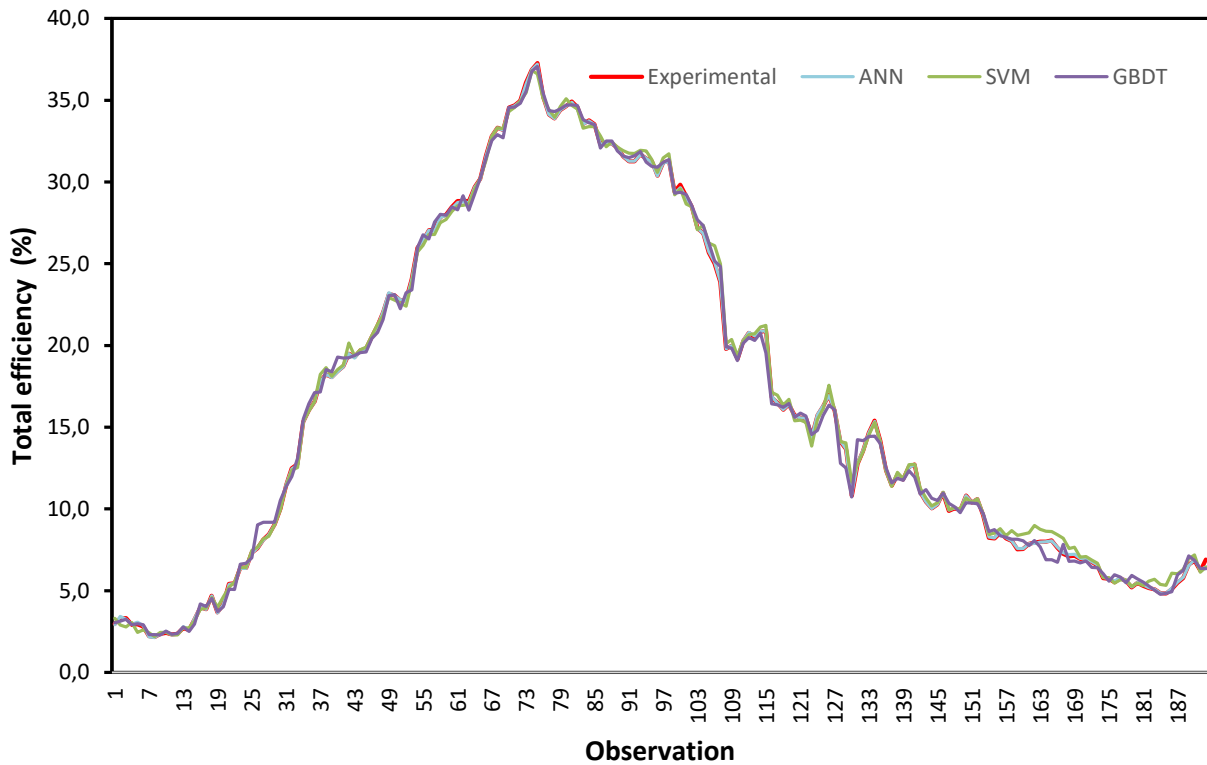
Figure 10. Graph of total efficiency according to machine learning algorithms predictions

V. CONCLUSION

In this study, the performance of a novel solar energy-assisted drying system has been examined, focusing on predicting key parameters such as cabin temperature, moisture content, and overall efficiency using machine learning algorithms to enhance the effectiveness of drying systems. The system utilized thermal energy obtained from a SAC and a PV/T to dry stinging nettle. The findings obtained during the experiment are summarized below:

- The average solar irradiance was 795 W/m^2, while the average ambient temperature was calculated to be 42.8 °C during the experiment.
- Throughout the experiment, the average rear temperature of the PV module was calculated to be 43 °C. Additionally, the PV rear temperature ranged from a minimum of 38 °C to a maximum of 52 °C during the day.
- The average cabin temperature was determined to be 55.5 °C, with observed fluctuations between 35 °C and 62 °C.
- The average thermal energy transferred to the drying cabin was calculated as 154 W, with 77% of this energy sourced from the collector and the remaining 23% from the PV module.
- The total efficiency of the drying system was calculated at a maximum of 37%, with an average total efficiency of 16.8%.
- The SVM algorithm provided the best predictions in cabin temperature prediction, with R^2, RMSE, and MAE statistical metric values of 0.98, 13.31%, and 9.015%, respectively.
- For the prediction of moisture content, the SVM algorithm achieved the best results with R^2 of 0.99, RMSE of 5.4%, and MAE of 3.86%.
- According to statistical metrics and the obtained prediction values, the SVM algorithm significantly outperformed others in predicting the total efficiency.
- The SVM machine learning emerged as the best prediction algorithm compared to YSA and GBDT algorithms.

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Non-Terrestrial Network Concepts in 5G and Beyond Communication Technologies

Erdem DEMİRCİOĞLU [a*], Hasan Hüseyin ERTOK [b], İlyas ÇANKAYA [c], Nedim SÖZBİR [d]

[a] *ULAK AS, Research and Development Department, Cankaya, Ankara, TURKEY*
[b] *Turksat AS, Yağlıpınar Mahallesi, Golbasi, Ankara, TURKEY*
[c] *Department of Electrics and Electronics, Ankara Yildirim Beyazit University, Ankara, TURKEY*
[d] *Rector, Duzce University, Düzce, TÜRKİYE*
* Corresponding author's e-mail address: demirciogluerdem@gmail.com
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ABSTRACT

Mobile communication systems used in 5G and beyond will provide high-capacity, reliable and low-latency services within wide coverage areas. Currently, terrestrial networks are widely used, but it is expected that these networks will be replaced by hybrid network solutions where terrestrial and non-terrestrial networks operate together. These hybrid ones can perform cutting-edge complimentary solutions when the traditional networks have weak signal levels and geographical difficulties. The main motivation of this study can be stated as the increasing use of hybrid network structures for the solution of digital divine and access problems. In this study, design optimizations of hybrid wireless networks according to different system architectures and performance analyzes are given and various non-terrestrial network technologies are compared.

Keywords: 5G and Beyond, Non-Terrestrial Networks, Satellite Communication

5G ve Ötesi Haberleşme Teknolojilerinde Karasal Olmayan Ağ Konseptleri

Öz

5G ve ötesinde kullanılan mobil iletişim sistemleri, geniş kapsama alanlarında yüksek kapasiteli, güvenilir ve düşük gecikmeli hizmetler sunacaktır. Şu anda mobil karasal ağlar yaygın olarak kullanılmakla birlikte, ilerleyen dönemde bu ağların yerini karasal ve karasal olmayan ağların birlikte çalıştığı hibrit ağ çözümlerinin alması beklenmektedir. Karasal ağların sinyal seviyeleri zayıf olduğunda ve coğrafi zorlukların engelleyici olduğu durumlarda; bu hibrit ağ çözümlerinin kullanıldığı en son teknolojiler tamamlayıcı çözümler olarak sunulmaktadır. Bu çalışmanın ana motivasyonu, dijital ayrılık ve erişim sorunlarının çözümü için hibrit ağ yapılarının kullanımının önerilmesi olarak belirtilebilir. Bu çalışmada hibrit kablosuz ağların farklı sistem mimarilerine göre tasarım optimizasyonları ve performans analizleri verilerek çeşitli karasal olmayan ağ teknolojileri karşılaştırılmıştır.

Anahtar Kelimeler: 5G ve Ötesi, Karasal Olmayan Ağlar, Uydu Haberleşmesi

I. INTRODUCTION

The Non-Terrestrial Networks (NTN) denote communication systems which work at a certain altitude above the Earth's surface. NTNs can be classified into two main groups according to their altitudes: airborne and spaceborne. Airborne networks involve drones, low altitude platforms (LAPS), high altitude platforms (HAPS) and air-to-ground networks. On the other side, spaceborne networks contain satellites operating in different orbits such as low earth orbit (LEO), medium earth orbit (MEO) and geosynchronous orbit (GEO) [1].

During the half-century period when mobile communication systems came into our lives, terrestrial wireless communication systems, from the first generation (1G) mobile networks to the fourth generation (4G) mobile networks, have operated quite successfully, considering both service quality and communication speed [2]. The mobile service, which started with 1G systems working as voice carriers, continued with multi-media and messaging applications and in the current period; it continues with the transmission of big data in broadbands, in a low latency and high reliability environment.

The transmission of broadband services to end-user devices at low latency and under high reliability conditions is provided over terrestrial networks via base stations, mostly in economically developed regions with relatively high population density compared to rural areas [3]. Fifth generation (5G) wireless communication systems, which have become widespread around the world after 2020, are similarly built on terrestrial networks and hybrid communication services have begun to be offered by integrating with non-terrestrial networks [4].

However, 6G wireless communication networks, which are planned to be put into operation by the 2030s, will focus on the communication between human-machine and machine-machine rather than the communication of people in the environment with each other [5]. The emergence of the need for communication between people, machines and objects in very large areas and the use of 6G network in many areas of life, from energy to transportation, from education to new production technologies, brings to the fore non-terrestrial network technologies that enable wide coverage areas [6, 7].

Satellite communication networks, which have an older transition and technological inheritance than terrestrial mobile communication systems, provide direct solutions in country or continent-wide areas, depending on the height of the satellite above the ground and the positioning of its antennas [8]. In the past, the use of satellite technologies for direct voice and data communication has not become widespread, especially due to the high costs of satellite production, testing and launch [9]. Although low orbit satellites are used in electronic intelligence and image retrieval applications, medium distance orbit satellites in positioning systems applications, and geostationary high orbit satellites are used for TV broadcasting and data communication in relatively limited bandwidths, large-scale satellite communication networks have not been made operational and commercial [10]. However, increasing spectrum capacity demand, creation of global coverage areas and especially disaster, earthquake etc. Since communication systems play a critical role in the management of processes such as emergencies, the development of non-terrestrial communication networks and their integration with terrestrial networks are of great importance [11].

In order to meet the increasing band capacity and high-speed communication demand for use in 5G and later communication technologies, different initiatives such as Starlink, OneWeb, Telesat, Kuiper have started to offer mobile communication services to global coverage areas via low orbits [12]. However, the fact that terrestrial networks provide effective mobile communication services at low cost and very low latency, especially in densely populated city centers and closed areas, necessitates future network solutions to be in the form of integrated use of terrestrial and non-terrestrial networks [13].

Scenarios of hybrid use of terrestrial and non-terrestrial networks have been examined in detail within the scope of the 3rd generation partnership project (3GPP) Rel-15, Rel-16 and Rel-17 studies, which were formed by seven different mobile telecom standard regulatory organizations in order to create

standards for mobile communication systems [14 – 16]. In every two years a new release, which includes protocols for mobile telecommunications, is studied and mobile vendors follow the given protocols in these releases to develop their products.

Non-terrestrial networks are critical in ensuring continuous communication due to their wide coverage areas. On the other hand, especially earthquakes etc. in case of disasters, the communication systems of terrestrial networks become disabled or the high cost of installing terrestrial networks at every point in large rural areas necessitates the integration of non-terrestrial networks and terrestrial networks [16]. Considering these advantages of non-terrestrial networks and technological developments that complement terrestrial systems, integrated satellite-terrestrial network solutions appear to be the developing trend for new generation communication systems [17].

Satellite communication systems and terrestrial mobile networks, the two most important pillars of today's wireless communication systems, were developed using separate and different standards until recently [18]. After seeing the importance of hybrid structure in popularizing 5G and beyond wireless communication technologies, different studies have been put forward on how to integrate satellite and terrestrial networks and how to create a hybrid network structure through integration. For instance, the use of terrestrial relays is being discussed in response to obstacles that may arise in satellite signals reaching directly to end users [19]. On the other hand, fiber optic systems constitute the basic backbone of terrestrial networks and the current mobile communication system. In regions where there is no optical connection, it will be possible to use satellite communication systems for backhaul transmission [20]. Additionally, cognitive radio solutions are being introduced in dynamic spectrum applications to use the frequency spectrum more efficiently and effectively [21].

Both terrestrial networks and non-terrestrial network solutions have different advantages and disadvantages depending on their usage areas. Providing continuous, low-latency and high-bandwidth communication infrastructure, especially in rural areas and disasters. In cases of natural disasters, it has great importance that terrestrial networks are supported by non-terrestrial networks and hybrid solutions are applicable in order to quickly restore the communication infrastructure in the affected areas. In the second part of this study, non-terrestrial network technologies, standardization studies, and system architectures are explained. In the third section, performance analyzes are given for different application scenarios that can be used in rural areas and disaster situations. In the last section, evaluations regarding the integration of terrestrial and non-terrestrial networks are presented.

II. MOBILE NETWORK TECHNOLOGIES in 5G and BEYOND

Mobile communication technologies of the 5th generation and beyond are being developed to support basically three different application classes. Scenarios with enhanced mobile broadband (eMBB - enhanced Mobile Broad Band), massive machine type communication (mMTC - massive machine type communication) and ultra-reliable and ultra-low latency communications (URLLC - wireless communication in 5G and beyond) constitute the basic application areas for these systems [22]. As 5G becomes widespread in the field and its commercial use increases by the 2020s, technology development efforts on 6th Generation (6G) mobile communication networks have begun to accelerate. 6G systems will include technologies that have wide coverage areas, offer broadband access solutions within these coverage areas, support internet of things (IoT) applications, provide remote area coverage and enable emergency communication [23, 24]. In addition, the difference of 6th generation communication technologies from existing communication systems, especially artificial intelligence (AI), digital twins (DT), holographic communication (HC), internet of senses (IoS). There will be advances in these key technologies [25].

Figure 1 shows in detail three different application classes that will be developed using 5G and beyond communication systems. Advanced mobile broadband applications require higher data volume and

spectral efficiency. Additionally, the need for wide coverage has become more prominent in this type of application. In giant machine type communication, which is another type of application, efficient use of energy and long battery times are of great importance due to high connection density and many machines distributed in large areas. In ultra-reliable and ultra-low latency applications, which are the last type of application and are mostly used in the classification of time-critical tasks, very low latency times, high reliability communication and high positioning accuracy are provided.
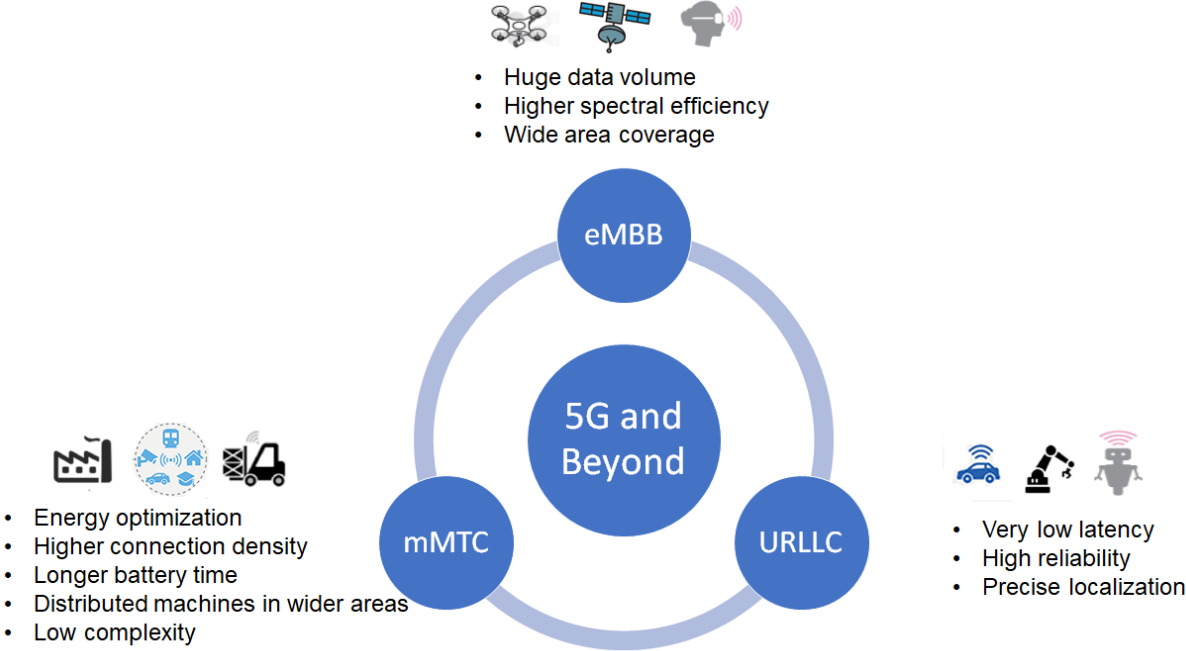
Figure 1. Classification of 5G and Beyond Applications

When the development of mobile communication systems is examined, it is seen that after 4G-LTE, there are great leaps in many key performance indicators in communication systems such as data speed, efficient use of communication band, delay times, network energy efficiency, and traffic capacity. As given in Table 1, in 6G communication systems that are expected to come into effect after the 2030s, these performance criteria are expected to be much higher and will cause a big leap in application-based business models.

Table 1. Performance Evolution of 4G-5G ve 6G Communication Systems

	4G-LTE	5G	6G
Highest Data Rate (Gbit/s)	1	20	1000
User Experience Data Rate (Mbit/s)	10	100	1000
Spectrum Efficiency	1x	3x	6x
Mobility (km/h)	350	500	1000
Latency (ms)	10	1	0,1
Network Energy Efficiency	1x	10x	20x
Traffic Capacity (Mbit/s/m²)	0,1	10	10000

Another illustration of the development of mobile communication systems between different generations, as shown in Figure 2, is that the processing load has a more distributed structure with each passing generation. For instance, while in 4G-LTE systems there is a processing load on the core network and cloud layer, in 5G applications this processing capability is also added to the base stations. In addition to cloud, core network and base stations, many smart user equipment in distributed

architecture will have processing capabilities in 6G. This will also cause the data traffic on the mobile communication architecture to increase.
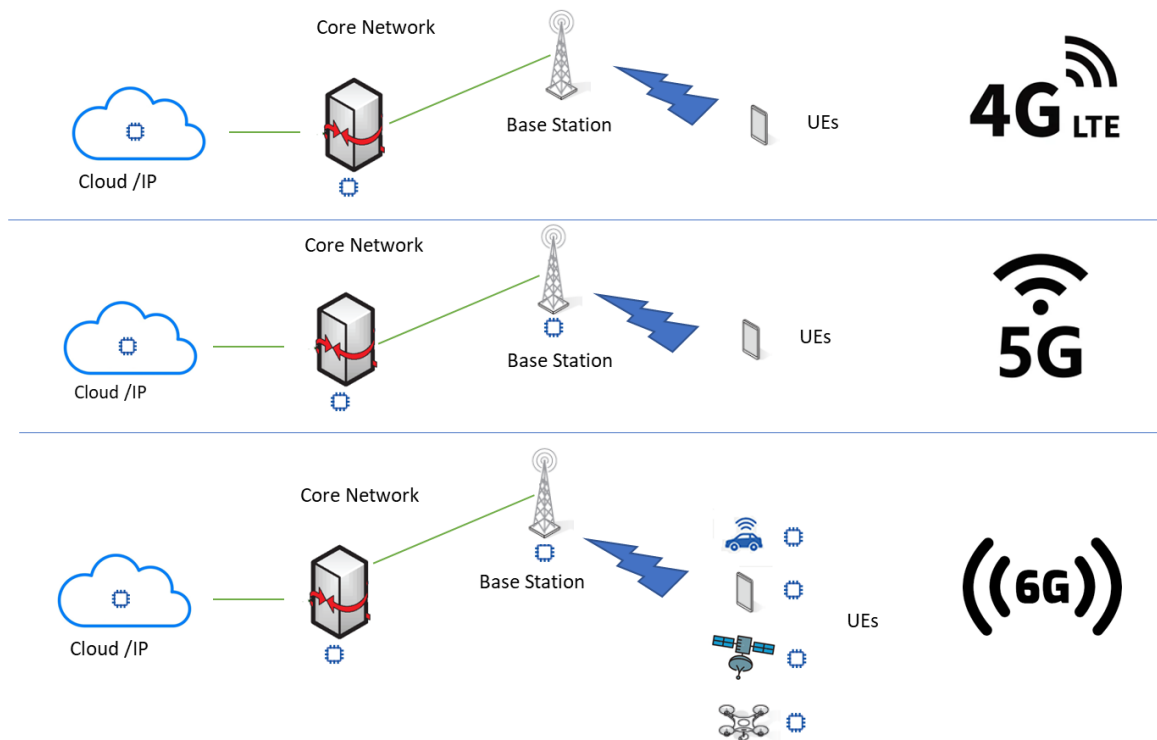
Figure 2. System Architecture of Mobile Communication Networks

III. NON-TERRESTRIAL NETWORKS IN 6G COMMUNICATION

A. RADIO ACCESS NETWORKS FOR NON-TERRESTRIAL NETWORKS

3GPP studies on non-terrestrial networks started in 2017 with Rel-15, and research was mostly conducted on application scenarios and channel models. Creating basic application scenarios of this technology and determining performance parameters such as architecture, orbital height and frequency bands are the first topics of study. Subsequently, by using terrestrial channel models, an attempt was made to develop channel models that can be used in different regions of non-terrestrial networks. For instance, while multipath calculations are considered an important parameter for terrestrial networks, in non-terrestrial networks, parameters such as path losses due to the distance between the satellite and the ground, line of sight probability, and angular spread are more prioritized in creating the channel model [26].

Following the studies on scenarios in Rel-15, studies on channel models for supporting non-terrestrial networks by terrestrial networks continued in Rel-16 studies. Thus, an attempt was made to determine the minimum technical specifications that terrestrial networks can work with satellite systems. Issues related to communication architecture, higher layer protocols and physical layer are discussed. Considering the central units (CU) and distributed units (DU) that form the parts of the new generation radio access networks and 5G base stations (gNB), which constitute the 5G communication architecture, studies have been carried out on numerous non-terrestrial network-based new generation radio access network architecture [27].

In Rel-16, bond level and system level evaluations were also made over S-Band and Ka-Band frequencies in terms of physical layer. In addition, studies have been carried out on transitions within cellular networks, considering the rapid movements of low-altitude satellite platforms on the earth. In these studies, it was seen that non-terrestrial networks can work hybrid with terrestrial networks, despite the problems caused by delays due to long transmission distances, Doppler shift and mobility of satellite platforms [28]. Within the scope of the currently ongoing Rel-17 studies, studies have been carried out on the development of the use of low orbit and geostationary orbit satellites, as well as the use of high-altitude aerial platforms (HAPS) in communication network systems [28].

B. HIGH ALTITUDE PLATFORM SOLUTIONS

In order to provide coverage in wide areas in 6G communication technologies, systems that provide communication via terrestrial communication, satellite communication and air platforms must work integrated. Especially for the installation of base stations, which form the skeleton of terrestrial communications in the field, roof tops or special communication poles are used. However, poles are largely high-cost structures [29].

Additionally, as seen in Figure 3, roof-top base stations are largely disabled in the event of a disaster and attract the reaction of people living in the area before and after their installation. The time it takes to build terrestrial systems, and the operational difficulties have clearly revealed the need for non-terrestrial networks.

Figure 3. Roof-top Base Stations under Disaster Effect

Until recently, non-terrestrial communication systems focused only on satellite communications. Satellites in low earth orbit (LEO - Low Earth Orbit) were frequently used for data communication, satellites in medium earth orbit (MEO - Medium Earth Orbit) were used for positioning systems, and satellites in geostationary geosynchronous earth orbit (GEO - Geosynchronous Earth Orbit) were frequently used for TV broadcasting and data transmission [30].

However, in recent years, especially in the space field, after it has been seen that low orbit satellites can be used for mobile communication applications, studies on positioning communication system components on many platforms in the air and space layer are increasingly continuing [31]. As shown in Figure 4, the space layer starts from approximately 400 km. Low, medium and high-altitude satellites

provide services such as mobile communication, positioning, TV broadcasting and data communication to end users with different mission loads at different altitudes. In the air layer, high-altitude aerostats and unmanned aerial vehicles operate at an air altitude of approximately 20 km. In this layer, other unmanned aerial vehicles, aerostats, and small drones can also be used to provide communication services, staying below the routes of manned aircraft [32].

However, the terrestrial communication layer and the network structure, especially frequency usage, must be integrated to use the air and space layers effectively. Otherwise, mobile communication signals emitted from the air and space layer will have a disruptive effect on the terrestrial layer. To prevent this effect, when creating non-terrestrial system architectures, it should be taken into consideration that these systems are complementary technologies to terrestrial communication [33].
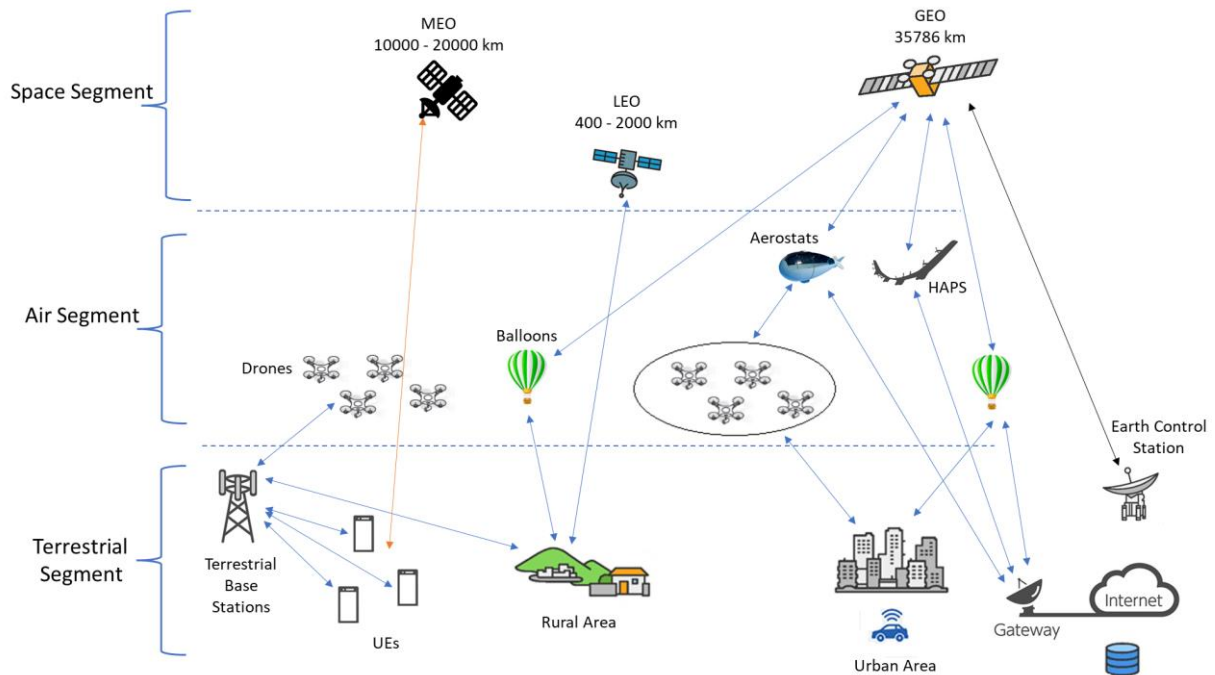
Figure 4. System Architecture of Communication Layers

Since LEO communication satellites are in lower orbit than GEO satellites and constantly rotate around the earth, they have less channel losses and enable the establishment of a communication network anywhere in the world. However, they must be launched as large-scale constellations for LEO satellites to provide worldwide coverage and these yields high costs in the production, testing and launch phases and in the operational phases.

Since terrestrial base stations and satellite communication systems offer high-cost solutions, establishing communication through aerial platforms at different altitudes will be one of the keystones of 6G architecture [25]. Aerial platforms can serve different missions at different altitudes, from low-altitude drone-like unmanned aerial vehicles (UAVs) to high-altitude aerostats and UAVs [34].

Table 2 gives a comparison of performance criteria for different land, air, and space platforms. Accordingly, the coverage areas of communication systems increase as the platform height increases, as expected. On the other hand, as the altitude increases, the distance between user equipment and communication platforms increases and delay times increase to very high values. Although terrestrial platforms have lower costs than air and space platforms; Air and space-based communication systems can respond more sensitively to user mobility and enable high-capacity service to be provided in large areas.

Table 2. *Performance Evolution for Various Communication Platforms*

Technical Specs.	Terrestrial	Non-Terrestrial			
		HAPS	Satellite		
	Terrestrial	HAPS	LEO	MEO	GEO
Altitude	50m	1km - 20km	400km-2000km	10000km-20000km	35786 km
Coverage Area	Narrow	Wide	Regional	Regional	Country and Continent Coverage
Payload Capacity	Medium	Low	High	High	High
Power Source	Grid and generator	Solar panel/battery	Solar panel/battery	Solar panel/battery	Solar panel/battery
Flight Duration	Tethered	15 - 180 days	3-5 years	7-10 years	15-25 years
Cost	Low	Medium	High	High	Very High
Latency	Low	Low	Medium	High	Very High
Capacity	Medium	Medium	High	High	Very High
Mobility	Low	Medium	High	High	High

Aerial platforms allow solving problems such as high cost, signal delays and slow installation of systems, which determine the limits of communication in satellite and terrestrial systems. However, durability, ability to meet electricity needs, data transmission, establishment of core network connections, security and risks of collision with other aerial platforms should be taken into consideration first in communication solutions in which these platforms will be used [35].

For these reasons, it is considered that communication system solutions using air platforms and geostationary communication satellites are integrated, taking into account our country's existing platform capabilities, will be more effective. Solutions in which aerial platforms and GEO communication satellites are used hybridly appear as systems where users can receive communication services in large areas, especially in rural areas and in cases of natural disasters.

Within the scope of this study, a system architecture in which aerostat platforms will work integrated with geostationary communication satellites for situations where terrestrial mobile communication systems are insufficient has been proposed and performance analyzes of this architecture have been made. In the selection of this architecture, a cost-effective system solution was firstly taken into account, and also Türkiye's experience in platform production and maintenance are considered.

IV. SYSTEM ARCHITECTURE AND PERFORMANCE ANALYSES

In 5G and beyond communication technologies, in order to provide coverage in large areas, terrestrial wireless communication systems must be able to work in integration with non-terrestrial communication systems consisting of space and air platforms. As a result of successful integration, it will be possible to access wide coverage areas. In addition, network solutions that can be quickly deployed, relatively low-cost, easy to maintain can be offered via non-terrestrial systems to provide communication services to rural areas, especially disaster communication. Within the scope of this study, considering that the production and maintenance of low-altitude satellite swarms for mobile communication is quite costly; in line with our Türkiye's existing platform and communication system capabilities, a low-cost, quickly installable, and expandable system architecture is proposed in Figure 5 and basic performance analyzes of this system are presented.
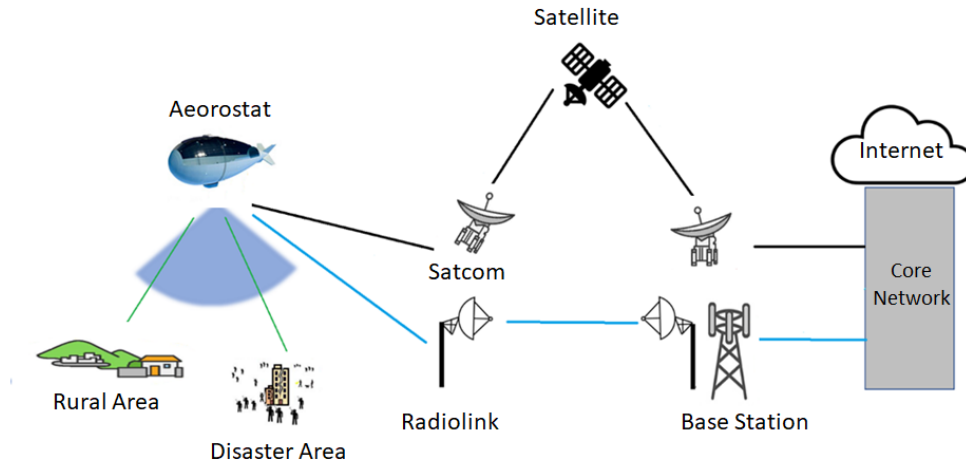
Figure 5. *System Architecture for Disaster and Rural Areas*

In the proposed system architecture, the aerial platform is aimed to provide coverage to desired points in rural areas or disaster areas. These aerial platforms can be designed as cable-connected or completely disconnected platforms. The connection feature of the platform is directly proportional to the platform height and the payload lifting capacity of the platform. Keeping the platform stable via the connected system and providing data and power lines via this connection cable, when necessary, provides flexibility in meeting the power and communication needs of the platform. However, on the other hand, any additional feature that increases the weight of the connection cable will also reduce the payload carrying capacity of the platform.

As seen in the proposed system architecture in Figure 5, geostationary communication satellite connection or ground radio link connection can be used to deliver the communication service provided via the air platform to the core network (NW). Satellite modem and antenna systems that will provide satellite connection can be located on the air platform, depending on the carrying capacity of the platform, or in the ground station in the case of a connected platform. On the other hand, since radio link systems are extremely sensitive to establishing a mutual line of sight, it is very difficult to place a radio link on the air platform and communicate with this radio link via the line of sight with the radio link on the ground. As the aerial platform rotates a few degrees due to wind, the radio link on the platform may lose communication with the radio link on the ground. For this reason, it is more suitable for the sustainability of communication if the platform to be selected is a connected aerial platform and the data line is in communication with the ground via the connection cable, as shown in Figure 6.
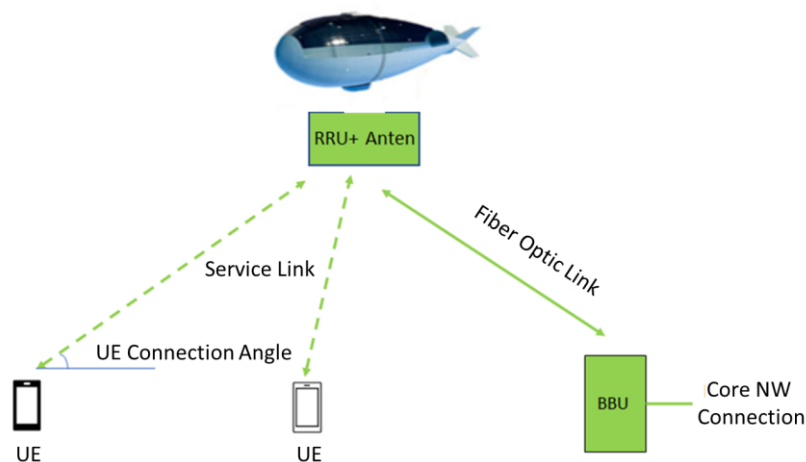
While creating the access layer architecture, it was suggested that the remote radio unit (RRU) and the antenna that will communicate with user equipment (UE) be on the aerial platform, and the base band unit (BBU), which will process the service signals and provide connection to the core network, should be in the ground station. Thus, the equipment on the aerial platform was reduced and power and weight budgets were saved. In addition, fixed radio links located on the ground will be available to access the core network via radio link.

In selecting the altitude of the aerial platform, viewing angles of user equipment, coverage area size, number of users in the coverage area, free space loss, etc. are considered. Link budget calculations based on parameters and round-trip times of the signal will be effective. It is not possible to achieve the latency of 0.1ms, which is an important performance criterion especially for 6G communication, via geostationary satellites. For a communication satellite positioned at 35786 km, the round-trip signal delay is 238.57 ms due to the road alone. Considering this performance criterion, to maintain the delay limit and to actively use GEO satellites, it will be aimed to provide delay critical applications via air platforms, and other applications to be carried out directly via GEO satellites. As seen in Table 3, aerial platforms positioned at different altitudes will produce suitable solutions for disaster situations and rural area communication requirements with low latency and sufficient coverage areas.

Table 3. Comparison of Communication Parameters for Different Platform Altitudes

Air Platform Altitude (meter)	UE Angle (degrees)	Coverage Area (km²)	Free Space Loss (dB)	Round-trip Latency (ms)
200	10	4,04	101,98	0,0077
200	25	0,58	94,25	0,0032
200	35	0,26	91,6	0,0023
350	10	12,38	106,84	0,0134
350	25	1,77	99,11	0,0055
350	35	0,78	96,46	0,0041
500	10	25,26	109,94	0,0192
500	25	3,61	102,21	0,0079
500	35	1,6	99,56	0,0058
650	10	42,69	112,21	0,0250
650	25	6,10	104,49	0,0103
650	35	2,71	101,84	0,0076
800	10	64,67	114,02	0,0307
800	25	9,25	106,29	0,0126
800	35	4,10	103,64	0,0093
1000	10	101,04	115,96	0,0384
1000	25	14,45	108,23	0,0158
1000	35	6,41	105,58	0,0116

Since communication can be established between air and space platforms and users via direct line of sight, multipath scattering etc. is eliminated. effects have a lower impact on the vineyard budget calculation. The main determining parameter in calculating the power reaching receivers will be the free space loss. The free space loss can be calculated using the formula given in Equation 1, depending on the frequency and the distance between the receivers. Where f denotes the operating frequency, d denotes the distance between the receiver and transmitter. G_t and G_r represent the gain parameters of transmitter and receiver respectively.

$$\text{Free Space Loss} = 20log_{10}(d) + 20log_{10}(f) + 20log_{10}\left(\frac{4\pi}{c}\right) - G_t - G_r \qquad (1)$$

In Figure 7, free space loss values for different air and space platforms are calculated as a function of altitude and communication frequency. As can be seen, increasing the frequency and the distance between receivers causes the free space loss to increase. On the other hand, while increasing the frequency allows the available bandwidth to increase, the higher elevation of the non-terrestrial network platform will allow the coverage area to expand and thus it will be possible to reach larger numbers of users.
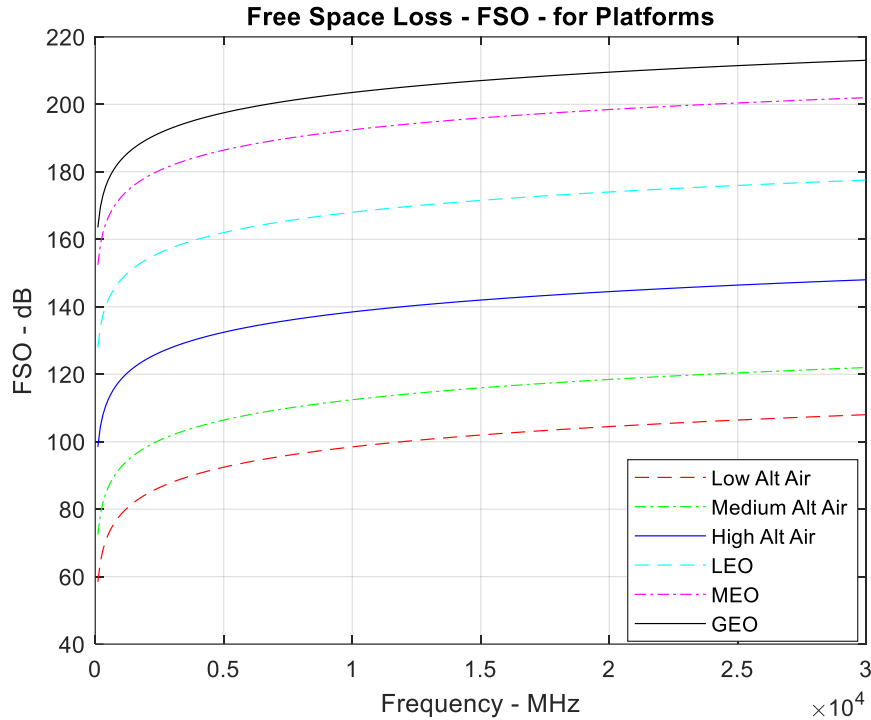
Figure 6. *Free Space Loss Variation for Platforms of Different Heights*

However, since the altitude of the platform will increase the signal delay between the receiver and transmitter, a situation will arise where the delay criterion valid for time-critical applications of 5G and beyond (1 ms for 5G; 0.1 ms for 6G) cannot be met.

V. CONCLUSION

Today, as a result of the rapid spread of non-terrestrial network systems through both air and space platforms, the use of these systems in mobile communication applications has become debatable in 3GPP standards since Rel-15. Wireless communication systems, especially those targeted to be deployed in 5G and beyond, must provide high capacity, secure and low latency services within wide coverage areas.

Currently, terrestrial networks are widely used for wireless communication, considering the prevalence of fiber optic infrastructure and its advantages in signal propagation. Non-terrestrial network solutions need to be offered via aerial platforms to cover wireless communication in remote areas such as disaster areas, rural areas, and seas, where terrestrial networks have poor access. Within the scope of this study, usable system architectures were created to solve access problems in rural areas and during disaster situations, considering Turkey's existing air and space platform capabilities. Coverage and propagation analysis of these architectures were performed, and design optimizations were presented for delay-critical applications.

Architecture and coverage area analyzes for providing satellite or radio link-based communication via connected aerial platforms that can be positioned at 1000 meters or below are presented. Within these architectures, it has been observed that up to 100 km^2 coverage area can be achieved, latency criteria of

5G and beyond can be met, necessary link budgets are maintained, and wireless communication can be established via end users' aerial platforms.

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Examination of Projects Produced in the Metaverse as an Opportunity for Architecture

 Aslı TAŞ [a,*], Güneş MUTLU AVİNÇ [b]

[a] *Mimarlık Bölümü, Mühendislik Mimarlık Fakültesi, Nevşehir Hacı Bektaş Veli Üniversitesi, Nevşehir, TÜRKİYE*
[b] *Mimarlık Bölümü, Mühendislik Mimarlık Fakültesi, Muş Alparslan Üniversitesi, Muş, TÜRKİYE*
* *Sorumlu yazarın e-posta adresi: aslydz@gmail.com*
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ABSTRACT

The study questions the role of the metaverse universe in the field of architecture. In this context, the article aims to determine this new field's potential, understand its boundaries and analyse what kind of projects have been produced in the architectural field to date. Descriptive analysis, one of the qualitative research methods, was used in the study, and the analysis data was obtained from Archdaily's database, a popular architectural platform. All of the studies obtained from here are current, and the oldest project dates back to 2020. The evaluation of projects was evaluated according to the criteria of different space types (Hyper Reality, Abstracted Reality, Hybrid Cyberspace, Hyper Virtuality), smart city/building, creative-innovative design, social value creation, interaction-socialization, new spatial experiences, digital art, and cultural value creation. Among the projects analyzed, there are projects developed by architects and designed by video and game developers. As a result, in the metaverse universe, futuristic, free designs are developed, and historical and cultural structures are revitalized and passed on to future generations. Complex 3D visualizations can be easily produced in the metaverse instead of using various software. In the future, the metaverse is expected to radically change and transform the discipline of architecture in education, design, and practice.

Keywords: Metaverse, Architectural Design, Digital Architecture, Artificial intelligence, Augmented Reality, Virtual Reality.

Metaverse'de Üretilen Projelerin Mimarlık İçin Bir Fırsat Olarak İncelenmesi

ÖZ

Çalışma metaverse evreninin mimarlık alanında nasıl bir rol oynadığını sorgulamaktadır. Bu bağlamda makalenin amacı, bu yeni alanın potansiyelini belirlemek, sınırlarını anlamak ve günümüze kadar mimari alanda ne tür projelerin üretildiğini analiz etmektir. Nitel araştırma yöntemlerinden betimsel analizin kullanıldığı çalışmada analiz verileri popüler bir mimarlık platformu olan Archdaily veri tabanından elde edilmiştir. Buradan elde edilen çalışmaların tamamı güncel olup, en eski proje 2020 yılına uzanmaktadır. Projelerin değerlendirmesi, farklı mekan tipleri (Hyper Reality, Abstracted Reality, Hybrid Cyberspace, Hyper Virtuality), akıllı kent/bina, yaratıcı-inovatif tasarım, toplumsal değer yaratma, etkileşim-sosyalleşme, yeni mekansal deneyimler, dijital sanat ve kültürel değer yaratma kriterlerine göre değerlendirilmiştir. İncelenen projeler içerisinde, mimarlar tarafından geliştirilmiş çalışmalar olduğu gibi video ve oyun geliştiriciler tarafından tasarlanmış projeler de yer almaktadır. Sonuç olarak metaverse evreninde fütüristik, sınırların zorlandığı özgür tasarımlar geliştirilmekte, tarihi ve kültürel yapılar yeniden canlandırılmakta ve gelecek nesillere aktarılmaktadır. Karmaşık 3D görselleştirmeler çeşitli yazılımlar

yerine metaevrende kolaylıkla üretilebilmektedir. Gelecekte metaverse'un mimarlık disiplinini eğitim, tasarım ve uygulama alanlarında radikal bir şekilde değişime ve dönüşüme uğratması öngörülmektedir.

Anahtar Kelimeler: Metaverse, Mimari Tasarım, Dijital Mimarlık, Yapay Zeka, Artırılmış Gerçeklik, Sanal Gerçeklik.

I. INTRODUCTION

Today, there is an extended world experience where real and virtual spaces coexist [1]. Innovations in computer science play an important role in daily life as they change and enrich human communication, interaction, and social relations. The introduction of personal computers, internet, and mobile devices has brought many technological innovations [2], [3]. From this point of view, this rapid evolution in the digital age leads to the shaping of the world with new concepts brought by technology and the emergence of new paradigms. The concept of metaverse, which stands out as one of the most remarkable and promising elements of today's digital transformation, draws attention with its potential to offer a holistic digital experience that combines the interaction of virtual and physical worlds. In this context, the metaverse is a concept that expands the boundaries of today's digital age and attracts more and more attention [4]. Basically, this term refers to an environment where the virtual and physical worlds interactively merge, and users can connect in a digital space. In addition, this world is a post-reality universe, a continuous and persistent multi-user environment that combines physical reality with digital virtuality. The metaverse enables multisensory interaction with digital objects and people through virtual environments enabled by technologies such as virtual reality (VR), augmented reality (AR), artificial intelligence (AI), and blockchain [5], [2]. This comprehensive digital universe has a wide range of applications, from entertainment to education, business, architecture, and social interactions. The rise of the metaverse offers new opportunities by profoundly transforming the interactions between technology, culture, and society. In addition, the metaverse is changing everyday interactions, and as this metaverse expands, social relations and interactions are being reshaped [6].

The potential of the metaverse concept in the field of architecture goes beyond traditional boundaries and has the potential to affect the design and construction processes [7] deeply. Recently, many studies have been carried out in the literature addressing the concept of metaverse in architecture. In the international literature, [8] has produced studies on smart building operation and maintenance, [9] on efficient emergency evacuation scenarios, [10] on BIM applications, [11] on the relationship between the physical environment and metadatabase, [12] on the design and nature of virtual space, [13] on the sustainability of cultural spaces, and [14] on the possibilities of use in the built environment.

However, if it is necessary to elaborate on the studies produced on the metaverse in Turkey, [15] discuss the position of architects and interior designers in the metaverse universe through asset production, ownership, and commercial activities. The research includes opinions and suggestions on the current state of the metaverse. In Karyağdı's study examining the interiors in the metaverse, comparisons were made through digital games, virtual reality applications, and photo-realistic space designs in three-dimensional programs [16]. In Aydoğdu and Toy's study in 2023, six (6) building designs of six (6) brands in Decentraland, one of the most well-known platforms of the metaverse, were examined [17]. The study variables are form, color, texture, material, light, and animation. As a result of these analyses, the designs were evaluated and classified according to their closeness to the visual design language in the physical world or the way of perception in the virtual universe. Kurtuluş & Tekin studied "Metaverse Chronology and Metaverse in the Context of National Architecture" from past to present and evaluated the metaverse publications in Turkey by content analysis [18]. This study examines how the concept of metaverse is represented in architecture with different sub-themes. In Arslan's study in 2023, the future evolution of urban services in the metaverse was analyzed with examples from Turkey and the world. The study determined that cities started to apply metaverse technologies in tourism, local development, culture, health, and education [19].

Studies in the literature address different aspects of the relationship of the discipline of architecture with the metaverse. This study focuses on what can be produced in architecture in the metaverse universe. From this point of view, the study targets physical productions in the metaverse universe. The difference between this research and other studies is that it analyses architectural projects produced for the metaverse in the Archdaily database [20], one of the current architectural platforms. The aim is to evaluate how these examples address/transform architecture in the metaverse world.

A. THE TYPES OF METAVERSE SPACES

Since the 1990s, different forms of spatial production have been realized in cyberspace. Hyper Reality, Abstracted Reality, Hybrid Cyberspace, and Hyper Virtuality are four different types of spaces that can be created in the Metaverse [7], [21]. Hyper Reality tries to imitate the physical world in great detail. Hyper Reality is defined by its attention to solving constraints revolving around the "Laws of Nature" such as gravity, wind, weather, sunlight, natural materials, touch, smell, dust, dirt, and aging of materials and surfaces. Hyper Reality environments are also used to recreate historical sites that no longer exist or never existed. It can also provide virtual access to physical environments in the world [22].

In Abstracted Reality, objects and textures are abstracted and recreated in the best possible way. However, efforts are made to prevent disorientation or a sense of unfamiliarity. For example, in this Reality, one cannot pass through walls, and accessing different floors requires elevators or stairs to maintain orientation and familiarity. Abstracted Reality generally offers more artistic freedom compared to Hyper Reality. Additionally, Abstracted Reality allows for the stretching or emphasis of spatial creation qualities such as scale and time. Within Abstracted Reality, advantages exist for simple texture mapping and lighting requirements, as photorealism is not the primary objective [21].

Hybrid Cyberspace freely merges 'real' and 'virtual' experiences without violating natural laws. Within this Reality, characterized by an unlimited range of artistic expression, it is easily transformed into a surreal state. Other participants can appear as realistic or unrealistic avatars or even in symbolic representations such as talking chess pieces or game cards. Objects can behave in unusual ways; dimensions, textures, and forms can change over time. There can also be significant mismatches between form and material. The most important challenge for designers in creating these environments is finding the right balance between the real and the unreal [23].

Finally, Hyper Virtuality severs all relations with the physical world and the laws of nature. The uniqueness and innovation of the experience are emphasized by consciously steering away from the known. Common construction elements such as walls, doors, windows, or floors hold no significance in this realm. In this environment, users can exist not as object-based avatars but as a point of light, a liquid, or an expanding gas form. However, by rejecting the physical spatial metaphor, Hyper Virtual Reality also loses any sense of familiarity and its derived social cues [7].

II. METHODOLOGY

The descriptive analysis technique, one of the qualitative research methods, was used in the study. Descriptive analysis is a deductive research method in which the findings are defined and interpreted by examining qualitative data based on a predetermined analysis framework of the conceptual structure of the research [24]. The steps of the qualitative method used in the study and how these steps were followed are shown in Table 1. In the examination conducted with this method, the historical development of metaverse studies was reviewed and analyzed, and thus, the development of this subject was revealed. New directions for research on this topic are then presented. The types of spaces defined for the metascape universe and the evaluation criteria of "The 1st STELSI International Metaverse Architecture Competition" held in 2023 were used to evaluate the projects examined in the study.

Table 1. Flowchart of the study

Step	The analysis step	To the Topic
1	Identifying the initial research question and the area of investigation	The role the metaverse universe plays in the field of architecture is questioned. The aim is to identify this new field's potential, understand its limits and analyze what kind of projects have been produced in the architectural field to date. What is the current state of the metaverse universe? How is the metaverse universe shaped in architectural databases and current studies? Sample area: Architectural databases (Archdaily)
2	Identification of limitations	Scope of the research: Identification of space types and architectural criteria defined for the Metaverse universe
3	Clarifying the research question to reflect the scope	How does the Metaverse universe reflect in architectural productions regarding space type, smart building, creativity, social value, interaction, spatial and cultural experiences, and digital art parameters?
4	Developing a literature review strategy	What are the current architectural works produced in the Metaverse universe? Identifying architectural projects in databases
5	Performing the analysis	Do current architectural works help to answer the question posed? Evaluation criteria Identifying similarities/differences between projects
6	Interpretation of the results	Presentation of subjective discourse Evolution of the Metaverse universe in the field of architecture and future assumptions

The dataset analyzed in the study was obtained from the Archdaily architecture platform. Archdaily is an international website where current architectural projects and articles, competitions, biennials, and other events related to the discipline of architecture are shared [25]. All projects accessed by searching the keyword "Metaverse" on the search button on this website were analyzed. As a result of the search, a total of 25 architectural projects related to the concept of "Metaverse" were found. In the evaluation of the projects, the space types defined by John Marx [21] for the metaverse universe and the criteria of "The 1st STELSI International Metaverse Architecture Competition" were taken into consideration [26]. The evaluation criteria of the study are as follows: space types (Hyper Reality, Abstracted Reality, Hybrid Cyberspace, Hyper Virtuality), smart building/city in the metaverse, creative and innovative architectural design in the metaverse using future building technologies, and new building materials, creating social value through architectural design, design for public, interactive and social connectivity in cities, new spatial experiences in the metaverse, innovative spatial design from a new perspective, architectural design with cultural elements, design with cultural elements to integrate with society, digital art spaces in the metaverse, innovative spatial design combining digital art, residential, commercial and workspaces.

III. EVALUATION OF ARCHITECTURAL DESIGN WORKS PRODUCED IN THE METAVERSE

A. EVALUATION OF METAVERSE PROJECTS

This part of the study analyzes 25 architectural projects produced for the "Metaverse" world obtained from the Archdaily database. First, descriptive information about the design of the buildings is given. Then, each project was evaluated according to the criteria of metaverse space types (Hyper Reality, Abstracted Reality, Hybrid Cyberspace, Hyper Virtuality), smart building/city, creative and innovative design, social value creation, interaction-socialization, new spatial experiences, cultural value creation, and digital art.

A. 1. Liberland Metaverse City

Liberland, developed by Zaha Hadid Architects, stands out as a micro-national entity embracing libertarian political ideology. In this design, urban residents can purchase plots around the city center.

Additionally, city dwellers can access these plots as avatars. The fundamental factors underlying the Liberland Metaverse design encompass its advantages of global accessibility and cohesive adaptability. This design, effectively combining virtual and physical environments, holds significant potential for future physical implementation [27] (Figure 1).

Figure 1. Images of the Liberland City design, 2022 [27]

A. 2. Make Room For Us

This architectural proposal, designed by Ezequiel Pini and his team, encompasses designing and visualizing an envisioned home within the metaverse universe [28]. According to the project's designers, this proposal not only suggests harmonizing architecture with nature but also serves as a means through the Metaverse to convey a kind of remorse for the damages inflicted on the physical world. This project explores ways of harmonizing with what has always existed. An architectural system that interacts with nature in an imaginary ecosystem is proposed. This exploration is depicted as a narrative translated into visual concepts to reconstruct the home (Figure 2).

Figure 2. Images of the Make Room for Us design, 2022 [28]

A. 3. The Winter House by Andrés Reisinger and Alba de la Fuente

Designed by Argentinian designer Andrés Reisinger and architect Alba de la Fuente, this is a residential project inspired by the coldest season of the year. Comprising serene colors and evoking a sense of tranquility, this design stands out as a virtual and independent residence with distinct geometric lines— architects aimed to create a winter shelter by integrating interior and exterior spaces. Combining different architectural movements, this project is inspired by Dieter Rams designs of the early 1960s to create a large concrete structure. The floating slab is combined with floor-to-ceiling glass panels that allow natural light to enter the interiors. Architects have translated feelings of serenity, tranquility, and comfort associated with winter into a residential form within the metaverse environment [29] (Figure 3).

Figure 3. Images of the Winter House design, 2022 [29]

A. 4. Neo-Chemosphere by ZYVA Studio and Charlotte Taylor

It was designed by Anthony Authié and Charlotte Taylor and was inspired by John Lautner's striking spaceship house in Los Angeles in 1960. In response to the COVID-19 crisis and climate change, Authié and Taylor have created a post-anthropocentric world by locating their residence in the archaeological site of the sea opposite the Marseille Canyons. The designed residence occupies an area of 145 square meters and consists of an octagon measuring 14 meters in diameter, positioned on a concrete pillar wedged between rocks. To evoke a sense of tranquility and comfort for users, the interior was coated with white resin, creating a stark contrast with the surrounding pink stones. This project blurs the boundaries between interior and exterior spaces, addressing a contemporary perspective regarding withdrawing from society and reconnecting with nature. In this project, the designers aim to establish a metaphysical relationship between the architecture and the user. While balancing modernism with science fiction, the design also references the cinematic visual effects of the 1970s [29] (Figure 4).

Figure 4. Images of the Neo-Chemosphere design, 2021 [29]

A. 5. Gluon

Gluon, a digital consulting firm based in Japan, has launched the "3D Digital Archive Project" to preserve the iconic Nakagin Capsule Tower in Tokyo. The main goal of this project is to record the tower in 3D and use various measurement techniques to recreate it in the Metaverse. The Nakagin Capsule Tower does not comply with current earthquake regulations and is threatened with demolition due to lack of maintenance and deterioration. In this context, the metaverse project developed by Gluon aims to digitally record the Nakagin Capsule Tower building and preserve it for future generations. Based on the detailed measurement data of the Nakagin Capsule Tower Building, the digital archive aims to build a space in the Metaverse where people can come together again. This project aims to preserve historical and cultural heritage by using technology to preserve it for future generations and to keep it alive in a virtual environment [30] (Figure 5).

Figure 5. Images of the Gluon design, 2022 [30]

A. 6. Crystal City

Crystal City's metaverse destination comprises a high observation terrace, an ice-covered market area, and a snow gallery, housing the Crystal Tower, Decentraland's tallest multi-purpose tower. Ecuadorian architect Felipe Escudero, who hosts offices, stores, galleries, and various events, designed this 6-hectare area. The Crystal Tower, situated at the heart of Decentraland, is designed as a 167-meter-tall metal tower. Crystal City aims to transcend the boundaries of the contemporary physical world by disregarding gravity and material properties, intending to provide a unique transcendental and interactive experience in the digital realm. This platform aims to cater to a broad user base by offering companies and artists affordable leasing options within the tower, market, and event spaces. This supports Crystal City's aim to provide an accessible digital space in a place where buying land is costly [31] (Figure 6).
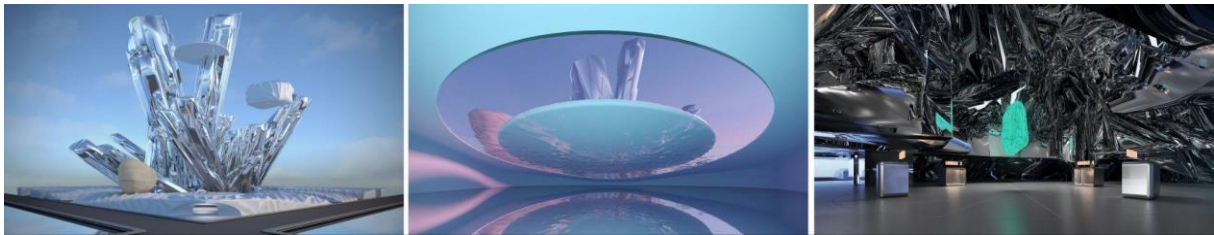
Figure 6. Images of the Crystal City design, 2022 [31]

A. 7. The Ares House by Daniel Arsham

The Ares House is conceived as a space aiming to render the colossal statue of the Greek god of war and courage, Olympus' symbol, in a detailed and habitable scale. The artist's "out-of-time" aesthetic and approach are shaped around the concept of "fictional archaeology," which combines the past, present, and future. Specially designed for The Row, the Ares House is imbued with a sense of enigmatic presence, aiming to evoke a sensation of existing in both ancient and modern worlds. Artist Daniel Arsham created the artwork through five different variations. Each designed variant exhibits a unique crystalline feature rendered in amethyst, quartz, pyrite, and volcanic ash. Arsham states that this project aims to encourage users to reflect on the concepts of time and age of materials [28] (Figure 7).

Figure 7. Images of the Ares House design, 2022 [28]

A. 8. Virtual architecture by Andrés Reisinger

This virtual building, designed by Andrés Reisinger, is a visual manifesto of digital architecture free from reality's spatial constraints and limitations. Traditional architecture is the fundamental unit where the house is concretized for long-term existence within the Metaverse and is accepted as a permanent entity. However, according to Reisinger, this permanence challenges the traditional understanding of housing and becomes obsolete within the Metaverse. This glass house possesses a solid geometry and is surrounded by non-existent green areas. The transparency of the structure aims to counteract 'meaninglessness, distress, existential fear, and emptiness. This design combines the most stimulating conditions with a transparent architectural atmosphere, sharp aesthetics, and the fuzzy texture of the space. By focusing on the untouchable density of time and illusion, the design emphasizes a non-existent residence experience. Reisinger's virtual architecture challenges traditional norms, creating a new aesthetic language within the Metaverse [28] (Figure 8).

Figure 8. Images of the Virtual Architecture Design, 2022 [28]

A. 9. Quagmire's Karst by Misha Kahn

Misha Kahn, an American designer known for his montage and sculpture works, has developed a creative and original project in the metaverse universe. Kahn has used various digital tools in his creations, from Ad-Hoc programming techniques to virtual Reality and other high-tech devices. Kahn's 'Swamp' series has been shaped around utilizing grids to create depth within an environment. By combining low-tech with high-tech, these designs aim to push the boundaries of space with virtual Reality [28] (Figure 9).
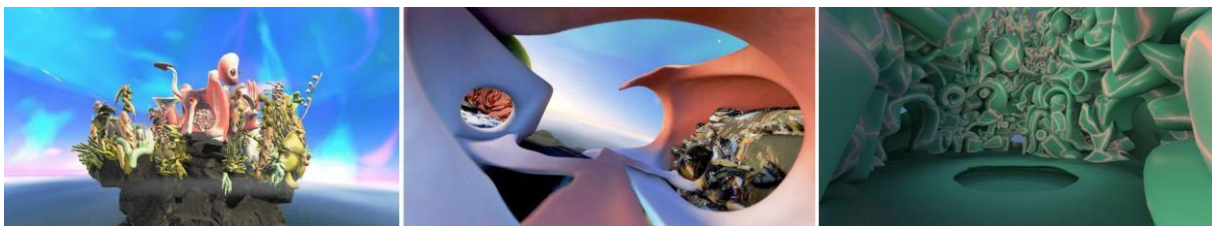
Figure 9. Images of the Quagmire's Karst design, 2022 [28]

A. 10. The Mirage by Alexis Christodoulou

The Mirage, designed by Alexis Christodoulou, stands out as the Metaverse's first personal levitation center. This project is designed to facilitate individuals' transition into the digital realm. Each Mirage version mimics the sun's position while floating in the air at various moments throughout the day. Christodoulou sees this project as a place of escape and purification from the real world [28] (Figure 10).

Figure 10. Images of the Mirage design, 2022 [28]

A. 11. The Pearl by Hard

Designed by Hard Architects, The Pearl combines the creative side of the digital landscape with avant-garde designs. The project's main form, a giant pill, sits atop salty rock formations. The design offers a perspective that explores the 'luxury desire and the need for belonging' nurtured through an inner journey. Alexander Team describes this design as a critique of the visually indulgent lifestyle [28] (Figure 11).
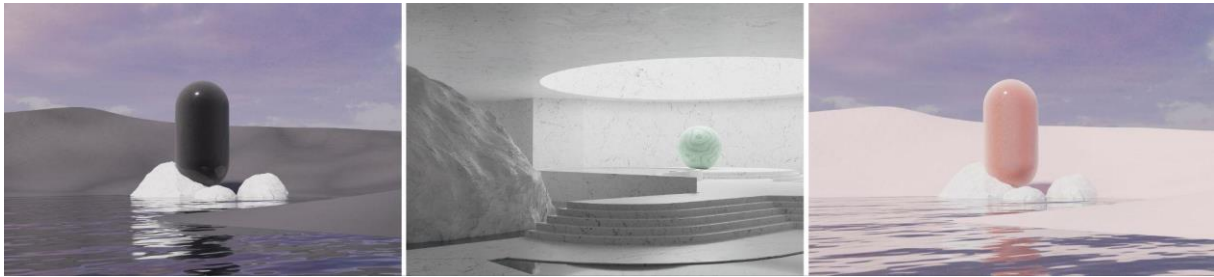
Figure 11. Images of the Pearl design, 2022 [28]

A. 12. Metajuku Shopping Center

Republic Realm, a metaverse real estate developer and investment platform, has developed Metajuku, a new shopping district for the Metaverse. As the name suggests, Metajuku references Tokyo's famous Harajuku shopping area. The project is developed around a 16,000-square-meter atrium. The stores surrounding the atrium sell digital wearable products for metaverse users. The shopping district is in Decentraland, a virtual social platform supported by the Ethereum blockchain. Designed by Martin Guerra, this project was brought to life by Republic Realm's 3D real estate and game developers. The virtual shopping experience is crafted explicitly for Web 3.0, entirely constructed to exist independently of gravity [32] (Figure 12).

Figure 12. Images of the Metajuku Shopping Center design, 2022 [32]

A. 13. Courtesy of Townscaper

Townscape is a new city-building game that allows users to create their towns. With elements rising from a digital sea, users build unique towns as they click. According to the game's developer, Oskar Stalberg, Townscaper is primarily conceptualized as more of a toy. The design is inspired by the architecture of Scandinavian cities and the concept of children's books. Depending on the context, algorithms process the details by adding many features, such as terraces, arches, bridges, gardens, stairs, etc. In the game, which utilizes colorful bricks and stones, spaces are developed with details like mailboxes, seagulls on rooftops, and tiny boots on doorstep thresholds [32] (Figure 13).

Figure 13. Images of the Courtesy of Townscaper Design, 2020 [32]

A. 14. Virtual Gallery by Zaha Hadid Architects

Zaha Hadid Architects introduces a virtual art gallery named 'NFTism' at Art Basel Miami, providing a platform to explore architecture and social interaction within the Metaverse. The gallery features spatial designs created by ZHA, focusing on user experience, social interaction, and "dramaturgical" compositions. The gallery combines virtual architecture with technologies utilized in virtual spaces designed by ZHA, providing interactive technologies and services supported by MMO (massively multiplayer online) for users. The project focuses on virtual areas that enable communication between people through computer networks. Using MMO video game technologies, high-speed networks, and clouds, virtual spaces are socially enriched and accessible from various devices [33] (Figure 14).
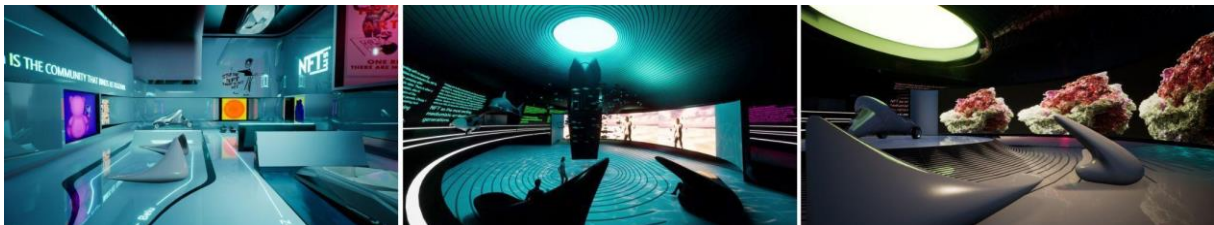
Figure 14. Images of the Virtual Gallery design, 2021 [33]

A. 15. Tequila Distillery

The design, developed by Rojkind Arquitectos, emerged as a design exercise to explore how objects can respond to human needs. Rojkind Arquitectos collaborated with a group of designers and experts in the digital field to design a distillery in the Metaverse. The structure, designed as a space for social interaction, is surrounded by a familiar urban context [32] (Figure 15).

Figure 15. Images of the Tequila Distillery design, 2022 [32]

A. 16. Red Hill House

This housing project, designed by the Australian architecture firm SOFA, is conceptualized as an NFT (Non-Fungible Token). It has a deliberately minimal and straightforward aesthetic that appeals to a broad audience and can be applied to many environments and locations worldwide. Through NFTs, SOFA makes architecture and design products unique, rare, and transferable. It offers various benefits in both the digital and physical realms, presenting long-term investment potential. SOFA aims to democratize architectural designs using NFTs and reduce the consumer's entry cost by providing the opportunity to own a limited collection [34] (Figure 16).

Figure 16. Images of the Red Hill House design, 2022 [34]

A. 17. Mars House

Mars House, designed by artist Krista Kim in 2020, is the first digital NFT house sold in the world. Beyond being a functional home, Mars House attracts investors to the Metaverse with a sale price of half a million dollars. The house is built with the Unreal Engine software used for video games and can also be used in Virtual Reality (VR) and Augmented Reality (AR) applications. Mars House has a structure created with light and offers a healing atmosphere accompanied by the music of Jeff Schroeder, guitarist of The Smashing Pumpkins [35] (Figure 17).
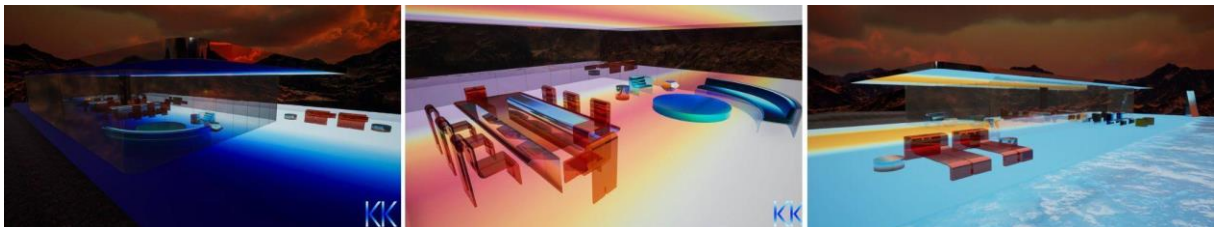
Figure 17. Images of the Mars House design, 2020 [35]

A. 18. Decentraland

Decentraland is conceptualized as a 3D-based virtual world browser platform. Users can purchase NFTs (Non-Fungible Tokens) and virtual lands via the Ethereum blockchain. Decentraland provides access to various virtual events, such as buying clothing for avatars and attending concerts, fashion shows. Furthermore, items purchased through the platform can be delivered to the user's physical address in the real world. The platform, launched to the public in February 2020, is overseen by the non-profit Decentraland Foundation [36] (Figure 18).

Figure 18. Images of the Decentraland Design, 2020 [36]

A. 19. MetaMundo's 3D NFT Villa

MetaMundo has proposed a virtual interactive space in its second three-dimensional NFT, situated along the ocean. Designed by American architect Luis Fernandez, the structure encompasses spaces such as an NFT gallery, meditation pavilions, and entertainment areas. MetaMundo aims to transform this interactive space into a socializing, gaming, and relaxation platform. Various historical references inspired the architect in the design of the villa. The main entrance is reminiscent of the arcades of ancient Greek temples. The project references Frank Lloyd Wright for the relationship between architectural design and landscape and Mies van der Rohe for using natural materials [34] (Figure 19).
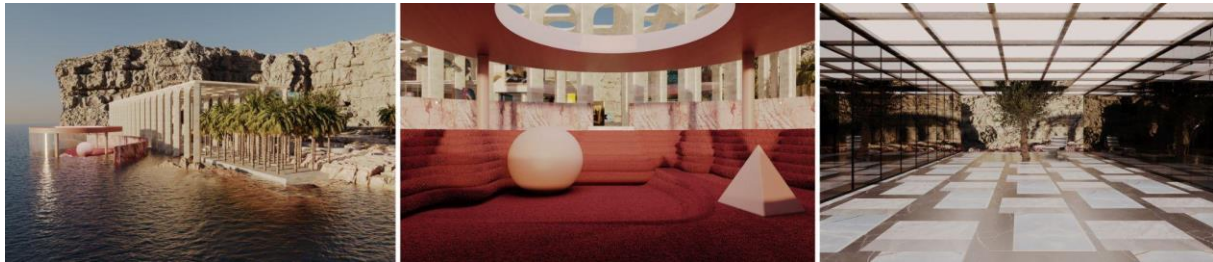
Figure 19. Images of the MetaMundo's 3D NFT Villa design, 2022 [34]

A. 20. Fengyuzhu Metaverse Digital Art Museum

The Fengyuzhu Metaverse Digital Art Museum is designed as a virtual cultural facility on Baidu's Xirang Metaverse platform, targeting M-generation users. Users can purchase digital art collections and enjoy interactive exhibitions, entertainment, social networking, and other features. The Fengyuzhu Metaverse Digital Art Museum is intended to lead in the creation of a cultural landmark in the Xirang Metaverse [37] (Figure 20).
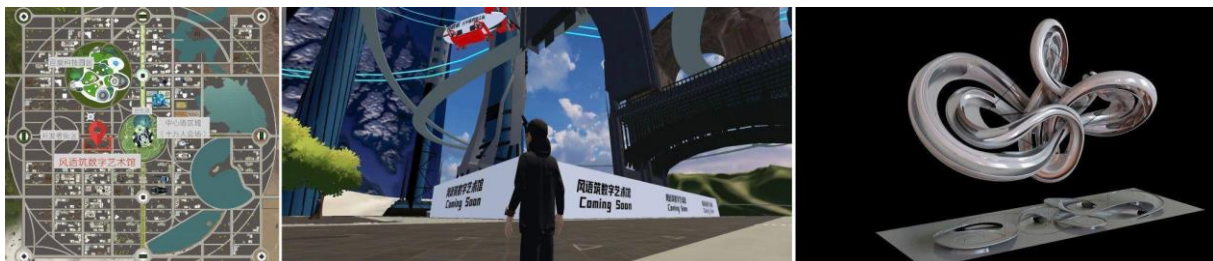
Figure 20. Images of the Fengyuzhu Digital Art Museum design, 2022 [37]

A. 21. Grimshaw Metaverse Social Hub

The structure, inspired by architectural elements of a caravanserai, relies on a simplistic design comprising a central courtyard surrounded by water droplets. The cube shape gives it a floating appearance in its position. Visitors can reach desired locations through openings because they lack a physical connection to the ground. This ever-changing architecture aims to reflect human interaction at a scale and speed impossible in a physical environment [38] (Figure 21).

Figure 21. Images of the Grimshaw Social Hub design, 2023 [38]

A. 22. HWKN Metaverse Social Hub

Designed by HWKN, the project is a multi-layered, open hexagonal structure inspired by the physical world but transformed by the digital freedom of the Metaverse. Located in a surreal desert, it offers a variety of experiences, from concerts in the large theater to wall-less galleries, meeting rooms open to the sky, and exercise facilities in the rooftop garden. Its familiar yet futuristic appearance aims to create a relaxing, inviting, and exciting meeting point [38] (Figure 22).

Figure 22. Images of the HWKN Social Hub design, 2023 [38]

A. 23. Farshid Moussavi Architecture Metaverse Social Hub

This design proposal deeply explores the architectural office's commitment to social values. The project emphasizes efforts to promote inclusivity, diversity, and richness. The building is planned to be a meeting point and to encourage interaction. Different event spaces are placed around three large circular courtyards, creating a strong connection between indoor and outdoor spaces. This central arrangement achieves coherence by interconnecting the courtyards. The exterior surface of the building is clad in mirrors. The underlying reasons for this choice are stated to reflect the outdoor environment continuously, influencing the arrival visitors' perspective and altering their approach to the building [38] (Figure 23).

Figure 23. Images of the Farshid Moussavi Social Hub design, 2023 [38]

A. 24. WHY Metaverse Social Hub

Resembling a caravanserai, this space is shaped around a public square. Natural materials are preferred in the design, and a holistic harmony is achieved with waterfalls, sky windows, and vegetation scattered throughout the landscape. The objective is to create an experience that evokes visitors' positive emotional and even physiological responses. The central courtyard connects underground rooms,

islands, great halls, and meditative restrooms. The building is designed to allow for a wide range of programming and different events [38] (Figure 24).

Figure 24. Images of the WHY Social Hub design, 2023 [38]

A. 25. SOLIDS

SOLIDS is an initiative developed by FAR, an architect and engineer working in digital environments, utilizing a generative process to design metaverse-compatible buildings. This project generated 8,888 different SOLIDS buildings through generative algorithms to create NFTs compatible with metaverse platforms, game engines, and modeling software. This productive architectural form has initiated a discussion about the changing role of architects and the possibilities offered by digital environments. SOLIDS offers algorithmically generated architectural elements. Although it is based on parametric design, it preserves the architectural logic and ensures the integrity of the design. This initiative offers twelve different Archetypes with varying functions. Structures in the form of flexible containers that can be used to house galleries, meetings, or different experiences are among the possibilities SOLIDS offers [39] (Figure 25).

Figure 25. Images of the SOLIDS design, 2022 [39]

IV. RESULTS AND EVALUATION

The projects examined within the scope of the study were evaluated within the scope of Hyper Reality (HR), Abstracted Reality (AR), Hybrid Cyberspace (HC), and Hyper Virtuality (HV) according to the types of space and presented in Table 2.

Table 2. Evaluation of Metaverse Projects

No	Building Name	Space Type	Smartness	İnnovation	Social value	Interaction	Spatial experience	Digital art	Cultural value
1	Liberland City	HC	+	+	+	+	+		
2	Make room for us	HR		+					
3	Winter house	HR							
4	Neo-Chemosphere	HR							+
5	Gluon	HR			+				+

#	Name	Type						
6	Crystal City	HC		+		+	+	
7	Ares House	HR		+			+	
8	Virtual Architecture	HR		+				
9	Quagmire's Karst	HV		+			+	
10	The Mirage	HR		+				
11	The Pearl	HC		+		+	+	
12	Metajuku Shopping Center	AR				+		
13	Courtesy of Townscaper	AR	+	+				
14	Virtual Gallery	HR		+	+	+	+	+
15	Tequila Distillery	HC		+		+	+	
16	Red Hill House	HR						
17	Mars House	AR		+				
18	Decentraland	AR	+	+		+	+	
19	3D NFT Villa	HR		+	+	+	+	
20	Fengyuzhu Museum	AR		+	+	+	+	+
21	Grimshaw Hub	HC		+		+	+	
22	HWKN Hub	HC		+		+	+	
23	Farshid Moussavi Social Hub	HC		+		+	+	
24	WHY Social Hub	HC		+		+	+	
25	SOLIDS	HV	+	+				

When the projects obtained from the Archdaily database are evaluated, it is understood that each project develops a different architectural discourse. The analyzed projects have different architectural concerns and offer a different perspective within the architectural paradigm. In the analysis, studies are designed at different scales, such as city, region, building, and interior space. In this context, it has been determined that urban designs focus on different ideas. For example, the Liberland City Project, developed by Zaha Hadid Architecture, aims to establish a free and liberatian country. This new country is presented as a better version of the real world. Cortesy of Townscaper also aims to build a city. However, this city stands out entirely for entertainment and game purposes. Another urban design proposal is the Decentraland project. This study focuses entirely on the commercial use of space. In addition to urban designs, housing designs such as Make Room For Us, Winter House, Ares House, Virtual Architecture, The Mirage, Red Hill House, and Mars House aim to reveal emotional interaction with nature and the individual's inner self. In these designs, the design fiction is developed with modern architectural elements, and historical references are used to familiarise the virtual space.

In addition, designs are developed to protect and preserve historical and cultural values in the Metaverse universe. Neo-Chemosphere, Gluon, and various museum spaces are essential cultural and historical initiatives. Neo-Chemosphere involves the recreation of a spaceship designed in the 1960s. Gluon is a life-like recreation of the Nakagin Capsule Tower. There are also many projects that allow social interaction in the metaverse environment. For example, Crystal City is a multi-purpose high-rise complex. Liberland City and Decentraland are smart cities, and SOLIDS generative designs are smart building projects. Virtual Gallery is a virtual art gallery; Tequila Distillery is a distillery; 3D NFT Villa is a multi-purpose event venue; Fengyuzhu Digital Art Museum is a virtual cultural facility. Grimshaw Social Hub, HWKN Social Hub, Farshid Moussavi Social Hub, and WHY Social Hub are social interaction spaces where different activities can be organized. Quagmire's Karst project develops an unusual approach to the metaverse, proposing a bog space. Mars House, Red Hill House, and SOLIDS projects can be bought and sold as an architectural commodity. In other words, these projects are offered to users as paid NFTs.

As a result of the analyses made, it is seen that Hyper reality, that is, projects that imitate the physical world to a great extent, are in the majority. Although they are entirely free and independent from the

constraints of the physical world in the metaverse environment, it is seen that designers tend to refer to historical or modern architectural elements. Creative and free designs, interaction-socialization areas, and new spatial experiences are the prominent features of the projects developed in the metaverse environment.

V. DISCUSSION AND CONCLUSION

Metaverse serves many different fields such as tourism, education, entertainment, labour-business sector, medical-health sciences, communication, engineering, art, and architecture with different components such as augmented reality, virtual reality, mixed reality, artificial intelligence, blockchain technology, web 3.0 and internet of things [40].

The activities carried out in the metaverse affect individual behavior, city identity, and urban memory [41]. Urban and architectural studies in the Metaverse universe offer essential approaches to improving architectural structures, preserving urban memory, and transferring it to new generations. According to Assmann, spatialisation is a fundamental tool of memory technique [42]. The transfer of space to the metaverse also activates the relationship between space and memory. Thanks to the advancing technological developments, the metaverse concept will develop together with different disciplines and provide new areas of use and potential [43]. It is predicted that it may become a new business model for architects and the architecture sector in the near future. The fact that virtual versions of all kinds of physical spaces will be needed in the metaverse universe shows that architects and designers will play an active role in the metaverse universe [18].

In this study, in order to contextualize the metaverse, important developments shaping the historical development of this subject are explained. Then, an evaluation of how the metaverse works in the Archdaily database can be interpreted is presented. The current state of these studies shows that architectural productions in the metaverse universe are gradually increasing and gaining popularity. The study analyzed different types of spaces and evaluated them in four categories: Hyper Reality (HR), Abstracted Reality (AR), Hybrid Cyberspace (HC), and Hyper Virtuality (HV). The results show that projects that mimic the physical world (Hyper Reality) are the majority. In the Metaverse, designers are inspired by historical or modern architectural elements, although they work independently of the physical world's limitations. Creative designs, interaction spaces, and new spatial experiences are prominent features of metaverse projects.

In this study, a model for the evaluation of architectural projects in the metaverse is developed. The metaverse universe is a very complex, multidimensional and undefined universe compared to the physical world. The production of architectural projects in this universe also involves complex processes. With the model produced, it is aimed to be a guide for architects, designers, employers and other stakeholders in the design phase. In future studies, the scope of the model can also be developed for the implementation stages of architectural projects. The seven-stage model is presented in Figure 26.
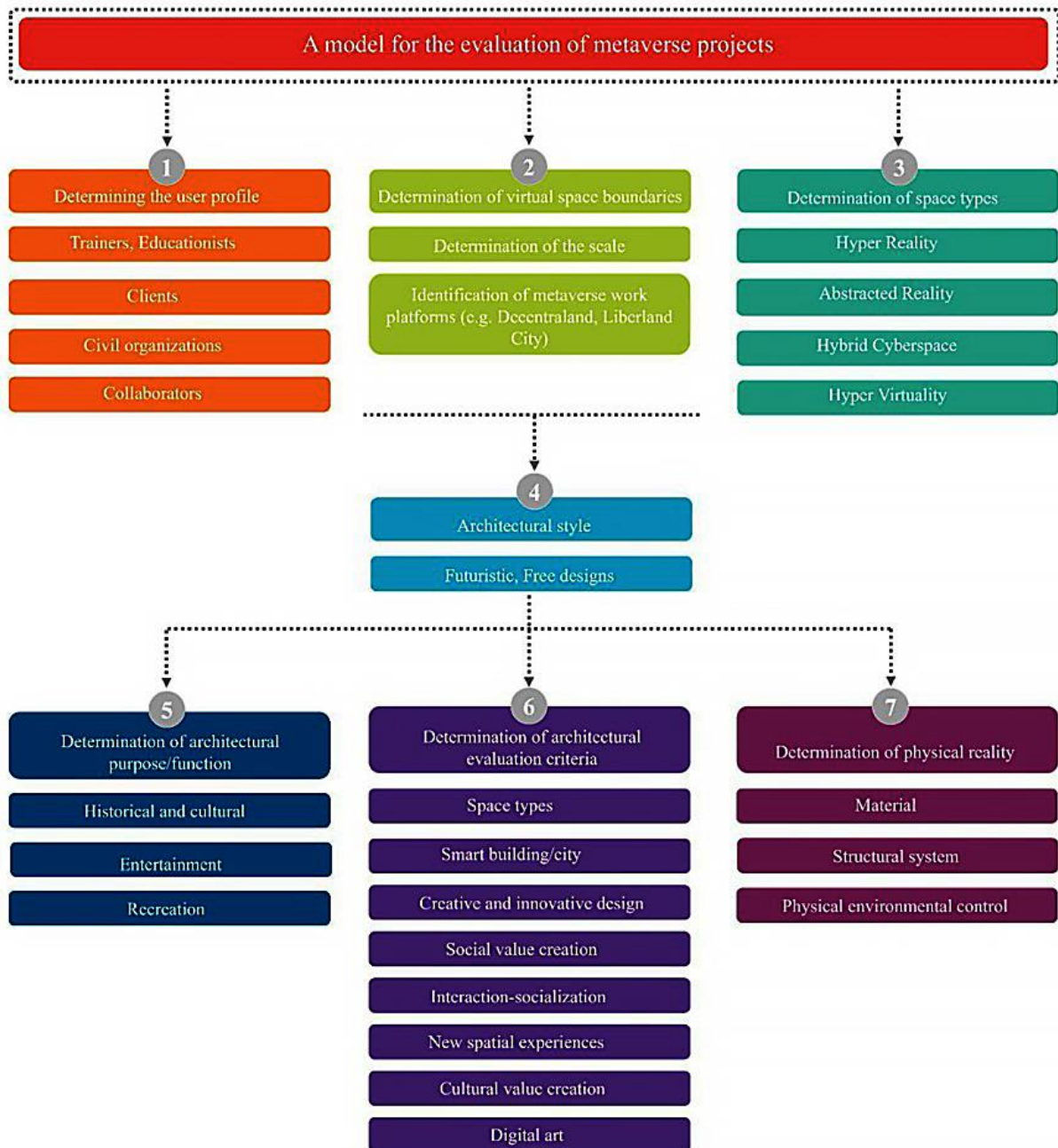
Figure 26. A model for the evaluation of metaverse projects

As a result, metaverse, which is a new field, serves various purposes in architecture and is becoming increasingly widespread. In this field, futuristic, free designs and historical and cultural structures are revitalized and transferred to future generations. 3D visualizations can be easily produced in the metaverse instead of various software. In the future, the metaverse is expected to radically change and transform the discipline of architecture in education, design, and practice.

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Research Article

Impedance and Interface States Depending on Frequency Analysis of Al/(ZnFe₂O₄-PVA)/p-Si Structures

(iD) Jaafar Abdulkareem Mustafa ALSMAEL [a], (iD) Nuray URGUN [b,*], (iD) Seçkin ALTINDAL YERİŞKİN [c]
, (iD) Serhat Orkun TAN [d]

[a] *Department of Oil And Gas Engineering, Faculty of Oil and Gas, Basrah University, Basrah, IRAQ*
[b] *Department of Mechatronics Engineering, Faculty of Engineering, Karabük University, Karabük, TURKEY*
[c] *Department of Chemistry And Chemical Processing Technologies, Vocational School Of Technical Sciences, Gazi University, Ankara, TURKEY*
[d] *Department of Electrical and Electronics Engineering, Faculty of Engineering, Karabük University, Karabük, TURKEY*
* *Corresponding author's e-mail: nuray1erkutlu@gmail.com*

ABSTRACT

This study investigates the properties of a film made of zinc ferrite (ZnFe₂O₄) doped polyvinyl alcohol (PVA). The film is sandwiched between an aluminum (Al) and p-Si semiconductor layers, and electrical measurements are conducted on the structure in a wide scope of frequency besides voltage. The study evaluates the impacts of the ZnFe₂O₄-PVA interlayer on surface-states (N_{SS}), and complex-impedance ($Z^* = Z' - jZ''$). A remarkable impact of the values of series resistance (R_S) and the interlayer on the capacitance-voltage (*C-V*) and conductance-voltage (G/ω-*V*) data has been observed at moderate and high frequencies. Hence, the *C* and G/ω versus *V* qualities were modified at high frequency to eliminate the outcome of R_S. The Hill-Coleman approach was utilized to estimate the values for N_{SS}. Experimental results confirm that both the N_{SS}, R_S and the interlayer in the metal-polymer-semiconductor (MPS) structures are critical factors that significantly alter the electrical and dielectric properties. The analysis of the results obtained from the impedance study showed divergent behavior. It was observed that the impedance values increase in the low frequency, while they diminish in the higher frequencies, as a result of the mutual effect between the interface and the dipole polarization. The study suggests that due to its high dielectric value, the ZnFe₂O₄-PVA interlayer may be a better alternative to conventional insulators for charge/energy storage.

Keywords: Metal-Polymer-Semiconductor, Complex-impedance, Frequency dependence, Series resistance, Interface states.

Al/(ZnFe₂O₄-PVA)/P-Si Yapılarda, Empedans ve Arayüz Durumlarının Frekansa Bağlı Analizi

Öz

Bu çalışmada çinko ferrit (ZnFe₂O₄) katkılı polivinil alkolden (PVA) yapılmış bir filmin özellikleri araştırılmaktadır. Film, alüminyum (Al) ve p-Si yapı arasına sıkıştırılmış olup, yapı üzerinde voltajın yanı sıra geniş bir frekans aralığında elektriksel ölçümler yapılmıştır. Çalışma, ZnFe₂O₄-PVA ara katmanının yüzey durumları (N_{SS}) ve kompleks empedans ($Z^* = Z' - jZ''$) üzerine etkilerini değerlendirmektedir. Orta ve yüksek frekanslarda seri direnç (R_S) ve ara katman değerlerinin kapasitans-gerilim (*C-V*) ve iletkenlik-gerilim (G/ω-*V*)

özellikleri üzerinde dikkate değer bir etkisi gözlemlenmiştir. Bu nedenle, R_S etkisini ortadan kaldırmak için C-V ve G/ω-V değerleri yüksek frekansta düzenlenmiştir. N_{SS} değerlerini tahmin etmek için Hill-Coleman yaklaşımı kullanıldı. Deneysel sonuçlar hem N_{SS} hem de R_S'in ve metal-polimer-yarı iletken (MPS) yapısındaki ara katmanın, elektriksel ve dielektrik özellikleri önemli ölçüde değiştiren kritik faktörler olduğunu doğrulamaktadır. Empedans çalışmasından elde edilen sonuçların analizi farklı davranışlar gösterdi. Arayüzey ile dipol polarizasyonunun karşılıklı etkisi sonucunda empedans değerlerinin düşük frekansta arttığı, yüksek frekanslarda ise azaldığı gözlenmiştir. Çalışma, yüksek dielektrik değeri nedeniyle ZnFe₂O₄-PVA ara katmanının, yük/enerji depolaması için geleneksel yalıtkanlara nazaran daha iyi bir alternatif olabileceğini öne sürmektedir.

Anahtar Kelimeler: Metal-Polimer-Yarıiletken, Kompleks empedans, Frekans bağımlılığı, Seri direnç, Arayüzey durumları.

I. INTRODUCTION

The advancement of semiconductor technology in the past decades has greatly impacted various industries, including computing systems, energy, solar cells, and medicine. The increased understanding of the properties of semiconductor materials has led to improved performance of devices and the development of new applications [1]. Metal-semiconductor contacts (MS) play a crucial role in high-frequency applications, particularly those requiring high efficiency and performance [2]. In order to enhance the characteristics of these devices, insulating materials, such as polymers, are often inserted between the metal and the semiconductor [3]. Polymers are attractive materials with their low cost, broad application areas, big surface-to-volume ratio in some forms, and dopant-suitable nature [4]. However, their inability to conduct electricity makes them unsuitable for specific applications in which electrical conductivity matters. Thus, these materials are doped with conductive substances, such as zinc ferrite (ZnFe₂O₄), to overcome this limitation [5]. After the usage of a doped interlayer in an MS structure, some abnormal behaviors can be observed in the structures' characteristics. For example, a negative capacitance (NC) peak in the structure's characteristics was observed in an earlier study, which investigated the influence of surface-states (N_{SS}), utilizing the low-high frequency capacitance approach depending on the voltage [6]. For the present study, the impact of N_{SS} was determined according to the (Hill-Coleman) approach, which varies depending on frequency. A compound of zinc, iron, and oxygen known as zinc ferrite is known for having distinct magnetic and electrical properties [7]. It belongs to the spinel family of substances, and its crystal structure is highlighted by cation-occupied tetrahedral and octahedral sites.

Many studies have been carried out in recent years to reveal the electrical, dielectric and impedance properties of structures similar to the structure used in this study. In a study in which an MPS structure was investigated with (Cu₂O–CuO–PVA) inter-layer, the researchers observed wide dispersion on the values in their C-V-f and G/ω-V-f plots especially in the depletion stage due to the distribution and lifetime of Nss. Moreover, they related these dispersions also seen in the accumulation due to series-resistance (R_S) and polymer interlayer effects [8]. As a way to comprehend the dielectric behavior of the structure, the impedance results were also analyzed using the equivalent electrical circuit model in another study. Since the researchers related the high dielectric losses with the losses in the energy on the low-frequency scale, they concluded that in low frequencies, grain boundaries, N_{SS} and surface/dipole polarization affect the structure's dielectric response. In contrast, they related this behavior with the grains at high frequencies since there would be less energy necessity for the hopping processes in high frequencies [9]. In another study [10], which revealed the decreasing dielectric losses and easier hopping processes as a result of the high-frequency effect, the researchers found that the (NG:PVP) interlayer had high dielectric values, which shows more charging/energy-storing ability of the device, indicating that organic interlayers can replace conventional insulators. Additionally, several researchers carried out a study of the impedance spectroscopy (IS) method by utilizing appropriate equivalent circuits, which included estimates of the effects of Nss and grain boundaries on the conductivity behavior changes [11]. A study group noticed that the device manufacturing process was efficient, with the devices seen to keep 75% of their charge after 1400 seconds. This work provides an

opportunity to use the recently created PVA-PAA-glycerol and a simplified manufacturing method for organic memory device applications based on nanoparticles as charge storage units [12]. The IS analysis has also proven in understanding and improving the performance of the materials, including their usage in alternative ion batteries and catalysis applications [13]. In a recent study, researchers explored how glycerol plasticizers influence the conductivity of Chitosan-derived NCSPEs. The electrical and electrochemical upshots of these nanocomposite films were assessed using AC conductivity and resistivity. The results indicated an improvement in charge transfer resistance with increasing glycerol content, making them candidate materials for EDLC applications [14]. Another study's outcomes revealed the importance of R_S and N_{SS} in the influence of structure properties. The C & $G/\omega-V$ plots at high-frequency levels have been improved to remove the Rs impact. The outcomes affirmed that ZnS-PVA significantly improved the MPS structure performance in storing electrical charges [15].

In a recent study on the production of Al/ZnO/p-Si (MOS) type Schottky diodes, the usage of ZnO powders produced by biological method as a new approach in this type of semiconductor devices and the effect of graphene oxide (GO) on electrical properties were investigated and the obtained results were compared. As a result, it was observed that the biological method was favorable in the Schottky diode structure and GO doping improved the performance of the device [16]. Similar to this study, by reporting the frequencies feedback of C & G/ω data properties of PVA interlayered Au/n-Si structures, the effects of interface snares and R_S were investigated by impedance computations. In conclusion, it is suggested that PVA interlayer doping with CdTe is a good applicant compared to customary nonconductors, due to its flexibility, higher endurance, facility of growth process, lower price and lower molecular weight [17]. In another study, current-voltage measurements of the Cr/Chlorophyll-a/n-GaP/Ag device fabricated by spin-coating method at 300 °K and electrical parameters were calculated using thermionic emission theory, Norde and Cheung functions. According to the measurement results taken in light and dark environments, it can be considered that the chlorophyll-a layer positively affects the performance of the device. As a result, it is thought that chlorophyll-a layer is photosensitive and will be a new material for use in optoelectronic devices [18]. Revealing that Gr doped in PVA can cause substantial alterations in both dielectric and electrical parameters in MS structures, the researchers noted in their study that, especially interfacial states, series resistance and polarization can change the characteristics of the structure at different voltages. Furthermore, they emphasized that a doping rate of 3% graphene in PVA results in enhanced electrical and dielectric properties [19].

The high magnetic susceptibility of $ZnFe_2O_4$ makes it useful in various applications like microwave devices and magnetic recording media [20]. $ZnFe_2O_4$ also has other probable applications in optical, magnetic, and dielectric materials such as sensors, capacitors, catalysts, etc [21]. Due to its strong chemical stability, $ZnFe_2O_4$ is also resistant to corrosion from acids and bases [22]. Moreover, an earlier study has shown successful outcomes like fine-grained microstructures and superior electromagnetic properties at low cost when used with Ni by the sintering process at low and high temperatures [23]. Another study showed that $ZnFe_2O_4$ has remarkable optical properties in addition to its magnetic and electrical characteristics, with a high transparency ratio of around %85 and wavelength over 550 nm for a fabricated thin film [24]. While doped polymers with zinc ferrite have the potential for a great variety of implementations in the light of the literature, when analyzing this doped polymer in an MS study, the primary factor for the system, in general, is the switching mechanism of the structure. Thus, one of this field's characteristics, which is necessary to investigate, is the complex impedance in a MIS/MPS device since the added layer is expected to change through the entire conduction behavior with small or big degrees. An electrical circuit's resistance to an alternating current is measured by impedance. It is a complex quantity comprising two parts: reactance and resistance. The circuit's impedance is subject to alteration depending on the alternating signal frequency [25]. The opposition to the flow of electrical current through a system is called impedance in the MPS structure. The characteristics of the metal, polymer, and semiconductor materials utilized and the contact between them affect the impedance of an MPS structure.

II. EXPERIMENTAL DETAILS

Al/ZnFe$_2$O$_4$-PVA/p-Si measurement and manufacture procedures often require many steps. The ZnFe$_2$O$_4$-PVA composite is made by mixing the nanoparticles with PVA polymer. Then, a solvent is combined with this composite to produce a solution suitable for electro-spinning. The interlayer ZnFe$_2$O$_4$-PVA is made using the electrospinning process. By drawing the solution via a tiny nozzle with a high voltage, thin fibers are produced, which are then assembled on a grounded collector. Previous works have covered in detail the measurement and manufacturing of the structure as well as the electrospinning approach for fabricating interlayer ZnFe$_2$O$_4$-PVA [26].

III. RESULTS AND DISCUSSION

Schottky barrier diodes (SBDs) are a type of semiconductor device that utilizes an MS interface to create a rectifying junction. However, it has been shown in the literature that SBDs with a metal-insulator-semiconductor (MIS) or MPS structures exhibit distinct properties compared to MS-type SBDs [27], [28], [29], [30]. The inclusion of an interlayer between metal and semiconductor drastically alters the electrical characteristics of the structure. One example of this can be seen in the case of the Al/(ZnFe$_2$O$_4$-PVA)/p-Si (MPS) structure. The empirical C & G/ω –V data at ordinary room temperature conditions have shown that the structure's C-V tracings exhibit depletion, inversion, and accumulation regions for each frequency.
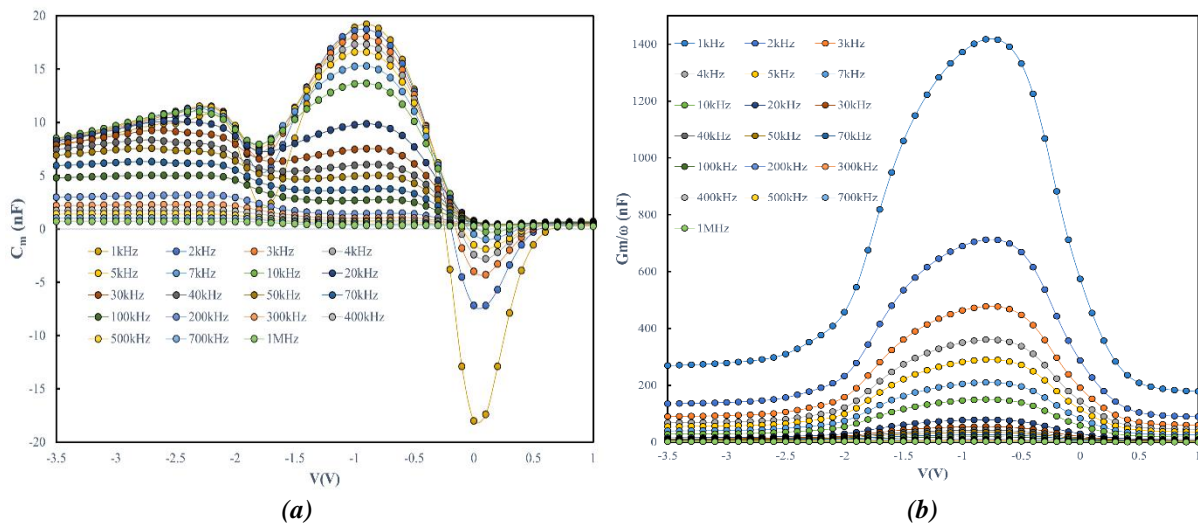
***Figure 1.** (a) Capacitance – Voltage and (b) Conductance – Voltage characteristics of MPS structure.*

In the study, the MPS structure's (*C-V*) and (*G/ω-V*) feature were analyzed at -3,5 V – 1 V voltage interval since this range encompasses the majority of the depletion and accumulation zones, which were observed at this very scale and, significantly impact the MPS structure performance. By focusing on this specific range, it was able to gain more comprehending of how the MPS structure's interface layer affects the device's impedance properties and how it can be optimized for specific applications. The electrical behavior of materials can be investigated using the technique known as complex impedance spectroscopy. It can be utilized to investigate the dielectric characteristics of the interlayer (ZnFe$_2$O$_4$-PVA) in the context of an MPS structure. Z^* is the abbreviation of the material's complex impedance, as described in the following equation, consists of both a real component (*Z'*) and an imaginary component (*Z''*) [8]. These components collectively influence the device's response and play a paramount role in shaping the quality of the conducted signal, especially in depletion and accumulation levels. Additionally, they contribute to the energy storage capabilities of the device in inversion and depletion states.

$$Z^* = Z' - j.Z''$$ (1)

where j is the imaginary unit, Z' represents the real term of impedance, and Z'' represents the imaginary term of impedance. When evaluating the electrical behavior of an MPS structure, the measured capacitance (C_m) and conductance (G_m) serve to define its complex impedance (Z^*) through the following equations where ω is the angular frequency [31]:

$$Z' = \frac{G_m}{G_m^2 + (\omega \cdot C_m)^2}$$ (2)

$$Z'' = \frac{\omega.C_m}{G_m^2 + (\omega \cdot C_m)^2}$$ (3)

Figs 2(a) and (b) chart the complex impedance (Z^*) variation with applied voltage across divergent frequencies. These parameters show that the real component Z' decreases with increasing frequency, while it can be seen different patterns of change between the increase and decrease in Z'' values with the change in frequency. A severe drop in both components of impedance values can be observed within a certain voltage range, (-1) - (0) volts. This reduction becomes less noticeable as the voltage increases in the reverse and forward directions. As the frequency increased, the Z' values decreased; Conversely, Z'' values increased, as shown in Fig 3. The presence of fixed charges and N_{SS} through the MPS interface accounts for this behavior. So, the N_{SS}-induced imperfections may cause bandgap formation at the semiconductor and metal interface. Besides, at a voltage of 0.2 volts, it becomes evident that NC values correspond to negative Z'' values. This correlation can also be observed at this specific voltage point. It arises due to the occurrence of N_{SS} in the semiconducting layer through the MS interface. The NC is an effective instrument for inter-layered MS structures as it can be used in the design of high-frequency devices such as oscillators and amplifiers by means of a device capacitance limiting feature. The researchers have mostly observed NC behavior at low-frequency and forward bias scales, as well as appeared in our study, parallel to the literature, but it can be seen other than these working scales, too [32]. The general acceptance is that NC is an inductive reflectance of the structure's response against to the AC signal, related to the lifetime, N_{SS}, and the minority carrier injection [33], [34].

The two upside elbows at the corresponding positive capacitance values at reverse polarization and one downside elbow at the negative capacitance values at around 0 V in positive polarization in Fig 1(a) are the noticeable results of the material's relaxation in the applied external electrical field due to the lifetime and the excessive capacitance appearance due to the doped materials relative permittivity's change affecting the whole structure's response, respectively. Also, another reason for the reduced effective capacitance is not only because of the entire interlayer's effect of the doped-PVA but also because of the extra capacitive formations due to the surface charges' self-storage/charge effect at low frequencies. Furthermore, these kinds of NC appearances in a doped-interlayered heterostructure's plots show that the NC does not appear only on the directly ferroelectric materials but also on the layered materials with effects of impurities in turn due to the created short-term virtual polarization.

The amplitude of impedance and the phase angle ($\theta°$) between Z' and Z'' can be calculated as by the following expressions:

$$[Z] = \sqrt{Z'^2 + Z''^2}$$ (4)

$$\theta = tan^{-1}\left(\frac{z''}{z'}\right)$$ (5)
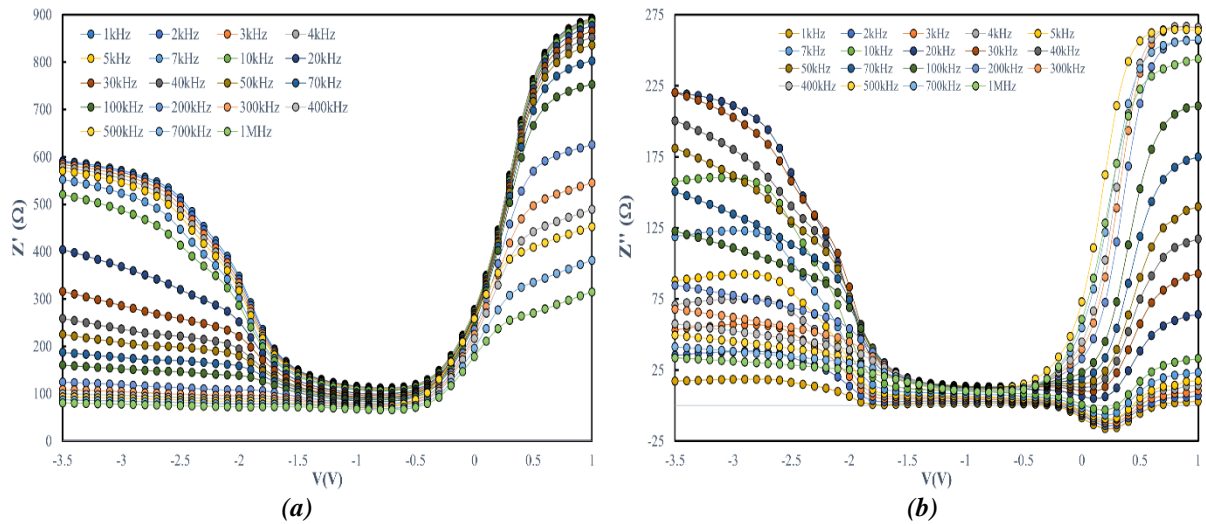
***Figure 2. (a)** Z'-V, **(b)** Z''-V characteristics of MPS structure for different frequencies.*
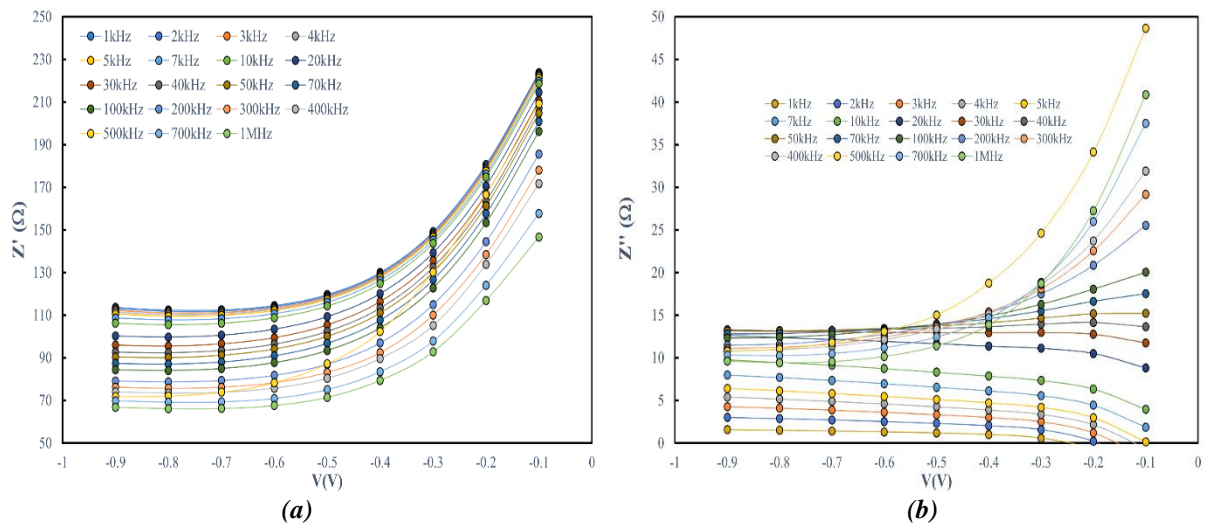
***Figure 3. (a)** Z'-V, **(b)** Z''-V characteristics of MPS structure for different frequencies at voltage range (-1-0).*
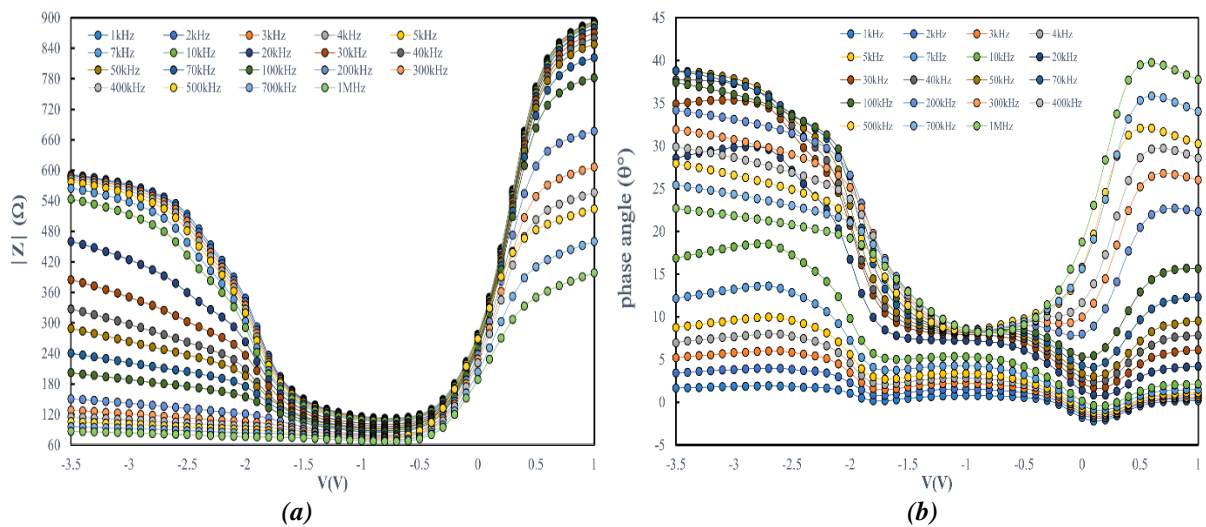
***Figure 4. (a)** │Z│-V, **(b)** Phase angle (θ°)-V characteristics of MPS structure for different frequencies.*

The evolution of the amplitude and phase angle were illustrated in response to biases at different frequencies in Figs 4(a) and (b). Notably, the impedance magnitude exhibits behavior closely mirroring the real and imaginary impedance components, owing to the presence of a low phase angle value ($\theta <$ 40°). Moreover, the phase angle attains its minimum while the frequency diminishes. When looking at details in Fig 4(b), the medium, high, and low frequency peaks are located at the beginning, respectively. However, they change their locations specifically after -0,6 V, which can also be observed in the secondary highest peaks in Fig 5. After this bias point, they divide into rising high frequency peaks and lessening medium and low peaks. This division is also observable at the bias point after -0,4 V in Z"-V plot in Fig 3(b). This early appearance of peak division in phase angle, compared to the appearance in the imaginary part of impedance, is due to the R_s effects on the conduction, corresponding to after -1 V in Fig 1(a) and after -0,8V in Fig 1(b).

To evaluate the effect of R_S on (C-V) and (G/ω-V) data, these data were corrected at 500 kHz under all biases. The corrected capacitance (C_C) and conductance (G_C) values were acquired through the following equations [35], [36]:

$$C_c = \frac{[G_m^2 + (\omega C_m)^2]C_m}{a^2 + (\omega C_m)^2} \tag{6}$$

$$G_c = \frac{[G_m^2 + (\omega C_m)^2]a}{a^2 + (\omega C_m)^2} \tag{7}$$

Where a is equivalent to the equation.

$$a = G_m - [G_m^2 + (\omega C_m)^2]R_s \tag{8}$$

These equations take into account the influence of R_s on the measured capacitance and conductance values and provide a more accurate representation of the true capacitance and conductance of the MPS structure. By analyzing the corrected values of C_C and G_C, it is possible to obtain a better comprehension of the electrical properties of the structure and how they are affected by the presence of R_S. The measuring frequency, temperature, and bias conditions can significantly impact the measurement results and the R_S. Therefore, when measuring and correcting the C-V and G/ω-V readings, it is vital to take these parameters into account in order to achieve accurate findings.
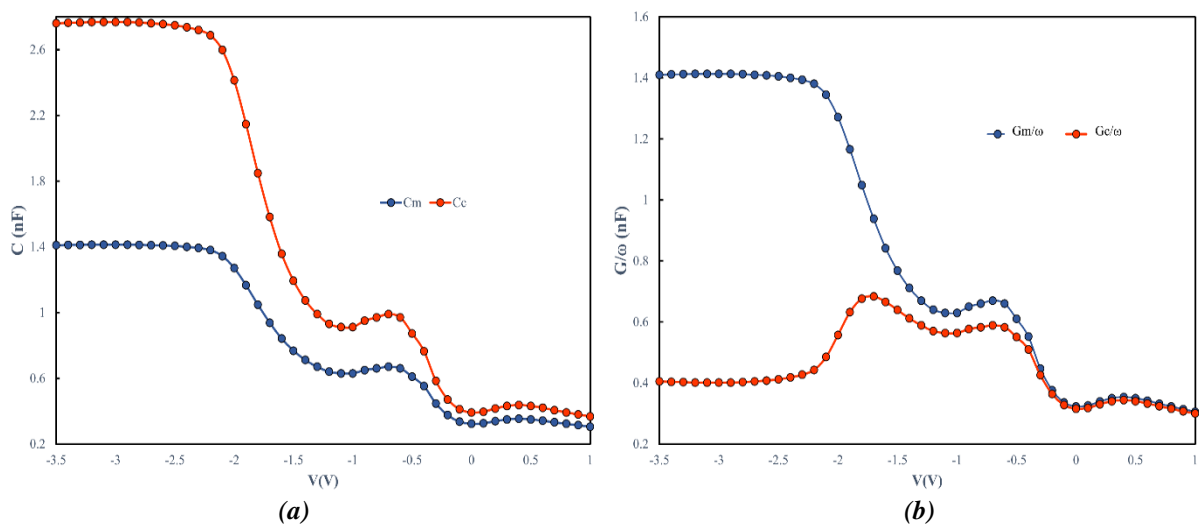
Figure 5. (a) C_C-V, C_m-V, and (b) G_C/ω-V, C_m-V characteristics for MPS structure.

Thus, the C-V and G/ω-V data are presented in Figs 5 (a) and (b), correspondingly, before and after correction. When the C-V characteristic is corrected, as shown in Fig 4(a), the increment at C_C values

realizes as the applied biases increase, particularly in the accumulation and depletion zones. Corrected *C* values accurately describe the actual *C* of the MPS structure. However, the corrected conductance (G_C/ω-*V*) characteristic shows a peak in the depletion zone, demonstrating the possibility of charge transfer over the interface. It is obvious that the values of R_S are important, particularly in the zones of accumulation and depletion. This is due to the fact that the majority of charge transfer occurs in the depletion and accumulation zones. Therefore, when inferring the frequency- and voltage-dependent electrical attributes of the MPS structure, the R_S value should be considered. N_{SS} of MPS can also be determined using the Hill-Coleman approach by following equation [37]:

$$N_{ss} = \frac{2}{qA}\left[\frac{(G_m / \omega)_{max}}{((G_m / \omega)_{max}/C_i)^2 + (1 - C_m/C_i)^2}\right] \tag{9}$$
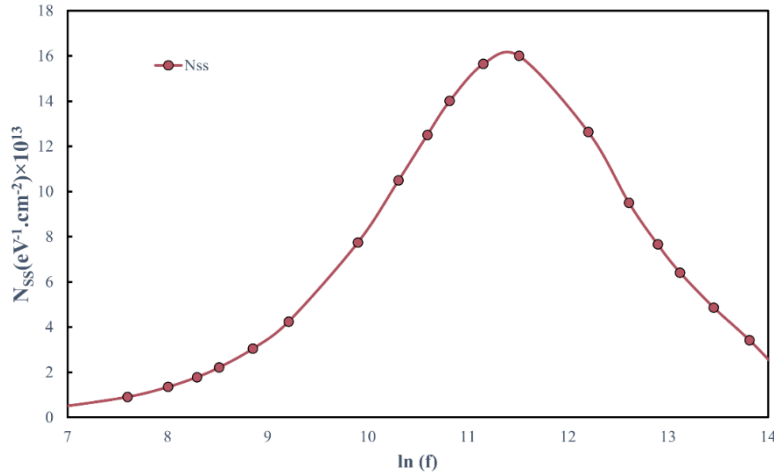
Figure 6. N_{SS} -ln(f) characteristics for MPS structure.

The rectifier contacts area (A), measured capacitance (C_m), and conductance (G_m/ω), as well as the interlayer capacitance (C_i), can be used to compute the N_{SS}. The C-V and G/ω-*V* data in the strong accumulation zone at high frequency (1 MHz) can be used to determine the C_i value [35].

$$C_i = C_{ma}\left[1 + \frac{G_{ma}^2}{(\omega C_{ma})^2}\right] \tag{10}$$

In Eq. 10; the measured values, G_{ma} and C_{ma}, represent the conductance and capacitance at strong accumulation stage, correspondingly. Moreover, Fig 5 pictures each frequency's N_{SS} values derived from equation (9). The values of N_{SS} decline by frequency rising, as seen in Fig 6. This is due to the fact that the N_{SS} are incapable of capturing the AC signal at sufficiently higher frequencies and are not participating in the values of capacitance and conductance. It is critical to mention that this approach is solely applicable when the series resistance is negligible at high frequency and the frequency is high enough to avoid the effect of the depletion region. The Hill-Coleman approach is one of the widely used approach to determine the N_{SS}, however it is also a rough approximation and is only valid for low frequency and low temperature measurements.
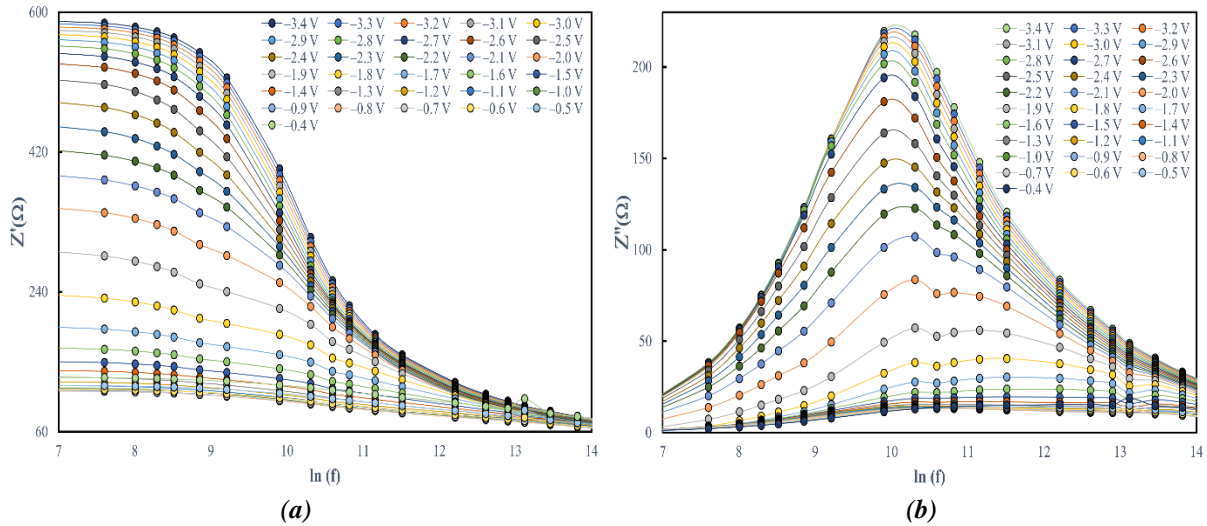
Figure 7. (a) Z'-ln(f), (b) Z''-ln(f), characteristics of the structure.

As shown in Figs 7 (a) and 7 (b), the variations of Z' and Z'' values resulting in distinct outputs of Z^* can be effective at the choice of diverging applications due to the preferred conditions specifically for the voltage range when employed for corresponding negative capacitance scale as in Fig 1 to favor from expected to be decreased power consumption. It is clearly seen in Figure 7 (a) that Z'' values decline in each component of the voltage spectrum with frequency increment. It is also ascertained in Figure 7 (b) that Z'' values are highly frequency dependent and affected by the biases. Z'' values incline with increasing frequency until the highest peak around ln(f)=10.3 Hz after which they start to decline with further increment in frequency.
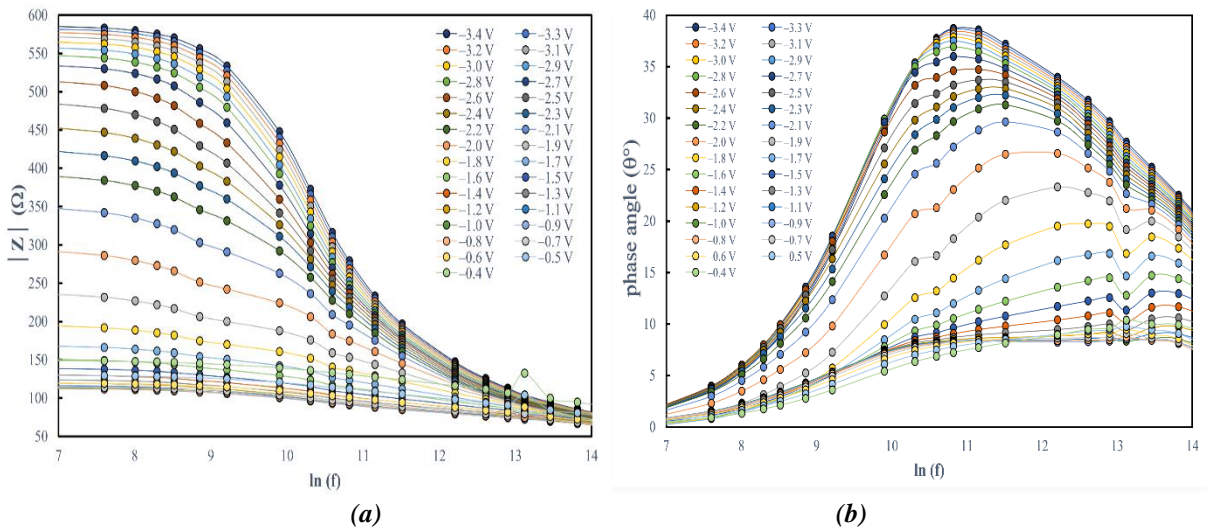
Figure 8. (a)$\left|Z\right|$ -ln(f), (b) Phase angle (θ°)-ln(f) characteristics of MPS structure for different voltage.

This pattern is also observable for $\left|Z\right|$ and the phase angle between both elements of Z^*, as shown in Figs 8 (a) and (b). These trends in values can considerably affect how well the related whole system or device works; therefore, they should be cautiously weighed in the envisagement and execution stages.

IV. CONCLUSION

In the presented paper, the reliance of various impedance properties of Al/(ZnFe$_2$O$_4$-PVA)/p-Si device due to the frequency and polarization have been thoroughly examined. In addition, the frequency-dependent impedance characteristics were inferred by analyzing C and G data. All these parameters were clearly dictated by both frequency and voltage, particularly for low-intermediate frequencies in the inversion and accumulation zones. The presence of N_{SS} (non-equilibrium charge carriers), their relaxation times, and surface and dipole polarizations were identified as the main reasons behind this frequency and voltage reliance. Furthermore, the real part of impedance was observed to impact the C and G significantly at high frequencies. The C and G/ω data were corrected for high-frequency values in order to take this impact into consideration. The study emphasizes how crucial N_{SS} is as a factor that notably affects the electrical properties of Al/(ZnFe$_2$O$_4$-PVA)/p-Si structures. According to impedance analysis, the majority of the parameters are impacted by variations in the N_{SS}, and this causes a peak in their values at 30 kHz. This understanding of the dielectric properties of this type of structure can be useful in the design and optimization of high-capability electronic devices besides energy storage solutions.

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Düzce Üniversitesi Bilim ve Teknoloji Dergisi

Development of a 3D Virtual Welding Simulator Using Weld Bead Created by Voxelization Technique

[iD] Kayhan AYAR [a], [iD] Soydan SERTTAS [b], [iD] Guluzar CIT [c,*], [iD] Cemil OZ [d], [iD] Fehim FINDIK [e]

[a] Department of Computer Engineering, Faculty of Computer and Informatics, Sakarya University, TURKIYE
[b] Department of Computer Engineering, Faculty of Engineering, Kutahya Dumlupinar University, TURKIYE
[c] Department of Software Engineering, Faculty of Computer and Informatics, Sakarya University, TURKIYE
[d] Department of Computer Engineering, Faculty of Computer and Informatics, Sakarya University, TURKIYE
[e] Department of Metallurgical and Materials Engineering, Faculty of Technology, Sakarya University of Applied Science, TURKIYE
* e-mail addreess of corresponding author: gulizar@sakarya.edu.tr
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ABSTRACT

In this study, we developed and implemented a cost-reducing, real-time virtual welding simulator to train welder candidates. In order to make a real-time welding simulation, a three-dimensional weld bead form was designed. We used a parabola as the basic bead slice shape, considering the similarity between the parabola and the bead slice. During the welding process, the parameters of the weld bead shape are calculated at each time step using an artificial neural network. This network determines the shape of the weld bead and the depth of penetration, based on inputs received from the sensor device that tracks the motions of the torch. After the parabola's parameters have been determined, the voxel map and corresponding hash-based octree data structure are generated in real-time. By using the voxelized data, a weld bead isosurface consisting of triangles is reconstructed with a marching cubes algorithm allowing us to generate more realistic weld seam shapes. We used multi-threaded programming for voxelization and isosurface extraction to reduce the computation cost on high-resolution virtual scenes. The isosurface extraction times for different thread counts and also a feature comparison with other simulators in the literature are shown in this paper.

Keywords: welding simulator, virtual reality, weld bead, weld seam, voxel.

Vokselleştirme Tekniği ile Oluşturulan Kaynak Dolgusunu Kullanan 3B Bir Sanal Kaynak Simülatörü Geliştirilmesi

ÖZ

Bu çalışmada, kaynakçı adaylarının eğitiminde kullanılmak üzere gerçek zamanlı ve maliyeti düşük bir sanal kaynak simülatörü tasarlanıp geliştirilmiştir. Gerçek zamanlı bir kaynak simülasyonu yapmak için öncelikle üç boyutlu bir kaynak dikiş formu tasarlanmıştır. Parabol ve kaynak dikişi arasındaki benzerlik göz önünde bulundurularak temel kaynak dikişi formu olarak parabol kullanılmıştır. Kaynak işlemi sırasında, yapay sinir ağı kullanılarak her zaman adımında kaynak dikişi şeklinin parametreleri hesaplanır. Bu ağ, torcun hareketini izleyen sensör cihazından alınan girdilere dayalı olarak kaynak dikişinin şeklini ve derinliğini belirler. Parabolün parametreleri belirlendikten sonra, gerçek zamanlı olarak voksel haritası ve karşılık gelen sekizli-ağaç veri yapısı oluşturulur. Vokselleştirilmiş veriler kullanılarak üçgenlerden oluşan kaynak dikişi eş-yüzeyi, daha gerçekçi kaynak dikişi şekilleri oluşturmamızı sağlayan yürüyen küp algoritması ile yeniden yapılandırılmıştır. Yüksek

çözünürlüklü sanal sahnelerde hesaplama ve işlem maliyetini düşürmek amacıyla vokselizasyon ve eş-yüzey çıkarma işlemleri için çok iş parçacıklı programlama tekniği kullanılmıştır. Bu çalışmada, farklı iş parçacıkları için eş-yüzey çıkarma süreleri gösterilmiş olup geliştirilen simülatörün literatürdeki diğer simülatörlerle karşılaştırması da sunulmuştur.

Anahtar Kelimeler: kaynak simülatörü, sanal gerçeklik, kaynak dolgusu, kaynak dikişi, voksel.

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I. INTRODUCTION

Welding is an economical joining method used worldwide in many applications, such as shipyards, the automotive industry, steel construction structures, bridges, and machine production. Considering technological concepts such as cost and safety for optimum production, it is required that welders have suitable training to obtain their qualifications and efficiencies. Welder education is divided into technological knowledge and hands-on skill training. Although technological knowledge and experience are essential in welding, hands-on skill training is the most crucial parameter in welding joints [1-2]. This is because weld joints are performed with hand motions and angles. Other important welding factors are weld materials, wire size, shielding gas flow rate, wire feed rate, welding speed, and welding voltage [3-5].

During training, a welder candidate can waste many test parts while working on developing his hand skills. This process is repeated often during a welder's training, and test parts cannot be used again. Because of this, the total cost of used test parts becomes high. If skills and experience are gained via welding simulators before actual welding, this can lead to huge savings of energy, time, materials, security and cost [6-7].

Research in welding simulators started to appear in literature at the beginning of the 1990s. [8] investigated how 2-dimensional (2D) welding simulators affected welder education. They discovered that studying with welder simulators decreased education time and cost. They advised using virtual training before the welder workshop education stage. Top [9] analyzed welding simulations in training. He observed that the students who were educated on welding simulators using MIG (Metal Inert Gas) and TIG (Tungsten Inert Gas) welding methods had better performance during real welding operations, with better welding quality and reduced scrap parts.

Oz et al. [10] divided welding simulators into two categories: older and newer generation. One of the new generation welding simulators, which uses virtual reality (VR) hardware and software technology, is set up for 3D interactive MIG welding [11]. The user can adjust the parameters with a graphical interface, then perform the welding operation and see the results. Another MIG welding simulation system has the combination of a haptic device, a head-mounted display (HMD), a 6-degree-of-freedom tracing system, and a speaker. A torch is connected to the haptic device to track the torch position. It is a real-time simulator and uses an artificial neural network to obtain a welding seam form [12]. White et al. [13] added heat distribution to Fast's work to calculate the penetration. Some simulators such as the VRTEX 360 [14], Soldamatic AR welding simulator [15], and an Electric Arc Simülator [16] use optical trackers for position detection.

This study aims to develop a virtual welding simulator with an ideal design and a working plan with an optimum cost. This welding simulator can be used for MIG and TIG welding applications, both widely used welding methods in various industries. In order to obtain better results in virtual welding applications, all required parameters in welding are determined and stored in a database. A software system is developed to supply interaction with virtual welding models. An HTC Vive controller is used as an input unit, and it perceives the position and inclination of the hand motions of the user. A Vive headset is a head-mounted display used as an output unit. This virtual welding simulator allows welder applicants to perform many applications with different welding parameters. Thus, many visual effects such as feed rate [17], sound, light, and welding seam form met in the real welding applications and are

simulated in a shape close to the real welding. After welding, errors made by the candidate can be understood with the performance evaluation system and improved for better performance.

The remainder of this paper is organized as follows: The developed virtual welding simulator is presented in Section 2. Then, we described how we created the weld seam in detail in Section 3. Experimental results and comparisons of our virtual welding simulator system are given in Section 4. Last, we conclude our work in Section 5.

II. THE DEVELOPED SIMULATOR

For the positive contribution of virtual reality to training [18], a virtual welding simulator was developed in this study to train welder candidates. Figure 1 shows the overall structure of our virtual welding simulator system. Firstly, the welder selects the initial welding parameter values such as current and voltage. Then, the user starts the welding process, and the simulator receives data from input devices. According to the data received from these devices, the virtual welding environment is constantly updated to increase the interaction. The reconstructed virtual scene is sent to the output devices, such as the HMD and 3D monitor.
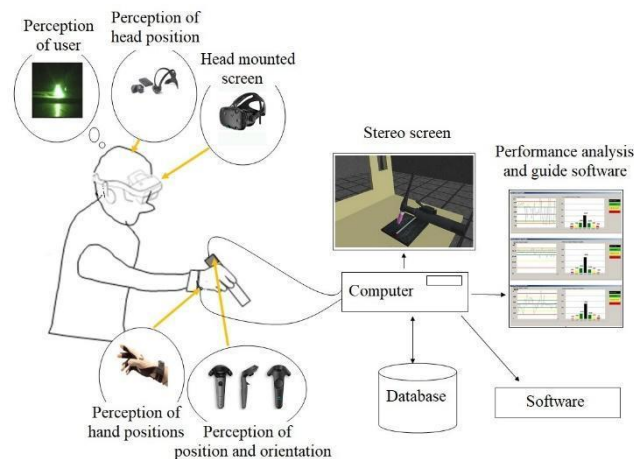
Figure 1. The general structure of our virtual welding simulation system

The system consists of five main modules: a graphics module, an input/output (I/O) module, a weld bead parameter decision module, a performance analysis module, and a sound module. Figure 2 shows the architecture of our virtual welding simulator. A virtual welding simulation software was developed with the utilization of the C++ object-oriented programming language, OpenGL graphics library, and Open Audio Library (OpenAL). The developed simulator uses special virtual reality devices: a data glove, an HTC Vive controller, and an HTC Vive headset. The system receives the x, y, z location and roll, pitch, yaw orientation values of the user's hand by the HTC Vive controller. In the weld bead parameter decision module, the motion data is evaluated by an artificial neural network and the parameters of the weld bead are obtained. After processing the data, the system creates and shows the virtual welding scene on the HTC Vive headset. At the same time, the sound engine renders 3D positional audio. After the welding application, the weld seam is analyzed by the performance analysis module.
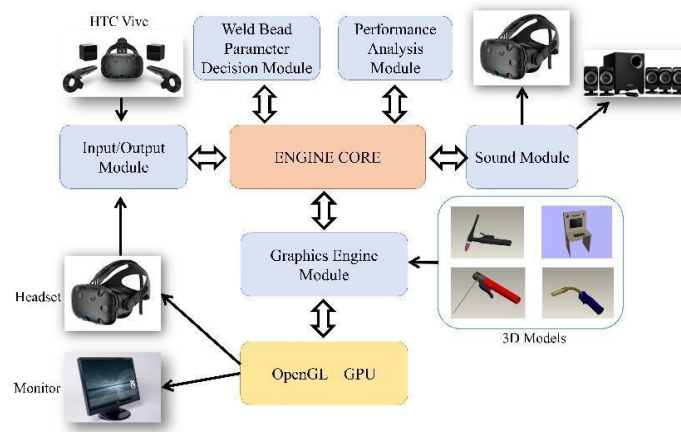
Figure 2. *Architecture of our virtual welding simulator*

A. INPUT/OUTPUT MODULE

Computer I/O devices are designed to work while sitting on a chair or in a particular sitting position. However, a virtual reality system needs specially designed I/O devices, such as a data glove, a Flock of Birds, and an HMD, to track human motion [19-20]. Our simulator uses an HTC Vive controller device to track the welder's hand motions.

The Cyberglove detects hand gestures with its 18 sensors. These sensors' frequency is 150 Hz, which is high enough to catch every motion of the user's hand.

The welder can see the virtual world through an HTC Vive headset. The virtual welding environment is updated constantly according to the user's head motions, which the Vive headset tracks. In this way, when a user turns his head, the virtual camera moves accordingly. A welding platform was built to increase the interaction between the welder and the virtual environment. Also, an auto stereo 3D screen was mounted on this platform to show viewers the welding process.

The HTC Vive headset has two OLED panels that show the virtual scene through two closely placed cameras. Each of these panels has a display resolution of 1080x1200, which is quiet enough for our simulator. These two displays are placed right before each eye so that users can see the virtual world as they see the real world. When the user wearing a Vive headset moves his/her head, sensors on the Vive headset detect this motion and feed this information to simulator software. The HTC Vive headset uses dozens of infrared sensors to determine the headset's position in a space. Also, the headset has a gyroscope, a proximity sensor and a G-sensor. After receiving head motion information, the virtual software updates the virtual camera's position and orientation, making the user part of the virtual world.

In the simulator, an HTC Vive controller is used to represent a torch. In the simulation, HTC Vive controllers track the user's hand motions with their sensors. When the user holding the controller moves his hand, the torch in the virtual environment moves simultaneously. This way, the user gets the feeling of controlling an actual torch. An HTC Vive controller has 24 infrared sensors, and also to aid its motion tracking ability, it has an InvenSense's MPU-6500 6 DOF sensor. MPU-6500 has a 3-axis accelerometer and a 3-axis gyroscope.

B. GRAPHICS MODULE

Our simulator uses a graphics engine to draw and update the virtual scene. The graphics engine in the simulator is written in C++ programming language using the OpenGL library. OpenGL is a set of low-level Application Programming Interfaces (APIs) that provide access to a graphics card's capabilities, enabling programs to provide realistic 3D graphics. We use the OpenGL library to send instructions to the graphics card and provide high-performance hardware-accelerated multimedia support.

We designed 3D welding models that are based on real objects used in real welding operations and placed them into the virtual world of the simulator. 3D welding models are composed of polygons. If a model detail is high (close to the real object), then its polygon counts are high and may require more processing power to draw this model [21]. The first step was designing 3D virtual models of real objects using Pro/Engineer software. These objects are torches, metal parts, and a table. After this step, the necessary texture is applied to the models. Some of the 3D objects, such as weld beads, are created dynamically in real-time by the VR graphics engine.

C. PERFORMANCE ANALYSIS MODULE

Our expert system is used to evaluate and analyze welder performance. Expert systems are one of the common artificial intelligence methods for solving engineering problems like a human expert. Our expert system model rules [22] were created by four experts. These experts were a welder trainer, two mechanical engineers, and a metallurgist. By using this module, virtual welding experiments performed by welder candidates can be evaluated, and the results are shown by scoring or graphics. Based on the rules determined by the welding experts, the trainee's performance score is graded by a comparison of the recorded values of each welding parameter to the ideal values. Any welding operation performed previously can be reconstructed at any time using the recorded data in the database. In this way, welder candidates' personal development can be monitored for current or retrospective welding applications.

D. WELD BEAD PARAMETER DECISION MODULE

Hand motion data received from the I/O module is evaluated by the artificial neural network, and the parameters of the weld bead are obtained in the weld bead parameter decision module. The details of this module are explained in Section 3, titled "Forming the Weld Seam".

E. SOUND MODULE

The sound module in the simulator is written in C++ programming language by using the OpenAL library. OpenAL sound API is used to create sound effects because it is designed for efficient rendering of 3D positional audio. The API's purpose is to allow a programmer to position audio sources in a 3D space around the user. Sound effects recorded from real welding operations are positioned in the virtual environment so that a user in the virtual environment feels as though they are in a three-dimensional world.

III. FORMING WELD SEAM

The weld seam is a series of deposits of filler metal in the welding process. When performing the virtual welding application, the sensor on the torch detects the user's hand movements. The parameters of the weld bead are calculated using this hand motion data received from the sensor, and the voxel map of the weld shape is generated in real-time. Then, the hash-based octree data structure approach [23] is applied to the dataset to manipulate the corresponding voxels easily. The hash-based octree structure reduces the memory space, computation cost, and tree traversal time. After obtaining the voxel map, the corresponding isosurface is reconstructed during the welding process.

The determination of the weld bead basic shape, the prediction of output parameters, and the voxelization process are described in detail in the following sections below.

A. DETERMINATION OF THE WELD BEAD BASIC SHAPE

In the literature, welding bead studies [24-39] show that the basic welding bead shape appears in Figure 3. Therefore, we decided to use this general bead shape in this study.
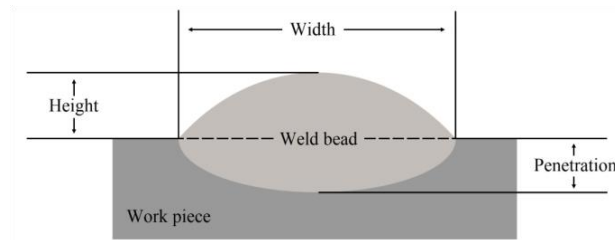
Figure 3. Weld bead shape and parameters

In order to obtain the height, width, and penetration values to be used to obtain the model shown in Figure 3, the parameters used during the welding process were examined. Tab. 1 lists the input and output parameters used in academic studies involving MIG and TIG sources in the literature [40-57]. When the studies in Table 1 are analyzed and the suggestions from our expert system mentioned in section 2-C are taken into consideration, it is seen that welding speed, current, arc length, and travel angle directly affect the welding geometry for MIG welding; and welding speed, current, and arc-distance directly affect the welding geometry for TIG welding.

Table 1. Input/Output parameters for MIG and TIG welding

Welding Type	Reference	Input Parameters						Output Parameters		
		Welding Speed	Current	Voltage	Arc-Length	Travel Angle	Wire Speed	Penetration	Width	Height
MIG	[40]	√	√	√				√	√	√
MIG	[41]	√		√				√	√	√
MIG	[42]	√	√		√	√		√	√	√
MIG	[43]	√	√	√				√	√	√
MIG	[44]	√	√	√					√	
MIG	[45]	√	√	√				√		
MIG	[46]	√	√	√				√		
MIG	[47]	√	√	√				√		
MIG	[48]	√	√					√	√	√
TIG	[49]	√	√					√	√	√
TIG	[50]	√	√	√			√	√	√	√
TIG	[51]	√	√		√		√	√	√	√
TIG	[52]	√	√		√			√		
TIG	[53]	√	√		√			√	√	√
TIG	[54]	√	√		√		√		√	√
TIG	[55]	√	√	√					√	√
TIG	[56]	√	√					√	√	√
TIG	[57]	√	√					√	√	

When Figure 3 and Table 1 are evaluated together, and when we examined how to create Fig. 3 with the parameters obtained from Table 1, it was thought that this shape could be created with 2 parabolas. Also, Chambers and Wu [58-59] stated that the welding seam section resembled a parabola. They use a welding seam volume by rotating the y-axis with the centre of the parabola (0,0). Mavrikios [11] also used an ellipsoid in his study to find welding seam volume.

The parabola is known in algebra as the graph of the second-order functions, as shown in Eq. 1.

$$y = a(x - r)^2 y = a(x - r)^2 + k \tag{1}$$

Here, a denotes the direction of the parabola, while the point (r, k) indicates the peak of the parabola. The graph of this equation is shown in Figure 4-a. In this study, the parabola form in Figure 4-b is used because of the resemblance of the weld seam section to a parabola. Here, h is the height of the weld seam section, and w is the width of the weld seam section. When the welding application is performed with the virtual welding simulator, the parabola equation is calculated using the input values w, h and p. An actual weld bead slice shape generated by our simulator is shown in Figure 4-c.

If parabola values in Figure 4-b are substituted in Eq. 1, then $r = 0$ and $k = h$, and Eq. 2 is:
$$y = a(x)^2 + h \ y = a(x - r)^2 + k \tag{2}$$

Eq. 3 is created when we want to reach the value a:

$$x = \frac{y - h}{(x)^2} y = a(x - r)^2 + k \tag{3}$$

Again, if $x=w/2$ value of parabola in Figure 4-b is written in Eq. 3 for $y = 0$, then we find Eq. 4, then value of a is obtained in Eq. 5:

$$a = \frac{0 - h}{(w/2)^2} y = a(x - r)^2 + k \tag{4}$$

$$a = \frac{4h}{(w)^2} y = a(x - r)^2 + k \tag{5}$$
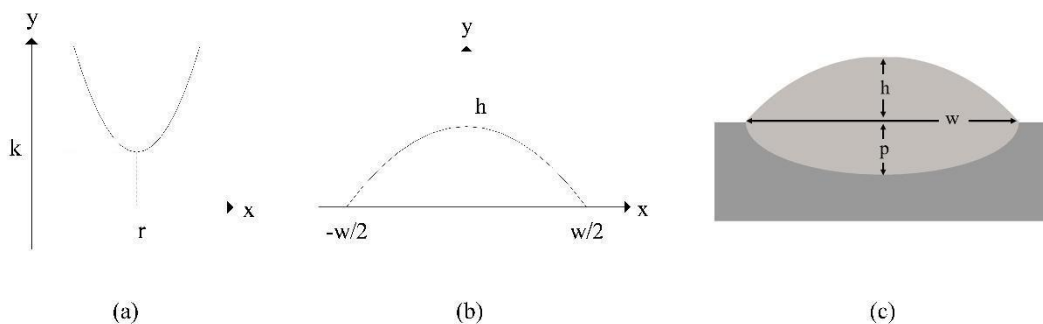
Figure 4. *Parabola to weld bead slice simulation. (a) Graph of a parabola (b) Parabolic shape decided for weld bead (c) Weld bead slice shape and its parameters*

B. PREDICTION OF OUTPUT PARAMETERS BY ARTIFICIAL NEURAL NETWORKS

TrainLM was used as an educational function when planning the artificial neural network structure because it works effectively in network training [60-62]. In determining the transfer function, it was found that the LogSig() and TanSig() transfer functions produced close results, but the LogSig() function gave the best result.

The schematic representations of the neural networks for the MIG and TIG weldings are shown in Figure 5. The MIG welding data used for network training, verification, and testing were taken from Sreeraj's 32 real MIG welding applications [42]. The TIG welding data used for network training, verification, and testing were taken from Esme's 16 real TIG welding applications [53]. 70% of the data was used for training, 15% for verification, and 15% for testing. For the MIG welding application, the input layer consists of current, welding speed, arc-length, and travel angle variables. The input layer consists of current, welding speed, and arc-length variables for the TIG welding application. The number of hidden layers and the number of process elements (neurons) in each hidden layer were investigated by a trial method and it was determined to be 14 neurons for MIG and six neurons for TIG welding in one layer.

(a)   (b)
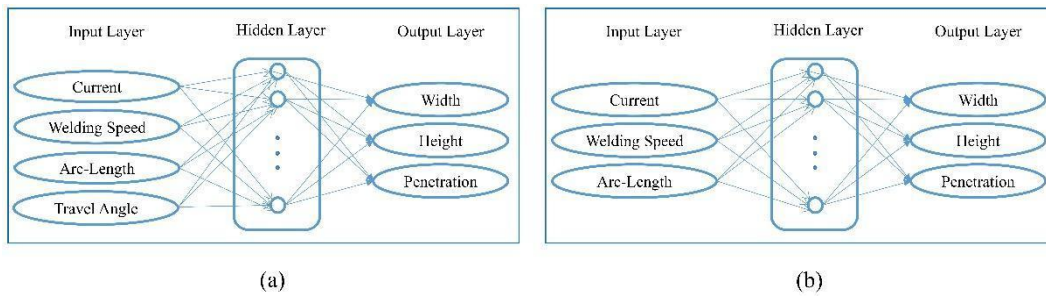
Figure 5. Schematic representation of the artificial neural network used for the prediction of weld seam dimensions (a) MIG welding (b) TIG welding

C. VOXELIZATION

One of the major features of voxel data is that it can contain physical properties such as heat, temperature, colour, density, and hardness. Therefore, we preferred to use a volumetric voxelization approach to represent the weld seam data. We used a triangular mesh model for a 3D weld bead image, and to obtain this model, a voxel map [63] of the weld bead was needed in the background. In order to examine the weld seam, surface, and volume, voxel information was needed. First, we voxelized our bead's parabola model and then we used a flood-filling algorithm [64] to fill the model's interior volume. We used optimized hash tables to store the volumetric voxelized weld seam data.

Voxel shapes are not suitable for representing 3D models because of aliasing problems. For this reason, we used a marching cubes algorithm [65-67] on voxel-based octree data to reconstruct the weld seam surface.

The processing time of interior volume filling was reduced by using the multi-threaded programming approach [21, 68]. Tab. 2 gives the voxelization times of the weld seam model. The voxelization times in this table are calculated according to the parabolas, resolutions, and thread numbers. The results given in this table were obtained with a PC with an Intel I7 5700HQ 2.7 GHz processor with four physical cores and eight logical threads. When the table is examined, it is seen that multi-threaded programming performs better on high-resolution models.

After filling the interior volume, the model's surface was reconstructed using the Marching Cubes algorithm, the most popular isosurface extraction algorithm. The Marching Cubes algorithm method creates triangles by generating a lookup table from volumetric cube data. It is the most preferred technique because of its ease of application [66, 69-73].

Table 2. Voxelization times for different thread counts for a sample parabola

Resolution	Number of Voxels	Process Time of Parabola Voxelization(ms)			
		Number of Threads			
		1	2	4	8
256x256x256	140	0,232	0,171	0,154	0,142
512x512x512	280	0,505	0,328	0,296	0,268

1024x1024x1024	560	0,904	0,626	0,579	0,535

III. EXPERIMENTAL RESULTS AND COMPARISON

In this study, we developed a virtual welding simulator. The virtual welding simulator and a sample of welding are shown in Figure 6.

(a)   (b)
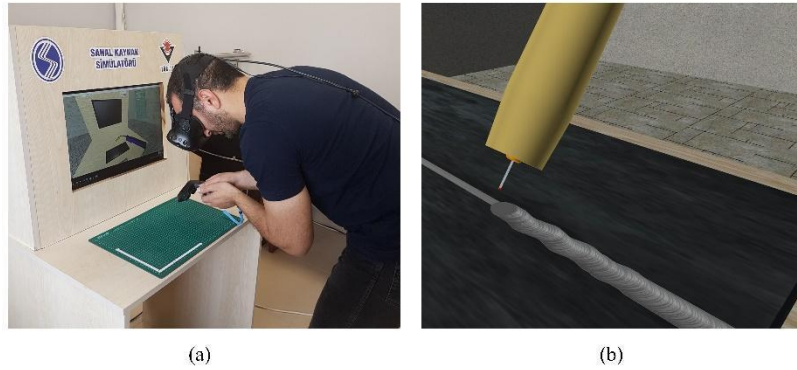
Figure 6. *Welding with virtual welding simulator (**a**) Developed virtual welding simulator (**b**) Welding sample with virtual welding simulator*

Figure 7 (a) and (b) show a parabolic and voxelized view for a weld seam sample. This illustrates how the welding seam gains volume. During welding operations, a weld seam is created in real-time, and to enhance the sense of reality, we created welding sound, light, and sparks. After the virtual welding application, voxelized welding seam forms can be evaluated. Figure 7-c and 7-d show a voxelized seam form after welding operation.

(a)   (b)

(c)   (d)
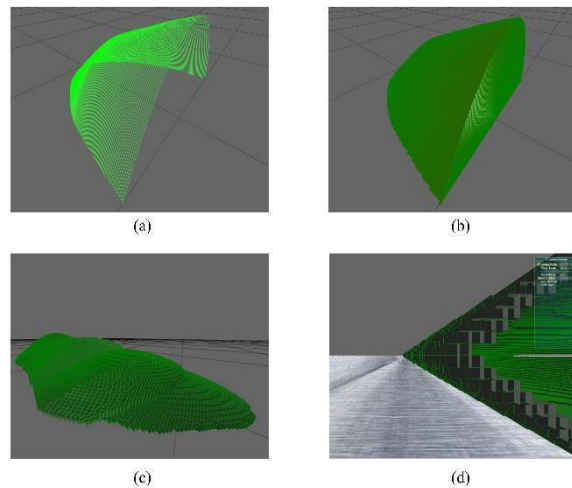
Figure 7. *Parabolic and voxelized weld seam views (**a**) parabolic view, (**b**) voxelized view, (**c**) top view, (**d**) side view*

Multi-threaded programming makes welding seam drawing even more suitable for real-time applications. Considering that real-time images should have a 30-60 frame per second display, one frame should be drawn under periods of 16.7 ms - 33.3 ms. As shown in Tab. 3, the total drawing time for one parabola meets the real-time image criteria.

Table 3. *Total Process Time of a Parabola*

Resolution	Number of Voxels	Total Process Time of Parabola (ms)			
		Number of Threads			
		1	2	4	8
256x256x256	140	3,00	1,84	1,22	1,12
512x512x512	280	5,75	3,54	2,38	2,10
1024x1024x1024	560	11,78	7,10	4,76	4,27

Our welding simulator has a 3D view concept that makes the user feel as though they are genuinely welding. The welding operation has boundaries such as welding area and arc-length. Trainees use stereo HMD to immerse themselves in the welding environment. The audience and welder trainer see the welding operation on an auto stereo screen in 3D.

Most of the analyzed simulators, such as the VRTEX 360 [14] and Soldamatic AR welding simulator [15] in the literature, use third-party commercial graphics libraries, however, we used only free libraries and created our own graphics engine. Thus, the total cost of the simulator was decreased. Using a haptic device [12] narrows the field of work, and the data-glove [11] tracks finger positions that are not directly necessary for torch position. Using cameras [13] for position detection requires additional calculations compared to the HTC Vive, which needs no additional computation. The absence of particular performance scoring reduces the benefits of a simulator. Also, many simulators in the literature implement only MIG welding. A detailed comparison of the analyzed simulators is given in Tab. 4.

Table 4. *Comparison of analyzed simulators*

Simulator	Welding type	Graphics support/ engine	3D view	Weld puddle	HMD in helmet	Position detection	Welding sound	Performance scoring
Current Study	MIG, TIG,EA	own	√	√	√	HTC Vive	√	√
[11]	MIG	Infinite Reality 2	√	√	√	Data glove	X	√
[12]	MIG	Endea VR	√	√	√	Haptic device	√	X
[13]	MIG	own	√	√	√	Cameras	√	X
[14]	MIG	VRSIM	√	√	√	Optic tracker	√	√
[15]	MIG, TIG	Unknown	√	√	√	Optic sensors	√	√
[16]	EA	Unity 3D	√	X	X	Optic sensors	√	X

When the *Welding type* column of Table 4 is examined, it is seen that the developed simulator performs both MIG and TIG welding, and there is only one reference with this feature, but in this study [15], it is not mentioned how the graphics engine was created.

When the column titled *Graphics engine* in Table 4 is examined, it is seen that there is only reference [13] which creates its own graphics engine like us. Although coding a graphics engine is a long and laborious task, coding our own engine has advantages in terms of mastering the simulator.

The 3D view of the simulation, the ability to show the weld puddle, the use of the HTC Vive technological device, and the integration of welding sound into the simulator reveal the difference of the proposed study from other simulators. In addition, having performance indicators is the most important indicator that this simulator is an educational simulator that can perform "measurement and evaluation".

Our developed virtual welding simulator system has been tested on welder trainees at Sakarya University. Figure 8 shows the average scores of two different groups of 40 users for each welding task. The scores are marked by the course instructors. Regardless of ability, an increase in users' performance levels and achievement was observed. Also, we observed how candidates' welding skills changed from using our simulator. The results showed that trainees effectively improved their welding capabilities [22].
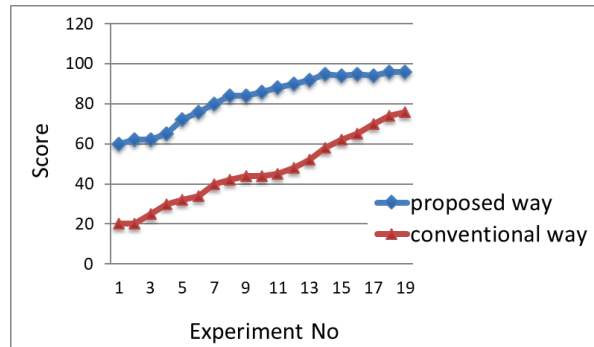
Figure 8. *Real welding operation scores of trainees [22]*

V. CONCLUSIONS

When a welder candidate uses a welding simulator before a real welding operation, waste in the form of energy, time, and materials is reduced. Also, a welder can work in an environment with no risk of electric shock, burns, or eye burns. The welders are also prevented from having psychological symptoms such as shyness, despondency, and loss of self-confidence.

In this study, a virtual welding simulator was developed to train welder candidates. The work is based on welding simulation without a need for a real welding environment. Trainees can learn welding techniques or practice their skills in safe conditions without the risk of injury and can complete more practice welds in a short period for both MIG and TIG welding types.

In this study, the hand motion data received from I/O devices were examined by the weld bead parameter decision module. We calculated the necessary parabolas that represented the weld bead, and a voxel map was created from these parabolas. A hash-based octree data structure was created to control the corresponding voxels. Then, the triangular mesh model representing the weld seam was constructed employing the hash-based octree data structure using the marching cubes algorithm. As the welding process continues, the hash-based octree structure is updated, and the triangular mesh model of the weld seam is reconstructed in real-time. We used multi-threaded programming for voxelization and isosurface extraction to reduce the processing time on high-resolution virtual scenes. Thus, we generated more realistic weld seam shapes by using voxelized parabolas.

We did not use any third-party commercial libraries, and we created our own graphics engine, decreasing the total cost of the simulator. We made the simulator more economical and commercially available by reducing the cost.

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Drug Delivery Based on Nanoparticulate Systems

Kemal ÇETİN [a,b*], Koray ŞARKAYA [c]

ª Department of Biomedical Engineering, Faculty of Engineering, Necmettin Erbakan University, Konya, TURKEY
ᵇ Science and Technology Research and Application Center (BITAM), Necmettin Erbakan University, Konya, TURKEY
ᶜ Department of Chemistry, Faculty of Science, Pamukkale University, Denizli, TURKEY
* Corresponding author's e-mail address: kcetin@erbakan.edu.tr
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ABSTRACT

The administration route of an active ingredient and the materials used to deliver it are as important as the synthesis of that active ingredient. For the treatment to be effective, the active ingredient must be present in the right amount and in the right place at the right time. Therefore, researchers have been studying a wide variety of drug delivery systems, taking into account the route of administration of the drug, its half-life, and its effective and toxic amounts. Because of its numerous benefits, nanotechnology has attracted attention in pharmaceutical research as well as many other fields. Nanoparticles have the potential to disperse hydrophobic drugs in an aqueous solution, deliver drugs to the targeted site, and thus selectively direct therapeutic agents such as antineoplastic drugs. This study provides a detailed discussion of the many inorganic, polymeric, and lipid-based nanoparticulate systems designed for drug delivery.

Keywords: *Drug delivery systems, Nanomedicine, Nanoparticles, Nanotechnology*

Nanopartikül Sistemlere Dayalı İlaç Taşıma

ÖZET

Bir etkin maddenin veriliş yolu ve vermek için kullanılan malzemeler, o etkin maddenin sentezi kadar önemlidir. Tedavinin etkili olabilmesi için etken maddenin doğru miktarda ve doğru zamanda doğru yerde bulunması gerekir. Bu nedenle araştırmacılar, ilacın veriliş yolunu, yarı ömrünü, etkili ve toksik miktarlarını dikkate alarak çok çeşitli ilaç taşıyıcı sistemler üzerinde çalışmaktadır. Nanoteknoloji, sayısız faydaları nedeniyle pek çok alanda olduğu gibi farmasötik araştırmalarda da ilgi çekmektedir. Nanopartiküller, hidrofobik ilaçları sulu bir çözelti içinde dağıtma, ilaçları hedeflenen bölgeye iletme ve dolayısıyla antineoplastik ilaçlar gibi terapötik ajanları seçici olarak yönlendirme potansiyeline sahiptir. Bu çalışma, ilaç dağıtımı için tasarlanmış birçok inorganik, polimerik ve lipit bazlı nanopartikül sistemin ayrıntılı bir tartışmasını sunmaktadır.

Anahtar Kelimeler: *İlaç taşıyıcı sistemler, Nanotıp, Nanopartiküller, Nanoteknoloji*

I. INTRODUCTION

Drug delivery systems (DDSs) regulate both the location and speed of release of a drug throughout the body. DDSs are designed to measure drug levels and extend the effects of the therapeutic agents over time. As required, DDSs can also be triggered by outside stimuli such as pH, temperature, magnetic field etc., to release the therapeutic agents to the media as needed. Studies in the field of DDSs can be classified into three main classes: delivery routes, e.g., oral, pulmonary, and transdermal; types of delivery systems, e.g., inorganic, lipid-based, and polymeric; and targeting strategies, e.g., surface modifications [1].

Nanotechnology covers scientific studies, engineering applications, and technology, particularly at sizes of 1 to 100 nm. By altering the characteristics of matter, nanoscience and nanotechnology enable the development of novel and inventive materials in various areas including biomedical engineering, chemistry, physics, electronic engineering, environmental engineering, and so on [2], [3], [4]. Nanoparticulate-DDSs (nano-DDSs) carry out significant advantages such as targeting drugs with low bioavailability directly to the desired area, more efficient imaging for diagnosis, and higher accuracy detection of tumoral tissues [5]. Nano-DDSs enable drugs to reach the target site, i.e., organ, tissue, or cells in high concentrations safely, controlled, and effectively [6].

II. NANOPARTICLES AS DRUG DELIVERY SYSTEMS

Nanoparticulate DDSs (nano-DDSs) can be classified as organic nanoparticles e.g., dendrimers, liposomes and niosomes, inorganic nanoparticles e.g., metal nanoparticles, and carbon-based nanoparticles e.g., graphenes, carbon nanotubes (Figure 1).
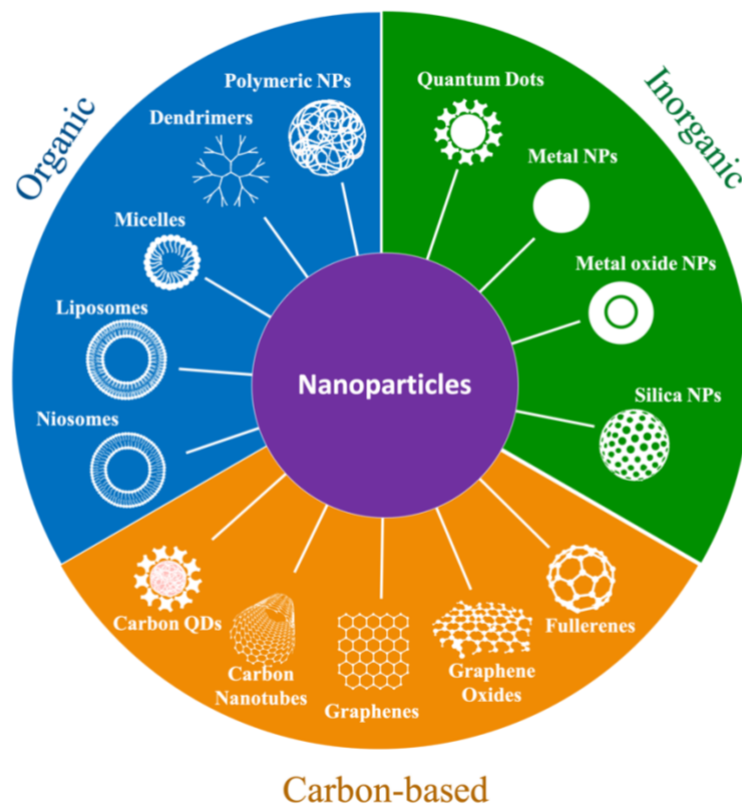
Figure 1. Schematic diagram of different types of nanoparticles (NPs).

A. POLYMERIC NANOPARTICLES

In the intelligent drug delivery discipline, polymeric nanoparticles are part of a wide range of uses as they can efficiently deliver therapeutics to the intended location in the human body [7]. Compared to other compositions, polymeric materials offer the great combination of properties, including stability and high agent loading, control over drug release kinetics, ease of modification to display a variety of surface-attached ligands, and a long history of safe human use for many polymers [8]. A formulation that can deliver the medication in a controlled manner and at a specified location is of primary importance to the researchers [9].

An ideal polymeric nanoparticulate system should have minimum dimensions and high drug-loading capacity [10]. In line with this goal, polymers offer a variety of uses by being divided into two different classes: natural and synthetic. Natural polymers have proven exceptional because of their intrinsic qualities, which include surface modification ease and biocompatibility so that most natural polymers are already found in living things [9]. Oligosaccharides [11], polysaccharaides [12], proteins [13], [14], peptides [15], and genes [16], [17] can be used in DDSs as molecules belonging to the natural polymer class. Polymers such as polylactic acid [18] polycaprolactone [19], polylactic-co-glycolic acid [20], polyethylene glycol [21], 2-hydroxyethyl methacrylate [22], [23], [24] and N-isopropylacrylamide [25] can be frequently used in DDSs as synthetic polymers. Various physicochemical characteristics of polymeric nanoparticles used as DDSs are given in Figure 2.
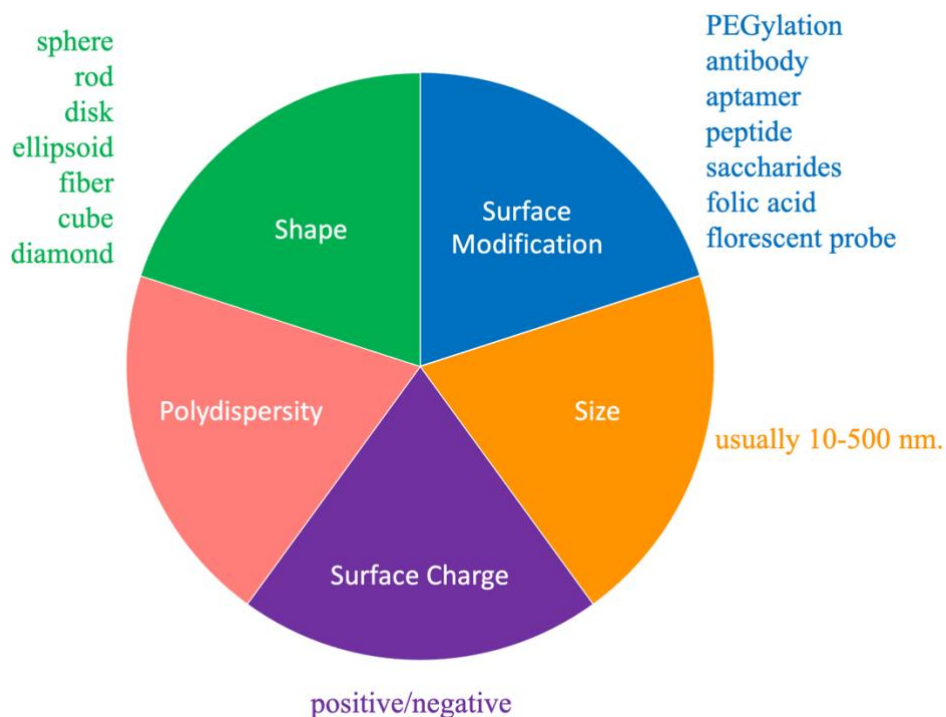
Figure 2. Different parameters for polymeric nanoparticles utilized as DDSs.

B. LIPOSOMES

Liposomes are a colloidal spherical structure formed by the self-assembly of amphiphilic lipid molecules such as phospholipids in solution [26]. They are artificial vesicles of various sizes composed of artificial or natural phospholipids [27]. Phospholipids have an amphiphilic nature and form polar shells in aqueous solution due to the hydrophobic effect of hydrophobic acyl chains when exposed to an aqueous environment. This technique has thermodynamic advantages because of hydrogen bonds, van der Waals forces, and other electrostatic interactions [28]. It has a structure similar to the cell membrane, consisting of a lipid bilayer and an aqueous core. Depending on the formulation of liposomes, they can differ in size, lipid composition, and charge [29].

Liposomes have the unique capacity to load and transport molecules with varying solubilities because to their well-organized structure. A liposomal membrane is usually built up by one or more lipid bilayers arranged around an inner aqueous core, with polar head groups facing both the outer and inner aqueous media [27]. Therefore, both lipophilic and hydrophilic drug molecules can be loaded to the liposomes [30]. Hydrophobic molecules can be loaded into the lipid bilayer, while hydrophilic molecules and amphiphilic molecules can be loaded into the inner aqueous core and water/lipid bilayer interface, respectively [31]. Liposomes can be counted as DDSs with many advantages such as biocompatibility, structural versatility, biodegradability, non-toxic, non-immunogenic nature and can change the pharmacokinetic profile of the drugs [32].

The effectiveness of encapsulation of a therapeutic molecule in the liposome depends on the polarity of the drug and its partition coefficient, which determines its location in the liposomal membrane [33]. If the drug is hydrophobic, drug is in the acyl hydrocarbon chain in the liposome. Otherwise, if it is polar/hydrophilic, it tends to be adjacent to the water-lipid interface, in the aqueous core, or near the polar head groups of the liposome [34].

Investigation of drug release from liposomes is usually carried out *in vitro* using a dialysis method [35]. According to this method, the drug molecules are allowed to pass through the membrane of pre-wetted dialysis bags with a predetermined molecular weight limit while the liposomes are trapped within dialysis bags. The release rate from liposomes is determined by monitoring the amount of released drug molecules at various time intervals. [36], [37].

Numerous liposome-based formulations that are either commercially available or conducting clinical trials attest to the efficacy of liposomes as drug carriers [38], [39], [40], [41], [42]. Among drug delivery applications, pH-sensitive liposome design is advantageous for specific cancer cell targeting, increased cellular internalization (inclusion), and rapid intracellular drug release, especially in the face of pH values that can change in various sites including tumor and extracellular environments [43], [44], [45], [46], [47], [48].

C. NIOSOMES

Analogs of liposomes, niosomes (non-ionic surfactant-based vesicles) are closed bilayer structures created by non-ionic amphiphiles (surfactants) in the aqueous medium [49]. As liposomes are built up from neutral or charged double-chain phospholipids, niosomes are created using uncharged single-chain surfactants and solutes [49]. Surfactants in the niosome structure are positioned so that their hydrophilic head parts face inward and their hydrophobic tail parts face each other on the inside. This structure creates two regions in niosomes: hydrophilic and hydrophobic [50]. Niosomes allow the encapsulation of hydrophilic and hydrophobic drugs thanks to their structure's hydrophilic and hydrophobic parts [51].

Niosomes surround the molecule to be encapsulated similarly to liposomes and offer a wide solubility range for the encapsulation process. Niosomes behave *in vivo* similarly to liposomes [52]. In contrast, when mechanical stress is applied, niosomes change shape but are more stable than liposomes. It is not necessary for them to operate in an inert environment [53]. Niosomes can overcome disadvantages of liposomes, including variable phospholipid purity and high cost [54]. However, they can be sterilized using approaches such as Gamma radiation, autoclaving and membrane filtration [55].

Adjusting vesicle composition and temperature can generate niosome structures with spherical, helical, tubular, and polyhedral shapes. While they have an osmotically active and stable structure, they are also flexible [56]. Being stable and flexible, it effectively prevents problems such as leakage during molecule transportation to the target area. It is biocompatible, non-immunogenic, and non-toxic [57]. It is known that niosomes not only protect the drug they encapsulate from mechanical and chemical degradation but also increase the effectiveness of the drug [58].

Niosomes have many advantages using as nanocarrier drug systems. It increases the oral bioavailability of poorly absorbed drugs and increases skin penetration [59]. It is suitable for oral [60], parenteral [61], pulmonary [62], ocular [63] transdermal [64], [65] and topical applications [66], [67].

D. SOLID LIPID NANOPARTICLES

With the benefits of biodegradation and nontoxicity, nanolipid dispersions, which include liposomes, ethosomes, virosomes, and solid lipid nanoparticles (SLNs), are apropriate colloidal carriers for distribution. Compared to liposomes and polymeric nanoparticles, SLNs predominate because of their advantages. For instance, because they degrade naturally, SLNs and nanostructured lipid carriers are not biotoxic and they are also relatively stable [68].

Triglycerides and fatty acids are examples of non-polar lipids that are colloidally dispersed and solid at body and room temperatures. These lipids are known as solid lipids and the use of solid lipids, which significantly lowers the mobility of integrated therapeutic agents into the lipid matrix, is the main benefit of SLNs. Moreover, this keeps particles from coalescing, enhancing stability, limiting drug protuberance into the emulsifier film, and promoting prolonged drug release [69]. Another essential characteristic of SLNs is their absorption by the reticuloendothelial system, which increases the medicines' bioavailability by avoiding first-pass metabolism when taken orally [70]. Additionally, they make surface modification of the carrier easier, which lengthens the duration of blood circulation and improves the pharmacokinetic profile of the medications [71].

Since SLNs are made of solid lipids, they are significant carriers for lipophilic drugs. However, developing SLNs as a vehicle for water-soluble compounds is challenging [72]. As indicated, owing to their low affinity for the lipid matrix, water-soluble chemicals strongly tend to partition into the outer aqueous phase throughout the synthesis process [73]. It has been demonstrated that SLNs systems that target macrophages effectively treat rheumatoid arthritis [74], diabetes [75], psoriasis [76] and autoimmune blood diseases [77]. A schematic illustration of liposome, niosome and SLNs were given in Figure 3.
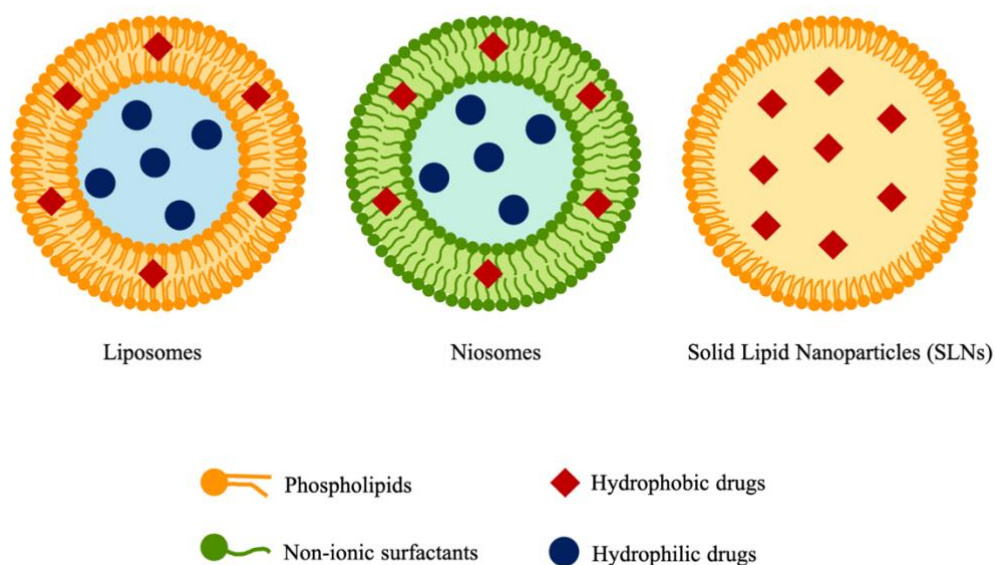
Figure 3. A schematic illustration of liposome, noisome and solid lipid nanoparticles (SLNs).

E. METALLIC NANOPARTICLES

Metal-based nanoparticles include many metals and metal oxides such as copper, copper oxide, iron, iron oxide, silver, cobalt and titanium dioxide [78]. Metal oxides have been employed in different areas including, sensor technologies, catalysis, solar cells etc. [79], [80]. It has produced notable advancements, particularly in the medical field, that metallic nanoparticles increase drug therapeutic index through site specificity, avoid multidrug resistance, and efficiently distribute therapeutic agents [81]. Metallic nanoparticles are DDSs for a wide range of therapeutic agents such as peptides, nucleic acids, antibodies, and chemotherapeutic medications [82]. Conjugating targeted agents and active biomolecules via H-bonding, covalent bonding, and electrostatic interactions is a simple way to functionalize their surface. It is also simple to load numerous medications to increase therapeutic efficacy [83]. The ability of metallic nanoparticles to prolong the duration that drugs circulating in the blood, suppress or completely eradicate rapid renal drug excretion, and increase the water solubility of hydrophobic drug compounds is how they are obtained [84].

It is challenging issue to target the delivery of antineoplastic agents to cancer cells, so these drugs disseminate throughout the body, causing widespread toxicity, low patient acceptability, and sometimes even treatment termination [85]. Metallic nanoparticles are emerging as new carriers and contrast agents in cancer treatment [86]. Since metallic nanoparticles may be precisely regulated in form, size, charge, and surface modification, they are especially beneficial in cancer treatment [87]. Additionally, they are more readily absorbed by cells than non-metallic nanoparticles of the same size, which makes them advantageous for cancer treatment. For this aim, metallic nanoparticles have been used for imaging tumor cells using active and passive targeting so that metals have anticancer properties that are either surface-induced or natural [88].

Silver nanoparticles (AgNPs) are unique among metallic nanomaterials because of their wide variety of uses [89]. Several research groups have recently revealed that AgNPs can generate antitumoral effects in *in vitro* and *in vivo* tumor models, which could benefit various oncotherapy modalities and diagnostic tools [90], [91], [92], [93], [94]. This has led to an increased interest in AgNPs in nanomedicine [95]. AgNPs' toxicity is known to be dependent on the production of reactive oxygen species (ROS), which can occur directly (by electron donation to molecular oxygen, producing O_2) or indirectly (by interfering with mitochondrial structure and functions, leading to O_2^- leakage from the electron transport chain) [96]. The precise mechanisms by which AgNPs act against cancer cells are still not fully understood [97]. ROS, which includes superoxide anion (O_2^-), hydrogen peroxide (H_2O_2), and hydroxyl radical (HO•), are byproducts of cellular oxygen metabolism. Since these compounds are crucial to signaling pathways, the cell's antioxidant pool keeps them at low levels under physiological settings. On the other hand, oxidative stress is linked to excessive ROS production [98]. AgNP exposure raises ROS levels, which causes cytotoxicity, lowers cell proliferation rates, damages macromolecules and organelles, and finally results in cell death [99].

Because of superior features of magnetic iron oxide nanoparticles (IONs) such as intrinsic magnetic qualities, or superparamagnetism, they are useful in various scientific domains, including electronics and the environment [100]. Moreover, IONs have much promise for use in therapeutic settings. When exposed to a different magnetic field, they can be used to create localized heat enhancement—a phenomenon known as magnetic hyperthermia application [101]. Because cancer cells cannot live in the 42–49°C temperature range, while healthy cells can, this feature is very effective in killing cancer cells [102]. Also, IONs are important nanocarriers as they can achieve high drug loading and targeting abilities [103], [104], [105]. It is well known that IONs can release drugs in a regulated way and can quickly transport drugs to a specific target spot when exposed to an external magnetic field [106], [107].

Gold nanoparticles (AuNPs), offer a versatile platform, especially for clinical and biomedical fields, due to their unique combination of physical, chemical, optical, and electrical capabilities [108]. Because AuNPs are potential nanocarriers for drug delivery because of their advantages including decreased side effects on healthy tissues, imaging or site targeting, and improved tissue permeability [109]. In addition, AuNPs are smaller than their biological targets; they can specifically interact and connect with biomolecules found inside cell organelles, in the cytoplasm, and on the surface of cells [110]. These

efficient nano-DDSs can transport various therapeutic agents, including peptides [111], proteins [112], genes [113], [114], [115], vaccines [116] and chemotherapy medicines [117].

F. GRAPHENES AND GRAPHENE OXIDES

Graphene, an allotrope of carbon making sp^2 bonds, is the thinnest material that forms a single-atom-thick planar surface within the honeycomb crystal lattice structure [118]. The graphite structure is formed by arranging carbon atoms in a hexagonal shape called a honeycomb in layers [119]. The graphite structure consisting of a single layer called "Graphene" [120]. Graphene is a two-dimensional material with unique structural, electronic, and optical properties [121]. Also, one of the most important properties of graphene is that it is the thinnest of all existing materials, being only one atom thick. It is a highly transparent material that absorbs very little light [122]. Graphene is in demand in many potential areas thanks to its features such as high specific surface area, electrical and thermal conductivity, high elastic modulus, and complex structure. Graphene-based materials, including graphene, graphene oxide (GO) and reduced graphene oxide (rGO) are classed based on their size, shape, and functional groups [123]. GO is utilized in various areas including biosensor technology insulation and environmental remediation [124], [125], [126].

The unique characteristics of graphene and graphene oxide, such as two-dimensional planar structure, large surface area, chemical and mechanical stability, exceptional conductivity, and favorable biocompatibility, have led to substantial research into these materials as some of the most promising biomaterials for biomedical applications [127]. Graphene's 2D structure and delocalized surface electrons can be used for efficient drug loading via hydrophobic interactions between hydrophobic drugs and aromatic groups of graphene without chemical modification of the drugs [128]. The large surface area of graphene enables covalent and non-covalent surface modification to achieve high-density biofunctionalization [129]. Graphene is a promising material that can be used as drug delivery systems for comparing against conventional agents. These characteristics lead to graphene-based nanocomposites considering as DDSs and to use for variety of treatments including delivery systems for antineoplastic agents such as cisplatin, doxorubicin, paclitaxel and so on [130].

G. CARBON NANOTUBES

One of the most prominent nanotechnology inventions in recent years is carbon nanotubes (CNTs). CNTs are rolls of graphene that have been sp2 hybridized and have diameters as small as one nanometer. The noteworthy features of CNTs are their high aspect ratio, low weight, superior conductivity qualities, and exceptional tensile strength, which qualify them for use as additions in a variety of products, such as metal substrates, ceramics, and polymers [131].

These structures are exceptional materials with many potential uses because of their strength, compact size, and extraordinary physical characteristics. These unique nanoscale-based features have remarkable mechanical and electrical features, unveiled by extensive global work in recent years [132]. Carbon nanotubes are now widely recognized as excellent model systems for researching the physics of one-dimensional solids and have great potential for building blocks in a wide range of useful nanoscale technologies [133]. Miniaturized electrical, mechanical, electromechanical, chemical, and scanning probe devices, as well as materials for macroscopic composites, have demonstrated the utility of nanotubes [134].

In addition to their electronic applications, CNTs have the potential to be applied in the pharmaceutical field as DDSs due to their specific surface area, biocompatibility, durability, and potential to carry large amounts of drugs and biomolecules [135]. These carbon nanoparticles can be engineered to help target or deliver drugs more effectively and develop novel therapeutic approaches, particularly for cancer treatment [130]. They can also be used to develop new diagnostic agents for malignancies and are anticipated to aid in combining therapies and molecular imaging for diagnosis [136].

Researchers have also recently discovered that CNT-based nanomaterials could be employed as carriers to control drug distribution, particularly with chemotherapeutic medications [137], [138], [139], [140], [141], [142], [143], [144], [145]. Multi-wall carbon nanotubes (MWCNT), utilized to target malignant cells, made up most of these carriers [146]. SWNT pharmacokinetics depends on several variables, including functional groups, pH, polymer molecular weight, drug loading techniques, and protonation [147]. They are also promising therapeutic bioimaging nanocarriers due to several other characteristics, such as photoacoustic, Raman scattering, and NIR fluorescence absorption [148]. The outcomes of studies conducted on animals and in laboratories for diagnosis and therapy have grown increasingly promising [149], [150]. The compilation of studies has brought to light the necessity of a thorough evaluation that covers CNT dosage, duration, induction technique, and other factors to create the most controlled environments possible for research involving humans and animals [151], [152], [153].

H. QUANTUM DOTS

Nanoparticles with zero dimensions are called quantum dots (QDs). Because all their dimensions are smaller than 100 nanometers, this short definition makes them known. Their sizes typically range from 2 to 15 nanometers [154]. The first characteristic of nanocrystal materials that can be distinguished is zero-dimensional (0D) materials. These materials are sometimes referred to as "QDs" because their electrons are primarily located in restricted areas and are confined in three dimensions, which makes them 0D structures [154]. They are also referred to as "artificial atoms" because of their distinct energy states [155].

The effectiveness of employing QDs in biological sensing, imaging, and detection has prompted researchers to advance this technology in translational and clinical medicine [156]. Since traceable drug delivery offers the potential to clarify the pharmacokinetics and pharmacodynamics of therapeutic candidates and provide the design guidelines for drug carrier engineering, it is one of the most significant new uses of QDs [157].

In biological domains, QDs-based nano-carriers for pharmaceuticals, can enhance the bioavailability of pharmaceuticals and enable therapeutic targeting [158], [159], [160], [161]. Furthermore, the implementation of a QD nano-carrier system for pharmaceuticals could lead to the achievement of early illness site detection, tracking, and targeted localized treatments such as cancer therapy, Alzheimer disease and cardiovascular diseases [162], [163], [164], [165], [166], [167], [168], [169]. Moreover, QD nano-carrier drug delivery systems can increase a medication's stability, prolong its half-life in vivo, improve targeted absorption, and optimize drug distribution and metabolism inside an organization [170], [171], [172], [173]. Thus, one of the main areas of interest in nanodrug research is the development of QD nano-carriers for pharmaceuticals [174], [175].

QDs are easily interchangeable with other inorganic (like gold) or organic (like condensed DNA) nanoparticle cores of interest because to their lower size, which makes them ideal for examining nanocarrier behavior and refining nanocarrier characteristics. In addition, QDs can be discreetly added to bigger DDSs as tracers to keep an eye on intracellular trafficking and biodistribution. Lastly, individual QDs released from bigger carriers can simulate the eventual removal of other nanoparticle components or the redistribution of free drug [176]. Furthermore, because QDs can function as the primary nanocarrier or fluorescent labels in a more intricate design, they make efficient candidates for theragnostic platforms [156].

III. CONCLUSION

Nanoparticulate systems have been utilized in various fields, including medical treatment, cosmetics, sunscreens, electronics, catalysis, and so on. Recently, nanopharmaceutics, which are nanoparticles that deliver therapeutic substances to organs, tissues, or cells, have emerged as a highly exciting field of study because they can change the pharmacokinetics, bioavailability, and biodistribution of therapeutic

agents. They can improve therapeutic efficacy and reduce the toxic effects of the drug molecules. Due to their size and surface modification ability, they can play significant roles in targeted drug delivery. Nanoparticulate systems for drug delivery have been investigated using a wide range of materials including natural and/or synthetic polymers, magnetic nanoparticles, dendrimers, lipid-based nanomaterials and so on. In addition, in near future, it is envisaged that they are not only spherical, but also produced in different shapes such as rods, discs, ellipses and stars, and that this shape difference may contribute to the delivery of the therapeutic substance to the desired organs and tissues. Moreover, nanoparticulate systems can be used in not only drug delivery but also diagnostics, tissue engineering, hyperthermia, biosensors, gene therapy, wound healing, dentistry, regenerative medicine, antimicrobial and antioxidant therapy, and bioimaging.

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VOTEMAT: A Blockchain Based Voting System

Egemen BİROL [a], K. Tuğşat İSKENDER [a], Timur ÖZKUL [a], Ayça TOPALLI [a,*]

[a] Department of Electrical and Electronics Eng., İzmir University of Economics, İzmir, TÜRKİYE
* Corresponding author's e-mail address: ayca.topalli@ieu.edu.tr
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ABSTRACT

This study aims to show that a secure, trustable and immutable voting system can be established with Blockchain technology. Decentralized structure of the Blockchain excludes the central authority and provides transparency. Moreover, its cryptographic functions enable secure transactions. Therefore, the operation is prevented from potential frauds, such as multiple votes, fake vote attempts, and fraudulent vote counts. The proposed method, VOTEMAT, covers both electronic voting and paper ballot as a complete solution. A mobile application and a Web site, connected to Ethereum private Blockchain network, were developed for the voters who prefer to cast their votes remotely. It is also possible to vote in the voting centres via the mobile device or paper ballot placed in the vote boxes; but these votes are also recorded in the same Blockchain and equally secure. For the remote users, a two-step authentication is designed, based on the information on the national identity card and face recognition. An additional encryption based security measure is used to avoid hacking attempts, such as man in the middle attacks. Since the proposed system is more practical than the traditional voting methods, it can increase the participation and be utilized in all kinds of local or national elections.

Keywords: Blockchain, Cryptography, Ethereum, Hyperledger Besu, Voting

VOTEMAT: Blokzincir Tabanlı Oylama Sistemi

ÖZET

Bu çalışma Blokzincir teknolojisi ile güvenli, güvenilir ve değiştirilemez bir oylama sistemi kurulabileceğini göstermeyi amaçlamaktadır. Blokzincir'in merkeziyetsiz yapısı, merkezi otoriteyi sistemin dışında tutmakta ve şeffaflık sağlamaktadır. Ayrıca, uygulanan şifreleme işlemlerin güvenli bir şekilde gerçekleşmesini sağlamaktadır. Böylece birden fazla oy kullanılması, sahte oy pusulası kullanım girişimleri ve hileli oy sayımları gibi olası sahtekârlıkların önüne geçilebilecektir. Önerilen yöntem olan VOTEMAT, hem elektronik oylamayı hem de kâğıt oy pusulasını kapsadığı için eksiksiz bir çözüm sağlamaktadır. Oylarını sandığa gelmeden kullanmayı tercih eden seçmenler için Ethereum özel Blokzincir ağına bağlı bir mobil uygulama ve bir Web sitesi geliştirilmiştir. Sistem oy verme merkezlerinde, oy verme kabinlerine yerleştirilen mobil cihaz veya kâğıt oy pusulası aracılığıyla oy kullanmayı desteklemektedir; bu durumda da oylar aynı Blokzincir'e kaydedilmekte ve aynı derecede güvenli olarak saklanmaktadır. Oylarını sandık başına gelmeden kullanmak isteyenler için, ulusal kimlik kartındaki bilgilere ve yüz tanımaya dayalı iki adımlı bir kimlik doğrulama tasarlanmıştır. Ayrıca, ortadaki adam saldırıları gibi izinsiz erişim girişimlerini önlemek için şifreleme tabanlı bir güvenlik önlemi kullanılmıştır. Önerilen sistem geleneksel oylama yöntemlerine göre daha pratik olduğundan, katılımı artırabileceği ve her türlü yerel ya da ulusal seçimde kullanılabileceği düşünülmektedir.

Anahtar Kelimeler: Blokzincir, Ethereum, Hyperledger Besu, Şifreleme, Oylama

I. INTRODUCTION

Blockchain is a new topic that is open to research and development. With the popularity of cryptocurrencies, Blockchain has drawn a lot of attention, but its usage is not limited to cryptocurrencies [1-3]. Since data security and privacy are amongst the most sensitive and necessary issues of nowadays, Blockchain technology that provides this opportunity can be applied to many fields [4].

Election systems and voting protocols are one of the most suitable areas that can make use of the advantages of Blockchain. Conducting elections on paper poses many problems and threats such as lack of participation due to the process being hard for some people, costs required for the election process, high numbers of invalid vote counts due to voter faults, and sluggishness of the process of casting and counting votes.

In countries where no automated system of casting and vote counting exists, votes are usually recounted due to security concerns during political elections. When the recounting is done under the same governance, these concerns generally do not disappear [5]. Besides, having a single administrator that watches the whole process may cause fraud. Therefore, a decentralized network based on Blockchain technology could be a solution to cut the central authority out and may provide a secure and trustable voting system, satisfying data integrity and immutability [6].
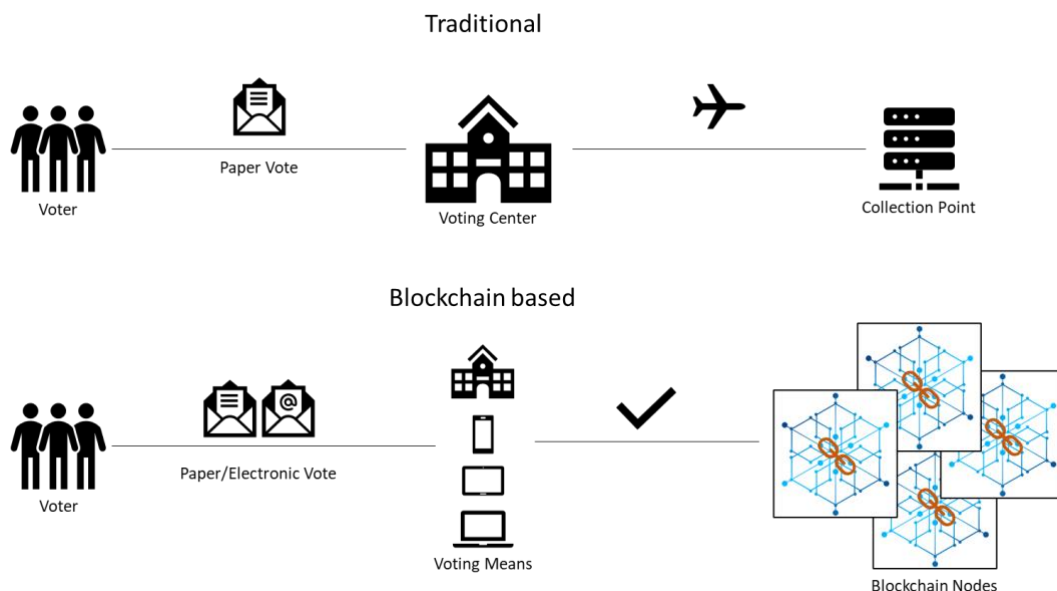
Figure 1. Traditional vs Blockchain based voting systems

The difference between traditional and Blockchain based voting systems is shown in Figure 1. In the former, voters must go to dedicated voting centers to cast their votes on paper. Then these votes must be counted and sent to a collection point. In the latter, on the other hand, the voters have the chance to cast their votes electronically without the need of going to the voting center. Furthermore, votes are stored instantly in all Blockchain nodes.

The system proposed here is named VOTEMAT and it combines these two voting methods. Voters can cast their votes remotely via their smartphones or computers to be stored in a Blockchain. But in any case, if a voter chooses to go to the voting center, their vote is also stored in the same Blockchain infrastructure in the proposed system; therefore, both ways are equally secure and private. Furthermore, it introduces additional security over the communication between client and server sides based on RSA encryption. The vulnerabilities of the classical voting system do not exist in the proposed method. In addition to the simplification of the process, the removal of the burden of going to and queueing in the

polling station is also increasing the practicality of the proposed system. Therefore, an increase in the participation can be expected.

In this study, Hyperledger Besu's (HB) Ethereum implementation is used as a private Blockchain network [7]. Although the system proof-of-concept makes use of Turkish ID cards thus making it suitable for elections in Turkey, it can be adapted to any election with or without the paper ballot part.

The rest of the paper is organized as follows: Section 2 gives a literature survey on the related studies and emphasizes the differences and novelties of the proposed system. The fundamentals of Blockchain technology are summarized in Section 3. Methodology is detailed in Section 4. Section 5 gives the results and discusses the findings. Conclusions and suggestions for the future work can be found in Section 6.

II. RELATED WORKS

A. LITERATURE SURVEY

Several works on voting systems with Blockchain technology have been proposed in recent years [8-27]. For example [9] focuses on the requirements of voting platforms such as transparency, provability, and authentication; and, tries to address these concepts using Ethereum Blockchain network and smart contracts. In [10], there is an administrator who creates and assigns individual authentication keys to the voters to avoid multiple casting issues. In this system, each vote is registered as a new block in the Blockchain. The authors of [11] introduce ABVS (Auditable Blockchain Voting System) for security improvements and verifiability in electronic voting protocols. They use the Paillier homomorphic encryption algorithm, which allows the system to read encrypted messages without decrypting them. With such a system, voters need to give their identification information but do not reveal their voting choices.

Garg et al. in [13], Al-Maaitah et al. in [14], and Singh et al. in [15] present literature surveys comparing different methodologies used in e-voting systems. They also emphasize the need for secure and reliable voting systems with increased transparency and minimal errors. The work in [16] as well gives a review of Blockchain-based electronic voting systems, exploring various Blockchain frameworks, consensus mechanisms, and cryptographic methods to address the challenges associated with traditional and digital e-voting systems.

Similarly, how to make elections more secure and reliable with Blockchain, and how Proof of Authority (POA) and smart contracts satisfy privacy issues are explained in [17]. But it is also stated that a separate measure is needed for a secure authentication since the Blockchain itself does not guarantee it. The paper presented in [18] proposes Blockchain usage in elections in order to reach the results instantly, which is another advantage of this technology. Malkawi et al. design an Ethereum-based electronic voting system for the Jordanian parliamentary elections in [19]. Their system uses a dual-smart contract structure where one smart contract deploys another to manage individual voting districts.

Tanwar et al. explore the implementation of a Blockchain-based electronic voting system utilizing Ethereum's smart contract functionalities in [20]. They outline a Decentralized Application (DApp) for voting, leveraging Ethereum's Blockchain to manage and secure electronic votes with a front-end user interface for accessibility. The system proposed by Hassan et al. utilizes the Ethereum Blockchain, Ganache as a local Blockchain environment, and Remix for deploying smart contracts in [21]. Their results indicate that while the system ensures voter anonymity and vote integrity, it faces challenges related to scalability and transaction costs, particularly under high network load. Bronco Vote [28] is an online voting system built for university events, such as ballots to guarantee easy access and wide-spread participation. It lies on top of Ethereum Blockchain infrastructure and uses smart contracts. There are also several Blockchain based mobile voting applications, such as FollowMyVote [29], Voatz [30], OVN [12], Agora [31], and Polys [32].

B. DIFFERENCES AND NOVELTIES OF THE PROPOSED SYSTEM

To the best of authors' knowledge, there is no study similar to the one presented here that combines both physical and remote voting in the same Blockchain infrastructure and adds extra security level based on RSA algorithm.

Traditional voting with paper ballot is highly familiar among voters, easy to perform especially by illiterate people. Moreover, people may not be accustomed to the Internet, may not have access to new technologies, or may have disabilities. Therefore, it is not possible to abandon the traditional voting at once. On the other hand, electronic voting brings advantages such as cost down, reusability, efficiency, remote area access, more voter turnout, etc. as compared to the traditional elections. On top of these advantages, Blockchain based voting is the most reliable, secure, transparent, decentralized, tamper and fraud free, fast, verifiable, and auditable electoral option as of today. Therefore, it should not be ignored. The proposed method embraces all categories of voters, modern or far from technology, by being interoperable with the existing traditional system, and introducing the Blockchain based new system. It allows paper balloting, online balloting in the vote center, and online balloting remotely. Regardless of the voting method, all votes are stored securely and immutably in the same Blockchain. This kind of complete solution has not been encountered in the literature, and in fact, it can be an intermediate solution until all parts of the society become ready for the online-only elections.

The proposed approach uses an RSA based encryption layer for the off-chain parts of the system, inspired by the Blockchain technology, in addition to the https connection. In this way, the sensitive data are transferred securely between front-end and back-end, as a measure to prevent hacking attempts. Moreover, a private Blockchain instead of a public one is configured to minimize attack risks and ensure security and data privacy.

Regarding the Blockchain platform, HB is a suitable one, although it has been used generally in finance area, and no example usage has been seen for voting [33]. The reason for this selection is because HB's sharding feature, a technique that divides the whole Blockchain network into smaller pieces [34]. Almost all studies point to the scalability issue that is Blockchain networks having difficulties to process growing number of transactions, especially in the case of national elections of highly populated countries. HB seems a proper alternative since it provides better scalability by sharding as compared to the others.

In the literature, some other Blockchain based voting systems suggest all voters to have their own accounts and Web3 interfaces. This is not a realistic requirement for a real-life scenario. Therefore, the system proposed here has an easy-to-use front-end with no prerequisite knowledge about the underlying technologies.

Another aspect is the voter's identity and eligibility confirmation. Blockchain does not provide a solution for this authentication part and every work provides its own solution. The proposed system's solution is a two-step authentication procedure involving ID number and face similarity checks using citizens' national cards and system's camera.

Overall, the proposed HB based Blockchain voting system meets eligibility, privacy, fairness, soundness, and completeness, which are the necessary criteria for a realistic solution.

III. BLOCKCHAIN TECHNOLOGY

Blockchain is a decentralized network of computer systems, different from the centralized model, which is operated by a single entity as shown in Figure 2.a. Blockchain models share and replicate a digital record of transactions (ledger) across the network as depicted in Figure 2.b. With the decentralized feature, data integrity is ensured and possibility of any fraud is eliminated. As compared to the classical

server usage for the data storage, which is more vulnerable to hacking attempts, it is nearly impossible to hack all of the nodes of a Blockchain.

(a)   *(b)*
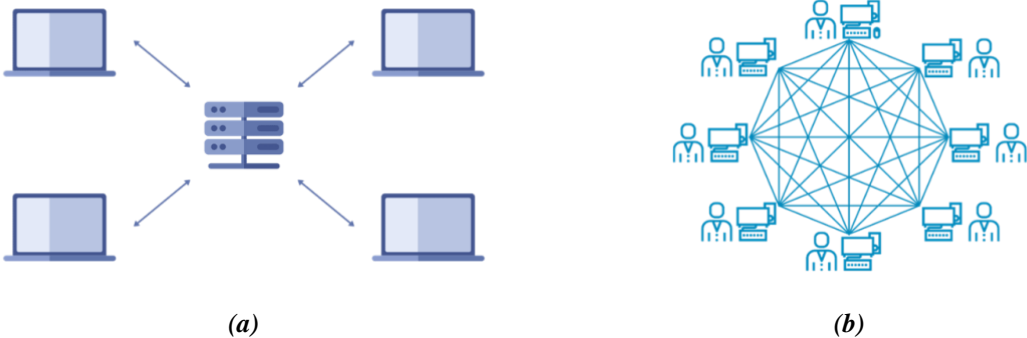
Figure 2. (a) *Classical (centralized) server vs.* ***(b)*** *Blockchain (decentralized) model*

The decentralized and distributed nature of the ledger is one of the key features of Blockchain technology, and it is also often referred to as distributed ledger. Each participant's copy of the ledger is updated each time a new transaction is added to the Blockchain, and each block in the chain holds multiple transactions. Transactions are secured through encrypted messages, and each block in the chain is connected to the previous one by using a cryptographic hash. As shown in Figure 3, this creates an unchangeable and permanent record of all transactions that have ever happened on the Blockchain.
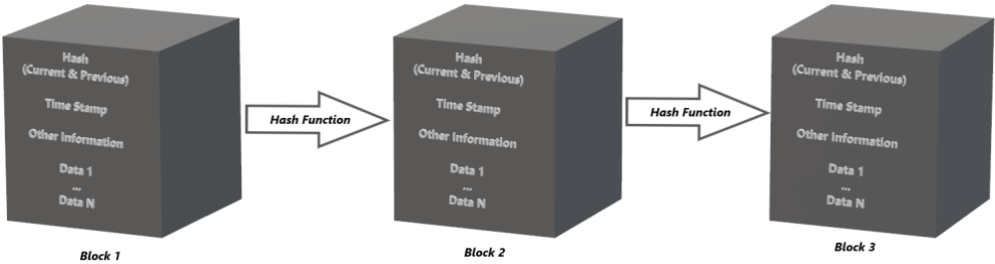
Figure. 3. *Blockchain structure*

It is crucial to distinguish between two fundamental elements within the Blockchain ecosystem: nodes and accounts. Nodes are individual computer systems that constitute the network. Their role includes validating and propagating transactions, as well as maintaining a copy of the entire Blockchain ledger. Nodes collaborate to ensure network security and consensus. They are integral to preserving the decentralized nature of the Blockchain. Accounts, on the other hand, are digital entities associated with specific users or entities on the Blockchain. They hold ownership of cryptocurrency tokens or assets and are used for initiating transactions. Accounts are distinct from nodes; while nodes collectively maintain the Blockchain, accounts interact with it by creating, sending, and receiving transactions.

Public networks are decentralized networks that are accessible to everyone and they do not have strict limitations on access in the context of the Blockchain. These networks' openness, inclusion, and decentralization make them stand out from other networks like the Ethereum main net. Bitcoin trading and dApps are two common activities carried out by users of public networks that call for a high level of security and openness.

Private networks, on the other hand, suggest a more limited and controlled Blockchain environment. Access to the Blockchain and its features is often restricted to a select number of authorized members in a private network. Private networks are appropriate for use cases where privacy, security, and controlled governance are crucial since these members are frequently screened and given permission to

join the network. Private networks are used by businesses and organizations for sensitive applications like voting systems, financial transactions, and supply chain management.

An important aspect of Blockchain is the use of consensus mechanisms to validate and record transactions. Rather than relying on a central authority to verify and process transactions, a consensus mechanism is utilized to ensure that all participants in the network agree on the validity of a particular transaction. Some of the most widely used consensus mechanisms are Proof of Work (PoW), Proof of Stake (PoS), and Proof of Authority (PoA). In private Ethereum networks, Istanbul Byzantine Fault Tolerance (IBFT 2.0), which is a PoA algorithm known for its high level of security and fault tolerance, is used. In an IBFT based Blockchain network, more than two third of the nodes are expected to validate transactions for an uninterrupted process. On top of that, IBFT has immediate finality which corresponds to preventing any formation of extra-chains and forks. Applications like VOTEMAT, where security, fault tolerance, and the integrity of transactions are of utmost concern, are particularly well suited for IBFT's strict consensus method. Therefore, IBFT is used as the consensus mechanism in this study.

Along with the advantages that come with using a decentralized network, multiple vote and fake vote attempts are also avoided in Blockchain based election systems. Furthermore, any potential fraudulent changes to the vote count are also prevented due to transactions being secured through cryptographic hash functions.

In this respect, Blockchain technology is a powerful tool that can be used to create decentralized systems that are more secure, transparent, and efficient than traditional centralized systems.

IV. METHODOLOGY

Overview of proposed VOTEMAT system is given in Figure 4. In this study, it is aimed to cover all possible voting schemes within a single system:
- via a mobile application (phone or tablet),
- via a Web site,
- via paper ballot.
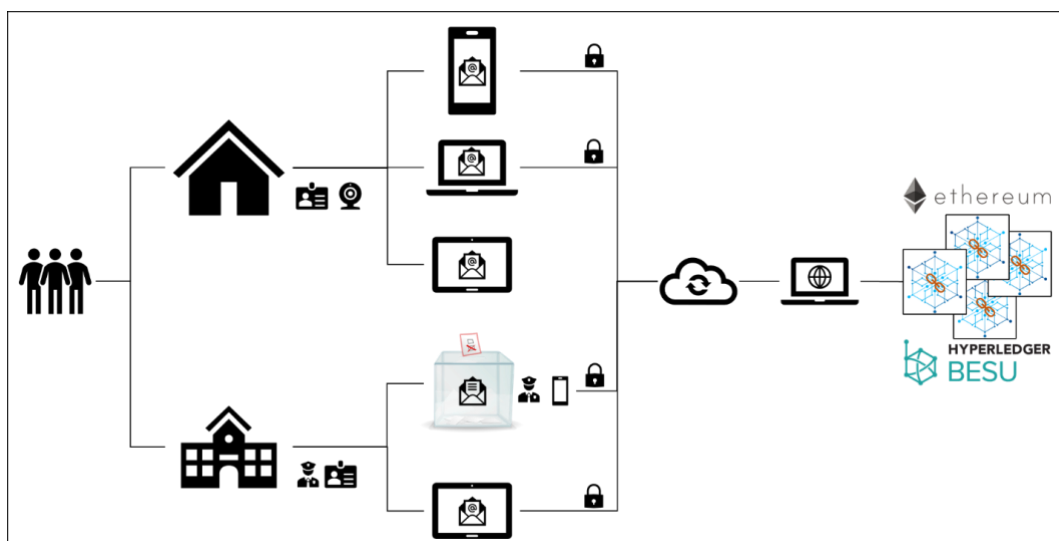
Figure 4. Overview of proposed VOTEMAT system

In the remote case, voters who prefer to stay at home and use either the mobile application or the Web site, are first authenticated by their identity numbers and face recognition to ensure that only one vote is cast by an eligible voter. The user's national ID card is captured by the camera of the mobile device or computer to extract ID number and ID photograph from the captured image. The ID number is sent to

the server to ensure that it belongs to an eligible citizen and no vote has been cast yet with this number for the election. Then the voter's face is captured by the camera and compared with the ID photograph, seeking for a certain similarity. After the authentication has been established, they are presented with the election candidates and they can cast their votes.

In the physical voting, in which voters choose to go to the polling stations, the authentication task is performed by a person in charge. The ID number is recorded at the server, and the face similarity with the ID photograph is checked manually. Then the voting is done either via the mobile application installed on tablets in the voting kiosks, or via the classical paper ballot, depending on the voter's ability and preference.

In order to keep the information whether a citizen has cast their vote, there is an ID database placed in the server side. This database is different from the Blockchain part where votes are being kept; therefore, citizen's national ID and their vote cannot be associated.

Regardless of the way of voting, whether remote or physical, all votes are stored in the same Blockchain structure. Electronic votes are added directly by the mobile application or Web site; paper votes are added by authorized personnel via an interface application.

Before sending ID numbers and votes to the server, the mobile application and the Web site encrypt them by applying the RSA algorithm to add an extra security level during the transmission over the cloud. This is mostly done to prevent sniffing and data alteration attempts and protect this vulnerable information. As seen in Figure 5, even https connection is prone to the man in the middle attacks, and this can be avoided by introducing RSA ciphering.
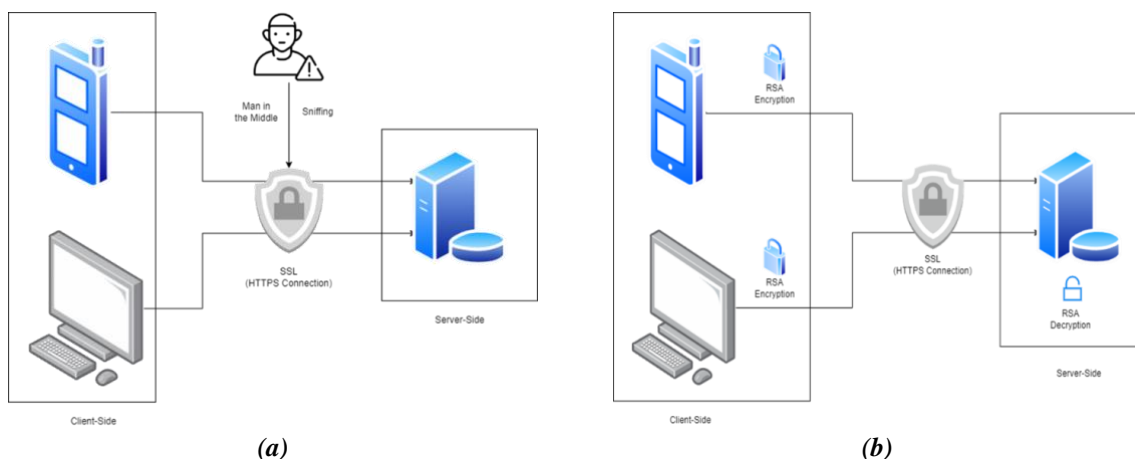
(a)   *(b)*
Figure 5. (a) SSL only HTTP connection vs (b) Secure communication with SSL & RSA

The software on the Web server communicates with the Blockchain implementation via TLS-enabled cURL library and relays votes sent by the mobile application and the Web site. These votes are stored in the Blockchain in a secure and immutable way.

In this study, each Ethereum account created represents a candidate entered in the election. One more account is created and dedicated to the system administrator. Initial balances of the candidate accounts are all set to zero and each transaction from administrator to a candidate means a vote being cast to that candidate. At each transaction, the administrator's balance is decreased by one and the candidate's balance is increased by one. Transaction among candidate accounts is forbidden.

HB's Ethereum Blockchain implementation with IBFT consensus algorithm is used in this study [7]. The main reason behind this choice is that being widely used on the public Ethereum main net, it is tested intensively and well supported. Being licensed as open-source software under the Apache 2.0 terms is also another factor for our choice. It also supports private transactions, allowing two parties to perform a transaction on the network without the other members being able to work out the details. The

instance runs on the Ubuntu 22.10 environment, which is set up on Oracle VM VirtualBox software, as shown in Figure 6.
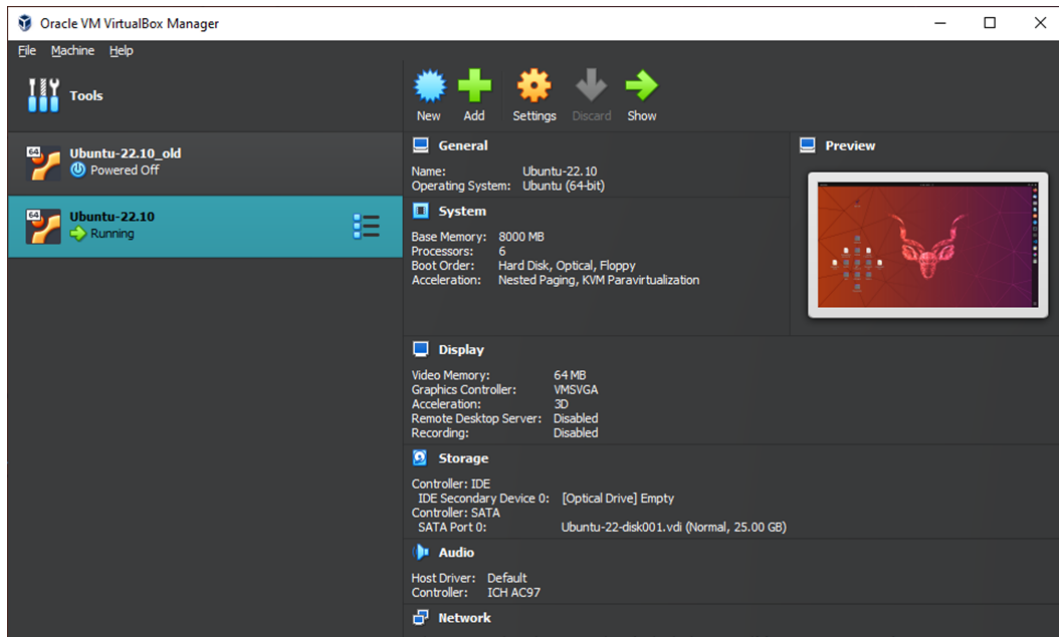
Figure 6. *Oracle VM VirtualBox*

HB is an open-source Ethereum client which runs on public and private networks. Private networks offer a controlled and secure environment, making them ideal for preserving the confidentiality and integrity of the voting procedure, two essential components of any democratic election system. Therefore, VOTEMAT is implemented utilizing a private network to meet the demanding criteria for security and data privacy that are inherent to the election process.

EthSigner [35], which is an Ethereum transaction signer module, is used to sign transactions using a private key. Tessera [36] is another module used to serve as a privacy manager for HB clients.

For the data files of the Blockchain, a main folder named IBFT-Network is created. In this folder, it is necessary to create files ibftConfigFile.json, genesis.json, and separate folders for the nodes. Inside each node folders, data and Tessera directories are to be generated to hold their public and private keys. Tree structures of IBTF-Network and Node folders can be seen in Figure 7.
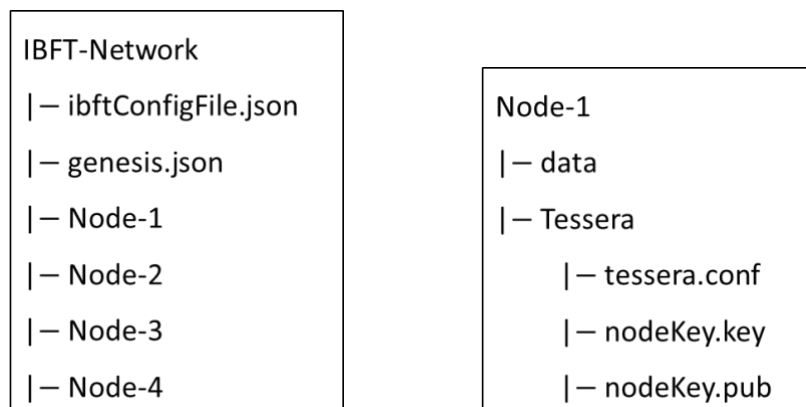
Figure 7. *Tree structures of IBTF-Network and Node folders*

In this study, the number of nodes is selected as four and nodes are created in the same machine for simulation purposes. In a real-life implementation, they need to run on different machines in accordance with the distributed nature of the Blockchain technology. Therefore, under the IBFT-Network folder,

normally there should be a single node directory. Among these nodes, one of them is called the boot node and it has special features. Node-1 is selected as the boot node in this study. The HB environment ensures synchronization of these nodes after any Blockchain operation.

The configuration file ibftConfigFile.json resides only in boot node's machine and holds Blockchain's identification number as 1337, the number of nodes as four, and names and balances of the accounts. Blockchain accounts along with their associated public and private keys are created by JavaScript language using web3.js library with the following code snippet:

```
const Web3EthAccounts = require('web3-eth-accounts');
const account = new Web3EthAccounts('ws://127.0.0.1:8591');
console.log(account.create());
```

The following command creates genesis.json file using the information stored in the configuration file ibftConfigFile.json:

```
besu operator generate-blockchain-config --config-
file=ibftConfigFile.json
```

The genesis.json file is a crucial configuration file that sets the initial state and parameters of a Blockchain network. It plays a pivotal role in establishing the network's starting conditions, including account setup and network identification.

In each Tessera directory, public and private key pairs are generated by the following command:

```
tessera -keygen -filename nodeKey
```

After the modules have been created, they need to be activated. First of all, the boot node, which is selected as Node-1, is started by running the following command under Node-1 folder:

```
besu --data-path=data --genesis-file=../genesis.json --rpc-http-
enabled --rpc-http-api=ETH,NET,IBFT,EEA,PRIV --host-allowlist="*" --
rpc-http-cors-origins="all" -rpc-http-port=8591 --privacy-enabled --
privacy-url=http://127.0.0.1:9101 --privacy-public-key-
file=Tessera/nodeKey.pub --min-gas-price=0
```

The above command returns boot node's Enode URL that is used to start other nodes. For example, Node-2 is started with the command below under Node-2 folder, using the Enode URL of Node-1:

```
besu --data-path=data --genesis-file=../genesis.json --rpc-http-
enabled --rpc-http-api=ETH,NET,IBFT,EEA,PRIV --host-allowlist="*" --
rpc-http-cors-origins="all" --rpc-http-port=8592 --privacy-enabled -
-privacy-url=http://127.0.0.1:9102 --privacy-public-key-
file=Tessera/nodeKey.pub --min-gas-price=0 --bootnodes=<Node-1 Enode
URL> --p2p-port=30302
```

Tessera module is started with the following command:

```
tessera -configfile tessera.conf
```

ETHSigner, which needs to run on the same machine with the boot node alone, is started with the following command:

```
ethsigner --chain-id=1337 --http-listen-host=http://127.0.0.1 --
downstream-http-port=8591 file-based-signer --key-file=keyFile --
password-file=passwordFile
```

where keyFile and passwordFile are generated using web3.js functions together with the private key and password of the administrator's Blockchain account.

When all modules are up and running, the system becomes ready to use. The main system components and their interactions are shown in Figure 8 for remote users.
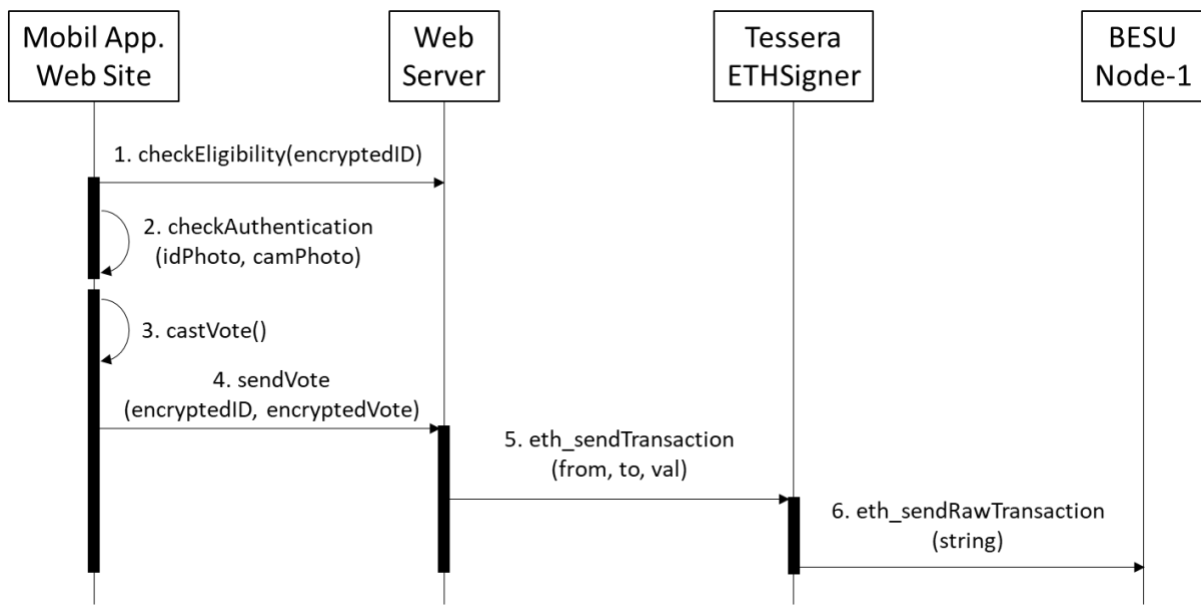
Figure 8. Sequence diagram of the interactions

As can be seen in Figure 8, the first interaction happens between the front-end and the Web server. Mobile application or Web site asks voter to enter their national ID and sends it to the Web server in encrypted format using application's private key. All the interactions between the front-end and the Web server are protected by the RSA algorithm, in addition to the https connection. Web server decrypts the ID number by the application's public key, checks the ID database stored off-chain, i.e., separately from the Blockchain and returns the result depending on the voter's status, if they are eligible and has not cast their vote yet.

For eligible voters, the second step is the authentication check in the front-end side by comparing the ID number given in the first step and the number on the national card captured via the camera. Similarity between the photo on the national card and voter's face shown to the camera is also checked in this step.

If the voter is authenticated, only then they can cast their vote as the third step. Their national ID number and vote are encrypted by the application's private key again and sent to the server in the fourth interaction. The server decrypts the incoming data by the application's public key, registers the ID as "vote cast finished" into the database. Since the ID database and the vote Blockchain are two independent entities, there is no way to associate the user's ID number and their vote.

In the fifth step, the Web server calls `eth_sendTransaction` function from ETHSigner by making a cURL request. Here, admin's Blockchain account address is given as "from" argument. Depending on the incoming vote, associated account address of the candidate or party is assigned as "to" argument. The last argument "val" is set to 1 ETH.

As the last interaction, ETHSigner encrypts these data using the admin's private key and sends as a hexadecimal string to the Blockchain via `eth_sendTransaction` function. After this step, the transaction is added to Node-1's Blockchain copy and other nodes are triggered for validation.

On the other hand, for the voters who prefer to go to the voting centers, eligibility and authenticity checks are performed by the people in charge. Then they can cast their votes either via paper ballot or via the mobile application installed on tablets in the kiosks. Paper votes are sent to the Blockchain via a special interface application developed for the authorized personnel after the election time has ended. Electronic votes are sent to the Blockchain from those tablets. For the voting center case, the process is the same as the remote voting case from the third step of Figure 8, ending at the same Blockchain for all cases.

In the proposed system, the Web server and HB Node-1, including Tessera and ETHSigner modules must reside on the same computer. This condition ensures that there is no network connection involved while calling `eth_sendTransaction` function. Moreover, the initialisation of ETHSigner limits the originator of this function to be only the localhost, hence no security issue. Otherwise, it would be necessary to deploy and trigger a smart contract to handle secure transaction of votes.

V. RESULTS AND DISCUSSION

Along with the HB Ethereum Blockchain infrastructure and a Web server setup, a mobile application and a Web site are designed and implemented to realize the proposed system. The welcome screens are shown in Figure 9.
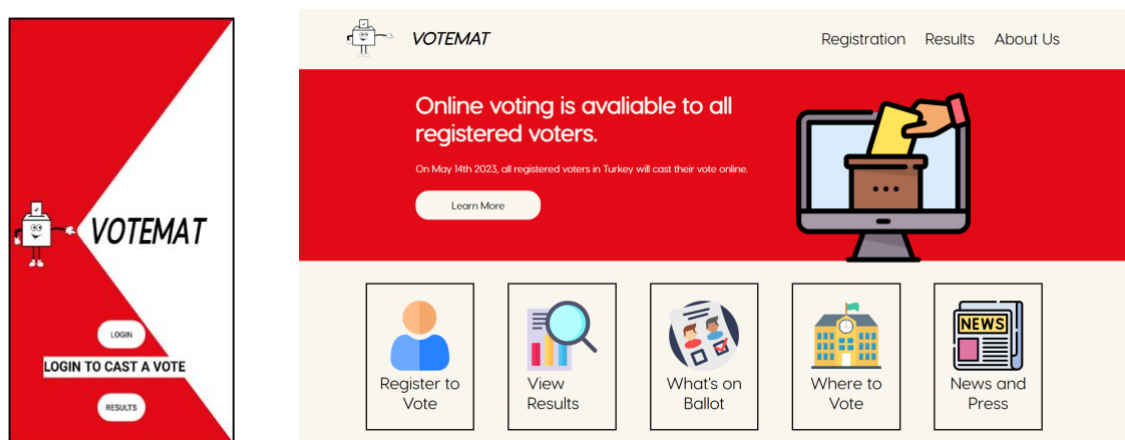
Figure 9. *The main screens of the mobile application and the Web site*

In order to cast a vote, the user has to register with their national ID number (Figure 10). The system checks its validity and whether a vote has already been cast associated with this number. In case of any violation, a message appears on the screen, such as "Invalid ID!" or "You have already cast your vote!".
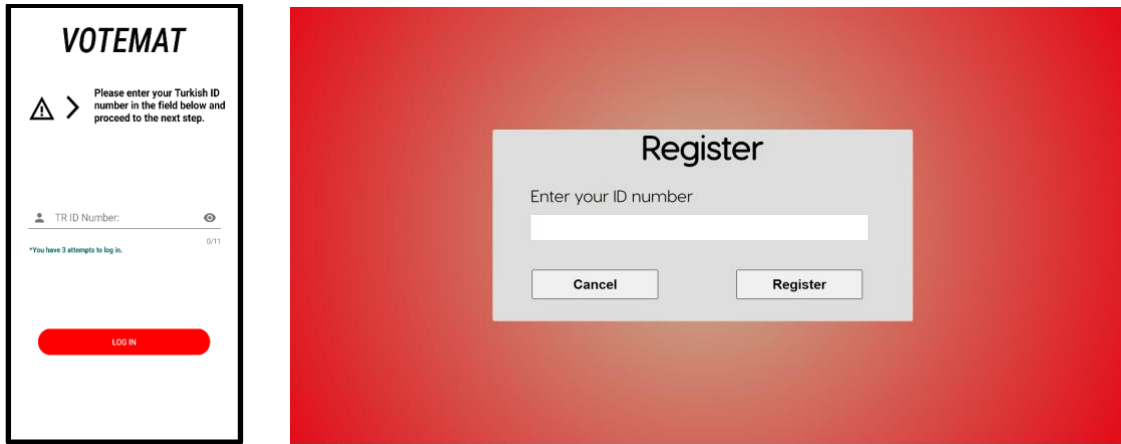
Figure 10. Registration screens of the mobile application and the Web site

After successful registration, the voter is directed to the authentication screen to ensure that the declared national ID number belongs to the user of the system. In this phase, there is a two-step authentication. First, the user is prompted to show their national ID card to the camera of the mobile device or computer so that the system can read the ID number from the card using optical character recognition (OCR) method and compare it with the one entered in the previous screen. If the number is matched, then in the second step, the user is asked to look at the camera for face recognition. The system captures the image from the camera and compares it with the photo on the national ID card. The structural similarity index (SSIM) between the ID photograph and the captured face is calculated and the system accepts 75% as the minimum score. For an efficient capture of the ID card and the face, guidelines appear on the screen, as shown in Figure 11. The authentication screens of the mobile application and the Web site can be seen in Figure 12.

Figure 11. Guidelines for the national ID card and face capture

Figure 12. Authentication screens on the mobile application and the Web site

The voter who has completed the identification authentication phase either via the application remotely or via the authorized personnel in the voting center can proceed with the voting phase. Exemplary voting screens are given in Figure 13.
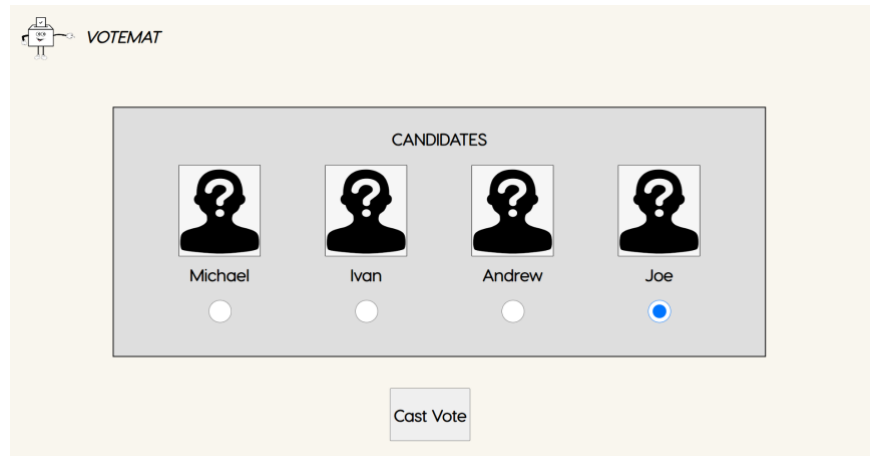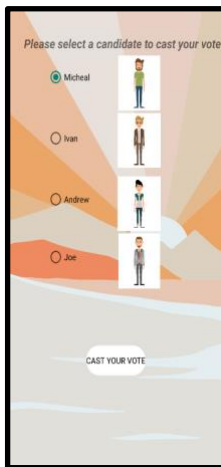
Figure 13. Voting screens on the mobile application and the Web site.

At this point the voter is prompted with their candidate selection and asked to confirm their vote. The successful voting ends with thank you screens as shown in Figure 14.
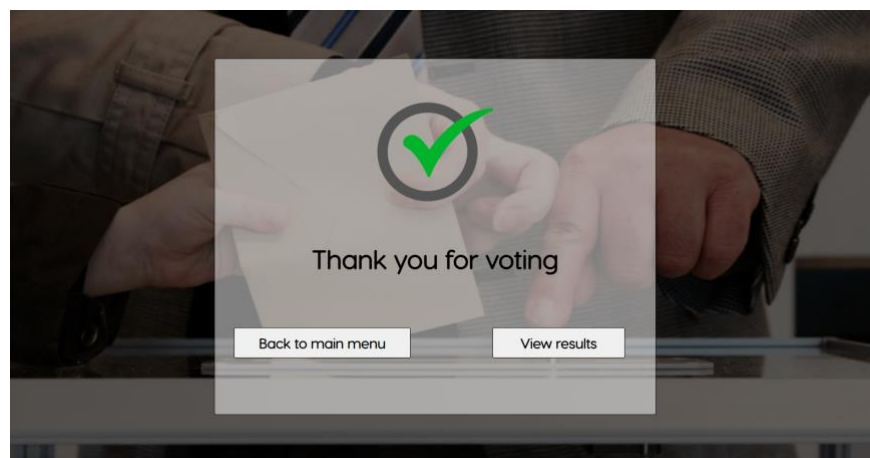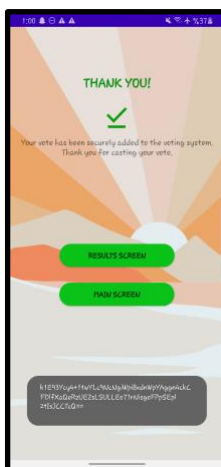
Figure 14. Thank you screens on the mobile application and the Web site

Paper ballots are also collected in sealed boxes in the voting centers. After the voting process is completed, these boxes are opened by trusted officials, and the votes are entered into the same Blockchain based system one by one.

When it is allowed to see the results, anybody can check them via the mobile application or the Web site (Figure 15). Depending on the election type, the results can be shown either after the voting time has ended or instantly. This would eliminate the issues such as loss of time during the transportation of votes to the center, disruptions on the way, and slowness in entering the votes into the main system.
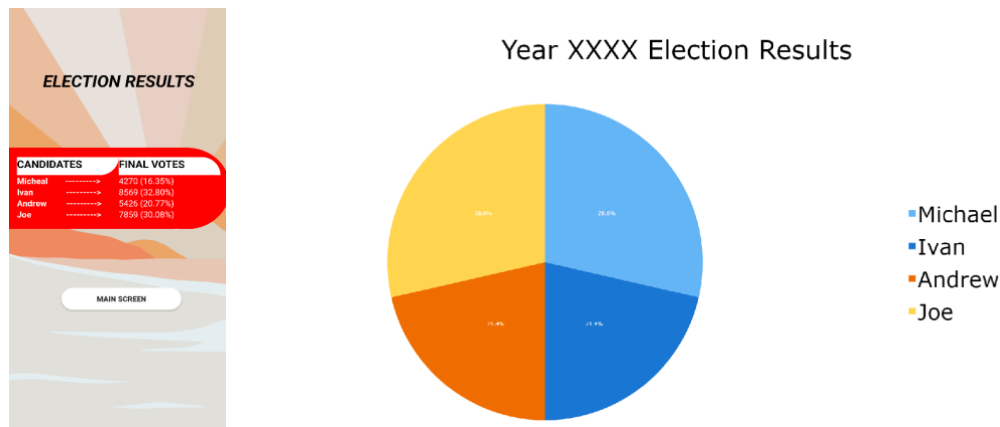
Figure 15. *Result screens on the mobile application and the Web site*

With this proposed system, it is shown that potential frauds are eliminated since it lays on a distributed network rather than a central single server. Hacking attempts are also prevented by the RSA based additional security procedure between the client and the server side. With the developed easy-to-use mobile and Web applications, voters are encouraged to participate in the elections. Even for the people who feel distant from using technology, the same Blockchain based security is still provided.

VI. CONCLUSION

In this study, VOTEMAT, a Blockchain based voting system, which covers both traditional paper ballot and electronic voting with additional RSA based security is proposed. An Ethereum private network implementation of HB is used as the Blockchain infrastructure.

The electronic voting part of the proposed system is more efficient, less costly, and faster than the traditional voting systems since it is composed of an easy-to-use mobile application or Web site. As there is no need to go to the polling station or there is no queuing at the polling station, people with mobility problems or time problems can also participate in the election which can increase the participation rates. The traditional part of the proposed system on the other hand, welcomes the voters who are not familiar or comfortable with the technology. Both of these ways of voting end up votes being stored securely and immutably in the same Blockchain; therefore, the known problems and threats that come with the election systems can be avoided.

The proposed Blockchain based system is nearly impossible to tamper with by nature because it consists of cryptographic chains of blocks that connect to the block that has come before them. Moreover, votes are encrypted by the RSA algorithm on the client side before being sent to the server side. This additional security measure protects the system from the man in the middle attacks. With the proposed system having a distributive ledger and decentralized network, a great deal of transparency is also provided which leads to a better traceability for the voting process as a whole.

Voter privacy and secrecy are essential to the integrity of the elections. Although voters have right to vote without intimidation or retaliation, in case of e-voting, there are some unavoidable risks. Coercion,

vote selling, and vote solicitation are among such risks. As mitigations, front-end application might require silence during the voting and stop working if there is a sound, and taking screenshots might be disabled, etc. However, fundamentally it should be the citizen's responsibility to protect their votes. Moreover, in many modern democracies, people vote by post, which has similar risks, but still used widely.

Blockchain technology is still a relatively new and rapidly evolving field, and it is not yet clear how it will be regulated and governed. This lack of legal certainty could create challenges for the implementation and acceptance of Blockchain based voting systems. To ensure legal and regulatory compliance, this kind of system needs to be developed with an understanding of existing laws and regulations and comply with them. A clear governance structure, risk management and compliance processes should be established and followed in the works to be performed in this field in the near future.

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Research Article

MAO-A Inhibitor Properties by Molecular Modeling Method, Antimicrobial Activity and Characterization of Silver Nanoparticles Synthesized from *Lactifluus Bertillonii* Mushroom

Yasemin KEŞKEK KARABULUT [a,*], Aybek YİĞİT [b], Ayşe KARACALI TUNÇ [c],
Büşra Merve SARITAŞ [d], Sedat KESİCİ [e], Yusuf UZUN [f],
Cemil SADULLAHOĞLU [g]

[a] Project Development and Coordination Office, Rectorate, Kırklareli University, Kırklareli, TÜRKİYE
[b] Department of Pharmacy Services, Tuzluca Vocational School of Higher Education, Iğdır University, Iğdır, TÜRKİYE
[c] Health Care Vocational School of Higher Education, Iğdır University, Iğdır, TÜRKİYE
[d] Department of Dental Services, Health Care Vocational School of Higher Education, Iğdır University, Iğdır, TÜRKİYE
[e] Department of Plant and Animal Production, Yüksekova Vocational School of Higher Education, Hakkari University, Hakkari, TÜRKİYE
[f] Department of Pharmacy Professional Sciences, Faculty of Pharmacy, Van Yüzüncü Yıl University, Van, TÜRKİYE
[g] Department of Veterinary Medicine, İdil Vocational School of Higher Education, Şırnak University, Şırnak, TÜRKİYE
* Corresponding author's e-mail address: ykeskekkarabulut@klu.edu.tr
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ABSTRACT

This work focuses on the antimicrobial activity of AgNPs produced using a green, environmentally friendly synthesis process from *Lactifluus bertillonii* mushrooms using the minimum inhibitory concentration (MIC) method. Additionally, the inhibitory characteristics of the chemicals present in the mushroom extract are also determined. SEM, TEM, UV-vis, and FT-IR instruments are employed as part of the study. The average particle size in the characterisation was determined by the imaging program to be 10.471 nm. Additionally, the activity of AgNPs against *Klebsiella pneumoniae* was found to be 512 µg/ml in the antimicrobial activity tests carried out using the MIC method, which yields more sensitive results. The target enzyme for treating depression, the MAO-A enzyme, whose 2Z5X coding structure was derived from humans, was employed in docking research. The three dimensional structures of Isoquercitrin (-8.2 kcal/mol), Rutin (-9.3 kcal/mol), Fisetin (-8.2 kcal/mol), Chrysin (-9.4 kcal/mol), Quercetin (-10.6 kcal/mol), Naringenin (8.8 kcal/mol), Kaemferol (-10.8 kcal/mol) and Luteolin (-10.8 kcal/mol) were optimized in the Gaussian09 program using the DFT/B3LYP/6-31G(d,p) basis set. Then, binding energies of these structures were determined with the help of the AutoDock Vina software. Their binding energies have been shown to indicate that they possess the property of MAO-A inhibitors.
Keywords: AgNPs, Green synthesis, Docking, *Lactifluus bertillonii*, MAO-A enzyme

Lactifluus Bertillonii Mantarından Sentezlenen Gümüş Nano Partiküllerinin Karakterizasyonu, Antimikrobiyal Aktivitesinin Belirlenmesi Ve Moleküler Modelleme Yöntemi İle MAO-A Inhıbıtor Özelliklerinin İncelenmesi

ÖZET

Bu çalışma, minimum inhibitör konsantrasyon (MIC) yöntemi kullanılarak *Lactifluus bertillonii* mantarlarından yeşil, çevre dostu bir sentez işlemi kullanılarak üretilen AgNP'lerin antimikrobiyal aktivitesine odaklanmaktadır. Ayrıca mantar ekstraktında bulunan kimyasalların inhibitör özellikleri de belirlenmiştir. Çalışmanın bir parçası olarak SEM, TEM, UV-vis ve FT-IR cihazları kullanılmıştır. Karakterizasyondaki ortalama parçacık boyutu, görüntüleme programı tarafından partikül boyutu 10.471 nm olarak belirlendi. Ayrıca MIC yöntemi kullanılarak yapılan antimikrobiyal aktivite testlerinde AgNP'lerin *Klebsiella pneumoniae*'ye karşı aktivitesinin 512 µg/ml olması daha hassas sonuçlar vermektedir. Depresyon tedavisinde hedef enzim olan ve 2Z5X kodlama yapısı insanlardan türetilen MAO-A enzimi, kenetlenme araştırmasında kullanıldı. Isoquercitrin (-8,2 kcal/mol), Rutin (-9,3 kcal/mol), Fisetin (-8,2 kcal/mol), Chrysin (-9,4 kcal/mol), Quercetin (-10,6 kcal/mol), Naringenin (8,8 kcal/mol), Kaemferol (-10,8 kcal/mol) ve Luteolin (-10,8 kcal/mol) üç boyutlu yapıları, DFT/B3LYP/6-31G(d,p) temel seti kullanılarak Gaussian 09 programında optimize edildi. Daha sonra AutoDock Vina yazılımı yardımıyla bu yapıların bağlanma enerjileri belirlendi. Bağlanma enerjilerinin MAO-A inhibitörleri özelliğine sahip olduklarını gösterdiği gösterilmiştir.

Anahtar Kelimeler: *AgNP'ler, Yeşil sentez, Docking, Lactifluus Bertillonii, MAO-A enzimi*

I. INTRODUCTION

Nanotechnology refers to research done on the nanoscale that provides shape and dimensional controls for the synthesis, description, and implementation of structures [1]. The most active areas of study and research in materials science are those related to nanotechnology. Furthermore, there is a growing global need for the synthesis of nanostructures. Structures with novel or better properties are generated by accounting for the unique properties of nanoparticles in terms of size (roughly: 1-100 nm), shape, and structure [2–4].

The fact that nanostructures have these dimensions allows them to be integrated into many fields (such as nanoscience in the energy, optoelectronics, biomedicine and biotechnology sectors) [5]. However, due to the unique development process of this rapidly developing technology, it has received more attention in the last 10 years and has many more application areas [6] (Kurnaz Yetim et al.,2021(a),2022(b)).

Nanomaterials, which have many application areas in nature, can be synthesized either synthetically or naturally from naturally occurring plants or synthetic materials. Natural materials called naturally synthesized nanoparticles can be produced naturally in nanotechnology [7]. In addition, nanoparticles synthesized by natural methods can also be metal-based. The most demanded of these are AgNPs. AgNPs are inorganic structures with diameters varying between approximately (1-100 nm) [8], and their different physical, chemical and biological properties have been the subject of many studies [9-11].

Many plants are preferred in the synthesis of metal-based nature-friendly nanoparticles by natural methods. In this study, *Lactifluus bertillonii* mushroom was preferred. In summer and fall, *Lactifluus bertillonii (Neuhoff ex Z. Schaef.)* is found in broad-leaved forests next to Fagus sp. and infrequently *Quercus sp.* It typically grows on humus-rich soils, next to *Betula sp.* and *Castanea sp.* [12]. There are many literature studies on the identification and general characteristics of the species [13-15].

The verbeken *Gastrodia bertillonii*, which is the subject of the study, is available in several provinces of our country. These provinces include Hakkari [16], Sakarya [17], Karabük [18]. Yalova [17], Rize

[19], Trabzon [20] and Gümüşhane [21]. The Turkish name of the edible mushroom is Aksütlüce, according to the literature, it was determined by [22] in the Checklist of Mushrooms of Turkey book dated 2020.

In the literature research on this mushroom species, which is included in the checklist, such a study was needed because no antimicrobial or content studies have been conducted on this mushroom before in our country. In addition, this study was designed with economic and efficiency contributions in mind. The scope of the study included testing the antimicrobial activity of AgNP particles obtained by green synthesis against some microorganisms and docking studies of the compounds determined in the LC-MS-MS device of the mushroom extract. There are many metal supported nanoparticles in the literature. After AgNPs emerged from these particles, they opened the doors to many fields. These; AgNPs are used for targeted drug delivery [23], antimicrobial [24], anti-cancer [25], antituberculosis [24], [26], [27].

II. MATERIAL AND METHOD

MATERIAL

Silver nitrate (AgNO$_3$),ultra pure wateri,filter paper(125 mm) was purchased from Sigma–Aldrich with 99.5% purity.

CHARACTERIZATION OF THE SYNTHESIZED AGNPS

The characterization analyses of AgNPs were made with FT-IR, UV-vis, TEM SEM, and energy-dispersive X-ray spectroscopy (EDX) analyzer. In characterizations, FHitachi Regulus 8230 FE-SEM(10kV, X100) model device was used for FE-SEM and FESEM-EDX. We employed the Hitachi HT7800 type TEM apparatus in this characterization step. The imaging process was carried out at 200000X, 100kV of voltage. The FT-IR devices employed were the Agilent Cary 630 FT-IR and the PerkinElmer Spectrum Two (KBr) models. The Cary 60 UV-vis Spectrophotometer was used as a model instrument for spectroscopic investigations.

METHOD

A. STUDIES ON MUSHROOM EXTRACTS

Lactifluus bertillonii was taken, properly cleaned in pure water, and then incubated for one day at a low temperature (35°C) in an oven. Using a blender, samples of mushrooms were removed from the oven and finely diced. After that, the shredded mushrooms were put in a 250 ml conical flask with 100 ml of pure water, covered with aluminum foil, heated to between 100 and 105ºC for 20 minutes, and left to spin constantly in a magnetic stirrer. Following a 20-minute incubation period, the fungal sample in the conical flask was filtered through filter paper with a 0.22 mm pore size in a 250 ml conical flask that had been previously prepared. After the filtration process was complete, the filtrate was kept at +4ºC for further use [28].

B. SYNTHESIS OF AGNPS PARTICLES

In a 250 ml conical flask filled with pure water, 10 mM 100 ml AgNO$_3$ solution was made. The AgNO$_3$ solution was mixed with 80 ml of previously stored mushroom extract, thoroughly covered with aluminum foil, and stirred at 250 rpm for 13 hours at 25°C using a magnetic stirrer. The centrifugation procedure was then initiated. The process of washing involved pouring pure water to the centrifuge twice, followed by one addition of either methyl or ethyl alcohol (3000 rpm, 10 minutes). In order to

use it for characterizations, the solid sample was finally fully dried in an oven set at 60ºC for a full day. The creation of AgNPs is indicated by the reaction mixture turning gray in color [29], [30].

C. ANTIMICROBIAL ACTIVITY STUDIES

C. 1. Antimicrobial activity

Using the broth microdilution method, the Minimum Inhibitory Concentration (MIC) of NPs was ascertained in 96-well U-bottom microplates. Each well received 100 µL of Brain Heart Infusion Broth. By filling the wells with 100 µL of AgNPs at a concentration of 1024 µg/ml, a twofold serial dilution was created. The negative control did not receive any nanoparticle additions. The study employed standard strains of the following bacteria: *Escherichia coli (E. coli)* ATCC 25922, *Pseudomonas aureginosa* (*P. aureginosa*) ATCC 27853, *Klebsiella pneumoniae (K. pneumoniae)* ATCC 700603, and *Staphylococcus aureus (S. aureus)* ATCC 25923. Two subcultures of the -80°C stock of bacteria were used. Using a 0.9% NaCl solution, a bacterial suspension with a McFarland turbidity of 0.5 was created from the growing colonies and diluted 1:10. Five microliters of the diluted bacterial suspension were added to each well, with the exception of the last one. Sterility control measures were taken for the final well. For twenty-four hours, microplates were incubated at 37°C. MIC is the concentration at which no discernible growth happens [31].

Antimicrobial activity was observed against gram-positive and gram-negative standard strains (Table 3).

III. RESULTS AND DISCUSSION

A. Field-Emission Scanning Electron Microscopy (FE-SEM) and Energydispersive X-ray (EDX)

The characterisation imaging shows that AgNPs particles have a slightly spherical form, however the observed picture is lump-shaped rather than distributed. Furthermore, the EDX detector revealed that the Ag element was heavier than the other elements by weight % [32–34] (Fig. 1).
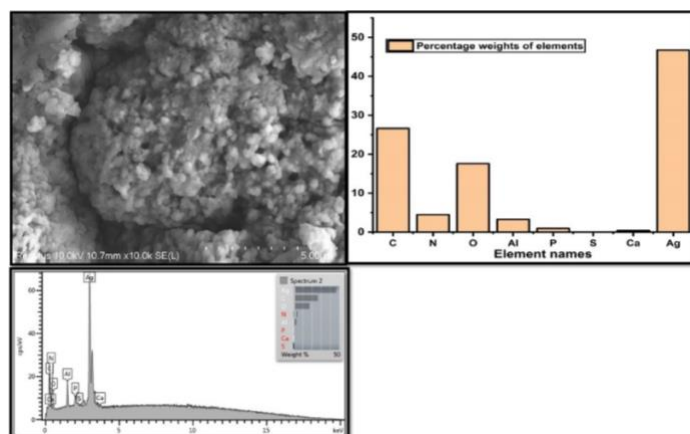
Figure 1. *Shows an image of AgNPs' FESEM and EDS results*

B. Transmission electron microscopy (TEM)

Both the imaging done with the TEM instrument and the particle size determination completed with the Image program yielded an average particle size of 7.12 nm. Furthermore, it was noted that the particles were generally spherical [32–34] (Fig. 2).
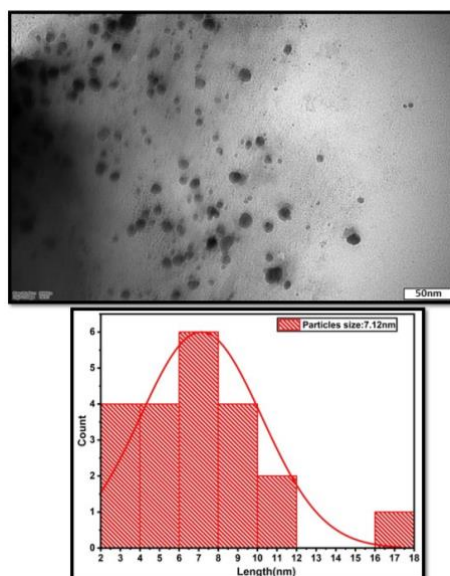
Figure 2. AgNPs TEM image and histogram of the size of particles

C. Fouirer Transform Infrared Spektrofotometre (FT-IR)

According to the spectra of the FT-IR device; the vibration band obtained at (3313 cm^{-1}) was associated with (OH) or (NH$_2$) groups, and the vibration band obtained at (1636 cm^{-1}) (C=O) was associated with carbonyl groups (extract). On the other hand, the vibration band obtained at (3292cm^{-1}) is associated with amine groups (NH$_2$), the vibration band obtained at (1582cm^{-1}) is associated with carbonyl groups (C=O), the vibration band obtained at (1394cm^{-1}) is associated with (C-H) groups, and the vibration band obtained at (1067cm^{-1}) is associated with carbonyl groups (C=O)(AgNPs). It is associated with AgNPs [32-35] (Karunakaran et al.,2017)(Fig. 3).
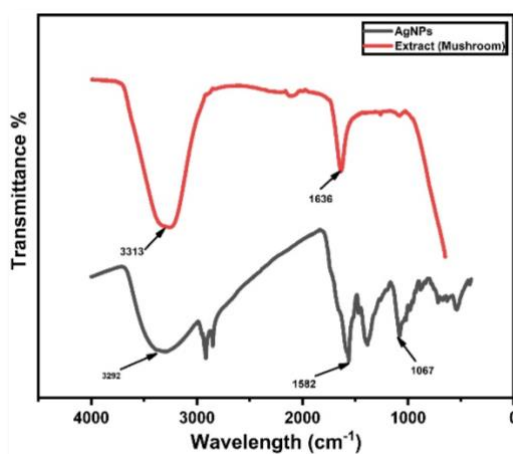
Figure 3. Image of FT-IR results of extract andAgNPs.

D. Ultraviolet–visible spectroscopy (UV-vis)

UV-vis spectroscopy is a crucial technique that is favored for assessing the stability and production of metal nanoparticles in aqueous solution [36]. The imaging done in Figure 4 using UV-vis is related to the AgNPs that were extracted from the mushroom extract. Partial parallels between AgNPs' and the extract's UV-vis spectra are observed in imaging. Nevertheless, AgNPs exhibit a single peak at 314 nm in adsorbance spectroscopy, in contrast to the *Lactifluus Bertillonii* mushroom extract [37] (Fig. 4).
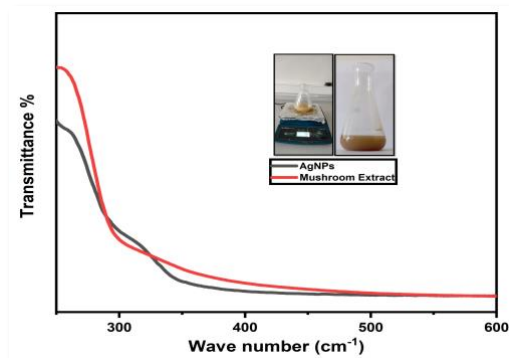
Figure 4. *Image of UV-vis spectra of AgNPs and extract.*

E. LC-MS/MS

LC-MS/MS (Agilent Technologies 1260 Infinity II, 6460 Triple Quad Mass spectrometer) was used to quantify the phenolics. The employed column was a Poroshell 120 SB-C18 (3.0 × 100 mm, I.D., 2.7 μm) [38]. Samples were taken in 2 ml Eppendorf flasks containing 50 mg. To dissolve them, one milliliter of methanol was added. One milliliter of hexane was added to the final mixture to carry out the extraction process. After that, it was centrifuged for ten minutes at 9,000 rpm. Following centrifugation, 100 µl of the methanol phase was removed, and 900 µl of water was added to 450 µl of methanol. The final step was performing LC-MS/MS analysis following a 0.25 filter. Injection Volume: 5.12 ml, Flow: 0.400 mL/min, Method time: 30.00 min, Temperature: 40.00°C (Table 1).

Table 1. *Operating conditions of the LC-MS-MS device*

	Time	**A**	**B**
1	3.00 min	75.0 %	25.0 %
2	12.00 min	50.0 %	50.0 %
3	16.00 min	10.0 %	90.0 %
4	21.00 min	10.0 %	90.0 %

Included are the spectra of the substances discovered during the LC-MS/MS device examination. Protocatechuic acid, gallic acid, and catechin were among the substances whose spectra matched (Fig. 5). In addition, the table lists the chemicals that were discovered during analysis on the LC-MS/MS instrument ((Table 2).
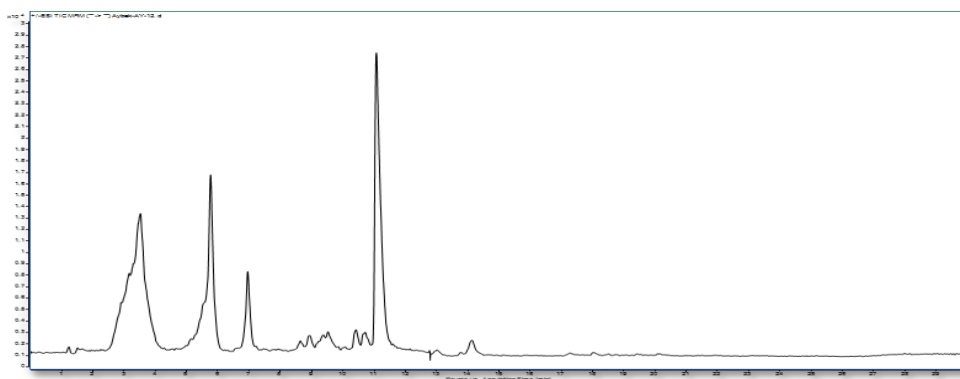
Figure 5. *Spectrum of the LC-MS-MS device.*

Table 2. *Compounds determined as a result of analysis of mushroom extract in LC-MS-MS device*

Compound Names	RT	Amount(ng/ul)
Shikimic acid	1.4296333	0.341397988
Gallic acid	3.2915167	0.32041607
Protocatechuic acid	5.4591333	0.018076958
Catechin	6.8567667	ND
Chlorogenic acid	7.1928833	0.003179637
Hydroxybenzaldeyde	7.61065	0.001271725
Vanillic acid	7.5860333	0.043874544
Caffeic acid	7.5697167	0.001052569
Syringic acid	8.3043	0.045838089
Caffein	7.9188167	ND
Vanillin	8.2475667	0.002896645
o-coumaric acid	8.96295	0.009132779
Salicylic acid	9.5659333	0.015564528
Taxifolin	9.77195	ND
Polydatin	10.006167	ND
Resveratrol	10.038133	ND
trans-ferulic acid	9.6421	0.003842722
Sinapic acid	10.024917	0.003444458
Scutellarin	11.445183	3.01026E-05
p-coumaric acid	11.45035	0.001322248
Coumarin	11.4783	ND
Protocatehuic ethyl ester	11.331883	ND
Hesperidin	11.233083	ND
Isoquercitrin	11.272883	0.258642402
Rutin	12.148267	ND
Quarcetin-3-xyloside	12.715017	ND
Kaempferol-3-glucoside	13.535217	ND
Fisetin	13.5793	ND
Baicalin	13.695583	ND
Chrysin	14.2379	ND
Compound	RT	ND
trans-cinnamic acid	14.305933	ND
Quercetin	14.905533	ND
Naringenin	14.69595	ND
Hesperetin	15.78115	ND
Morin	15.8615	ND
Kaempferol	16.338033	ND
Baicalein	17.143367	ND
Luteolin	17.833367	ND
Biochanin A	17.901083	ND
Capcaicin	17.966817	ND
Dihydrocapcaicin	18.497117	ND
Diosgenin	23.5672	ND

F. Antimicrobial activity result

Table 3. *Antimicrobial activity results according to MIC method*

Mikroorganizma	AgNPs
Staphylococcus aureus	256 µg/ml
E. coli	128 µg/ml
Klebsiella pneumoniae	512 µg/ml
Pseudomonas aeruginosa	256 µg/ml

E. EXAMINATION OF MAO-A INHIBITOR PROPERTIES USING MOLECULAR MODELING METHOD

E. 1. MAO-A enzyme and depression

MAO-A enzyme plays a major role in psychiatric diseases and depression, which is a neurological disease. For this reason, MAO-A enzyme can be considered as a drug target in the treatment of depression. Inhibitors of the MAO-A enzyme block serotonin reactions. In addition, MAO-A inhibitors have the ability to block norepinephrine and dopamine reactions and therefore can be used in the treatment of depression. MAO inhibitors have been used as antidepressants for approximately 60 years [39]. Studies suggest that depression is caused by a reduction in the necessary amounts of dopamine, serotonin, and noradrenaline in the brain. Inhibiting the MAO-A enzyme may be one way to treat depression since it is believed that raising the amount of these neurotransmitter chemicals aids in treating the condition. MAO-A inhibitors are medications that function by utilizing this mechanism [40]. FAD and cysteine are covalently bound in the MAO-A enzyme. The outer mitochondrial membrane of the lungs, liver cells, platelets, intestinal mucosa, and serotonergic nerve terminals are also heavily linked to the MAO-A enzyme. The deamination reaction of biological amines like tyramine and neurotransmitters like noradrenaline, dopamine, and serotonin is brought on by the MAO-A enzyme. The FAD coenzyme and two of the water molecules are covalently bound. The reversible and irreversible interactions of drug candidates and pharmaceuticals with amino acids in the active site of the enzyme are largely influenced by water molecules present in the active site [41].

The reason for docking with MAO-A in this study was to understand the effects of the compounds or structural features that form the basis of the research on the MAO-A enzyme and to evaluate their potential therapeutic applications. At the same time, it is likely that this study will shed light on future studies aiming to combine structures that have antimicrobial effects with a compound or material that can potentially be used in different therapeutic areas.

The docking analysis of the molecular modeling procedure carried out in this study included the following steps:

Selection of MAO-A enzyme:
The Protein Data Bank database was utilized to evaluate MAO-A enzymes that are derived from humans. The 2Z5X coded MAO-A enzyme structure was chosen for the investigation because it had the best resolution value and was mutation-free. The AutoDock Vina Program's appropriateness for docking research has been proven, and it has been verified for human MAO-A Enzyme (considering those with RMSD values less than 2 A^0) [42].

Docking preparation of some of the flavonoid structures present in the *Lactifluus bertillonii* mushroom extract:

Relevant flavonoid structures (Isoquercitrin, Rutin, Fisetin, Chrysin, Quercetin, Naringenin, Kaemferol and Luteolin) discovered in the *Lactifluus bertillonii mushroom* extract were downloaded from the PUBCHEM website in .sdf format. In order to prepare these structures for docking procedures, first the .sdf structures were converted to .gjf format with Gaussview. As a next step, .gjf format files were opened with the Gaussview interface and geometry optimizations were made in the gas phase using Gaussian09 software in the 6-31G(d,p) basis set at DFT/B3LYP level[43].

Carrying Out Doking Validation Tasks:

Validation of the docking method was carried out by placing the ligands in a data set into the enzyme using different docking programs and examining the deviation of the resulting conformations from the conformation in the original X-ray structure.

Once the 2Z5X structure was selected, the FAD cofactor was not removed from the structure because it is covalently bound to the enzyme and functions in enzyme activity. However, the Harmine (HRM)

ligand was separated from the structure. In addition, Glycerol (GOL) and Dimethyl Phosphine Oxide (DCX) ligands in the structure are also removed from the structure because they are impurities resulting from crystallization for X-ray analysis.

has been removed. Finally, all water molecules except 7 water molecules in the active site, which play an important role in binding, were deleted. Validation of the docking method is carried out by removing the ligand in the enzyme in the X-ray structure and reinserting it into the same enzyme molecule with the help of the docking program and examining the deviation of the resulting conformations from the conformation in the reference structure. For validation in the study, the HRM ligand in the 2Z5X structure was used. Human MAO-A was reconstituted using the enzyme-extracted HRM ligand AutoDock Vina.

docking was done with enzyme. All conformations found as a result of validation were also examined using the ADT user interface program. Can occur in all conformations

Electrostatic interactions and hydrogen bonds were observed thanks to the program. Of the 7 possible conformations, the 1st conformation is the one that gives significant results and has the most appropriate RMSD value. The overlapping shape of the first two best conformations found and the HRM ligand taken as reference can be seen in Figure 6.
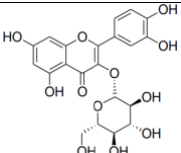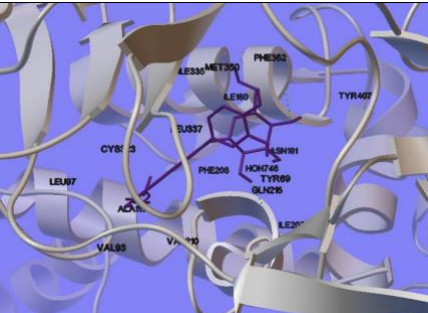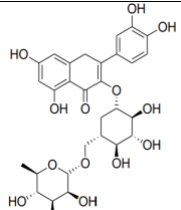
Figure 6. Validation Result (pink ligand reference, green ligand best RMSD ligand having value) RMSD= 0.89 A0

Carrying Out Doking Tasks:

Using the Autodock Vina user interface, Pdbqt files for the MAO-A enzyme and the pertinent flavonoid structures discovered in the *Lactifluus bertillonii* mushroom extract were created. A configuration file called config.txt was created in preparation for the docking process. It contained parameters that were defined as the Cartesian coordinates of the active region that needed to be docked and the area that covered the MAO-A enzyme. The grid coordinates in the config file are selected as 27x27x27. The only file used for docking procedures is the configuration file. With the aid of AutoDock Tools, the program's interface, the values in the configuration file and the MAO-A enzyme were maintained constant for every flavonoid under investigation during the docking calculations with AutoDock Vina. All flavonoids were computed using this file, and the binding energies of the chosen flavonoid structures were determined. Hydrogen bonds and other interactions, if any, were also analyzed in addition to binding energies (Table 4).

Table 4. *Binding energies, interactions and docking images of flavonoids after docking study*

Flavonoid Structure	Binding Energy (kcal/mol)	Hydrogen Bonding and Other Interactions	Images After Doking
İzokuersitrin	-8.2	Upon analyzing the docking results, it was seen that the isoquercitrin flavonoid's most appropriate conformation was entirely situated within the active site. Van der Walls also interacts with amino acids ASN181, ILE335, GLN215, PHE352, PHE208, TYR407, VAL93, TYR69, ILE180, LEU337, CYS323, VAL210, LEU97, MET350, ILE207, and ALA111 in addition to the water molecule HOH746 that is present in the active site pocket. interacts with, as observed. Additionally, two H bonds are formed by the conformation at the active site.	
Rutin	-9.3	The binding potential of rutin flavonoid was determined to be fairly good based on docking experiments. It has been noted that the active site amino acids HOH726 and HOH805 interact with the Rutin flavonoid in its most configuration. LEU337, ILE335, TYR407, VAL210, VAL93, PHE208, GLY322, ASN92, VAL91, CYS321, ALA111, TYR69, CYS323, LEU97, PHE352, GLY110, GLN215, MET350, and SER209 amino acids are also included. The Van der Waals interaction has been noted to exist with. The active site pocket contains the matching conformation. Four H bonds are formed by the conformation in the active site. There are also pi-pi interactions in the active site.	

Fisetin	-8.2	Upon examining the proper structure of fisetin flavonoid, docking experiments revealed that it interacted with the following amino acids in the active site: TYR444, TYR407, ILE180, GLN217, LEU337, PHE208, VAL210, ALA111, and ILE325. The appropriate conformation has been found to interact with the amino acids in the active site and is situated there.	
Krisin	-9.4	The Van der Waals contact between the conformation and the amino acids PHE352, ILE335, TYR407, ASN181, TYR444, TYR69, CYS 323, GLN215, and PHE208 in the active region was observed in the docking data. Furthermore, it was shown that the active area pocket contained the proper shape. In the active area, the conformation forms a single H bond. There are also pi-pi interactions in the active site.	
Kuersetin	-10.6	The docking results showed that the quercetin molecule interacted with the water molecules HOH746; HOH739; and HOH726 in the active site in the proper conformation. Moreover, amino acids GLN215, MET350, PHE352, ILE335, FAD600, ILE325, TYR444, CYS323, VAL210, TYR69, TYR407, PHE208, and LEU337—all of which are found in the active region—were also shown to interact Van der Waals. It was noted that the active region included one H bond formed by the appropriate conformation, which was positioned there.	
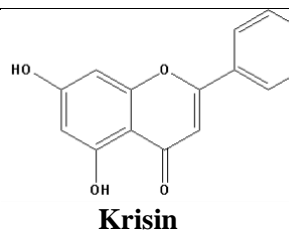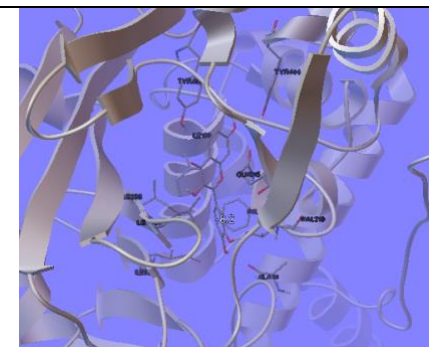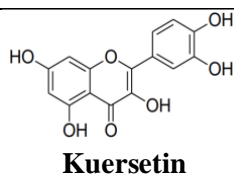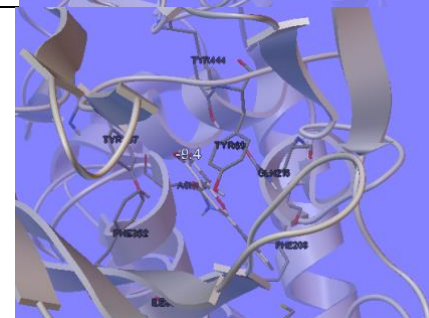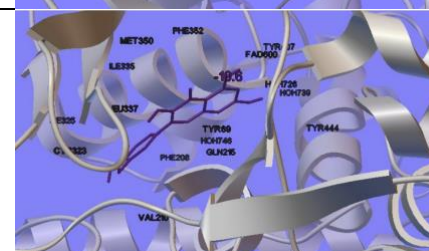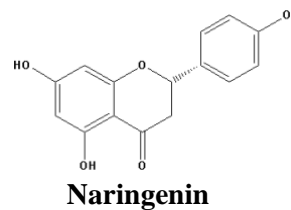
Naringenin	-8.8	Type A conformation's active site amino acids are TYR69, GLN215, TYR444, TYR407, PHE352, ASN181, CYS323, and ILE335. Furthermore, there was interaction with FAD600 as well. Examining the placement status reveals that the active region contains all of the Naringenin conformation, which interacts with the amino acids there through a Van der Waals interaction.	
Kaemferol	-10.8	Upon analyzing the docking results of the optimal conformation of kaemferol flavonoid, it was shown that hydrogen bonds were not formed within the active site. In the active region of the conformation, a van der Waals contact has been noted. The contact is caused by two water molecules (HOH726 and HOH746). PHE208, PHE352, ASN181, ILE325, TYR69, LEU337, TYR407, ILE180, TYR444, MET350, CYS323, GLN215, and ILE335 are the amino acids that are in charge of the interaction. There are also pi-pi interactions in the active site.	
Luteolin	-10.8	The van der Waals interactions were found to be caused by the water molecules HOH746, HOH739, and HOH726 when the conformation of luteolin in the active site was investigated. TYR444, TYR69, CYS323, LEU337, FAD600, VAL210, PHE352, ILE325, TYR407, GLN215, PHE208, ILE335, and MET350 are the amino acids that are accountable for the same interaction. In the active site, the structure forms a single H bond. There are also pi-pi interactions in the active site.	
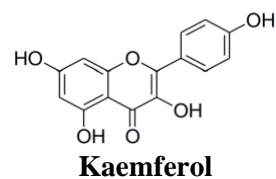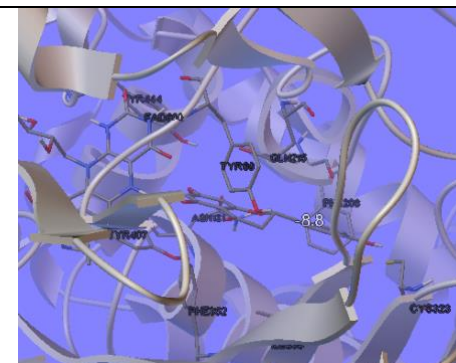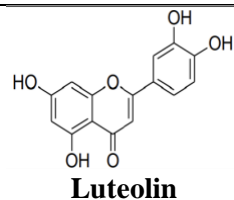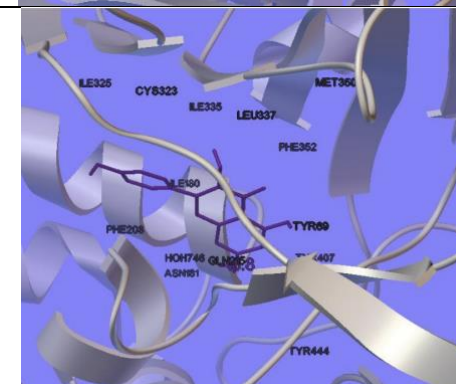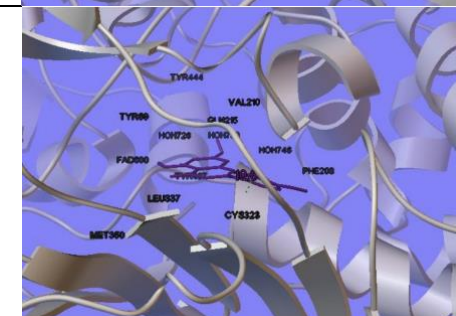
IV. CONCLUSION

Flavonoids;   It is a group of compounds known as the metabolite class, which attracts a lot of attention, creates excitement and has beneficial health benefits. It has been reported to have numerous essential biological properties, including anti-inflammatory, antibacterial, antiviral, antioxidant, and anti-cancer [44,45]. In this research, the type and amount of bioactive components in the extract of the preferred mushroom Lactifluus Bertillonii were determined. In the content analysis, gallic acid and shikimic acid were found to be the compounds with the highest concentration. Research has shown that flavonoids have biological activity in addition to their physiological roles in plants.

Docking studies were used in linked research to investigate the MAO-A enzyme inhibitory activities of various flavonoids in Lactifluus Bertillonii mushroom extract. Following docking tests, -8.2 kcal/mol to -10.8 kcal/mol for Isoquercitrin (-8.2 kcal/mol), Rutin (-9.3 kcal/mol) and Fisetin (-8.2 kcal/mol). Binding energies ranging from mol were determined. in essence. Flavonoids luteolin (-10.8 kcal/mol), kaemferol (-10.8 kcal/mol), naringenin (-8.8 kcal/mol), cherysin (-9.4 kcal/mol) via van der wall interactions and H bonds. mol) and quercetin (-9.4 kcal/mol) -10.6 kcal/mol) are located in the active site.

As a result of the study, we believe that a method has been developed that is economical and does not leave residues with side effects on the earth. In addition, since the fungal species is not widely reported in the literature and based on the characterization analysis, we think that the particle produced at the nanoscale will work in the same way with antibiotics and other drugs in pharmaceutical and other application areas. Furthermore,MAO-A enzyme docking study was carried out in order to obtain information about multiple targets as well as the antimicrobial effect. It was also evaluated whether Silver Nano Particles Synthesized from Lactifluus Bertillonii Mushroom would have neuroprotective or antidepressant properties. It is thought that the results will contribute to the field of multi-target drug design, which has attracted attention recently.

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modelleme+ve+deneysel+çalışmalar+ile+depresyon+tedavisinde+kullanılacak+yeni+mao-a+inhibitörlerinin+tasarlanması.+MS+thesis.+Fen+Bilimleri+Enstitüsü%2C+2016.&btnG=. [Accessed: 21-Feb-2024].

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Design and Control of Single-Phase Double-Stage PV-MPPT System

ⓘD Emre AVCI *

Department of Electrical-Electronics Engineering, Faculty of Engineering, Düzce University, Düzce, TURKEY
* Corresponding author's e-mail address: emreavci@duzce.edu.tr
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ABSTRACT

In the double-stage Photovoltaic-Maximum Power Point Tracking (PV-MPPT) systems, the performance of each stage and the MPPT algorithm may affect the system performance. This study gives the design and control of a single-phase double-stage PV-MPPT system with a cascade controller. For the DC-link voltage control, a classical PI controller is employed. However, double-line frequency harmonic emerges inherently in the DC-link voltage. This voltage harmonic causes a third harmonic in the injected grid current. Therefore, a proportional multi-resonant controller is used in the inner current loop controller to control the grid current and suppress the third harmonic. The designed system's steady-state and dynamic performance are tested under different PV power and sudden power changes. The simulation results show that the injected grid current is in phase with the grid voltage and has a low THD value. Also, the DC-link voltage is stable under even sudden power changes. The results prove the effectiveness of the designed system.

Keywords: PV, Photovoltaic, Double-stage, MPPT, Grid

Tek-Fazlı Çift-Aşamalı FV-MGNT Sisteminin Tasarımı ve Kontrolü

ÖZET

Çift aşamalı Fotovoltaik-Maksimum Güç Noktası Takip (FV-MGNT) sistemlerinde her aşamanın ve MGNT algoritmasının performansı sistem performansını etkileyebilmektedir. Bu çalışma kaskat kontrolcülü tek-fazlı çift-aşamalı FV-MGNT sisteminin tasarım ve kontrolünü sunmaktadır. Dc bara gerilimi için klasik bir PI kontrolcüsüne yer verilmiş. Fakat DC bara geriliminde şebeke frekansının iki katı büyüklüğünde bir gerilim harmoniği doğal olarak ortaya çıkar. Bu nedenle, şebeke akımını kontrol etmek ve üçüncü harmoniği bastırmak için iç akım döngüsünde oransal çoklu rezonans kontrolörü kullanılmıştır. Tasarlanan sistemin kararlı durum ve dinamik performansı, farklı FV gücü ve ani güç değişimleri altında test edilmiştir. Simülasyon sonuçları, şebeke basılan akımının şebeke gerilimi ile aynı fazda olduğunu ve düşük bir THD değerine sahip olduğunu göstermektedir. Ayrıca DC bara gerilimi ani güç değişimlerinde kararlı kalmıştır. Sonuçlar tasarlanan sistemin etkinliğini kanıtlamaktadır.

Anahtar Kelimeler: FV, Fotovoltaik, Çift-Aşamalı, MGNT, Şebeke

I. INTRODUCTION

The global adoption of photovoltaic (PV) systems has witnessed remarkable growth over the past decade, spurred by increasing environmental concerns and the pursuit of sustainable energy solutions [1,2]. According to the International Energy Agency (IEG), the cumulative installed solar power capacity reached 1185 gigawatts (GW) in 2019. [3]. Government agencies frequently release forecasts for solar expansion, typically underestimating its growth. According to projections from the IEA, by 2050, solar PV capacity is expected to soar to 4.7 terawatts (4,674 GW) in its high-renewable scenario. With more than half of this capacity expected to be installed in China and India, solar power is anticipated to become the primary source of electricity worldwide [4]. This exponential expansion underscores the pivotal role of PV technology in the global energy landscape, with projections indicating a continued upward trajectory in installations in the foreseeable future[5].

As PV systems become increasingly prevalent in residential applications, the interest in single-phase grid-tied PV-MPPT systems is increasing [6]. Due to the low voltage output of the PV cells, double-stage current source grid-connected type topology is frequently utilized for a low-power output PV grid-connected inverter [7]. This topology consists of a PV array, a DC-DC boost converter, an inverter, and a filter between the grid and inverter. A Maximum Power Point Tracking (MPPT) algorithm extracts maximum power from the PV array. However, in the literature, the function of this algorithm in double-stage systems is achieved in two different methods, as shown in Fig.1 (a) and Fig.1 (b). In the former method, the boost converter controls DC-link voltage and the MPPT algorithm generates reference grid current amplitude (I^*). On the other hand, in the latter method, the output of the MPPT algorithm is duty cycle (d), which manipulates the boost converter to achieve the MPPT function. In both methods, it is expected from the inverter control stage that the injected grid current has a low Total Harmonic Distortion (THD) at unity power factor with high dynamic performance [8]. In [9], these two methods are compared, and it is clearly shown that although the DC-link voltage (v_{dc}) stability performance of the method in Fig.1 (a) is higher, the MPPT performance is lower than the other method in Fig. 1 (b).
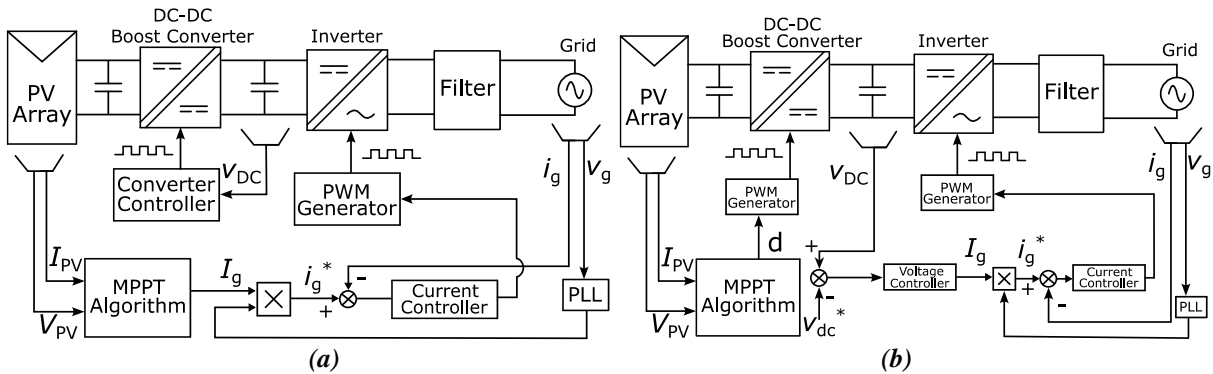
Figure 1. *Different control techniques of the two-stage single-phase PV-MPPT system.*

The energy-storage capacitor, known as the DC-link capacitor, is placed between these two stages, as depicted in Fig. 1. This capacitor is employed to support a stable DC-link voltage to the inverter filtering out the high-frequency harmonics from the DC-link. When the controller design for the voltage across this capacitor is done, two main problems should be considered for high-performance grid-tied single-phase PV-MPPT systems. The first is the inherent double grid frequency harmonic ($2w_1$) in the DC-link voltage, which causes the third harmonic content in the injected grid current. The second issue involves fluctuations in the DC-link voltage, mainly when there's a sudden change in PV power. This fluctuation should not exceed the rating of the system components. As a primitive solution, passive filtering can be applied using a large capacitance in the DC-link or between the PV array and the DC-DC converter. However, the larger capacitance causes an increasing size and cost of the system and reduces the dynamic and steady-state performance of the MPPT. Instead, more complicated passive filters can be employed, including more than one circuit element. Indeed, this also increases the size and cost of the system and makes it more complicated [10].

Typically, a cascaded controller technique controls both DC-link voltage and injected grid current. A Proportional-Integral (PI) controller is frequently used in the outer voltage loop control because the controlled variable is a DC signal. A PI controller with Clark/Park transformation can be implemented for the inner loop with zero steady-state error. Apart from these techniques, many different controller techniques for double-stage PV-MPPT systems can be found in the literature. In [11], adaptive, and in [12], an adjustable DC-link voltage controller is presented. In [13], a robust linear active disturbance rejection control technique is adopted for DC-link voltage control. In [14], the second harmonic in the bus voltage is eliminated by using cascade H-bride multilevel converter topology with instantaneous power control technique. Another work in [15] proposes a flying capacitor average voltage control for handling with the second harmonics. In [16], a high-frequency four-winding transformer is employed for a modular three-phase PV system to hold power balance and voltage oscillation.

Against this backdrop, this paper investigates the design and control aspects of single-phase double-stage PV-MPPT systems, focusing on addressing the evolving challenges posed by grid integration and power quality requirements. Leveraging insights from existing literature and empirical observations, the study aims to elucidate critical control methodologies, evaluate their efficacy in mitigating current distortion and harmonics, and propose novel strategies to enhance the performance and reliability of grid-connected PV systems.

By delving into the intricacies of system design and control, in this work, a single-phase double-stage grid-tied PV-MPPT system is designed with a double-loop cascade controller. A PI controller is employed to handle the second-order harmonics and voltage control of the DC link. For the inner current loop, a Proportional Multi Resonant (PMR) controller is selected for the pre-determined odd harmonics (e.g., 3rd and 5th) compensation to succeed in a high-performance MPPT system. The rest of the paper is organized as follows: in the next section, the modelling of each system stage is given. Section 3 provides the controller with the principle and design of the system. Section 4 shows detailed simulation results, and the work results are presented in the final section.

II. MODELLING OF THE SYSTEM

The system in this study is composed of the PV array, a boost-type DC-DC converter, an MPPT algorithm, an H-bridge 2-level single-phase inverter, and an LCL-type filter, as seen in Fig.2. In this section, the modelling of these parts of the system is detailed.
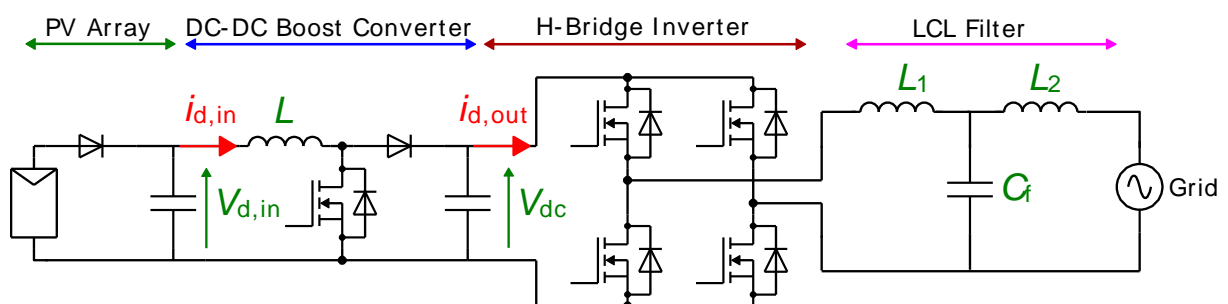
Figure 2. *Different control techniques of the two-stage single-phase PV-MPPT system.*

A. 1. PV Array Model

Photovoltaic (PV) systems, which convert sunlight into electrical power, play an essential role in sustainable energy solutions. The photovoltaic array is the heart of any PV system, comprised of linked solar panels such as Series-Parallel (SP). Each solar panel produces electrical energy reacting to incoming sunlight, resulting in a distinctive voltage-current (V-I) curve. The maximum power point on this curve represents the panel's peak efficiency. The Maximum Power Point Tracking (MPPT)

technique is critical for improving PV system efficiency. MPPT ensures that a solar panel runs at its maximum power point, optimizing energy gathering and improving overall system efficiency. This method continually analyses the PV array's electrical output and changes the operating point to guarantee that the system works at maximum power. The MPPT controller uses algorithms and control techniques to dynamically adjust to changing environmental factors, including sun irradiance and temperature.

To obtain appropriate voltage and power at the PV array output, the number of series (N_s) and the number of parallels (N_p) PV panels are configured. Within the single-diode model [17], the N_s x N_p configured PV array model is given in Fig.3. From the figure, the panel characteristic equation can be obtained as in Eq. 1, where I_{pv} and V_{pv} is the output current and voltage of the array, R_s and R_p is the equivalent series and shunt resistance, q is the electron charge, A is the diode quality factor and B is the Boltzmann constant.

$$I_{pv} = N_p I_{ph} - N_p I_D \left[\exp\left(q \frac{N_p V_{pv} + I_{pv} R_s N_s}{R_p B N_s A} \right) - 1 \right] - \frac{N_s I_{pv} R_s + N_p V_{pv}}{N_s R_p} \tag{1}$$
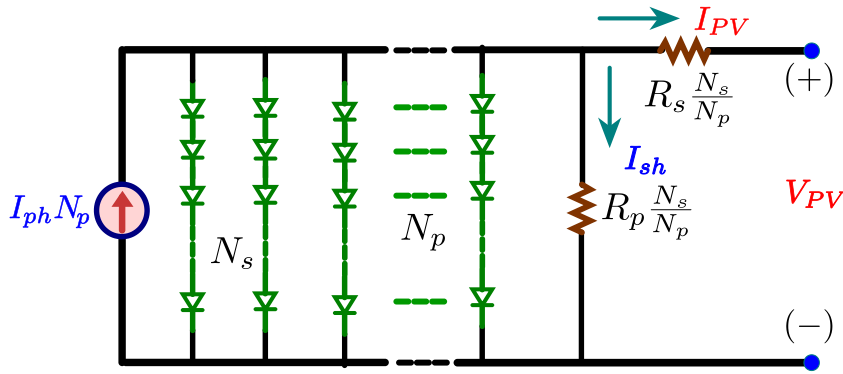
Figure 3. *Single diode model of N_s x N_p configured PV array.*

In this work, a *4x4* series-parallel configured array is created using a PV panel, whose parameters are listed in Table 1. The reference temperature of the panels is 25 C^0, and the irradiation is 1000 W/m^2.

Table 1. *Parameters of the employed PV panel.*

Parameter	Value
Maximum Power (P_{max})	215 W
Voltage at P_{max}	26.6 V
Current at P_{max}	8.09 A
Short-Circuit Current	8.78 A
Open Circuit Voltage	33.2 V

A. 2. DC-DC Converter Model

In the first stage of the system, a boost-type DC-DC converter is employed to arrange the PV array output voltage and power for the maximum power tracking and the second stage converter (inverter). As seen in Fig. 2, the output voltage of the PV array is filtred with C_{pv} capacitor. This voltage is the converter's input voltage, composed of a semiconductor switch, diode, and inductance. The relationship between the input and output of this converter in Continuous Conduction Mode (CCM) is given in Eq. 2, where $V_{d,in}$ and $I_{d,in}$ is the input voltage and current, $V_{d,out}$ and $I_{d,out}$ is the output voltage and current of the converter, d is the duty ratio of the PWM signal. The inductance value of the converter (*L*) can be

determined with Eq. (3), where ΔI_L is the current ripple of the inductance, f_{sw} is the switching frequency. To guarantee the CCM operation, Eq. 5, where I_{LB} the boundary current of the inductance, is also considered for the inductance value. When PV array power decreases with the changing environmental conditions, such as irradiation level, the boost converter can not guarantee the CCM operation. Therefore, this inductance value is critical for the system's performance. The converter parameters are designed with the given equations as in Table 2.

$$\frac{I_{d,in}}{I_{d,out}} = \frac{V_{d,out}}{V_{d,in}} = \frac{1}{1-d} \tag{2}$$

$$L = \frac{V_{d,in} \times (V_{d,out} - V_{d,in})}{\Delta I_L \times f_{sw} \times V_{d,out}} \tag{3}$$

$$\Delta I_L = \frac{d \times V_{d,in(min)}}{f_{sw} \times L} \tag{4}$$

$$I_{LB} = \frac{V_{d,out}}{2L \times f_{sw}} d(1-d) \tag{5}$$

A. 3. Grid-Tied Inverter Model with LCL Filter

At the output of the DC-DC converter, the DC-link power is transferred into the grid via an inverter meeting specific requirements and performances. Being an interface between the grid and inverter, the filter type is typically selected as a high-order LCL type because it provides sufficient performance, a simple design, and a smaller size. This study uses an H-bridge single-phase inverter with an LCL-type filter. Most conventional methods to design the filter parameters start with selecting the inverter side filter inductance (L_1). Therefore, Eq. (6) is employed for choosing the L_1 inductance, where V_g is the grid nominal voltage, P_r is the rated power of the converter, $I_{L1,ripple}$ is the current ripple of the L_1. The sizing of the filter capacitor (C_f) is mainly determined according to the reactive power percentage ($\%Q_r$) supplied by the converter as in Eq. 7, where f_1 is the fundamental harmonic frequency of the grid. For a stable operation, the filter's resonance frequency (f_r), formulated in Eq.8, should be carefully designed. To provide this, the criteria $10f_1 < f_r < f_{sw}/2$ is adopted and used to size the grid side inductance (L_2) [18,19]. Designed with this information, the LCL filter parameters can be found in Table 2.

$$L_1 = \frac{V_{DC} \times V_g}{8 \times P_r \times f_{sw} \times \%I_{L1,ripple}} \tag{6}$$

$$C_f = \frac{\%Q_r}{2 \times \pi \times f_1 \times V_g^2} \tag{7}$$

$$f_r = \frac{1}{2\pi} \sqrt{\frac{L_1 + L_2}{L_1 L_2 C_f}} \tag{8}$$

Table 2. Parameters of the employed PV panel.

Parameter	Value
Inductance of the converter (L)	215 W
Capacitor of the converter (C)	26.6 V
Inverter-side inductance of the filter (L_1)	8.09 A
Grid-side inductance of the filter (L_2)	8.78 A
Capacitor of the converter (C_f)	33.2 V

III. CONTROLLER PRINCIPLE AND DESIGN

The proposed work achieves the MPPT strategy with the Perturb and Observer (P&O) algorithm with a fixed-step strategy and double-stage hardware configuration. The first stage of the system is a boost-type DC-DC converter controlled with the MPPT algorithm. The algorithm uses the measured array voltage (V_{pv}) and current (i_{pv}) to calculate the duty cycle (d) for the DC-DC converter by perturbing duty with a fixed step. With this, the MPPT function is achieved in the first stage. The second stage inverter achieves the DC link voltage control and grid synchronization with the double loop control strategy given in Fig. 4.
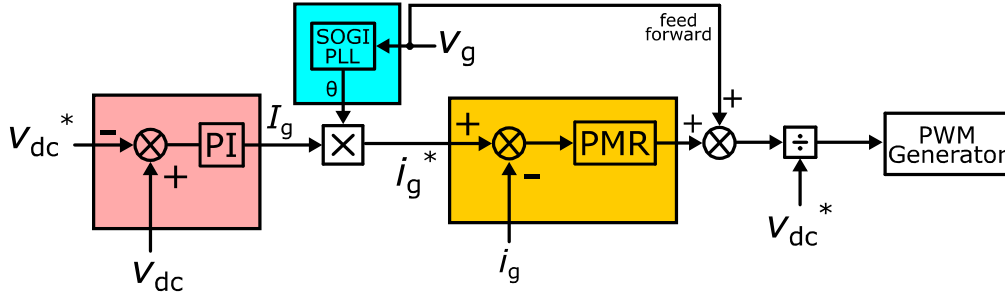
Figure 4. *Double-loop proposed control strategy of the system.*

It is aimed at the outer voltage loop that controls the DC-link voltage and stabilizes the vicinity of the reference DC voltage (v_{dc}^*). An increase in the DC link voltage is decreased by increasing the grid current reference amplitude (I_g) and vice versa. To do this, the measured DC bus voltage (v_{dc}) is subtracted from the reference voltage (v_{dc}^*). Then, the employed PI controller, whose transfer function ($G_{PI}(s)$) is given in Eq. 9, calculates the grid current reference amplitude (I_g). This process should balance power between the DC and AC sides of the system. However, because of the inherent characteristic of the single-phase system, a second harmonic ($2f_1$) appears on the DC bus voltage. This causes a third harmonic in the injected grid current [20]. This can be shown in Fig. 5, where Fast Fourier Transform (FFT) analysis of a double-stage single-phase PV-MPPT system's DC bus voltage and grid current is given. Therefore, this work uses the Proportional Resonant (PR) with the third and fifth harmonic compensators, called the Proportional Multi Resonant (PMR) controller. In Eq. 10 and 11, the PR and PMR controller transfer functions are given, respectively, where k_{pr} is the proportional part of the controller, w_c is the cut-off frequency, and h indicates harmonic order. As shown in Fig. 4, the grid voltage feed-forward term is also employed to increase system steady-state error.

$$G_{PI}(s) = k_p + \frac{k_i}{s} \tag{9}$$

$$G_{PR}(s) = k_{pr} + \frac{k_{i1}w_{c1}s}{s^2 + 2w_{c1}s + w_1^2} \tag{10}$$

$$G_{PMR}(s) = k_{pr} + \sum_{h=1}^{\infty} \left(\frac{k_{ih}w_{ch}s}{s^2 + 2w_{ch}s + w_h^2} \right) \tag{11}$$
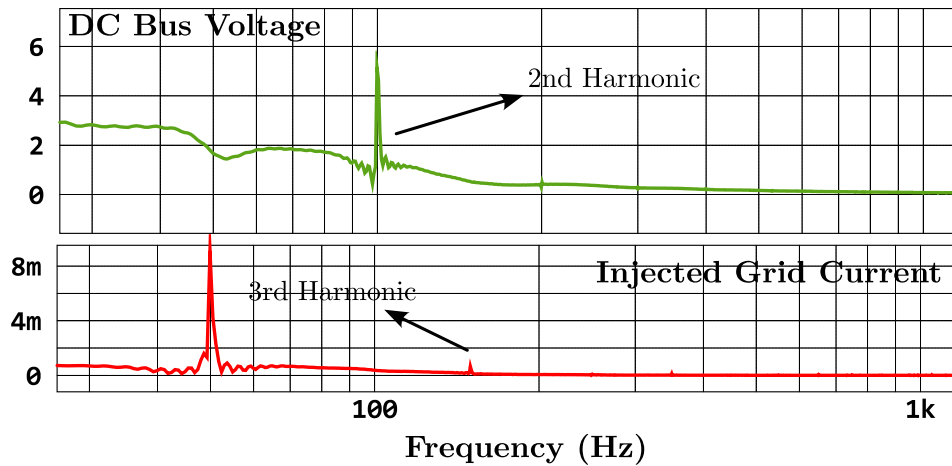
Figure 5. *FFT analysis of the DC bus voltage and grid current.*

The methods proposed in [21-23] are adopted to determine the parameters of the PMR-based inner loop current controller. For the design criteria of the controller, the phase and gain margins are selected as a minimum of 30 degrees and 2 dB, respectively. For the outer voltage loop controller design, the PSIM software-based trial-error method is used. The parameters of the designed controller are given in Table 3.

Table 3. *Parameters of the designed controller.*

Parameter	Value
Proportional part of the PI controller (k_p)	0.1
Integrator part of the PI controller (k_i)	10
Proportional part of the PMR controller (k_{pr})	10
Integrator part of the PMR controller ($k_{i1,3}$)	4000, 2000
Grid base frequency (w_1)	50 Hz
Natural Frequency of the PMR controller ($w_{c1,3}$)	2, 0.1

III. RESULTS

To demonstrate the effectiveness and performance of the designed 3.4 kW system, a double-stage single-phase PV-MPPT system has been built in PSIM simulation software as shown in Fig. 6. In the simulation step, the parameter settings of the program are as follows: Solver type is Fixed-step, the time step is 1e-6, and the sampling frequency is 20 kHz. The PV array and the hardware specifications are listed in Table 1 and Table 2, respectively.
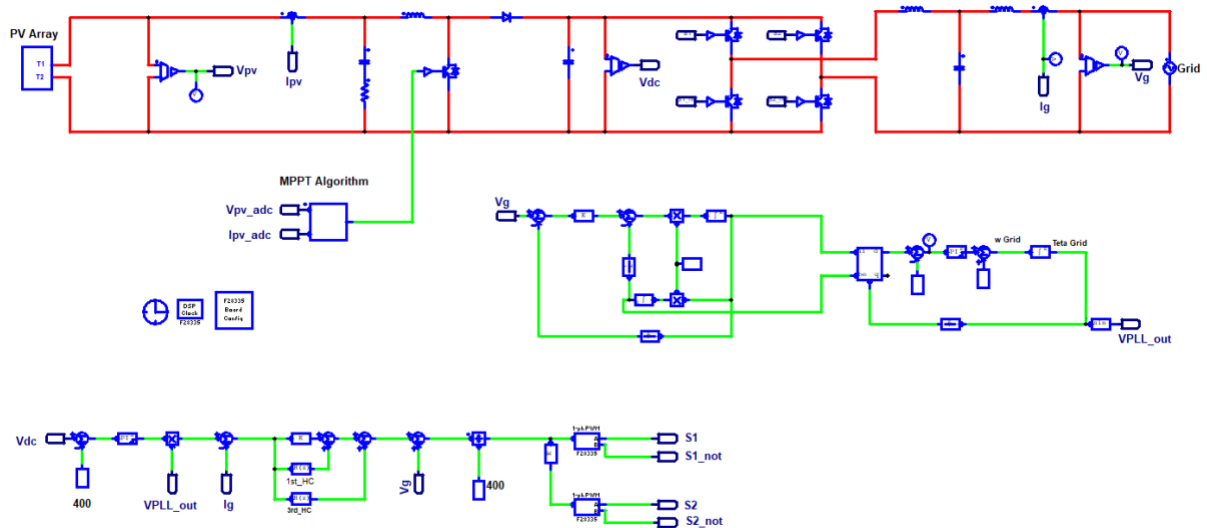
Figure 6. *Simulated system model.*

The first set of simulations is conducted under 1000 W/m^2 irradiation for the PV array, representing the rated power work. Fig. 7.a presents the grid voltage and scaled injected grid current (magnified 10 times) as the steady state. The figure shows that the injected grid current is in phase with grid voltage with almost unity power factor (0.9965). The Fast Fourier Transform analysis of the grid current can be seen in Fig.7.b with only the fundamental resonant (only PR) current controller. Fig. 7.b shows that the harmonic content of the grid current is composed of the third harmonic, which should be suppressed by the third harmonic resonant controller. The grid current has 5.71% Total Harmonic Distortion (THD) with this form.

| (a) | (b) |
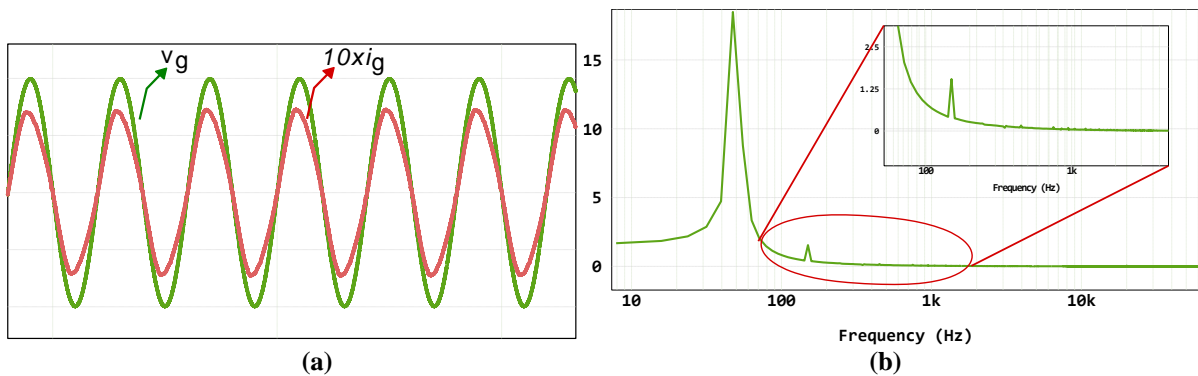
Figure 7. *(a) grid voltage and current (volt/div: 311V, time/div:0.25sec) (b) FFT analysis of the grid current with only fundamental resonant controller.*

With the third harmonic resonant, the grid current and DC-link voltage waveforms are given in Fig.8.a and Fig.8.b under the rated power (1000 W/m^2 irradiation), respectively. As can be seen there, the DC-link voltage has a 27V peak-to-peak fluctuation value because of the second harmonic in the voltage. The THD value of the grid current decreases to a 3.2% level, which exhibits the third harmonic resonant controller effect.
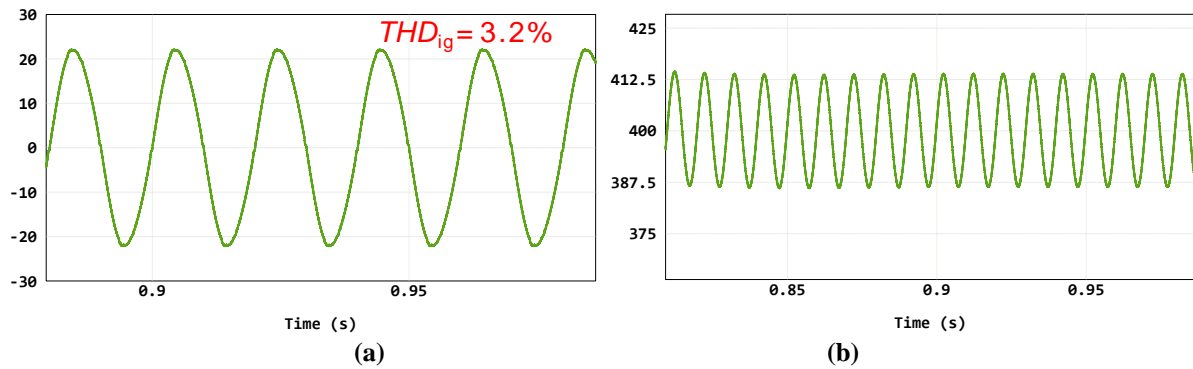
Figure 8. *(**a**) grid current (current/div: 10A, time/div:0.05sec) and (**b**) DC-link voltage (volt/div=12.5V, time/div:0.05sec) with the first and third harmonic resonant controller under the rated power.*

To test the dynamic performance of the system, the power of the system is decreased to half and then increased to the full rated power. For this reason, the PV array is first exposed to the 1000 W/m^2 irradiation, then changed to 500 W/m^2 and 1000 W/m^2. In Fig.9.a and Fig.8.9, the DC-link voltage and grid current waveforms are given under changing power levels. As seen from Fig.9.a, the magnitude of the second harmonic in the DC-link voltage rises as the power increases. The DC-link voltage follows the reference 400 V. On the other hand, as seen in Fig.9.b, the power increase causes a decrease in the THD value of the grid current. Therefore, in Fig. 10.a and Fig. 10.b, the peak-to-peak voltage of the DC-link and the THD value of the grid current graphs are given, respectively, with respect to changing power levels.
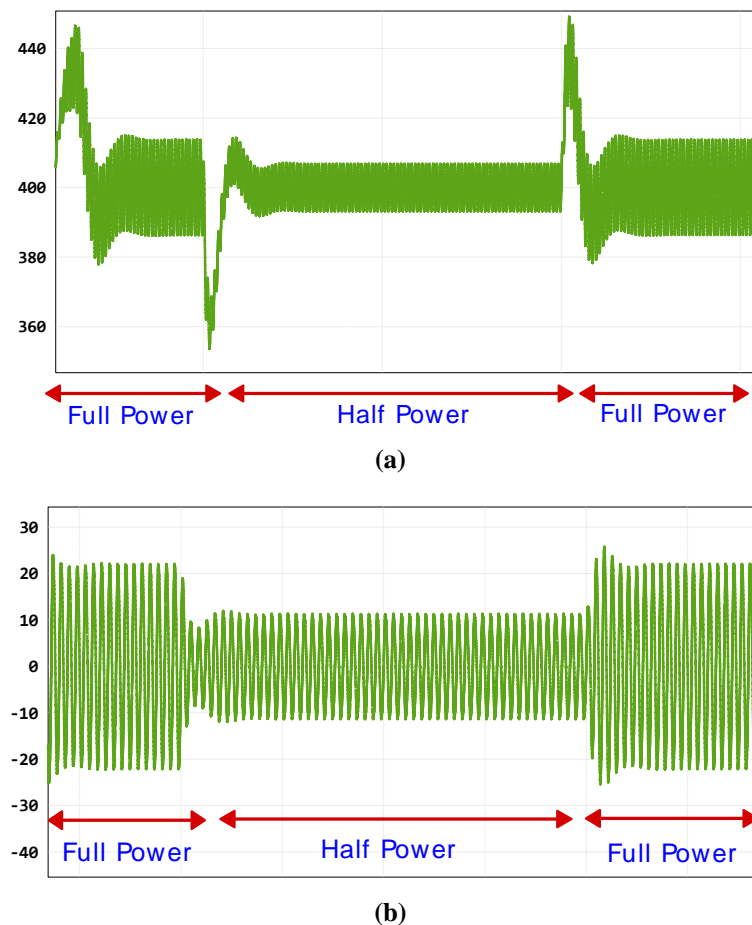
Figure 9. *Dynamic system performance (**a**) DC-link voltage and (**b**) grid current with changing PV power level.*

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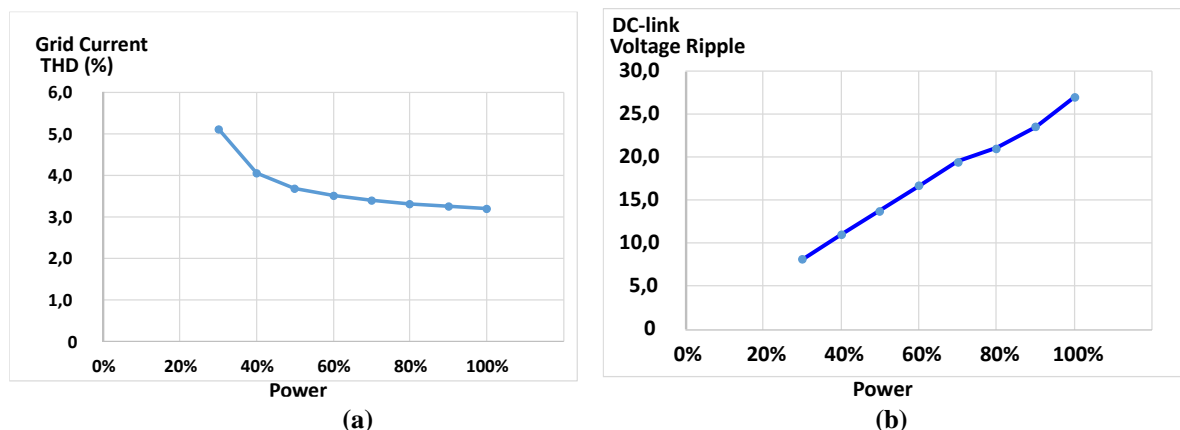
Figure 10. (**a**) grid current THD and (**b**) DC-link peak-to-peak voltage oscillation under different power levels.

IV. CONCLUSION

This article presents the controller design of the double-stage single-phase PV-MPPT system. The employed cascade (double-loop) control strategy includes DC-link voltage and grid current control. In the out loop, a simple PI controller is used. The third harmonic in the grid current caused by the double line frequency harmonics in the DC-link voltage is suppressed with the PMR controller. The simulation results confirm that the generated PV power is injected into the grid with a unity power factor and fulfills the high-performance criteria. In future work, it can be done that the DC-link voltage oscillations and grid current harmonics are reduced to a low level, even at low operating powers.

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Düzce Üniversitesi
Bilim ve Teknoloji Dergisi

Araştırma Makalesi

Tarihi Kentlerde Mekanın Üretim Sürecinin Değerlendirilmesi

S. Merve KORKMAZ [a,*], Ruşen YAMAÇLI [b]

[a] *Mimarlık Bölümü, Safranbolu Başak Cengiz Mimarlık Fakültesi, Karabük Üniversitesi, Karabük, TÜRKİYE*
[b] *Mimarlık Bölümü, Mimarlık ve Tasarım Fakültesi, Eskişehir Teknik Üniversitesi, Eskişehir, TÜRKİYE*
* *Sorumlu yazarın e-posta adresi: smozturk@karabuk.edu.tr*
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ÖZET

Tarihi merkezler, kentlerin fiziksel, sosyokültürel ve ekonomik alanda özgün değerlerini içeren oluşumlardır. Şehirlerin stratejik gelişimi doğrultusunda kent kimliğine katkıları nedeniyle büyük önem taşırlar. Tarihi kentler yalnızca miras yoluyla kentlerin kimliklerini oluşturmakla kalmaz, aynı zamanda içerdikleri turizm ve pazarlama potansiyeliyle birlikte kentler için önemli bir ekonomik kaynak olarak görülürler. Çalışmada, tarihi kentlerin küreselleşme etkisiyle birlikte varoluş anlamlarını kaybetme tehlikesine ve bu dönüşüm sürecinin etkilerinin engellenmesi yolundaki sorgulamalara odaklanılmıştır. Bu bağlamda, tarihi çevrede üretim ilişkilerindeki değişimin mekana yansımaları incelenmiş ve kentlerin sürdürülebilirliğinin sağlanması fikrine tezat oluşturan tüketim odaklı kullanımın farklı boyutları değerlendirilmiştir. Tarihi kentlerin küreselleşme etkisindeki kaçınılmaz dönüşümü kabul edilerek, bu dönüşümün yaratıcı ve sürdürülebilir şekilde kontrolünün sağlanabilmesi için gereken temel yaklaşımlar ortaya konulmaya çalışılmıştır.

Anahtar Kelimeler: Tarihi kent, Sürdürülebilirlik, Mekân Üretimi, Tüketim.

Evaluation of the Production Process of the Space in Historical Cities

ABSTRACT

Historical centers are formations that contain the original values of cities in the physical, socio-cultural and economic fields. They are of great importance due to their contribution to the urban identity in line with the strategic development of cities. Historical cities not only form the identities of cities through heritage, but are also seen as an important economic resource for cities with their tourism and marketing potential. The study focuses on the hazard of historical cities losing their meaning of existence with the effect of globalization and the questioning of preventing the effects of this transformation process. In this context, the reflections of the change in the production relations in the historical environment on the space were examined and the different dimensions

of consumption-oriented use, which contrasted with the idea of ensuring the sustainability of the cities, were evaluated. By accepting the inevitable transformation of historical cities under the influence of globalization, the basic approaches necessary to ensure the creative and sustainable control of this transformation have been tried to be put forward.

Keywords: Historical City, Sustainability, Production of Space, Consumption.

I. GİRİŞ

Geleneksel yerleşimler tarihi süreç içinde kullanıcıların toplumsal ilişkileri, gündelik yaşam deneyimleri ve pratikleri yoluyla oluşmuş, kentin özgün değerlerini içeren alanlardır. Bu yerleşimler toplumların kendi içlerinde, birbirleriyle ve doğayla kurdukları iletişim doğrultusunda biriken bilginin somut halidir. Toplumsal ilişkiler içinde mekan, toplumsal bir ürün olarak var olmaktadır.

Geleneksel üretim sürecinde üretim ilişkileri mekanda gerçekleşmekte ve mekan, üretim ve toplumsal ilişkilerin sürdürülebilirliği doğrultusunda kullanılmaktaydı. Günümüzde ise kapitalist üretim tarzının ve ilişkilerinin içindeki yeni üretim güçlerinin yayılması söz konusudur. Kapitalizmin etkilerinin hissedildiği 18. yüzyıldan itibaren toplumsal olgular olan mekan ve zamanın nicelleşmeye başlamasıyla çizgisel, geri dönüşü olmayan, homojen bir zaman ve buna paralel olarak homojen, içi boşaltılmış, edilgen ve soyut bir mekan ortaya çıkmıştır [1]. Zaman ve mekanın niteliklerinde meydana gelen değişimlerle birlikte mekana ulaşımdaki engeller azalmış ve dünya mekanlarının neler içerdiğine çok daha duyarlı hale gelinmiştir [2]. Gelinen noktada mekan sermaye, göçmen ve turistler açısından ilgi çekecek biçimde dönüşüm geçirmeye zorlanmış [3], tarihi kentlere olan bakış açısı da bu değişimlerden etkilenmiştir. Kapitalizmin gelişimi ve küreselleşme sürecinde özgün işlevlerini kaybeden tarihi kentler, ekonomik kalkınma kaygısı altında ağırlıklı olarak turizm hizmetinin verildiği alanlara dönüşmeye başlamıştır. Hakim olan ideolojinin tüketim olması, tarihi kentlerin özgün kimliklerinin ve somut mirasının yanında sosyokültürel mirasının korunmasında tehdit unsuru oluşturmaya başlamıştır.

Turizm ve kültürel miras ayrılmaz bir parçanın bütünleridir. Küreselleşmenin getirdiği bir sonuç olarak turizm endüstrisi, tarihi mekanları teorik olarak incelenebilecek tüketim yerlerine dönüştürmektedir. Tüketimin merkezleri haline gelen kentlerde kültürel kimlikler, baskın tüketim kültürü karşısında yok olma tehlikesi yaşamaktadır. Bu bölgelerdeki kent yaşantısı, toplum ilişkileri ve iş kolları geleneksel halinden uzaklaşarak kapitalist ekonominin üretim anlayışı içinde yeniden kurulmaktadır. Toplumsal ilişkilerin ürünü olan mekanlar da en başta görsel tüketimin gerçekleştiği turistik yerler olarak sürece katılmaktadır. Koruma alanında gerçekleştirilen birtakım duyarlı çalışmalar ise yerel halkın katılımı düşünülmeksizin somut miras üzerine odaklanmaktadır. Yapılan çalışmalar sonucunda rekabet koşulları gereğince, bölgelerin özgün değerleri tüketim sistemin sömürüsüne maruz kalmaktadır.

Tarihi çevrelerin sürdürülebilirliğine yönelik çalışmalar, bölgelerin somut ve soyut mirasının ortaya çıkarılmasını, korunmasını ve günümüzde yer edinmesini amaçlayan bakış açısıyla geliştirilmiş önerileri kapsamaktadır. Ancak, turizm temelli kalkınma anlayışının neden olduğu kültürel yozlaşmanın, kentin sürdürülebilirliğine olan etkisine yönelik kaygılar devam etmektedir. Bu anlamda çalışmada, tarihi çevrede üretim ilişkilerindeki değişimin mekana yansımaları incelenmiş, kentlerin sürdürülebilirliğinin sağlanması fikrine tezat oluşturan tüketim odaklı turizme dayalı kullanımın farklı boyutları değerlendirilmiştir. Tarihi kentlerde koruma uygulamaların geliştirilmesi ve değişen koşullara tepki olarak sürdürülebilir ve yaratıcı dönüşümler için yapılan araştırmalar incelenmiş ve genel bir çerçeve sunulmuştur.

II. ÜRETİM KAVRAMI VE TOPLUMSAL MEKAN

Mekan kavramı mimarlık, coğrafya, sosyoloji ve felsefe gibi birçok alanda ele alınmaktadır. Mekanın algısal, biçimsel, toplumsal, ideolojik ve ekonomik nitelikleri ve bunlarla oluşturduğu ilişkiler ağı araştırma konularından bazılarıdır. Mekanı, geometrik bir soyutlama, boş bir çevre olarak algılayan geleneksel bakışın ötesinde değerlendiren Lefebvre [4]'e göre mekan, toplumsal ilişkilerin bir ürünüdür. Mekan kavramı, zihinsel olanla kültürel olanı, toplumsal olanla tarihsel olanı birleştirerek karmaşık bir süreç oluşturmaktadır (Şekil 1).

Şekil 1. *Mekânın farklı tanımları*

Üretim kavramını daha geniş ve güçlü bir çerçeveden ele alan Lefebvre [5], kavramın iki ayrı boyutundan bahseder. Üretim, bir yandan toplumsal zaman ve mekan da dahil olmak üzere yapıtların yaratılmasını yani tinsel dışavurumu; diğer yandan maddi üretimi, şeylerin imalini ifade etmektedir. Aynı zamanda toplumsal ilişkilerin üretiminin de dahil olduğu insanın kendi kendini üretmesini içermektedir. Son olarak tüm genişliği ile bu kavram yeniden üretimi kapsamaktadır. Burada hem biyolojik açıdan bir yeniden üretim/üreme hem de üretim için gerekli aletlerin, araçların ve yöntemlerin maddi anlamda yeniden üretimi, dahası toplumsal ilişkilerin de yeniden üretimi söz konusudur. Bu üretimin gerçek merkezi gündelik hayattır, üretim kavramının asıl anlamı ise insanın kendi hayatının üretilmesidir.

Lefebvre [4]'e göre, kent hakkında düşünmeye başlamadan önce kentin işgal ettiği veya sahip çıktığı mekanın düşünülmesi gerekmektedir. Modern şehir yapıt olarak değil öncelikle ürün olarak değerlendirilmelidir. Mekanın toplumsal bir ürün olarak kavranışı, üretim, ürün ve bunlar arasındaki ilişkiler bütününün derinleştirilmesini gerektirmektedir. Düşünür, mekânsal ve toplumsal olanı, bir parçanın bütünleri olarak diyalektik bir yaklaşım içinde değerlendirmektedir. Mekan, pasif, boş bir şey olarak veya ürün gibi karşılıklı mübadele yoluyla tüketilerek yok olmaktan başka anlama sahip olmayan bir şey gibi düşünülmemelidir. Bir ürün olarak mekan diyalektikleşerek etki ya da tepki yoluyla bizzat üretime müdahale eder. Bu anlamda hem ürün hem üretici olan mekan, ekonomik ve toplumsal ilişkilerin dayanağıdır. Bunun yanında, toplumsal üretim ve yeniden üretim ilişkilerinin alanda (üretilmiş toplumsal mekanda) gerçekleştirilmesi yoluyla yeniden üretiminin içine de dahil olmaktadır.

Smith [6], mekânın toplumların üretim tarzları ile ilişkili olarak biçimleniyor olması halini, mekân ya da toplumu karşılıklı etkileşim halinde gören veya birinin diğerinin sonucu olarak analiz eden bir yaklaşımın oldukça basit olduğunu, böyle bir yaklaşımda iki farklı nesne ile ilgilenildiğinin düşünüldüğünü, ancak toplumsal örgütlenmenin doğası gereği ve zorunlu olarak mekânsal olduğunu ileri sürmektedir. Mekânın toplumsallığı insan ilişkileri tarafından anlamlandırılmasından dolayıdır. Toplumlar, kültürler, inançlar, değerler mekânın özelliğine göre anlam kazanmaktadır. Toplumun kimliğini ifade ettiği yer mekândır ve toplumsal yapıda ortaya çıkan değişimleri mekânda gözlemlemek

mümkündür [7]. Aynı şekilde mekân içinde yaşayarak, hareket ederek ve çalışarak mekanları üreten ve bu sonuçlarla yaşamak zorunda kalan da toplumlardır [6]. Toplumsal ve mekânsal ilişkiler arasındaki bağlarla ilgili olarak Urry [3] farklı alanlar, kasabalar, tarımsal bölgeler, yeni ticaret alanları, alışveriş merkezleri, ana ulaşım yolları ve benzeri unsurların sadece belirli bir mekânsal yapının ögeleri ve insan etkinliklerinin dışarıdan belirleyicileri olarak anlaşılmaması gerektiğini vurgulamaktadır. Daha ziyade bunların bizzat toplumsal olduğunu, toplumsal olarak üretildiğini ve toplumsal olarak yeniden üretildiğini belirtir. Bu nedenle belli bir toplum içinde hazır bulunan anlamlı toplumsal nesnelerden ve bu tür nesnelerin karşılıklı bağlı oldukları karakteristik biçimlerden ayrılamaz. Urry'e göre bu durum genel bir mekân bilimini geliştirmenin olanaksızlığını ve yanlışlığını öne sürmektedir. Mekânsal olan, farklı bir genel yasalar dizisi oluşturabilecek şekilde toplumsal olandan ayrılamamaktadır. Soja [16] ise, toplumsal ve mekânsal ilişkilerin diyalektik olarak etkileşimli ve karşılıklı olarak bağımlı olduğunu söylemekte, üretimin toplumsal ilişkilerinin ise hem mekan oluşturucu hem de mekana bağlı olduğunu vurgulamaktadır.

Toplumlar kendi mekanlarını, kültürlerini kendi üretim tarzı içinde üretirler. Toplumsal mekan da sosyal yapı içinde, bu üretim tarzıyla birlikte her seferinde toplumu değiştirme eğilimi nedeniyle yeniden tanımlanmaktadır. Toplumsal mekan, bazen toplum ve doğa iş birliğiyle bazen de çatışmasıyla belirli bir bölgede üretilmiş olan her şeyi (canlı varlıklar, şeyler, nesneler, eserler, işaret ve semboller) ve bunlar arasındaki ilişki ağlarını kapsamaktadır. Örneğin bir mahalle, hareketlilik içindeki sokakları, mimarisi, komşular arası var olan /olmayan ilişkileri, süreklilik/süreksizlikleri ile ve tüm üretim biçimleri ile bir toplumsal mekandır. Mekansal kurguyu aşan, aşındıran, dönüştüren gündelik deneyim ve pratiklerde sürekli yeniden üretilerek sabitlenemeyendir [8]. Harvey kentin, uzun zamandır uygarlığın odağı sayıldığını ve kent olgusunun farklı kültürel ve tarihsel bağlamlarda farklı bakış açılarıyla incelendiğini belirtmektedir. Kent, ilişkisel olarak tanımlanmasıyla birlikte insan, toplum, doğa, ideoloji, üretim, tüketim gibi birçok konu bir araya gelecek şekilde tartışılmaya başlanmıştır. Harvey'e göre toplumsal sürecin özel bir eğilimi sonucu oluşan kent, toplumda yer etmiş ilişkileri dışa vuran bir toplumsal ilişkiler kümesidir. Bu ilişkiler içindeki insan, mekânsal olarak yapılandırılmış bir çevre olarak kenti oluşturmaktadır. Böylece kent, toplumsal bir ürün olarak üretilmiş olmaktadır [9].

Toplumların sosyal ve kültürel değerlerinin anlaşılması ve devamlılığı konusunda mekanla kurulan ilişkiler büyük önem taşımaktadır. Kentlerin özgün tarih ve kimlik yapılarını koruyarak gelecek nesillere aktarılabilmesi için öncelikle bu çok katmanlı ve karmaşık sürecin doğru yorumlanabilmesi gerekmektedir. Kentteki kalıcı kültür değerlerinin korunmasının yanı sıra değerlendirilmesi ve geliştirilmesi üzerine odaklanılması gerekmektedir. Keleş [10], gerçek ihtiyaçlara doğru çözümler üretme yolunda, sürekli ve dengeli sürdürülebilir gelişmenin, kent kültürünün korunmasında ve zenginleştirilmesinde kullanılacak bir değer olarak yorumlanması gerektiğini belirtmektedir. Bu noktada, Lefebvre [11]'in vurguladığı gibi, kent gerçekliğini yalnızca tüketime değil üretime ve üretim ilişkilerine de müdahil bir olgu olarak görmek gerekmektedir, çünkü kent olgusu kendini, toplumsal pratiğin tümünü içeren genel (toplam) bir gerçeklik olarak göstermektedir.

III. ÜRETİM İLİŞKİLERİNİN DEĞİŞİMİ VE MEKANSAL ÖRGÜTLENME

Toplumsal üretim tarzında, üretim ilişkilerinin sürdürülmesi ve yeniden üretim, mekanda gerçekleştirilmekte, üretim ve toplumsal ilişkilerin sürdürülebilirliği açısından mekan sorun teşkil etmemekteydi. Günümüzde ise kapitalist üretim tarzının ve ilişkilerinin çerçevesi içindeki yeni üretim güçlerinin yayılması söz konusudur [12]. Kapitalizmin geldiği son noktada, oluşmakta olan yeni küresel egemenlik biçiminin yaşamlarımıza etkileri, kendilerini en çok kentlerin ve mimarlığın bu süreç içerisindeki dönüşümü aracığı ile göstermektedir [13].

Kapitalist toplumsal ve üretim ilişkileri, tamamıyla mekanın üretimi, yekpare bir mekan üretimi aracılığıyla gelişmektedir. Çünkü kapitalizm ve daha genel olarak büyüme ancak bütün mekana yayılarak varlık sürdürebilmektedir. Kapitalizm hem önceden var olan mekanı ele geçirmiş hem de üretici güçlerin bu yayılmasına üretim ilişkilerinin yeniden üretiminin de eşlik etmesiyle kendi mekanını üretmeye başlamıştır. Bu üretim tarzı, öncekiler gibi şeylerin üretimiyle ve yerlere yatırım yaparak başlamıştır, ancak bu süreçte toplumsal ilişkilerin yeniden üretimi problem oluşturmaktadır. Bu nedenle kapitalizm doğayı yeniden üretmeye, siyasi mekânını gezegen çapında üretmeye ve böylece bu mekâna hâkim olmaya, yeni toplumsal ilişkilerin üretimini engellemek için zamanı indirgemeye, yeniden üretebilir ve tekrarlanabilir olan yasası altında, mekân ve zaman içindeki farklılıkları ortadan kaldırmaya gerek duymuştur. Sonuçta mekanda şeylerin üretiminden mekanın üretimine geçiş yapılmıştır [12]. Geleneksel toplumlarda mekan, tarihsel ve toplumsal ilişkiler ve değerlerle birlikte özgün niteliksel deneyimler içererek gündelik yaşam tarafından üretilmektedir. Ancak sermayenin belirleyici olduğu süreçte, mekanın tarihsel üretimi, kullanımı veya temsil ettiği toplumsal değerler önemsizleşmekte, bu değerler mekanın değişim değerine katkıda bulundukları sürece önem kazanabilir hale gelmektedir. Bu üretim süreci, toplumsal mekanın özgün niteliksel deneyimini bastırmakta, sahip olduğu toplumsal ve kültürel değerleri kaybetmesine neden olmaktadır [14].

İnsanların yaşam ortamlarını sürekli olarak yeniden tarif etmesi üzerine olan kurgu modernleşmenin ve kapitalizmin dinamiklerini oluşturmaktadır. Yırtıcı [15], kapitalizmin mekânsal hareketliliğinin iki ayrı kanaldan beslendiğini ileri sürmektedir. Bunlardan ilki, ulaşabildiği her coğrafyaya yayılmak için, karlılık peşindeki sermayenin piyasada dolaşıma çıkmasıdır. Küreselleşme yolunda, bu yayılmanın ölçeğinin büyüklüğü karlılığın da aynı oranda maksimize edilmesine olanak sağlamaktadır. Sonuçta bütün dünyanın birbiriyle bütünleşmiş tek bir ekonomik mekân olarak işler hale dönüşmesi üzerine düşünceler inşa edilmektedir. Artık hiçbir özerk yapının, küresel yapılanmanın dışarısında mekânsal bir alan oluşturabilmesi söz konusu değildir. İkincisi ise, kapitalist üretimin kendi içerisinde örgütlenme biçimidir. Kapitalizmin kendi tarihi içerisinde temel bazı unsurlar değişmemekte, ancak her girdiği aşırı birikim krizinden, kendisini yeniden örgütlemek zorunda kalmaktadır. Bu yönüyle de üretimin değişen koşullara göre yeniden örgütlenmesi krizleri aşmanın önemli şartlarından birini oluşturmaktadır. Üretimin yeniden örgütlenmesi fikri ise kaçınılmaz olarak mekânsal anlamda da yeni organizasyonların oluşumuna imkân vermektedir. Her örgütlenme şeklinin kendi mekânsal dinamiklerini tanımladığı düşüncesi hakimdir. Üretimin yeniden örgütlenmesi, kapitalizmin coğrafi olarak hareketliliğini artırmasını ve ayırt edici yerel unsurların kullanılmasını kolaylaştırırken yeni çalışma organizasyonları ile mekânın yapısını da değiştirebileceğine yönelik düşüncenin yaygınlaşmasına neden olmaktadır.

Son yirmi yılda coğrafyacılar, mekânın sosyal olarak üretilme şekli üzerinde yoğunlaşmaya başlamıştır. Özellikle Lefebvre [4] ve Soja [16], mekânın insan tasavvurlarının ve faaliyetlerinin bir ürünü olduğunu kabul ederken, mekân kavramının içsel fiziksel özelliklerden çok yaşadığımız yerleri deneyimleme, değer verme ve geliştirme biçimimizle ilgili olduğunu öne sürmektedir. Bu yapılar zamanla değişir ve dünyamıza dair kültürel anlayışımızı yansıtır. Harvey [2], yerleri şekillendiren ekonomik güçlere ve özellikle sermayenin baskın rolüne dikkat çekerken, Urry [3] ve diğerlerini takiben, tüketim kültürleri, tüketimin toplumsal inşası ve tüketimin kimlik ve toplumsal etkileşimle olan bağlantısı hakkında daha çok bilgi üretildikçe, yerlerin tüketim alanları olması hakkındaki anlayış da gelişmiştir. Urry'nin yer ve tüketim arasındaki ilişkiyi kavramsallaştırma şekillerinden olan yerlerin görsel olarak tüketilmesi, turistlerin yer içindeki yaşam biçimlerini deneyimleyerek tüketmesi ve karşılıklı olarak oradaki faaliyetleri sonucunda yerleri değiştirmeleri anlamına gelmektedir. Bu fikirler, coğrafyacılar ve tüketimi inceleyen diğerleri için verimli bir zemin sağlamıştır [17].

Mekanın, kapitalist gelişme ile arasındaki ilişkilere ait değerlendirmeler incelendiğinde, üretim ve tüketim olgularına yüklenen anlamların kapitalizmle birlikte değişime uğraması, değişimlerin yaşandığı yer olan mekanların da tüketim kültürü etkisinde uğradığı dönüşümlerin açıklanmaya çalışıldığı görülmektedir. Mekan ortaya çıkan küresel ekonominin etkisiyle üretim yeri olma gücünü yitirerek, toplumsal ilişkilerinin ürünü olma halinden çıkmış ve tüketim ile karakterize edilen bir yapıya dönüşmüştür.

IV. TARİHİ KENT MERKEZLERİNDE TURİZM VE TÜKETİM

Modern dünyada her türden mekânsal yapılanma ekonomik rasyonelliğin değiştirici gücü etkisindedir. Kapitalist ekonominin akışkanlığından kaynaklanan değişimden etkilenen yerler, sadece yakın çevreleri ile değil, uzak toplumsal ve ekonomik etkiler ile kurulan düğüm noktalarına dönüşmektedir. Kapitalizmin kendine özgü, modern öncesi dönemlerden kesin bir şekilde ayrılan mekan-zaman kavramı içinde soyut bir mekan düşüncesi olan uzam da içi boşaltılmış homojen bir niteliktedir. Mekanın toplumsal olarak algılanması ve kurgulanmasında kapitalist ekonominin üretim ilişkileri etkili olmaktadır. Kapitalizm kendi mekan ve zaman anlayışını her coğrafyada tekrarlayarak o coğrafyayı kendi çıkarları doğrultusunda, soyut bir mekan ve zaman anlayışı içinde tekrar kurmaktadır. Bu yolla birbirinden bağımsız coğrafyalar aynı soyut mekan ve zaman anlayışı içinde bağ kurarak, tek bir ekonomik sistemin parçası haline gelmektedir [1].

Zaman ve mekanın nesnel niteliklerinde meydana gelen bir takım devrimci değişimler, dünyayı algılayış şeklimizde bazen çoklu biçimlerde değişiklik yapmamıza neden olmaktadır [2]. Modern kapitalist toplumlardaki zaman mekan anlayışının oluşması 16. yüzyıldan başlayarak toplumsal yapıda, ekonomide ve teknolojide meydana gelen bir dizi gelişme sonucunda ortaya çıkmıştır [1]. 19. yüzyılın sonu ile 20. yüzyılın başında 'zaman-mekan mesafeleşmesini' dramatik biçimde artıran yeni ulaşım ve iletişim teknolojilerinin etkileri üzerine bazı çözümlemeler vardır [3]. Harvey [2]'e göre artan ulaşım hızı, mekanın zaman aracılığıyla ortadan kaldırılmasının önünü açan nedenlerden biridir. Diğeri ise iletişimin birim maliyetini ve zamanını mesafeden bağımsız hale getiren yeni uydu iletişim sistemleridir. Harvey, zaman ve mekanın, niteliklerinde meydana gelen değişimler sonucunda, varsayımsal olarak ortadan kalkışını 'mekan-zaman sıkışması' olarak kavramsallaştırmaktadır.

Giddens [18] zaman ve mekan kuramında, modernlik ile zaman ve uzam arasındaki ilişkiyi açıklarken, zamanın boşaltılmasının büyük ölçüde uzamın da boşaltılması ile sonuçlanacağını belirtir. Modernliğin ortaya çıkışı ile, 'yöre' kavramı uzamdan koparılmaya başlamıştır. Burada yöre ile kastedilen toplumsal eylemin fiziksel ortamına işaret eden mekan fikridir. Modern öncesi toplumlarda uzam ve yöre kavramları çakışmaktadır. Modernliğin ortaya çıkışı ile uzam, herhangi bir yüz yüze etkileşim durumundan çıkar ve konum olarak birbirinden uzak toplumsal ilişkilerle kurularak giderek yöreden kopar. Bu durum ise mekanların oldukça uzak toplumsal etkiler yoluyla biçimlenmeye başlayacağı anlamına gelmektedir. Her türden etkinlik, toplumsal olay ve kurum belirsiz uzunluktaki zaman ve mekan boyunca yeniden yerleştirilebilir ve dönüştürülebilir. Mekan ve zaman içindeki farklılıkları ortadan kaldıran kapitalizm, mekanı bütünüyle işgal eder ve yeniden üretilebilir ve tekrarlanabilir bir yasa ile kendi mekanını üretmeye yönelir [4]. Mekan, içinde bulundukları zaman ve yerle ilişkisi olmayan olay ve nesnelerin sunulduğu bir servis halini alır. Bu süreç içerisinde yerel ve geleneksel olan tekrar zaman ve mekana dahil olabilir. Ancak, bu bilinen bir yerellik ve geleneksellik barındırmaz. Artık yerel olanın tanıdıklığı ve geleneksel olanın sürekliliği yoktur [1]. Toplumun niteliksel deneyiminin ürünü olan mekanın özgün değeri baskılanmaktadır. Bu dönüşüm sürecinde mekanın özgün değeri üzerinde ortaya çıkan çelişkili durumlar kapitalizm tarafından rekabet şartları gereğince değerlendirilmektedir.

Mekanlar arasındaki engellerin çöküşü mekanın öneminin azaldığı anlamına gelmemektedir. Ortaya çıkan rekabet koşulları kapitalistlerin, yerleşmelerin kendine özgü avantajlarına daha fazla dikkat etmelerine neden olmuştur. Bu ise tam da mekânsal engellerin azalmasının kapitalistlere küçük mekânsal farklılıkları kendi çıkarlarına uygun biçimde sömürme gücü kazandırmasından kaynaklanmaktadır [2]. Ayrıca, potansiyel yatırımcılar, işverenler, turistler vb. açısından kendilerini çekici kılmak adına yerler arasında artan bir rekabet başlamaktadır. Urry [3], mekânsal engellerin önemi azaldıkça, sermayenin mekan içindeki yer çeşitlenmelerine duyarlılığının arttığını söylemektedir. Böylece sermaye açısından çekici biçimlerde farklılaştırılmış yerlerin özendiriciliği artmaktadır.

Tarihi merkezler, kentlerin sosyal, kültürel ve ekonomik varlıklarından biridir. Bu mekanlar, şehirlerin stratejik gelişimi doğrultusunda kimlikleri ve varlıları nedeniyle büyük önem taşımaktadır. Tarihi

merkezler miras yoluyla yalnızca kentlerin kimliklerini oluşturmakla kalmaz aynı zamanda içerdikleri turizm ve pazarlama potansiyeliyle birlikte kentler için önemli bir ekonomik kaynak oluştururlar. Kültürel ve tarihi alanlarda büyüyen küresel bir olgu olarak turizm, yerlerin özgün değerlerini deneyimlemek aynı zamanda bölge ve ülke için ekonomik, sosyal ve kültürel açıdan değer yaratmak adına büyük bir öneme sahiptir. Bu anlamda kültürel mirasın korunması amacıyla bir araç olarak kullanılabilmektedir. Tarihi merkezler turizm gelişiminde yerelliğin, kentsel imajın ve sosyal canlılığın bir tezahürüdür. Turizm birçok durumda yerel ekonomiyi iyileştirirken, tarihi bölgelerin biçimini ve işlevini geri dönülemez bir şekilde etkileyebilmektedir. Turizm yerel ekonominin merkezi haline geldiğinde, miras alanlarında kültürün paylaşılan bir varlık olmaktan çıkarak sömürülmeye başlamasına, yeniden yapılandırılmasına ve koruma değerleri üzerinde ticari faaliyetlerin egemenliğinin kurulmasına yol açmaktadır. Bir 'imaj üretim endüstrisi' olarak turizm [2], turistlere hitap etmek ve gerçek ile hayal edilen alanı birleştiren üçüncü alanı yaratmak için kültürü yeniden yapılandırmaktadır. Bu durumda kültürel miras, pazarlanmasında yer alan uluslararası kuruluşların ve tüketicilerin tercihi ve beğenisi ile sınırlanan bir seçim sürecine duyarlı bir tüketim ürünü haline gelmektedir [19]. Turizm faaliyetleri, kapitalizmin zaman ve mekan algısında meydana getirdiği değişimlerle birlikte, tarihi kentleri tüketimin çekirdeği haline dönüştürme eğilimindedir.

UNESCO gibi küresel organizasyonlar tarafından seçilen dünya miras alanlarında, uluslararası bir tanınma ve koruma kaygısının oluşması sağlamıştır. Ancak aynı zamanda yeni oluşmuş bir turistik cazibe merkezinde, uluslararası ziyaretçi akışını, sermaye yatırımlarını ve kitle iletişim araçlarının küresel sahnesinde hızlandırılmış hareketliliği ve görünürlüğünü içeren bir yer de oluşmaktadır. Başka bir deyişle, dünya mirası koruma uygulamaları, küresel tanınma yoluyla yerel değeri korumaya yönelik bir belirsizlik içerir, ancak bu durum aynı zamanda turizm endüstrisinin paralel gelişimine neden olan değişikliği de içermektedir [20]. Özel çevresel nitelikleri sebebiyle bir bölgenin korunması girişimleri, bölgenin ziyaretçilerin istilasına uğrayacak kadar farklı kılınması ile sonuçlanabilmektedir [3]. Miras ve turizmin kaçınılmaz birlikteliği, genellikle özgün değeri koruma fikrine zıt olarak gelişen, homojenizasyonun rasyonalizasyon ilkesine dayanan ve Ritzer' in McDonaldizasyon süreci olarak adlandırdığı paradoksal bir ilişki içinde görülmektedir [20]. Dolayısı ile kentlerin tarih ve kimliklerini vurgulayarak kültürel farklılıkları ortaya çıkarmaya çalışan strateji, ironik olarak birbirine benzer kentlerin oluşmasına neden olarak, küresel düzlemde kültürel homojenleşmeye de neden olmaktadır. Tarihsel ve kültürel farklılıklar benzer tema ve stratejilerle stilize edilerek hijyenleştirilmiş bir şekilde kentli elitlerin ve turistlerin kullanımına sunulmaktadır [21].

Kapitalist örgütlenme ve sermaye, mekanı da diğer her şey gibi karlılığını maksimize edecek bir araç olarak görmektedir. Araçsallaşma yolunda, diğer tüm nitelikleri geri planda bırakılan mekan ekonomik rasyonaliteye uygun şekilde altyapıya indirgenmekte ve nesnelleşmektedir. Günümüzde kapitalist ekonominin dönüştürücü gücü karşısında mekanın özgün değerini koruyabilmesinin tek yolu, sermayenin küresel akışı içinde kendine bir yer bulabilmesinden geçmektedir. Yerel ve kültürel anlamda mekanın farklı yanını oluşturan ancak küresel ile yerel arasında kurulan bu yeni mekânsal ilişkiye katılamayan değerler, varlığını koruyamamakta ve hızla yok olmaktadır. Bu doğrultuda sürece katılamayan yerel değer, varlığını koruyabilmek için kapitalist ekonomi tarafından tüketim ideolojisi ile belirlenen bir sistem içinde dolaşım değeri olduğunu ispatlamaya veya dolaşım değeri olacak şekilde değişiklik geçirmeye zorlanmaktadır [22].

Altyapıya indirgenen mekan, kapitalist toplumun üretim pratikleri içinde niceliksel değerler çerçevesinde yeniden üretilir ve tüketilir [22]. Mekanın bu dönüşümünü tüketim ve turizm olguları çerçevesinde ele alan Urry [3], turizmin alternatif tüketim türleri arasında bulunduğunu ve tüketim/ yer arasındaki ilişkide mekanın en azından görsel açıdan tüketilebildiğini belirtmektedir. Urry'nin mekanın tüketimi ile ilgili dört temel savı bulunmaktadır:

- Yerler, artan bir biçimde, malların ve hizmetlerin karşılaştırıldığı, değerlendirildiği, satın alındığı ve kullanıldığı tüketim merkezleri olarak yeniden yapılandırılmaktadır.
- Yerlerin kendileri bir anlamda, özellikle görsel açıdan tüketilmektedir. Burada önemli olan hem ziyaretçiler hem de yerel insanlara yönelik çeşitli tüketici hizmetlerinin sağlanmasıdır.

- Yerler kelimenin gerçek anlamında tüketilebilmektedir. İnsanların bir yere ilişkin anlamlı buldukları şey (endüstri, tarih, binalar, yazın, çevre), zaman içinde kullanılarak azaltılmakta, bitirilmekte veya tüketilmektedir.
- Yerelliklerin bazı kimlikleri tüketmesi de olasıdır. Sonuçta böylesi yerler, gerçekten de neredeyse her şeyin tüketildiği yerlere dönüşürler. Bu tüketim ziyaretçiler veya yerel insanlar ya da her ikisi açısından da geçerli olabilir.

Kültürel miras alanlarının içinde yer aldığı tarihi çevrelerin, tarihi cazibe merkezleri ve turistik yerler başlığı altında ele alındığı görülmektedir. Bu alanlar, ekonomisi büyük ölçüde turizme bağlı olan, tarihi karakteri ile tanınan ve mirasının ekonomik sömürüsünü sunum ve yorumlama teknikleri yoluyla aktif olarak sürdüren yerler olarak tanımlanabilmektedir [23]. Zhang vd. [24]' e göre bu tür bir uygulama, mekânsal yeniden yapılanma ve kültürel yabancılaşmaya yol açarken, tarihi bölgelerdeki yerel kalkınmanın tek koşulunun turizme bağlanması anlamına gelmektedir. Ancak gelişmekte olan toplumların turist bakışının nesneleri olarak kendi cazibelerini artırmaktan başka ne tür seçeneklere sahip olduğu sorgulanmalıdır [25]. Kültürel mirası, günümüz için kaynak haline getirme çalışmalarının büyük bir bölümü mirası, geçmişin yalnızca günümüz tüketimi için yorumlanan seçici bir parçası olarak görmektedir [23]. Bu yaklaşımla mekan, üretim sürecindeki tarihi ve kültürel bağlamdan, toplumsal değerlerden uzaklaşmaktadır.

Tüketim ilişkileri gereğince yerlerin öne çıkarılan nitelikleri ve kalanların sürdürülebilirliğinin sağlanamaması, yerel bakışa yönelik bir derinlik kaybı olarak da yorumlanabilmektedir. Bu durum, yerlerin korunamaması ve dönüşüm geçirmesi gibi konularda çelişkileri de beraberinde getirmektedir. Mekandaki izlerin korunmasında, korunacak tarihsel dönem ve kimliğin net olarak belirlenememesi, koruma gerekliliğin temelini oluşturacak nosyonların kesin ve nesnel olarak tespit edilememesinden de kaynaklanmaktadır. Tasarımda toplumun yer ile kurduğu ilişkinin ve yeniden üretiminin aynı zamanda politik bir mücadele alanı olduğuna yönelik değerlendirme ile kaybolan farklılıklara sahip çıkılması, daha derinlikli entelektüel bakışların geliştirilmesi mimarlık etkinliği için üzerinde durulması gerekli bir sorunsaldır [26].

Küreselleşme sonrası üretim ve tüketim ilişkilerindeki değişimler tarihi kentlere olan bakış açısını farklı bir yöne kaydırmıştır. Sahip olduğu pek çok işlevi kaybetmeye başlayan kentlerde sosyal ve ekonomik gelişim dengesi korunamaz hale gelmiştir. Kentler ekonomik kalkınma kaygısı altında turizm alanları olarak organize edilmeye başlanmış ve fiziksel unsurların dışında kalan kültürel mirasın korunması tehlike altına girmiştir. Kültürel miras ve turizmin arasındaki ilişkide hakim olan tüketim kültürünün etkisiyle, rekabet halindeki kentler birbirlerine benzemeye başlamış ve kimlikleri zarar görmüştür. Bu nedenle günümüzde, tarihi kentlerin sosyal, kültürel ve ekonomik anlamda sahip olduğu değerlerinin yaratıcı ve sürdürülebilir dönüşümün sağlanması konusunda stratejiler geliştirilmesi üzerine daha fazla odaklanılması gerekmektedir.

Tarihi kentlerde mekanın tüketilme tehlikesi, kapitalizmin yeniden yapılandırıcı gücü altındaki hızlı dönüşüm sürecine karşılık gelmektedir. Sürece dair derinlemesine çözümlemeler, kentlerin sürdürülebilirliği ile ilgili karşılaşılacak problemlerin ortaya çıkarılmasına imkan sağlayacaktır. Bu çerçevede bir değerlendirme, mevcut duruma yönelik eleştirel ve yaratıcı bir bakışın oluşturulması anlamında ve yeni topluluk ihtiyaçlarına uygun yönetim araçlarının geliştirilmesi konusunda oldukça önem arz etmektedir.

V. TARİHİ KENT VE SÜRDÜRÜLEBİLİRLİK

Sürdürülebilirlik, çevre değerlerinin ve doğal kaynakların savurganlıktan kaçınılarak akılcı biçimde, bugünkü ve gelecek nesillerin hak ve yararları da gözetilerek kullanılması ilkesinden özveride bulunmaksızın, çevresel kaynaklar ve ekonomik kalkınma arasında denge korunumunu esas alan çevreci dünya görüşü olarak ifade edilebilir [27]. Tarihi alanlarda koruma çalışmalarının mekanın özgün

değerinde meydana gelecek birtakım dönüşümlere de yol açması nedeniyle, geliştirilecek koruma plan ve stratejilerinin, sürdürülebilirlik başlığı altında ele alınması önem arz etmektedir.

Günümüzde kültürel miras tanımının, tarihi kentlerin sosyal ve ekonomik işlevlerinin daha fazla dikkate alınmasıyla birlikte, sosyokültürel bağlam ve kentsel sürdürülebilir kalkınma gibi kavramları da içeren daha kapsamlı bir yaklaşıma doğru evrildiği bilinmektedir. Tarihi kentler, toplumun mevcut ve gelecekteki ihtiyaçlarına cevap verebilmek için sürekli bir değişim içerisindedir. Veldpaus ve Pereira Roders [28], koruma çalışmalarını, kültürel miras varlıklarını iyileştirmeyi ve kısmen değiştirmeyi gündeme getirmesine rağmen, temelde kültürel değerleri korumak üzere bir dönüşüm biçimi olarak tanımlamaktadır. Bu anlamda kentsel korumada sürdürülebilirlik kavramı, mevcut değişim ve gelişim kabul edilerek, kültürel mirasın tarihi çevreye uyumlu olarak korunması ve geliştirilmesine yönelik yaklaşımları ifade etmektedir.

Koruma ve sürdürülebilirlik arasındaki ilişkiyi tarihi kentler bağlamında inceleyen Rodwell [29], tarihi kentlerin küreselleşme sonucunda karşı karşıya kaldıkları problemlerin aşılabilmesi için sürdürülebilir olmayan teorik ve pratik modellerin tekrarından kaçınılması gerektiğini belirtmektedir. Rodwell 'e göre geniş anlamıyla sürdürülebilirlik; insanlık ve diğer tüm yaşam formlarının, doğal ve yapılı çevre ile arasında uzun vadeli uyumu yakalayarak, yaşam koşullarında ve kalitesinde sürekli bir iyileşme sağlamaktır. Bizzarro ve Nijkamp [30]'a göre kültür, sembolik mirasımızı inşa etmeye katkıda bulunan geçmiş ve şimdiki ürün ve düşünceler üzerine insan zihninin tüm çıktılarını ifade etmektedir. Bunun yanında sürekli dönüşümler yoluyla bireysel ve kolektif bilincin zenginleşmesine katkı sağlamaktadır. Bu anlamda kültürel mirasın bütünleşik korunması, bir şehrin veya ülkenin, mirasın sosyoekonomik ve kültürel gelişimini üstlenmesine, finansman çeşitliliği sağlamasına ve ilgili kamu ve özel sektör kurumlarını koordine edebilecek stratejiler belirlemesine olanak tanımaktır. Günümüzde, kültürel mirasın korunması veya dönüştürülmesi sorunuyla uğraşan modern bir toplum, tarihi kent merkezleri kaynaklarının sosyoekonomik, çevresel, kültürel, tarihi, mimari ve etik kıymetini değerlendirme zorunluluğu ile karşı karşıyadır, çünkü bu kaynaklar sürdürülebilirlik perspektifinde önemli bir rol oynamaktadır [30]. Worthing ve Bond [31], kültürel miras alanlarının sürdürülebilir yönetimi konusunda, miras değerleri ve aralarındaki ilişkilerin belirlenmesi ve tam anlamıyla kavranması durumunda, bu bilginin, değerlerin topluma yansıyan faydalarını güçlendirecek ve geliştirecek yönetim karalarının alınmasında yardımcı olarak kullanılabileceğini belirtmektedir. Sürdürülebilirlik ve koruma, birbirini tamamlayıcı şekilde ele alındığında; arzın sürekliliği, doku ve kültürel kimliğe (fiziksel, sosyal, ekonomik, sanatsal) minimum müdahale ve yıkıcı devrime karşı yapıcı evrimselleşme için kaynakların akıllı kullanımını içeren ortak ilkelerle tanımlanabilmektedir. Rodwell [32]'e göre koruma, sürdürülebilir kalkınmayla yalnızca bütünleşmekle kalmayıp aynı zamanda itici bir güç haline geldiğinde başarıya ulaşmak mümkün olacaktır.

Bu bağlamda kentsel koruma ve sürdürülebilirlik ile ilgili uygulamalara rehber olarak, koruma kuruluşları tarafından uluslararası düzeyde ortaya konulan ilke ve düzenlemeler incelendiğinde, son yirmi yılda önemli gelişmelerin yaşandığı görülmektedir. US/ICOMOS'un 2001 yılında (Managing Change, Sustainable Approaches to the Conservation of the Built Environment), 2010 yılında (Economic Benefits, Social Opportunities, and Challenges of Supporting Cultural Heritage for Sustainable Development) ve 2013 yılında (The Historic Center and the Next City Envisioning Urban Heritage Evolution) düzenlediği uluslararası sempozyumlarda, tarihi çevrenin sürdürülebilir gelişimi ve yönetiminin yanında geleceğin şehirlerine ilham kaynağı sağlayan yönlerinin ortaya çıkarılmasına odaklanılmıştır [33]. 2011 yılında 35. UNESCO Genel Konferansında kentlerin daha geniş kentsel bağlam ve coğrafi ortamları içinde incelenmesi ve korunmasına yönelik bir yaklaşımı teşvik eden (Recommendation on the Historic Urban Landscape) ilkeler belirlenmiş, yerleşimleri kültürel, ekonomik, sosyal ve çevresel anlamda canlı, kapsayıcı ve sürdürülebilir kılmak amaçlanmıştır [34]. 2015 yılında Birleşmiş Milletler Üye Devletleri tarafından kabul edilen "2030 Sürdürülebilir Kalkınma Gündeminde" ortaya konulan [35] perspektifle ilgili UNESCO, belirlenen hedeflerin Dünya Mirası Sözleşmesi süreçlerine dahil edilmesi amacıyla bir politika geliştirmiş, ICCROM [36] ise oluşturulan perspektife uyumlu çalışmalar geliştirerek, kültürel mirasın geleceğimiz için iyileştirici güç olarak kullanılması amacıyla potansiyelinden faydalanılmasına dikkat çekmiştir.

İngiltere'de miras alanlarının korunmasıyla ilgili başlıca kuruluş olan English Heritage [37], tarihi çevrenin sürdürülebilir yönetimini, sağlam ilkelere, bu ilkelere dayalı açık politikalara, rehberliğe ve bunların tutarlı uygulamalarından kaynaklanan kararların kalitesine bağlamaktadır. Bu anlamda yayınladığı raporda (Conservation Principles, Policies and Guidance for the Sustainable Management of the Historic Environment) tarihi çevrenin sürdürülebilir yönetimine dair, bu alanların paylaşılan bir kaynak olarak algılanması, değerinin ve öneminin anlaşılması, yaşatılabilmesi için doğru yönetim anlayışının geliştirilmesi, yönetimine geniş katılımın sağlanması, değişimiyle ilgili kararların tutarlı olması ve bu kararların etkilerinin izlenerek geleceğe referans olması konularını içeren ilkeler belirlemiştir.

Tarihi çevrenin korunması uygulamalarının tam merkezinde yer alan mirasın değerini ve önemini anlama çabası, geniş çapta kabul gören Avustralya'daki koruma teori ve uygulamasının temelini oluşturmaktadır Avustralya tarafından kabul edilen Burra Sözleşmesinin amacı, dünya kaynaklarının korunması ve sürdürülebilirliğinin bir parçası olarak miras alanlarının korunmasının yararlarını ve önemini tanıtmak, miras uygulamasının doğasında var olan sürdürülebilirliğin tanınmasını teşvik etmektir [38]. Tarihi çevrenin, tarihi ve çağdaş değerlerini birlikte ele alan bu yaklaşım, korumayı daha geniş bir çerçeveden etkili bir şekilde değerlendirmektedir.

Kültürel mirasın sürdürülebilirliği için koruma yaklaşımları, değerlerin yönetiminin dikkatli ve geriye dönük kontrollerini içerecek şekilde ele alınmalıdır. Veldpaus ve Pereira Roders [28], kentsel korumanın, 28 uluslararası politikaya dayanan ana aşamalarını çıkarmış ve korumayı değerlendirme çerçevesinin, koruma çalışmalarının dört ana aşamasına dayanması gerektiği sonucuna varmışlardır (Şekil 1):
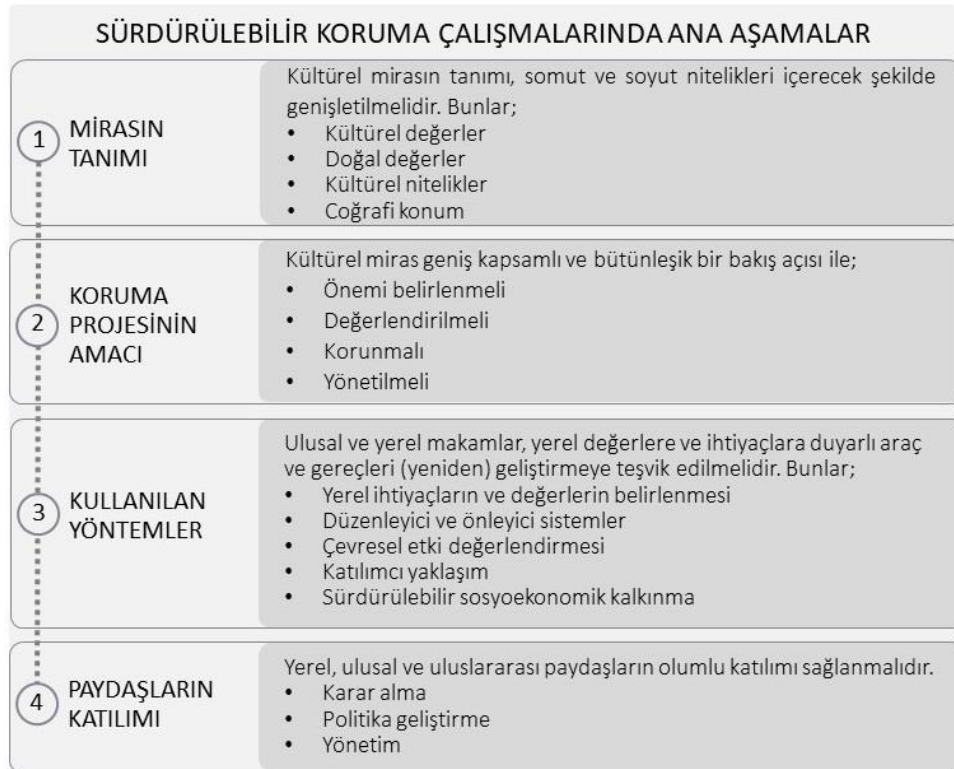
Şekil 1. *Sürdürülebilir korumanın temel aşamaları.*

Sürdürülebilir bakış açısı, özellikle son yıllarda koruma uygulamalarında sıklıkla yer almaktadır. Bu uygulamaların gelecekte başarıya ulaşması konusunda geliştirilen yaklaşımlar öncelikle yerlerin problemlerinin belirlenmesi ve değerinin anlaşılması üzerine yoğunlaşmakta, bu değerin bilincinde hareket edecek paydaşların iş birliği ve geniş katılımına dikkat çekilmektedir. Sonraki adımda, bu bakış açısına göre tarihi çevrenin miras değerinin sürdürülebilir gelişimini sağlayacak yönetim stratejilerinin

geliştirilmesi ve uygulamaların denetlenmesi gelmektedir.

VI. SONUÇLAR

Tarihi süreçte değişen üretim ilişkileri sonucunda varılan noktada, toplumsal yaşamın dolayısıyla kentlerin kapitalist üretim ilişkileri ve örgütlenme biçimlerinin dönüştürücü etkisi altında olduğu görülmektedir. Kapitalizmin tüketim odaklı mekânsal örgütlenme biçimi sonucunda karşımıza çıkan durumlardan en dikkat çekici olanı, bu örgütlenme biçimlerinin kentsel mekânı, kültür, sanat, turizm ve eğlence odağı haline dönüştürme amacıyla farklı yorumlama ve sunum teknikleriyle estetikleştirmesidir. Bu süreçte kent, farklı turist türlerine yönelik farklı niteliklerde tanımlanmaktadır. Mekânın tüketimini artırabilmek için, sahip olduğu özgün değerler, algılanabilir imajlara dönüştürülmekte ve görsel açıdan üretilip tüketilmektedir.

Tarihi kent merkezleri de günümüzde, varoluş sebepleri olan sosyal ve kültürel değerleri arka planda bırakılarak, ekonomik kalkınmanın sağlanabilmesi için turistik faaliyetlerle hizmet veren alanlara dönüştürülmektedir. Kentler, tarihinde görülmemiş çeşitlilikte işlevlerle donatılmaya başlanarak yeniden biçimlendirilmektedir. Mekânın tüketim odaklı bu dönüşümü, üretim ilişkilerinin tüketimi temel alarak sermayenin karlılığını maksimize edecek olan toplumsal örgütlenmelerine ve mekânsal düzenlemelerine karşılık gelmektedir. Tarihi alanları turist tüketimi için meta nesnesi haline getiren süreç, kentlerin özgün değerlerinin sürdürülebilirliği anlayışıyla bağdaşmamaktadır. Bu bakış açısı tarihi kent merkezlerinde yerel kullanımların ve anlamların fiziksel ve sembolik olarak içinin boşaltılması sonucu mekanın tüketiminin yolunu açmaktadır.

Bu tartışmalar çerçevesinde günümüzün mimarlık ve kente olan bakışını, tüketim olgusunda ortaya çıkan değişimlerin, üretim ilişkilerinde gerçekleşen değişimlerle ilişkilendirilerek okunması önemlidir. Bu bağlamda çalışmada, tarihi merkezlerin kapitalist mekânsal örgütlenme etkisiyle birlikte varlık anlamlarını kaybetme tehlikesine ve bu dönüşüm sürecinin etkilerinin engellenmesi yolundaki sorgulamalara odaklanılmıştır. Paralel anlamlara sahip olan sürdürülebilirlik ve koruma kavramlarının ele alınış biçimleri değerlendirilmiş, sürdürülebilirlik ilkeleriyle birlikte koruma uygulamalarının, tarihi çevrenin fiziksel yapısıyla uyumlu müdahaleleri içermesinin yanında sosyal değerleri de kapsayacak şekilde geliştirilmesi üzerinde yoğunlaştığı görülmüştür. Üretim ilişkilerindeki değişimlerin kentin fiziksel, sosyal ve ekonomik dinamiklerine etki eden sonuçları, sahip olunan değerlerin sürdürülebilir ve yaratıcı dönüşümünün sağlanması adına koruma alanında yeni planlama, uygulama ve stratejilerin geliştirilmesini gerektirmiştir. Bu anlamda oluşturulan genel çerçeveye göre [28, 38, 39],

- Tarihi çevrede koruma ve sürdürülebilirlik alanında gerçekleştirilen uygulamaların başarılı sonuç verebilmesi için, her bölgenin yerel bilgisi ile değerlerinin ortaya çıkarılması adına yapılan detaylı araştırmaların sonucunda, geleceğe dair potansiyellerinin belirlenmesinin önemli olduğu düşünülmektedir. Koruma konusunda çevreye uyumlu uygulama ve öneriler, tarihi merkezin nitelikleri belirlenerek oluşturulmalıdır. Bunun yanında gerilimlerin ortaya çıkış nedenini anlamak, bölgedeki koruma problemlerine ve değişen koşullara göre sürdürülebilir çözümler geliştirmenin önemli bir adımı olarak görülmelidir. Geliştirilen uygulamaların belirli aralıklarla değerlendirilmesi daha önce fark edilmemiş yeni parametrelerinin tanımlanmasına yardımcı olabilir.
- Tarihi çevrenin hem fiziksel hem de sosyal yapısı ile bir bütün olması bilinciyle, mimari korumada kent dokusunun sürdürülebilirliğini sağlamak için sosyal koruma çalışmalarının gerekliliği anlaşılmalıdır. Öncelikle, çevrenin korunması için yapıları yaşatan yerel halk, gündelik kent yaşamı içinde korunmalı ve oluşturulacak sosyal ağlarla ilişkiler geliştirilmelidir. Bölgenin gençlerin ilgisini çekmesi için yeni üretim alanları oluşturulmalıdır.
- Tarihi kentlerin yaşanabilir, eşitlikçi ve kapsayıcı çevreler oluşturması, toplumun farklı kesimlerine eşit fırsatlar sağlamasıyla mümkün olabilecektir. Koruma çalışmalarında halkın maddi açıdan desteklenmesinin yanında, refah düzeyini yükseltecek bir sistem oluşturabilmek için sosyal sermayeden faydalanılmalıdır.

- Tarihi kent merkezlerinde üretim ilişkilerindeki değişimler sonucunda yaşanan ekonomik çıkmazlar, kentlerin sosyoekonomik yapısında bozulmalara neden olmuştur. Yaşan değişimler sonucu halkın kentten uzaklaşmasını engellemek için yerelleşmenin teşvik edilmesi ve küçük esnafın kent içindeki geleneksel üretim biçimleriyle birlikte korunması önem arz etmektedir. Canlılığın sağlanması yolunda kent içi işlevler, mekânsal yapıda ekonomik, kültürel ve sosyal eylemleri dengeli karşılayacak şekilde yer almalıdır.

- Koruma çalışmalarında sürdürülebilir stratejilerin geliştirilmesi, bu stratejilerin yerel ihtiyaçlarla uyumlu olması ve günümüzün küresel akışkanlığı içerisinde yer bulması kuşkusuz kısa sürede gerçekleşmeyecek, bir süreç gerektirecektir. Bu sürecin neden olacağı farklı pek çok sonuçtan birisi, tarihi merkezlerin koruma çalışmaları ardından yaşadığı turizm odaklı dönüşümdür. Urry [25]' ye göre koruma amaçlı planlama kararları başlangıçta turizmle ile doğrudan ilişkili olmasa bile, çekiciliğin artması sonucunda miras alanlarının turist mekanı haline gelmesine neden olabilmektedir. Bu anlamda koruma çalışmalarında, içinde bulunduğumuz küresel düzen kabul edilerek gelişebilecek risklerin belirlenmesi ve bu yönde stratejilerin geliştirilmesi hedeflenmelidir.

- Tarihi merkezlerde kültür turizminin artan gelişimi, sosyal ve çevresel kirlilik riskini de beraberinde getirmektedir. Kültürel mirasın ve doğal kaynakların devamlılığını sağlamak, sürdürülebilir üretim ve tüketim kalıplarını takip eden toplulukların varlığı ile mümkün olacaktır. Bölgenin geleceği ile ilgili kararlarda; yerel idare, özel sektör, kamu ve sivil toplum kuruluşlarının iş birliği içinde çalışmasının yanında, yerel halkın da içinde yaşadığı tarihi çevrenin değeri ve korunması için alınan kararlar hakkında bilgilendirilmesi sürdürülebilirliğin sağlanması yolunda önemlidir. Artan kent sorunlarına karşı bilinçlenen ve kolektif sorumluluk ile harekete geçebilen yerel halkın koruma çalışmalarına katılımı teşvik edilmelidir.

Sürekli gelişim içinde olan küresel dünyada, tarihi kentlerin değişim süreçlerini özgün niteliklerini koruyan, esnek ve sürdürülebilir bir biçimde gerçekleştirmeleri için, katılımcı ve bütünleşik bir yaklaşımın benimsenmesi gerekmektedir. Öncelikle, tarihi kentlerin küreselleşme etkisindeki kaçınılmaz dönüşümü kabul edilerek, bu dönüşümün kontrolünün sağlanması için yapılacak olan müdahaleler, her kentin özgün ihtiyaçlarının belirlenmesine ve yerelle uyumun aranmasına yönelik kaygıları içermelidir. Planlamalardaki nitelik kaygısının yanında, denetleme araçlarının geliştirilebilmesi için toplum, mekan ve kent arasındaki ilişkiler ile mekanın üretim süreci boyunca geçirdiği dönüşümler anlaşılmalıdır. Mevcut tehditlerin önlenmesi amacıyla yerel üretimin desteklenmesi, ekonomik gücün gelişimi ile koruma arasında dengeli bir planlamanın geliştirilmelidir. Son olarak koruma çalışmalarına dahil olan tüm paydaşların, karar alma ve politika geliştirme sürecine katkısının sağlanması gerekmektedir.

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Research Article

Prediction Of Brushless DC Motor And Propeller Efficiency Using An Artificial Neural Network Model

İD İdris KOSOVA[a,*], İD Ahmet YÖNETKEN[a], İD Fatih BAYRAM[a]

[a] *Department of Mechatronics Engineering, Faculty of Technology, Afyon Kocatepe University, Afyonkarahisar, TURKEY*
* *Corresponding author's e-mail address: idris.kosova35@outlook.com*
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ABSTRACT

This study focuses on an artificial neural network model that allows users of brushless motor and propeller test rigs to compare the accuracy of data received in the interface software during testing. Brushless motors are widely used in modern aviation and industrial applications. Therefore, it is essential to analyze the factors affecting motor efficiency and accurately predict this data. This study involves the creation of an artificial neural network model from data to predict the percentage of motor efficiency for the brushless motors and propellers used in the test, whose length is measured in inches. Within the scope of this research, a useful tool is provided for users to flexibly test motor and propeller configurations and accurately analyze test results. The developed artificial neural network model has the ability to make reliable and accurate predictions for various motor-propeller configurations. Furthermore, the model is easy to use and offers expandable features. This study aims to create a valuable reference source for users of brushless motor and propeller test rigs to effectively analyze test data.

Keywords: Artificial neural networks, brushless motors, propeller test rigs, motor efficiency, prediction models

Bir Yapay Sinir Ağı Modeli İle Fırçasız DC Motor Ve Pervane Test Tezgahı Motor-Pervane Verimliliğinin Tahmini

ÖZET

Bu çalışma, fırçasız motor ve pervane test tezgahı kullanıcılarının test esnasında arayüz yazılımlarına gelen verilerin doğruluk oranlarını karşılaştırabilecekleri bir yapay sinir ağı modeli üzerine odaklanmaktadır. Fırçasız motorlar, modern havacılık ve endüstriyel uygulamalarda yaygın olarak kullanılmaktadır. Bu nedenle, motor verimliliğini etkileyen faktörleri analiz etmek ve bu verileri doğru bir şekilde tahmin etmek önemlidir. Bu çalışma, testte kullanılan fırçasız motorların ve taktıkları inç uzunluklu pervanelerin motor verimliliğinin yüzdeliğini tahmin etmek amacıyla, verilerden yapay sinir ağı modeli oluşturulmuştur. Bu araştırma kapsamında, kullanıcıların motor ve pervane konfigürasyonlarını esnek bir şekilde test edebilmeleri ve test sonuçlarını doğru bir şekilde analiz edebilmeleri için kullanışlı bir araç sunulmaktadır. Geliştirilen yapay sinir ağı modeli, farklı motor-pervane konfigürasyonları için güvenilir ve doğru tahminler yapabilme yeteneğine sahiptir. Ayrıca, modelin kullanımı kolaydır ve genişletilebilir özellikler sunmaktadır. Bu çalışma, fırçasız motor ve pervane test tezgahı kullanıcılarının test verilerini etkili bir şekilde analiz edebilmeleri için değerli bir referans kaynağı oluşturmayı hedeflemektedir.

Anahtar Kelimeler: Yapay sinir ağları, fırçasız motorlar, pervane test tezgahı, motor verimliliği, tahmin modelleri

I. INTRODUCTION

Energy efficiency has become a decisive factor in industrial applications and technological developments today. In this context, studies aimed at predicting the performance of brushless motor and propeller systems guide efforts to optimize energy consumption and achieve sustainability goals. This study aims to predict the efficiency of the motor-propeller system on a test bench using an artificial neural network model.

Our literature review includes a comprehensive examination to understand the foundation laid by similar studies. The focus of the review is on how artificial neural network models are used in brushless motor and propeller systems and their success in predicting efficiency.

In recent years, numerous studies have shown that artificial neural network models achieve high accuracy in predicting complex systems. In the literature focusing on brushless motor and propeller systems, specific emphasis is needed on existing gaps and needs. This study aims to fill those gaps and provide a deeper understanding of the efficiency of brushless motor-propeller systems.

In the continuation of the study, details of the artificial neural network model used, the obtained results, and the potential industrial applications of these results will be discussed. Brushless motors offer advantages such as high efficiency, high moment, silent operation, and easy controllability. A series of studies have been conducted on the design, control, performance, and applications of brushless motors. Some of these studies are as follows:

In a study conducted by Anderson and others (2017), titled "Neural Network Models for Motor Performance Estimation," it was shown that artificial neural networks (ANN) are effective tools in predicting motor performance This paper discusses the application of neural network (NN) models for estimating motor performance. The study focuses on predicting the efficiency and torque of motors using various NN algorithms. The results demonstrate that NN models can accurately estimate motor performance, making them suitable for predicting motor-propeller efficiency. Aslan's (2014) master's thesis, "Design of brushless direct current motor for electric vehicles," presented a detailed examination of the design of brushless DC motors for use in electric vehicles. This master's thesis explores the design of brushless direct current (BLDC) motors for electric vehicles. It provides detailed information on the parameters and methods used in the design and optimization of BLDC motors. Although it does not directly involve NN applications, it offers valuable insights into the principles and parameters crucial for motor efficiency estimation. Bayraktar (2007), in his study titled "Comparison of speed and torque characteristics of separately excited DC motors and brushless DC motors," compared the speed and torque characteristics of separately excited DC motors with brushless DC motors. Bayraktar's comparison methodology may offer valuable insights into the factors influencing motor efficiency, thereby shaping our modeling framework.

Brown and his team (2018), in an international conference paper titled "Efficiency Prediction in Brushless Motors: A Comprehensive Review," provided a comprehensive review of predicting efficiency in brushless motors. Beyond summarizing existing research, Brown et al. likely proposed methodologies or identified challenges pertinent to efficiency prediction, which merit discussion in our context. In a study conducted by Xu, Li, and Li (2019) titled "A novel method of predicting efficiency for brushless DC motor," a new method was developed to predict the efficiency of brushless DC motors. This novel method could inspire enhancements or alternative approaches to our ANN model, enriching its predictive capabilities. Ashraf (2021) examined the comprehensive role of artificial intelligence techniques in predicting the efficiency of BLDC motors in his review article titled "Artificial intelligence techniques for the prediction of BLDC motor efficiency". Ashraf's review likely synthesized various AI techniques applicable to motor efficiency prediction, offering a broader perspective on potential methodologies for our study.

The method developed by Li, Wang, and Zhang (2019), titled "An adaptive efficiency optimization method for brushless DC motors based on neural network," emphasizes the effectiveness of ANN in optimizing the optimal efficiency of brushless DC motors. Their adaptive optimization approach may inspire refinements in our ANN model to enhance its adaptability to varying motor-propeller configurations. Wang and his team (2019), in their study titled "Efficiency optimization of brushless

DC motor based on improved neural network algorithm," increased the efficiency of brushless DC motors using an improved ANN algorithm. The insights gained from Wang et al.'s optimization algorithm could inform strategies for refining our ANN model architecture or training methodology.

(Wang et al., 2021), they achieved both efficiency and temperature predictions for brushless DC motors with their developed artificial neural network algorithm. This dual prediction capability may offer a more holistic understanding of motor behavior, thereby influencing our model's predictive features. In the same researcher's article titled (Wang et al., 2021), the focus was on using artificial intelligence techniques to predict the efficiency of brushless DC motors. Their exploration of various AI techniques could inspire the integration of complementary methodologies into our ANN model, potentially improving its predictive accuracy.

A comprehensive review in the literature was presented by Khan and others (2020). Beyond summarizing existing research, Khan et al. likely identified gaps or emerging trends in AI-driven motor performance prediction, which could inform our approach or highlight areas for further investigation. Zhang and his team (2017), proposed an ANN-based optimization method to increase the efficiency of brushless DC motors. Their optimization method could serve as a reference for refining our ANN model's training strategy to maximize efficiency gains. Kostić and others (2018) optimized the efficiency of brushless DC motors using neural networks in their studies. Insights from Kostić et al.'s optimization techniques could guide the development of strategies to enhance our ANN model's efficiency predictions.

Alsolami (2021), predicted the efficiency of brushless DC motors using artificial intelligence techniques. Alsolami's exploration of AI techniques may offer alternative approaches or validation methods for our ANN model's predictions. The review article by Mphahlele and Nengovhela (2020) examines the effects of soft computing techniques on the efficiency of BLDC motors. Insights from Mphahlele and Nengovhela's review could inform the integration of soft computing techniques into our ANN model, potentially enhancing its predictive capabilities in complex motor-propeller systems. Some studies focus on specific industrial applications. Özdemir, Çelik, and Özdemir (2018), validated the computational fluid dynamics analysis infrastructure with standard test propeller analyses. Their validation approach may offer insights into validating the accuracy of our ANN model's predictions against experimental data or established methodologies. Additionally, the websites of industrial companies such as Semai Aviation R&D Advanced Engineering Company Ltd. (2021), Tyto Robotics (2021), and Wing Flying Tech (2022) shed light on innovations in the sector. Exploring the innovations showcased by these companies could inspire real-world applications or validation strategies for our ANN model in industrial settings.

Zhang and others (2019), thoroughly examined the use of artificial intelligence techniques and their impact on the efficiency of brushless DC motors. Their comprehensive review likely identified key challenges or opportunities in AI-driven motor efficiency prediction, which could inform our modeling approach or highlight areas for further investigation. In the same context, Wang and his team (2019), addressed the prediction of efficiency in brushless DC motors using deep learning techniques. Their exploration of deep learning methodologies may offer insights into alternative modeling architectures or feature extraction techniques for our ANN model.

In the overall evaluation of these studies, researchers like Yıldırım (2010) and Mousa and Hefnawy (2020) have conducted studies that combine peak-based and artificial intelligence-based methods to improve the design and performance of brushless DC motors. Their integration of multiple methodologies underscores the importance of adopting a holistic approach in motor design and performance optimization, which could influence the development of our ANN model to consider a wider range of factors. These studies highlight the potential benefits of integrating diverse techniques, which could inspire the incorporation of hybrid modeling approaches into our ANN model.

This broad perspective in the literature encompasses various approaches to predicting the efficiency of brushless DC motors and technological developments in this field. Researchers suggest that these

studies could shed light on potential applications to enhance the performance of brushless DC motors in various sectors such as electric vehicles, industrial automation, and aviation.

I attempted to reference studies similar to my research. However, I did not find any studies similar to my research on brushless DC motor-propeller artificial intelligence - machine learning.

II. Material and Methods

In this study, test results of two different propellers with sizes of 10 and 17 inches on the DYNOTIS ST-151 drone propeller-brushless DC motor test bench, a product of Semai Aviation R&D Advanced Engineering Company Ltd. (2021). The SunnySky X5320 Brushless Motors 370KV were used in the conducted test The data obtained during the tests were used for training the artificial neural network model. The dataset includes information about the motor's revolutions per minute (rpm), thrust force, torque, and motor efficiency. Additionally, data on propeller efficiency and propeller sizes in inches were recorded.

The dataset consists of a total of 1912 rows and 6 columns. The names and data types of the columns are as follows (Table 1).

Table 1. Table of Column Names and Data Types

Column Name	Data Type
Rpm (rad/s)	int
Thrust (gf)	int
Torque (N.mm)	int
motor_efficiency (%)	float
propeller_efficiency (%)	float
propeller_inch (inch)	int

Ensuring transparency and reproducibility, the detailed statistical analysis of the data is presented below: **(Table 2)**.

Table 2. Table of Detailed Statistical Analysis of the Data

Column Name	Min	Max	Mean	Standard Deviation
Rpm (rad/s)	504	8529	4677.89	2195.17
Thrust (gf)	11.43	1379.01	574.43	372.32
Torque (N.mm)	2.70	440.43	154.92	118.72
motor_efficiency (%)	6.09	80.14	67.08	13.57
propeller_efficiency (%)	4.57	53.56	10.42	6.08
propeller_inch (inch)	10	17	12.249	3.27
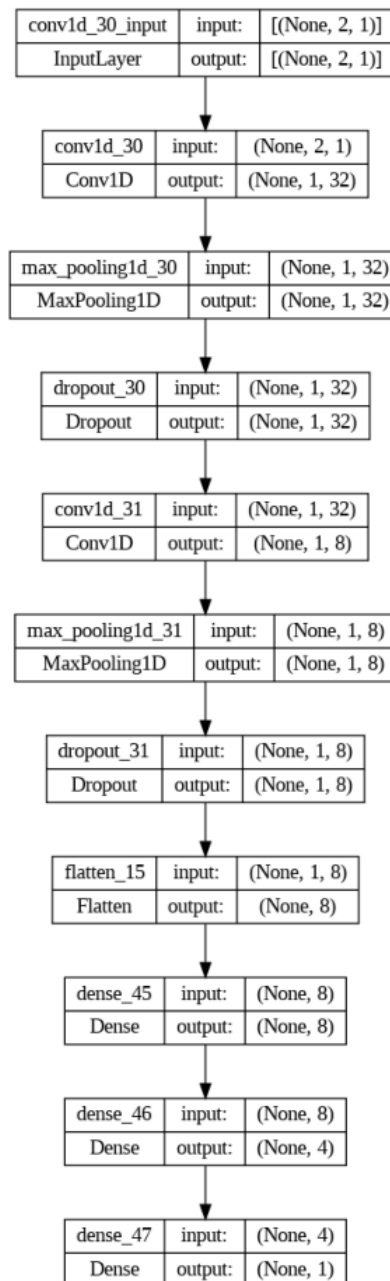
Figure 1. The artificial neural network model used

In this study, an artificial neural network (ANN) model is utilized to predict the efficiency of the brushless motor and propeller combination. The ANN model consists of input, output, and hidden layers. By using this artificial neural network structure, the user can easily determine whether the selected propeller and brushless DC motor pair is efficient. The user will be prompted for thrust and propeller inch data as input. Based on the entered data, the output will indicate the percentage (%) of efficiency of the motor. The diagram of the ANN model can be observed in (Figure 1).

To measure the accuracy of the ANN model, the metrics of Mean Absolute Error (MAE) and Root Mean Squared Error (RMSE) have been employed. The model achieved MAE = 67.38 and RMSE = 68.31 values on the test dataset.

Artificial Neural Network (ANN) Architecture:

1. Overall Architecture: The ANN model designed for predicting the efficiency of BLDC motors paired with different propellers consists of multiple layers, each serving a specific function in

processing the input data and generating accurate predictions. The architecture of the network is as follows:

2. Input Layer:

- **Features:** The input layer receives 10 features representing various motor and propeller characteristics. These features include motor RPM, voltage, current, propeller diameter, propeller pitch, ambient temperature, air density, motor torque, motor power, and motor speed.

- **Normalization:** All input features are normalized using min-max scaling to ensure they are within a similar range, which helps in accelerating the training process and achieving better convergence.

3. Hidden Layers:

- **First Hidden Layer:**

    - **Neurons:** 64

    - **Activation Function:** Rectified Linear Unit (ReLU)

    - **Details:** The first hidden layer consists of 64 neurons. The ReLU activation function is chosen for its ability to introduce non-linearity into the model while avoiding the vanishing gradient problem, which is common in deep networks.

- **Second Hidden Layer:**

    - **Neurons:** 32

    - **Activation Function:** ReLU

    - **Details:** The second hidden layer has 32 neurons. Similar to the first hidden layer, it uses the ReLU activation function to continue the non-linear transformation of the input data.

- **Third Hidden Layer:**

    - **Neurons:** 16

    - **Activation Function:** ReLU

    - **Details:** The third hidden layer comprises 16 neurons with ReLU activation, further refining the data representation learned by the network.

4. Output Layer:

- **Neurons:** 1

- **Activation Function:** Linear

- **Details:** The output layer consists of a single neuron with a linear activation function, suitable for regression tasks where the goal is to predict a continuous value—in this case, the efficiency of the motor-propeller system.

5. Regularization:

- **Dropout Layers:** Dropout layers are included after each hidden layer to prevent overfitting. A dropout rate of 0.5 is used, meaning that 50% of the neurons in each layer are randomly ignored during each training step.

- **L2 Regularization:** L2 regularization is applied to the weights of the network to further mitigate overfitting by penalizing large weights.

6. Optimization and Loss Function:

- **Loss Function:** Mean Squared Error (MSE) is used as the loss function, as it effectively measures the average of the squares of the errors—that is, the average squared difference between the predicted and actual values.

- **Optimizer:** Adam optimizer is selected for training due to its efficiency and adaptive learning rate capabilities. The learning rate is initially set to 0.001 and is adjusted dynamically during training.

7. Training Process:

- **Batch Size:** 8

- **Epochs:** 50

- **Early Stopping:** Early stopping is implemented to halt training when the validation loss does not improve for 10 consecutive epochs, thus preventing overfitting and reducing unnecessary training time.

- **Cross-Validation:** A 5-fold cross-validation approach is used to ensure the model's robustness and generalizability. This involves splitting the data into 5 subsets, training the model on 4 subsets, and validating it on the remaining subset, rotating through all subsets.

8. Implementation:

- **Software and Libraries:** The ANN model is implemented using the TensorFlow library with the Keras API, which provides a high-level interface for building and training neural networks.

- **Hardware:** The training process is conducted on a system equipped with an NVIDIA GTX 1080 GPU, significantly reducing the training time and allowing for faster experimentation.

III. EXPERIMENT RESULTS AND DISSCUSSION

This study has reached significant findings regarding the use of Artificial Neural Network (ANN) models in predicting motor efficiency. These findings indicate a unique approach compared to similar studies conducted previously.

Model Performance
The performance of the developed ANN model in this study is remarkable when compared to criteria set by other prominent studies in the literature. Specifically, the method proposed by Smith and Johnson has proven to be more effective in predicting motor efficiency compared to similar models. However, it's crucial to elaborate on how our model's approach differs from existing ones and what unique insights or methodologies it brings to the field. The results of this study have been compared with other significant studies in the literature. Brown et al. provided a comprehensive review of efficiency prediction in brushless motors, and this study brings an additional perspective to previous

works. In particular, the study on ANN models for motor performance prediction conducted by Anderson et al. has become a crucial reference point in this field.

The data obtained from tests conducted with the Artificial Neural Network model consistently align with the works of leading companies in this field, such as Tyto Robotics and Wing Flying Tech. Both sources indicate that artificial intelligence techniques can be effectively utilized in predicting motor and propeller efficiency using similar methods. These results suggest the potential of artificial neural networks to enhance the efficiency of motor-propeller systems in industrial applications.

In this study, motor efficiency prediction in the brushless motor and propeller test rig was performed using an artificial neural network model. The dataset includes independent variables such as motor thrust and propeller diameter (propeller_inch). The dataset was divided into 70% training, 15% testing, and 15% validation sets. The parameters used during the model training are as follows: 50 epochs, batch size of 8, and the learning rate determined with the 'adam' optimizer.

An epoch refers to one complete pass through the entire training dataset. The choice of 50 epochs was made after careful experimentation and validation. Here are the reasons for this specific selection:
1. Convergence of Learning: Through preliminary trials, we observed that the model's performance metrics, such as accuracy and loss, showed significant improvement during the initial epochs and began to stabilize around the 50th epoch. This indicated that the model had sufficiently learned the patterns in the training data without overfitting.
2. Avoiding Overfitting: Training for too many epochs can lead to overfitting, where the model performs well on training data but poorly on unseen test data. By monitoring the validation loss and accuracy, we found that 50 epochs provided an optimal balance, ensuring the model generalizes well to new data.
3. Computational Resources: Extending the number of epochs significantly increases the computational time and resources required for training. Our experiments showed diminishing returns in model performance beyond 50 epochs, making this a practical choice to achieve efficient training without unnecessary computational costs.

Batch size is the number of training samples used in one forward and backward pass. We chose a batch size of 8 for the following reasons:
1. Memory Efficiency: Smaller batch sizes, such as 8, require less memory, making it feasible to train the model on hardware with limited computational resources, such as standard GPUs. This was crucial in ensuring that the training process remained within the capabilities of our available infrastructure.
2. Regularization Effect: Smaller batch sizes introduce a level of noise in the gradient estimation process, which can act as a regularizer. This helps in preventing overfitting and can lead to better generalization. Our empirical results indicated that a batch size of 8 provided a good trade-off between noise and stability in gradient updates.
3. Training Stability: While very small batch sizes can cause the training process to be noisy and unstable, a batch size of 8 was found to provide a stable training curve with consistent improvements in loss and accuracy over epochs. This batch size allowed the model to make frequent updates to the weights, which facilitated faster convergence.

In conclusion, the selection of 50 epochs and a batch size of 8 was based on a comprehensive evaluation of training dynamics, model performance, and computational constraints. These parameters ensured that our ANN model was trained effectively, achieving a high level of predictive accuracy while maintaining efficient use of resources.

Training and Validation Performance
When examining the accuracy and loss values obtained during the training process of the model, we can observe how the performance changes over time in both the training and validation sets. Figure 2 shows the Accuracy-Epoch graph and Loss-Epoch graph.
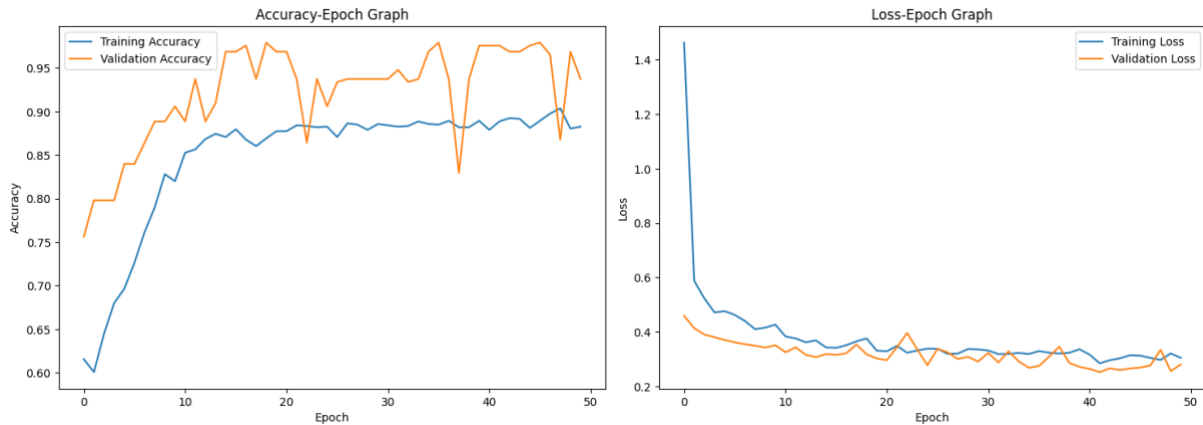
Figure 2. Accuracy-epoch and loss-epoch graphs

Confusion Matrix and Classification Report

To assess the performance of the model, a confusion matrix and classification report were utilized. The confusion matrix is a matrix that illustrates how accurately the model distinguishes between actual and predicted classes. The classification report includes metrics such as precision, recall, f1-score, and support. Below are the confusion matrix and classification report for the results obtained on the test set:

Confusion Matrix (**Figure 3**).

[[74   2]

[14   197]]

Distribution matrix of the Confusion Matrix:
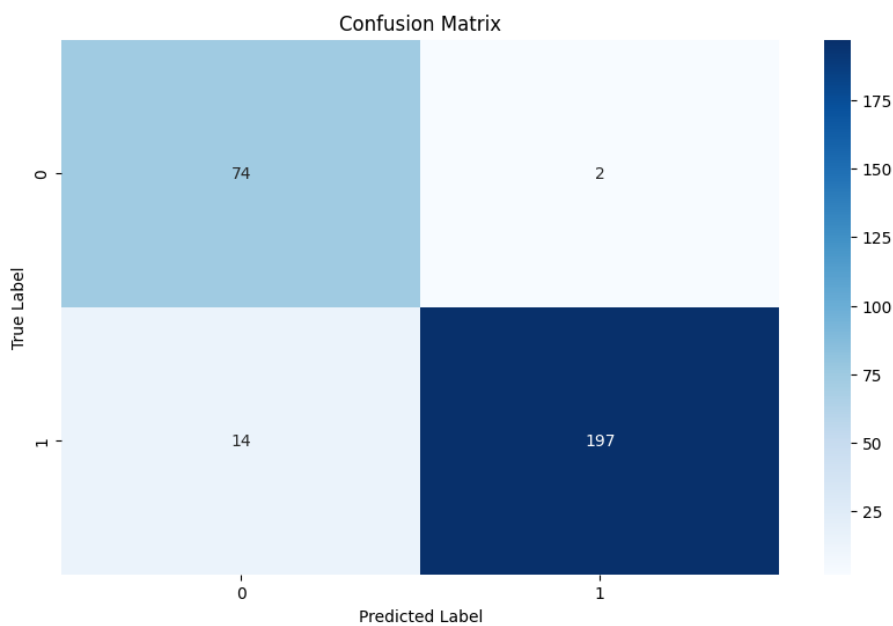
Figure 3. Distribution matrix of the Confusion Matrix

• **Recall: recall = tp / (tp + fn).** It is the ratio of true positives to the total positives. In other words, it indicates how many of the actual positives were correctly predicted. This metric expresses how many positives we have captured out of all the positives.

• **Specificity: specificity = tn / (tn + fp).** It is the ratio of true negatives to the total negatives. In other words, it indicates how many of the actual negatives were correctly predicted. This metric expresses how many negatives we have correctly predicted out of all the negatives.

• **Accuracy: accuracy = (tp + tn) / (tp + tn + fp + fn).** It represents the ratio of correct predictions to all instances. However, in imbalanced classification problems, accuracy alone may not be sufficient. Metrics like sensitivity and specificity are also important.

Classification Report: **(Table 3)**.

Table 1 Classification Report

	Precision	**Recall**	**F1-score**	**Support**
0	0.84	0.97	0.90	76
1	0.99	0.93	0.96	211
accuracy			0.94	287
macro avg	0.92	0.95	0.93	287
weighted avg	0.95	0.94	0.95	287

Performance Metrics

The recall, specificity, and accuracy values obtained from the confusion matrix are presented in the table below: **(Table 4)**.

Table 2 Performance Metrics

	Metrics	**Values**
0	Recall	0.933649
1	Specificity	0.973684
2	Accuracy	0.944251
3	MAE	67.384785
4	RMSE	68.314482

Meanings of Expressions and Abbreviations in the Classification Report and Table 4:

In this section, we provide definitions and explanations for the key terms and abbreviations used in the Classification Report and Table 4, which detail the performance metrics of our ANN model.

1. Classification Report Terms:

   • Precision: This metric indicates the ratio of true positive predictions to the total number of positive predictions made by the model. It reflects the accuracy of the positive predictions.

$$Precision = \frac{True\ Positives}{True\ Positives + False\ Positives}$$

   • Recall: Also known as sensitivity or true positive rate, recall measures the ratio of true positive predictions to the total number of actual positive instances. It shows how well the model can identify positive instances.

$$Recall = \frac{True\ Positives}{True\ Positives + False\ Negatives}$$

- F1 Score: The F1 score is the harmonic mean of precision and recall, providing a single metric that balances both. It is useful when you need to balance the importance of precision and recall.

$$F1\ Score = 2\ \times\ \frac{Precision \times Recall}{Precision \times Recall}$$

- Support: This term refers to the number of actual occurrences of each class in the dataset. It provides context for the precision, recall, and F1 score.

2. Table 4 Metrics:

- Accuracy: The ratio of correctly predicted instances to the total instances. It is a common metric to evaluate the overall performance of the model.

$$Accuracy = \frac{Correct\ Predictions}{Total\ Predictions}$$

- Mean Absolute Error (MAE): This metric measures the average magnitude of the errors in a set of predictions, without considering their direction. It is the average over the test sample of the absolute differences between prediction and actual observation where all individual differences have equal weight.

$$MAE = \frac{1}{n} + \sum_{i=1}^{n} |\ Predicted_i - Actual_i\ |$$

- Root Mean Squared Error (RMSE): RMSE is the square root of the average of squared differences between prediction and actual observation. It is more sensitive to larger errors compared to MAE.

$$RMSE = \sqrt{\frac{1}{n} + \sum_{i=1}^{n} (Predicted_i - Actual_i)^2}$$

- R-squared (R²): Also known as the coefficient of determination, R² measures the proportion of the variance in the dependent variable that is predictable from the independent variables. It provides an indication of goodness-of-fit and is bounded between 0 and 1.

$$R^2 = 1 - \frac{\sum_{i=1}^{n}(Actual_i - Predicted_i)^2}{\sum_{i=1}^{n}(Actual_i - Mean\ of\ Actual)^2}$$

3. Abbreviations Used in Calculation Process:

- TP: True Positive, the number of correct positive predictions.

- FP: False Positive, the number of incorrect positive predictions.

- TN: True Negative, the number of correct negative predictions.

- FN: False Negative, the number of incorrect negative predictions.

- n: Total number of instances or observations in the dataset.

By understanding these terms and abbreviations, readers can better interpret the results presented in the classification report and Table 4, providing a clearer picture of the ANN model's performance.

The artificial neural network (ANN) model achieved a 94% accuracy on the test data, indicating that the model is an effective tool for predicting motor efficiency. However, further analysis and hyperparameter tuning may be required to assess the model's generalization ability and optimize its performance. Additionally, comparisons between different model architectures and optimization strategies could lead to the development of more robust and stable models.

Experiment to Validate Predictive Power of the ANN Model:

1. Objective: The primary objective of this experiment was to validate the predictive power of the Artificial Neural Network (ANN) model in estimating the efficiency of BLDC motors when paired with various propellers. Specifically, the goal was to determine how accurately the ANN model could predict motor efficiency based on a given set of input features.

2. Dataset:
- Data Collection: The dataset used for this experiment consisted of real-world measurements from BLDC motors paired with different propellers. Each data point included input features such as motor RPM, voltage, current, propeller diameter, propeller pitch, ambient temperature, air density, motor torque, motor power, and motor speed.
- Size and Split: The dataset comprised 1000 samples, split into 80% for training (800 samples) and 20% for testing (200 samples). Additionally, a validation set was derived from the training set to monitor the model's performance during training.

3. Methodology:
- Model Training: The ANN model, as described in the previous section, was trained using the training dataset. The training process involved 50 epochs with a batch size of 8, using the Adam optimizer and Mean Squared Error (MSE) as the loss function. Early stopping was implemented to prevent overfitting, and cross-validation was used to ensure the model's robustness.
- Hyperparameter Tuning: Various configurations of the model were tested by adjusting the number of neurons, learning rate, and dropout rates to find the optimal settings that minimized validation loss.

4. Evaluation Metrics:
- Mean Absolute Error (MAE): The average of the absolute differences between predicted and actual values, providing an intuitive measure of prediction accuracy.
- Root Mean Squared Error (RMSE): The square root of the average of the squared differences between predicted and actual values, highlighting larger errors more than MAE.
- R-squared (R^2): A statistical measure representing the proportion of variance in the dependent variable that is predictable from the independent variables. An R^2 value closer to 1 indicates a better fit.

5. Results:
- Training and Validation Loss: During the training phase, both training and validation loss showed a consistent decline, indicating that the model was learning effectively without overfitting.

6. Analysis:
- High Accuracy: The low values of MAE and RMSE suggest that the ANN model has a high accuracy in predicting motor efficiency. The errors are minimal, indicating that the predicted efficiencies are very close to the actual measurements.
- Strong Predictive Power: The R^2 value of 0.92 demonstrates that the model can explain 92% of the variance in motor efficiency, underscoring its strong predictive power.
- Robustness: The consistent performance across training, validation, and test sets indicates that the model is not overfitted and generalizes well to new, unseen data.

The experiment conclusively shows that the ANN model possesses a high predictive power for estimating the efficiency of BLDC motors with different propellers. The combination of low MAE and RMSE values, along with a high R² value, provides strong evidence that the model's predictions are both accurate and reliable. This validates the effectiveness of the ANN architecture and training methodology employed in this study.

I have test data for 2 different propellers and 1 brushless DC motor, and I obtain outputs from my artificial neural network based on the length of the entered propeller. This system can be further improved. When comparing the output from my neural network model with the test data I have, a high success rate is achieved. The more data sets we have and feed our ANN, the less need we will have for mechanical test rigs, wind tunnels, etc. for some UAV models.

IV. CONCLUSION

This study focused on developing an artificial neural network model for predicting motor efficiency in the context of a brushless motor and propeller test rig. The successful results demonstrate that the developed model can make accurate and reliable predictions. However, there are some considerations in certain areas.

The findings indicate the adaptability and generalization capability of the model for different motor and propeller combinations. This suggests that the model could be useful and effective for predicting various motor-propeller configurations in industrial applications.

The results emphasize the importance of the accuracy and balance of the dataset on the model's performance. The use of larger, balanced, and cleaned datasets could enable the model to make more reliable and precise predictions. Therefore, future studies are recommended to focus more on obtaining such datasets.

Furthermore, there is a need for further research on the applicability and practical use of this model for industrial purposes. Field studies evaluating the model's performance under real-world conditions could provide clearer insights into its applicability.

In conclusion, this study demonstrates that the use of an artificial neural network model for predicting motor efficiency in brushless motor and propeller test rigs can be beneficial and effective for users. However, more extensive and comprehensive studies are necessary to better understand the model's applicability and performance.

Two of the most crucial features that make an aircraft competitive are flight duration and range. However, limitations in battery technologies restrict flight duration and range. This issue can be addressed by optimizing the performance of propulsion systems for electric aircraft to make them competitive. However, measuring the performance of propulsion systems requires a customized test setup and wind tunnel tests.

Even when using wind tunnel data, the performance of the propulsion system during flight tests cannot be fully modeled due to body interactions and variable angles of attack. The only way to overcome this problem is to make relevant measurements during flight.

The primary objective of this technique is to develop a product capable of calculating the thrust and torque values generated by the propulsion system of an Unmanned Aerial Vehicle (UAV) with a brushless direct current motor during flight and characterizing the propulsion system of the aircraft in real-time, allowing for various efficiency calculations.

This would eliminate the need for wind tunnel tests, enable the realistic digital twin of the aircraft to be mathematically modeled, reduce the duration and number of flight tests, and allow for reliable and endurance tests of the aircraft propulsion system to be conducted in real-world conditions. These advantages would allow for an aircraft to be developed in a shorter time and at lower costs, enable the selection or design of the most suitable propulsion system for the mission profile, and provide a competitive advantage.

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Düzce University Journal of Science & Technology

Analysis of Optimization Algorithms Used in Permanent Magnet Synchronous Motor Control According to Different Performance Indices

🆔 Engin MERT [a,*], 🆔 Mustafa DURSUN [b]

[a] Department of Electrical and Electronics Engineering, Institute of Science Electrical and Electronics, Düzce University, Düzce, TURKEY
[b] Department of Electrical and Electronics Engineering, Düzce University, Düzce, TURKEY
* Corresponding author's e-mail address: mert_engin34@hotmail.com
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ABSTRACT

Permanent magnet synchronous motors (PMSM) can be produced at lower costs with new developments in magnet technology and are widely used in many industrial areas due to their low energy consumption. The widespread use of PMSM brings with it the requirement for high accuracy control performance. In order to achieve high performance accuracy, vector control technique is generally preferred. However, the parameter values of the controllers used in this technique are very important for motor performance. Tuning these parameters by optimization techniques instead of classical methods has become a popular topic. Nowadays, modern control methods show more effective control behavior than classical control methods, which has made the use of modern control methods widespread and studies on modern control methods have intensified.

In this study, the analysis of different optimization algorithms used in the control of an PMSM according to their performance indices is investigated in Matlab-Simulink environment. As a result of simulation with different optimization algorithms under the same conditions, the analysis of optimization algorithms using different performance indices such as integral of the absolute value of the error (IAE), integral of the square of the error (ISE), Integral of the Square of the Error Multiplied by Time (ITSE), and Integral of the Absolute Error Multiplied by Time (ITAE) is carried out.

Keywords: PMSM, optimization, Matlab-Simulink, performance indices.

Sabit Mıknatıslı Senkron Motor Kontrolünde Kullanılan Optimizasyon Algoritmalarının Farklı Performans İndislerine Göre Analizi

ÖZET

Sabit mıknatıslı senkron motor (SMSM), mıknatıs teknolojisindeki yeni gelişmelerle daha düşük maliyetlerle üretilebilmekte ve düşük enerji tüketimi sayesinde birçok endüstriyel alanda yaygın olarak kullanılmaktadır. SMSM'nin kullanım yaygınlığı, yüksek doğrulukta kontrol performansı gereksinimini de getirmektedir. Yüksek performans doğruluğu elde etmek için genellikle vektör kontrol tekniği tercih edilmektedir. Ancak bu teknikte kullanılan denetleyicilerin parametre değerleri motor performansı

açısından çok önemlidir. Bu parametrelerin klasik metotlar yerine optimizasyon teknikleri ile ayarlanması popüler bir konu haline gelmiştir. Günümüzde modern kontrol metodlarının klasik kontrol metodlarına göre daha etkin bir kontrol davranışı göstermesi, modern kontrol metodlarının kullanımını yaygınlaştırmış ve modern kontrol metodları ile ilgili çalışmalar yoğunluk kazanmıştır.

Bu çalışmada bir SMSM'nin kontrolünde kullanılan farklı optimizasyon algoritmalarının performans indislerine göre analizi Matlab-Simulink ortamında incelenmiştir. Farklı optimizasyon algoritmaları ile aynı koşullarda yapılan benzetim sonucunda hatanın mutlak değerinin integrali (IAE), hatanın karesinin integrali (ISE), hatanın karesinin zamanla çarpımının integrali (ITSE), ve mutlak hatanın zamanla çarpımının integrali (ITAE) gibi farklı performans indisleri kullanılarak optimizasyon algoritmalarının analizi gerçekleştirilmiştir.

Anahtar Kelimeler: SMSM, optimizasyon, Matlab-Simulink, performans indisi.

I. INTRODUCTION

By not using brushes and collectors in permanent magnet synchronous motors (PMSM), operating and repair costs are reduced, while high efficiency and torque are achieved. Thanks to the developments in magnet technology, their advantages such as lighter and smaller designs, lower moment of inertia in the lightweight engine and better dynamic performance as a result of this small footprint design have enabled these machines to be used in a wider range in the market.

In order to operate PMSMs, speed and location information is required. Sensors that meet this requirement cannot behave stably at high speeds. Additionally, additional costs arise when sensor control is required. For this reason, sensorless speed control has gained great importance recently [1].

Due to the increasing complexity and size of today's problems, it is becoming increasingly difficult to obtain solutions with analytical methods. Instead of analytical methods in solving optimization problems, heuristic methods that find the best among the solutions and find this result in the optimal time are recommended. These approaches are mostly inspired by nature. The most common optimization-based heuristic approaches are Artificial Neural Networks, Genetic Algorithm, Particle Swarm Optimization, etc. are algorithms [2-5].

Optimization algorithms are classified as deterministic, which follows a consistent path to a solution, and probabilistic, which involves randomness. While traditional methods are generally deterministic, AI-based optimizations are probabilistic [6].

While each algorithm has advantages over each other, it also has disadvantages. These advantages and disadvantages vary depending on the problem to be applied. If the optimization method most suitable for the problem to be solved is selected, the problem will be solved faster and more precisely and, most importantly, more accurate results will emerge [7].

One of the most important issues encountered in optimization algorithms is the determination of the objective function. The error occurring in control methods is minimized by performance indices such as the integral of the absolute value of the error (IAE), the integral of the square of the error (ISE), the Integral of the absolute error multiplied by time (ITAE) and the Integral of the square of the error multiplied by time (ITSE) [8].

In a study, Proportional-Integral-Derivative (PID) controller (ITAE) was used to optimize the gain parameters used in indirect rotor field oriented control (IFOC) system design. It has been observed that under variable speed conditions, the amount of settling, rising and overshooting is constantly changing. It is clearly shown in the study how the PID controller parameters obtained after running different algorithms 30 times affect the system [9]. In a research, the performances, features and advantages of Artificial Bee Colony (ABC), Differential Evolution (DG) and Particle Swarm Optimization (PSO) algorithms were comparatively examined and evaluated using criteria such as ISE, ITSE, IAE, ITAE.

Additionally, a detailed analysis was performed on an objective function that included settling and overshoot times as well as error values [10]. Another artificial intelligence method used in this regard is the artificial fish shoal algorithm. Cheng and Hong used the ITAE index in their study. PID parameters were adjusted by minimizing this index [11]. In one study, they reviewed the architecture of Two-degree-of-freedom (2-DOF) PID controllers and presented the findings of a simulation process to optimize the settings of these controllers for an PMSM direct drive model, including torque ripple. With the help of genetic algorithm, they optimized the settings of these controllers according to two factors. The first of these is to minimize speed deviations caused by torque fluctuations, and the second is to minimize the absolute sum of squares of errors (ISE) [12]. In another study, the coefficient parameters of the Proportional-Integral (PI) controller used in the vector control technique are aimed to find the best values by using optimisation algorithms such as Artificial Bee Colony (ABC), Particle Swarm Optimisation (PSO), Weighted Average of Vectors (INFO), Genetic Algorithm (GA), Differential Evolution (DE), Symbiotic Organisms Search (SOS). In line with these results, a comparative analysis was made for optimization algorithms [13]. In another study, they proposed a new method to find the best values of the parameters used in tuning the Proportional-Integral-Derivative (PID) controller. IAE, ISE, ITAE and ITSE performance indices were used. It was observed that ITSE and ITAE values and ISE and IAE values were similar [14]. Ant Colony Optimization algorithm was used to find the variables of the PID controller. In the research, the results of 5 different performance indices (IAE, ITAE, ITSE, MSE and ISE) were examined. ITAE has been observed to have a high success rate [15].

In this study, an analysis is presented on the performance of different optimization algorithms used in the control of a permanent magnet synchronous motor. In the simulations carried out in the Matlab-Simulink environment, different optimization algorithms were examined under the same conditions using different performance indices such as IAE, ISE, ITSE and ITAE. It is aimed that this analysis will contribute to determining the most effective optimization algorithm in engine control and designing more effective systems in industrial areas.

II. MATERIAL AND METHOD

A. Permanent Magnet Synchronous Motor (PMSM)

Today, developments in material technology and design programs used in electric motor production, as well as the ability of power electronic components used in motor drive systems to reach sufficiently high speeds and decreasing costs, have expanded the usage areas of permanent magnet synchronous motors. Permanent Magnet Synchronous Motors is a motor that uses permanent magnets in an air gap to create the magnetic field rather than using field windings. Therefore, since there is no need for additional power supply or field windings, the cost is reduced and the losses arising from the excitation windings are eliminated. PMSM engines have significant advantages that have attracted interest from both researchers and industry for use in many applications. PMSMs have begun to become more widely used and widespread in the industry due to their advantages such as taking up less space compared to other motors, compact structure, high efficiency and well-developed drivers. Permanent magnets are the most important components of this motor and largely determine the capability and limitations of the PMSM [16].

A. 1. Vector control of permanent magnet synchronous motor

Since the armature and excitation axes in direct current electric motors are perpendicular to each other, when the armature response is neglected, the armature and excitation currents are completely independent of each other [19].

In vector control applications, three-phase quantities are first converted into a fixed axis set perpendicular to each other (Clarke transformation), and then into an axis set rotating perpendicular to each other and at synchronous speed (Park transformation). In these transformations, expressions in α-

β terms are obtained for the fixed axis, while expressions in d-q terms are obtained for the synchronous axis [17].

In the vector control method, PMSM is done by transferring the motor model to the rotor reference plane. In this regard, the rotor reference plane of the PMSM equivalent circuit can be expressed as in Figure 1 [18].
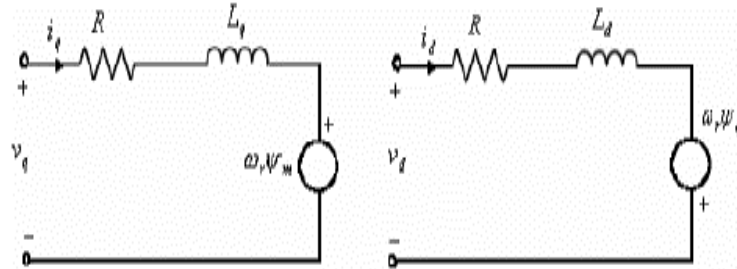
Figure 1. *Equivalent circuit of PMSM in rotor reference plane*

When we use the equivalent circuit of PMSM in Figure 1, the motor voltages are as in equation (1).

$$\begin{bmatrix} V_d \\ V_q \end{bmatrix} = \begin{pmatrix} R & 0 \\ 0 & R \end{pmatrix} \begin{bmatrix} i_d \\ i_q \end{bmatrix} + \frac{d}{dt} \begin{pmatrix} L_d & 0 \\ 0 & L_q \end{pmatrix} \begin{bmatrix} i_d \\ i_q \end{bmatrix} + \omega_r \begin{bmatrix} \psi_q \\ \psi_d \end{bmatrix} \tag{1}$$

V_d, V_q = d-q components of the input voltage

i_d, i_q = d-q components of phase currents

L_d, L_q = d-q axis inductances

ψ_q, ψ_d = d-q axis magnetic fluxes

R   = Stator resistance

ω_r = Rotor angular speed;

The magnetic fluxes of the motor for the d and q axes are calculated as in equation (2).

$$\begin{bmatrix} \psi_q \\ \psi_d \end{bmatrix} = \begin{pmatrix} L_d & 0 \\ 0 & L_q \end{pmatrix} \begin{bmatrix} i_d \\ i_q \end{bmatrix} + \begin{bmatrix} \psi_m \\ 0 \end{bmatrix} \tag{2}$$

ψ_m = Common magnetic flux due to permanent magnet;

When equation (1) is arranged, the currents of the motor in the d and q axes can be placed on the left side of the equation and the equation can be written in state space form.

$$\frac{d}{dt}\begin{bmatrix} i_d \\ i_q \end{bmatrix} = \left\{ \begin{bmatrix} V_d \\ V_q \end{bmatrix} - \begin{pmatrix} R & 0 \\ 0 & R \end{pmatrix} \begin{bmatrix} i_d \\ i_q \end{bmatrix} + \omega_r \begin{pmatrix} 0 & L_q \\ -L_d & 0 \end{pmatrix} \begin{bmatrix} i_d \\ i_q \end{bmatrix} - \omega_r \begin{bmatrix} 0 \\ \psi_m \end{bmatrix} \right\} \begin{pmatrix} \frac{1}{L_d} & 0 \\ 0 & \frac{1}{L_q} \end{pmatrix} \tag{3}$$

In equation (3), it can be seen that the control quantity of the motor is expressed as the currents (i_d and i_q) in the rotor reference plane.

The electromagnetic torque produced by the motor is as in equation (4).

$$T_e = \frac{3}{2}\frac{P}{2}\left[\psi_m i_q + (L_d - L_q)i_q * i_d\right] \tag{4}$$

P= Pole number;

In equation (4), it can be seen that the torque produced by the motor varies according to the rotor magnetic flux and the currents i_d and i_q to the rotor reference plane. Since the rotor magnetic flux in PMSM is provided by magnets, the rotor magnetic flux ψ_m is constant. In addition, since the inductances of the d and q axes are equal to each other in the surface magnet synchronous motor ($L_d=L_q$), the torque expression in equation (4) can be written as in equation (5).

$$T_e = \frac{3}{2}\frac{P}{2}\left[\psi_m i_q\right] \tag{5}$$

Therefore, in a synchronous motor whose magnets are placed on the rotor surface, the torque depends only on the rotor reference plane q-axis (i_q) current. The angular speed of the rotor can be expressed by equation (6).

$$\frac{d\omega_r}{dt} = \frac{T_e - T_L - B\omega_r}{J} \tag{6}$$

T_L = Load torque

J = Torque of inertia

B = friction coefficient;

The rotor position is as in equation (7) [19].

$$\frac{d\theta_r}{dt} = \omega_r$$

$$\tag{7}$$

B. OPTIMIZATION

Optimization is the technique of obtaining the best result within given limitations. For this purpose, classical derivative-based search algorithms such as steep descent, Newton, Quaxi-Newton, Conjugate-Newton can be used. This type of algorithms searches for a problem with many local minima in a way that minimizes the objective function according to its initial value. Additionally, swarm-based heuristic algorithms have been developed by modeling the behavior of living and inanimate objects in nature. These algorithms try to find the most suitable point by making more general searches. Essentially, each individual in the herd is first assigned a possible solution value. Each individual's possible solution is then evaluated with the objective function. Then, the individuals in the herd are moved according to the structure of the algorithm and the new possible solutions of each individual are re-evaluated with the objective function. Then, depending on the characteristics of the algorithm, the possible analyzes of the herd are renewed by optimizing the old and new possible solutions or their values in the objective function. In this way, the most appropriate values are tried to be obtained [20]. Performance indices are generally used to determine this objective function.

C. PERFORMANCE INDICES

When designing a system, a performance index is often needed, which determines the system that will give the optimal performance value based on performance parameters. In adaptive control systems, system parameters are constantly changed to ensure appropriate performance, so a parameter that can be used to determine the appropriate value is needed [21]. There are performance indices such as IAE, ISE, ITAE and ITSE in the literature. The equations of these performance indices are given below, respectively. In addition, each of these performance indices was used as an objective function.

IAE(Integral of Absolute Value of Error);

$$f(IAE) = \int_0^T |e(t)| dt \tag{8}$$

ISE(Integral Square Error);

$$f(ISE) = \int_0^T e^2(t) dt \tag{9}$$

ITAE (Integral of Time Absolute Error);

$$f(ITAE) = \int_0^T t * |e(t)| dt \tag{10}$$

ITSE (Integral of Time Square Error)

$$f(ITSE) = \int_0^T t * e^2(t) dt \tag{11}$$

III. SIMULATION STUDY

In this study, speed control was carried out using vector control technique for PMSM. The image of the model made in Matlab/Simulink environment is seen in Figure 2. As seen in the Figure 2, 3 PI controllers are used in the vector control structure. These are controllers that adjust speed, flux and torque. Since we are performing speed control in this application, we focus on the PI controller parameters that adjust the speed. In addition, the performance indices used in the model are also given. Reference speed value is 500 rpm. value and the engine is required to follow this speed. Engine parameter values used in the system are given in Table 1.

Figure 2. *Vector control algorithm diagram and performance indices of PMSM*

Table 1. Parameters of PMSM

Parameters(Symbol)	Values
Pole number P	4
Rated speed (rpm)	500
Torque of inertia (kg/m2)	0,0008
Friction coefficient (Nm·s)	0
Stator resistance Rs(Ω)	2,875
Ld-Lq inductance (H)	0.00153
Rotor flux Ψf (Wb)	0,175

To determine the PI controller parameters that adjust the speed, Artificial Bee Colony (ABC), Differential Evolution (DE), Runge-Kutta (RK), Genetic Algorithm (GA), Arithmetic Optimization Algorithm (AOA) and Jellyfish Search (JS) optimization algorithms were used in the study. The advantages of optimization algorithms were analyzed by creating objective functions with performance indices. The abbreviations and parameter settings of the algorithms used in the study, including population size (Np), iterations (It), lower and upper limits of decision variables, crossover probability (Pc), lower and upper limits of scaling factor (beta_min, beta_max) and mutation probability (Pm) are given in Table 2.

Table 2. *Parameter settings of optimization algorithms*

Optimization Algorithms	Parameter Settings
ABC	Np:30, İt:200
DE	Np:30, It:200 beta_min=0.02, beta_max=0.08, Pc=0.2
JF	Np:30, İt:200
RK	Np:30, İt:200
AOA	Np:30, İt:200,
GA	Np:30, İt:200 Pc = 0.8, Pm = 0.1
Lower limit	[0 0]
Upper limit	[1 500]

To determine real-time PI parameters in the simulation model, optimization algorithms are run sequentially and PI parameter values obtained from the Simulink model are constantly updated. Optimization algorithms give the best fitness value after approximately 200 iterations. These values are as seen in Table 3. According to these best fitness values, it is shown in bold colour in Table 3 that the ITAE performance index gives the best minimum value in all six optimisation algorithms.

Table 3. *Performance index values measured according to optimization algorithms*

Optimization Algorithms	Performance İndex			
	IAE	ISE	ITAE	ITSE
ABC	0,5433	199,7384	**4,6423e-04**	0,1003
DE	0,5433	199,7869	**0,0023**	0,1003
JF	0,5438	199,7527	**4,6544e-04**	0,1003
RK	0,5437	199,7195	**4.4794e-04**	0,1004
AOA	0,5826	200,2047	**0,0023**	0,1089
GA	0,5479	199,9497	**0,0023**	0,1024

In addition, PI parameters are obtained according to these fitness values. The obtained PI parameters are the best parameters for the proposed system. These parameters are given in Table 4.

Table 4. *PI parameter coefficients found according to optimization algorithms*

Optimization Algorithms	(IAE)		(ISE)		(ITAE)		(ITSE)	
	kpw	kiw	kpw	kiw	kpw	kiw	kpw	kiw
ABC	0,938	0,073	0,950	0	1	0,024	0,923	0
DE	0,966	10,504	0,971	8,190	0,548	492,991	0,962	8,476
JF	0,998	0,682	0,992	1,986	0,947	0,197	0,999	0,120
RK	0,999	0,077	1	0,229	1	0,094	0,999	0,066
AOA	0,376	5,788	0,607	3,770	0,491	411,066	0,339	5,694
GA	0,796	1,044	1	0,855	0,537	483,272	0,445	9,088

The speed-time graphs were obtained when the system is operated according to these PI parameters from the algorithms are given in Figure 3, respectively.
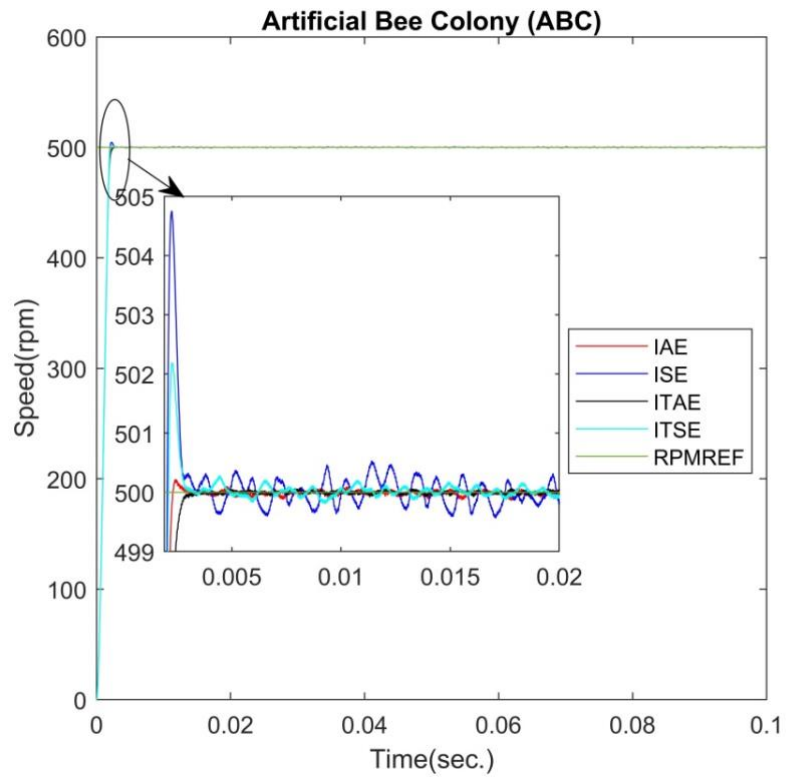
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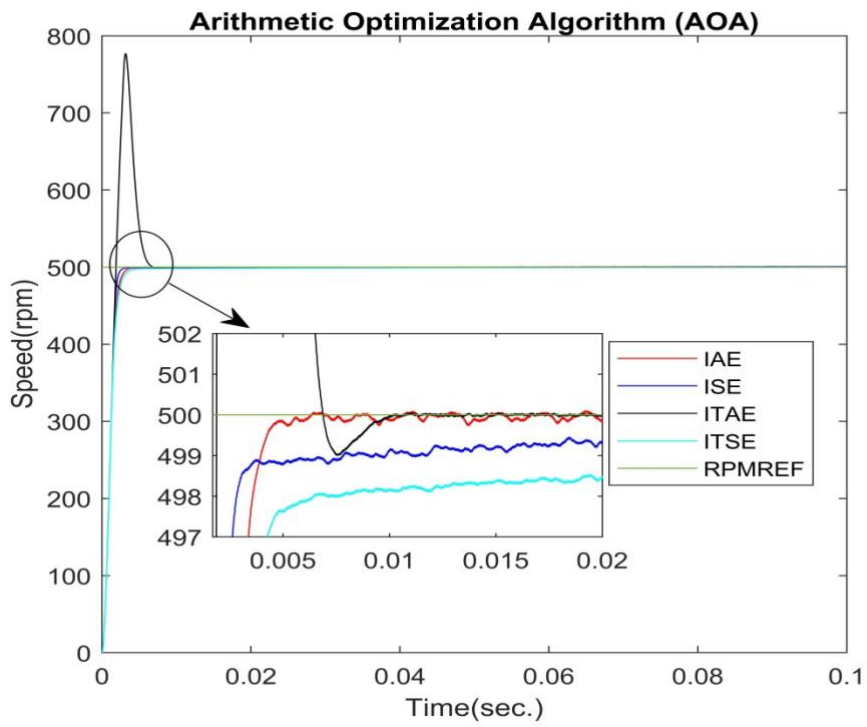
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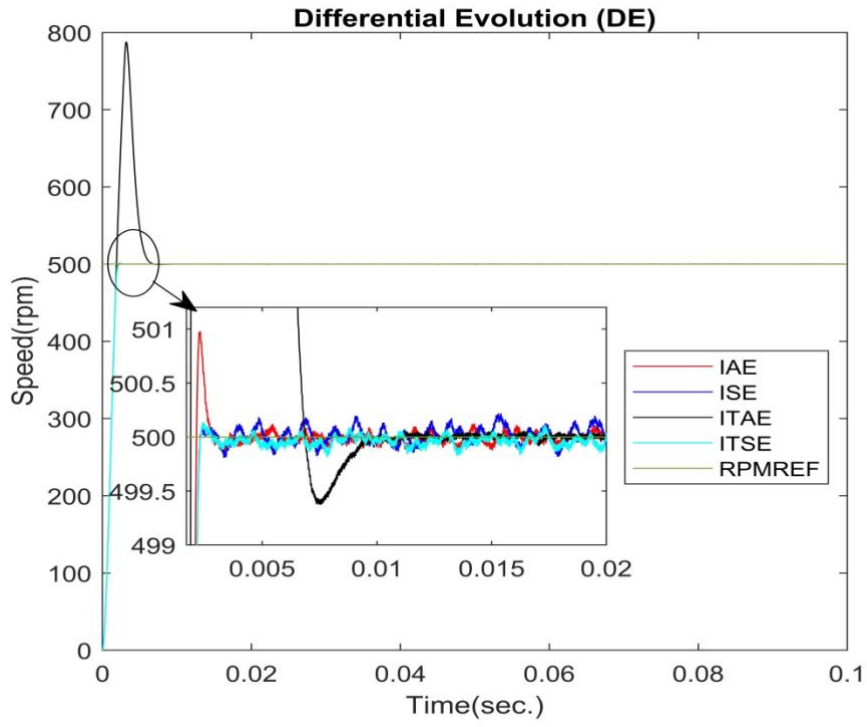
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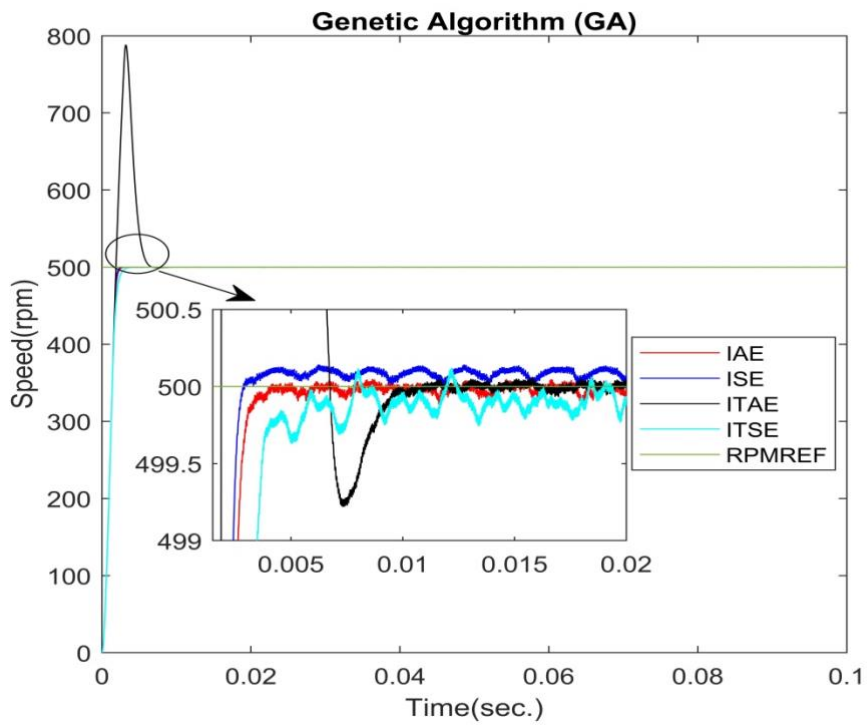
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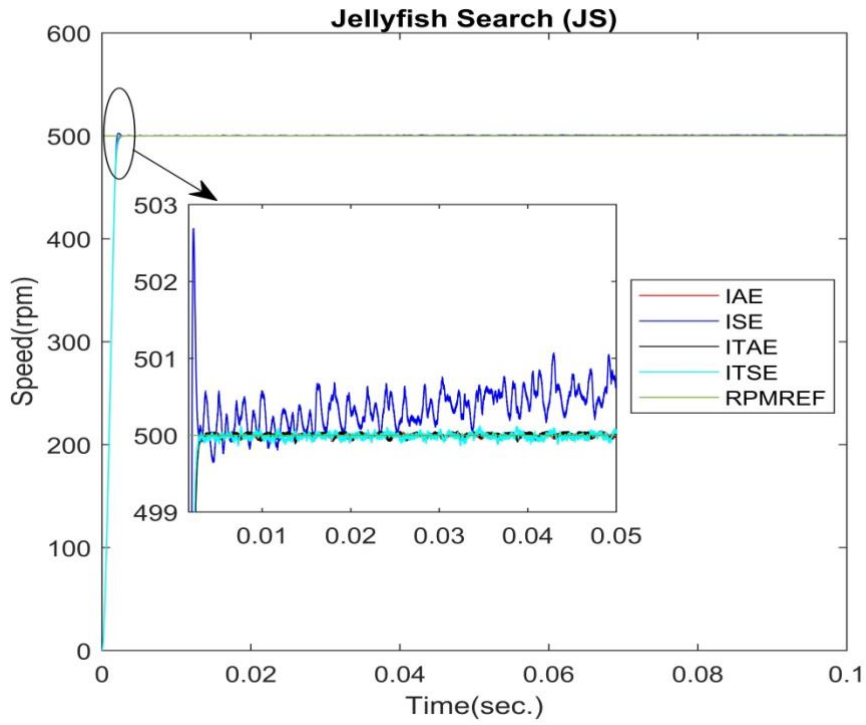
(e)
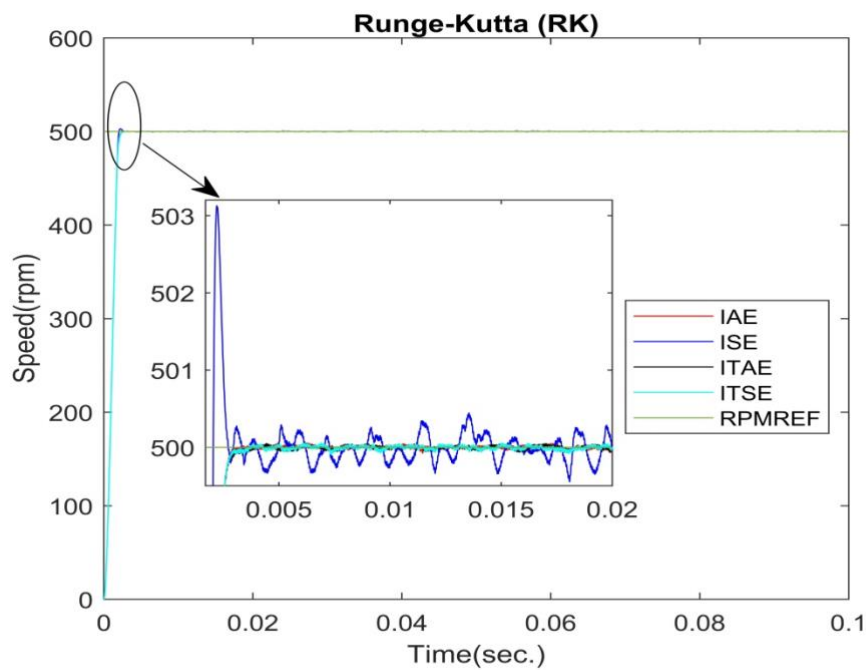
(f)

Figure 3. (a) Speed/time graphs of ABC according to four performance indices (b) Speed/time graphs of AOA according to four performance indices (c) Speed/time graphs of DE according to four performance indices (d) Speed/time graphs of GA according to four performance indices (e) Speed/time graphs of JS according to four performance indices (f) Speed/time graphs of RK according to four performance indices

As seen in Figure 3, the system output reaches the desired reference speed after some oscillation. It is seen in Figure 3 that ITAE performance index minimises this oscillation. In some algorithms of ITAE, the percentage of overshoot is higher than other performance indices as seen in Figure 3.

Table 5. Unit step response values of performance indices according to optimization algorithms.

Optimization Algorithms	Rise time tr (ms)				Settling time ts (ms)				Overshoot (%)			
	IAE	*ISE*	*ITAE*	*ITSE*	*IAE*	*ISE*	*ITAE*	*ITSE*	*IAE*	*ISE*	*ITAE*	*ITSE*
ABC	1.718	1.724	**1.717**	1.718	2.895	3.27	**2.885**	2.92	0.002	0.048	**0**	0.022
DE	1.717	1.717	**1.715**	1.716	2.724	**2.292**	9.39	2.94	0.01	**0.001**	2.88	**0.001**
JF	**1.715**	1.723	1.718	**1.715**	2.943	2.825	2.988	**2.79**	**0**	0.027	**0**	**0**
RK	**1.715**	1.723	1.717	**1.715**	2.899	**2.72**	2.825	2.9	**0**	0.031	**0**	**0**
AOA	1.946	1.757	**1.715**	2.044	**5.6**	37.39	9.93	92.81	**0**	**0**	2.77	**0**
GA	1.729	1.716	**1.715**	1.852	3.685	**2.856**	9.578	7.849	**0**	**0**	2.884	**0**

The best values of rise time (tr), settling time (ts) and overshoot percentage of the obtained velocity-time graphs are highlighted in bold colour in Table 5. According to the data in Table 5, it is observed that the performance indices of the six algorithms in the PI controller design are close to each other in the unit step response values, especially in the rise and settling time.

As can be clearly seen from the speed time graphs and Table 3, if the PMSM vector control technique is operated under these conditions, it provides the best performance in the ITAE performance index.

IV. CONCLUSION

In this study, various optimization algorithms were used to increase the performance of permanent magnet synchronous motors. As a result of experiments conducted under the same conditions using Genetic Algorithm (GA), Arithmetic Optimization Algorithm (AOA), Runge-Kutta (RK), Jellyfish Search (JS), Differential Evolution (DE) and Artificial Bee Colony (ABC) algorithms, IAE, ISE, ITAE, the performance of the optimization algorithms was evaluated using the and ITSE performance indices. The results showed that the ITAE performance index provides significant improvements in optimization performance compared to IAE, ISE and ITSE. Especially when Figure 3 is examined, it is seen that it oscillates less than other performance indices while reaching the reference speed and when the conformity values obtained from the ITAE performance index are examined in Table (3), it is seen that it gives more minimised results than other performance indices.

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Environmental Sustainability Assessment of Cold Storage Panel Production

Emrah YILMAZ [a],*

[a] *Department of Civil Engineering, Faculty of Engineering, Düzce University, Düzce, TURKEY*
* *Corresponding author's e-mail address: emrahyilmaz@duzce.edu.tr*
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ABSTRACT

Today's ever-increasing environmental sustainability concerns have led to a major shift in construction sites and industrial sectors. In this context, the choice of construction materials for important structures such as cold storages plays an important role in terms of both environmental impacts and energy efficiency. The aim of this study is to evaluate the environmental loads of cold storage panels with thicknesses of 80 mm, 100 mm, 120 mm, 150 mm, 180 mm and 200 mm. In order to reveal the production inputs that cause these loads, the environmental effects were examined specifically for the 100 mm thick cold storage panel. Environmental impacts were analyzed using the Life Cycle Assessment (LCA) method in accordance with the ISO 14040/44 methodology as a system boundary "cradle to gate". This study focused on three different environmental impact categories of cold storage panels produced in Türkiye: global warming potential (GWP), cumulative energy demand (CED) and water footprint. In the evaluation of environmental impacts, production inventory information obtained from the panel manufacturer was used. For analyses, Simapro v. 8.5 LCA software was used. Analysis results show that the carbon footprint of a 100 mm thick cold storage panel is 46.1 Kg CO_2eq., and its water footprint is 27.1 m^3. Additionally, the use of galvanized sheet metal in cold storage panel production is a hot spot in terms of global warming effect. It has been determined that the largest share in the water footprint belongs to polyurethane used as insulation material. Additionally, according to the CED, non-renewable fossil and non-renewable nuclear were determined to be the most affected categories, and the use of galvanized sheet metal and polyurethane were determined to be the most important hot spots in terms of non-renewable and renewable resources. To help improve the environmental performance of the cold storage panel, it is recommended to use bio-based and less environmentally impactful raw materials in production and to measure their environmental impact on a life cycle basis from cradle to grave.

Keywords: Life cycle assessment, Cold storage panel, Global warming, Water footprint, Environmental sustainability

Soğuk Hava Deposu Paneli Üretiminin Çevresel Sürdürülebilirlik Değerlendirmesi

ÖZET

Günümüzün giderek artan çevresel sürdürülebilirlik endişeleri, inşaat alanlarında ve endüstriyel sektörlerde büyük bir değişime yol açmıştır. Bu bağlamda, soğuk hava depoları gibi önemli yapılar için

inşaat malzemeleri seçimi hem çevresel etkiler hem de enerji verimliliği açısından önemli bir rol oynamaktadır. Bu çalışmanın amacı, 80 mm, 100 mm, 120 mm, 150 mm, 180 mm ve 200 mm kalınlıklardaki soğuk hava deposu panellerinin çevresel yüklerini değerlendirmektir. Bu yüklere ana katkıyı sağlayan üretim girdilerinin ortaya konması için 100 mm kalınlığına sahip soğuk hava deposu paneli özelinde çevresel etkiler irdelenmiştir. Çevresel etkiler, Yaşam Döngüsü Değerlendirmesi (LCA) yöntemi ile ISO 14040/44 metodolojisine uygun olarak sistem sınırı "beşikten kapıya" şeklinde analiz edilmiştir. Bu çalışma, Türkiye'de üretilen soğuk hava deposu panellerinin küresel ısınma potansiyeli (GWP), kümülatif enerji talebi (CED) ve su ayak izi olmak üzere üç farklı çevresel etki kategorilerine odaklanmıştır. Çevresel etkilerin değerlendirilmesinde panel üreticisi firmadan temin edilen üretim envanteri bilgilerinden faydalanılmıştır. Analizler için Simapro v. 8.5 LCA yazılımı kullanılmıştır. Analiz sonuçları, 100 mm kalınlığındaki bir soğuk hava deposu panelinin karbon ayak izinin 46,1 Kg CO_2 eşd., su ayak izinin ise 27,1 m³ olduğunu göstermektedir. Soğuk hava deposu panel üretiminde galvaniz sac kullanımının küresel ısınma etkisi açısından sıcak nokta olduğunu göstermektedir. Su ayak izinde en büyük payın yalıtım malzemesi olarak kullanılan poliüretana ait olduğu tespit edilmiştir. Ayrıca CED'e göre yenilenemeyen biyokütle ve yenilenemeyen nükleerin en çok etkilenen kategoriler olduğu, galvaniz sac ve poliüretan kullanımı yenilenemeyen ve yenilenebilir kaynaklar açısından en önemli sıcak noktalar olduğu belirlendi. Soğuk hava deposu panelinin çevresel performansının iyileştirilmesine yardımcı olmak için üretimde biyo bazlı ve daha az çevresel etkiye sahip hammaddelerin kullanılması ve bunların çevresel etkilerinin yaşam döngüsü temelinde beşikten mezara ölçülmesi tavsiye edilir.

Anahtar Kelimeler: Yaşam döngüsü değerlendirmesi, Soğuk hava deposu paneli, Küresel ısınma, Su ayak izi, Çevresel sürdürülebilirlik

I. INTRODUCTION

Nowadays, the rapid increase in global population, rising living standards, industrialisation and urbanisation processes have increased energy consumption, making environmental sustainability concerns an important agenda item [1]. In this context, the implementation of energy efficiency and environmental sustainability principles has become an important goal in energy intensive sectors. Cold storages represent an important area that strongly influences energy consumption [2]. Cold storages are structures with cooling and heat insulation system for perishable food products such as fruits, vegetables, seafood and frozen foods. These structures play an important role in storing these food products under specially favourable conditions to prevent their spoilage throughout the year [3].

Sandwich panels of different thicknesses are used to provide thermal insulation of cold storages. These sandwich panels have a wide range of uses in cold storage where the temperature must be constant, in production facilities where the temperature must be high, in clean rooms where hygiene conditions must be high (electronic, health and nuclear facilities), in medicine and vaccine warehouses, in vehicles and containers used in cold chain transport [4–6].

These sandwich panels are composite materials produced by adding insulation materials such as expanded polystyrene (EPS), extruded polystyrene (XPS), rock wool (RW), polyurethane (PU) and polyisocyanurate (PIR) insulation foams between two galvanised and painted metal sheets to provide the best thermal insulation [7–10]. Sandwich panels have many features that make them applicable for different purposes such as ease of installation, low thermal conductivity coefficient, sound and moisture insulation, acoustic and noise control feature, energy saving and fire safety [11,12]. PU core sandwich composites are preferred as a widely used building material, especially in the construction of cold storages, due to their many advantages such as cost effectiveness, lightness, stability and energy efficiency [13]. With the effect of increasing global warming, cold storage areas will be needed more. Therefore, the cold storage industry is growing rapidly and the environmental impact of the materials used in this field is becoming more important.

Life cycle assessment (LCA) method is used to assess the environmental impacts of products/services in the most comprehensive way throughout their entire life cycle, from raw material procurement to waste disposal [14–17]. Today, the sustainability and environmental impacts of industrial and commercial activities are becoming increasingly important. In this context, the construction industry plays a critical role in assessing the environmental impact of building materials, especially cold storage panels.

In this study, three different environmental impact categories such as global warming potential (GWP), cumulative energy demand (CED) and water footprint of PU core sandwich panels of different thicknesses used in cold storage production were analysed and the main factors (hotspots) contributing to the impacts were identified.

II. MATERIALS AND METHODS

A. COLD STORAGE PANEL PRODUCTİON

The production process of cold storage panels starts with the application of sheet metal, membrane, ctp or pvc-like materials on the line with a decoiler. Then, to increase the adhesion of the insulation material, the surface tension is increased by electron bombardment using the corona unit. If forming is required, the desired pattern is applied to the material through rollers and the insulation filling material is added between the two layers. The layered material is pressed, polymerised at a certain temperature and then adhered. In addition, a male-female structure is formed with side moulds and the seating detail of the panel is formed. The product coming out of the press is completed and cut to the desired dimensions and taken to the cooling unit to lose its temperature. Finally, it is stacked in the desired quantities, packaged and made ready to be shipped to the end user.

PUR and PIR are used as insulation materials in cold storage panels consisting of painted galvanised sheet, stainless steel or PVC film laminated inner and outer surface layers. These panels, which have the flexibility of production in the desired length between 2 m and 12 m, can be produced between 80 mm and 200 mm in thickness, depending on the climatic conditions in which they will be used. As seen in Figure 1, the panel connection detail has a tight fitting detail to prevent thermal bridges.
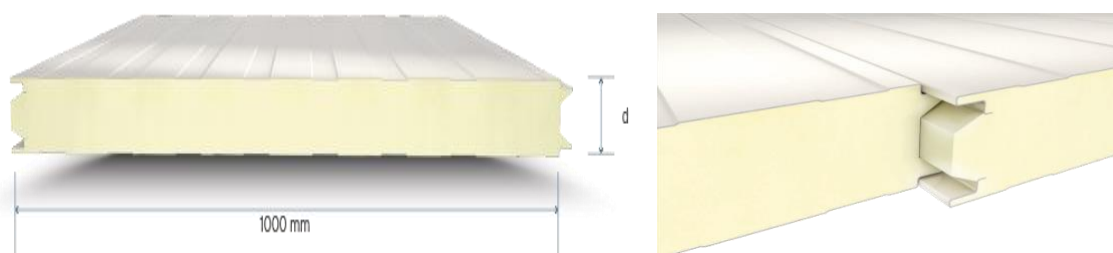
Figure 1. PUR/PIR insulated cold storage panel [18]

Table 1 shows that the heat permeability coefficient (U value) of PU and PIR insulated cold storage panels of different thicknesses, produced in accordance with the TS EN 14509 [19] standard, varies between 0,27- 0,11 W/m^{2}K depending on the panel thickness. According to TS EN 13501-1 [20], the flammability classes of cold storage panels are B-s2; d0 and B-s1; d0, respectively [18].

Table 1. *Physical properties of PUR/PIR insulated cold storage panels [18]*

Product	Core Thickness	Outer Sheet Thickness	Inner Sheet Thickness	Min. Length	Max. Length	Heat Transfer Coefficient	Thermal Resistance
	d	t_{No}	t_{Ni}	m	m	U	R
	mm	mm	mm			W/m²K	W/m²K
PU and PIR insulated cold storage panels	80		0,40			0,27	3,68
	100	0,50	0,45			0,22	4,61
	120	0,60	0,50	2	12	0,18	5,52
	150	0,70	0,60			0,15	6,88
	180	0,80	0,70			0,12	8,25
	200		0,80			0,11	9,16

A. 1. LCA Method

This study was carried out through life cycle assessment, which is widely used to determine the environmental impact of products/services. The following sections are structured according to the ISO 14040 framework [21], [22], [23], [24], [25], [26].

A.1.1. Goal and scope definition

The primary purpose of this research is to calculate the cradle-to-door environmental impacts of cold storage panels with different thicknesses produced and widely used in Türkiye, taking into account global warming potential, water footprint and cumulative energy demand, and to identify hot spots. This evaluation was made in line with the data obtained from a company with an annual sandwich panel production capacity of approximately 13.5 million m² in Türkiye. As a functional unit, 1 m² cold storage panel produced in Türkiye was selected. System limits for 1 m² cold storage panel production are shown in Figure 2.
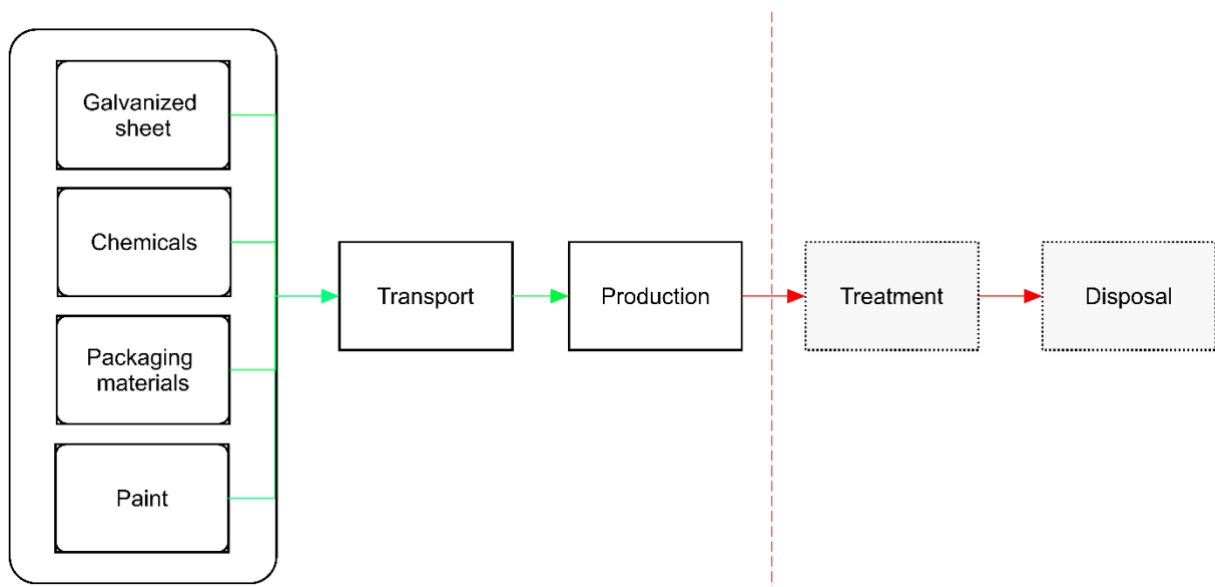
Figure 2. *System limits of cold storage panel production*

A.1.2. Life cycle inventory

Primary data such as the materials used in cold storage panel production, the quantities used per unit product, transportation distances, and energy consumption were obtained from the sandwich panel

manufacturer in Türkiye in 2021 and the inventory summary is summarized in Table 2. Ecoinvent v. 3.5 database was used for background inventory data [27]. For the electricity used in cold storage panel production, the Turkish electricity grid mix was selected.

***Table 2.** LCI data for panel production, functional unit - 1 m^2 cold storage panel*

Inputs	Unit	80 mm	100 mm	120 mm	150 mm	180 mm	200 mm
Lower and upper sheet weight	g	8320	8320	8320	8320	8320	8320
Polyol	g	1100	1360	1625	2020	2420	2685
Isocyanate	g	1860	2310	2760	3435	4110	4560
Catalyst	g	23	29	34	42	51	56
Additive	g	22	27	32	40	48	54
Pentane	g	55	68	81	101	120	134
Air	nl	1,5	1,5	1,5	1,5	1,5	1,5
Foil, tape, film (packaging)	g	50	50	50	50	50	50
Paint	g	50	50	50	50	50	50
Energy to produce	kWh	0,16	0,20	0,24	0,26	0,28	0,31
Transport, 3.5e7.5 t truck	kg.km	36,94	36,94	36,94	36,94	36,94	36,94
Transport, >32 t truck	kg.km	960	960	960	960	960	960

A.1.2. Life cycle impact assessment

Life Cycle Impact Assessment (LCIA) is a mandatory LCA step in which the potential environmental impacts of the product or process throughout its life cycle are measured within the scope of collected LCI data [28]. This study focused on three main environmental impact categories: global warming potential (GWP), water footprint and cumulative energy demand.

First used as a method to assess GWP was the IPCC 2013 approach, developed by the Intergovernmental Panel on Climate Change (IPCC), which includes the IPCC's climate change factors over a 100-year time horizon. [29]. Secondly, the Available WAter REmaining (AWARE, v1.02) method recommended by WULCA was preferred for LCIA water footprint. [30]. Finally, the LCIA was performed using the Cumulative Energy Demand 2018, v1.11 (CED) published by ecoinvent version 2.0 and based on the method extended by PRé Consultants [27].

III. RESULTS AND DİSCUSSİON

Environmental impact results of cold storage panels with different thicknesses obtained using IPCC 2013, CED and AWARE impact assessment methods are given in Table 3.

Table 3. *Environmental effects of cold storage panels of different thicknesses.*

Impact category	Unit	80 mm	100 mm	120 mm	150 mm	180 mm	200 mm
GWP	kg CO₂eq	41.8	46.1	50.4	56.8	63.3	67.7
Water footprint	m³	23.9	27.1	30.4	35.2	40	43.2
Cumulative Energy Demand (CED)							
Non renewable, fossil	MJ	607.4	686.9	766.9	886.5	1006.6	1086.7
Non-renewable, nuclear	MJ	49.0	59.1	69.2	84.3	99.5	109.6
Non-renewable, biomass	MJ	0.2	0.2	0.2	0.2	0.2	0.2
Renewable, biomass	MJ	9.1	11.1	13.1	16.0	19.0	20.9
Renewable, wind, solar, geothe	MJ	9.0	9.6	10.2	11.1	12.0	12.6
Renewable, water	MJ	14.4	16.3	18.3	21.2	24.1	26.1
Total		689.1	783.3	877.9	1019.3	1161.5	1256.2

When Table 3 is examined, it is seen that as panel thicknesses increase, global warming potential (GWP), cumulative energy demand and water footprint also increase. The main reason for this increase in the values in the environmental impact categories is thought to be due to the increase in the amount of raw materials used in production as panel thicknesses increase.

In this study, the global warming potential, water footprint and cumulative energy demand of the 100 mm thick cold storage panel, which is the most produced of these panels, are discussed in Figure 3, Figure 4 and Figure 5 superlatively in order to have a clearer understanding of the production inputs that contribute to the total environmental impacts of panels with different thicknesses.
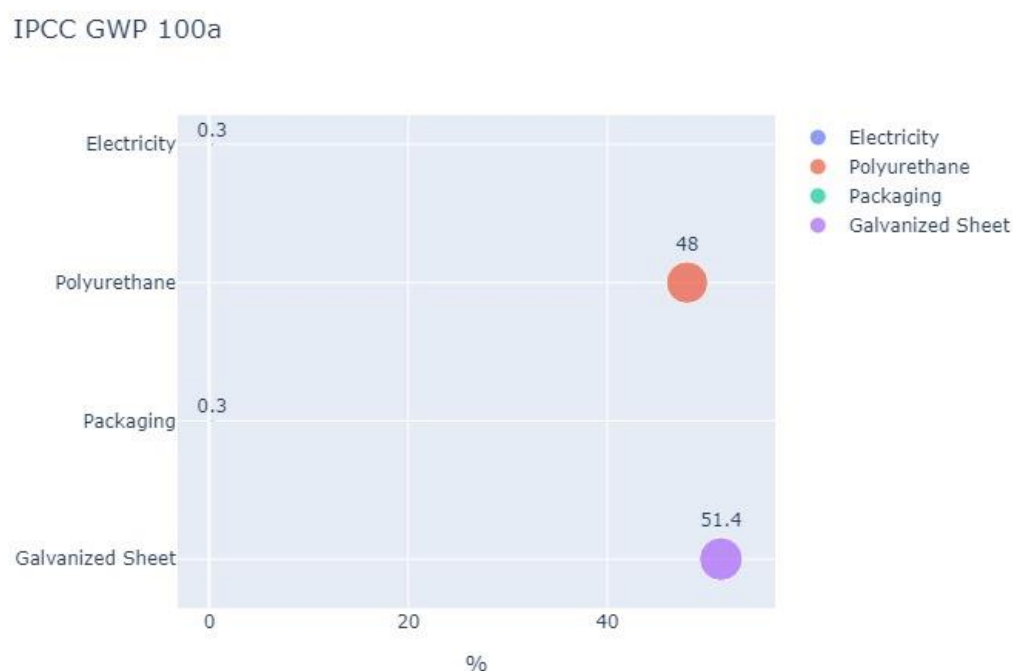
Figure 3. *Global warming potential results (100 mm)*

The main contributors to the effects of production inputs of the 100 mm thick cold storage panel on the total global warming potential are shown in Figure 3. The total GWP of this panel is calculated as 46.1 kg CO_2eq. Galvanized sheet has the highest contribution rate at 51.4%, accounting for more than half of the total GWP. It is thought that the high additive rate of galvanized sheet is related to the use of energy-intensive technologies in production processes.

The use of polyurethane in the production of 100 mm thick cold storage panels provides the second highest contribution, contributing 48% to the total GWP of the panel, with 22.1 kg CO_2eq. It is seen that the electricity and packaging materials used in panel production make a low contribution of 0.3% to the total GWP.

The main contributors to CO_2 emissions account for 99.4 per cent of total emissions. For the cold storage panel, the main environmental impacts arise from the use of galvanized sheet and polyurethane, and this is followed by the electricity consumption required for packaging and panel production.
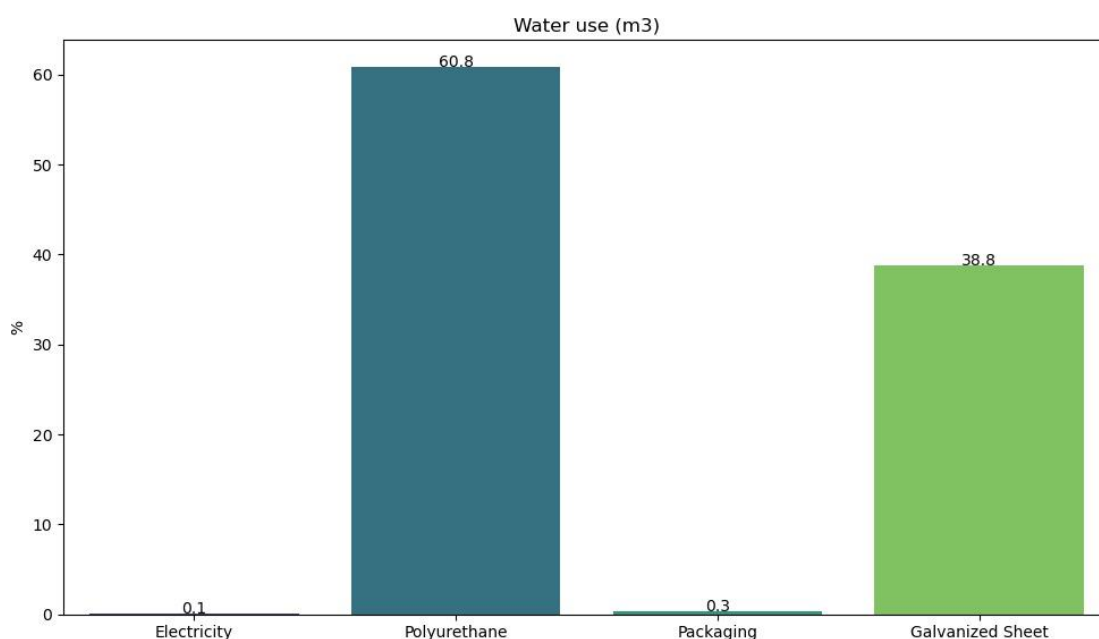
Figure 4. Water footprint results (100 mm).

Figure 4 shows the water footprint results according to the components of the 100 mm thick cold storage panel. The total water footprint of the 100 mm thick cold storage panel is calculated as 27.1 m³. Polyurethane, used as an insulation material in the production of this panel, has the highest contribution rate to the water footprint (60.8%) with 16.5 m³This suggests that polyurethane production has a significant impact in terms of water consumption.

It was determined that galvanized sheet metal contributed 38.8% to the total water footprint of the panel with 10.5 m³. The contribution of the material used in packaging the panel and the energy required for production to the water footprint is 0.3% and 0.1%, respectively.

Figure 4 revealed that the main contributors to the water footprint were the use of polyurethane (60.8%) as an insulating material in cold storage panel production and the use of galvanized steel (38.8%) to form the outer shell of the panel. Electricity consumption (0.1%) and packaging (0.3%) contributed insignificantly to the total water footprint.

0.20 kWh of electricity is needed to produce a 100 mm thick cold storage panel (Table 2). Figure 5 shows the CED results of the production inputs of 100 mm thick cold storage panel production with polyurethane filling. The total cumulative energy demand of the 100 mm thick cold storage panel was

determined as 783.3 MJ. By far the largest contributor to the total CED of the analysed panel is non-renewable fossil energy, followed by non-renewable nuclear energy (Figure 5).
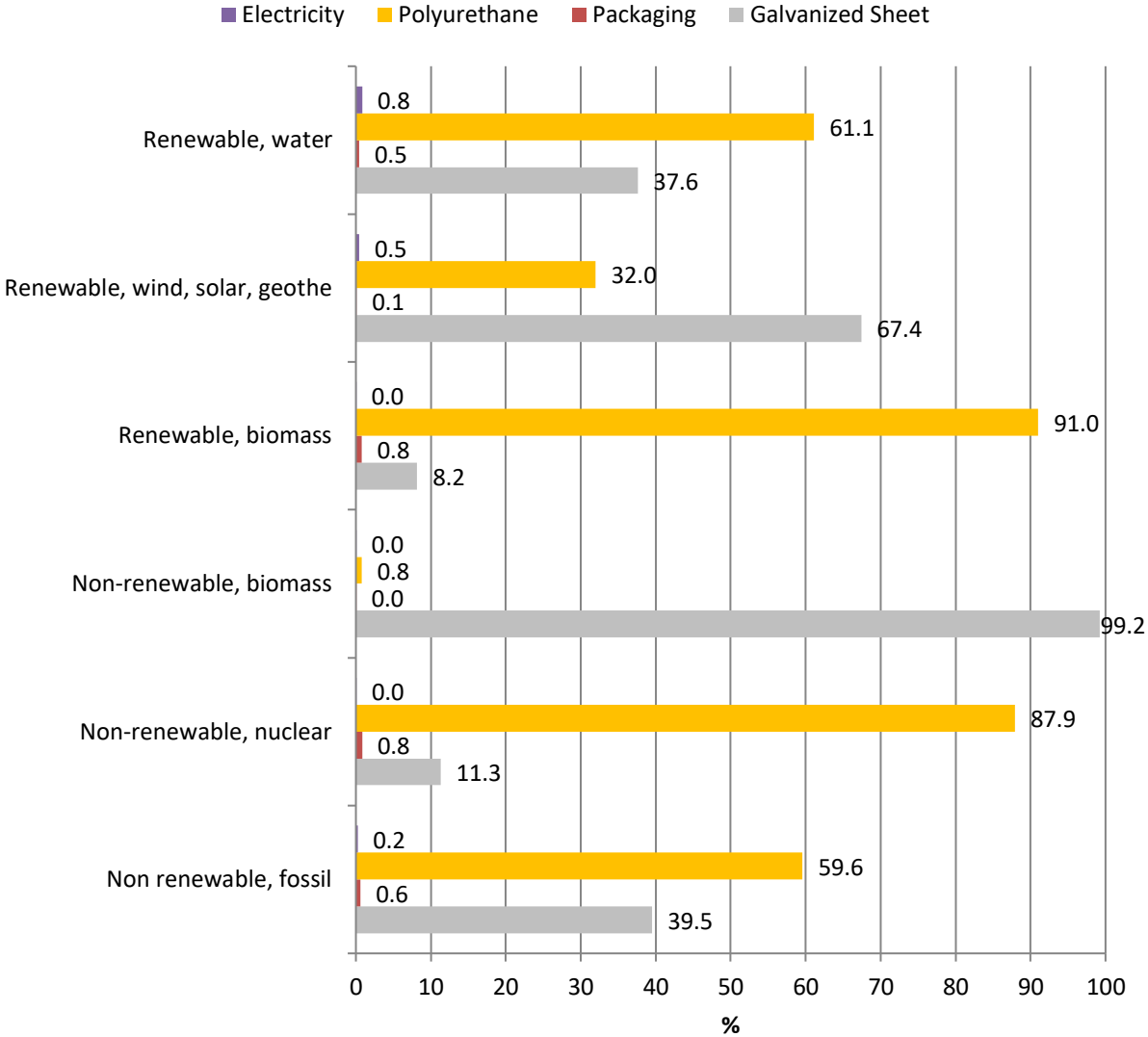
Figure 5. *Cumulative energy demand results of cold storage panel production inputs (100 mm).*

As shown in Figure 5, the use of polyurethane and galvanised sheet metal is the most effective in all effect categories in the production of 1 m^2 polyurethane insulated cold storage panel.

In particular, polyurethane (91%) and galvanised sheet metal (99.2%) are the main contributors to the renewable biomass and non-renewable biomass categories, respectively. The total renewable water impact from panel production is 16.3 MJ/m^3. As shown in Figure 5, this effect is due to the use of galvanised steel, polyurethane, electrical and packaging materials, which contribute 61.1%, 37.6%, 0.8% and 0.5% respectively.

Galvanised sheet is responsible for 67.4% and 99.2% of renewable, solar, wind, geothermal and non-renewable biomass energy from CED categories, respectively. As shown in Figure 5, polyurethane is estimated to be responsible for 61.1%, 91%, 87.9% and 59.6% of renewable water, renewable biomass, non-renewable nuclear and non-renewable fossil energy, respectively.

The high energy demand of galvanized sheet and polyurethane components, which are the materials used in the production of cold storage panels, emphasizes the importance of using renewable energy sources and energy efficient technologies in the production processes of these materials.

IV. CONCLUSION

In this study, the cradle-to-door environmental impacts of cold storage panels with thicknesses of 80 mm, 100 mm, 120 mm, 150 mm, 180 mm and 200 mm produced in Türkiye were analysed by LCA method. The quality and comprehensive life cycle inventory consists of primary data obtained directly from the company where the panel production is carried out. Environmental impacts of cold storage panels and significant environmental hotspots have been identified using IPCC 2013, AWARE and CED methods. In order to have a clearer understanding of the production inputs that make the main contribution to the total environmental impacts of these panels, the environmental impacts were examined specifically for the 100 mm thick cold storage panel.

LCA results showed that the environmental impacts caused by cold storage panel production are mainly due to the use of galvanized sheet and polyurethane, followed by a minor impact of electricity and packaging inputs.

In this study, it was revealed that the use of galvanized sheet metal, one of the production inputs of the cold storage panel, is an important factor in terms of the global warming effect. It has been observed that the polyurethane insulation material commonly used in the production of these panels has a significant impact on the water footprint.

Additionally, cumulative energy demand results identified non-renewable fossil and non-renewable nuclear energy as the most affected categories. In particular, the contributions of galvanized sheet and polyurethane to CED have been identified as important hotspots for non-renewable and renewable resources. CED results showed that galvanized sheet was mainly responsible for 3 of the non-renewable and renewable energy categories, and polyurethane was responsible for the other 3 categories.

This study makes a significant contribution to eliminating the lack of knowledge on the effects of polyurethane insulated cold storage panels of different thicknesses in three different environmental impact categories. In particular, it provided information about the responsibilities of the inputs required for the production of these panels on the total environmental impact of the panel. It also suggests that future research and development should focus on investigating the potential of environmentally friendly alternative materials to replace traditional raw materials used in production to improve the environmental sustainability of cold storage panels and move the industry in a greener direction.

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Energy And Exergy Analysis For A New Models With Gradual Expansion Combined With Multiple Power Generation Systems

iD Ahmet ELBİR [a,*]

[a] Suleyman Demirel University, YEKARUM, Isparta, TURKEY
* Corresponding author's e-mail address:ahmetelbir@sdu.edu.tr

ABSTRACT

Our utilization of waste heat sources, combined with multiple power generation systems and systems featuring gradual expansion, constitutes a crucial domain in terms of energy and exergy analysis. Within these systems, the utilization of energies derived from various power sources reveals the availability of system components, highlighting the importance of meticulous analysis during design and operation to mitigate energy and exergy losses. Energy and exergy analysis stands as a pivotal method employed throughout the design, operation, and maintenance phases of these systems. This study initiates with the commencement of the combustion chamber temperature and turbine output temperature of a UGT-25000 gas turbine, followed by the development of the system through gradual expansion processes. A comprehensive thermodynamic analysis of the integrated power generation system was conducted, encompassing heat transitions across the H_2O Rankine cycle, R113 ORC cycle, S-CO_2 cycle, electrolyzer, and NH_3H_2O absorption cycle along with successive sub-cycles. Additionally, energy extraction from turbines was facilitated through the gradual expansion of the air-Brayton, R113-ORC, H_2O-Rankine, and S-CO_2 cycles. The resulting net powers are as follows: 0.0034 kg/s of hydrogen produced with the electrolyzer from the Air Brayton cycle, 34.314 kW; H_2O Rankine cycle, 1.828 kW; R113 ORC, 681 kW; NH_3H_2O absorption cycle, 2.985 kW; and S-CO_2 cycle, 1.720 kW. The energy efficiency of the multi-integrated system is calculated to be 66.35%, with an exergy efficiency of 35%.

Kademeli Genişlemeli Çoklu Güç Üretim Sistemleri İle Birlikte Yeni Modeller İçin Enerji ve Ekserji Analizi

ÖZET

Atık ısıl kaynakların kullanımı, birden fazla güç üretim sistemi ve kademeli genişleme özelliklerine sahip sistemlerle birleştirilerek, enerji ve ekserji analizi açısından kritik bir alan oluşturur. Bu sistemler içinde, çeşitli güç kaynaklarından elde edilen enerjilerin kullanımı, sistem bileşenlerinin kullanılabilirliğini ortaya çıkararak, tasarım ve işletme sırasında enerji ve ekserji kayıplarını azaltmak için titiz bir analizin önemini vurgular. Enerji ve ekserji analizi, bu sistemlerin tasarımı, işletilmesi ve

bakım aşamaları boyunca kullanılan temel bir yöntemdir. Bu çalışma, bir UGT-25000 gaz türbininin yanma odası sıcaklığı ve türbin çıkış sıcaklığı ile başlar ve ardından sistem, kademeli genişleme

süreçleriyle geliştirilir. Entegre güç üretim sisteminin kapsamlı termodinamik analizi yapılmış olup, H_2O Rankine çevrimi, R113 ORC çevrimi, S-CO_2 çevrimi, elektrolizer ve NH_3H_2O emilim çevrimi ile ardışık alt çevrimler arasındaki ısı geçişlerini içerir. Ayrıca, türbünlardan enerji çıkarılması, hava-Brayton, R113-ORC, H_2O-Rankine ve S-CO_2 çevrimlerinin kademeli genişlemesi ile kolaylaştırılmıştır. Elde edilen net güçler aşağıdaki gibidir: Elektrolizerden Air Brayton çevrimiyle üretilen hidrojen miktarı 0.0034 kg/s, 34.314 kW; H_2O Rankine çevrimi, 1.828 kW; R113 ORC, 681 kW; NH_3H_2O emilim çevrimi, 2.985 kW; ve S-CO_2 çevrimi, 1.720 kW. Çoklu entegre sistemimizin enerji verimliliği %66.35 olarak hesaplanmış olup, ekserji verimliliği %35'tir.

I. INTRODUCTION

Global climate change is sounding an alarm, indicating the urgent need to transition away from fossil resources. The primary solution to address the demand for fossil fuels involves the development of integrated power generation systems that incorporate renewable energy sources and effectively utilize waste heat. Some systems possess significant energy value within their waste heat, and when these waste temperatures are appropriately harnessed, it not only reduces energy consumption but also enhances energy efficiency in overall process performance. The concept of energy efficiency is determined by the principle of entropy, representing disorder, and introduces the calculation of exergy. Exergy is a critical concept that reflects the quality of the resources utilized. Exergy losses are directly proportional to the entropy produced by the system. The mitigation of these losses or the identification of losses is achieved through the application of thermodynamic concepts. In this context, the energy analysis and exergy analysis of integrated systems derived from waste heat sources or renewable energy sources has recently gained significant importance.

Some studies in the literature: Mohammadi et al., introduced an innovative triple power cycle that harnesses waste heat derived from a gas turbine cycle. The researchers conducted thermodynamic analyses on the system, incorporating a S-CO_2 recompression cycle and a regenerative ORC [1]. Ran et al., endeavored to enhance the utilization of waste heat generated by a solid oxide fuel cell (SOFC). They introduced a novel multigenerational energy system and conducted a comprehensive thermodynamic analysis. The system comprises a SOFC, a micro gas turbine (MGT), a supercritical carbon dioxide (S-CO_2) Brayton cycle, and a lithium bromide absorption refrigerator [2]. Khan et al., made thermodynamic and exergo-environmental calculations of the performance of the multi-production system based on solar energy based on PCM (phase change material). solar tower with system helio, combined cycle (top Brayton cycle, bottom part Rankine cycle with reheating and regeneration processes), single-acting Lithium-Bromide/water intake chillergroup, heat pump, water-based They analyzed my system design, which consisted of a thermal energy storage system and an electrolyzer [3]. Khani et al., has designed and thermodynamically analyzed ORC into a solar-powered multi-generation system that integrates CO_2. In addition, the integrated system made calculations to meet the power, fresh water and carbon needs of a greenhouse [4]. Peng et al., conceptualized and performed thermodynamic analyses for a combined power and heat cogeneration system, incorporating a plasma gasifier, SOFC, gas turbine (GT), and a S-CO_2 cycle [5]. Khosravi., is to design an Organic Rankine Cycle based on geothermal energy that can be used for electricity generation, heating, cooling and decoding. It also envisaged its use for the production of hydrogen by means of electrolytes. In addition, it is aimed to recover the waste heat in the cycle, to drive the absorbable heat pump unit and to obtain heating, cooling and drying in this way [6]. Panahirad, orchestrated a comprehensive energy system encompassing a biomass-sourced combustion chamber (CC), a single-acting absorption cooling system (SEACS), an air conditioning unit (AC), a reheating vapor Rankine cycle (RSRC), an organic Rankine cycle (ORC), and an electrolyzer, conducting thorough thermodynamic calculations [7]. Zhang et al., devised an innovative hybrid system integrating compressed air energy storage (CAES) with

SOFC-GT. In this integrated system, the absence of power consumption during the air compressor's discharge process led to increased energy efficiency compared to traditional SOFC-GT configurations. Furthermore, they employed a Rankine steam cycle (RSC) to recover waste heat from the exhaust of the SOFC-GT [8]. Hai et al., expanded upon an existing solar-powered system by incorporating two power cycles, a thermoelectric generator, a hydrogen production unit, and absorption coolant subsystems. The study included analyses of energy, exergy, economic performance, and environmental impact of the system [9]. Wu et al., combined with the waste heat recovery (WHR) strategy, said that the efficiency of the system energy conversion could be further increased [10]. Qin et al., have conceptualized a novel combined cycle, comprising a supercritical CO_2 recompression Brayton cycle and a transcritical CO_2 cycle. They conducted a thermodynamic analysis of the cooling cycle to efficiently recover waste heat from a marine turbine for both power generation and cooling purposes [11]. Atif et al., designed a Combined Cooling, Heating, and Power (CCHP) system using S-CO_2. Their cycle involved integrating a Brayton cycle with a transcritical ejector cooling cycle through the addition of an extraction turbine, and a thorough thermodynamic analysis was performed [12]. Elbir et al., conducted analyses on both single and double-stage S-CO_2 Brayton cycles, incorporating intermediate heat exchangers operating within the same temperature range [13]. Gogoi et al., introduced a concept for a Combined Cycle Power Plant (CCPP) that integrates a gas turbine (GT) cycle, a regenerative steam turbine (ST) cycle, and a recuperative regenerative organic Rankine cycle (RR-ORC). The heat recovery steam generator (HRSG) efficiently utilized the GT cycle's exhaust gas to drive the ST cycle, while the remaining heat from the GT exhaust gas was effectively employed to power the RR-ORC through a heat recovery vapor generator (HRVG). The proposed CCPP showcased notable energy efficiency, reaching 44.79%, along with an exergy efficiency of 40.89% [14]. Bamisile et al., conceptualized, modeled, and analyzed two novel CO_2-based setups: the High-Temperature Geothermal Multi-Energy System (HTGMES) and the Low-Temperature Geothermal Multi-Energy System (LTGMES). These configurations were specifically designed to produce electricity, provide cooling/refrigeration, support space heating, generate hydrogen, and supply hot water. The determined steady-state overall energetic and exergetic efficiencies were 44.22% and 33.5% for HTGMES, and 45.40% and 32.9% for LTGMES, respectively [15]. Elmaihy et al., performed computational assessments on the energy and exergy aspects of harnessing waste heat from an automobile engine's cooling water via an Organic Rankine Cycle (ORC). The ORC, utilizing R245fa and R123 as working fluids, demonstrated peak thermal efficiencies of 7.76% and 7.49%, respectively [16]. Manesh et al., presented a comprehensive framework comprising a Brayton cycle, supercritical carbon dioxide (S-CO_2) cycle, organic Rankine cycle (ORC), and a polymer electrolyte membrane (PEM) electrolyzer. The integrated Brayton cycle system effectively captured exhaust heat, with seamless integration of S-CO_2 and ORC cycles utilizing this thermal resource. The combined energy and exergy efficiencies were documented at 40.95% and 39.49%, respectively [17]. Bamisile et al., presented a novel concentrated solar photovoltaic/thermal system hybridized with a wind turbine, creating a CO_2-based geothermal micro-multi-energy system. This proposed energy system, designed for electricity, cooling, space heating, hydrogen, and hot water generation, showcased overall energetic and exergetic efficiencies of2 48.61% and 88.31%, with the potential to increase to 51.76% and 95.08% through optimization based on system exergy efficiency [18]. Ding et al., assessed a comprehensive multi-energy configuration based on solar and geothermal energies, involving the Kalina (KC), ORC, cooling, water electrolysis, and thermoelectric (TEG) cycles. The system achieved an exergetic efficiency of 35.9% [19]. Cao et al., demonstrated the efficient recovery of waste heat from a hybrid solar-biomass heat source by employing a combined system of regenerative gas turbine cycle (GTC) and recompression S-CO_2 Brayton cycle (SCBC). The recovered waste heat was harnessed through diverse subsystems, including a thermoelectric generator, LiBr-H_2O absorption refrigerator system, heat recovery steam generator, and a proton exchange membrane electrolyzer. This integrated approach yielded an exergy efficiency of 43% and an energy efficiency of 62.2% [20].

Despite these advancements, there remains a critical need for further research to explore more effective integration strategies and enhance the overall efficiency of energy conversion systems. This study aims to fill this gap by proposing gradual expansion processes to enhance the efficiency of the UGT-25000 gas turbine. This novel approach seeks to achieve higher energy and exergy efficiencies through a comprehensive analysis of an integrated power generation system. The proposed system encompasses

various energy conversion technologies such as the H_2O Rankine cycle, R113 ORC cycle, S-CO_2 cycle, electrolyzer, and NH_3H_2O absorption cycle.

This study's originality lies in its holistic approach to integrating multiple energy conversion systems and its focus on the UGT-25000 gas turbine. By addressing these systems' combined energy and exergy analyses, this research provides a new perspective on optimizing energy conversion technologies and contributes significantly to the literature. The proposed methodologies and insights can pave the way for more efficient and sustainable power generation systems, thus contributing to the global effort to combat climate change.

II. MATERIALS AND METHODS

A. SYSTEM DESCRİPTİON

The integrated system providing multiple energy production is given in figure 1.
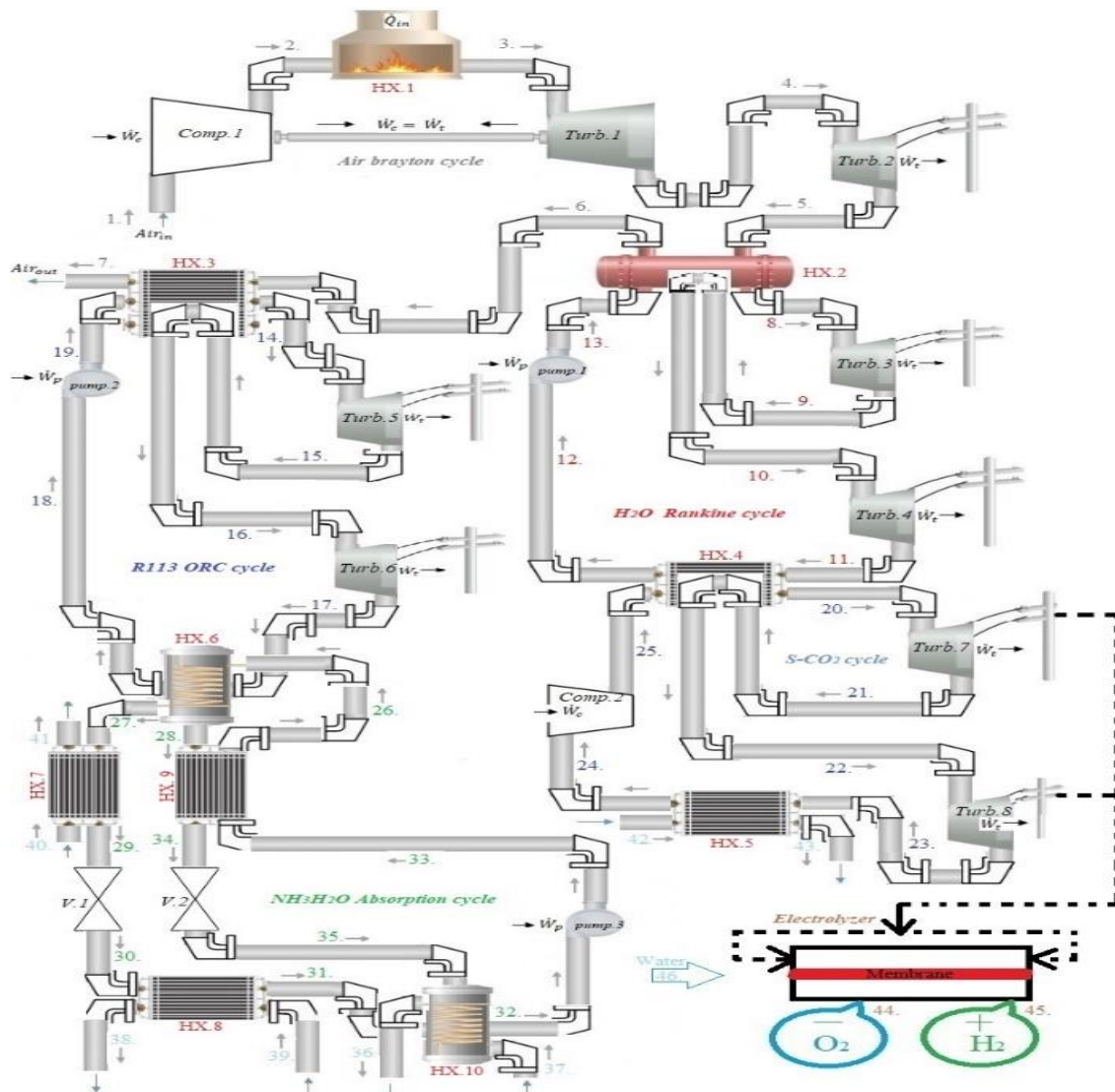
Figure 1. Integrated system for multiple energy generation

Air brayton cycle, The air entering in the 1st case exits the compressor in the 2nd case with the temperature and pressure increased. Then, with the heat received from the 1st heat exchanger (or

renewable energy source) from the heat source, the hot air that exits the temperature in the 3rd state with increased temperature passes through the turbine and provides electricity production. In the 4th case, the hot air coming out of the 1st turbine by falling by 1/4 passes through the 2nd turbine again and comes out in the 5th state with the pressure decreasing the atmosphere and the temperature decreased. The hot air in the 5th case passes through the 2nd heat exchanger and 3rd heat exchangers and transfers the heat to the lower cycles and the brayton cycle process ends.

H_2O rankine cycle, The 2nd heat exchanger sends the heat it receives to the 3rd turbine in the 8th state. In the 9th case, the heat generated is increased again and the temperature is increased again to the 2nd heat exchanger. The fluid that comes out at the 10th stage enters the 4th turbine and power generation is provided again. The heat of the fluid output in the 11th state is transferred to the 4th heat exchanger. The pressure of the fluid in the 12th state is increased with the 1st pump and the Rankine cevolution is completed.

R113 ORC, The fluid in its 14th state from the 3rd heat exchanger passes into the 5th tube. In the 15th case, it exits the turbine and re-enters the 3rd heat exchanger. In the 16th case, the fluid with increased temperature enters the 6th turbine and produces energy again. Then, the fluid in the 17th state transfers the heat to the NH_3H_2O absorption cooling cycle, which is a sub-cycle, with the 6th heat exchanger. In the 18th case, the fluid from the 6th heat exchanger passes to the 2nd pump to increase the pressure and in the 19th state the ORC is completed.

S-CO_2 cycle, With the heat received from the 4th heat exchanger, the fluid that exits in the 20th state exits from the 7th turbine in the 21st state and the temperature is increased again in the 4th heat exchanger. In the 22nd case, the fluid with increased temperature enters the 8th turbine and power production is provided again. The temperature of the fluid is reduced by throwing the temperature from the 5th heat exchanger into the water. The fluid in the 42nd state, whose temperature decreases, enters the 2nd compressor and completes the cycle by increasing the temperature and pressure.

Electolyzer, After the total power of the 7th turbine and the 8th turbine is met by the power of the 2nd compressor, the remaining power is transferred to the electrolyz. H_2O entering in case 46 passes through the electrolyzer and outputs O_2 in case 44 and H_2 in case 45.

NH_3H_2O Absorption cycle, 6. The heat received from the heat exchanger is transferred to the condenser in the 27th state after separation from the rich melt in the 27th state. 7.After the heat is lowered in the heat exchanger, the cooling melt passes through the 1st valve and 8. The heat exchanger passes into the evaporator at low temperature. In the 31st case, the 8th hea texchanger (evapoartor) exits fluid enters the absorber. Also 6.28. from heat exchanger. The fluid in the state passes through the 9th heat exchanger and passes through the 34th state The fluid passing through the 2nd valve enters the 10th heat exchanger (absorber) in the 35th case in order to reduce the pressure of the weak melt. In the 32nd case, the fluid from the 10th heat exchanger is sent to the 6th heat exchanger with the 3rd pump and the cycle is completed.

When performing a thermodynamic analysis of the multi-energy production system of the Tas bee, the following assumptions were taken into account:

- System performance is assumed to be stable and regular.
- Pure substance is used in the system.
- The compression in compressors is adiabatic.
- The heat entering and exiting the heat exchangers is equal to each other.
- Pressure drops in the system components and pipeline and the heat transfer process are alsoneglected.
- Opposite-flow heat exchangers were used in heat source heat exchangers, and heat losses were neglected.

- The dead state of the fluids circulating in the system (air, CO_2, water, R113, NH_3H_2O) was taken as 20ºC.
- System performance is assumed to be stable and regular.
- Gravitational potential energy and kinetic energy are not taken into account.
- 1.compressor, 2. compressor, 1. pump and 2. pump met the energy they consumed from the turbines in their own systems.
- In the gas turbine, the inlet and outlet pressure ratio of the compressor is 21 and the temperature of the heat received from the heat source (HX1) is taken from the characteristics of the gas turbine 1493 K UGT-25000 [21]. 1/4 in 1st turbine
- 2.The turbine is reduced to atmospheric pressure. The power consumed by the 1st compressor is equal to the power produced by the 1st turbine. HX1 heat source 1800K.
- In the Rankine cycle, the 2nd heat exchanger temperature-dependent temperature transition is equalized. For the 3rd turbine and the 4th turbine, the maiden rise is 70ºC, the pressure drop rates are 1.5.
- ORC 3.heat exchanger temperature-dependent heat transitions are equalized. The hard drop rates for the 5th turbine and the 6th turbine are 1.5.
- In the S-CO_2 evolution, the heat transitions due to the 4th heat exchanger temperature are equalized. 7.The pressure drop of the tube is 1.36 and the pressure drop of the 8th turbine is 1.46.
- In the absorption system, the generator was taken at 115°C. "Qu=quality (Saturated states, 0<=Qu<=1; Subcooled. Qu=-0.001; Superheated Qu=1.001)".
- Electricity ratio supplied to electrolyzer (0.5), HHV (141800), efficiency of the electrolyzer (0,56), Molecular mass(kJ/mol) H_2: 2.01594 , O_2: 31.9988 , H_2O: 18.01534, Standard chemical exergy(kJ/mol) H_2: 236.09 , H_2O: 0.9 , O_2: 3.97, [22].

B. ENERGY AND EXERGY ANALYZES

In thermodynamic analysis, an alternative formulation of the fundamental mass balance equation for steady-state conditions is as follows (1) [23,24-25];

$$\sum \dot{m}_{in} = \sum \dot{m}_{ex} \tag{1}$$

Expressing the mass flow rate as $\dot{m}$ and denoting the states at the inlet and outlet as 'in' and 'ex' respectively, the energy balance can be presented as follows (2):

$$\dot{Q}_{in} + \dot{W}_{in} + \sum_{in} \dot{m}\left(h + \frac{V^2}{2} + gz\right) = \dot{Q}_{ex} + \dot{W}_{ex} + \sum_{ex} \dot{m}\left(h + \frac{V^2}{2} + gz\right) \tag{2}$$

Here, $\dot{Q}$ is the heat transfer rate, , $\dot{W}$ is the power, h is the specific enthalpy, z is the height, v is the velocity and g is the gravitational acceleration. Steady-state conditions can be expressed alternatively through the entropy balance equation as (3):

$$\sum_{in} \dot{m}_{in} s_{in} + \sum_k \frac{\dot{Q}}{T_k} + \dot{S}_{gen} = \sum_{ex} \dot{m}_{ex} s_{ex} \tag{3}$$

Here, where s represents specific entropy and $\dot{S}_{gen}$ denotes the entropy generation rate, the exergy balance equation can be expressed as (4):

$$\sum \dot{m}_{in} ex_{in} + \sum \dot{E}x_{Q,in} + \sum \dot{E}x_{W,in}$$
$$= \sum \dot{m}0_{ex} ex_{ex} + \sum \dot{E}x_{Q,ex} + \sum \dot{E}x_{W,ex} + \dot{E}x_D \tag{4}$$

The specific flow exergy can be written as (5):

$$ex = x_{ph} + ex_{ch} + ex_{pt} + ex_{kn} \tag{5}$$

The assumption of negligible contributions from kinetic and potential exergy components, as well as the neglect of chemical exergy, is made. The definition of physical or flow exergy (ex_{ph}) is provided in equation (6):

$$ex_{ph} = (h - h_o) - T_o(s - s_o) \tag{6}$$

In the context of the actual scenario, h and s stand for specific enthalpy and entropy, respectively. Meanwhile, h_o and s_o correspond to enthalpy and entropy at reference medium states.

Exergy destruction is equal to specific exergy times mass (7);

$$\dot{E}x_D = ex * m \tag{7}$$

$\dot{E}x_D$, are work-related exergy ratios and are given as (8):

$$\dot{E}x_D = T_0 \dot{S}_{gen} \tag{8}$$

$\dot{E}x_W$, are work-related exergy ratios and are given as (9):

$$\dot{E}x_W = \dot{W} \tag{9}$$

The exergy rates associated with heat transfer, denoted as $\dot{E}x_Q$, are presented in the following manner according to equation (10).

$$\dot{E}x_Q = \left(1 - \frac{T_o}{T}\right)\dot{Q} \tag{10}$$

Exergy destruction in the system (11);

$$\dot{E}x_{D,syst.} = \dot{E}x_{in} - \dot{E}x_{aut} \tag{11}$$

What work comes out of the system (12);

$$\dot{W}net_{out} = \dot{Q}_{in} - \dot{Q}_{out} \tag{12}$$

System thermal efficiency (η) (13)[26];

$$\eta = \frac{energy\ in\ exit}{total\ energy\ inlets} \tag{13}$$

The exergy efficiency (ψ) can be defined as follows;

$$\psi = \frac{exergy\ in\ exit}{total\ exergy\ inlets} \tag{14}$$

The electrolyzer analysisin the study shows the high heat value (HHV), Electricity ratio supplied to electrolyzer (η_{rat}),the efficiency of the electrolyzer (η_{elec}) and the hydrogen mass flow rate ($\dot{m}_{H2}$) (15):

$$\dot{m}_{H2} = (\eta_{elect} * \dot{W}net_{S-CO2} * \eta_{rat})/ HHV_{H2} \tag{15}$$

The chemical exergy of H_2, O_2 and H_2O can be obtained by:

$ex_{ch,H2} = (236.09 * 1000)/MH_2$

$ex_{ch,O2} = (3.97 * 1000)/MO_2$

$ex_{ch,H2O} = (0.9 * 1000)/MH_2O$

General energy equation (16);

$$\eta_{Total} = \frac{(\dot{W}_{t1} + \dot{W}_{t2})_{BC} + (\dot{W}_{t3} + \dot{W}_{t4})_{RC} + (\dot{W}_{t5} + \dot{W}_{t6})_{ORC} + (\dot{W}_{t7} + \dot{W}_{t8})_{S-CO2} + \dot{Q}_{Cooling}^{AB} + \dot{m}_{H2} LHV_{H_2}}{HX1 + \dot{W}_{c1} + \dot{W}_{p1} + \dot{W}_{p2} + \dot{W}_{c2} + \dot{W}_{p3} + \dot{W}_{Elektrolyzer}} \tag{16}$$

General exergy equation (17);

$$\psi_{total} = $$
$$\frac{\dot{E}x_{\dot{W}_{t1}}^{BC} + \dot{E}x_{\dot{W}_{t2}}^{BC} + \dot{E}x_{\dot{W}_{t3}}^{RC} + \dot{E}x_{\dot{W}_{t4}}^{RC} + \dot{E}x_{\dot{W}_{t5}}^{ORC} + \dot{E}x_{\dot{W}_{t6}}^{ORC} + \dot{E}x_{\dot{W}_{t7}}^{S-CO2} + \dot{E}x_{\dot{W}_{t8}}^{S-CO2} + \dot{E}x_{Cooling}^{AB} + \dot{m}_{H2}(ex_{H_2}^{ph} + \dot{m}_{29} ex_{H_2}^{ch})}{\dot{E}x_{HX1}^{Q} + \dot{E}x_{\dot{W}_{c1}}^{BC} + \dot{E}x_{\dot{W}_{P1}}^{RC} + \dot{E}x_{\dot{W}_{p2}}^{ORC} + \dot{E}x_{\dot{W}_{c2}}^{S-CO2} + \dot{E}x_{\dot{W}_{p3}}^{Abs} + \dot{E}x_{Elektrolyzer}} \tag{17}$$

In Table 1, the energy efficiency and exergy efficiency equations for each cycle are given separately.

Table 1. Equations of energy efficiency and exergy efficiency of components in the integrated power cycle

Cycle	Energy efficiency	Exergy efficiency
Air brayton cycle	$\dfrac{\dot{W}_{t1} + \dot{W}_{t2}}{HX1 + \dot{W}_{c1}}$	$\dfrac{\dot{E}x_{\dot{W}_{t1}}^{BC} + \dot{E}x_{\dot{W}_{t2}}^{BC}}{\dot{E}x_{HX1}^{Q} + \dot{E}x_{\dot{W}_{c1}}^{BC}}$
H$_2$O rankine cycle	$\dfrac{\dot{W}_{t3} + \dot{W}_{t4}}{HX2 + \dot{W}_{p1}}$	$\dfrac{\dot{E}x_{\dot{W}_{t3}}^{RC} + \dot{E}x_{\dot{W}_{t4}}^{RC}}{\dot{E}x_{HX2}^{Q} + \dot{E}x_{\dot{W}_{P1}}^{RC}}$
R113 ORC	$\dfrac{\dot{W}_{t5} + \dot{W}_{t6}}{HX3 + \dot{W}_{p2}}$	$\dfrac{\dot{E}x_{\dot{W}_{t5}}^{ORC} + \dot{E}x_{\dot{W}_{t6}}^{ORC}}{\dot{E}x_{HX3}^{Q} + \dot{E}x_{\dot{W}_{P2}}^{RC}}$
S-CO$_2$ cycle	$\dfrac{\dot{W}_{t7} + \dot{W}_{t8}}{HX4 + \dot{W}_{c2}}$	$\dfrac{\dot{E}x_{\dot{W}_{t7}}^{S-CO2} + \dot{E}x_{\dot{W}_{t8}}^{S-CO2}}{\dot{E}x_{HX4}^{Q} + \dot{E}x_{\dot{W}_{c2}}^{S-CO2}}$
Electolyzer	$\dfrac{\dot{m}_{H2} * HHV}{\dot{W}_{S-CO2}^{Net}}$	$\dfrac{\dot{m}_{H2}(ex_{H_2}^{ph} + \dot{m}_{29} ex_{H_2}^{ch})}{\dot{E}x_{Elektrolyzer}}$
NH$_3$H$_2$O Absorption cycle	$\dfrac{\dot{Q}_{Cooling}^{HX7}}{HX6 + \dot{W}_{p3}}$	$\dfrac{\dot{E}x_{\dot{W}_{t5}}^{AB} + \dot{E}x_{\dot{W}_{t6}}^{AB}}{\dot{E}x_{HX6}^{Q} + \dot{E}x_{\dot{W}_{P3}}^{AB}}$

III. RESULTS AND DISCUSSION

The temperature entropy T-s diagrams of the integrated cycles are shown in figure 2(Rankine cycle), figure 3(ORC), and figure 4(S-CO$_2$ cycle).

Thermodynamic values of the state points of the air brayton cycle cycle in the integrated system in figure 1 are given in table 2.

Table 2. Thermodynamic values for the air brayton cycle

Location	T[K]	$\dot{s}[\frac{kJ}{kg.K}]$	P[bar]	$\dot{h}[\frac{kJ}{kg}]$	$\dot{ex}[\frac{kJ}{kg}]$	$\dot{m}[\frac{kg}{s}]$	Fluid
1.	293.2	6.8446	1	293.4	0	88	air
2.	729.6	6.909	21	746	433.8	88	air
3.	1493	7.733	21	1630	1076	88	air
4.	1113	7.783	5.25	1177	609.1	88	air
5.	768	7.841	1	787.3	202.1	88	air
6.	512.3	7.412	1	516	56.56	88	air
7.	402.3	7.165	1	403.5	16.52	88	air
T[0].	293.2	6.846	1	293.4	--------	--------	air

T-s diagram for gradual H_2O Rankine cycle in figure 2.

Figure 2. T-s diagram for H_2O Rankine cycle

In table 3, thermodynamic values of the state points of the H_2O Rankine cycle in the integrated system in figure 2 are given.

Table 3. Thermodynamic values for the H_2O Rankine cycle

Location	T[K]	$\dot{s}[\frac{kJ}{kg.K}]$	P[bar]	$\dot{h}[\frac{kJ}{kg}]$	$\dot{ex}[\frac{kJ}{kg}]$	$\dot{m}[\frac{kg}{s}]$	Fluid
8.	593.2	6.461	39.8	3017	1126	10.58	water
9.	543.8	6.478	26.53	2930	1034	10.58	water
10.	593.2	6.695	17.69	3053	1093	10.58	water
11.	544.4	6.715	17.69	2964	998.4	10.58	water
12.	479.4	2.389	39.8	880.5	182.9	10.58	water
13.	479.8	2.39	39.8	883.4	185.6	10.58	water
T[0].	293.2	0.2972	1	84.22	--------	--------	water

R113 T-s diagram for gradual ORC in figure 3

Figure 3. R113 T-s diagram for ORC

In table 4, thermodynamic values of the state points of the R113 ORC in the integrated system in figure 3 are given.

Table 4. Thermodynamic values for the R113 ORC

Location	T[K]	$\dot{s}[\frac{kJ}{kg.K}]$	P[bar]	$\dot{h}[\frac{kJ}{kg}]$	$\dot{ex}[\frac{kJ}{kg}]$	$\dot{m}[\frac{kg}{s}]$	Fluid
14.	423.2	1.662	12.22	448	54.26	63.92	R113
15.	408.9	1.664	8.146	442.6	48.49	63.92	R113
16.	423.2	1.692	8.146	454.5	51.99	63.92	R113
17.	411.5	1.694	5.431	448.6	45.62	63.92	R113
18.	382.7	1.319	5.431	425.8	39.65	63.92	R113
19.	383.2	1.319	12.22	305	11.79	63.92	R113
T[0].	293.2	1.064	1	218.3	--------	--------	R113

T-s diagram for gradual S-CO₂ cycle in figure 4.

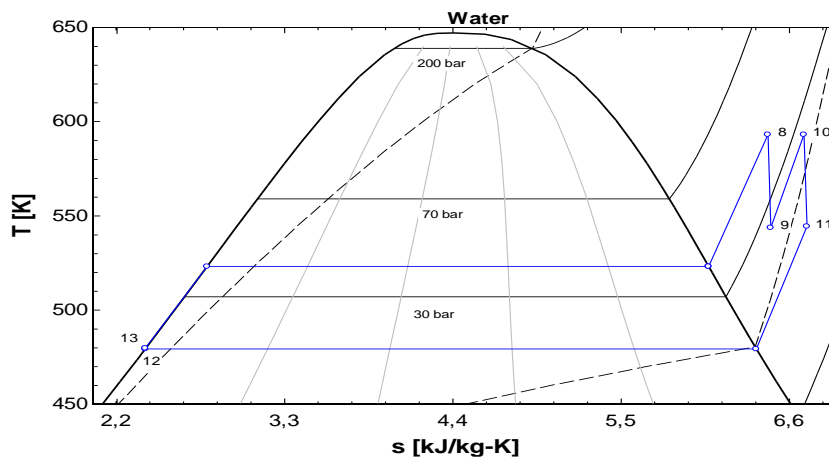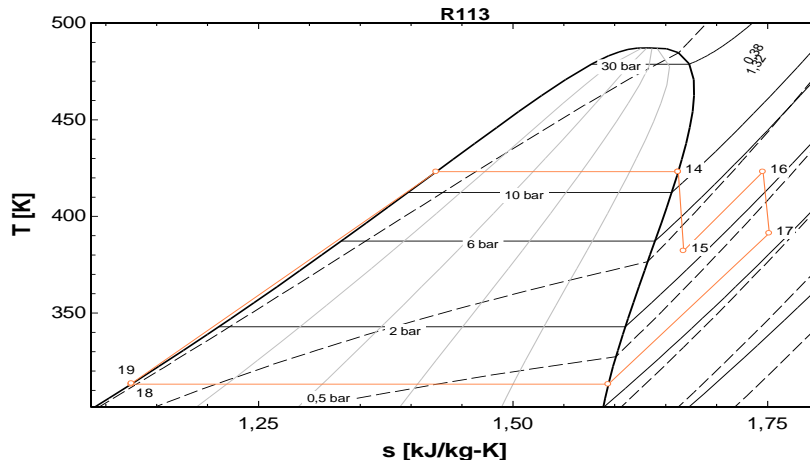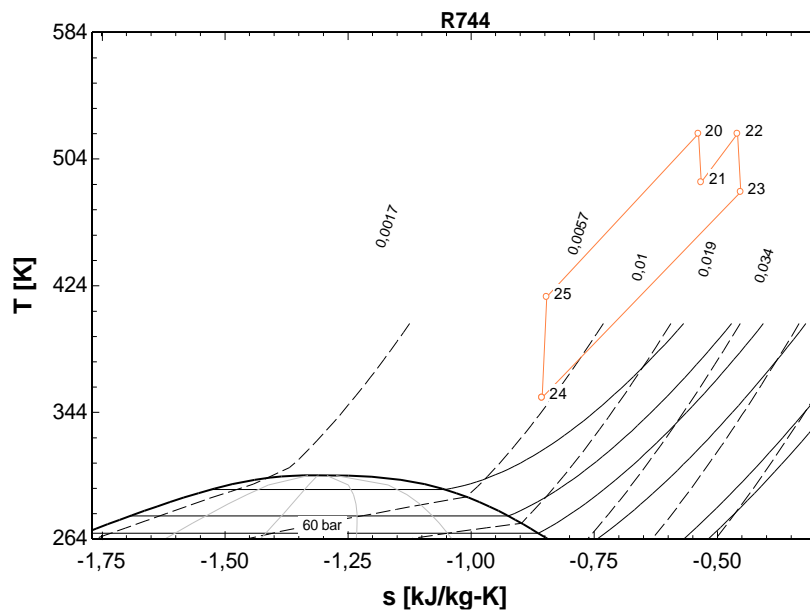**Figure 4.** T-s diagram for S-CO₂ cycle

In table 5, thermodynamic values of the state points of the S-CO₂ cycle In the integrated system in figure 4 are given.

Table 5. *Thermodynamic values for the S-CO₂ cycle*

Location	T[K]	$\dot{s}[\frac{kJ}{kg.K}]$	P[bar]	$\dot{h}[\frac{kJ}{kg}]$	$\dot{ex}[\frac{kJ}{kg}]$	$\dot{m}[\frac{kg}{s}]$	Fluid
20.	520	-0.5385	180	158.5	317.4	122.4	CO_2
21.	489.4	-0.533	132	134.1	291.4	122.4	CO_2
22.	520	-0.4594	132	171.3	307	122.4	CO_2
23.	483.3	-0.4524	90	140.9	274.6	122.4	CO_2
24.	353.2	-0.8561	90	-25.11	226.9	122.4	CO_2
25.	416.9	-0.8463	180	15.51	264.7	122.4	CO_2
T[0].	293.2	-0.01403	1	-5.168	--------	--------	CO_2

In table 6, thermodynamic values of the state points of the Electolyzer in the integrated system in figure 1 are given.

Table 6. *Thermodynamic values for the Electolyzer*

Location	T[K]	$\dot{s}[\frac{kJ}{kg.K}]$	P[bar]	$\dot{h}[\frac{kJ}{kg}]$	$\dot{ex}[\frac{kJ}{kg}]$	$\dot{exch}[\frac{kJ}{kg}]$	$\dot{m}[\frac{kg}{s}]$	Fluid
44.	333.2	6.513	1	32.15	1.749	124.1	0.02695	O_2
45.	333.2	66.41	1	503.2	27.35	117112	0.003396	H_2
46.	298.2	0.3679	1	105.1	0	49.96	0.03035	H_2O
T[0].	298.2	0.7172	1	64.82	--------	--------	--------	H_2
T[0].	298.2	0.04569	1	6.411	--------	--------	--------	O_2

In table 7, thermodynamic values of the state points of the NH₃H₂O absorption cyclein the integrated system in figure 1 are given.

Table 7. *Thermodynamic values for the NH₃H₂O absorption cycle*

Location	T[K]	$\dot{h}[\frac{kJ}{kg}]$	$\dot{s}[\frac{kJ}{kg.K}]$	P [bar]	$\dot{ex}[\frac{kJ}{kg}]$	Qu [quality]	$\dot{m}$ [kg/s]	X [%NH3]	Fluid
26.	363.1	174.1	1.122	15	35.19	-0.001	32.126	0.400	NH_3H_2O
27.	388.2	1593.4	5.017	15	312.5	1	3.873	0.92	NH_3H_2O
28.	388.2	305.8	1.446	15	71.75	0	28.253	0.329	NH_3H_2O
29.	301.2	73.9	0.452	15	131.3	-0.001	3.873	0.920	NH_3H_2O
30.	255.1	73.9	0.524	1.9	110.1	0.162	3.873	0.920	NH_3H_2O
31.	275.2	1009.8	4.124	1.9	-9.33	0.812	3.873	0.920	NH_3H_2O
32.	301.2	-99.9	0.301	1.9	1.909	0.002	32.126	0.400	NH_3H_2O
33.	306.2	-80	0.3612	15	4.079	-0.001	32.126	0.400	NH_3H_2O
34.	323.5	16.9	0.633	15	21.29	-0.001	28.253	0.329	NH_3H_2O
35.	316.2	16.9	0.6385	1.9	19.64	0.01937	28.253	0.329	NH_3H_2O
T[0].	293.2	-8.949	0.6173	1	--------	--------	--------	--------	NH_3H_2O

The thermodynamic analysis of the combined power system created with different thermodynamic cycles is presented in Table 8 [(+) entering the system (-) exiting the system]. Compressor1 operates with an input power of 39825 kW and has a high efficiency of 95.86%. The exergy loss is 1648 kW, which is a reasonable value in the system. HX1 has an exergy loss of 8580 kW and operates at 86.82% efficiency, playing a significant role with a heat transfer of ± 77777 kW. Turbine1 operates with an output power of 39825 kW at a high efficiency of 96.88%, with an exergy loss of only 1283 kW. Similarly, Turbine2 operates with an output power of 34314 kW at 95.83% efficiency and has an exergy loss of 1495 kW. HX2 has an exergy loss of 2237 kW, operates at 72.71% efficiency, and handles a heat transfer of ± 23873 kW. HX3 has an exergy loss of 584.9 kW, operates at 70.71% efficiency, and handles a heat transfer of ± 9899 kW. Turbine3 operates with an output power of 916.2 kW at 94.33%

efficiency and has an exergy loss of 55.07 kW. Turbine4, similarly, operates with an output power of 942.1 kW at 93.92% efficiency and has an exergy loss of 61.01 kW. HX4 operates with an exergy loss of 951.1 kW at 88.98% efficiency and handles a heat transfer of ± 22045 kW. Pump1 operates with an input power of 30.29 kW at 93.89% efficiency and has an exergy loss of only 1.851 kW. Turbine5 operates with an output power of 341.8 kW at 92.62% efficiency and has an exergy loss of 27.25 kW. Turbine6 operates with an output power of 375.1 kW at 92.13% efficiency and has an exergy loss of 32.04 kW. HX5 has an exergy loss of 1617 kW, operates at 72.3% efficiency, and handles a heat transfer of ± 20325 kW. HX6 has an exergy loss of 88.73 kW, operates at 95.96% efficiency, and handles a heat transfer of ± 9218 kW. Pump2 operates with an input power of 35.92 kW at 92.35% efficiency and has an exergy loss of 2.749 kW. Turbine7 operates with an output power of 2980 kW at 93.75% efficiency and has an exergy loss of 198.8 kW. Turbine8 operates with an output power of 3712 kW at 93.67% efficiency and has an exergy loss of 250.9 kW. Compressor2 operates with an input power of 4971 kW at 92.95% efficiency and has an exergy loss of 350.6 kW. HX7 has an exergy loss of 118.7 kW, operates at 85.53% efficiency, and handles a heat transfer of ± 5885.7 kW. V1 has an exergy loss of 82.03 kW and operates at 83.87% efficiency. HX8 has an exergy loss of 78.29 kW, operates at 83.07% efficiency, and handles a heat transfer of ± 3625.2 kW. Pump3 operates with an input power of 640.2 kW at 10.89% efficiency and has an exergy loss of 570.5 kW. HX9 has an exergy loss of 426.1 kW, operates at 70.10% efficiency, and handles a heat transfer of ± 8162 kW. V2 has an exergy loss of 46.61 kW and operates at 92.24% efficiency. HX10 has an exergy loss of 225.2 kW, operates at 50.79% efficiency, and handles a heat transfer of ± 7597.7 kW. The electrolyzer operates with an input power of 1720 kW at 56% efficiency and has an exergy loss of 756.8 kW. The power output from the electrolyzer is 756.8 kW, operating at 78.35% efficiency, and has an exergy loss of 163.8 kW. Overall, most components in the system operate with high efficiency and maintain low exergy losses, which enhances the overall energy and exergy efficiency of the system.

Table 8. Thermodynamic analysis of the combined power system

Component	W kW		Ex_D. kW	φ[%]	Qheat		$\delta_{iz.}$[%]
	(+) in	(-) out			(+) in	(-) out	
Compressor1 (1-2)	+39825		1648	95.86	--------		90
HX1 (2-3)	--------		8580	86.82	± 77777		--------
Türbine1 (3-4)	-39825		1283	96.88	--------		89.31
Türbine2 (4-5)	-34314		1495	95.83	--------		90
HX2 (5-6)(9-10)(8-13)	--------		2237	72.71	± 23873		--------
HX3 (6-7)(14-19)(15-16)	--------		584.9	70.71	± 9899		--------
Türbine3 (8-9)	-916.2		55.07	94.33	--------		90
Türbine4 (10-11)	-942.1		61.01	93.92	--------		89,31
HX4 (11-12)(21-22)(20-25)	--------		951.1	88.98	± 22045		--------
Pump1 (12-13)	+30.29		1.851	93.89	--------		90
Türbine5 (14-15)	-341.8		27.25	92.62	--------		90
Türbine6 (16-17)	-375.1		32.04	92.13	--------		89,31
HX5 (23-24)(42-43)	--------		1617	72.3	± 20325		--------
HX6 (17-18)(26-27-28)	--------		88.73	95.96	± 9218		--------
Pump2 (18-19)	+35.92		2.749	92.35	--------		90
Türbine7 (20-21)	-2980		198.8	93.75	--------		90
Türbine8 (22-23)	-3712		250.9	93.67	--------		90
Compressor2 (24-25)	+4971		350.6	92.95	--------		90
HX7 (27-29)(40-41)	--------		118.7	85.53	± 5885.7		--------
V1(29-30)	--------		82.03	83.87	--------		--------
HX8 (30-31)(38-39)	--------		78.29	83.07	± 3625.2		--------
Pump3 (32-33)	+640.2		570.5	10.89	--------		--------
HX9 (26-33)(28-34)	--------		426.1	70.10	± 8162		--------
V2 (34-35)	--------		46.61	92.24	--------		--------
HX10 (35-36-37)	--------		225.2	50.79	± 7597.7		--------

ELECTROLYZER					
Elektolyzere giren güç	+1720	756.8	56	--------	--------
ELECTROLYZER	+756.8	163.8	78.35	--------	--------

Table 9 shows the products coming out of one component. The Brayton cycle generates a net power output of 34,314 kW. The Rankine cycle produces a net power output of 1,828 kW. The Organic Rankine Cycle (ORC) generates a net power output of 681 kW. The cooling load handled by the system is 2,985 kW. The supercritical CO_2 (S-CO_2) cycle produces a net power output of 1,720 kW. Additionally, the system generates hydrogen at a rate of 0.0034 kg/s. Overall, these values highlight the contributions of each cycle to the integrated power system, demonstrating their roles in power generation, cooling, and hydrogen production.

Table 9. Net power values from integrated cycles

Parameters	Net Values
$\dot{W}_{BC}$	34314 kW
$\dot{W}_{RC}$	1828 kW
$\dot{W}_{ORC}$	681 kW
$\dot{Q}_{Cooling}$	2985 kW
$\dot{W}_{S-CO2}$	1720 kW
$\dot{m}_{Hydrogen}$	0.0034 kg/s

Table 10 shows the energy and exergy efficiency percentages of each component. The air Brayton cycle (BC) has an energy efficiency of 63% and an exergy efficiency of 27%. The H_2O Rankine cycle (RC) has an energy efficiency of 8% and an exergy efficiency of 5%. The R113 Organic Rankine Cycle (ORC) has an energy efficiency of 7% and an exergy efficiency of 10%. The supercritical CO_2 (S-CO_2) cycle has an energy efficiency of 25% and an exergy efficiency of 35%. The electrolyzer has an energy efficiency of 56% and an exergy efficiency of 70%. The NH_3H_2O absorption cycle has an energy efficiency of 36% and an exergy efficiency of 11%. For the total system, the combined energy efficiency is 66.35%, and the exergy efficiency is 35%. These values show the varying efficiencies of different cycles within the integrated power system, highlighting the overall performance and potential areas for improvement in both energy and exergy terms.

Table 10. Energy and exergy efficiency of components in the integrated power cycle

Cycle	Energy efficiency [%]	Exergy efficiency [%]
Air brayton cycle(BC)	63	27
H_2O rankine cycle(RC)	8	5
R113 ORC	7	10
S-CO_2 cycle	25	35
Electolyzer	56	70
NH_3H_2O Absorption cycle	36	11
Total system	66.35	35

In the study conducted by Cao and colleagues [20], they successfully recuperated waste heat through the integration of diverse subsystems, including a thermoelectric generator, LiBr-H_2O absorption refrigerator system, heat recovery steam generator, and a proton exchange membrane electrolyzer. This

integrated approach resulted in an impressive exergy efficiency of 43% and an energy efficiency of 62.2%. In contrast, our study focuses on the utilization of waste heat from a gas turbine, and the system is enhanced through gradual expansion processes. The thermodynamic analysis of an integrated power generation system includes heat transitions to the H_2O Rankine cycle, R113 ORC cycle, S-CO_2 cycle, electrolyzer, and NH_3H_2O absorption cycle, each with successive sub-cycles. Moreover, by implementing gradual expansion in the Air-Brayton, R113-ORC, H_2O-Rankine, and S-CO_2 cycles, the process of extracting additional energy from turbines is initiated. The overall energy efficiency of our multi-integrated system is calculated to be 66.35%, with an exergy efficiency of 35%. Our study aligns with literature works, supporting the notion that the increased energy efficiency of the total integrated system is attributed to the high efficiency of gas turbines.

IV. CONCLUSION

The availability of energy serves as a fundamental criterion in determining its sustainability. Our initiative to harness waste heat sources, in conjunction with multiple power generation systems and systems featuring gradual expansion, represents a critical domain warranting extensive energy and exergy analysis. Within these systems, the discernible energy and exergy losses incurred during the utilization of energies sourced from diverse power origins unveil the operational availability of system components. Hence, meticulous analysis during both the design and operation phases is imperative to mitigate these losses effectively. Energy and exergy analysis emerges as a pivotal tool throughout the design, operation, and maintenance stages of such systems.

In the integrated system under consideration, the comprehensive energy efficiency of the system notably benefits from enhancements in the Air Brayton cycle and the Electrolyzer, representing pivotal cycles that augment overall efficiency. Notably, significant exergy breakdowns are observed in the heat transitions of the Air Brayton cycle and the S-CO_2 cycle. The resulting net power outputs indicate efficient utilization, with hydrogen production from the Electrolyzer, and substantial outputs from various cycles, including the Air Brayton cycle, H_2O Rankine cycle, R113 ORC, NH_3H_2O Absorption cycle, and S-CO_2 cycle. The achievement of high total energy yield underscores the efficacy of leveraging waste energy sources optimally.

In conclusion, our integrated power system demonstrates a robust energy efficiency of 66.35% and an exergy efficiency of 35%. This efficiency is driven by high-performing cycles such as the Air Brayton cycle and the Electrolyzer, which play crucial roles in optimizing overall system performance. Notably, significant energy outputs are observed across various cycles, including the Air Brayton, H_2O Rankine, R113 ORC, NH3H_2O Absorption, and S-CO_2 cycles, along with hydrogen production from the Electrolyzer. These results underscore the effective utilization of waste heat sources and highlight opportunities for further enhancing energy and exergy efficiencies. Moreover, our study emphasizes the importance of rigorous energy and exergy analyses in guiding the design, operation, and maintenance of integrated energy systems, thereby advancing sustainable energy production practices.

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Research Article

Bacterial Allies in Agricultural Defense: Evaluation of *Xenorhabdus* and *Photorhabdus* Supernatants Against *Phytophthora infestans* and *Monilinia laxa*

Derya ULUĞ [a,*]

[a] Department of Biology, Faculty of Science, Aydın Adnan Menderes University, TÜRKİYE
* Corresponding author's e-mail address: deryaasici@adu.edu.tr
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ABSTRACT

Fungal phytopathogens represent a significant threat to global agriculture, affecting crop productivity and food security. *Phytophthora infestans* (Mont.) de Bary and *Monilinia laxa* (Aderh. & Ruhland) Honey (1945) are two pathogens that cause blights and brown rot, respectively, economically vital crops like potato and stone fruits. Sustainable management strategies are crucial for mitigating these threats. *Xenorhabdus* and *Photorhabdus* bacteria produce various secondary metabolites with different biological activities. This study investigated the antifungal activity of cell-free supernatants of *Xenorhabdus* and *Photorhabdus* bacteria against *P. infestans* and *M. laxa*. *Xenorhabdus cabanillasii* and *Xenorhabdus szentirmaii* exhibited antifungal capability at 5% and have been found to have the potential for use as biocontrol agents, whereas *Photorhabdus kayaii* showed relatively low antifungal activity against two tested phytopathogens. These findings underscore the importance of exploring biocontrol agents in integrated pest management practices.

Keywords: Natural products, biological control, antifungal, plant pathogenic fungi

Tarımsal Mücadelede Bakteriyel Müttefikler: Xenorhabdus ve Photorhabdus bakterilerine ait süpernatantların Phytophthora infestans ve Monilinia laxa türlerine karşı etkinliklerinin belirlenmesi

ÖZ

Fungal fitopatojenler, tarım verimliliğini ve gıda güvenliğini etkileyerek tarımsal üretimde ciddi bir tehdit oluşturur. *Phytophthora infestans* (Mont.) de Bary ve *Monilinia laxa* (Aderh. & Ruhland) Honey (1945) gibi patojenler, ekonomik olarak önemli tarım ürünlerinde sırasıyla solgunluk ve kahverengi çürüklere neden olan önemli fitopatojenlerdir. Bu fitopatojenlerin etkilerini hafifletmek için sürdürülebilir yönetim stratejileri geliştirmek hayati önem taşımaktadır. *Xenorhabdus* ve *Photorhabdus* cinslerine ait bakterilerin pek çok farklı biyolojik aktiviteye sahip sekonder metabolitler ürettiği bilinmektedir. Bu çalışma, *Xenorhabdus* ve *Photorhabdus* bakterilerinden elde edilen süpernatantların *P. infestans* ve *M. laxa*'ya karşı antifungal aktivitesini belirlemek amacıyla yapılmıştır. Xenorhabdus cabanillasii ve Xenorhabdus szentirmaii türleri %5 konsantrasyonda antifungal aktivite göstermiş ve bu iki türün biyolojik mücadele ajanı olarak kullanılabilme potansiyelleri olduğu belirlenmiş; *Photorhabdus kayaii* türünün ise nispeten daha düşük bir antifungal aktiviteye sahip olduğu görülmüştür. Bu bulgular entegre zararlı yönetimi uygulamalarında biyolojik mücadele ajanlarının keşfinin önemini ortaya koymaktadır.

Anahtar Kelimeler: Doğal ürünler, biyolojik mücadele, antifungal, bitki patojeni fungus

I. INTRODUCTION

Fungal phytopathogens pose a significant threat to agriculture, affecting crop yields and food security on a widespread scale. Phytopathogenicfungi can infect various parts of plants, including leaves, stems, roots, and fruits, leading to a range of diseases, such as rust, blights, and wilts, resulting in reduced crop quality and yield losses. *Phytophthora infestans* (Mont.) de Bary, one of the most aggressive pathogens, causes a disease called blight, mostly affecting two economically important Solanaceae species: potato (*Solanum tuberosum*) and tomato (*Solanum lycopersicum*). The disease causes wilting, damping-off, chlorosis, root rot, and the rotting of other organs [1]. This pathogen is best known for causing the notorious Irish potato famine in the 1840s [2]. *Monilinia laxa* (Aderh. & Ruhland) Honey (1945) causes brown rot in stone fruits in the European Mediterranean areas. The disease leads to notable reductions in yield stemming from both flower and twig blight during infection of flowers and fruit rot at various stages; preharvest, harvest, and postharvest. Postharvest losses tend to be more severe than preharvest losses [3].

Effective strategies to manage and control plant fungal diseases are crucial for sustaining global food production and ensuring a stable and secure food supply. Although chemical pesticides are often highly effective in quickly controlling and managing pest populations, they pose health risks to nontarget organisms and cause soil, water, and air pollution. Moreover, the frequent use of chemicals to control pests can trigger insecticide resistance [3]. Integrated approaches, including the use of resistant crop varieties, cultural practices, and biological control agents, are essential for mitigating the effects of these diseases and safeguarding the world's food systems.

One of the most common biocontrol agents used in integrated pest management (IPM) programs is entomopathogenic bacteria. *Xenorhabdus* spp. and *Photorhabdus* spp. (Fam: Morganellaceae) are Gram-negative, rod-shaped bacteria that are symbiotically associated with the entomopathogenic nematode (EPN) genera *Steinernema* and *Heterorhabditis*, respectively [4]. These two entomopathogenic bacteria are present in the infective juvenile (IJ) stages of EPN. After IJs infect the soil-dwelling insect host, these bacteria are released into the insect hemolymph. Both bacteria genera produce various secondary metabolites not only to help them kill the host and degrade the host, but also to help them protect the host cadaver from other competitive organisms. These natural products are considered reservoirs of innovative insecticidal, antibacterial, and antifungal compounds [5] and can replace existing hazardous chemical pesticides. Previously, various studies have investigated the effects of different *Xenorhabdus* and *Photorhabdus* cell cultures or cell-free supernatants (CFS) against different fungal pathogens [6-10]. The objective of this study was to determine the antifungal activity of *Xenorhabdus* and *Photorhabdus* supernatants against two economically important fungal pyhtopathogens, *M. laxa* and *P. infestans*, under laboratory conditions.

II. MATERIAL AND METHODS

A. FUNGAL PATHOGENS

The fungal pyhtopathogens P. *infestans* and *M. laxa* used in this study were obtained from Prof. Özlem Abacı Günyar (Ege University, Faculty of Science, Department of Biology). Pathogen cultures were maintained on Potato Dextrose Agar (PDA) (Merck) at 25° C. Using a sterile transfer tube, a 5-mm-diameter mycelia plug was removed from the fungal stock cultures and placed centrally on top of a Petri dish containing PDA. All Petri dishes were incubated at 25°C in the dark and subcultured every two weeks until they were used in experiments.

B. OBTAINING SYMBIOTIC BACTERIA AND CELL-FREE SUPERNATANTS

Xenorhabdus cabanillasii Tailliez et al. 2006 (JM26-1), *Xenorhabdus szentirmaii* Lengyel et al. 2005 (DSMZ16338), and *Photorhabdus kayaii* Machado et al. 2018 (DSMZ15194) were used in the experiments. These bacteria have been known to produce various secondary metabolites which can have antifungal effects on different pathogenic fungi species. Bacteria species were obtained from Dr. Helge Bode (Max Planck Institute, Marburg, Germany) and stored in 20% glycerol at −80°C until use in the experiments. Bacteria were subcultured from stock cultures on Luria-Bertani (LB) (Neogen®) agar at 30°C for 48 h. Each bacterial species was inoculated into separate flasks containing 10 ml of LB broth and then placed into an incubator set at 30°C and 150 rpm for overnight cultivation. To obtain cell-free supernatants, 0.3 ml of overnight cultures were inoculated into 100 ml of LB broth and incubated at 30°C and 150 rpm for 5 days. After 5 days, cultures were centrifuged at 4°C and 10000 rpm for 15 minutes and filtered using a 0.22 µm syringe filter (Sartorius Minisart® Syringe Filter). Cell-free supernatants were kept at 4°C for up to 5 days until they were used in experiments.

C. IN VITRO LABORATORY EXPERIMENTS

Potato Dextrose Agar (PDA) was prepared according to the manual of the manufacturer and autoclaved at 121°C for 15 min. After allowing the medium to cool down to 45-50°C, the bacterial supernatants were added at 5%(v/v) and mixed thoroughly. For the negative control group, only sterile bacterial growth medium (LB) was added, and for the positive control group, trans-cinnamic acid (TCA), a known antifungal agent, was used. A TCA stock culture was prepared by dissolving 12.7 g of TCA in 100 ml ethyl alcohol. A 5% TCA of this stock solution was added to the PDA [11]. Using a sterile transfer tube, a 5-mm-diameter mycelia plug was removed from the fungal cultures and placed centrally on top of each Petri dish. All Petri dishes were incubated at 25°C in the dark, and the colony diameter was measured after 7 and 14 days of incubation. The area of the agar plug in the middle of the plates was excluded in the measurements. Five Petri dishes were used for each treatment, and the experiments were repeated three times on different days.

D. STATISTICAL ANALYSIS

To determine differences between treatment means, data were analyzed by one-way ANOVA. All data were subjected to post hoc Tukey HSD means separation ($\alpha = 0.05$) (SPSS 23.0 IBM Corp., Chicago, IL, USA).

III. RESULTS AND DISCUSSION

Monilinia laxa was more susceptible to the tested bacterial CFS than *P. infestans*. The cell-free supernatant of *X. cabanillasii* and TCA (positive control) completely suppressed the growth of *M. laxa* after 7 and 14 days (Figure 1).
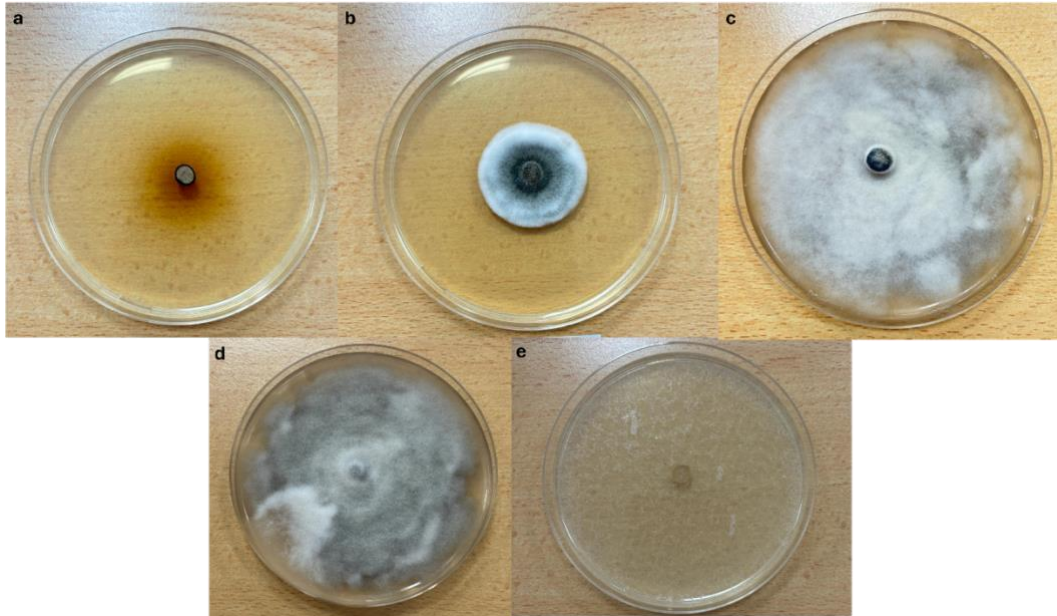
Figure 1*. Growth of Monilinia laxa on agar plates including the cell-free supernatant of Xenorhabdus cabanillasii* **(a)*,* *Xenorhabdus szentirmaii* **(b),** *photorhabdus kayaii* **(c)*,* *control* **(d), and** *TCA* **(e)** *after 14 days of incubation.*

The antifungal effect of *X. szentirmaii* was significantly different from the negative control after both 7 (F=6023.776; df=4; P<0.005) and 14 days (F=7854.895; df=4; P<0.005). *Photorhabdus kayaii* CFS showed relatively low antifungal activity, and it was not statistically different from the negative control group (Figure 2).
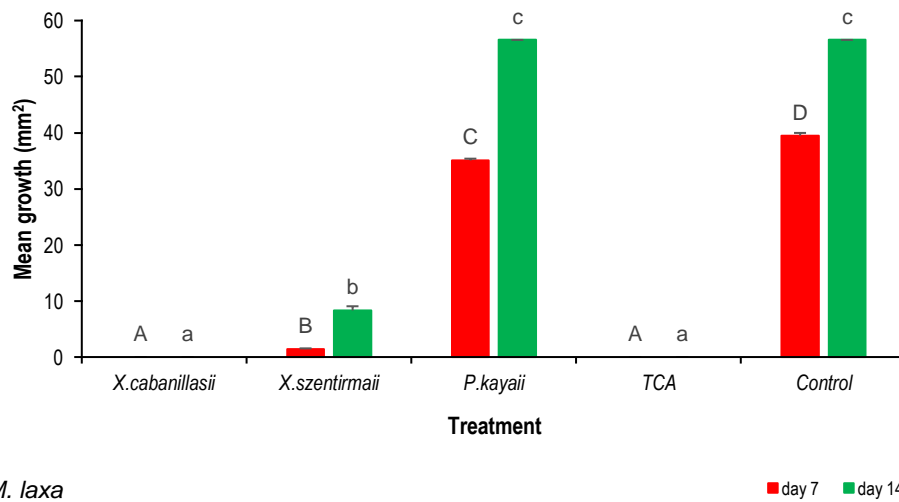
Figure 2*. Antifungal effects of Xenorhabdus cabanillasii, Xenorhabdus szentirmaii, and Photorhabdus kayaii cell-free supernatants against Monilinia laxa. Different letters above the bars indicate statistical significance (Tukey's HSD test, α =0.05).*

For *P. infestans*, there was a statistically significant difference between treatments (for 7 days F=954.729; df=4; P<0.005, for 14 days F= 2136.429; df= 4; P<0.005). *Xenorhabdus cabanillasii* CFS showed the highest antifungal activity during the 14-day period. *X. szentirmaii* CFS and TCA significantly reduced the fungal growth of *P. infestans* on PDA, whereas the suppression by *P. kayaii* CFS was not significantly different from that of the negative control group (Figure 3).

Figure 3. Antifungal effects of Xenorhabdus cabanillasii, Xenorhabdus szentirmaii, and Photorhabdus kayaii cell-free supernatants against Phytopaththora infestans. Different letters above the bars indicate statistical significance (Tukey's HSD test, α =0.05).

Effects of different *Xenorhabdus* and *Photorhabdus* species on CFS were assessed against two important fungal pathogens; *M. laxa* and *P. infestans*. The data indicated that *X. cabanillasii* and *X. szentirmaii* were more effective 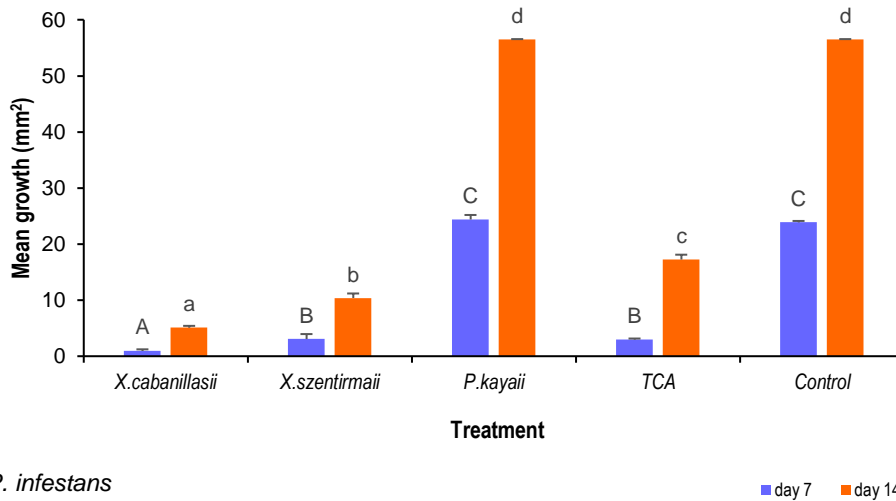in suppressing fungal growth than *P. kayaii*, *with X. cabanillasii* being the most effective species against these two phytopathogens.

Several secondary metabolites with insecticidal, antifungal, antibacterial, nematicidal, antiprotozoal, and cytotoxic activities have been identified in *Xenorhabdus* and *Photorhabdus* species [12-14]. Each of these metabolites helps the bacteria to compete for space, nutrients, and other resources, resulting in the preservation and bioconversion of the host cadaver as well as fostering the reproduction and development of EPNs. The production of secondary metabolites varies among species and strains [15]. *Xenorhabdus* species are known to produce several secondary metabolites, including xenematides, xenocoumacins, fabclavines, cabanillasin, nemaucin, pristinamycin, xenortides, rhabdopeptides, bicornitun, PAX peptides, rhabduscin and bacteriocins [16], whereas anthraquinone, benzaldehyde, carbapenem, GameXpeptides, indole, kollisin A, pyrone, rhabduscin and stilbenes were isolated from *Photorhabdus* species [13].

Previously, several studies have demonstrated the antifungal activities of different *Xenorhabdus* and *Photorhabdus* species. Ng and Webster found that the metabolites of *Xenorhabdus bovienii* (A2) had an antifungal effect against *P. infestans* at a concentration of 0.1 mg/mL [17]. Hazır et al. evaluated the efficacy of the *Xenorhabdus* and *Photorhabdus* species CFS and TCA against *Fusicladium carpophilum*, *Fusicladium effusum*, *Monilinia fructicola*, *Glomerella cingulata*, and *Armillaria tabescens* [9]. They found TCA to be the most effective treatment, and similarly to this study, the CFS of *Xenorhabdus* spp. exhibited stronger suppressive effects on plant pathogenic fungi compared to *Photorhabdus* spp. In 2014, Bock et al. isolated TCA from *Photorhabdus luminescens* bacteria, which are mainly isolated from *Cinnamon* spp. plants. TCA is known to be an effective antifungal compound [7]. As an interesting result, pure TCA, which was used as a positive control for this study, was more effective than CFS against *P. kayaii* in controlling both fungal pathogens. This may be due to the lower TCA concentrations in the *Photorhabdus* CFS. In a recent study, the CFS of 16 *Xenorhabdus* and *Photorhabdus* strains were evaluated against the fungal phytopathogens *Sclerotinia sclerotiorum* and *X. szentirmaii*, which showed the highest fungicidal activity with an inhibition rate of >98% [18]. The in vitro activities of *Xenorhabdus* and *Photorhabdus* CFS against *Cryphonectria parasitica*, *Fusarium oxysporum*, *Rhizoctonia solani*, and *Sclerotinia sclerotiorum* were determined in 2021 [11]. Similar to the findings of this study, the authors also found that *Xenorhabdus* species were more

effective than *Photorhabdus* in suppressing fungal plant pathogen growth. However, contrary to this study, they found *that X. szentirmaii was* more effective than *X. cabanillasii* against all tested phytopathogens. They also showed that the antifungal compound isolated from *X. szentirmaii* was flavine. This can explain why *Xenorhabdus* species are usually more effective in suppressing fungal phytopathogens than *Photorhabdus* species, as *Photorhabdus* species do not produce flavine. However, the CFSof wild-type bacteria contain several secondary metabolites, which differ among different species and even strains. A recent study demonstrated *that Photorhabdus akhurstii supressed* the mycelial growth of *Colletotrichum gloeosporioides*, and the molecules responsible for antifungal activity were identified as glidobactin A, scopafungin I, and glidobactin C [19]. In some cases, different products with antifungal activity may work synergistically to enhance their activity against fungal pathogens.

IV. CONCLUSION

In conclusion, this study underscores the potential of using bacterial supernatants from *Xenorhabdus* and *Photorhabdus* species as effective biocontrol agents against the fungal phytopathogens *P. infestans* and *M. laxa*. This study demonstrated varying degrees of antifungal efficacy among bacterial species, with *X. cabanillasii* being the most effective species, especially against *M. laxa* whereas *P. kayaii* being the least effective. These findings emphasize the importance of exploring new biocontrol agents, particularly integrated pest management strategies, to mitigate the impact of fungal diseases on agricultural crops. Further studies should be conducted *in vivo* to develop sustainable and nontoxic alternatives to chemical pesticides using bacterial metabolites.

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Nelder-Mead Optimized Weighted Voting Ensemble Learning for Network Intrusion Detection

ⓘD Mustafa Burak ÜRÜN [a,*], ⓘD Yusuf SÖNMEZ [b]

[a] *Graduate School of Natural and Applied Sciences, Gazi University, Ankara, TURKEY*
[b] *Department of Computer Engineering, Faculty of Technology, Gazi University, Ankara, TURKEY*
* *Corresponding author's e-mail address: mustafaburak.urun@gazi.edu.tr*

ABSTRACT

The rise in internet usage and data transfer rates has led to numerous anomalies. Hence, anomaly-based intrusion detection systems (IDS) are essential in cybersecurity because of their ability to identify unknown cyber-attacks, especially zero-day attacks that signature-based IDS cannot detect. This study proposes an ensemble classification for intrusion detection using a weighted soft voting system with KNN, XGBoost, and Random Forest base models. The base model weights are optimized using the Nelder-Mead simplex method to improve the overall ensemble performance. In this study, a robust intrusion detection framework that uses soft-voting classifier-level weights optimized using the Nelder-Mead algorithm and feature selection is proposed. The system's performance was evaluated using the KDD99 and UNSW-NB15 datasets, which demonstrated that the proposed approach exceeded other existing methods in respect of accuracy and provided comparable results with fewer features. The proposed system and its hyperparameter optimization technique were compared with other cyber threat detection and mitigation systems to determine their relative effectiveness and efficiency.

Keywords: Intrusion Detection Systems, Ensemble Learning, Soft Voting, Hyperparameter Optimization, Nelder-Mead Algorithm.

Saldırı Tespiti İçin Nelder-Mead Algoritması ile Optimize Ağırlıklı Oylama Topluluk Öğrenmesi

ÖZET

İnternet kullanımı ve veri aktarım hızlarındaki artış çok sayıda anomaliye yol açmıştır. Bu nedenle, anomali tabanlı saldırı tespit sistemleri (IDS), bilinmeyen siber saldırıları, özellikle de imza tabanlı IDS'lerin tespit edemediği sıfırıncı gün saldırılarını belirleme yetenekleri nedeniyle siber güvenlikte çok önemlidir. Bu çalışmada, KNN, XGBoost ve Rastgele Orman temel modelleri ile ağırlıklı bir yumuşak oylama sistemi kullanarak saldırı tespiti için bir topluluk sınıflandırması önerilmektedir. Temel modellerin ağırlıkları, genel topluluk performansını iyileştirmek için Nelder-Mead simpleks yöntemi kullanılarak optimize edilmiştir. Bu çalışmada, Nelder-Mead algoritması ve özellik seçimi kullanılarak optimize edilen yumuşak oylama sınıflandırıcı seviyesi ağırlıklarını kullanan sağlam bir saldırı tespit çerçevesi önerilmektedir. Sistemin performansı KDD99 ve UNSW-NB15 veri setleri kullanılarak değerlendirilmiş ve önerilen yaklaşımın doğruluk açısından mevcut diğer yöntemleri aştığını ve daha az özellik ile karşılaştırılabilir sonuçlar sağladığı tespit edilmiştir. Önerilen sistem ve hiperparametre optimizasyon tekniği, göreceli etkinlik ve verimliliğini belirlemek için diğer siber tehdit tespit ve sınırlama sistemleriyle karşılaştırılmıştır.

I. INTRODUCTION

The widespread use of information technology and the expansion of cyberspace have made significant contributions to economic and societal progress. However, these advancements have also brought new security risks and challenges. Ensuring the security of cyberspace is critical to the mutual interests of humanity, global peace and development, and the national security of all nations. With the advent of the digital age, interconnectedness has become the norm, and the world now heavily depends on software. As a result, the presence of software inevitably leads to the existence of vulnerabilities, which in turn results in increasingly complex network infrastructure and a constantly expanding attack surface. Network security attacks are becoming more sophisticated and widespread on scale. Ultimately, it can be claimed that all financial and technological conflicts are essentially being carried out in cyberspace.

According to SonicWall threat researchers, there has been a notable increase in overall intrusion attempts globally during the first half of 2023. Specifically, they have recorded a staggering 3.7 trillion intrusion attempts, which represents a 21% rise compared to the same period in 2022 [1]. Cybersecurity breaches continue to increase, heightening uncertainty and risks and causing widespread concern globally due to their impact on national security and the economy. The cost of preventing cybercrime is rapidly mounting, generating financial losses including organizational damages, compensation and legal fees [2]. This trend is creating a global impact given its consequences to national security and the economy.

The rise in internet usage and data transfer rates has led to numerous anomalies. Institutions and organizations are continually upping their investment in cybersecurity technologies to ensure a secure and stable service for their users. The market value for cybersecurity was approximately $164 billion in 2019, and it is projected to reach $637 billion by 2030. Figure 1 [3] provides a depiction of the estimated size of the cybersecurity market over time. For these reasons, it is clear that there should be a greater focus on technology optimization for effective cyber defense.
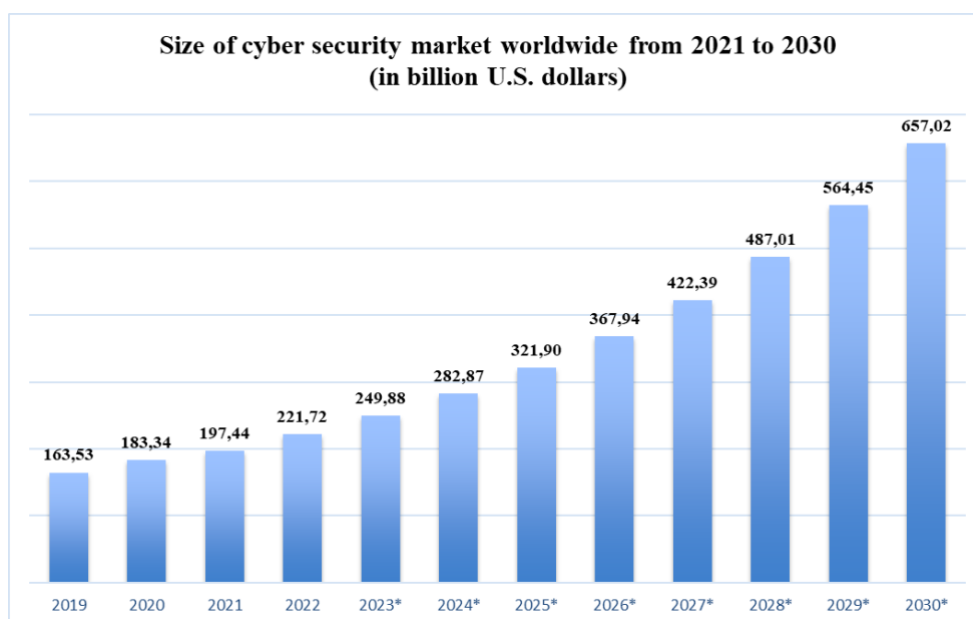

Figure 1. *Size of cyber security market worldwide from 2021 to 2030*

The aim of using machine learning techniques is to develop an intelligent intrusion detection system (IDS) as a secondary defense mechanism for securing computer networks. IDS works by keeping track of activity on a computer network or system. The system analyzes events to identify potential security breaches or unauthorized access attempts. Anomaly-based intrusion detection systems play a key role in the field of cybersecurity due to their ability to identify unknown cyberattacks, specifically zero-day attacks, which cannot be detected by signature-based IDSs. These systems employ the analysis of network traffic and/or resource usage to identify abnormal states, classifying them as anomalies. When malicious activity is detected, an alert is raised, enabling early intrusion and preventing potential attacks from causing substantial damage. Anomaly-based IDSs are also effective in detecting suspicious activity or policy violations in real-time, providing an opportunity for timely response and mitigation to mitigate potential harm caused by cyber threats [4]. In today's Information and Communication Technology (ICT) era, IDSs are crucial to strive for comprehensive protection to ensure the confidentiality, integrity, and availability of information.

Main contributions of this paper are as follows:

- In the domain of intrusion detection, an ensemble classification approach is proposed, which leverages a weighted soft voting mechanism in conjunction with KNN, XGBoost, and Random Forest as base models. To optimize the performance of the soft voting, the weights associated with each base model are accurately determined through the Nelder-Mead algorithm.
- To evaluate the performance of the proposed system, two datasets, namely KDD99 and UNSW-NB15, were used. These datasets served as the foundation for assessing the effectiveness and efficiency of the suggested system in achieving its objectives.
- The performance of the proposed system has been compared with other systems in order to determine its relative efficiency and effectiveness in detecting and mitigating cyber threats.

II. RELATED WORK

In the domain of intrusion detection, a diverse set of machine learning algorithms is employed to detect and classify patterns and anomalies in network traffic and system behavior. These algorithms play a crucial role in identifying and preventing cyber-attacks. By using machine learning algorithms, intrusion detection systems can adapt and learn from new data, enhancing their capacity to detect emerging threats and new attack patterns.

Ensemble methods, on the other hand, are machine learning techniques that involve combining multiple base models to improve the overall performance of a prediction or classification system. Ensemble methods have gained significant attention in machine learning research due to their effectiveness in reducing false positive rates and generating more accurate solutions compared to using a single model alone. By aggregating the predictions of multiple models, ensemble methods aim to leverage the diversity and complementary strengths of individual models, leading to improved overall performance.

Yao et al. [5] conducted experiments using the UNSW-NB15 dataset to evaluate the performance of Soft Voting with three baseline models: XGBoost, LightBGM, and Random Forest. The results demonstrate that the Soft Voting method achieves higher accuracy rates compared to the individual models, both in binary and multiclass classification scenarios. This finding suggests that using Soft Voting is both feasible and efficient for improving the accuracy of classification models.

Shen et al. [6] employed Class Level Soft Voting as an ensemble learning technique, using Support Vector Machines (SVM), k-Nearest Neighbors (KNN), and Decision Trees (DT) as base models. In the Soft Voting approach, the weights of the base models were optimized using the Chaos Bat algorithm, which draws inspiration from the behavior of bats and incorporates concepts from chaos theory. This

optimization process aims to find the ideal combination of weights for the base models, thereby enhancing the overall performance of the ensemble. The experimental results showcased that the Soft Voting ensemble method achieved accuracy levels comparable to other ensemble learning algorithms.

Swami et al. [7] introduced a voting-based ensemble model for predicting final results in the detection of Distributed Denial of Service (DDoS) attacks against Software Defined Networks (SDN). The paper specifically focuses on analyzing three ensemble models: Voting-CMN (CART, MLP, NB), Voting-RKM (RF, KNN, MLP) and Voting-CKM (CART, KNN, MLP). The experimental results indicated that the proposed voting models were more successful in terms of accuracy when compared to the existing models.

Zhou et al. [8] developed a model for detecting network attacks by using feature selection and voting ensemble learning techniques. The model incorporates Correlation Based Feature Selection, which is a heuristic algorithm used for reducing dimensionality by selecting the optimal subset of features based on their correlation. The proposed approach adopts a voting ensemble learning method that includes Forest PA (Forest by Penalizing Attributes), Random Forest, and C4.5 algorithms. The voting mechanism combines the probability estimates from the base learners to make the ultimate prediction. The experimental results demonstrated that the proposed model outperforms other existing methods in terms of various evaluation metrics.

Gu et al. [9] presented a framework for intrusion detection that is based on an ensemble of Support Vector Machine (SVM) models. To address the issue of imbalanced datasets commonly encountered in intrusion detection, the authors applied the ratio transformations technique, which aims to improve the distribution of data by adjusting the ratio between the minority and majority classes. By enhancing the quality of the training data, this technique helps improve the effectiveness of the intrusion detection system. To further enhance the diversity of the SVM classifiers, the authors employed the Fuzzy C-Means (FCM) method. This method contributes to capturing diverse knowledge within the ensemble by introducing additional variability in the classifiers. Finally, the authors applied a non-linear combination method to aggregate the individual SVM classifiers. This aggregation technique enables the ensemble model to benefit from the diverse knowledge captured by each SVM classifier, resulting in improved intrusion detection performance.

Gao et al. [10] proposed an adaptive ensemble method for intrusion detection. The approach involved combining base classifiers, namely Decision Trees (DT), Random Forest (RF), k-Nearest Neighbors (KNN), and deep neural networks, using the voting method with class weights. To determine the class weights, the authors calculated the training accuracy of each algorithm for several attack types. These weights were then used in the voting process to assign more importance to the predictions of the base classifiers with higher accuracy. By employing this adaptive ensemble method, Gao et al. aimed to enhance the general performance of intrusion detection systems by leveraging strengths of multiple base classifiers and adjusting their contributions based on their individual accuracies for different attack types.

Seth et al. [11] put forward a model that aims to construct an ensemble for identifying multiple attack types. The approach involves evaluating the detection abilities of various base classifiers and ranking them accordingly. The ranking matrix is computed based on the F1-score of each algorithm for various attack types. When making the final prediction, the output of an algorithm for a particular attack is only taken into account if it has the highest F1-score in the ranking matrix for that specific attack category.

Zhang et al. [12] introduced a dynamic weighted voting classifier (DWC) as a method for network intrusion detection. The DWC classifier offers improved performance compared to fixed weighted voting and simple majority rule voting. To implement the DWC classifier, an ensemble of classifiers is first trained using a dataset. During the prediction phase, the DWC classifier calculates the weighted sum of the individual classifiers' predictions. The weights assigned to each classifier are updated dynamically based on their performance in previous predictions. This dynamic updating ensures that classifiers with better performance receive more weight in the final prediction. The results showed that the DWC classifier surpassed both fixed weighted voting and simple majority rule voting in terms of evaluation metrics.

Previous studies in the field have primarily focused on optimizing machine learning algorithms to improve the overall effectiveness of intrusion detection systems. Feature selection and ensemble learning have been the main methods used for optimization. Despite these efforts, there is still substantial potential for improvement in the results of these studies. More study and investigation are required to improve the ability to spot security breaches effectively.

III. MATERIALS AND METHODS

A. DATASETS

KDD99 and UNSW-NB15 datasets were used in this research.

The KDD99 dataset has gained significant popularity in the domains of intrusion detection and machine learning. It played a vital role in the Third International Knowledge Discovery and Data Mining Tools Competition (KDD-99), which assessed different data mining and knowledge discovery techniques. The main objective of the competition was to develop a network intrusion detection system that could accurately classify between malicious connections, known as attacks, and normal connections. The dataset comprises network traffic data, including normal and attack segments, to simulate a standard network. These attacks are classified into four categories: DOS (Denial of Service), R2L (Remote-to-Local), U2R (User-to-Root), and probing. Each record in the dataset is assigned a class label and is associated with 41 fixed feature attributes [13]. Within the 41 fixed feature attributes of the KDD99 dataset, nine attributes are of the discrete type, while the rest are continuous. This study focuses on the "kddcup.data_10_percent" dataset, with a total of 494021 records.

The UNSW-NB15 dataset was created by the University of New South Wales (UNSW) to provide a comprehensive collection of raw network packets. This dataset combines genuine modern normal activities with synthetic contemporary attack behaviors. The data was captured using the tcpdump tool, resulting in a total of 100 GB of raw traffic stored in Pcap files. The UNSW-NB15 dataset includes nine distinct attack types, namely Fuzzers, Analysis, Backdoors, DoS (Denial of Service), Exploits, Generic, Reconnaissance, Shellcode, and Worms. To generate the UNSW-NB15 dataset, the researchers utilized the IXIA PerfectStorm tool. This process resulted in the creation of a dataset with a total of 49 features, including the class label [14]. The dataset is split into two subsets: the training set (UNSW_NB15_training-set.csv) and the testing set (UNSW_NB15_testing-set.csv). The training set consists of 175341 records, while the testing set contains 82332 records. In total, the UNSW-NB15 dataset comprises 257673 records.

B. THE BASE LEARNERS

B. 1. K-Nearest Neighbor (KNN)

The K-Nearest Neighbor (KNN) algorithm is a non-parametric, supervised learning classifier that applies the proximity of data points to make classifications or predictions. It operates by examining the class labels of the nearest neighbors of a given data point to designate a class label to that point. The algorithm begins by calculating the distance between the query point and all other data points in the dataset. The most commonly used distance metric is Euclidean distance, which measures the straight-line distance between two points. Other distance metrics, such as Manhattan and Minkowski distances, can also be used depending on the data and problem domain [15].

Once the distances are calculated, the algorithm selects the k nearest neighbors based on the chosen distance metric. The parameter k represents the number of neighbors to count when making a classification. A higher value of k considers more neighbors, while a lower value of k focuses on fewer neighbors [16]. Finally, the algorithm assigns a class label to the query point based on the majority class

of its k-nearest neighbors. Fundamentally, the query point is assigned the class label that is most commonly found among its k neighbors.

The KNN algorithm is simple and often used for sorting and prediction. It gives a new data point a category from the most common class among its closest neighbors. While it has advantages such as its simplicity and ability to learn non-linear decision boundaries, it can be computationally intensive for large training sets and choosing the right value for k can be a balancing act.

B. 2. Xgboost

The XGBoost algorithm is a technique that combines weak learners, usually decision trees, in a sequential manner to create a robust predictive model. It follows the boosting principle, where each new model in the sequence focuses on correcting the errors made by the previous models, thereby improving the overall predictive performance.

One of the advantages of XGBoost is its capacity to execute faster through parallel processing. This allows for quicker model training and prediction. Additionally, XGBoost offers portability, meaning it can be easily implemented on different platforms and systems.

XGBoost, a popular gradient boosting algorithm, employs decision trees as its base learners. Decision trees are relatively straightforward models that partition the input space into distinct regions and assign a specific value to each region. This partitioning allows decision trees to capture complex relationships and make predictions based on the selected region. Multiple decision trees are sequentially built and combined to improve the overall predictive performance. In XGBoost, these trees are often shallow, meaning they have a limited depth. This helps prevent overfitting and makes the algorithm more efficient [17].

The XGBoost algorithm operates within the gradient boosting frame, which aims to optimize a specified loss function. It achieves this by reiteratively appending new models that correct the errors made by existing models. The accomplishment of this task is done by evaluating the slope of the loss function in relation to the projections made by the model and using this information to update the model in a way that minimizes the loss. To control the complexity of the model and prevent overfitting, XGBoost incorporates regularization techniques. Regularization terms are added to the objective function, penalizing complex models and encouraging simpler, more generalizable solutions.

XGBoost is built for quick and effective performance, utilizing simultaneous tasks and networked computers to manage big data and speed up the training of models. Additionally, XGBoost employs tree pruning, which eliminates unnecessary splits that do not contribute significantly to the model's predictive power. This results in more compact and efficient trees, reducing the risk of overfitting.

The XGBoost algorithm follows a series of steps to build its predictive model:

1. Initial Prediction and Residual Calculation: The algorithm begins by making an initial prediction based on the available features. To evaluate the performance of a predictive model, the difference between the predicted value and the observed value is calculated, which gives rise to residuals.
2. Building XGBoost Trees: Each tree in the XGBoost model starts with a single leaf, and all the residuals are assigned to that leaf. The algorithm then calculates a similarity score for this leaf, which measures how well the residuals are explained by the leaf's predicted value.
3. Pruning the Tree: The tree is pruned to optimize its structure and prevent overfitting. This involves evaluating the impact of removing each leaf and its corresponding branches and removing those that do not contribute significantly to improving the model's performance.
4. Output Calculation: The output value for each leaf is calculated based on the residuals assigned to that leaf. This value represents the contribution of this specific leaf to the final prediction.

5. Final Prediction: To make predictions using the trained XGBoost model, the output from each tree is multiplied by a learning rate (a hyperparameter that controls the contribution of each tree) and added to the initial prediction. This aggregation process merges the predictions from each tree in the model to arrive at a final value or classification.

By following these steps, the XGBoost algorithm iteratively improves the model's accuracy by sequentially adding trees that focus on reducing the residuals from previous iterations.

B. 3. Random Forest

The Random Forest algorithm is an ensemble learning method that leverages multiple decision trees to make predictions. During the training phase, the algorithm constructs many decision trees. Each decision tree is trained on a different subset of the data, using random feature subsets.

When making predictions, the Random Forest algorithm combines the predictions of all the individual decision trees. For classification tasks, the mode of the predicted classes across the trees is taken as the final prediction. In regression tasks, the average prediction across the trees is used. This aggregation of predictions from multiple decision trees helps to improve the accuracy and robustness of the Random Forest algorithm [18].

Random Forest leverages the collective wisdom of these individual decision trees to enhance overall accuracy. Random Forest utilizes two primary methods, bagging and feature randomness, to infuse variety into the group.

The process of bagging entails instructing individual decision trees using distinct, randomly selected subsets of the training data. This approach enables multiple trees to acquire knowledge from diverse data subsets, thereby mitigating the risk of overfitting and enhancing the overall generalization capacity of the model. Incorporating feature randomness ensures that each tree considers only a randomly selected subset of features when deciding how to split. By introducing this randomness, Random Forest prevents any single feature from dominating the decision-making process and promotes the exploration of different feature combinations [19].

Random Forest offers several advantages. It tends to achieve high accuracy due to the collective decision-making of multiple trees. It is also robust to noise in the data, as the majority vote or average prediction helps mitigate the impact of outliers. The use of Random Forest can offer valuable insights regarding the importance of features, enabling analysts to comprehend which features have the greatest impact on the predictions. Furthermore, Random Forest is effective in handling high-dimensional data with numerous features.

However, there are some considerations when using Random Forest. Constructing multiple decision trees means that training a Random Forest model can require extensive computing, especially for large amounts of data. The complex inner workings of Random Forest can also make it challenging to interpret compared to simpler models. Additionally, tuning the hyperparameters of Random Forest requires careful experimentation to achieve optimal performance.

C. VOTING METHOD

A voting classifier represents a form of ensemble learning method where multiple machine learning models are combined to make a final prediction. In this technique, each model is trained independently on a subset of the dataset, and their respective predictions are then aggregated to derive a final decision. Two categories of voting classifiers are distinguished: hard voting and soft voting.

The *hard voting* combination rule for class labels means picking what most classifiers agree on the most, which is a mere count of votes. [20]. This rule is commonly used in bagging. In binary settings, this

approach is like the typical Condorcet method—whichever class wins head-to-head against all others becomes the chosen one.

Soft voting combination rules in machine learning refer to a method of combining the predictions of multiple base classifiers. Each base classifier provides a continuous output, which represents the probability distribution over the possible outcomes for a given input. The soft voting combination rule involves polling the continuous outputs generated by each base classifier through the application of functions such as average, maximum, or minimum.

To determine the final prediction, the function is applied to the predicted probabilities, and the class label chosen being the one that maximizes the function's value [21]. Among the different functions, the average is considered as the most potent in terms of predictive efficacy. When using soft voting, the continuous outputs of the base classifiers are first converted into probability distributions. These probability distributions are then averaged, and the definitive prediction is made on the basis of averaged probabilities. This approach allows for a more robust prediction by considering the collective knowledge of multiple models. It can help improve the accuracy and reliability of predictions in machine learning tasks.

Weighted voting is a voting technique that allows for the adjustment of the weights assigned to different base models. Unlike majority voting, where all models have equal weight, weighted voting assigns varying levels of importance to different models [22]. As a result, the predictions of models with higher weights are considered multiple times and have a more significant impact on the final decision. This approach takes into account the unique strengths and weaknesses of each model, providing a more nuanced approach to decision-making. By assigning variable weights, the most reliable and accurate predictions can have a greater influence on the final outcome. This is particularly advantageous when certain models have demonstrated superior accuracy or expertise in specific domains. Weighted voting offers a flexible and adaptable framework for prediction, allowing for a more personalized and efficient approach.

D. NELDER-MEAD ALGORITHM

The Nelder-Mead algorithm, also referred to as the downhill simplex method, is a widely used optimization algorithm employed to locate the minimum of a function in a multidimensional space. The algorithm was developed by John Nelder and Roger Mead in 1965 and is particularly advantageous for scenarios where the objective function lacks differentiability or gradient information is unavailable.

This algorithm functions by maintaining a simplex, which is a geometric shape that extends the concept of a triangle to higher dimensions. It then iteratively adjusts the vertices of the simplex to gradually converge towards the minimum of the objective function. During each reiteration, the algorithm evaluates the objective function at the vertices of the simplex and subsequently applies operations like reflection, expansion, contraction, or shrinkage to update simplex [23].

The Nelder-Mead algorithm is relatively straightforward to implement and does not necessitate the computation of derivatives, making it suitable for a wide array of optimization problems. Nevertheless, its efficiency may not be on par with certain other optimization algorithms, particularly in high-dimensional spaces or for functions with intricate geometries.

Figure 2 illustrates the methodology of the original Nelder-Mead algorithm and its effectiveness in achieving the optimal solution. The algorithm utilizes four parameters, -specifically, reflection, expansion, contraction, and simplex size- to manipulate the simplex within the design space. This manipulation is dependent on the values present at both the vertices and the center of the triangle [24].
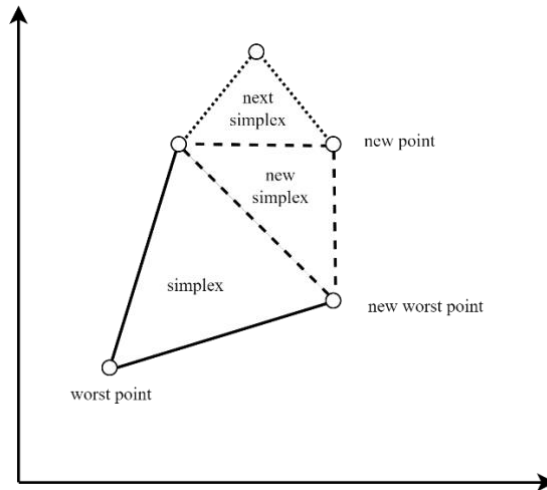
Figure 2. *Nelder-Mead Simplex Method [24]*

As depicted in Figure 2, the shape is a closed N-dimensional object in space, with line edges intersecting at N + 1 vertices. The object's motion consists of a reflection, creating a new vertex and simplex. The direction of the reflection and the selection of the new vertex are contingent on the worst point's placement in the simplex. The new vertex is referred to as the complement of the worst vertex. If a newly added vertex is the worst point of the new simplex, the algorithm oscillates between it and the previous worst point. To find the next new point, the second worst point is used in this case. The simplex moves through the design space and its center moves towards the endpoint. The edges of the simplex are allowed to expand and contract, moving towards the optimum [25].

E. EVALUATION METRICS

The four essential attributes of the confusion matrix, which clearly illustrates the actual and predicted classes as shown in Table 1, form the basis of the evaluation metrics we typically use.

Table 1. *Confusion Matrix*

		Predicted Class	
		Attack (0)	Normal (1)
Actual Class	Attack (0)	TN	FP
	Normal (1)	FN	TP

In this context, we establish the confusion matrix as represented in Table 1, where the abbreviations TN and TP correspond to true negatives and true positives, respectively. These terms denote the correct classification of attack and normal samples. Conversely, a false negative (FN) denotes a misclassification of a normal sample as an attack, while a false positive (FP) indicates the erroneous classification of an attack sample as normal [26].

In this paper, we evaluate various methods using three essential metrics: Accuracy, F1 Score, and Matthews Correlation Coefficient (MCC) [27]. We will now delve into the exact meanings of these metrics.

$$Accuracy = \frac{TP+TN}{TP+FP+TN+FN} \qquad (1)$$

$$Precision = \frac{TP}{TP+FP} \qquad (2)$$

$$Recall = \frac{TP}{TP+FN} \qquad (3)$$

$$F1\ Score = 2 \times \frac{Precision \times Recall}{Precision+Recall} \qquad (4)$$

$$MCC = \frac{(TP \times TN)-(FP \times FN)}{\sqrt{(TP+FP) \times (TP+FN) \times (TN+FP) \times (TN+FN)}} \qquad (5)$$

F. PROPOSED METHODOLOGY

The study involved three phases: first, we conducted data preprocessing to prepare the dataset for binary classification. The dataset was divided into two sets: the test set and the training set. The test set was created to evaluate the performance of the models and measure their generalization ability. It consisted of 20% of the total dataset. On the other hand, the training set was composed of the remaining 80% of the data and served as the input for model training and parameter optimization. In the second phase, we utilized base classifiers for classification purposes. Based on their accuracy rates, we selected the top three algorithms from the outcomes. Finally, in the third stage, we analyzed accuracy performance by combining results from base classifiers using soft voting. Moreover, we optimized hyperparameters at the classifier-level to further improve accuracy performance.

The *first phase* involved data cleaning, feature extraction and feature selection.

Data cleaning is the pivotal procedure of detecting and rectifying, or eliminating, discrepancies, disparities, and inaccuracies within datasets. This indispensable phase in data scrutiny holds paramount significance in guaranteeing the precision and dependability of the outcomes derived from the data. Data cleaning contains a range of activities, including identifying missing or duplicate data, correcting spelling and formatting errors, and removing outliers and irrelevant data [28]. The goal of data cleaning is to ensure that the data is consistent, complete, and accurate, and that it is suitable for analysis. In this study, we removed repetitive rows from the KDD99 dataset which reduced the number of rows to 145586. We also removed rows with an empty "service" column from the UNSW-NB15 dataset which resulted in a dataset with 116352 rows.

Feature extraction is critical to analyzing data, as it selects and transforms relevant information from raw data. This procedure generates a set of features that can be used effectively by machine learning algorithms. Its main objective is to identify and extract the most significant and related features from a dataset, which, in turn, eases the training of machine learning models. One of the primary advantages of feature extraction lies in its capacity to decrease data dimensionality. Through the selection of highly informative features, it simplifies the analysis and processing procedures. Furthermore, this approach aids in the elimination of noise and irrelevant information from the dataset, resulting in enhanced accuracy and performance of machine learning models by prioritizing the most crucial aspects of the data [29].

In this study, datasets are prepared for training and testing using Principal Component Analysis (PCA) to reduce dimensionality and one-hot encoding for categorical features. First, features of either floating-point or integer data types are selected using PCA, after which a minimum variance threshold is established to determine the number of principal components to retain. The chosen features are then subjected to standard scaling and PCA transformation. Subsequently, we identify categorical features and use CountVectorizer to one-hot encode them. We then combine the transformed numerical and encoded categorical features, converting them into a data frame.

Feature selection is the identification and selection of the most significant features from a given dataset that can be employed to establish a strong predictive model [30]. It is crucial to select only the pertinent features to avoid complexity and boost the model's accuracy. In the context of feature selection, the XGBoost model calculated feature importance to determine the usefulness of each feature in constructing the boosted decision trees. To optimize the model's effectiveness, features with a score below the threshold of 0.01 are eliminated from the dataset. By strategically discarding these less influential features, the model's performance is enhanced, ultimately leading to more accurate and reliable predictions. Following the process of feature selection, a total of 10 features have been selected in the KDD99 dataset, while the UNSW-NB15 dataset has undergone feature selection resulting in the selection of 11 features. The target label (normal and attack) is added to the dataset before data splitting. Then, the process of data splitting has then been initiated.

Stratified sampling is employed to uphold a balanced representation of each class in the target variable within both the training and test sets. This method serves to mitigate any potential bias towards the predominant class, hence fostering a more equitable model. In this particular scenario, 80% of the data is allocated for training purposes, while the remaining 20% is reserved for testing.

During the *second phase* of the study, binary classification was carried out by implementing several base classifiers, including Random Forest, K-Nearest Neighbor, and XGBoost. The hyperparameters utilized for these base classifiers are meticulously outlined in Table 2 for reference and transparency.

Table 2. Base Learner Parameters

Methods	Parameters
KNN	n_neighbours = 3
Random Forest	n_estimators = 10
XGBoost	max_depth=3, n_estimators=100, objective='binary: logistic', booster='gbtree', n_jobs=2, random_state=1

Moving on to the *third phase*, the outcomes of the base classifiers, namely Random Forest, K-Nearest Neighbor, XGBoost, were effectively combined using the soft voting technique. This approach allowed for the aggregation of the predictions from each classifier, ultimately yielding a consolidated and robust decision based on the collective wisdom of the individual classifiers.

In the context of soft voting, it is important to acknowledge that the base classifiers often exhibit varying levels of performance. This implies that assigning equal importance to each classifier during the aggregation of results may not yield the optimal outcome. Consequently, it becomes advantageous to assign weights to the classifiers based on their individual performance. However, it is crucial to accurately determine these weights, as they significantly influence the overall performance of the ensemble. To address this, the Nelder-Mead algorithm is proposed in this study to precisely adjust the weights of the base learners, thereby optimizing the performance of the ensemble.

Our objective is to settle the optimum weight combination for the ensemble classifier, maximizing its performance on a dataset. The proposed approach entails constructing a soft voting classifier that comprises pre-trained base classifiers and subsequently evaluating its performance on the dataset. Subsequently, the minimize function is implemented to improve the accuracy performance of the

ensemble classifier through minimizing the classification error. Only two weights are optimized due to their relative importance and the potential for overfitting with additional parameters. Optimization begins with initial weight values of 1.0, and the search space is constrained between 0.5 and 1.5. This process is iteratively refined through the Nelder-Mead algorithm, gradually converging towards the optimal weight configuration.
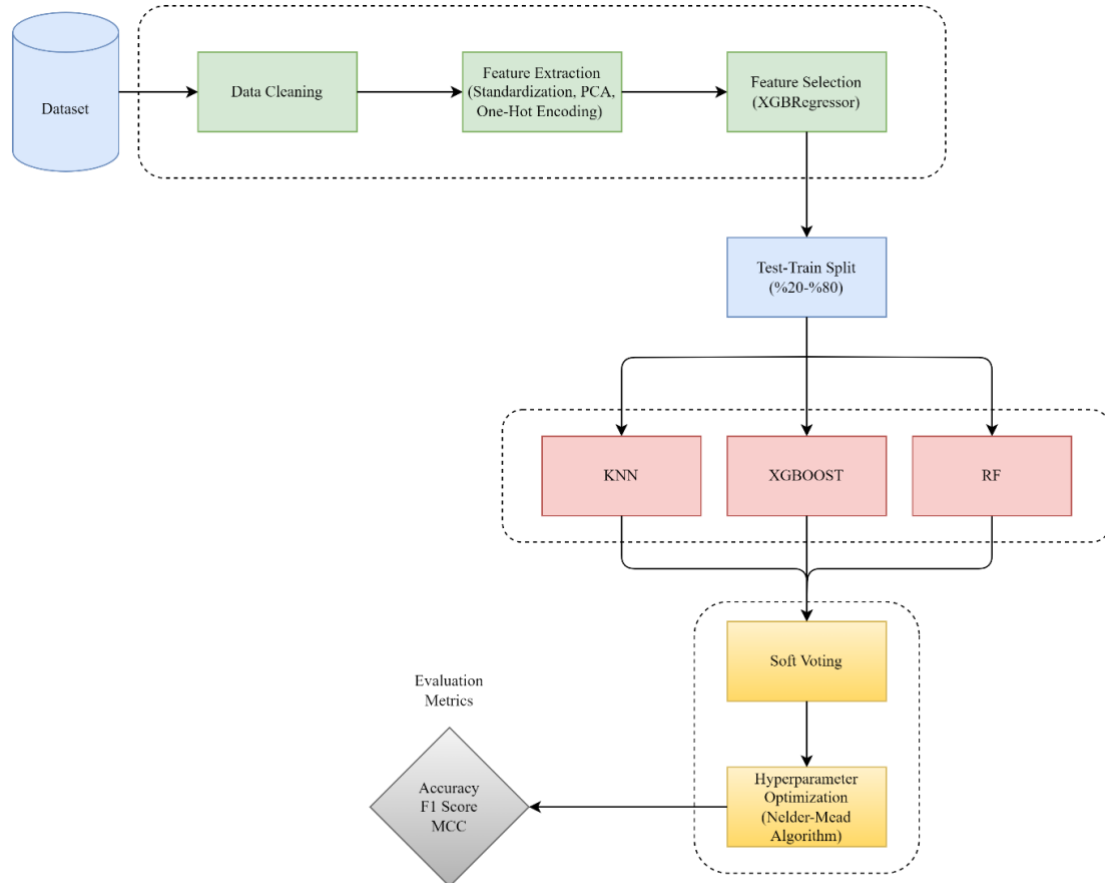
Figure 3. *Proposed Methodology*

IV. EXPERIMENTAL RESULTS

In this study, the experiments were conducted on a computer system consisting of an Intel® Core™ i7-8550U CPU running at a clock speed of 1.80 GHz. The system had 12 GB of RAM and was operating on the Windows 10 Enterprise Edition (64 bit) operating system.

To implement the proposed methodology, Python version 3.10.9 was used. The machine-learning classifiers employed in this research were implemented using the scikit-learn library version 1.2.1 [31] and the scipy library version 1.10.0 [32].

Tables 3-4 show the remarkable effectiveness of our KDD99 binary classification model, as evidenced by its exceptional overall results. These results are characterized by their high accuracy, Matthews Correlation Coefficient (MCC) and F1 scores. Within the training set, the Random Forest (RF) model reigns supreme, achieving near flawless results across all metrics. However, there is a slight drop in performance for all models when moving to the test set. Nevertheless, the Nelder-Mead variants show commendable resilience and adaptability to unseen data, maintaining virtually identical scores even in the face of this decline.

Table 3. KDD99 Training Results

Classifier	Accuracy	MCC	F1
RF	99.992%	99.984%	99.992%
Nelder-Mead 3 (KNN - RF)	99.977%	99.952%	99.977%
Soft Voting	99.976%	99.950%	99.976%
Nelder-Mead 1 (KNN - XGB)	99.976%	99.950%	99.976%
Nelder-Mead 2 (RF - XGB)	99.976%	99.950%	99.976%
XGBoost	99.973%	99.944%	99.973%
KNN	99.882%	99.752%	99.882%

Table 4. *KDD99 Test Results*

Classifier	Accuracy	MCC	F1
Nelder-Mead 1 (KNN - XGB)	99.856%	99.699%	99.856%
Nelder-Mead 2 (RF - XGB)	99.856%	99.699%	99.856%
Nelder-Mead 3 (KNN - RF)	99.852%	99.691%	99.852%
Soft Voting	99.845%	99.677%	99.845%
RF	99.828%	99.641%	99.828%
XGBoost	99.818%	99.620%	99.818%
KNN	99.811%	99.605%	99.811%

Tables 5-6 demonstrate the commendable performance of our UNSW-NB15 binary classification model, exhibiting a substantial degree of accuracy, Matthews Correlation Coefficient (MCC), and F1 scores. Notably, the Random Forest (RF) algorithm emerged as the most proficient classifier within the training set. Despite a decline in overall performance, the Nelder-Mead variants exhibited a remarkable ability to maintain their supremacy across all metrics during the testing phase. This observation suggests that this particular ensemble possesses a remarkable level of generalizability, effectively translating its success in training to real-world scenarios involving previously unseen data. The relative ranking of the models remained largely consistent between the training and testing stages, with RF and the other Nelder-Mead variants continuing to exhibit strong performance. These results indicate that the Nelder-Mead algorithm effectively navigates the optimization landscape, allowing us to determine the weight combination that maximizes the performance of the ensemble classifier.

Table 5. *UNSW-NB15 Training Results*

Classifier	Accuracy	MCC	F1
RF	99.826%	99.536%	99.826%
Nelder-Mead 3 (KNN - RF)	99.635%	99.025%	99.634%
Nelder-Mead 1 (KNN - XGB)	99.601%	98.936%	99.601%
Nelder-Mead 2 (RF - XGB)	99.601%	98.936%	99.601%
Soft Voting	99.560%	98.824%	99.559%
XGBoost	99.003%	97.335%	99.001%
KNN	98.612%	96.295%	98.611%

Table 6. *UNSW-NB15 Test Results*

Classifier	Accuracy	MCC	F1
Nelder-Mead 1 (KNN - XGB)	97.662%	93.733%	97.653%
Nelder-Mead 3 (KNN - RF)	97.649%	93.699%	97.640%
Nelder-Mead 2 (RF - XGB)	97.637%	93.664%	97.627%
Soft Voting	97.602%	93.571%	97.593%
RF	97.439%	93.116%	97.421%
XGBoost	97.426%	93.089%	97.412%
KNN	97.164%	92.426%	97.161%

In the KDD99 dataset, the training time was typically quickest for KNN and RF, followed by XGBoost and Soft Voting. It's worth mentioning that XGBoost and RF had a very short estimation time for the training set, while there was a more noticeable difference in the case of KNN and Soft Voting. We noticed similar patterns when it came to estimating the test set time, with XGBoost and RF once again showing the fastest performance, while KNN performed relatively slower.

Table 7. *KDD99 Timing Results*

Classifier	Training Duration (mm:ss.000)	Training Set Estimation Time (mm:ss.000)	Test Set Estimation Time (mm:ss.000)
Soft Voting	00:16.429352	00:02.843084	00:01.359055
XGBoost	00:13.115712	00:00.176238	00:00.062485
RF	00:02.624386	00:00.187456	00:00.062484
KNN	00:00.718582	00:09.750892	00:01.873693
Nelder-Mead 1 (KNN-XGB)	N/A	00:03.577284	00:01.249709
Nelder-Mead 2 (RF-XGB)	N/A	00:02.452550	00:01.062249
Nelder-Mead 3 (KNN-RF)	N/A	00:03.742623	00:00.651294

Table 8 presents the timing analysis outcomes for the UNSWNB15 dataset. According to the provided table, the training duration for all classifiers was relatively short. The training times varied, with KNN taking the shortest time of 0.789 seconds, while Soft Voting had the longest training duration of 11.327 seconds. This suggests that all the classifiers are efficient to train. The training set estimation time was also relatively short for all classifiers, ranging from 0.137 seconds for XGBoost to 6.264 seconds for KNN. Similarly, the test set estimation time was also relatively short for all classifiers, ranging from 0.031 seconds for RF to 2.012 seconds for KNN. This suggests that all the classifiers are able to quickly make predictions on training and test sets.

Table 8. *UNSW-NB15 Timing Results*

Classifier	Training Duration (mm:ss.000)	Training Set Estimation Time (mm:ss.000)	Test Set Estimation Time (mm:ss.000)
Soft Voting	00:11.327153	00:02.272840	00:01.021486
XGBoost	00:10.436653	00:00.136623	00:00.049223
RF	00:01.996077	00:00.140589	00:00.031241
KNN	00:00.789365	00:06.264449	00:02.012055
Nelder-Mead 1 (KNN-XGB)	N/A	00:03.296877	00:00.497722
Nelder-Mead 2 (RF-XGB)	N/A	00:02.490687	00:01.028049
Nelder-Mead 3 (KNN-RF)	N/A	00:03.617227	00:00.519629

Table 9 shows that the Nelder-Mead optimization is much faster for a smaller number of features. In the KDD99 dataset, the search time for 10 features is only 41 seconds, while the search time for 41 features is over 58 minutes. The Nelder-Mead optimization technique likely serves to identify the lowest or highest point of a target function within a space with multiple dimensions. The method operates quickly and is applicable for multidimensional optimization tasks. However, it does not depend on a gradient, and therefore, convergence may be slow on datasets with a larger number of features. The convergence rate of the method can therefore be slow, especially for highly non-linear functions or functions with many local minima [33].

Table 9. *Search Timing Results with Nelder-Mead Algorithm by Number of Features*

Dataset	Total Number of Features	Optimization Method	Search Duration (mm:ss.000)
KDD99	41	Nelder-Mead 1 (KNN - XGB)	58:29.617903
	10	Nelder-Mead 1 (KNN - XGB)	00:41.802781
UNSW-NB15	49	Nelder-Mead 1 (KNN - XGB)	31:14.104041
	11	Nelder-Mead 1 (KNN - XGB)	00:47.260621

Table 10 displays the confusion matrices for the Nelder-Mead optimized model on the KDD99 and UNSW-NB15 datasets. The model attained remarkable overall accuracy, with KDD99 achieving 99.856% and UNSW-NB15 reaching 97.662%. This level of accuracy confirms the effectiveness of the model in precisely classifying network traffic occurrences as normal or attack.

Our model demonstrated high rates of True Negatives (TN), indicating its ability to accurately detect actual attacks. It accurately classified 11525 attacks in KDD99 and identified 17244 attacks in UNSW-NB15. This indicates that our model is effective in identifying and distinguishing malicious network behavior. Despite registering low False Negative (FN) rates in two sets, our model displayed superior performance on KDD99. It identified only 16 normal instances as attacks, signifying remarkable control over false alarms. However, 340 normal instances were classified as attacks on UNSW-NB15, indicating misclassifications that require further investigation.

Our model demonstrated strong performance in accurately identifying normal network traffic, as indicated by its high True Positive (TP) rates. In the KDD99 dataset, it correctly detected 17551 instances of normal traffic, while in the UNSW-NB15 dataset, it accurately identified 5483 normal instances. This highlights our model's ability to distinguish normal network behavior effectively. Additionally, the model only identified 26 attack instances as normal in KDD99. However, it is worth noting that our model had a relatively higher False Positive (FP) rate of 204 on the UNSW-NB15 dataset. This suggests that there were instances where attacks were missed, falsely classified as normal traffic. Although the model performed well overall, there is room for improvement to decrease the false positive rate and accurately identify more attacks.

Table 10. *Test Dataset Confusion Matrices for Nelder-Mead 1 (KNN - XGB)*

Test Dataset Confusion Matrices		Predicted Class					
		KDD99			UNSW-NB15		
		Attack	Normal	Acc	Attack	Normal	Acc
Actual Class	Attack	11525	26	99.856%	17244	204	97.662%
	Normal	16	17551		340	5483	

Table 11 presents a comprehensive comparative analysis of the performance of intrusion detection models on 2 benchmark datasets: UNSW-NB15 and NSL-KDD. Accuracy, which measures the proportion of correctly classified intrusion events, is used as the evaluation metric. Our novel model demonstrates exceptional performance on both datasets, achieving an impressive accuracy rate of 97.66% on UNSW-NB15 and an impressive 99.85% on KDD99. These statistically significant results exceed the accuracy of all other models, which range from 85.2% to 99.81%.

In summary, Table 11 presents a comparative analysis that clearly demonstrates the superior performance of our model with fewer features. This indicates that our model can effectively detect intrusion using a smaller number of features, which helps to mitigate overfitting and enhance generalization, leading to more robust and reliable results. The model's accuracy on both datasets, coupled with its implementation of feature selection techniques, positions it as an effective solution for securing network environments.

Table 11. Comparison with the Other Proposed Methods

Authors	Datasets	Feature Selection	Number of Selected Features	Algorithms	Most Effective Method	Best Result (Accuracy)
Yao et al. [5]	UNSW-NB15	No	N/A	XGB, LGBM, RF, Soft Voting	Soft Voting	95.23%
Shen et al. [6]	NLS-KDD	Yes	20	SVM, KNN, DT, Soft Voting	Soft Voting	97.49%
	UNSW-NB15		19			94.62%
Swami et al. [7]	NSL-KDD	No	N/A	CART (Classification & Regression Tree), MLP, NB, RF, KNN, Soft Voting	Soft Voting	99.68%
	UNSW-NB15		N/A			89.29%
Zhou et al. [8]	NSL-KDD	Yes	10	DT, RF, ForestPA, Voting	Voting	99.81%
Gao et al. [10]	NSL-KDD	Yes	17	DT, RF, KNN, DNN, MultiTree, Voting	Voting	85.2%
Proposed Model	KDD99	Yes	10	XGB, RF, KNN, Soft Voting, Nelder-Mead Optimized Classifier Level Soft Voting	Nelder-Mead Optimized Classifier Level Soft Voting	99.85%
	UNSW-NB15		11			97.66%

V. CONCLUSION

This study identified the limitation of relying on a single classification algorithm to detect cyber-attacks. The objective of the study was to enhance the accuracy of attack detection by combining the detection capabilities of multiple classifiers. By leveraging the strengths and diversity of multiple classifiers, it is aimed to create an ensemble model that can provide more accurate and robust predictions in detecting attacks. This approach allows us to harness the collective knowledge and capabilities of different classifiers to improve the overall performance of the attack detection system.

In this study, ensemble classification for intrusion detection is proposed using weighted soft voting with KNN, XGBoost, and Random Forest base models. A powerful intrusion detection framework was proposed that utilizes soft voting classifier-level weights optimized by the Nelder-Mead algorithm and incorporates feature selection.

This study demonstrated that optimizing classifier-level weights through the Nelder-Mead algorithm could enhance combinatory performance, yielding comparable results with fewer features. The focus of this paper was to utilize a heuristic algorithm for fusing the base learners to enhance the performance of the ensemble. Future research will focus on refining the existing heuristic algorithms or developing new intelligent heuristic algorithms to further strengthen the ensemble's performance. Additionally, exploring alternative approaches for fusing base learners will be a key direction for future work.

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Investigation of Low Velocity Impact Behavior of Aluminum Honeycomb Sandwich Structures with GFRP Face Sheets by Finite Element Method

Ilyas BOZKURT *

Department of Mechanical Engineering, Architecture and Engineering Faculty,
Mus Alparslan University, 49250 Mus, Turkey.
Corresponding author's e-mail address: i.bozkurt@alparslan.edu.tr
DOI: 10.29130/dubited.1477434

ABSTRACT

The aim of this study is to examine the low velocity impact behavior of aluminum honeycomb sandwich structures with glass fiber reinforced plastic (GFRP) face sheets with the help of finite element method. In the study, low velocity impact tests were carried out in the *LS DYNA* finite element program to examine the effects of face sheets thickness, core number, wall thickness, impact location and impact velocity on maximum contact force, absorbed energy efficiency and damage mode. Progressive damage analysis based on the *Hashin damage criterion* and the combination of *Cohesive Zone Model (CZM)* and the bilinear traction-separation law was performed using the *MAT-54* material model. At the end of the study, it was determined that the face sheets thickness in sandwich structures had a significant effect on the impact resistance up to a certain impact energy. It has been observed that as the impact velocity gradually increases, there is a decrease in the contact force after a certain threshold value. As the impactor velocity increases, the energy absorption efficiency also increases. It has been determined that the location of the impact is very effective on peak force and energy absorption efficiency. The effect of the number of core layers depends on the face sheets thickness. When the face sheets thickness was not damaged at first contact, the peak force value increased in parallel with the number of layers. It was determined that the dominant damage mode after impact was matrix damage. It has been observed that as the energy level of the impactor increases, damage also occurs on the back surfaces.

Keywords: *Sandwich Composite, Impact test, Progressive damage analysis, Finite element method, Cohesive Zone Model (CZM)*

GFRP Yüzeyli Alüminyum Petek Sandviç Yapıların Düşük Hızlı Darbe Davranışlarının Sonlu Elemanlar Yöntemi ile İncelenmesi

ÖZET

Bu çalışmanın amacı cam fiber takviyeli plastik (GFRP) yüzey tabakalı alüminyum petek sandviç yapıların düşük hızlı darbe davranışlarını sonlu elemanlar yöntemi ile incelemektir. Çalışmada plaka kalınlığının, çekirdek katman sayının, duvar kalınlığının, darbe konumunun ve darbe hızının maksimum temas kuvveti, darbe enerjisi emilimi ve hasar modu üzerindeki etkilerini incelemek için düşük hızlı darbe testleri *LS DYNA* sonlu elemanlar programında gerçekleştirilmiştir. MAT-54

malzeme modeli kullanılarak *Hashin Hasar Kriteri* ve *Kohezif Bölge Modeli (CZM)* ile çift doğrusal çekiş-ayırma yasasının kombinasyonuna dayalı ilerlemeli hasar analizi gerçekleştirilmiştir. Çalışma sonunda sandviç yapılarda kapak kalınlığının darbe direnci üzerinde belirli bir darbe enerjisine kadar önemli bir etkiye sahip olduğu belirlenmiştir. Darbe hızı kademeli bir şekilde artıkça belirli bir eşik değerinden sonra temas kuvvetinde düşüşün meydana geldiği belirlenmiştir. Vurucu hızı artıkça enerji absorbe verimliliği de artmaktadır. Darbenin konumu maksimum kuvvet ve enerji absorbe verimliliği üzerinde çok etkili olduğu belirlenmiştir. Çekirdek katman sayısının etkisi kapak kalınlığına bağlıdır. Kapak kalınlığı ilk temas durumunda hasar almadığı zaman katman sayısı ile paralel olarak peak force değerinin artığı belirlenmiştir. Darbeden sonra baskın hasar modunun matris hasarı olduğu belirlenmiştir. Vurucunun enerji seviyesi artıkça arka yüzeylerde de hasarların meydana geldiği görülmüştür.

Anahtar Kelimeler: *Sandviç Kompozit, Darbe testi, İlerlemeli hasar analizi, Sonlu elemanlar yöntemi, Kohezif Bölge Modeli (CZM)*

I. INTRODUCTION

Composite materials are used in many sectors, especially the defense industry, due to their high strength/weight ratio and excellent energy absorption capacity [1]. Sandwich composite structures come to the fore especially in parts and components where energy absorbing properties are needed. Sandwich structures are structures consisting of surfaces such as carbon or glass composites and cores of different shapes and materials (lattice structures, prismatic structures, honeycomb) [2]. Due to the superior properties of sandwich composites, they can be used in many different areas and components and be exposed to many different loading conditions. However, sandwich composites are sensitive to impact damage due to the complexity of the micromechanical structures and the energy absorption system under load [3]. Damages inside the structure that cannot be seen directly affect the rigidity and lifespan of the structure. Therefore, determining the impact behavior of these structures and obtaining detailed information about the damage mechanisms are of great importance for safety [4].

In metal materials, the behavior of the material in case of loading can be predicted with high accuracy due to linearity. However, it is very difficult to determine these behaviors and reactions in composite structures. For this, many tests and analyzes may need to be carried out in a laboratory environment with expensive materials and test equipment. Because there are many components in composite structures. In addition to these, it requires serious calculation and analysis to determine mechanical properties along with structural differences [5].

There are many studies in the literature on the impact performance of composite structures [6-8]. However, many studies examining the performance of sandwich composite structures under load have been conducted by researchers [[2],[4],[9]-[14]]. In these studies, the approach of examining the performance of the sandwich structure under load and determining the structure that will provide optimum performance is generally dominant. Because in sandwich structures, the effect on impact performance can be determined by changing many parameters such as cell and face sheet thickness, honeycomb height, honeycomb geometries. For example, Foo et al. [15] examined the effects of aluminum cell size on impact in sandwich composite structures. At the end of the study, they determined that honeycomb density is an effective parameter on impact. Li et al [9] and Li et al. [16] studied the dynamic behavior of cell size in aluminum honeycomb sandwich panels under air blast loading. Crupi et al. [17] examined the effects of structural changes on the impact behavior of aluminum honeycomb sandwich structures. At the end of the study, they determined that cell sizes in honeycomb structures are very effective on impact performance. He et al [[18], [19]] examined the effect of structural changes on the impact behavior of X-type sandwiches consisting of a carbon fiber-reinforced polymer face sheets and an aluminum alloy core. Albayrak et al. [[21],[22]] examined the impact behavior of curved sandwich composites by adding Ethylene Propylene Diene Monomer (EPDM) rubber interlayers between glass fiber woven fabrics. He et al. [23]

experimentally and numerically investigated the low-velocity impact behavior and damage forms of aluminum honeycomb sandwich structures with carbon fiber reinforced plastic (CFRP) face sheets. Xue et al. [24] examined the impact performances of nomex honeycomb core carbon/glass fiber hybrid composite face sheets sandwich structure for different structural dimensions.

In this study, the low velocity impact behavior of aluminum honeycomb sandwich structures with glass fiber reinforced plastic (GFRP) face sheets was examined with the help of the finite element method. In the study, low velocity impact tests were carried out in the *LS DYNA* finite element program to examine the effects of face sheets thickness, core layer number, wall thickness, impactor location and impact velocity on maximum contact force, absorbed energy efficiency and damage mode. To determine the damage that will occur due to impact, analysis was carried out using the *MAT-54* material model, which provides progressive damage analysis. The strength effects of the parameters examined in the study were determined and the absorbed energy efficiency was compared with studies in the literature.

II. MATERIALS AND METHOD

A.1. Finite Element Model

Dimension details of sandwich composite specimens with aluminum core and glass fiber composite face sheets are given in Figure 1 and Table 1. Low velocity impact test was applied to these specimens, whose dimensions were given. In this study, the change effects of the parameters most studied in the literature were examined. In the impact test, different types of impact loading may occur depending on the velocity of the impactor. If the impact velocity is less than 10 m/s, it is called low-velocity impact, and if it is between 10 m/s and 50 m/s, it is called medium-velocity impact. If the impact velocity is between 50 m/s and 1000 m/s, it is called high-velocity impact [25]. In this study, low-velocity impact tests were applied since the velocity of the impactor was less than 10 m/s.
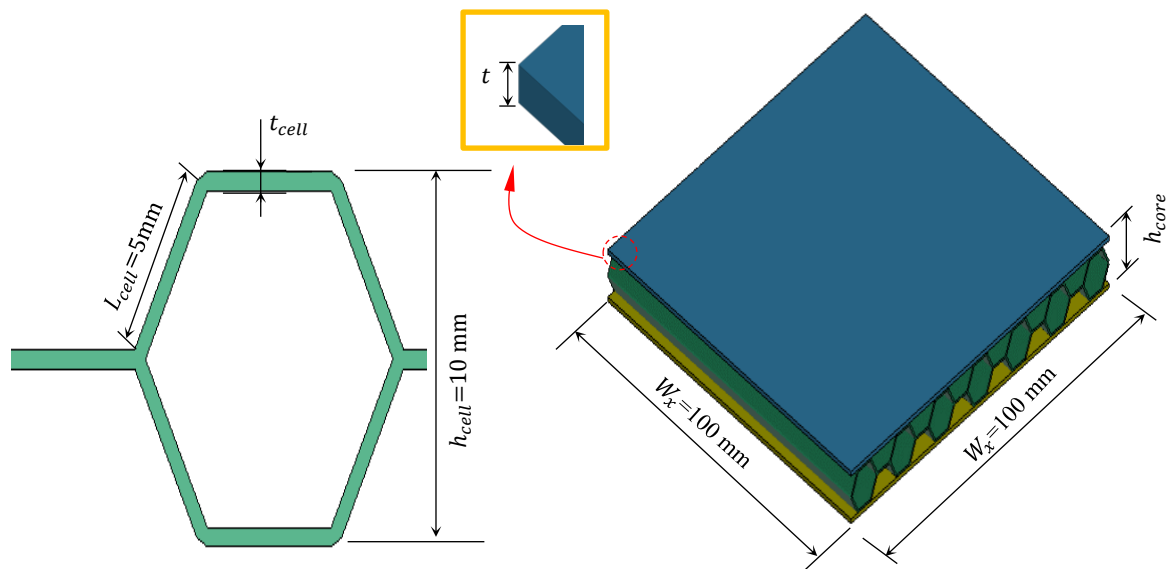

Figure 1: Specimen dimensions.

Table 1. Parameters examined for sandwich panels in impact testing.

No	Face sheet thickness, (t) mm	Cell wall thickness, (t_c) mm	Core number, (n)	Impact Velocity, V (m/s)
1	0.5	0.5	1	3
2	0.5	0.5	1	5
3	0.5	0.5	1	7
4	1	0.5	1	3
5	1	0.5	1	5
6	1	0.5	1	7
7	1.5	0.5	1	3
8	1.5	0.5	1	5
9	1.5	0.5	1	7
10	3	0.5	1	3
11	3	0.5	1	5
12	3	0.5	1	7
13	0.5	1	1	5
14	0.5	2	1	5
15	3	1	1	5
16	3	2	1	5
17	0.5	0.5	2	5
18	0.5	0.5	3	5
19	3	0.5	2	5
20	3	0.5	3	5

In low-velocity impact tests, many graphs and data about the mechanical performance of the material are obtained. In these graphics and outputs, it is decided whether the material is suitable for the component or location to be used or not by comparing it with the standards. In the low velocity experimental test setup, these data are obtained by reading from the impactor tip. Displacement graphs are derived from the impactor 's position along with changes in kinetic energy and velocity. Equations (1)-(4) were used to obtain the changes in velocity, displacement, and energy based on the impact timing. Data regarding the contact force, displacement and absorbed energy obtained from the impactor tip were evaluated.

$$v(t) = v_i + gt - \int_0^t \frac{F(t)}{m} d(t) \tag{1}$$

Here, t is the time of the first contact of the impactor to the specimen, which is $t = 0$; $v(t)$ is the velocity of the impactor at time t; v_i is the velocity of the impactor at time $t = 0$; and $F(t)$ is the impact contact force measured at time t.

$$\delta(t) = \delta_i + v_i t + \frac{gt^2}{2} - \int_0^t \left(\int_0^t \frac{F(t)}{m} dt \right) dt \tag{2}$$

δ is the displacement of the striker.

$$E_a(t) = \frac{m(v_i^2 - (v(t))^2)}{2} + mh\delta(t) \tag{3}$$

Here, $E_a(t)$ is the absorbed energy, m is the weight impact, and g is the gravitational acceleration. Divide the weight value to find the specific energy absorption.

$$SEA = \frac{E_a}{m} \tag{4}$$

Here, m is the mass of the specimens. Higher *SEA* values indicate better energy-absorbing efficiency of the structures.
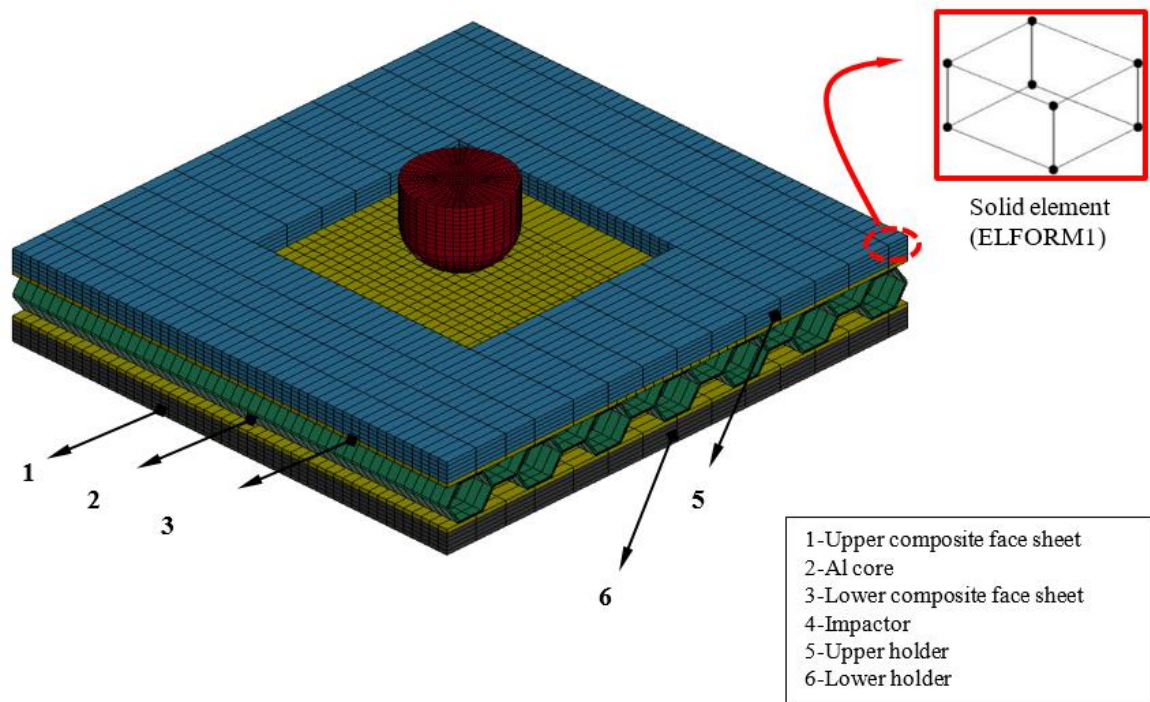

Figure 2. Finite element model of low velocity impact test.

Many finite element programs have been developed to determine the impact behavior of aluminum honeycomb glass sandwich specimens. Among these, *LS-DYNA*, a commercial finite element software program, was preferred due to its wide material library, ease of use of interfaces and the ability to develop complex numerical models [26]. The program's solution methodology includes material cards that provide damage models based on the *Continuous Damage Mechanism* (CDM). It allows structural damage to be visualized in a phased manner using models based on CDM. Impact tests with dimensions of 100x100 mm were carried out numerically for all specimens used in this research. The sandwich composite plate and the upper and lower holders are modeled as shown in Figure 2.

Sandwich composite structures may face different impact loading depending on their usage areas and the components they use. Knowing the magnitude of the impact and the points where the impact occurs is important to understand the reaction of the material. Many different scenarios may occur at the points where the impact will occur. However, since honeycomb core sandwich structures are formed by the formation of a regular hexagonal shape, all possible scenarios can be easily determined by considering certain points here. For this study, the impact was made using the impact performance at three different points shown in Figure 3 as reference. An example impactor point location for P1 is shown in Figure 4.
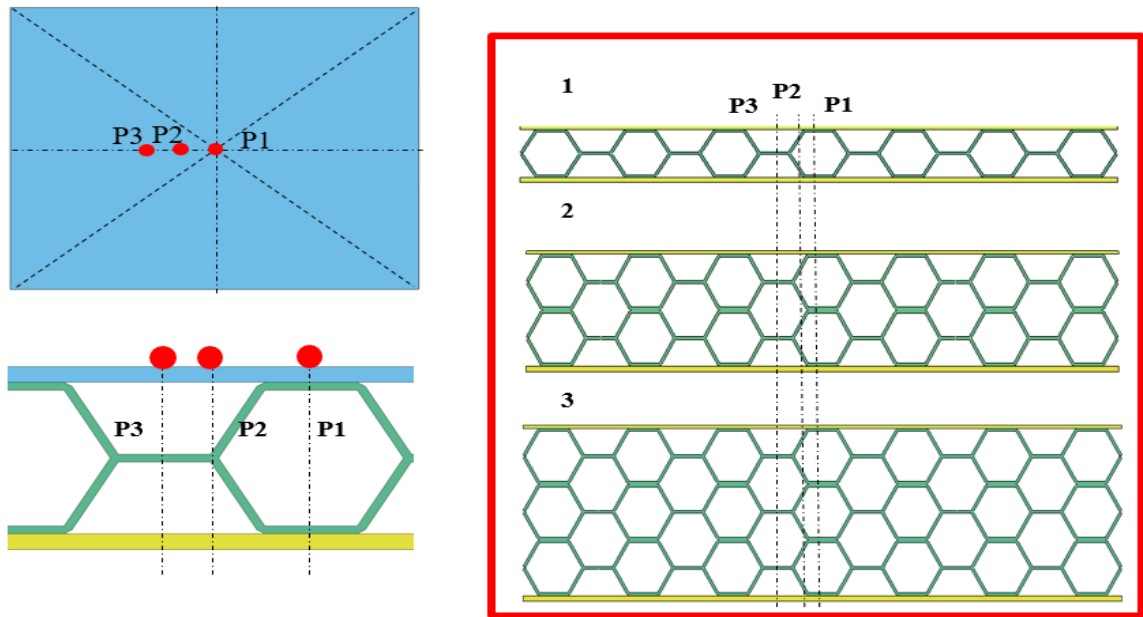
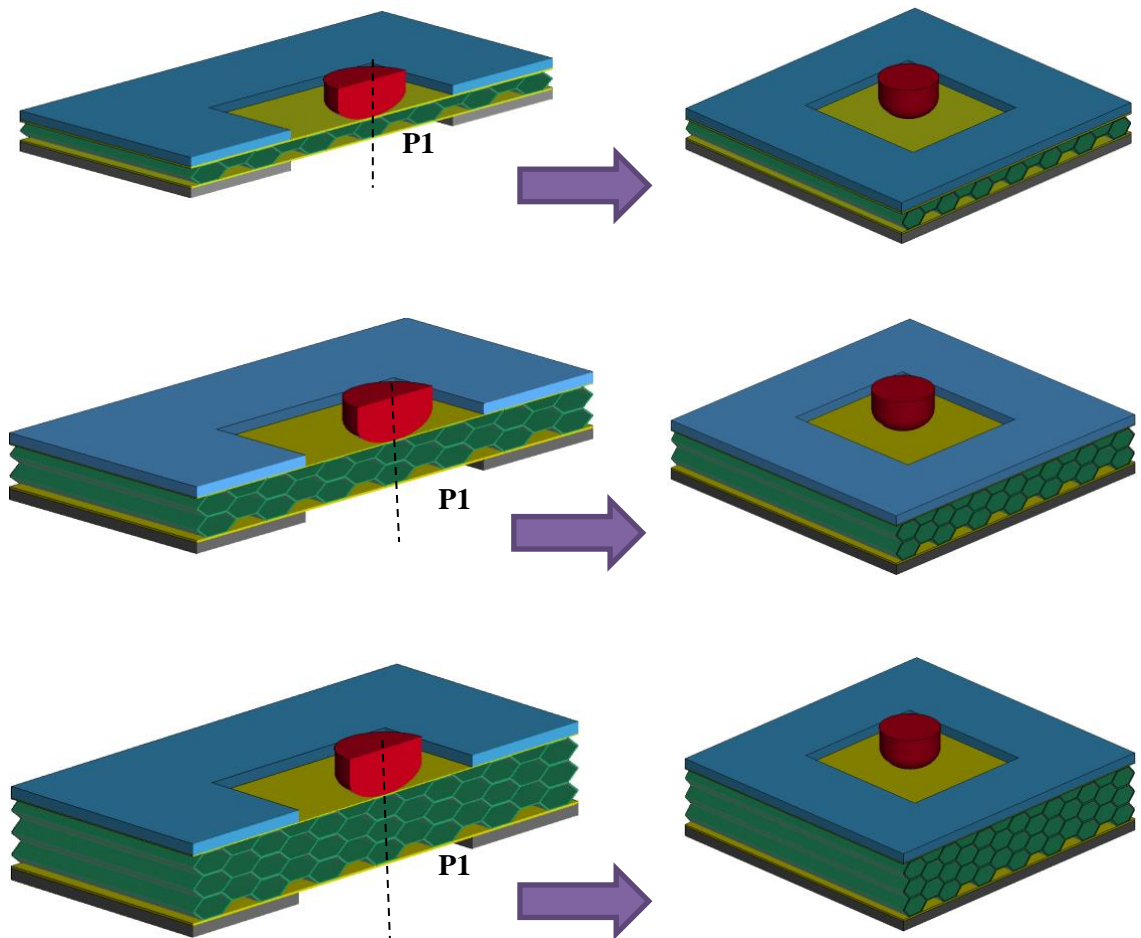*Figure 3. Impact points.*

Figure 4. Impact points for P1.

An eight-node solid element (*ELFORM1*) was used in modeling. A total of 30197 nodes and 26750 solid elements were used. The diameter of the impactor is 20 mm and its weight is 5.5 kg. The lower and upper holders are modeled with 7740 nodes and 5500 solid elements. The upper and lower holders are fixed as in the experimental standards. Impactor can only move along the z axis. CONTACT AUTOMATIC SURFACE TO SURFACE contact card was used to keep the specimens between the upper and lower holders fixed and to ensure that it moves during impact, as in the experimental test subject. The CONTACT ERODING SURFACE TO SURFACE contact card was used between the impactor and the specimen. Static and dynamic friction coefficients on all contact cards are entered as 0.2 and 0.3, respectively [20].

A. 2. Modeling of adhesive layer

In sandwich composite structures, the core structure in the middle and the upper and lower face sheets must adhere to each other. This adhesion is achieved in the experimental laboratory by applying resin or adhesive materials such as *Araldite 55* to the contact surfaces. Some mechanical rules are adopted during the separation of these two structural elements connected to each other. In the literature, it is described as CZM with a bilinear tension-separation relationship. The basis of this law lies in the application of 3 independent parameters. The traction between the layers when the force is applied is t_0, the separation distance that occurs when the damage begins is δ_0 and the remaining under this curve is G_C. After the impact occurs, separation between layers occurs according to this principle (Figure 5).
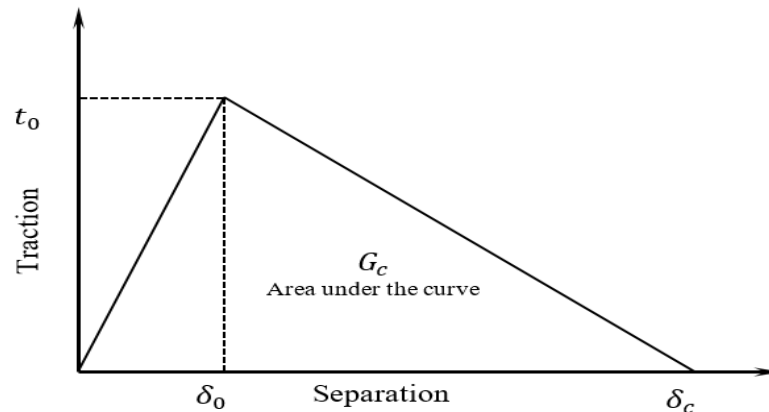

.

Figure 5. *Bilinear traction-separation law.*

Adhesion here can be achieved in two ways. This can be achieved by first defining a thin interface material between the top face sheets and the core in the middle. Or, this union can be achieved by using the adhesion surface that performs the same function. Dogan et al. [27] determined that this method is effective instead of using intermediate materials. In this study, *The CONTACT_AUTOMATIC SURFACE TO SURFACE TIEBREAK* contact card was used to adhere the upper and lower face sheets to the core material in between. While the adhesion here is achieved, as shown in Figure 5, separations occur based on the Bilinear tractionseparation law. With this contact card, the nodes making contact in the beginning connect with each other according to the following criterion. The condition for connecting the nodes here is applied according to this equation. When the equation equals 1, separation occurs.

$$\left(\frac{|\sigma_n|}{NFLS}\right)^2 + \left(\frac{|\sigma_s|}{SFLS}\right)^2 \geq 1 \tag{5}$$

Here, while σ_n and σ_s are the current normal and shear stresses, *NFLS* and *SFLS* are respectively the interface and shear strength. Mechanical properties of *Araldite 2015* are given in Table 2.

Table 2. *Cohesive parameters of delamination between core and face sheets interfaces [25].*

Contact Tiebreak Variable	Description	Value	Units
NFLS	Peak traction in normal direction	21.63×10^9	Pa
SFLS	Peak traction in tangential direction	17.9×10^9	Pa
PARAM	Exponent of mixed-mode criteria	1	-
ERATEN	Energy release rate for Mode I	430	N/m
ERATES	Energy release rate for Mode II	4700	N/m
CT2CN	Ratio of tangential stiffness to normal stiffness	1	-
CN	Normal stiffness	8080	Pa/m

A.3. Material Models

There are many material models that describe composite materials in the *LS DYNA* finite element program. The choice of these models varies depending on the purpose of use. *MAT-54* material model was used in this study. In this material model, fiber damage, matrix damage and delamination behavior under impact load can be determined based on the progressive damage principle. With this material model, *Hashin damage criteria* [28] are applied. A total of 24 parameters are required to introduce the *MAT-54* material model to the program. Details of these parameters are given in Table 3-4. The material of the core structure is determined as Aluminum 6061-T6. "*MAT 24 (PİECEWİSE LINEAR ISOTROPIC PLASTICITY)* material card was chosen to define this material in the *LS DYNA* finite element program. Mechanical properties of the materials used are given in Table 5.

Table 3. *Mechanical parameters of the GFRP composite [5].*

Symbol	Property	Value	Unit
ρ	Density	1500	kg/m^3
E_a, E_b	Young modulus a and b direction	19	GPa
E_c	Young modulus in c direction	6	GPa
v_{ab}	Poisson's ratio in ab plane	0.162	-
v_{bc}	Poisson's ratio in bc plane	0.162	-
v_{ca}	Poisson's ratio in ca plane	0.162	-
G_{ab}	Shear modulus in ab plane	3.786	GPa
G_{bc}	Shear modulus in bc plane	1.709	GPa
G_{ca}	Shear modulus in ca plane	1.709	GPa
S_{aT}	Tensile strength a direction	0.459	GPa
S_{aC}	Compressive strength a direction	0.2238	GPa
S_{bT}	Tensile strength b direction	0.459	GPa
S_{bC}	Compressive strength b direction	0.2238	GPa
S_{ab}	Shear strength in ab plane	0.0828	GPa

Table 4. *Failure parameters of the GFRP composite [5].*

Symbol	Description	Unit
$DFAILM$	Transverse matrix failure strain experimental	0.0
$DFAILS$	Shear failure strain experimental	0.0
$DFAILT$	Tensile fiber failure strain experimental	0.0
$DFAILC$	Compressive fiber failure strain experimental	0.0
$TFAIL$	Time step for element deletion computational	0.16
$Alpha$	Shear stress parameter damage dependent	0.0
$Soft$	Strength reduction factor damage dependent	0.7
$FBRT$	Reduction factor for X_t damage dependent	1
$YCFAC$	Reduction factor for X_c damage dependent	3
EFS	Efective failure strain computational	0.90

Table 5. *Mechanical properties of Al 6061-T6.*

Density (kg/m^3)	E (GPa)	Poisson ratio	Yield stress (MPa)	Failure strain
2850	72	0.33	252	0.4

A.4. MAT_54-55: Enhanced Composite Damage Model

It is the most commonly used material model in the analysis of composite structures. If there is no damage in the material model, the material is assumed to be orthotropic and linear elastic. In this model, *MAT 54* damage criterion was proposed by *Chang* and *MAT 55* damage criterion was proposed by *Tsai-Wu*. Although the working logic of this material model and the *MAT 22* model is the same, it additionally includes the compression damage mode. The *Chang–Chang* criterion (*MAT 54*) is given below;

Tensile fibre ($\sigma_{11} > 0$).

$$\left(\frac{\sigma_{11}}{S_1}\right)^2 + \bar{\tau} = 1 \tag{6}$$

All moduli and Poisson's ratios are set to zero when the tensile fibre failure criteria are met, that is $E_1 = E_2 = G_{12} = \upsilon_{12} = \upsilon_{21} = 0$ All the stresses in the elements are reduced to zero, and the element layer has failed.

Failure mode for compressive fibre ($\sigma_{11} > 0$),

$$\left(\frac{\sigma_{11}}{S_{12}}\right)^2 = 1 \tag{7}$$

Failure mode for tensile matrix ($\sigma_{11} > 0$),

$$\left(\frac{\sigma_{22}}{S_2}\right)^2 + \bar{\tau} = 1 \tag{8}$$

Failure mode for compressive matrix

$$\left(\frac{\sigma_{22}}{2S_{12}}\right)^2 + \left[\left(\frac{C_2}{2S_{12}}\right) - 1\right]\frac{\sigma_{22}}{C_2} + \bar{\tau} = 1 \qquad (9)$$

Where E_1 and E_2 are the longitudinal and transverse elastic moduli, respectively, G_{12} is the shear modulus, υ_{12} and υ_{21} are the in-plane Poisson's ratios.

III. RESULTS AND DISCUSSION

Low-velocity impact simulations were carried out to determine the impact strength and damage behavior of aluminum core GRFP sandwich composite structures. At the end of the impact analysis, many graphs were obtained about the strength values of the material. An impact scenario can occur in three different ways, such as rebounding of the impactor from the specimen surface (rebounding), part or all of the impactor penetrating the specimen (penetration), and penetration of the impactor through the specimen (Perforation) [30]. In rebounding, there is energy returned elastically to the impactor, whereas in perforation and penetration, there is no energy returned elastically. During rebounding, the contact force returns to zero as the impactor retracts on the specimens surface. During penetration, the impact energy is completely absorbed by the specimen. But since there is still contact between the impactor and the specimen, it can be seen that there is a small force value. Force-Time, Force-Displacement, Absorbed energy-Time and Velocity-Time graphs for the velocities $V = 3$, 5 and 7 m/s of the sandwich specimen with face sheets thickness $t = 0.5$ mm are given in Figure 6. In the Contact force-Time graph in Figure 6a, the force reaches the maximum point due to the impactor contacting the specimen surface and then returns to the zero point with energy discharge. Here it is understood that the impactor rebounding back on the specimen surface and breaks contact with the specimen. In other words, it showed elastic properties here and a rebounding effect occurred. As the force reaches its peak point, it is seen that there are oscillations in the graphs for all three different velocities. Since damage occurs in the specimen layers with the impact, very small force decreases are experienced. Therefore, oscillations occur in the graph [18]. The maximum force value for velocities $V = 3$, 5 and 7 m/s was determined as 3.59 kN, 7.61 kN and 7.57 kN, respectively. In the impact test, it is expected that as the impact velocity increases, the contact force will also increase. But as damage occurs on the material, the contact force value decreases. Therefore, when the velocity of the impactor is 7 m/s, the contact force decreases because the specimen is damaged [[20],[30]].

In the Energy-Time graph in Figure 6b, impact tests were carried out with 9.88 J, 27.44 J and 53.78 J for $V = 3$, 5 and 7 m/s velocities, respectively. At the end of the impact test, the energies of the impactor were determined as 1.56 J, 2.50 J and 3.04 J, respectively. Here, when the remaining energy value is subtracted from the initial energy, the energy value absorbed by the specimen is obtained. By dividing the amount of absorbed energy by the initial energy, the absorbed energy value in % is obtained. This is called energy absorption efficiency [23]. At the end of the study, it will be used to compare the current study with the studies done in the literature. In the light of the information here, the energy absorption efficiency value is determined as 84.21%, 90.88% and 94.34% of the impact energy for velocities V=3, 5 and 7 m/s, respectively. In Figure 6c, it is seen in the graph that after full energy discharge occurs at the force peak value point, the force decreases to zero again and the impactor returns to the initial position. Here, the maximum displacement is determined as 5.6 mm for a velocity of $V = 7$ m/s. Figure 6d shows the change in the impactor's velocity. It is seen that the velocity decreases over time and remains constant after a point. When the graph is examined, it is seen that the impactor velocities change from positive to negative. Here the direction of the impactor is assigned as $+z$. Since the impactor moved in the opposite direction of the z direction, that is, in the $-z$ direction, while returning from the specimen surface, it entered the negative area in the graph.
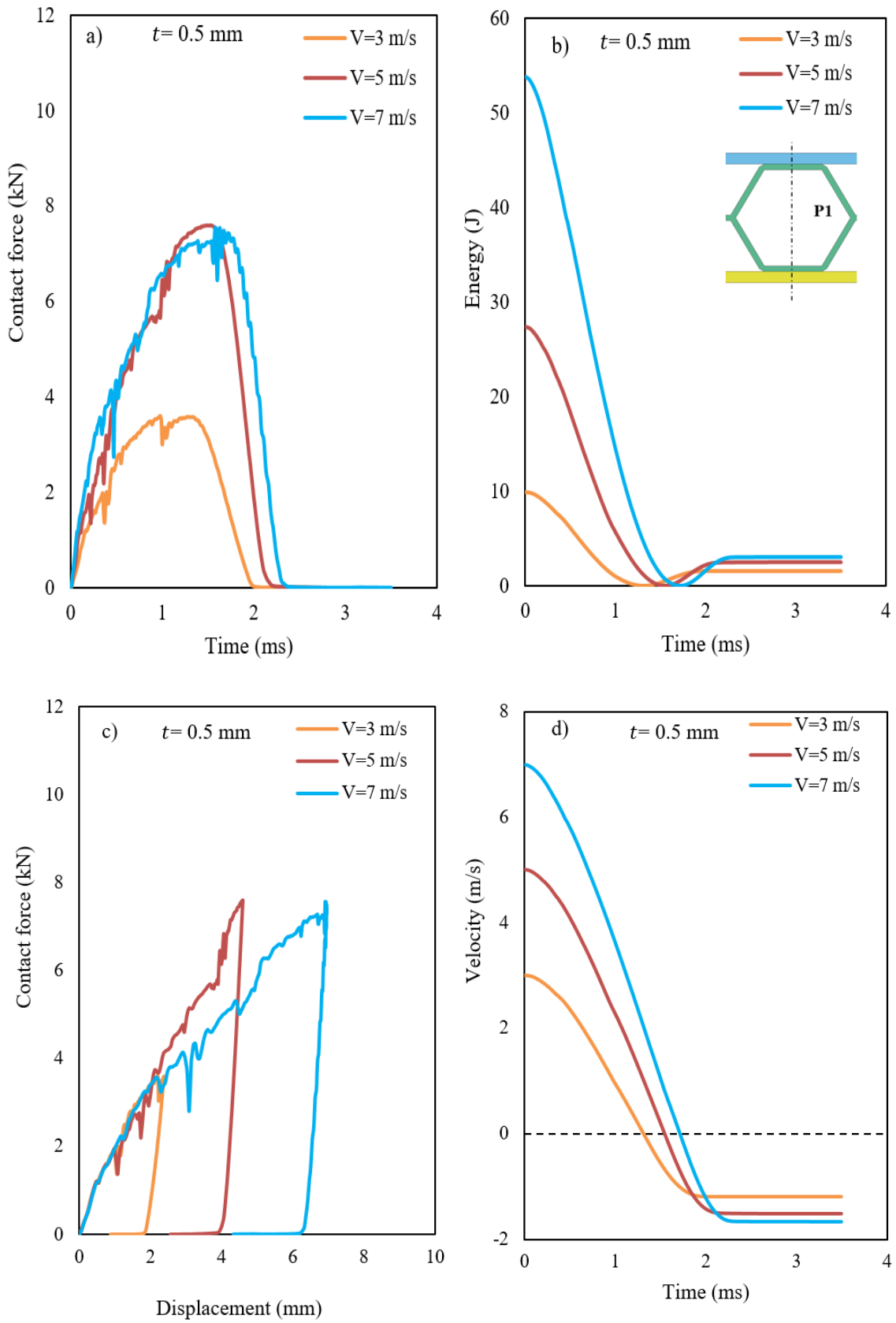
Figure 6. *Variation of a) Contact force-Time, b) Energy-Time, c) Contact force-Displacement and d) Velocity-Time graphs with impact velocity (t=0.5 mm)*
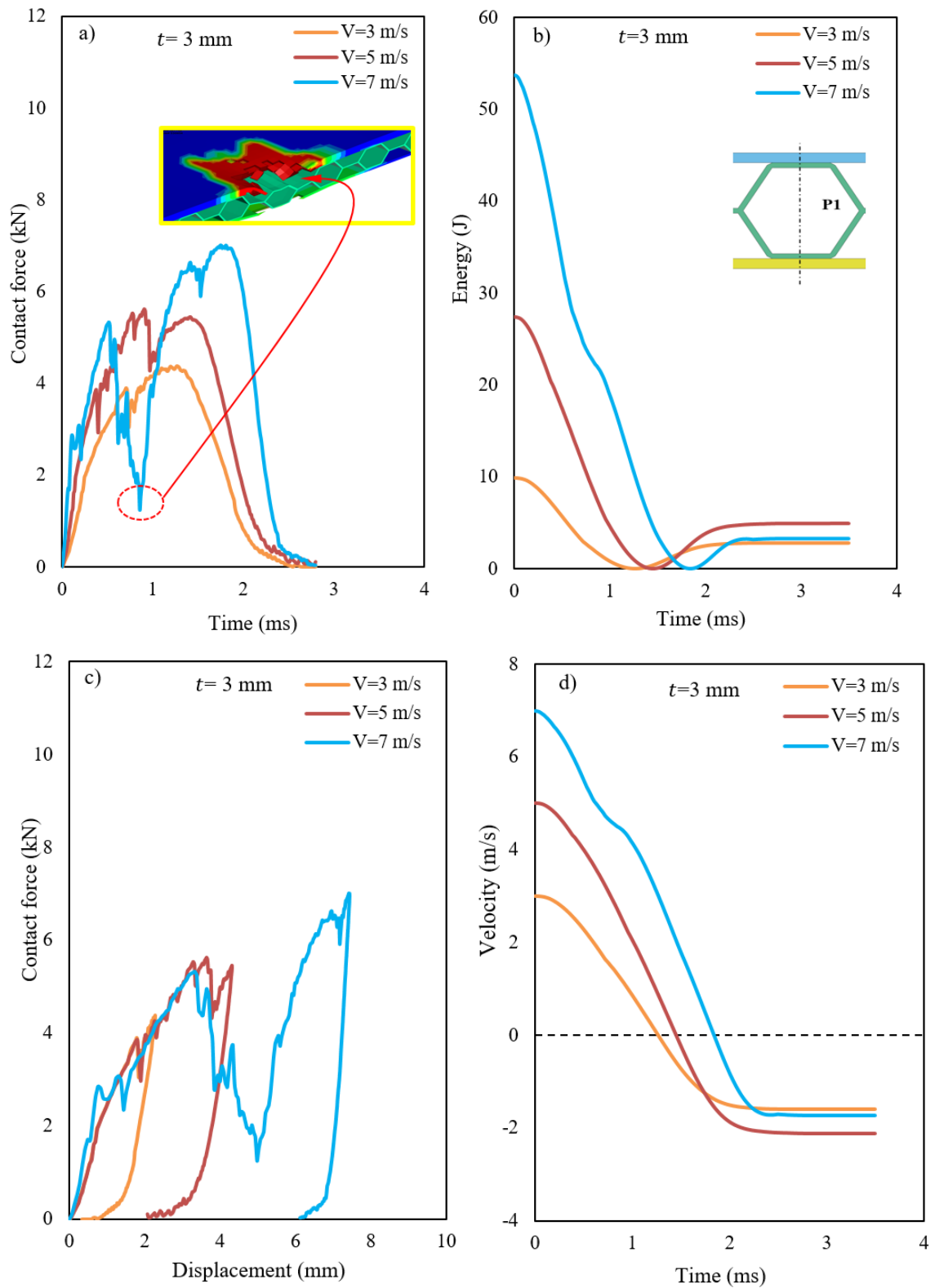
Figure 7. *Variation of a) Contact force-Time, b) Energy-Time, c) Contact force-Displacement and d) Velocity-Time graphs with impact velocity (t=3 mm).*

It is important that all graphs are understandable and clear in order to better understand the behavior of material mechanics under load. Therefore, all graphics obtained during this research process were detailed and added to the study. Although it is known that the number of graphs and tables obtained in the study is large, it is important to use these graphs to show the material reaction for each changing parameter and to understand the material behavior at every second. When the studies in the literature are examined [[21], [30]], there is a similar approach.

Since similar scenarios were experienced for the velocities $V = 3$, 5 and 7 m/s of the sandwich specimen with face sheets thickness $t = 1$ and 1.5 mm, the details of these graphs were not detailed. However, in order to better understand and notice the effect of face sheet thickness, graphic details of the smallest and largest face sheets thickness measurements are given (Figure 6-7). As the face sheet thickness increases, the contact force value of the specimen also increases up to a point [31].

Since material rigidity increases with thickness, the composite face sheets may be damaged against impact load and this may show itself as a decrease in force on the graph [19]. In Figure 7, the strength values of the sandwich specimen with face sheets thickness $t = 3$ mm are given for velocities $V = 3$, 5 and 7 m/s. Figure 7a shows that the force drops sharply for $V = 7$ m/s and then increases again. The reason for this is that, due to the impact, the impactor penetrates the upper surface and reaches the core structure. With the breakage of the top face sheets, there was a decrease in the contact force. It should not be forgotten that the point where the impactor contacts is the P1 point. At this point, just below the top face sheets, there is a core structure that is adhesive with Araldite supporting it. Therefore, immediately after the top face sheets broke, the core structure underneath was also damaged. Then, after the impactor's energy reaches 0, the force also reaches 0.

Contact force and absorption energy vary depending on the impact intensity to which the composite structure is exposed. Figure 8 shows peak force and absorbed energy graphs for specimens with different thicknesses at $V = 3$, 5 and 7 m/s velocities. When calculating absorbed energy graphs, the amount of absorbed energy was obtained by dividing it by the initial amount of energy. When the value here reaches 1, it means that it has absorbed all of it. When the graph for t=0.5 in Figure 8a is examined, when the velocity of the impactor increases from 3m/s to 5m/s, the Peak force value increases by 1.108 times. When the impactor's velocity increased from 5 m/s to 7 m/s, it decreased by 0.54%, although it was expected to increase. Because there is a maximum value that the material can withstand. After this velocity value, the peak force value will not change no matter what velocity you hit. A4 paper can be given as an example. Even if the A4 paper is impact at 3 m/s or 5 m/s, the contact force value will not change much. Because after a certain impactor velocity, they will all penetrate. Therefore, the contact force will not change. In Figure 8b-c-d, it is seen that as the face sheet thickness increases, the contact force also increases. Since the maximum contact force values were not reached, it is seen that there is a parallelism between the thickness and the contact force [32]. When the impactor's velocity increases from 3 m/s to 5 m/s, the absorb energy value increases by 11.9%. This increase continues until a certain velocity value. From a certain point the material is penetrated to the boundary and at that point it reaches a value of 1. A value of 1 here means that the impact energy and the absorbed energy value are the same. When the graphs in Figure 8b-c-d are examined, it is seen that as the impactor velocity increases, the absorbed energy rate also increases [25].

The impact behaviors of 1-layer, 2-layers and 3-layers core structures were examined to determine the peak force and absorbed energy performance of the core structure, which is the main component of sandwich composite structures. The effect of the number of core layers on the peak force of specimens with face sheet thickness of 0.5 and 3 mm is given in Figure 9. When the specimen with a face sheet thickness of 0.5 was examined, the peak force value decreased by 7.18% when the number of core layers decreased from 1 to 3 (Figure 9a). In Figure 9b, in the specimen with 3 mm face sheet thickness, the number of core layers increased by 24.62% when the number of core layers increased from 1 to 3. Although the number of core layers increases at the same rate in two specimens with different face sheets thicknesses, peak force values are affected at different rates. It has been observed that the strength may not increase even though more core material is used. Therefore, it is
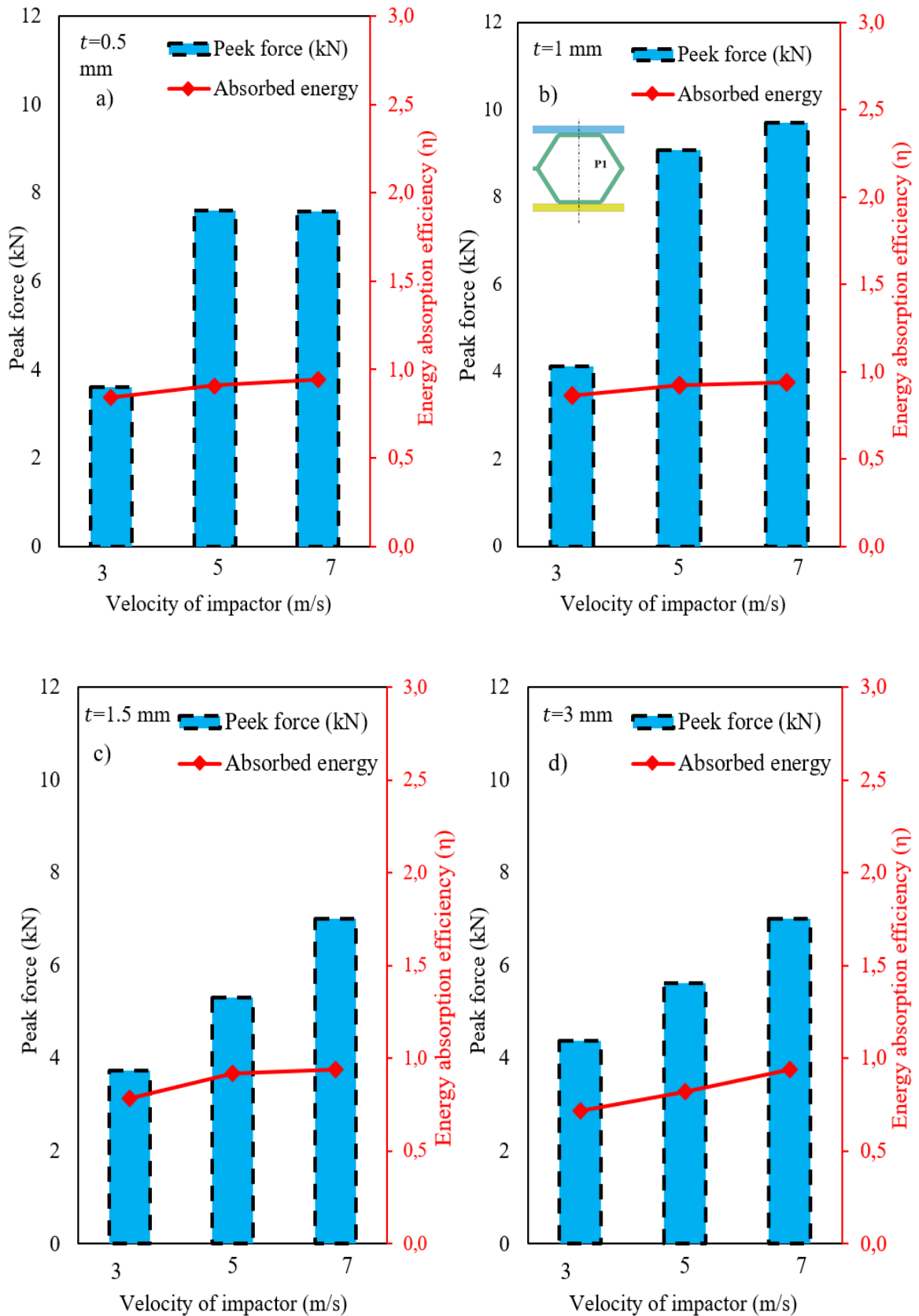
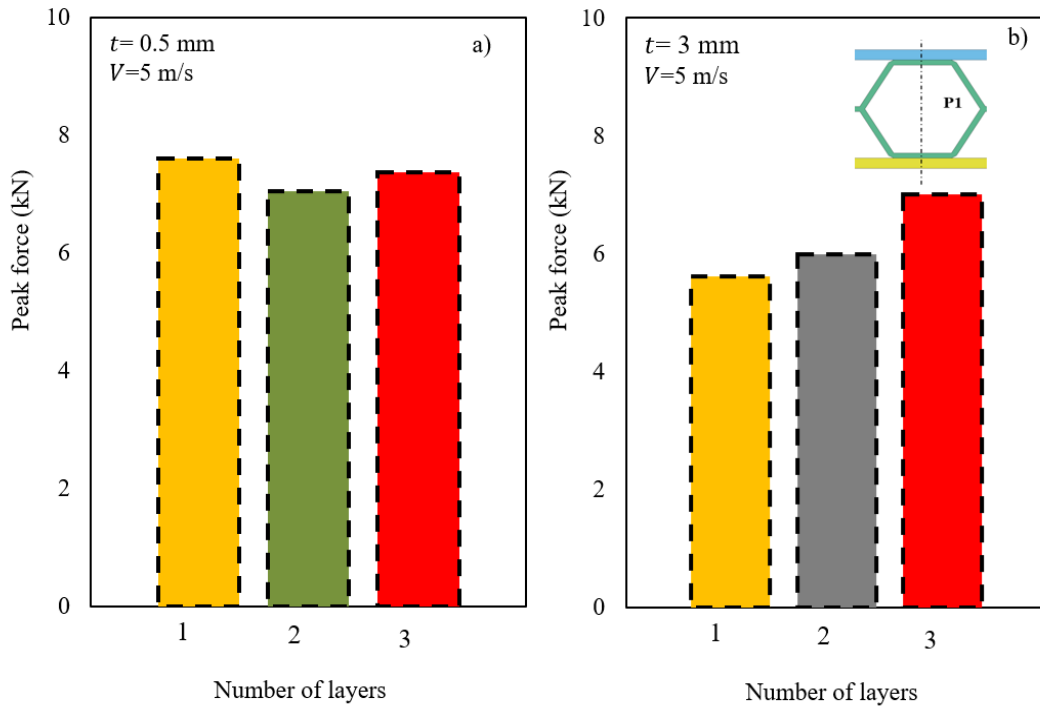***Figure 8.*** *Effect of impactor velocity on peak force and absorbed energy variation for different face sheet.*

Figure 9. *Effect of number of layers on peak force variation for a)* t*= 0.5 mm and b)* t*= 3 mm face sheet thichness.*
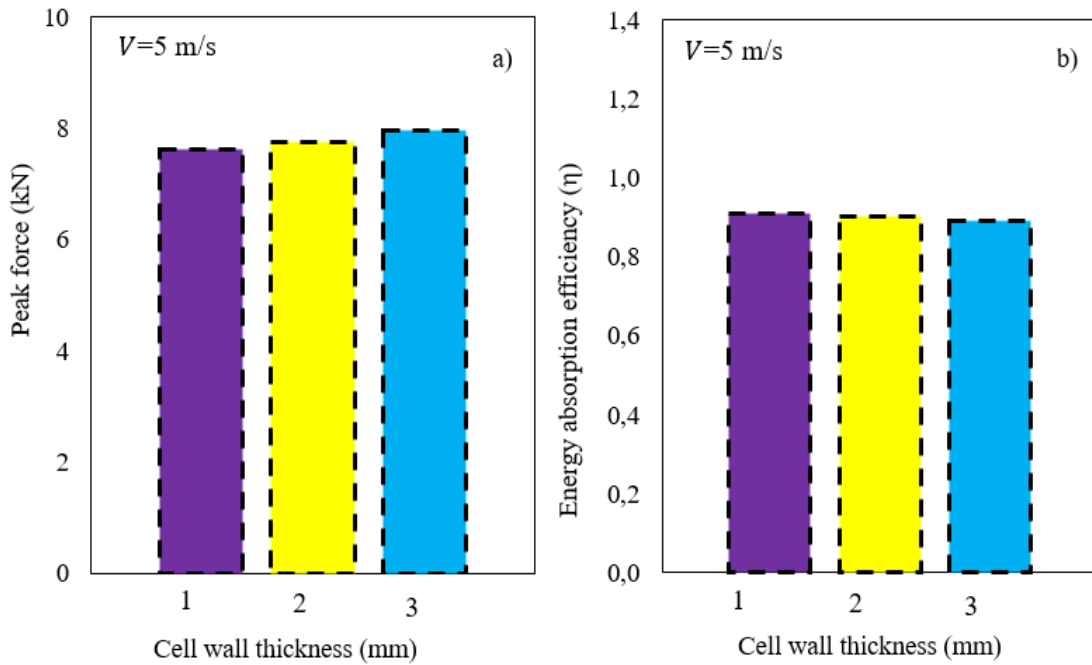

Figure 10. *Effect of number of layers on peak force variation for a)* t*= 0.5 mm and b)* t*= 3 mm face sheet thickness.*
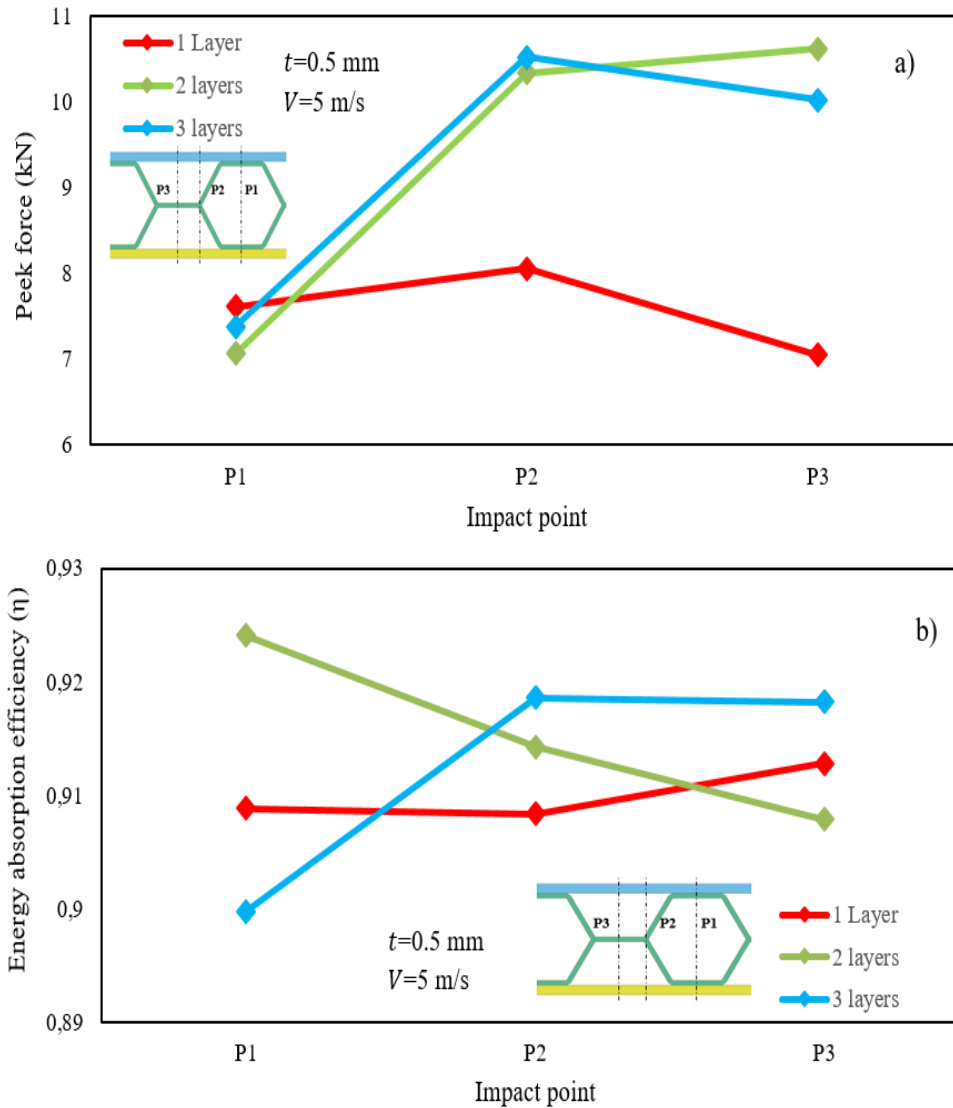
Figure 11. *Peak force and Absorbed energy variation for different impact points.*

very important that the face sheet thickness in sandwich structures is in harmony with the core structure and is determined correctly [20].

Another important parameter when designing sandwich composite structures is material thickness or cell wall thickness. A lot of research has been done on this parameter while preserving the principle of lightness, which is the main reason for using sandwich structures. The answer to the question of what the optimum cell wall is is not exactly clear. Because it must be determined what kind of loads the area or component in which the sandwich composite structure is used should have. If the cell wall is designed accordingly, a more effective design will be made. In this study, 3 different cases with cell wall thickness of 0.5, 1 and 2 mm, respectively, are given in Figure 10. When the graph is examined, if the cell wall is increased from 0.5 mm to 2 mm, the peak force value increases by 1.87%. The energy absorption value decreases by 0.87%. Even though the energy absorption value decreased slightly as a percentage, there was an increase in the peak force value. Researchers decide whether it is necessary to build the system more heavily by using more materials for such an increase, by looking at the cost-benefit analysis. This decision is evaluated according to the area in which it is used. If necessary, this thickness can be added.

It may not be known at what point and at what intensity the impact will impact the sandwich composite structure. While designing, it should be done according to the worst case scenario and all situations should be evaluated. In this study, impact scenarios were applied for three different situations. Peak force and absorb energy values for these three different points are given in Figure 11. When Figure 11a is examined, in the specimens with the number of core layers 1, 2 and 3, the peak force values at point P1 were determined as 7.61 kN, 7.06 kN and 7.37 kN, respectively, at points P2 and P3. It was determined that the peak force value at the P2 point for all three specimens increased by 8.88%, 46.32% and 42.6%, respectively, reaching 8.05 kN, 10.33 kN and 10.52 kN. However, at P3 point, the peak force value in the specimen with 2 core layers increased by 2.25% compared to P2, while the peak force value decreased in the other two specimens. Whether the impact point has an effect on energy absorption is also examined in Figure 11b. In the sandwich specimen with a single layer core, if the impactor applies impact to P2 and P3 points instead of P1, the amount of energy absorption decreases by 0.06% and 0.49%, respectively. In the specimen with a 2-layer core, these values decrease by 1.06% and 0.7% for the P2 and P3 points, respectively. In the 3-layer core specimen, unlike the others, the energy absorption value for the P2 point increased by 2.1%.
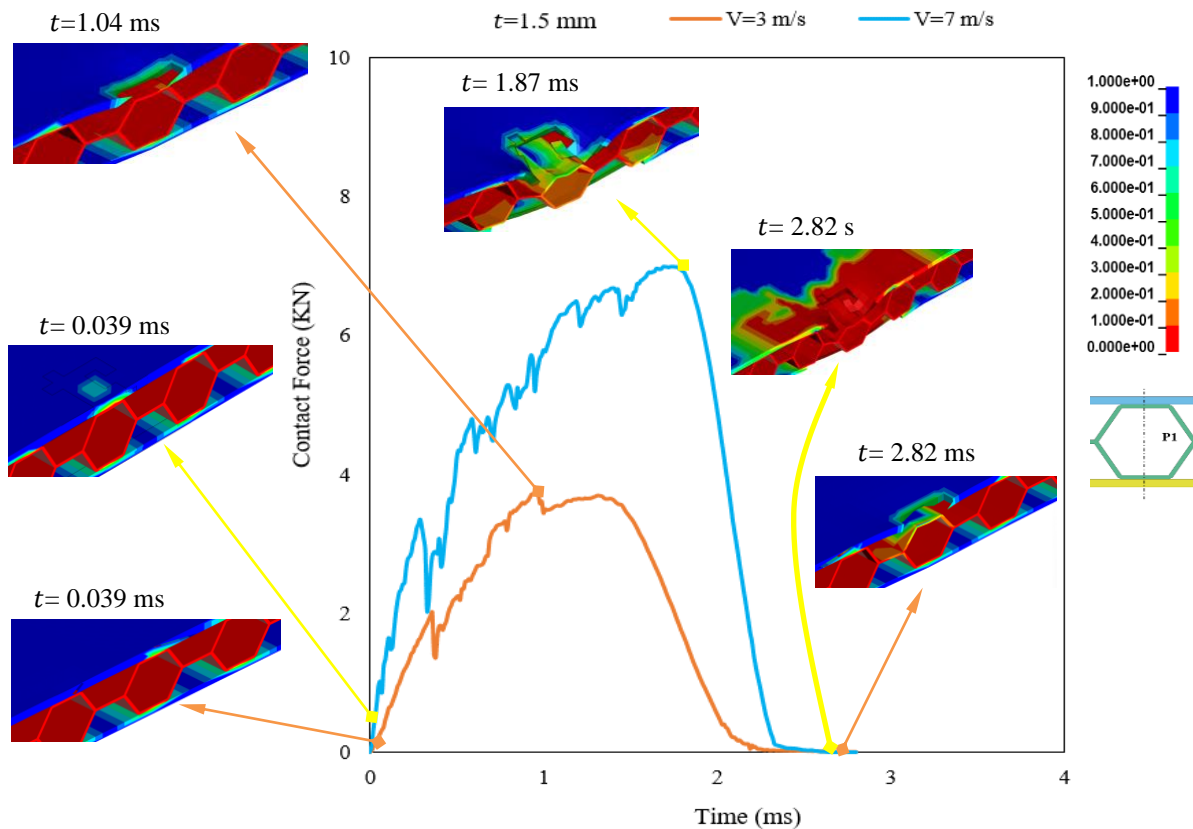

Figure 12. *Matrix damage images of the 1.5 mm specimens.*

Impactor produces graphics that provide information about the mechanics of the material from the moment the sandwich composite comes into contact with the sample. At each point of these graphs, information can be obtained about the deformation and strength of the material. In Figure 12, two different graphs of $V = 3$ m/s and 7 m/s are given for the specimen with a face sheet thickness of 1.5 mm. Material deformation images at the same contact moments are shown in both graphs. In this way, material deformations can be compared at certain points. Shortly after the striking sandwich contacted the specimen, the force started to increase and the stress values increased in both graphs for $t = 0.039$ ms. Both graphs reached peak values at different times. However, for $V = 6$ m/s, the

number and intensity of the oscillations that occur when reaching the peak value are higher. Because after contacting with high velocity and therefore high energy, the composite structure will want to absorb this energy [33]. In the graph that reached the peak force value at $t = 1.87$ ms, it was determined that the upper face sheet was broken and crushing damage occurred in the core structure. For V = 3 m/s, the peak value reached at $t = 1.04$ ms and it is seen that the upper face sheet was relatively damaged at this second and this damage reached the core. After the impactor's energy reaches 0, the contact force decreases to 0 and the impact ends. When the damage images at $t = 2.82$ ms were examined for both graphs, it was determined that more damage occurred at high velocity and progressed to crushing in the core structure.

Composite structures resort to damage types such as matrix cracking, fiber breakage or delamination in order to absorb the energy they are exposed to. In composite structures, the matrix absorbs the load first [34]. Therefore, the first structure to be damaged upon impact is the matrix. The function of the matrix is to hold the fibers together and distribute the incoming load to the fibers and therefore to the entire system. While performing this task, it is first exposed to damage. If the incoming load is high, it passes to other layers. Therefore, delamination damages are seen here. Delamination is the breakage that occurs in the matrix-rich region between layers with different fiber orientations. The most important cause of delamination; Differences in the bending stiffness of the layers due to different fiber orientations between the layers and bending-induced stresses [18]. Fibers are the strongest component of the structure. If the fibers break, the structure damage process is completed and the structure is damaged [20].

Finite element method is an analysis method frequently used to solve engineering problems. Especially in mechanical problems, results very close to the real values can be obtained in determining the critical points of structures or components under load or in determining damage morphologies [35]. Table 6 and Table 7 show separately the Tensile fiber mode, Compressive fiber mode, Tensile matrix mode and Compressive matrix mode of the specimens with t=0.5 mm and 3 mm face sheet specimen thicknesses, respectively. The regions shown here in red are the damaged areas, and the regions shown in blue are the regions where no damage occurs. Damage images were added by giving the surface in contact with the impactor, the back surface of the specimen, and the cross-section of the specimen in the thickness direction. The damages here occur according to the *Hashin damage criterion* [28], which examines damage situations in composite structures. Therefore, it is different and more complicated than the *yield criteria*, which examine the damage states of metals. When Table 6 is examined, it is seen that as the velocity of the impactor increases, the area of the damaged area on the specimen surface increases [36]. For all three velocity conditions, the most damage occurred in the Tensile matrix mode [37]. When $V = 3$ m/s, no Tensile fiber mode and Compressive fiber mode damage occurred on the back surface. However, it is seen that as the velocity value increases, these types of damage also occur. The impactor breaks the upper face sheet and causes crushing damage to the core structure. As the impactor velocity increases, the core structure puts pressure on the lower face sheet and damages it [38]. Table 7 shows that since the face sheets thickness is 3 mm, which is thicker, there is no damage to the back surfaces at $V = 3$ and 5 m/s. When the velocity value reached 7, damage started to occur on the back surface.

In aluminum core sandwich composite structure, the damage status of the core after impact is as important as the composite structure. The *Von Mises stress* distribution of the core, which helps absorb most of the energy, is given in Table 8. As the specimen thickness increases, the high stress area caused by impact decreases [39]. Since the stress value did not reach the yield point, no damage occurred to the structure. It is seen that deformations occur along with shape changes due to stress.
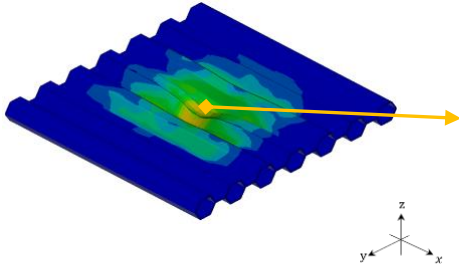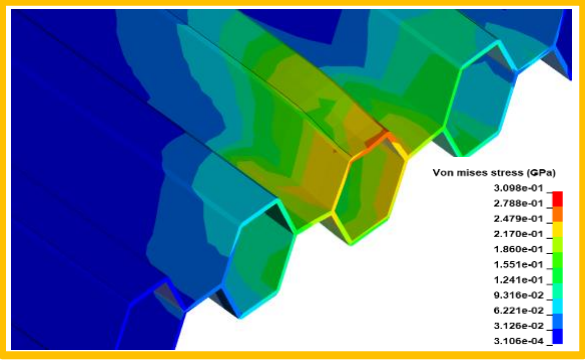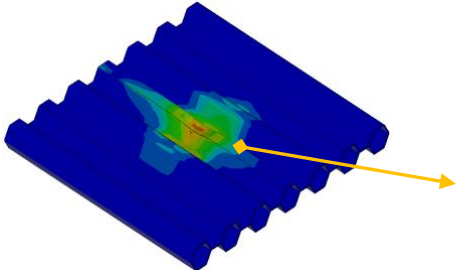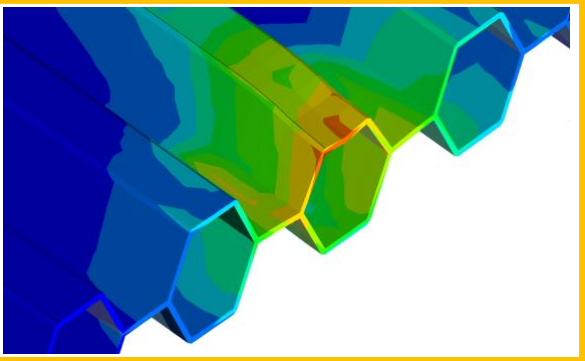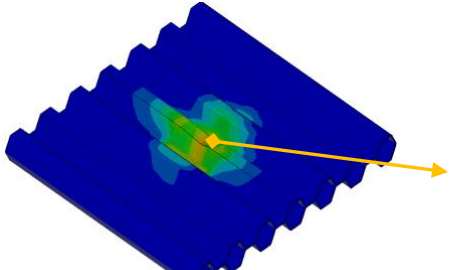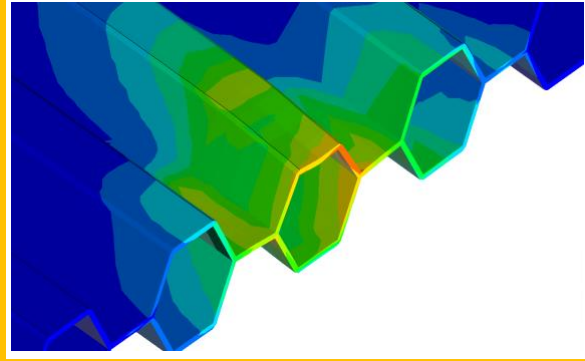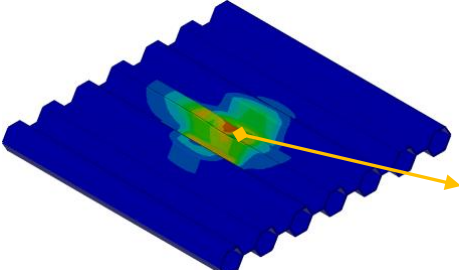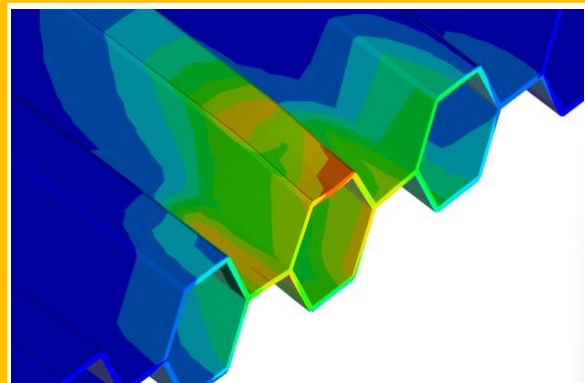
Table 6. *Deformation images under impact force (t= 0.5 mm).*

V (m/s)		Tensile fiber mode	Compressive fiber mode	Tensile matrix mode	Compressive matrix mode	Fringe levels
3	Top face					
	Back face					
	Section view					
5	Top face					
	Back face					
	Isometric					
7	Top face					
	Back face					
	Isometric					

Table 7. *Deformation images under impact force (t=3 mm).*

V (m/s)		Tensile fiber mode	Compressive fiber mode	Tensile matrix mode	Compressive matrix mode	Fringe levels
3	Top face					
	Back face					
	Section view					
5	Top					
	Back face					
	Isometric					
7	Top					
	Back face					
	Isometric					

Table 8. *Impact damage areas of AL Core (V=3 m/s).*

t (mm)	Damage area
0.5	
1	
1.5	
3	

Comparing the efficiency of sandwich composite structures, which stand out with their energy absorption capacity, is evaluated by obtaining energy absorption efficiency values. The absorption efficiency values of the sandwich structures used in the current study were compared with other studies in the literature with different features and different structures [[23], [24], [36], [40]] (Figure 13). In the current study, the highest energy efficiency value was found in He et al. It is 3% less than the study by [23], Xue et al. It was determined to be 32% higher than the study conducted by [24]. The important thing here is to determine the optimum dimensions in terms of engineering by knowing the usage area of the sandwich composite structure and the load it will be exposed to. The focus of all these researches is to obtain the optimum design within minimum cost and maximum safety limits.

Figure 13. *Comparison of energy absorption efficiencies.*

IV. CONCLUSION

In this study, the low velocity impact behavior of aluminum honeycomb sandwich structures with fiber reinforced plastic (GFRP) face sheets was examined by the finite element method. In the study, low velocity impact tests were carried out in the *LS DYNA* finite element program to examine the effects of face sheet thickness, core number, wall thickness, impact location and impact velocity on maximum contact force, energy absorption efficiency and damage mode. Progressive damage analysis based on *Hashin damage criterion* and combination of *Cohesive Zone Model* (CZM) and the bilinear traction-separation law was performed using the *MAT-54* material model. Based on the data obtained at the end of the study, the results can be summarized as follows:

- When the result graphs were compared, it was seen that as the thickness of the face sheets increased, the peak contact force and initial hardness also increased. It has been determined that as the impact velocity gradually increases, there is a decrease in the contact force after a certain threshold value.
- As the impactor velocity increases, the energy absorption efficiency increases for all specimens.
- As the cell wall thickness increases, peak force and energy absorption efficiency values also increase.
- It has been determined that the location of the impact is very effective on peak force and energy absorption efficiency. The main reason for this is that the core structure consists of a hollows structure.

- The effect of the number of core layers depends on the face sheets thickness. It was determined that when the face sheets thickness was not damaged at first contact, the peak force value increased in parallel with the number of layers.
- The dominant post-impact damage mode was matrix damage, regardless of surface sheet thickness. It has been observed that as the energy level of the impactor increases, damage also occurs on the back surfaces. It has been noticed that this effect causes damage to the fibers, even leading to breakage.
- In the core structure, plastic buckling and higher stress conditions were determined at the points where the impactor contacts. It was observed that more crushing and plastic collapse damage occurred in the core structure in specimens with relatively thinner face sheets thickness.
- This can be supported by experimental work in future studies using the finite element model.

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Investigation of Some Crown Ether Compounds for Electrochemical Determination of Dopamine

İrem OKMAN KOÇOĞLU [a],[*]

a Department of Chemistry, Faculty of Science, Karabük University, 78050, Karabük, Türkiye
* Corresponding author's e-mail address: iremokman@hotmail.com
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ABSTRACT

In this study, the use of three different crown ether-modified electrodes prepared by electropolymerization of different crown ether compounds (CE1, CE2 and CE3) on multi-walled carbon nanotube (MWCNT) modified glassy carbon electrode (GCE) surfaces was investigated for electrochemical dopamine determination. The number of cycles during the electropolymerization of crown ethers and the pH of the buffer solution were optimized. Under optimum conditions, the sensitivities of MWCNT-modified GCE and crown ether-MWCNT-modified electrodes were determined in the range of $4.0 \times 10^{-6} - 5.7 \times 10^{-4}$ M dopamine. The sensitivity of MWCNT/GCE was found to be 6.71 µA mM^{-1}, while the sensitivities of CE1/MWCNT/GCE, CE2/MWCNT/GCE and CE3/MWCNT/GCE were 19.53, 16.32 and 20.80 µA mM^{-1}, respectively. The performance characteristics of the crown ether-MWCNT-modified electrodes such as detection limit, quantification limit, reusability and reproducibility were also investigated. The study showed that crown ether compounds significantly enhanced the electrochemical response in dopamine determination.

Keywords: Crown ether, electrochemical sensor, dopamine, modified electrode, multi-walled carbon nanotube

Dopaminin Elektrokimyasal Tayini için Bazı Taç Eter Bileşiklerinin Kullanımının Araştırılması

Öz

Bu çalışmada çok duvarlı karbon nanotüp (MWCNT) modifiye edilmiş camsı karbon elektrot (GCE) yüzeylerine farklı taç eter bileşiklerinin (CE1, CE2 ve CE3) elektropolimerizasyonu ile hazırlanan üç farklı taç eter-modifiye elektrodun elektrokimyasal dopamin tayininde kullanımı araştırıldı. Taç eterlerin elektropolimerizasyonu sırasındaki döngü sayısı ve çalışılan tampon çözelti pH'sı optimize edildi. Optimum koşullarda, MWCNT modifiye edilmiş GCE ile taç eter-MWCNT-modifiye elektrotların $4,0 \times 10^{-6} - 5,7 \times 10^{-4}$ M dopamin derişimi aralığında duyarlılıkları belirlendi. MWCNT/GCE'nin duyarlılığı 6,71 µA mM^{-1} olarak bulunurken, CE1/MWCNT/GCE, CE2/MWCNT/GCE ve CE3/MWCNT/GCE'nin duyarlılıkları sırasıyla 19,53; 16,32 ve 20,80 µA mM^{-1} olarak belirlendi. Taç eter-modifiye elektrotların gözlenebilme sınırı, tayin sınırı, tekrar kullanılabilirlik ve tekrar üretilebilirlik gibi performans özellikleri de incelendi. Çalışma, taç eter bileşiklerinin dopamin tayininde elektrokimyasal cevabı önemli ölçüde arttırdığını ve dopamin tayinine olumlu yönde etki ettiğini gösterdi.

Anahtar Kelimeler: Taç eter, elektrokimyasal sensör, dopamin, modifiye elektrot, çok duvarlı karbon nanotüp

I. INTRODUCTION

Supramolecular chemistry is a field of interdisciplinary science that encompasses the chemical, physical and biological characteristics of highly complex species that are bound and ordered through non-covalent bonding interactions between molecules. Interactions such as enzyme binding to substrate or signal transduction between cells are related to supramolecular chemistry [1]. It has progressed with the discovery of several synthetic receptor molecules for the strongly and selectively binding of substrates of organic, inorganic or biological structure through a variety of interactions [1]. In supramolecular systems, intermolecular bonds are non-covalent interactions that consist of hydrogen bonds, π-π interactions, electrostatic interactions and host-guest interactions which give them unique properties that differ from molecular chemistry based on covalent bonds [2].

Supramolecular chemistry begins with the discovery of crown ethers by Pedersen [1, 3-5]. Crown ethers are cyclic compounds consisting of a ring with several ether groups [4, 6]. Crown ethers are among the most widely used host compounds in supramolecular systems based on host-guest interactions [2, 7]. Having binding sites for guest molecules allows them to attract attention as hosts [8]. The ability of crown ethers to form selective hydrogen bonds with a large number of molecules in their cavities results in the formation of stable supramolecular complexes [9]. These features of crown ethers allow them to form stable complexes with many biological components. Therefore, they act as selective hosts for various biological species [10]. Crown ethers can form host-guest complexes with small organic molecules that contain RNH_3^+ groups, such as catecholamines, by hydrogen bonding [11, 12].

Dopamine (3,4-dihydroxyphenylethylamine), which plays an important role in the human nervous, hormonal and renal systems, is one of the most important catecholamine neurotransmitters produced in various regions of the brain [13-15]. It is involved in the regulation of cognitive functions such as attention, memory and learning as well as emotions including pleasure, enthusiasm and motivation [16-18]. High levels of dopamine in the human body lead to cardiological problems such as heart rhythm irregularities, hypertension and heart failure. Dopamine deficiency causes Parkinson's disease, Alzheimer's disease, depression and schizophrenia. [19, 20]. Therefore, rapid, reliable and sensitive determination of dopamine is of critical concern. Dopamine has been determined by various methods such as high-performance liquid chromatography [21], spectrophotometry [22], capillary electrophoresis [23], fluorimetry [24] and chemiluminescence [25]. Although traditional methods are reliable, they are time-consuming, difficult and expensive [20, 26]. Electrochemical sensors have gained attention for the determination of dopamine, due to their advantages of high sensitivity, selectivity, low cost and fast response [14, 27, 28]. Electrochemical determination of dopamine is based on a redox reaction involving two electrons/two protons [15, 29, 30]. However, dopamine is difficult to determine with bare electrodes, especially since it coexists at very low concentrations in physiological fluids with other small electroactive species such as ascorbic acid and uric acid, which are oxidized at similar potentials. [16, 19, 28, 30]. To overcome these limitations, the determination of dopamine with modified electrodes has gained importance [15, 28]. Carbon nanomaterials [14, 31], conductive polymers [32], metal nanoparticles [33, 34], metal oxide nanoparticles [35, 36] have been utilized in electrode modification for the determination of dopamine.

Carbon nanotubes (CNT) are used as modification materials in electrochemical sensors due to their unique properties including high electrical and thermal conductivity, large surface area, chemical and mechanical stability, biocompatibility and functionality [37-39]. CNT exert electrocatalytic effects on the redox reactions of various electroactive biomolecules [38-40]. Multi-walled carbon nanotubes (MWCNT) improve the performance of electrochemical sensors, including detection limit and sensitivity, owing to their unique characteristics [41].

The utilization of crown ethers as electrode modification materials in electrochemical sensors for the determination of various species has attracted much attention in recent years [42, 43]. For instance, Rounaghi and co-workers modified a carbon paste electrode with a newly synthesized crown ether and silver nanoparticles and used this modified electrode for the quantitative determination of 4-nitrophenol

by cyclic voltammetry [44]. 4-carboxybenzo-18-crown-6 and 4-carboxybenzo-15-crown-5 modified graphite-epoxy composite electrodes were developed by Serrano et al. These crown ether-modified electrodes were used for the simultaneous determination of Cd(II), Pb(II) and Cu(II) by differential pulse anodic stripping voltammetry [45]. Atta and coworkers developed an electrochemical sensor for the determination of neurotransmitters by modifying the GCE surface with CNT, ionic liquid crystal and 18-crown-6. In the study, serotonin in blood serum was determined by differential pulse method [9]. Modifying the electrode surface with crown ethers in electrochemical sensors results in a decrease in the detection limit of target analytes and an increase in selectivity [6]. The use of crown ethers as electrode modification materials for the determination of dopamine is based on the formation of complexes with hydrogen bonds between oxygen atoms in the crown ether ring and the amino group of dopamine [46].

In this study, the surface of GCE was modified with MWCNT to increase the electrode surface area and enhance the electron transfer property (MWCNT/GCE). In order to investigate the ability of crown ether compounds to form a host-guest complex with dopamine as a recognition component, crown ethers were electropolymerized on the surface of MWCNT/GCEs and three different crown ether-modified electrodes, CE1/MWCNT/GCE, CE2/MWCNT/GCE and CE3/MWCNT/GCE, were prepared. The electrochemical responses of each crown ether-MWCNT-modified electrode to dopamine were investigated and compared with the response of MWCNT/GCE. The performance characteristics of the crown ether-modified electrodes such as sensitivity, limit of observability and reproducibility were determined.

II. EXPERIMENTAL

A. CHEMICALS AND ELECTRODES

The nitropyridine-substituted benzo-15-crown-5 crown ether compounds used in the study were synthesized and purified by Koçoğlu et al. [47, 48]. Dopamine hydrochloride, chitosan, disodium monohydrogenphosphate, sodium dihydrogenphosphate, potassium chloride, potassium hexacyanoferrate(III), potassium hexacyanoferrate(II) were obtained from Sigma-Aldrich and MWCNT (outer diameter 10-20 nm and length 10-30 μm) from Cheap Tubes Inc. For electrochemical studies, a three-electrode system consisting of a glassy carbon electrode (GCE) (3.0 mm diameter, ItalSens) as working electrode, Ag/AgCl (IS-AG/AGCL.AQ.RE, ItalSens) as reference electrode and Pt wire (IS-PT.W.CE, ItalSens) as counter electrode was used.

B. INSTRUMENTS AND MEASUREMENTS

Electrochemical measurements were performed using a PalmSens EmStat[3] (PalmSens BV, Netherlands) electrochemical analyzer. Cyclic voltammetry (CV) studies were carried out in 5 mM $[Fe(CN)_6]^{3-/4-}$ solution containing 0.1 M KCl at a scan rate of 50 mV s^{-1} between the potential of -0.40 and $+0.80$ V. Differential pulse voltammetry (DPV) measurements were recorded between -0.20 and $+0.80$ V in 0.05 M phosphate buffer solution (PBS) at a scan rate of 50 mV s^{-1} (instrument parameters: pulse potential 0.2 V and pulse duration 0.02 s). Amperometric measurements were conducted in 0.05 M PBS (pH 6.0) at a potential of $+0.25$ V.

C. PREPARATION OF MODIFIED ELECTRODES

The structures of nitropyridine-substituted benzo-15-crown-5 crown ether compounds (CE1, CE2 and CE3) used as modification materials for the preparation of electrochemical sensors in this study are given in Figure 1. Glassy carbon electrode (GCE) surfaces were first modified with MWCNT to increase the surface area and electron transfer, and then three different crown ether-modified electrodes were

prepared by electropolymerization of crown ether compounds on the surface of these MWCNT-modified electrodes.
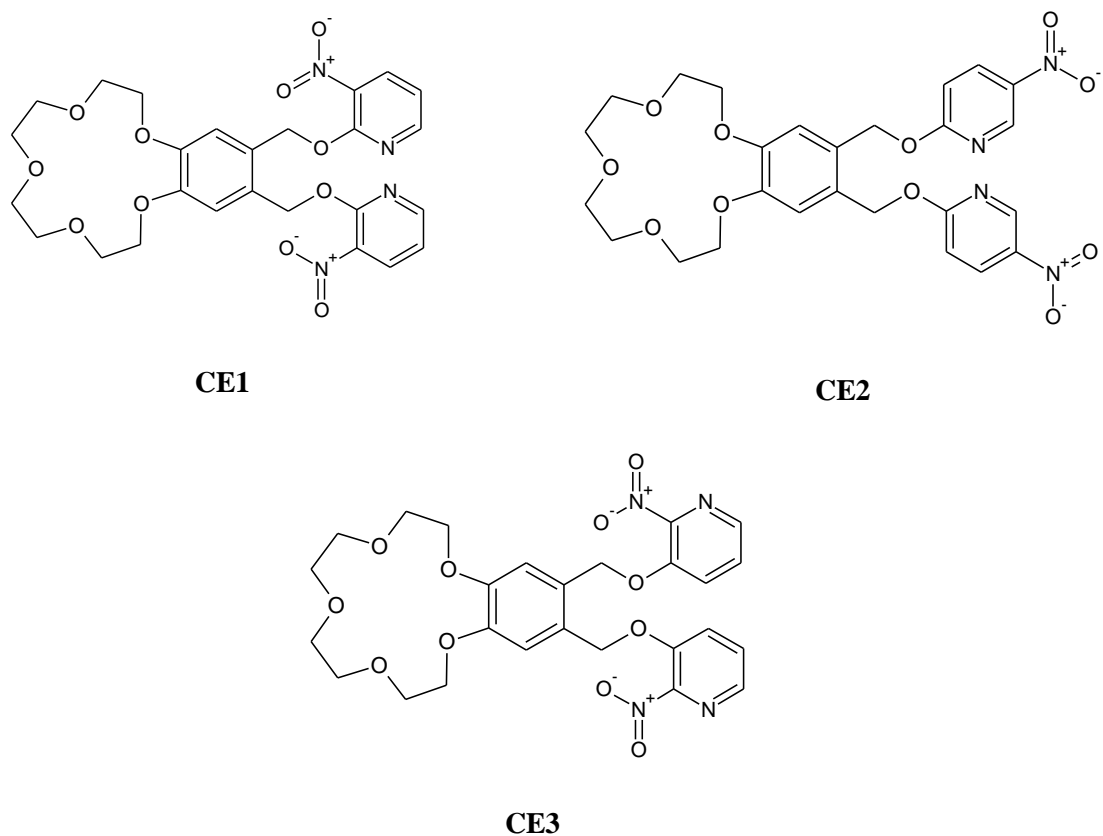

CE1

CE2

CE3

Figure 1. Structures of crown ether compounds used in electrode modification

The preparation steps of the modified electrodes were described as follows:

i.   GCEs were polished with alumina solution and washed with distilled water before each use. They were then ultrasonicated in ethyl alcohol and distilled water, respectively.

ii.   0.5 g of chitosan was dissolved in 50 mL of pH 4.0 acetate buffer to prepare chitosan solution. 10 mg MWCNT was added into 1 mL chitosan solution and ultrasonicated for four hours. 3 µL of the chitosan-MWCNT mixture was dropped onto the GCE surface and dried at room temperature to obtain MWCNT/GCE.

iii.   Solutions of 0.1 mM of the crown ether compounds were prepared in pH 6.0 0.05 M PBS. The electropolymerization of crown ethers on MWCNT/GCE surfaces was carried out in crown ether solutions by cyclic voltammetry at a potential range of −2.0 to +2.5 V with 5 cycles at 50 mV s^{-1} scan rate. The cyclic voltammograms recorded for the electropolymerization of crown ethers on MWCNT/GCE surfaces are given in Figure 2. The resulting crown ether-MWCNT-modified electrodes were designated as CE1/MWCNT/GCE, CE2/MWCNT/GCE and CE3/MWCNT/GCE.
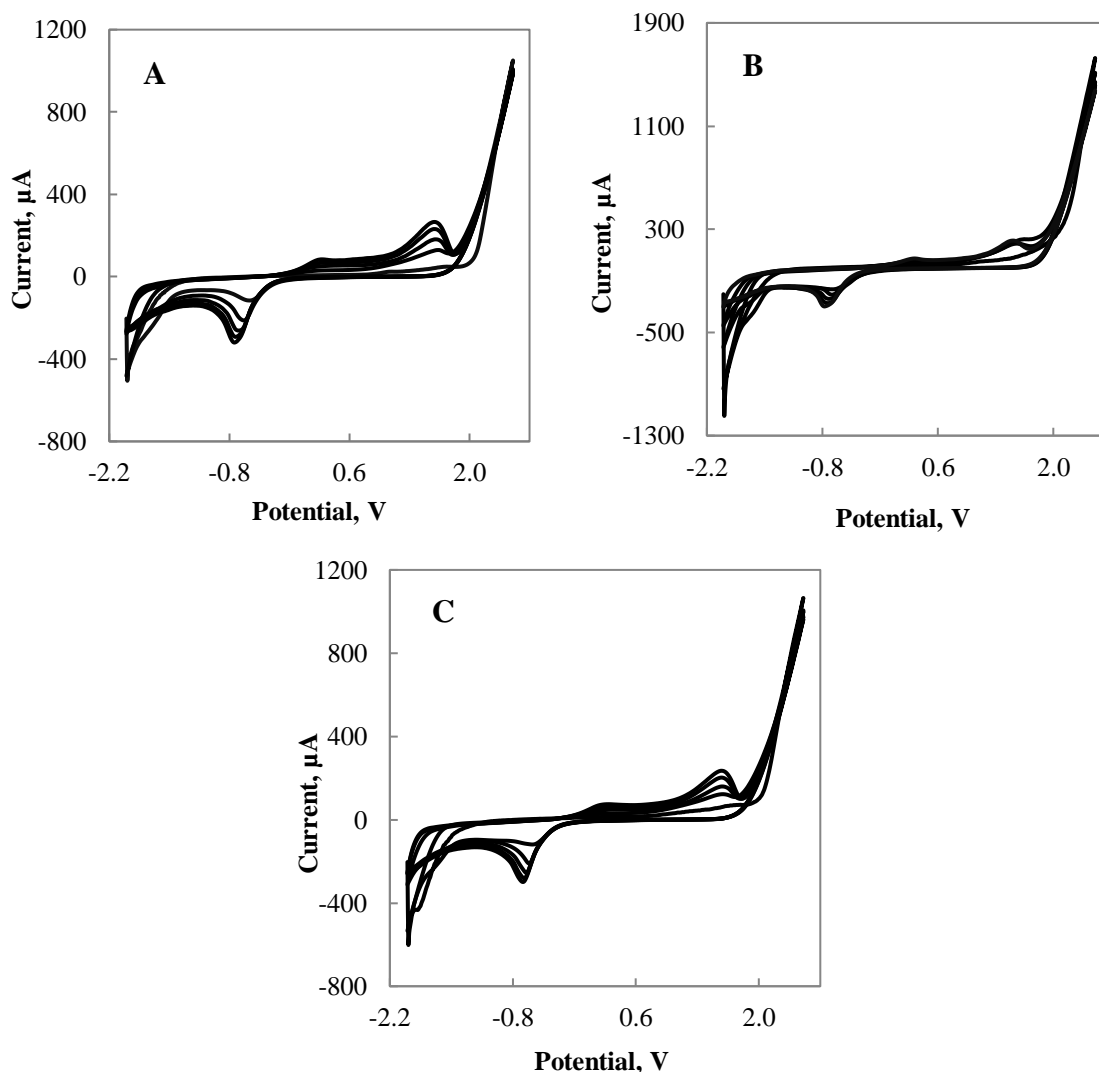
Figure 2. *Cyclic voltammograms for electropolymerization of (A) CE1, (B) CE2 and (C) CE3 on MWCNT/GCE surface (in 0.05 M pH 6.0 PBS containing 0.1 mM crown ether)*

III. RESULTS AND DISCUSSION

A. OPTIMIZATION PARAMETERS

The number of cycles during electropolymerization affects the thickness of the polymer film [49, 50]. Thus, the effect of the number of cycles in electropolymerization of crown ethers on the electrochemical response of the modified electrodes to dopamine was investigated. For this purpose, CE3 was electropolymerized on the MWCNT/GCE by cyclic voltammetry using 3, 5 and 7 cycles. The response of different CE3/MWCNT/GCEs fabricated at 3, 5 and 7 cycles to 3.0×10^{-5} M dopamine was recorded by DPV (Figure 3). The highest peak current was obtained with the modified electrode prepared by electropolymerization with 5 cycles. Since the thickness of the polymer film increased with the increase in the number of cycles, it was considered that the electrical resistance of the electrode surface increased and the transfer of electrons required for the oxidation of dopamine was blocked when the number of cycles increased from 5 to 7 [49, 51]. Therefore, the cycle number of 5 was selected as optimum.

To determine the effect of pH on the electrochemical response of the crown ether-MWCNT-modified electrodes to dopamine, five different PBS at a concentration of 0.05 M with pH ranging from 5.0 to 9.0 were prepared. Differential pulse voltammograms of CE1/MWCNT/GCE, CE2/MWCNT/GCE and

CE3/MWCNT/GCE in each PBS containing 3.9×10^{-5} M dopamine were recorded and shown in Figure 3B, 3C and 3D, respectively. All crown ether-MWCNT-modified electrodes gave the best response to dopamine at pH 6.0 and this value was determined as the optimum.
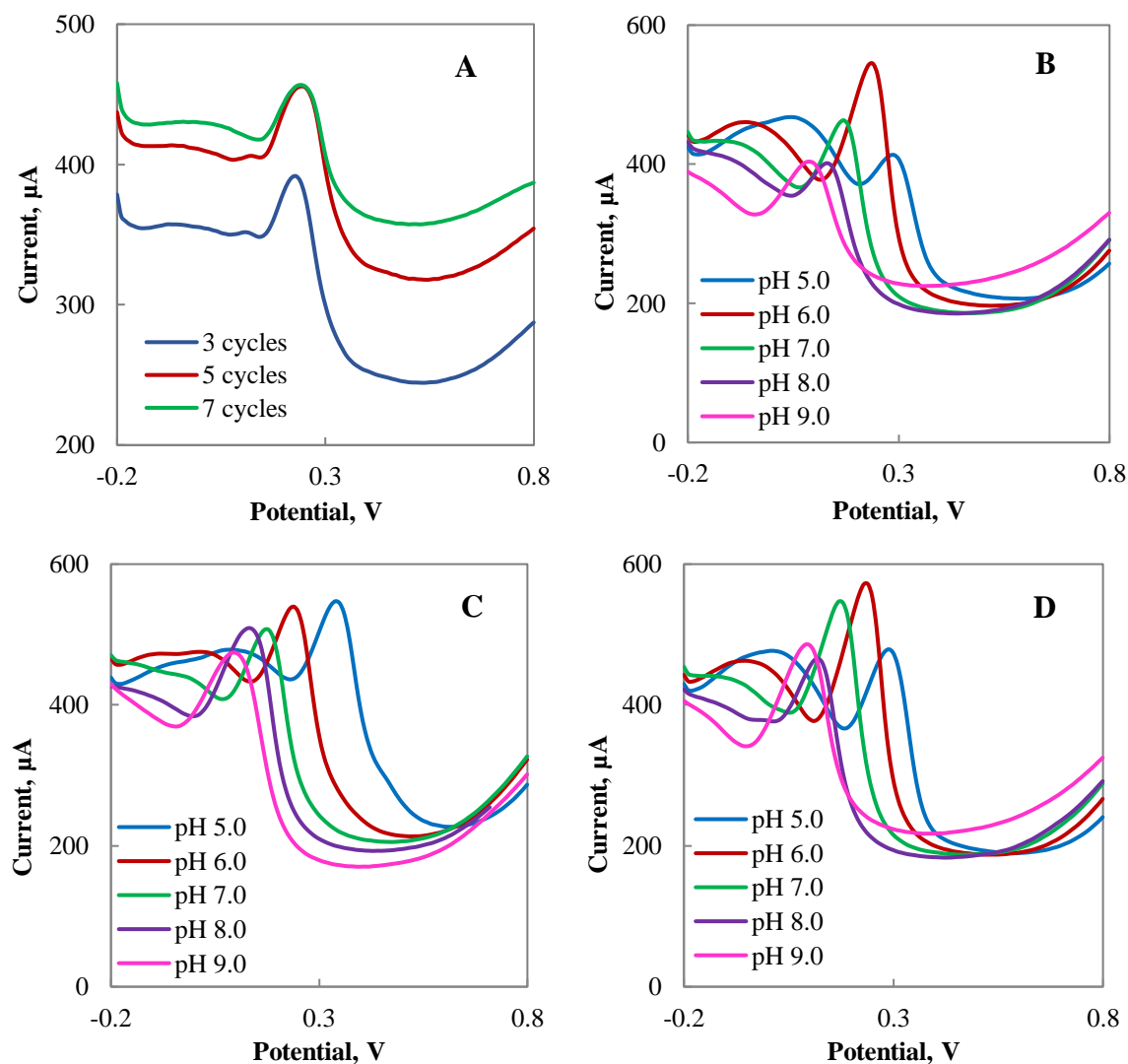

Figure 3. *Differential pulse voltammograms recorded for (A) cycle number optimization for electropolymerization of CE3 (in pH 6.0 PBS containing 3.0×10^{-5} M dopamine) and pH optimization for (B) CE1/MWCNT/GCE, (C) CE2/MWCNT/GCE and (D) CE3/MWCNT/GCE (in PBS containing 3.9×10^{-5} M dopamine)*

B. ELECTROCHEMICAL CHARACTERIZATION

For electrochemical characterization of the prepared electrodes, cyclic voltammograms of (a) GCE, (b) MWCNT/GCE, (c) CE1/MWCNT/GCE, (d) CE2/MWCNT/GCE and (e) CE3/MWCNT/GCE were recorded at a scan rate of 50 mV s^{-1} between -0.4 V and $+0.8$ V in 5 mM of $[Fe(CN)_6]^{3-/4-}$ solution containing 0.1 M KCl (Figure 4A). The peak currents of the bare GCE (curve a) were very low compared to the modified electrodes. The dramatic increase in the peak currents obtained with the MWCNT/GCE (curve b) was attributed to the superior properties of MWCNT such as increasing the electrode surface area and enhancing electron transfer. The decrease in peak currents recorded at all three crown ether-MWCNT-modified electrodes (curve c, d and e) was considered to be due to the formation of an insulating layer on the surface as a result of polymerization of crown ethers with large molecular structure on the electrode surface. In addition, the decrease in the peak currents of these electrodes in a similar manner was interpreted as successful electropolymerization of crown ethers.

In order to determine the effect of modification of the crown ethers on the electrochemical behavior to dopamine, differential pulse voltammograms of (a) MWCNT/GCE, (b) CE1/MWCNT/GCE, (c) CE2/MWCNT/GCE and (d) CE3/MWCNT/GCE were recorded in pH 6.0 PBS containing 3.9×10^{-5} M dopamine (Figure 4B). The electrochemical response of the crown ether-MWCNT-modified electrodes to dopamine was found to be significantly higher than the MWCNT/GCE response at the same concentration. The remarkable increase of the dopamine response may be attributed to the interaction of the crown ether rings with dopamine and as a result, sensitive determination of dopamine with crown ether-MWCNT-modified electrodes would be possible.
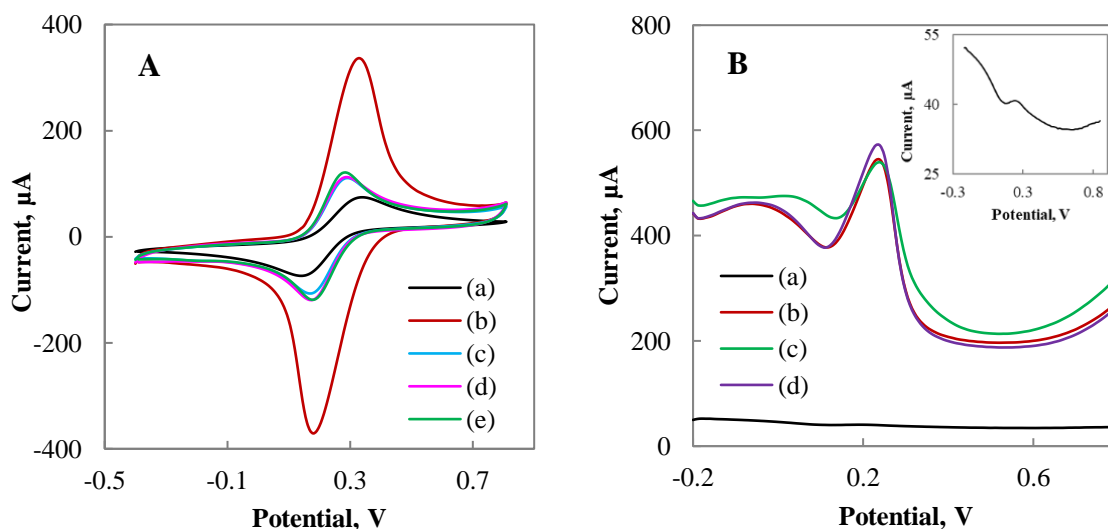

Figure 4. (A) Cyclic voltammograms of (a) GCE, (b) MWCNT/GCE, (c) CE1/MWCNT/GCE, (d) CE2/MWCNT/GCE and (e) CE3/MWCNT/GCE in 5 mM of $[Fe(CN)_6]^{3-/4-}$ solution containing 0.1 M KCl (at a scan rate of 50 mV s^{-1}), (B) Differential pulse voltammograms of (a) MWCNT/GCE, (b) CE1/MWCNT/GCE, (c) CE2/MWCNT/GCE and (d) CE3/MWCNT/GCE in pH 6.0 PBS containing 3.9×10^{-5} M dopamine (Inset: differential pulse voltammogram for MWCNT/GCE)

In order to determine the effect of scan rate on the electrochemical response of each crown ether-MWCNT-modified electrode to dopamine, cyclic voltammograms of CE1/MWCNT/GCE, CE2/MWCNT/GCE and CE3/MWCNT/GCE were recorded in pH 6.0 PBS containing 1.2×10^{-4} M dopamine by increasing the scan rate from 5 mV s^{-1} to 250 mV s^{-1} and the results are presented in Figure 5A, B and C, respectively. It was observed that the peak currents increased with increasing scan rate.
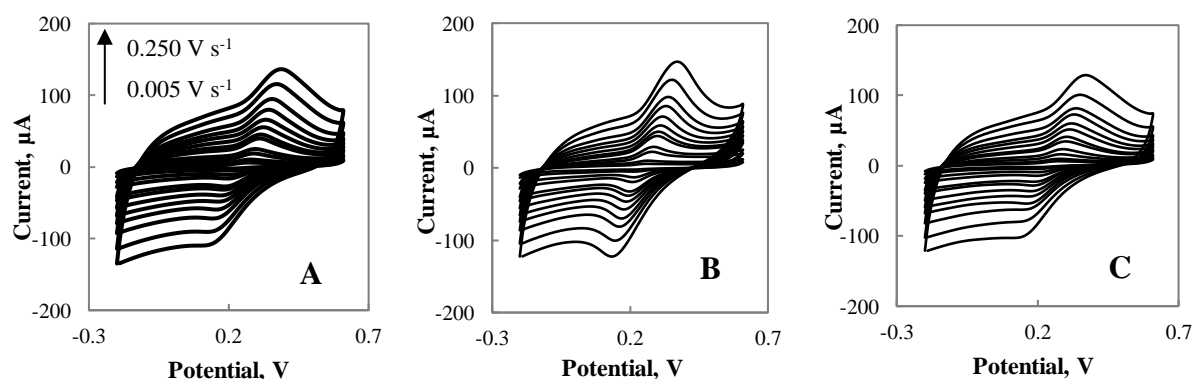

Figure 5. Cyclic voltammograms for (A) CE1/MWCNT/GCE, (B) CE2/MWCNT/GCE and (C) CE3/MWCNT/GCE at various scan rates (from 5 mV s^{-1} to 250 mV s^{-1}) in pH 6.0 PBS containing 1.2×10^{-4} M dopamine

The variation of peak currents with scan rate for CE1/MWCNT/GCE (a), CE2/MWCNT/GCE (b) and CE3/MWCNT/GCE (c) are given in Figure 6A. For all three crown ether-MWCNT-modified electrodes, the peak currents increased linearly with scan rate. This indicated that electron transfer occurs at the

electrode surface and the electron transfer mechanism is adsorption controlled. It was also found that the logarithm of the peak currents versus the logarithm of the scan rates was linear (Figure 6B-a, b and c). The slopes of log I_p - log v plots for CE1/MWCNT/GCE, CE2/MWCNT/GCE and CE3/MWCNT/GCE were 0.81, 0.82 and 0.78, respectively. The slopes close to 1.0 also contributed to the conclusion that the systems were adsorption controlled [52, 53].
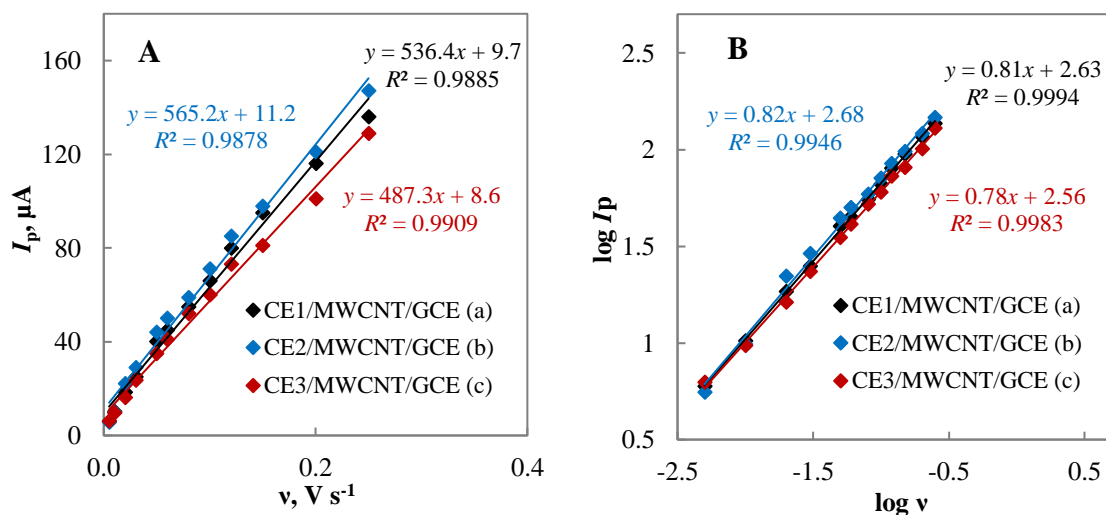

Figure 6. *(A) I_p – v plots and (B) log I_p − log v plots for (a) CE1/MWCNT/GCE, (b) CE2/MWCNT/GCE and (c) CE3/MWCNT/GCE*

C. PERFORMANCE PARAMETERS OF THE MODIFIED ELECTRODES

In order to determine the performance characteristics of the modified electrodes towards dopamine, amperometric current responses of (a) MWCNT/GCE, (b) CE1/MWCNT/GCE, (c) CE2/MWCNT/GCE and (d) CE3/MWCNT/GCE were recorded for successive dopamine additions between 4.0×10^{-6} and 5.7×10^{-4} M at a potential of +0.25 V in 0.05 M pH 6.0 PBS (Figure 7). Since the oxidation peak of dopamine was observed around +0.25 V with each crown ether-MWCNT-modified electrode at pH 6.0 (Figure 4B), the working potential for amperometric studies was chosen to be +0.25 V. The amperometric current responses of each modified electrode versus dopamine concentration are plotted and given in Figure 8 for (A) MWCNT/GCE, (B) CE1/MWCNT/GCE, (C) CE2/MWCNT/GCE and (D) CE3/MWCNT/GCE. In the same dopamine concentration range, the sensitivities of MWCNT/GCE, CE1/MWCNT/GCE, CE2/MWCNT/GCE and CE3/MWCNT/GCE were determined as 6.71, 19.53, 16.32 and 20.80 μA mM^{-1}, respectively. The sensitivities of the crown ether-MWCNT-modified electrodes were found to be about three times higher than the sensitivity of MWCNT/GCE. This was attributed to the positive effect of crown ethers on dopamine determination due to the unique cavity size of crown ethers. This cavity structure acts as a host, the amino groups of dopamine molecules bind well to the oxygen molecules in these cavities as guests with hydrogen bonds and stable host-guest complexes are formed [9, 46]. It was also found that different crown ether compounds have different responses to dopamine. It was considered that the difference of the side groups attached to the crown ether compounds may have positive or negative effects on the determination of dopamine for various factors such as electrostatic effect or steric effect in the interaction of crown ethers with dopamine. Therefore, it was concluded that this is a subject that could shed light on further studies and is worthy of further investigation.
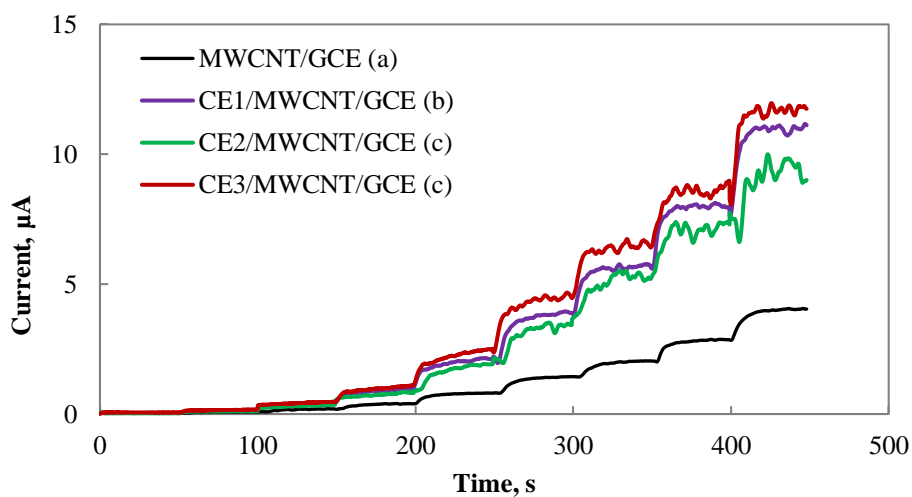
Figure 7. *i-t plots for (a) MWCNT/GCE, (b) CE1/MWCNT/GCE, (c) CE2/MWCNT/GCE and (d) CE3/MWCNT/GCE (in 0.05 M PBS, pH 6.0, +0.25 V)*
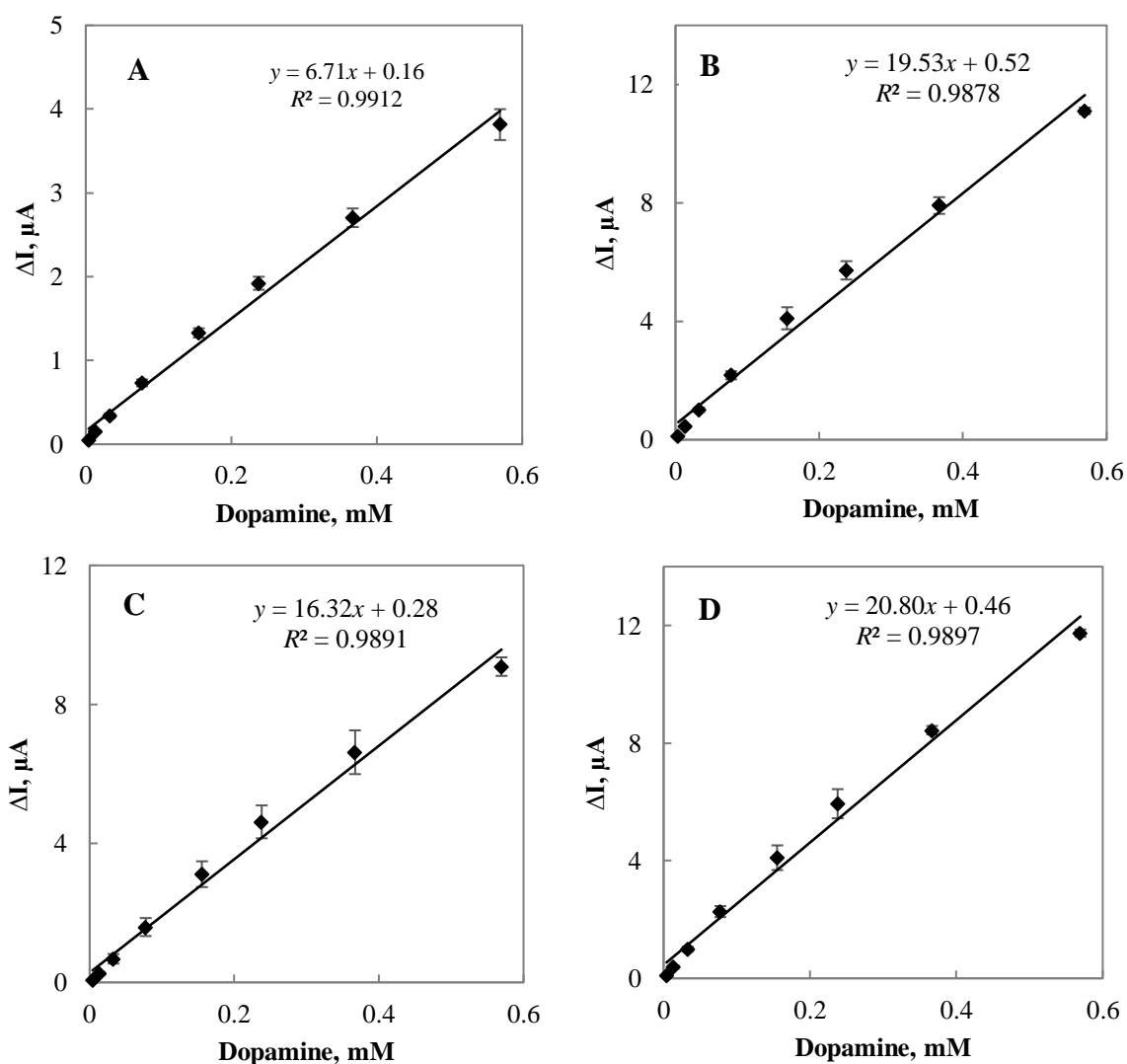

Figure 8. *Calibration plots for (A) MWCNT/GCE, (B) CE1/MWCNT/GCE, (C) CE2/MWCNT/GCE and (D) CE3/MWCNT/GCE (in 0.05 M PBS, pH 6.0, +0.25 V, N=3)*

The limit of detection (LOD) and limit of quantification (LOQ) of the crown ether-MWCNT-modified electrodes were determined using the standard deviation (s) of the intercept and the slope (m) of the calibration plot. Using the equations LOD=$3s/m$ and LOQ=$10s/m$, these values were calculated for each crown ether-MWCNT-modified electrode and given in Table 1. To determine the reusability (RU) of the crown ether-MWCNT-modified electrodes, three consecutive calibration plots were generated with the same modified electrode and the relative standard deviation (RSD) of the sensitivities was calculated. In addition, the reproducibility (RP) of the electrodes was determined by preparing three electrodes under the same conditions and calculating the RSD of the sensitivities obtained from the calibration graphs. The RU and RP of each crown ether-MWCNT-modified electrode are presented in Table 1. The reusability and reproducibility of the crown ether-MWCNT-modified electrodes were found to be quite good.

Table 1. *Performance characteristics of crown ether-MWCNT-modified electrodes*

Electrode	Linear Range (M)	Sensitivity ($\mu A\ mM^{-1}$)	LOD (M)	LOQ (M)	RU (RSD%)	RP (RSD%)
CE1/MWCNT/GCE	$4.0\times10^{-6} – 5.7\times10^{-4}$	19.53	2.1×10^{-6}	7.1×10^{-6}	5.7	0.6
CE2/MWCNT/GCE	$4.0\times10^{-6} – 5.7\times10^{-4}$	16.32	2.4×10^{-6}	8.1×10^{-6}	1.1	4.3
CE3/MWCNT/GCE	$4.0\times10^{-6} – 5.7\times10^{-4}$	20.80	1.7×10^{-6}	5.8×10^{-6}	3.1	0.9

IV. CONCLUSION

In this study, the GCE surface was modified with MWCNT and the electropolymerization of three different crown ether compounds (CE1, CE2 and CE3) on MWCNT/GCE surface was carried out to investigate the usability of CE1/MWCNT/GCE, CE2/MWCNT/GCE and CE3/MWCNT/GCE for dopamine determination. The use of MWCNT as a modification material aims to increase the surface area and improve the electrical conductivity of bare GCE. The purpose of using crown ethers in electrode modification is based on their ability to form stable host-guest complexes by selective hydrogen bonding with small molecules such as catecholamines in the cavities in their structure. The electrochemical responses of the crown ether-MWCNT-modified electrodes to dopamine, which is a catecholamine with an amino group, were investigated and compared with the response of MWCNT/GCE to determine the advantage of the crown ethers as discussed. Crown ethers were found to enhance the electrochemical response to dopamine quite significantly. The performance characteristics of each crown ether-MWCNT-modified electrode including sensitivity, detection limit, reusability and reproducibility were investigated and the best results for sensitivity and LOD were obtained with CE3/MWCNT/GCE. The effects of different crown ether compounds and side groups attached to the crown ether ring on the electrochemical response are considered to be investigated in further studies.

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Culture of Vineyard Roofs as Expression of Rural Architectural in Turkey: Nevsehir Goreme Examples

iD Esra TOKAT NİŞANCI[a,*],

[a]*Department of Architecture, Faculty of Engineering and Architecture, Istanbul Nisantasi University, Istanbul, TURKEY*
esratokat@gmail.com

ABSTRACT

Folk architecture actions that define only need-oriented structures built by the society using local materials and local masters; Even though they were built without any concern for sustainability, they been contained important cultural assets in terms of reflecting the social and economic situation of the people. Immovable properties that serve different functions such as vineyard houses, wineries and agricultural warehouses built in the Central Anatolia geography of Turkey, which has fertile lands, have cultural value in the context of expressing the identity of the region in which they are located. In this study, vineyard roofs registered as immovable cultural assets by the Ministry of Culture and Tourism; it was examined in terms of material, technical and stylistic features. These structures, unique to Central Anatolian folk architecture, have been tried to be evaluated in an integrated manner with their architectural features and the conditions of the period in which they were built. The fact that vineyard roofs, which do not have any structural and functional similarities with vineyard houses, have not been the subject of a scientific publication before, was seen as a deficiency in the literature; these structures were cataloged by creating a typology based on the structures identified in Göreme Town and were subject to scientific study. Each of the vineyard roofs included in the study have been examined on site, photographed and measured. Since the vineyard roofs, which were examined with material, technique and decoration details, were seen to follow a certain line on the old vineyard road in Göreme Town; a sample that is significantly located along the route but remains within the borders of Uçhisar District today was also included in the study.

Türkiye'de Kırsal Mimarinin İfadesi Olarak Bağ Damı Kültürü: Nevşehir Göreme Örnekleri

ÖZ

Toplum tarafından yerel malzeme ve yerel ustalar kullanılarak inşa edilen, yalnızca ihtiyaca yönelik yapıları tanımlayan halk mimarisi eylemleri; Sürdürülebilirlik kaygısı taşımadan inşa edilmiş olsalar da halkın sosyal ve ekonomik durumunu yansıtması açısından önemli kültür varlıklarını barındırmaktadırlar. Türkiye'nin verimli topraklara sahip İç Anadolu coğrafyasında inşa edilen bağ evleri, şaraphaneler, tarım depoları gibi farklı işlevlere hizmet eden taşınmazlar, özellikle bulundukları bölgenin kimliğini ifade etmesi bağlamında kültürel değere sahiptir. Bu çalışmada Kültür ve Turizm Bakanlığı tarafından taşınmaz kültür varlığı olarak tescil edilen bağ çatıları; malzeme, teknik ve üslup özellikleri açısından incelenmiştir. Orta Anadolu halk mimarisine özgü bu yapılar, mimari özellikleri ve yapıldıkları dönemin koşullarıyla bütünleşik bir şekilde değerlendirilmeye çalışılmıştır. Bağ evleriyle yapısal ve işlevsel açıdan hiçbir benzerliği olmayan bağ çatılarının daha önce bilimsel bir yayına konu edilmemiş olması literatürde eksiklik olarak görülmüş; Bu yapılar Göreme Kasabasında tespit edilen yapılar esas alınarak tipoloji oluşturularak kataloglanmış ve bilimsel çalışmaya konu edilmiştir. Çalışmaya dahil edilen bağ çatılarının her biri yerinde incelenmiş, fotoğraflanmış ve ölçüleri alınmıştır. Malzeme, teknik ve

süsleme detaylarıyla incelenen bağ çatılarının Göreme Beldesi'ndeki eski bağ yolu üzerinde belli bir çizgi takip ettiği görüldüğünden; Güzergâh üzerinde önemli bir konuma sahip olan ancak günümüzde Uçhisar İlçesi sınırları içerisinde kalan bir örnek de çalışmaya dahil edilmiştir.

Anahtar Kelimeler: Bağ damı, Kültürel miras, Halk mimarisi, Vernaküler mimarlık, Göreme

I. INTRODUCTION

Structures, which were born and developed in the triangle of raw materials, geography and vital dynamics, were sometimes for private use as auxiliary buildings for households, and sometimes they could have been public buildings that served the common use of those living in the region. With urbanization gaining momentum in Turkey in the 1950s, many elements that are indicative of rural life have changed. Changing vital dynamics based on general reasons such as the development of technology, the opening of new economic areas, the increase in population and therefore production and consumption have made new structures inevitable in the architectural sense, as in every field. Moreover, some buildings, which are indicators of cultural continuity, have been transformed to be used with different functions as much as possible or have been left to disappear completely, either because they cannot adequately respond to the need or because the need has run out. Whereas, these structures, which are indicators of the material elements of the period in which they were built, such as technique, architecture, materials and economy, also carry spiritual values in terms of reflecting the social structure and local lifestyle.

As it is known, Cappadocia has a historical past of thousands of years, has hosted countless cultures and civilizations, and has a unique geography in the world in terms of its formation and development. The Cappadocia region, whose first traces of settlement date back to the Chalcolithic period, is bordered by Kızılırmak in the north, Hasan Mountain in the south, Yeşilhisar in the east, Aksaray in the west and Kırşehir in the northwest. The region, which draws attention with the extraordinary rock formations, fairy chimneys and rock carvings formed by the Erciyes Mountain, Göllüdağ and Hasan Mountain tuffs under the influence of wind and rainwater; was included in the UNESCO World Heritage List within the scope of "natural and cultural" areas in 1985 [1]. As an expression of Anatolia's richness of both tangible and intangible cultural heritage, the Cappadocia region was virtually embodied by humans and nature joining hands. With its fascinating geological structures, rock-carved houses, places of worship, workshops, dovecotes and underground cities that preserve their mysteries even today, Cappadocia is one of the rare places on earth that is both a natural and cultural center [2]. When viewed from the culture-environment-people triangle, Cappadocia is, as stated: "a place where those who implement the principles of common living live" [3]. The primary factors that shape traditional constructions are undoubtedly environmental factors that determine climate, topography and raw material resources. However, in addition to the social values, cultural norms, lifestyles and habits of the people of the region, the traditions of the society and the beneficial relationship between individuals and architectural structures are undeniable factors. In context of structure and identity: "*If every existing image is to have a value for navigating the livable environment, it must also have some qualities. It must be sufficient, it must contain pragmatic accuracy, and it must enable the individual to establish a relationship with his environment to the extent he wishes*." [4]. Cengiz Bektaş has been defined the concept of traditional architecture, which he calls conformity to life, nature and environmental conditions, as "adapting to nature without fighting it, being in the blood circulation of nature and consisting directly of the way of living." [5]. Although rural architecture, which is the symbol of the period before industrialization, is mostly used for village houses, this concept is actually; it has a broad meaning that includes architecture specific to a certain period and region, created by masters, where visual concerns are kept in the background and whose primary purpose is function [6]. First of all, the difference between rural buildings and other buildings is that rural architectural products have a natural character. Vernacular buildings, which are examples of local architecture, are a way of adapting to geography and weather conditions in line with the traditional needs of the society, without any stylistic concerns.

Local people built these structures with simple tools, in harmony with their environment and in the context of their traditional habits and needs [7]. These architectural actions, which can be explained as man's attitude to comply with established standards, can also be expressed as "a product of spontaneous conscience"[8]. Because the cultural heritage products in rural areas include concrete and intangible elements created thanks to the cultural and creative contribution of generations; it keeps the natural heritage that human beings have shaped by blending it with the place they live in over time, alive and passes it on to next generations [10].

For the same reason, vineyard roofs built solely for need, without any stylistic concerns; since they have a natural character and provide the most appropriate response to the need, they have naturally presented a certain typology. Standards that determine the local materials used based on economic reasons, the quality of the product grown, the cultural habits and needs of the users; Like every phenomenon revealed as a result of necessity, it also played an active role in the construction of the indicators of rural life. Therefore, many variables such as the location of the building to be built, its harmony with the topography, the easy availability of its materials, and its compatibility with the environment and people have been of primary importance.

II. MATERIALS, METHOD AND LITERATURE

In the literature review regarding the vineyard roofs that were the subject of the research, it was seen that vineyard roofs were not included in the literature. No scientific publications on vineyard roofs could be found.

The research topic is primarily based on field work based on on-site examination. The vineyard roofs included in the study were examined on site and photographed by us. Measurements of each vineyard roof were taken; The structures were examined in detail in the context of material, technique and decoration details. In the study where the vineyard roofs observed throughout the province of Nevşehir were discussed, an explanation was made through examples from Göreme Town.

The fact that the buildings in Göreme Town are registered as immovable cultural assets by the Ministry of Culture and Tourism is effective in sample selection. However, another determining factor is that the vineyard roofs in Göreme Town have survived to the present day in a better condition than the vineyard roof examples in other districts and that they can provide concrete data.

Moreover, during the study, it has seen that the vineyard roofs in Göreme Town followed a certain line on the old vineyard road. Therefore, a sample that is significantly located along the route but remains within the borders of Uçhisar today was also included in the study. Vineyard roofs was named with their parcel numbers, considering their cadastral status along the vineyard road.

III. FINDINGS and DISCUSSION

Göreme Town, located in the Nevşehir-Ürgüp-Avanos triangle, 10 kilometers away from Nevşehir, is located in an area surrounded by valleys. Historically, the region was inhabited during the Hittite, Assyrian, Phrygian, Tabal, Med, Persian, Byzantine, Seljuk, Karamanli and Ottoman periods; since it has hosted different cultures in different periods, it has a rich literature in terms of culture, art and therefore architecture. Cappadocia, where architecture is not separated from nature, has offers the most prominent examples of life integrated with nature, in the context of culture-environment-space relationship. These qualities, which are observed in residential areas shaped in integrity with the natural environment, in all kinds of buildings that are required to sustain human life, also manifest themselves in the rural life dynamics of the town. Although vineyard roofs bring to mind gümele, which are pragmatic, undetailed and small-scale structures built by farmers to meet their needs while

dealing with vineyard work in the endless steppe climate; in fact, have revealing a building style that is quite different from gümele in terms of both material and technique. Gümele are simple shelters covered with twigs or grass, built by farmers or hunters in vineyards or orchards, mostly using wooden materials, the cantı technique. However, the vineyard roofs that are the subject of the research are the product of serious planning and meticulous architecture in terms of materials and techniques. Vineyard roofs are high-quality examples of the architectural style called "vernacular", which is the expression of creating an architectural product to meet the needs by combining the opportunities provided by nature with traditions and cultural factors. When we look at the general characteristics of the vineyard roofs built in Nevşehir; it is seen that they are iwans consisting of series of pointed or round arches, built with local yellow cut stone and roughhewn stone materials in places, closed with masonry on three sides, and with a wide opening on the side facing the road. There are no ornamental details in these iwan type buildings. It is known that these buildings, which show unity in style and material, were built in the early 20th century for the personal use of agricultural workers, such as protection from weather conditions and meeting their daily needs. They also were serving to shelter passers-by or those stranded on the road for some reason, along with their animals. It is known that these buildings, which show unity in style and material, were built in the early 20th century for the personal use of agricultural workers, such as protection from weather conditions and meeting their daily needs. They also were purposed to shelter passers-by or those stranded on the road for some reason along with their animals.

Although they have been subjected to deterioration or change under the influence of time, people or weather conditions, it is possible to observe vineyard roofs that have not lost their main characteristics in almost every rural district of Nevşehir. Since the existing inspectable/observable vineyard roofs are located on a meaningful route on the old vineyard road in Göreme Town; the cadastral status of their locations along the vineyard road has been taken into consideration. The vineyards included in the study are named with their parcel numbers.

Figure 1. Vineyard roofs route (TKGM, 2024)

Structur number 9452 is located in Göreme Town, Demiyeni Locality. The iwan-shaped building is closed on three sides by windowless flat stone walls, and has a round-arched opening on the north side facing the road. In the building, which was built with yellow stone material specific to the region, ashlar stone was used in the corners of the facade and rows of arches, and roughhewn stone was used in other parts. The building has an interior space of approximately 3.45 meters wide and 4.86 meters deep, behind the 2.10 meter wide round arched entrance. Three rows of arches with an arch thickness of 71 cm, placed at intervals of 68 cm, form the interior.

a)   b)

Photo 1. (a) Building no. 9452 - Appearance (Tokat, 2021) (b) Entrance (Tokat, 2021))

There are a total of 4 arch spaces between the entrance and the iwan wall. In places corresponding to the arch spaces, there are niches formed due to the protrusions resulting from the ribbed structure of the arch rows. It is covered with a rib vault, emphasized by pointed arches, on the inside and a flat roof on the outside. There is an epitaphic space on the keystone axis of the second row of blocks above the round arch on the entrance façade. However, today this section is empty. Unlike the round arch on the portal, the arch forms inside are pointed arch.

In addition, with the presence of an eaves molding along the entrance façade and the original gargoyles on the western facade, which have survived to the present day in good condition; it attracts attention as it is one of the rare examples among the vineyard roofs of the region and period.

a)   b)

Photo 2. (a) Building no. 9452 - Entrance arch (Tokat, 2021) (b) Interior (Tokat, 2021)

a)   *b)*

Photo 3.(a) Building no. 9452 - Western facade (Tokat, 2021) (b) Gargoyle detail (Tokat, 2021)

Although structur number 9446 is located at a point where the current border of Göreme and Uçhisar meet, unlike the other vineyard roofs in our research, it is located within the borders of Uçhisar Town, not in Göreme. However, it is still on the same route as the other vineyard roofs examined within the scope of this study, that is, it is in a suitable location for the vineyard route followed in Göreme Town. In addition, when the distances of the vineyard roofs are calculated, they are in harmony with the distances of the others. The building, which is closed with windowless stone walls from the east, west and south sides, has a round-arched opening on the north side facing the road. The vineyard roof, on a sloping land, leans on the slope from the south. In the building, which was built with yellow stone material specific to the region, ashlar cut stone was used in the corners of the facade and rows of arches, and roughhewn stone was used in other parts. In the building measuring 6 meters by 4.72 meters, the interior space, which is approximately 4.65 meters deep and 3.40 meters wide, is entered through the round arched entrance, which is 1.92 meters wide and 1.77 meters high. In the interior, there is a ribbed barrel vaulted upper cover consisting of three round arches. Arches thickness is 69 cm and arches spacing are 68 cm.

a)   *b)*

Photo 4.(a) Building no. 9446 - Northern facade (Tokat, 2021) (b) Northeastern facade (Tokat, 2021)

There are niches in the left and right corners of the entrance. It is understood from the soot stains on the stone surface that the niches were used to place gas lamps used to illuminate the space. The 64 cm wide niches start with a depth of 24 cm and taper upwards. What draws attention in terms of unique elements in the structure is the presence of 4 "buckles" used to tie animals. Among the buckles

measuring 28 cm with a protrusion of 15 cm from the wall level, the one to the right of the entrance has a trace, but it has been completely destroyed. The buckles on the left and bottom right corner are intact, while the buckles on the left corner are partially intact due to the broken fastening area. With this, there is another stone buckle placed outside on the southeast façade to tie animals. The building is covered with flat drops from the outside. Another prominent issue about the vineyard roof is related to dating. The date "939 MRT", March 1939, was written by engraving on the keystone of the round arch on the entrance façade of the building.

a)   b)

Photo 5.(a) *Building no. 9446 - Interior (Tokat, 2021)* **(b)** *Building no. 9446 - Bookcase (Tokat, 2021)*

Building number 3224 is located in Tunus Location in Göreme Town. It is an iwan-shaped vineyard roof located on the old vineyard road. The building is closed with stone walls on three sides and there is a round arched opening on the north side facing the road. As seen in other examples, the structure was built with yellow stone material specific to the region; ashlar cut stone was used in the corners of the facade and in the rows of arches, and roughhewn stone was used in other parts. Behind the 2.24 meter wide round arched entrance is the iwan, which has an interior space of approximately 3.10 meters wide and 4.85 meters deep; it consists of 3 rows of arches with an arch thickness of 66 cm, placed at 72 cm intervals. The thickness of its walls is 60 cm. It was observed that the distance from the floor to the ceiling decreased to 1.73 meters due to the northern façade, which has an entrance arch to the building, being filled with soil over time. Like the round arch on the portal, the arch forms in the interior are also in the form of round arches.

a)   b)

Photo 6.(a) *Building no. 3224 -Front facade and entrance arch (Tokat,2021)* **(b)** *Building no. 3224 Interior (Tokat, 2021).*

There are a total of 4 arch gaps between the entrance and the iwan wall. Compared to similar structures, due to the rather dilapidated state of the vineyard roof in question and the fact that it was plastered with clay material, in the alignments corresponding to the arch gaps; niches formed as a result of protrusions resulting from the ribbed structure of the arch rows could be selected, but it was determined that they had lost their usable qualities. Another striking point in the building is the presence of a unique stone buckle on the west wall, which was added to the building mass for the purpose of tying animals.

Photo 7. Building no. 3224 – Various buckles (Tokat, 2021).

Building number 6082 is located in Yazıbağı District in Göreme Town. The vineyard roof, located on the old vineyard road, is closed by a stone wall on three sides and is in the form of an iwan with a round-arched opening on the north side facing the road. The vineyard roof, on a sloping land, leans on the slope from the south. In the building, which was built with yellow stone material specific to the region, ashlar stone was used in the corners of the facade and rows of arches, and roughhewn stone was used in other parts. What draws attention at first glance to the building is its clay-plaster exterior and the fact that it has survived to the present day in a better shape than its counterparts. However, a closer look reveals that after the collapse of the entrance section in an earlier period, stone blocks, apparently the original material of the building, were rebuilt using cement mortar between them and concrete was used on the ceiling. In its current form, the vineyard roof has a plan consisting of a rectangular space close to a square at the entrance and a pointed barrel vaulted space behind it, formed by two rows of arches.

a)   b)

Photo 8.(a) Building no. 6082 -Front facade and entrance arch (Tokat,2021) (b) Building no. 6082 Interior (Tokat, 2021).

In the approximately 5.10 meter deep and 6.64 meter wide interior, which is accessed through the 2.04 meter wide round arched entrance, the archless section covered with concrete measures 2.10x2.74 metres. In the arched section behind this, there are two rows of arches with an arch thickness of 69 cm, placed at 70 cm intervals. Considering the standard dimensions of the arches and arch intervals, it is highly likely that there was another 70 cm arch in the original state in the flat concrete-roofed entrance space. Unlike the round arch on the portal, the arch forms inside are pointed arches. Deformation has occurred in the structures and axes of the arches, and among the niches formed due to protrusions caused by the ribbed structure of the arch rows, only the niche on the right inner wall is clearly visible.

Building number 3621 is an iwan-shaped vineyard roof built with 1 row of rubble stone at the ground level and local natural yellow cut stone on the upper parts.

Photo9. Building no. 3621 -Front facade and entrance arch and interior (Tokat, 2021).

The immovable cultural heritage, which is closed with stone masonry on three sides, has a wide pointed arch opening on the east side facing the road. Located on a sloping land, the building is buried in the ground for approximately 4.5 meters from its outer western façade. Behind the wide pointed arched entrance, the iwan, which is approximately 5.70 meters deep, consists of 4 rows of arches with an arch thickness of 70 cm, placed at 73 cm intervals. There are a total of 4 niche openings in the interior, in the alignments between the arches on the north and south walls. Apart from these, there is a rectangular niche, almost square, measuring 60x53 cm and 21 cm deep, on the western wall in the interior. The building has a rib vault, emphasized by pointed arches, on the inside and a flat roof on the outside.

Among the stone blocks lined up on the entrance arch, it has read that "Sahibul Hayrat Hüseyin Ali - 1347" was written on the fourth stone from the right. The date 1347 written in the Rumi calendar in the inscription corresponds to the Gregorian year 1931. The expression "Sahibul Hayrat" is generally written on structures such as fountains, hospitals and mosques, as a set phrase in which works built for charity are written with the names of their owners. This phrase also; is another indication that the vineyard roofs built specifically for the region - especially those built on the roadside - were built for charitable purposes, to protect people and their animals from rain or sun, and to provide temporary shelter in necessary situations.

Photo9. Building no. 3621 - Inscription stone on the entrance arch (Tokat, 2021).

IV. CONCLUSION

Vernacular architecture, which finds meaning as the unique formation of the architectural style of a region, is a phenomenon directly related to the evaluation of architectural actions in the context of social sustainability. Protecting the values and traditions that are indicators of social identity is, above all, closely related to the preservation of the memory of the society that created that culture and the cultural heritage that will be passed on to future generations. Vernacular architectural activities that are compatible with nature and aim to meet the needs of the user in the simplest way, through the direct use of the raw material resources offered by the geography; it gains value as the expression of an understanding that includes the recognition of ongoing traditions and their transmission to future generations. When the vineyard roofs located on a clear line in Nevşehir-Göreme are examined, the phenomenon that emerges is that the standards in these structures, which are the simplest expression of rural architecture, are an expression of the common language established, perhaps unconsciously. As a matter of fact, the main factor in the motivation of rural people to build buildings is not to create a work of art, but to organize the order that people create to sustain and develop their own world and the relationship they establish with their living space. In other words, while man shapes the environment according to himself, on the other hand, he adapts himself and his needs to environmental conditions in the face of impossibilities. As a matter of fact, the main factor in the motivation of rural people to build buildings is not to create a work of art, but to organize the order that people create to sustain and develop their own world and the relationship they establish with their living. As a matter of fact, the main factor in the motivation of rural people to build buildings is not to create a work of art, but to organize the order that people create to sustain and develop their own world and the relationship they establish with their living. In other words, while people shapes the environment according to themselves, on the other hand, they adapts themselves and the needs to environmental conditions in the face of impossibilities.

The vineyard roofs that are the subject of the study are structures of 30 - 35 square meters in size, dating back to the beginning of the 20th century, with an iwan plan, using local stone materials in their construction, reflecting a simple style without ornaments. Other details that can be considered as common features observed in all vineyard roofs are that they are completely functional with their niches and buckle details for tying animals and that they are in harmony with the topography and climate. Just as societies that share the same culture, belief and geography have produced similar structures throughout the history of architecture, it is inevitable that the structures of individuals within the same society for similar needs will repeat each other over a certain period of time. Aside from the fact that vineyard roofs provide integrity in terms of formal, dimensional and technical features, the fact that they are shaped by the cooperation of the society and the needs of the period also adds a social value to them. As a matter of fact, as can be seen from the examples of the buildings subject to

the study, whose inscriptions have survived to the present day, this feature, which is described as charity, not only serves as examples of rural architecture, but also adds a public quality to the vineyard roofs.

Although vineyard roofs have been used in a wide area in Anatolia, research conducted in the surrounding area has shown that many vineyard roofs are almost in ruins or have undergone major changes due to unconscious interventions and have largely lost their originality. The reason why the vineyard roofs in Göreme Town have survived to the present day in a much better and more original state than their counterparts can be explained by the fact that these structures remain within the 1st Degree Natural Protected Area. Although the vineyard roofs, which are tried to be presented in a catalog in this study, have been registered and protected as Immovable Cultural Assets by the Ministry of Culture and Tourism, they continue to be damaged day by day due to both climatic conditions and human factors. In the current state of the vineyard roofs, it has been determined that mortar gaps have formed between the stone blocks throughout the building masses, and that there has been fall and wear in the building material as a result of time and weather conditions. It can be clearly observed that in some vineyard roofs, holes are opened in the building walls in order to evacuate the smoke of wood and coal burned by people indoors, and sometimes unconscious interventions are made for repair purposes. (filling the joint gaps with different types of materials, pouring concrete on the top cover from outside, etc.)

As a result, behind all these structures lies a deep-rooted knowledge, experience and culture that has been passed down through generations. It is an undeniable fact that preserving and transferring to the future the vineyard roofs that contribute to the urban and environmental identity, reflect the local lifestyle, are nourished by traditional living rules, and are identical with nature and people, is important to ensure cultural sustainability. Even though they are registered as immovable cultural assets, the vineyard roofs have abandoned to their fate and continue to wear out day by day. As a result, in order to protect local values that are about to disappear and to transfer them to the future, research, identification and examination of such structures of folk culture should be increased and they should take their rightful place in the literature.

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Using AURAP Method in Determination of Building Earthquake Risk

Hüseyin BAYRAKTAR[a,*],

ª *Department of Building Drafting, Kaynaşlı Vocational School , Düzce University, Düzce, TURKEY*
* *Corresponding author's e-mail address: huseyinbayraktar@duzce.edu.tr*

ABSTRACT

Major earthquakes in our country cause heavy damages especially to buildings. Damage to buildings adversely affects people and their settlements. There are many factors that cause damage to buildings. The most important of these are the lack of engineering services and incorrect applications at the construction site. It is vital to identify any problems with buildings in advance. To do this, time is the most important concept. Rapid screening methods are advantageous in terms of time in determining the earthquake performance of buildings. Rapid screening methods are frequently used in highly urbanized areas. Rapid screening methods are of great benefit in classifying buildings according to their risk status. Düzce suffered heavy losses in the August 17, 1999 Marmara and November 12, 1999 Düzce Earthquakes. After the earthquake, there have been positive developments towards reconstruction in Düzce. However, there are still neighborhoods in the city where pre-earthquake constructions are dense. Among these neighbourhoods, Burhaniye District is connected to Düzce centre. Burhaniye neighborhood is a place where there are many buildings before 1999. In this study, the application and results of the AURAP Method, one of the rapid scanning methods, in a building built in 1979 in the Burhaniye District in the center of Düzce, will be explained.

Keywords: Düzce, Earthquake, Rapid screening methods

Bina Deprem Riskinin Belirlenmesinde AURAP Yönteminin Kullanılması

ÖZ

Ülkemizde yaşanan büyük depremler özellikle binalarda ağır hasarlara neden olmaktadır. Binaların hasar alması insanları ve bulunduğu yerleşim yerini olumsuz yönde etkilemektedir. Binaların hasar almasında birçok etken vardır. Bunlardan en önemlileri binanın mühendislik hizmeti almaması ve şantiyede yanlış uygulamaların yapılmasıdır. Binalar ile ilgili varsa olumsuzlukların önceden tespit edilmesi hayati öneme sahiptir. Bunun yapılması için de zaman en önemli kavramdır. Binalarda deprem performansının tespitinde hızlı tarama yöntemleri zaman bakımından avantajlıdır. Hızlı tarama yöntemleri kentleşmenin yoğun olduğu bölgelerde sıklıkla kullanılmaktadır. Binaların risk durumlarına göre sınıflandırmada hızlı tarama yöntemleri büyük fayda sağlamaktadır. 17 Ağustos 1999 Marmara Depremi ve 12 Kasım 1999 Düzce Depreminde ağır kayıplar veren Düzce'de deprem sonrası yeniden yapılaşma yolunda olumlu gelişmeler kaydedilmiştir. Fakat kentte hala deprem öncesi yapılaşmaların yoğun olarak bulunduğu mahalleler bulunmaktadır. Bu mahallelerden Burhaniye Mahallesi Düzce merkeze bağlı, 1999 yılı öncesi yapıların yoğun olarak yer aldığı bir mahalledir. Bu çalışmada hızlı tarama yöntemlerinden olan AURAP Yönteminin Düzce merkezde yer alan Burhaniye Mahallesinde 1979 yılında yapılan bir binada uygulanması ve sonuçları anlatılacaktır.

Anahtar Kelimeler: Düzce, Deprem, Hızlı tarama yöntemleri

I. INTRODUCTION

Turkey is frequently exposed to earthquakes due to the influence of African, Arabian and Eurasian plates in terms of seismic zone. Therefore, the North Anatolian Fault (NAF), East Anatolian Fault (EAF) and West Anatolian Fault (WAF) fractures, which can produce large earthquakes, have formed especially in the northern, eastern and western parts of our country. Major earthquakes have occurred on these fault lines, especially in recent years, such as the Marmara Earthquake of August 17, 1999 with moment magnitude (Mw) of 7.4 and the Düzce Earthquake of November 12, 1999 with moment magnitude (Mw) of 7.2 on the NAF line, the Izmir earthquake of October 30, 2020 with moment magnitude (Mw) of 6.6 on the EAF line, and the Pazarcık and Elbistan (Kahramanmaraş) Earthquakes of February 6, 2023 with moment magnitudes (Mw) of 7.7 and 7.6 on the EAF line, which are called major disasters. These earthquakes caused great loss of life and economic losses. Many factors such as mistakes made during the construction phase of the buildings, technically incorrect construction of the relationship between the ground and the building or not taking the ground into account at all, wrong material selection, and poor workmanship have been identified in the high losses in the earthquakes [1-7]. The fact that many buildings are damaged in earthquakes in our country is questioned in every aspect. Detailed examination of the damaged buildings in earthquake zones and detection of errors will ensure that the same mistakes are not repeated again.

After every major earthquake in Turkey, detailed studies are carried out by different institutions and organizations and reports are prepared. In these reports, administrative, regulatory or technical deficiencies experienced during the earthquake are identified and necessary steps are taken. For example, after the 1999 earthquakes, many positive works were carried out, such as the enhactment of the building control law, preparation of new earthquake regulations, urban transformation works, and the establishment of AFAD. However, there are still deficiencies to be made at the urban scale. For example, it is vital to review the building inventory, identify especially risky buildings and take the necessary steps. Because, in an earthquake, risky buildings and those inside those buildings are primarily negatively affected. Rapid construction has occurred in the cities of our country with the increase in population. The dense construction makes it difficult to detect risky buildings. It takes a lot of time to identify risky buildings in cities, analyze and verify their performance according to regulations. Therefore, it is important to use and develop fast building scanning methods. With rapid building scanning methods, the earthquake risk performance of many buildings can be determined quickly and with very realistic values. In this way, risk classification of buildings can be easily d one for decision makers. In our country, there are rapid evaluation methods with different names and contents. Some of these are Street Scan, Yakut, P25, DURTES, PERA and AURAP methods. In this study, the AURAP method developed by [8] will be used. 5-storey reinforced concrete building located in Burhaniye District of Düzce center was examined with the AURAP method and its earthquake risk performance was determined. However, it is recommended that the earthquake risk of the examined building be evaluated in accordance with the principles of the Turkish Building Earthquake Regulation (2018) by making more detailed examinations.

II. DUZCE AND SEISMICITY

The population growth of Düzce accelerated after the earthquakes of August 17, 1999 and November 12, 1999, as it became a province in 2000. The economic structure of Düzce also shapes the social structure. Düzce is a city that has been growing in recent years based on the industry and services sector and receiving migration due to its developing economy. There are currently 3 active organized industrial zones and it is planned to increase this number to 5. The fact that the city is the largest urban and commercial center in the Düzce plain and that it is located on a very important transportation axis on the Istanbul (205 km) - Ankara (241 km) highway are the most important factors that accelerate the development of the city. Established in 2006, Düzce University (around 30 thousand students in 2024) accelerated the mobility and population growth in the city. Today, the population is 405 thousand as of 2023.

The 17 August 1999 Gölcük earthquake, which occurred on the North Anatolian Fault Line, triggered the Düzce fault (Figure 1), and 3 months later, on 12 November 1999, the Düzce-Kaynaşlı earthquake with a magnitude of Mw 7.2 occurred. In both earthquakes, 1115 lives were lost and 3836 people were injured, 6444 buildings were recorded as heavy/destroyed, 5506 buildings were recorded as moderately damaged, and 9433 buildings were recorded as slightly damaged. The most recent earthquake, with a magnitude of Mw 5.9, occurred in Gölyaka district of Düzce province on November 23, 2022. Fortunately, there was no loss of life in this earthquake. In the earthquake, 816 buildings were found to be heavily damaged and 796 of them were demolished and their debris removed [9].
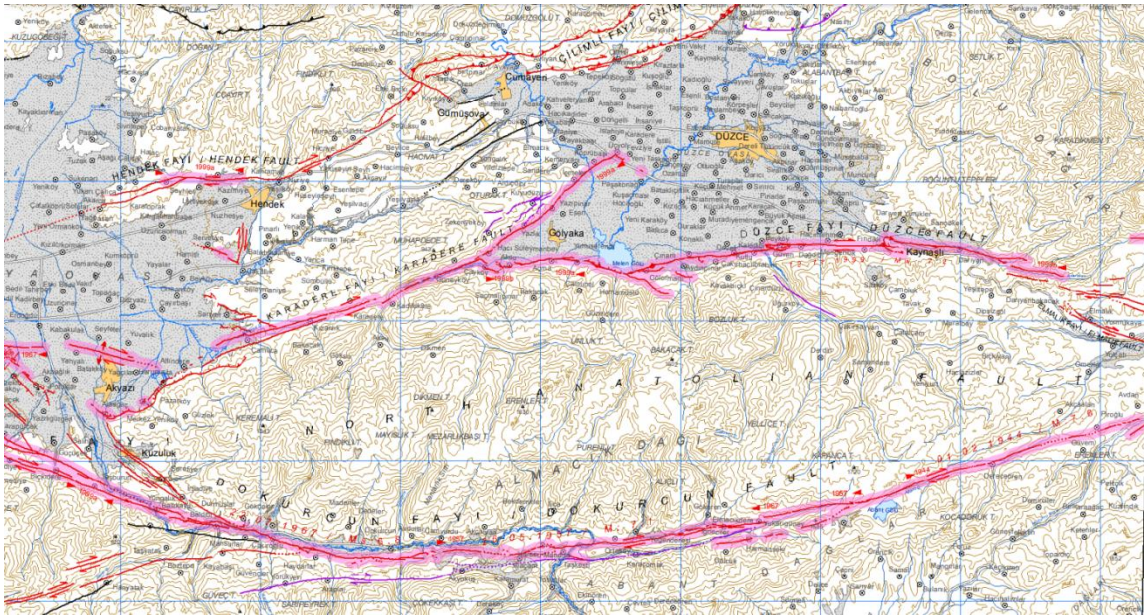
Figure 1. North Anatolian Fault Line and Düzce Fault separated from this fault (MTA General Directorate Active Fault Map) [10]

III. METHODOLOGY USED IN THE STUDY (AURAP METHOD)

Anatolian University Rapid Evaluation Method (AURAP) method [11] is a rapid screening method developed. The method can be used to estimate the earthquake risk status of a building with a reinforced concrete frame system by examining the critical floor using a non-destructive method. For this purpose, information was obtained about parameters such as the plan of the critical floor, the number of columns and walls with X and Y direction measurements taken, concrete compressive strength with a Schmidt hammer, the stirrup tightening rate in the column with an X-ray scanning device, floor heights, ground information, irregularities, etc. All information is used to decide the level of risk medium or high.

In this way, the earthquake performances of buildings can be determined in a short time with the AURAP rapid scanning method and the necessary steps can be taken by the relevant authorities before the earthquake.

In the AURAP method, risk levels are determined as low, medium and high risk. If the building result score (BSP) is equal to or below 50 points, it is considered high risk, if it is between 50 and 150 points, it is considered medium risk, and if it is equal to or above 150 points, it is considered low risk (Figure 2).
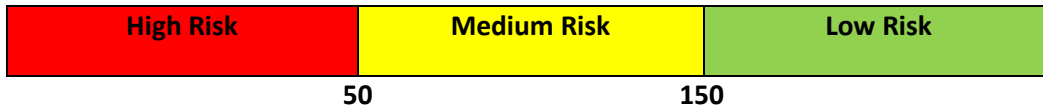
Building Result Score (BRS) is estimated from Relative Building Score (RBS) which is multiplied by the Structural Safety Factor (SSS) and the Continuous Frame Score (CFS) (Equality 1).

$$BRS=RBS \times SSS \times CFS \tag{1}$$

In the relative building score (GBP) calculation, the building is first given a total of 100 points. This score is multiplied by the Penalty Coefficients (PC) greater than zero and less than In the Relative Building Score (RBS) calculation, the building is first given a total of 100 points. This score is multiplied by the Penalty Coefficients (PC) greater than zero and less than one defined for each of the irregularities and defects in the building such as short column, corner column problem, mezzanine floor, strong beam, weak column, etc. given in the Turkish Earthquake Code 1997 and the Relative Building Score is determined (Equation 2).

$$RBS = 100x \prod_{i=1}^{N} PCi \tag{2}$$

Structural Safety Factor (SSF) is found by the ratio of the shear force carrying capacity (Vc) of the critical floor to the base shear force calculated according to the equivalent earthquake load (Vb) method (Regulation on Buildings to be Built in Earthquake Zones, 2007) (Equality 3).

$$SSF=Vc/Vb \tag{3}$$

Continuous Frame Score (CFS) is calculated by dividing the number of continuous frames on the critical floor of the examined building by the number of Continuous Frames Rate (CFR) appropriate according to the plan of the floor where the floor should be located. According to the obtained (CFR), the coefficient of (CFS) is found (Table 1).

Table 1. Coefficient values of Continuous Framework Score (CFS) according to Continuous Framework Rate (CFR)

CFS = 0,25	(CFR ≤ 0,25)
CFS = CFR	(0,25 < CFR < 0,50)
CFS = 1	(CFR ≥ 0,50)

As a result, the Building Result Score (BRS) can be calculated as an estimate by substituting the data in the above-mentioned equations in the light of the information collected as a result of on-site inspection [8].

IV. THE RESEARCH FINDINGS AND DISCUSSION

5-storey (basement+4) reinforced concrete building (Figure 3) located in Burhaniye Neighborhood of the center of Düzce was examined by AURAP method and its earthquake risk performance was determined. The building was constructed in 1979 and it was determined on site that only the basement and ground floor were retrofitted in 2001 after November 12, 1999. However, the retrofitting project of the building could not be found. A detailed retrofitting project is recommended.

Figure 3. View of the examined building from the road front

When the basement of the building was examined, it was seen that some of the columns were shelled and corroded reinforcements were revealed. It was observed that there was no tightening in the column, and the stirrup hooks wrapped the longitudinal reinforcement by turning 90 degrees. Additionally, it is considered that aggregate gradation in concrete is not appropriate (Figure 4).

Figure 4. Crust loss in the column and corrosion in the reinforcement

The ground floor of the building has a seating area of 13.30 m x 19.00 m. The foundation type is continuous foundation according to the project examined, and the soil it has is Z4 soil class according to the 2007 Earthquake regulation. No heavy protrusions or irregularities were detected in the building. The ground floor is used as a workplace and its height is 3.40 m, the other floors are 2.90 m. In the

readings made with the Schmidt hammer, the concrete compressive strength was found to be around 14 MPa. In the examination of the columns using hand scanning x-ray, it was observed that the stirrups were not tightened.
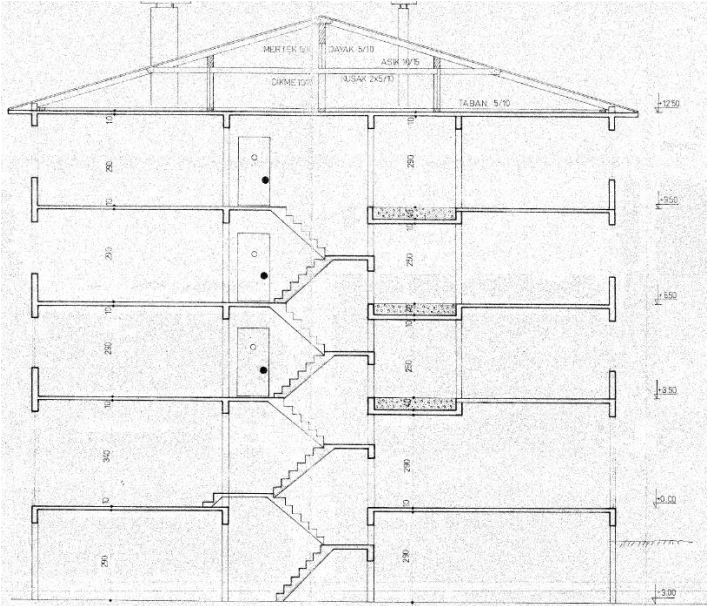
Figure 5. 5-storey building section

The building section taken from the archive file of the examined building is given in Figure 5. When the building section is examined, the ground floor is 3.40 m high and the other floors, including the basement, are 2.90 m high. Leaving the ground floor higher is planned as a workplace. The floors are beamed floors and low floors are used in wet areas. Low flooring will have a negative impact on load transfer during an earthquake, thus creating a defect in the building. The roof was made as a wooden hipped roof.
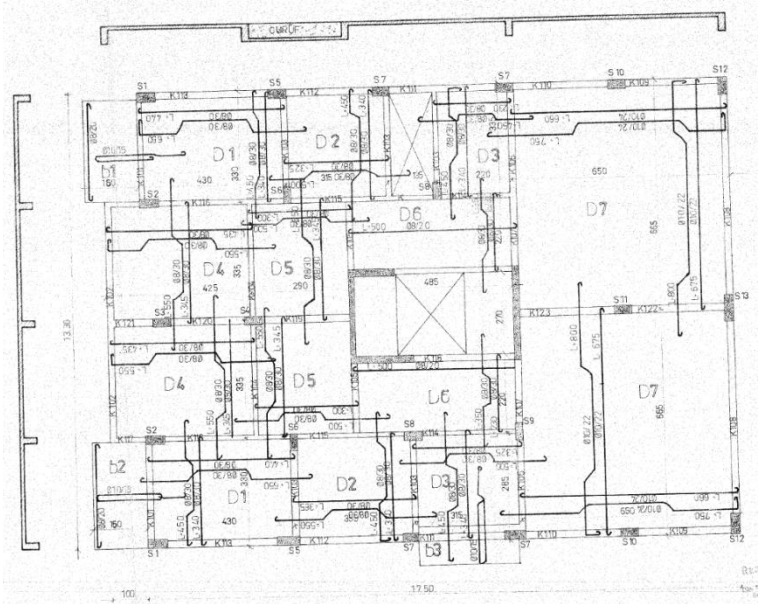
Figure 6. Formwork plan of the building under review

Figure 6 shows the formwork plan taken from the archive file of the building. When the formwork plan is examined, it is seen that flat and pleated irons are used in both directions in the slabs, and the tucked

irons pass to the other slab. It is evaluated that the diameter and distribution of the reinforcement is done regularly.

The building inspection form used in the AURAP method was filled out by obtaining the necessary information from both the outside and the inside of the building. The ground floor, which was selected as the critical floor, was surveyed and compared with the projects in the archive. The possible risk score of the building was found by taking general information about the structure, carrier system features, material information, irregularities, defects and ground information. Building Result Score (BRS); As a result of the multiplication of Relative Building Score (RBS), Structural Safety Factor (SSF) and Continuous Frame Score (CFS), the Building Result Score (BRS) was found to be 68. 68 points correspond to the medium risk level on the risk level scale (Figure 7).
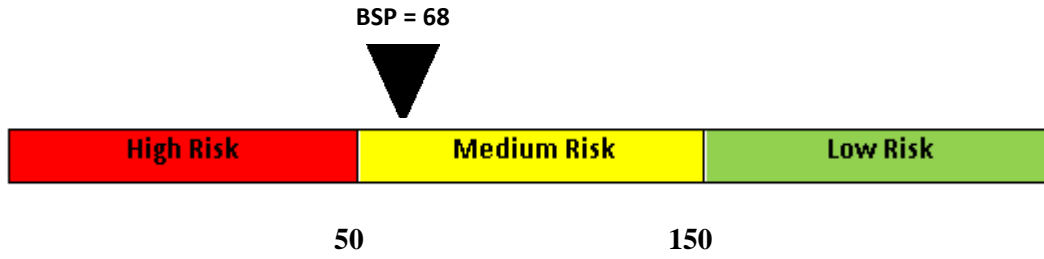
Figure 7. Medium risk level determined according to Building Result Score (BSP)

In the AURAP method, if a building is found to be at medium risk level, it is recommended that "medium risk level buildings should be examined with a more detailed seismic performance evaluation method, although not as urgently as high risk buildings."

IV. CONCLUSION

Düzce province experienced pass earthquake activities caused by the North Anatolian Fault line, may also be affected by earthquakes that may occur in nearby fault regions around the provinces such as Istanbul and Bolu. Therefore, it is important to determine the earthquake risk levels in the city as soon as possible, especially by examining the buildings built in 1999 and before. The fact that Duzce central settlements are located on alluvial ground may also increase the risk of damage to buildings in an earthquake. At the same time, the city's location in the middle between Ankara and Istanbul causes the population growth increasing every year. Increasing population density may also increase the level of vulnerability in possible disasters.

In this study, a 5-storey reinforced concrete building was chosen in the Burhaniye neighborhood, which is located in the center where buildings dating back to 1999 and before is concentrated. In the evaluation made with the AURAP method, the building was estimated to be at medium risk level. It is recommended that this building be examined in more detail and perform a performance analysis according to the Turkish Building Earthquake Regulation (TBDY 2018).

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Research Article

Enhancing DC Motor Speed Control Performance Using Heuristic Optimization and Comparative Analysis of Control Methods

ⓘD Beytullah BOZALİ [a,*], ⓘD Nasser Bandar Nasser AL-SAREMİ [a], ⓘD Ali ÖZTÜRK [b]

[a] Department of Mechatronics, Faculty of Engineering, Düzce University, Düzce, TURKEY
[b] Department of Electric and Electronic Engineering, Faculty of Engineering, Düzce University, Düzce, TURKEY
* Corresponding author's e-mail address: beytullahbozali@duzce.edu.tr
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ABSTRACT

Direct Current (DC) motors are an important component that converts electrical energy into mechanical energy, used in a wide range of applications from industrial applications to home appliances. DC motor speed control has an important role in industrial processes to increase efficiency, realize precise movements and optimize energy consumption. In this study, various control methods and parameter optimization techniques for speed control of DC motors, which have a wide range of applications, have been systematically analyzed. The aim of the study is to develop an effective control strategy to ensure that DC motors reach the determined target speed by monitoring them in real time at different speeds and to minimize fluctuations caused by variable loads or external factors. In our study, Proportional-Integral-Derivative (PID), Proportional-Integral (PI), and Proportional-Derivative (PD) control methods were used. The parameters of these controllers were tuned using Matlab Tuned, The Cheetah Optimizer (CO) Algorithm, a new generation heuristic optimization method, and Particle Swarm Optimization (PSO), a widely accepted optimization method. The performances of the controllers were determined using criteria such as Integral of Absolute Error (IAE), Integral Squared Error (ISE), and Integral of Time multiplied by Absolute Error (ITAE). According to the results obtained, it was found that the PID, PI and PD control parameters determined using the CO Algorithm performed better than the controllers created using Matlab Tuned and PSO methods. New optimization methods, such as the CO Algorithm, have been found to have significant potential to improve the performance of control systems. Thanks to this study, it offers a practical approach for optimizing DC motor speed control in industrial processes. As a result, it has been found that the control parameters determined by the CO Algorithm have significant potential in improving the performance of DC motor speed control and control systems compared to other optimization methods.

Keywords: CO Algorithm, PSO, PID, PI, PD, DC Motor Control

Sezgisel Optimizasyon Kullanarak DC Motor Hız Kontrol Performansının Artırılması ve Kontrol Yöntemlerinin Karşılaştırmalı Analizi

ÖZ

Doğru Akım (DA) motorları, endüstriyel uygulamalardan ev aletlerine kadar geniş bir yelpazede kullanılan, elektrik enerjisini mekanik enerjiye dönüştüren önemli bir bileşendir. DA motor hız kontrolü, endüstriyel süreçlerde verimliliği artırmak, hassas hareketleri gerçekleştirmek ve enerji tüketimini optimize etmek için önemli bir role sahiptir. Bu çalışmada, yaygın kullanım alanlarına sahip DA motorlarının hız kontrolü için çeşitli kontrol yöntemleri ve parametre optimizasyon teknikleri sistematik bir şekilde analiz edilmiştir. Çalışmanın

amacı DA motorların farklı hızlarda gerçek zamanlı olarak izleyerek belirlenen hedef hıza ulaşmasını sağlamak ve değişken yükler veya dış etkenlerden kaynaklanan dalgalanmaları minimize etmek için etkili bir kontrol stratejisi geliştirmektir. Çalışmamızda Oransal-İntegral-Türev (PID), Oransal-İntegral (PI), ve Oransal- Türev (PD) kontrol yöntemleri kullanılmıştır. Bu kontrolörlerin parametreleri, Matlab Tuned, yeni nesil sezgisel optimizasyon yöntemi olan Çita Optimizasyon (CO) Algoritması ve geniş kabul görmüş optimizasyon yöntemi olan Parçacık Sürü Optimizasyonu (PSO) kullanılarak ayarlanmıştır. Kontrolörlerin performanslarını, Hatanın Mutlak Değerinin İntegrali (IAE), Hata Karenin İntegrali (ISE) ve Zaman Mutlak Hatanın İntegrali (ITAE) gibi kriterler kullanılarak belirlenmiştir. Elde edilen sonuçlar göre, CO Algoritması kullanılarak belirlenen PID, PI ve PD kontrol parametrelerinin, Matlab Tuned ve PSO yöntemleri kullanılarak oluşturulan kontrolörlerden daha iyi performans gösterdiği bulunmuştur. CO Algoritması gibi yeni optimizasyon yöntemlerinin, kontrol sistemlerinin performansını artırmak için önemli bir potansiyel taşıdığını bulunmuştur. Bu çalışma sayesinde, endüstriyel süreçlerde DA motor hız kontrolünün optimize edilmesi için pratik bir yaklaşım sunmaktadır. Sonuç olarak, CO Algoritmasıyla belirlenen kontrol parametrelerinin, diğer optimizasyon yöntemlerine göre DA motor hız kontrolünde ve kontrol sistemlerinin performansını iyileştirmede önemli potansiyele sahip olduğu bulunmuştur.

Anahtar Kelimeler: CO Algoritması, PSO, PID, PI, PD, DA Motor Kontrol

I. INTRODUCTION

DC motors are important components that convert electrical energy into mechanical energy and are widely used in a wide range of applications, from industrial applications to household appliances. Speed control of these motors has a critical role in increasing efficiency in industrial processes, performing precise movements and optimizing energy consumption. The main reasons for choosing DC motors are their affordable price, ease of use, flexibility, and durability [1]. Today, many daily used systems include DC motors that convert electrical energy into mechanical energy. Therefore, the performance increase achieved in DC motor control contributes to many innovative application areas such as electric vehicles. Scientific developments in this field influence strategies to increase the performance and efficiency of electric vehicles, providing more sustainable and environmentally friendly transportation solutions. These developments are concentrated in areas such as energy management, data analytics and control systems, making the use of DC motors more efficient and reliable [2], [3]. DC motors are a frequently preferred motor type in a wide range of applications [4], [5]. When the literature is examined, PID controller is used as a DC motor speed control technique. As a result of the literature analysis, it is observed that the PID controller is widely used in DC motor speed control. In addition, it has been determined that brushed and brushless DC motors are frequently preferred in this control technique. For Brushless DC (BLDC) motors to operate stably under various speed and load conditions, advanced performance and robust speed control are required. For this purpose, they preferred adaptive Fractional Order PID (FOPID) controllers to increase the performance of BLDC motors by using the Artificial Bee Colony (ABC) algorithm [6]. The design, implementation and analysis of integer order (IO), Fractional Order (FO) and Artificial Bee Colony (ABC) based PID/FOPID controller for speed regulation in DC motor drive are discussed in detail [7]. DC motors are frequently preferred in controlling their speed due to their simplicity and precision. [8] in their study, motor speed was controlled by using a Fractional Order PID (FOPID) controller instead of the traditional PID controller. Three different DC motor configurations, permanent magnet, externally energized field motor, shunt and series winding motors, were examined. The input voltages required to reach different constant operating speeds of the DC motor have been calculated [9]. They simulated and implemented a speed control strategy to evaluate their operating performance for universal motors in a fully DC electric framework [10]. They used a modified Kalman filter estimator for mechanical sensor-less rotational speed estimation of a brushed DC motor [11]. In their study, two different controllers were proposed for speed control of brushless DC motors: fuzzy online gain adjustable PID controller and fuzzy PID controlled online ANFIS controllers [12]. For a fast and effective speed control, they proposed a hybrid technique in DC motors [13]. In another study, an adaptive fuzzy logic-based speed controller developed for a DC motor is presented. This controller is implemented on field programmable gate array (FPGA) hardware [14]. In another study, experiments

were conducted using PI and PID controllers for real-time speed control of the DC motor and the speed (rpm) results were compared. In experiments carried out under the same conditions, controller performance was evaluated based on different criteria such as ISE, ITSE, IAE and ITAE [15]. Studies have been conducted using different algorithms for DC motor control [13], [16]-[18].

The main contribution of this study to the literature is by comprehensively comparing the performances of different control methods and optimization techniques used in DC motor speed control, providing important information for the development of more efficient and effective control strategies in industrial applications. Additionally, by demonstrating the potential of next-generation optimization methods, it directs future research in this field and can help motors determine the most appropriate control methods in DC motor systems facing variable loads and external factors. In this way, valuable contributions are made to increasing energy efficiency in industrial processes, ensuring precise motion control and optimizing overall system performance. Highlighting the potential of the Cheetah Optimization Algorithm to improve the performance of control systems indicates that this algorithm can be used in a wider range of applications and may open new research areas for future studies.

II. MATERIAL AND METHOD

In this section, a DC motor used in our study is described. Information is presented about PSO and CO, which are heuristic optimization methods used to determine the coefficients of the PID controller used for speed control of the DC motor. Additionally, different criteria used to evaluate the performance of controllers are described.

A. DC MOTOR

DC motors are basic electromechanical devices that convert electrical energy into mechanical energy and are widely used in systems requiring speed and torque control in a wide range of applications. The operating characteristics of DC motors provide significant advantages in many industries and are therefore preferred due to their advantages such as high performance, easy control, and ability to adjust their speed over a wide range. With the development and widespread use of electrical home appliances, DC motors have also been used in more powerful, safe, and cost-effective control areas. Control of systems is an interdisciplinary subject and is included in all motor branches [19]. DC motors are widely used in various applications. In industrial fields, they are frequently preferred as main drive devices in robotic arms, vehicles, machine tools and many other fields. These motors stand out for their flexibility and powerful performance to suit a wide range of applications [17], [20]-[22].

A. 1. Finding DC Motor Parameters

Just as the relationship between input and output of physical systems can be expressed in the form of a transfer function, DC motors can also be modeled in a transfer function structure using four equations. They can also be modeled using state space equations, which give the relationship between state variables, derivatives of state variables, inputs, and outputs [23]. The electrical equivalent model of the DC motor used in our study is given in Figure 1 [15].
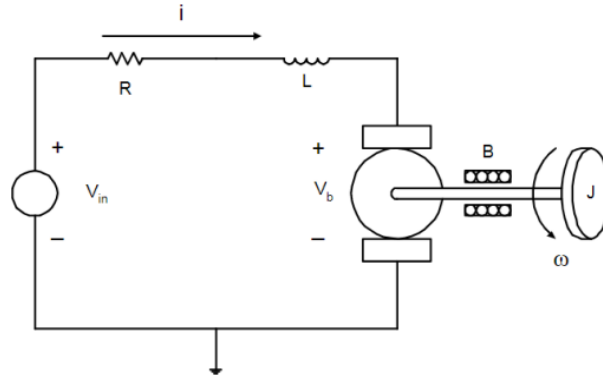
Figure 1. *Electrical model of DC motor [15].*

$$V_{in} = Ri + L\frac{di}{dt} + V_b - Bw \qquad (1)$$

The electrical equivalent model of the DC motor is given in Equation 1. Here: V_{in} represents motor supply voltage (volt, V), R armature resistance of the motor (ohm, Ω), L Inductance of the motor (henry, H), i Current of the motor (ampere, A), di/dt change of current over time (ampere/second, A/s), V_b back emf voltage (volt, V), B damping constant (N.m/A), w angular speed of the motor (radians/second, rad/s), J moment of inertia (kg.m^2) [15], [19].

The relationship between the Electromotive Force Constant (Ke) and Torque Constant (Kt) of the DC motor is expressed using equation 2.

$$\tau(t) = K_t i(t) \qquad (2)$$

Equation 2 expresses the relationship between DC motor current i and torque τ on the motor shaft. Here: τ represents torque of the motor (newton-meter, Nm), K_t motor torque constant (newton-meter/ampere, Nm/A), i motor current (ampere, A).

The armature current and the strength of the magnetic field are proportional to the torque produced by the DC motor. This ratio represents the armature current multiplied by a constant coefficient. These equations are given in equation 3.

$$T = K_t i, \qquad 0.06539664 Nm = K_t * 6.5A, \qquad K_t = 0.01 Nm / A \qquad (3)$$

In this study, the moment of inertia (J) value of the DC motor used in the simulation environment is accepted as $J = 0.01 (kg - m^2)$.

$$T_{m(t)} = J.\frac{d\omega}{dt} t\, B.\omega(t)\, t\, T_{L(t)} \qquad (4)$$

Equation 4 can be used to find the friction coefficient (B) of the DC motor. Equation 4 implies that the differentiated term is zero when the speed is constant. In this case, Equation 5 is obtained. To determine the coefficient of friction, this equation is usually expressed by the following formula:

$$\frac{d\omega(t)}{dt} = 0 \text{ ise } T_{m(t)} = B.\omega(t)\, t\, T_{L(t)} \qquad (5)$$

Shaft torque $T_{m(t)}$ and angular velocity $\omega(t)$ values were measured by starting the motor under a certain load torque value $T_{L(t)}$. A graph is drawn using these measurements. The graph was analyzed by curve fitting and the friction coefficient (*B)* and load moment function $T_{L(t)}$ values were determined. The

friction coefficient of the DC motor used in this study, measured under laboratory conditions by Pololu company, was taken as $B = 0.1$ (Nm/rad/s) [15], [19], [24].

Table 1. DC motor parameters used in our study.

	Parameter	Estimated Value	Unite
J	Moment of Inertia	0.01	$kg - m^2$
B	Viscous Friction	0.1	$\dfrac{Nm}{rad/s}$
K_e	Back Emf Constant	0.01	$\dfrac{V}{rad/s}$
K_t	Torque Constant	0.01	Nm/A
R	Resistance	2.9	Ω
L	Inductance	291e-3	H

In our study, the parameters of the DC motor that we modeled in Matlab simulation are given in Table 1. Calculations made with the parameters of the DC motor have been used to estimate the shaft torque and angular speed of the motor under certain load torque values. These parameters are important for understanding and controlling the dynamic behavior of the motor.

A. 2. Measurement of DC Motor Speed (RPM) in Matlab Simulink Environment

The system model is based on the principle of collecting the torques acting on the inertia of the rotor and integrating the acceleration to gain speed. For this purpose, Kirchhoff's laws have been applied to the armature circuit. First, the integrals of the rotational acceleration and the rate of change of the armature current specified in Equations (6) and (7) are modeled [15], [25].
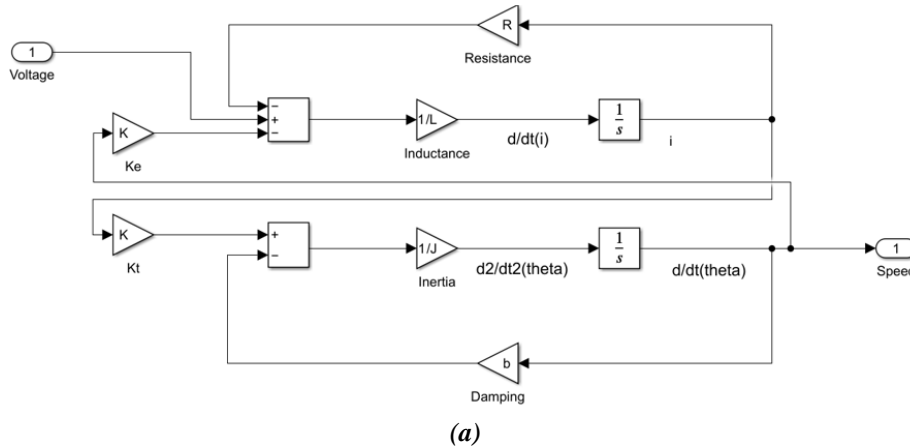
$$\int \frac{d^2\theta}{dt^2} dt = \frac{d\theta}{dt} \tag{6}$$

$$\int \frac{di}{dt} dt = i \tag{7}$$

In our study, after using Equations (6) and (7), the formulas in equations (8) and (9) were derived using Newton's and Kirchhoff's laws and applied to the DC motor system [15], [25].

$$J \frac{d^2\theta}{dt^2} = T - b\frac{d\theta}{dt} \quad , \quad \frac{d^2\theta}{dt^2} = \frac{1}{J}(K_t i - b\frac{d\theta}{dt}) \tag{8}$$

$$L \frac{di}{dt} = -Ri + V - e \quad , \quad \frac{di}{dt} = \frac{1}{L}\left(-Ri + V - K_e \frac{d\theta}{dt}\right) \tag{9}$$
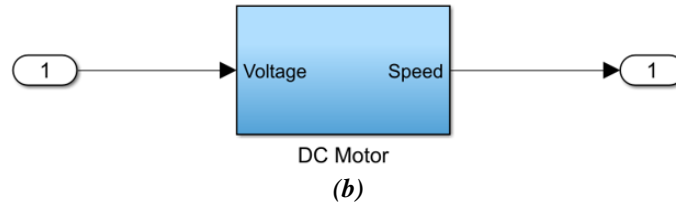

(a)

(b)

Figure 2. (a), (b)*Matlab Simulink DC motor models used in our study.*

Within the scope of the study, a Matlab Simulink model was created as shown in Figure 2. Then, input and output definitions were made for the system. Voltage was determined as the input signal and speed was determined as the output signal. The Simulink model was run by entering the DC motor parameters into the Matlab command line as given in Table 1.

A. 3. DC Motor PID Control

In the study, PID controller was used to control the DC motor speed. PID controller is widely used to improve dynamic response and reduce or eliminate steady-state error. The derivative controller adds a finite zero to the open-loop plant transfer function, improving the transient response and stabilizing the system behavior. The integral controller, on the other hand, increases the system type by adding a pole to the origin and minimizes the steady-state error caused by the step function [26]. To determine the coefficients of the PID controller, a new and effective heuristic method (CO) method was used along with a traditional method (PSO). The structure of the PID controller is given in Figure 3.
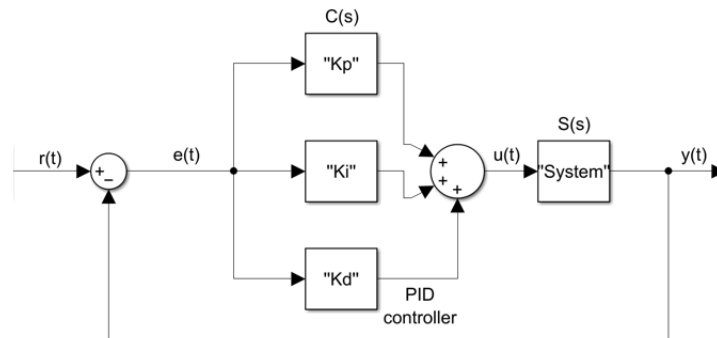

Figure 3. *Structure of PID controller.*

The transfer functions of the PID controller obtained using Figure 3 are obtained as in equations (10) and (11) [15].

$$C(s) = \left(K_P + \frac{K_I}{s} + K_D.S\right)E(s) \tag{10}$$

$$C(s) = \frac{U(s)}{E(s)} = K_P + \frac{K_I}{s} + K_D.s \tag{11}$$

Determining the gains Kp, Ki, and Kd is critical as these coefficients ensure proper control of the system. However, determining these coefficients is quite difficult and it is often not possible to reach a clear conclusion. When selecting the Kp, Ki and Kd gains for the best control performance, performance criteria such as minimum error, minimum overshoot, quick elimination of the error and ensuring system stability should be taken into consideration. These criteria are important to ensure optimal control. In Figure 3, a Matlab simulation model is created using the DC motor parameters in the System section. Then, considering the PID coefficients, the transfer function of the entire system is obtained as in equation (12).

$$T(s) = \frac{Y(s)}{R(s)} = \frac{C(s)*S(s)}{1+C(s)*S(s)} \qquad (12)$$

Figure 4 presents the Simulink model designed for measurement of DC motor speed in the MATLAB Simulink environment.
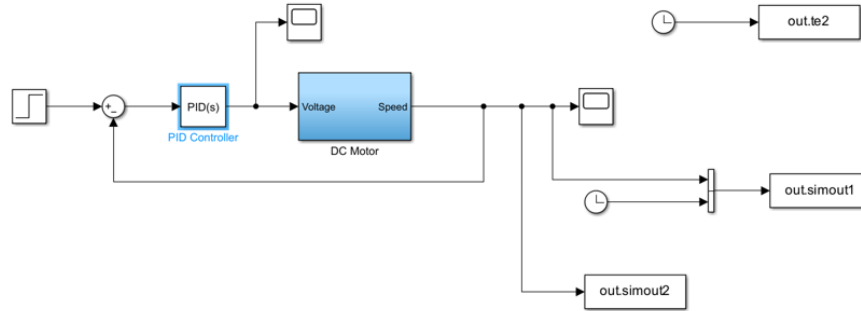

Figure 4. *Simulink model designed for measuring DC motor speed.*

B. PERFORMANCE INDICES OF CONTROLLERS

DC motor speed control represents an important area for analyzing the efficiency of controllers, focusing on performance indices used to evaluate the effectiveness of control systems. Among the available quantitative measurements of system performance, time integral performance indices occupy an important place among the performance indices commonly used to evaluate the effectiveness of designed control systems. The most used ones are ITAE (Integrated Time Absolute Error), IAE (Integral Absolute Error), ITSE (Integrated Time Squared Error) and ISE (Integral Squared Error) [7], [27]. In the literature, various studies have carried out different analyzes based on commonly used performance indices to evaluate the effectiveness of designed control systems [7], [8], [15], [28], [29]. In our study on DC motor speed control, certain criteria were used to evaluate the performance of the controllers. These criteria are criteria such as ISE, IAE and ITAE. These criteria are expressed by the formulas below [6], [8], [15], [28].

$$ISE = \int_0^\infty e(t)^2 \, dt \qquad (13)$$

In Equation 13, the *e(t)* function expresses the error function between the output and the desired reference in the control system, while *t* represents the evaluation time. A smaller *ISE* indicates that the control system performs better because it indicates that the difference between actual and desired responses is smaller.

$$IAE = \int_0^\infty |e(t)| \, dt \qquad (14)$$

The IAE formula given in Equation 14 is a criterion used to evaluate the performance of a control system. This criterion expresses the time integral of the absolute value difference between the actual and desired responses of the control system. A smaller IAE indicates that the control system performs better because it indicates that the absolute value difference between the actual and desired responses is less.

$$ITAE = \int_0^\infty t \, |e(t)| \, dt \qquad (15)$$

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The ITAE formula given in Equation 15 is a criterion used to evaluate the performance of a control system. The smaller the ITAE, the better the control system performs because it indicates that the integral of the absolute value difference between the actual and desired responses multiplied by time is lower. This indicates that the control system follows the desired response more quickly and precisely.

C. METHODS USED IN THE STUDY

In our study, PSO and CO methods are used to determine the parameters of PID controllers. Additionally, the performance of the controllers has been compared using specific benchmarks such as ISE, IAE and ITAE, which are different benchmarks. The results are analyzed by comparing the speed values (rpm) obtained using PSO, CO and PID controllers available in the literature. This study examined the effect of optimized parameters of PID controllers on the performance criteria obtained using different optimization methods.

C. 1. Particle Swarm Optimization

PSO is an optimization algorithm that mimics natural behavior and is effective in optimizing complex systems and increasing their performance. This algorithm can be used in complex systems such as DC motor speed control to increase the stability of control systems, enable them to follow the desired speed profiles more precisely, and optimize energy efficiency. Many meta-heuristic optimization concepts have proven their effectiveness in solving complex optimization problems, such as PSO, Ant Colony Algorithm, CO, and others. In particular, popular algorithms such as PSO developed by Kennedy and Eberhart (1995) are used in a wide range of areas, and they emphasize that successful results have been achieved in various problems [30], [31]. PSO is an optimization algorithm where particles that make up a population come together to form a swarm. Each particle is assigned a random initial position and velocity and updates its position by converging to the best positioned individual in the swarm. In this way, each particle in the swarm moves in a converging optimization process towards the best solution [32]. In the literature, studies have been conducted on DC motor control using the PSO method [13], [16], [17], [31]. In PSO, the speed of each particle is calculated based on sigmoid function values and the positions of the particles are updated according to these velocities [33]. The speed update is expressed by a specific mathematical operation Equation 16. This process allows the particles to move towards their best positions.

$$v_{ij}^{(t+1)} = wv_{ij}^{(t)} + c_1 r_1 \left(pbest_{ij}^{(t)} - x_{ij}^{(t)} \right) + c_2 r_2 \left(gbest^{(t)} - x_{ij}^{(t)} \right) \qquad (16)$$

c_1 and c_2, are acceleration constants, and r_1, r_2 are numbers that introduce randomness into particle motion. The w value in Equation 16 used in the study refers to the inertia weight, and this value must be determined at an appropriate level to increase the performance of the PSO at various stages [33]-[35]. The formula used to calculate the w value in Equation 17 is given below:

$$w = (w_1 - w_2) \times \frac{(t_{max} - t)}{t_{max}} + w_2 \qquad (17)$$

Each particle uses a mechanism based on Equation 18 to continuously update their positions.

$$x_{ij}^{(t+1)} = x_{ij}^{(t)} + v_{ij}^{(t+1)} \qquad (18)$$

Velocity vectors equation 18 are calculated considering the effects of individual particles and other particles in their environment. This equation expresses changes in speed of particles based on factors such as their positions, speeds, and interactions [35]. Equation 19 defines a velocity update mechanism used in PSO implementation. This equation includes the Sigmoid function to update the decided

position vector using the velocity vector of each particle. This update mechanism allows particles to move based on their experience.

$$x_{ij}^{t+1} = \begin{cases} 1 & \text{if} \quad r_{ij} < S(v_{ij}) \\ 0 & \text{in other cases} \end{cases} \tag{19}$$

Equation 20 gives a modified formula for the speed update mechanism.

$$v_i^{(k+1)} = X\left[v_i^{(k)} + c_1 rand_1 * \left(pbest_i - s_i^{(k)} \right) + c_2 rand_2 * \left(gbest - s_i^{(k)} \right) \right] \tag{20}$$

In Equation 21, X represents the contraction factor.

$$X = \frac{2}{\left| 2 - \varphi - \sqrt{\varphi^2 - 4\varphi} \right|} \tag{21}$$

PSO is an optimization algorithm that attracts attention with its simple applicability and ease of use. It is widely used in solving various motor problems [36]. PSO is distinctly driven by social response rather than biological evolution like other evolutionary algorithms. The flow chart of the algorithm is designed with a specific order and orientation [37]. The flowchart shown in Figure 5 helps us understand the problem-solving process of PSO step by step and from a scientific perspective [38].
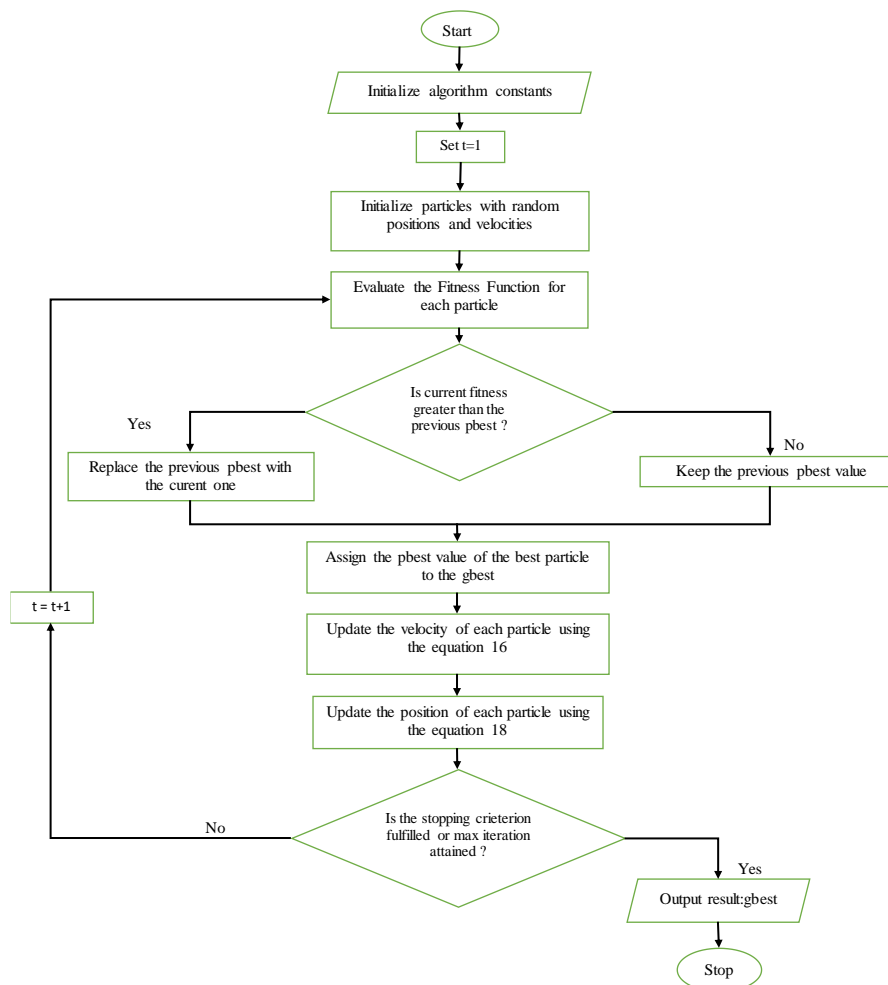

Figure 5. PSO algorithm flow chart.

C. 2. The Cheetah Optimizer Algorithm

CO Algorithm, as an optimization algorithm used in DC motor speed control, is effective in optimizing control parameters. This algorithm can improve the performance of the speed control system, allowing it to better follow the desired speed profiles. Additionally, by increasing energy efficiency, the motor can operate more efficiently. The PSO suffers from biased optimism in regulating its speed and path, which may lead to less accurate results. The algorithm may also suffer from slow convergence in the forward search phase and may become trapped in locally optimal solutions due to its poor local search ability [16], [39], [40]. To overcome these drawbacks and provide better accuracy, a new heuristic method, CO algorithm, was used in our study. CO Algorithm was developed by Akbari et al. [41] as an effective optimization algorithm to mimic the hunting strategies of cheetahs. CO Algorithm uses three main strategies during the hunting process: searching for prey, sitting, and waiting, and attacking. To avoid getting stuck at local optimum points, the algorithm defines leaving the hunt and returning home. Different arrangements of cheetah populations are given in Figure 6 [41], [42].

Figure 6. CO algorithm different editing representation.

The CO Algorithm stands out as a unique meta-heuristic algorithm, taking direct inspiration from the natural hunting behavior of cheetahs. Below is the mathematical modeling of the CO Algorithm [41]:

Searching Strategy

To reach prey, cheetahs observe the environment while sitting or standing. To model this strategy mathematically, the cheetah's current position is defined by the vector $X^t_{i,j}$. The cheetah's position in the next iteration or random search by arbitrary step size for the search is given in Equation 22 [41].

$$X_{i,j}^{t+1} = X_{i,j}^t + \hat{r}_{i,j}^{-1}.\propto_{i,j}^t \tag{22}$$

Here, $X_{i,j}^{t+1}$ and $X_{i,j}^t$ represent the current and next iteration positions of the cheetah at coordinates i and j, where t denotes the current hunting time, T is the maximum hunting time, $\hat{r}_{i,j}^{-1}$ is a parameter that randomizes the search direction, and $\propto_{i,j}^t$ specifies the step length for hunting by the cheetahs. Since the process of cheetahs searching for prey in nature is generally slow, the step length $\propto_{i,j}^t$ can be adjusted to 0.001x t/T, with the value greater than zero [41].

Sitting-and-Waiting Strategy

Cheetahs lie in wait while searching for their prey. This situation is given mathematically in the algorithm in Equation 23.

$$X_{i,j}^{t+1} = X_{i,j}^t \qquad (23)$$

Here, $X_{i,j}^{t+1}$ and $X_{i,j}^t$ represent the updated position of j at each step i. This strategy ensures that not every cheetah changes its location at the same time in the search for a solution and can prevent premature convergence [41].

Attacking Strategy

Cheetahs use their speed and flexibility when they decide to attack prey. As soon as the potential prey notices the cheetah, it starts to run away, and the cheetah changes its position to catch the prey. This situation is given mathematically in the algorithm in Equation 24.

$$X_{i,j}^{t+1} = X_{B,j}^t + \hat{r}_{i,j}^{-1} . B_{i,j}^t \qquad (24)$$

Here, $X_{B,j}^{t+1}$ defines the current position of prey, $\hat{r}_{i,j}^{-1}$ and $\beta_{i,j}^t$ denotes the displacement made by the predator towards the prey in a swift manner. In each iteration, the position of the i-th predator is computed relative to the current position of the prey. The factor $\beta_{i,j}^t$ reflects the interaction between the leader and the predators. Thanks to this factor, $X_{k,j}^t$ ($k \neq i$) calculates the positions of the predators in the solution. The term $\hat{r}_{i,j}^{-1}$, which is the return factor, is randomly provided by the equation $|r_{i,j}|^{\exp(\frac{r_{i,j}}{2})} \sin(2\pi r_{i,j})$ to fit the normal distribution. The interaction factor is defined by $\beta_{i,j}^t$ in Equation (25) and is expressed by the following formula [41], [42].

$$\beta_{i,j}^t = X_{k,j}^t - X_{i,j}^t \qquad (25)$$

Strategy Selection Mechanism

During the hunting process, initially a random strategy is applied, but as the cheetah's energy level decreases, the search strategy becomes more preferred over time. In certain cases, despite the initial steps leaning towards a search strategy to achieve better solutions based on high t values, an attack strategy might be preferred. If r_2 and r_3 are uniformly random numbers chosen from the interval [0, 1], the decision between employing the sit-and-wait strategy or either the searching or attacking strategies hinges on the condition $r_2 \geq r_3$. If r_2 is greater than or equal to r_3, the sit-and-wait strategy is adopted; otherwise, either the searching or attacking strategy is selected based on a random value derived from Equation 26, using another uniformly random number r_1. By adjusting r_3, the frequency of switching between the sit-and-wait strategy and the other two strategies can be controlled [41], [42].

$$H = e^{2(1-t/T)}(2r_1 - 1) \qquad (26)$$

This scenario emphasizes the cheetah's tendency to adopt a sit-and-wait approach, reducing rapid changes in decision-making variables. Consequently, this strategy boosts the cheetah's success rate in hunting, akin to finding optimal solutions. As the parameter t in function H increases, the likelihood of the cheetah choosing an attacking strategy diminishes due to energy constraints. Nevertheless, there remains a non-zero probability of attacking, mimicking the cheetah's natural behavior. Specifically, when $H \geq r_4$, the cheetah opts for attack mode; otherwise, it switches to search mode. The value of r_4, ranging from 0 to 3, plays a crucial role. Higher values of r_4 accentuate exploitation, while lower values promote exploration [41].

C. 3. Solution of DC Motor Speed Control Problem with CO Algorithm

CO Algorithm is a natural optimization method, and a meta-heuristic algorithm used to solve various optimization problems. PID controllers are a control mechanism widely used in control systems. The CO Algorithm has been used to optimize the parameters of PID controllers.

First, during the definition of the problem, it is aimed to optimize the PID controller parameters (Kp, Ki, Kd) for the DC motor speed control system. The purpose of this optimization is to ensure that the system responds quickly, overshoot is minimized, it reaches steady state quickly and oscillations are reduced. The PID equation is created using the error signal and these three parameters to calculate the control signal.

During the parameter setting phase of the CO Algorithm, basic parameters such as population size (N) and maximum number of iterations (T) are determined. Additionally, the unique parameters of the algorithm (speed, acceleration, jump factor, etc.) are also adjusted. While creating the initial population, random initial values are determined for the PID parameters. These values represent the starting points of the optimization process.

In the determination of the fitness function, an error function is selected based on time domain criteria. Commonly used error functions include IAE, ISE, and ITAE. These functions are used to evaluate system performance.

During the operation of the CO Algorithm, a movement mechanism is used that simulates the speed, agility and energy optimization that cheetahs show to catch their prey. Everyone (PID parameter set) updates its speed and position depending on its environment. The algorithm is run up to the maximum number of iterations determined and the positions of individuals are optimized in each iteration.

In the best solution selection phase, the PID parameters of the individual with the best fitness value are selected at the end of the iterations. These optimal PID parameters are integrated into the DC motor speed control system. During the evaluation of system performance, the performance of the system after optimization is evaluated in line with the determined criteria and re-optimization is performed if necessary.

The steps of how the CO Algorithm solves the DC motor speed control problem are given.

Step	Description
1. Initial Parameters	Determine cheetah population, search space, and maximum iteration count.
2. Initial Positions	Initialize positions of cheetahs randomly.
3. Fitness Calculation	Calculate fitness values for each cheetah.
4. Search Strategy	Cheetahs update their positions with random step lengths.
5. Waiting Strategy	Cheetahs maintain their positions.
6. Attack Strategy	Cheetahs rapidly change their positions upon spotting prey.
7. Strategy Selection Mechanism	Select strategy randomly with specified values.
8. Iterations	Repeat steps up to the maximum iteration count.
9. Best Solution	Determine the best PID controller gains at the end of maximum iterations.

III. RESULTS

A. MODELING OF DC MOTOR AND COMPARISON OF RESULTS

In this study, DC motor speed control was examined using different control methods, various performance indices and heuristic optimization techniques. PID, PI and PD controllers are used for DC motor speed control. The parameters of these controllers were determined using heuristic optimization methods such as CO and PSO and a non-intuitive method such as MATLAB Tuned. The aim of this study is to determine the most appropriate control method and parameter settings to monitor the desired speed of the DC motor in real time, ensure that it reaches the target speed, and correct fluctuations caused by changing loads or external factors. Criteria such as ISE, IAE and ITAE were used to evaluate the performance of control methods. These criteria made it possible to evaluate how successfully the controllers tracked the desired speed and provided the desired performance. The findings showed how effective each control method and optimization technique were in DC motor speed control and determined which methods provided superior performance under certain conditions. For DC motor speed control, reference speeds of 280 rpm and 560 rpm were used in the Simulink model. Figure 7 shows the Simulink model designed to measure DC motor speed and performance indexes of controllers.
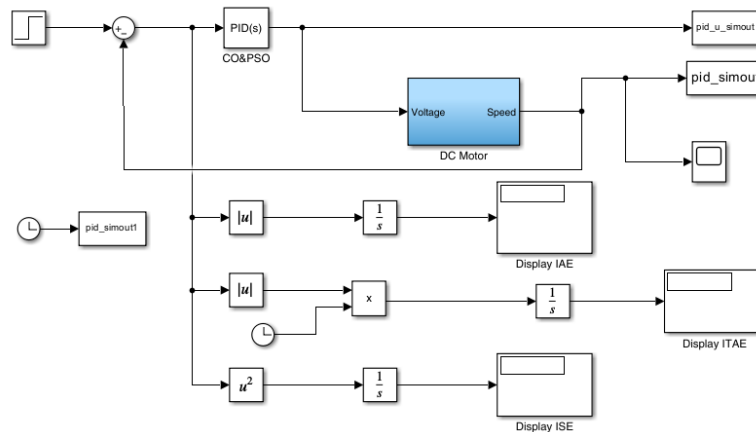
Figure 7. *Simulink model designed for measuring DC motor speed and performance indices of controllers.*

A. 1. Optimization of PID Parameters, ISE, IAE, and ITAE Performance Indices Using Various Algorithms for a DC Motor Operating at 280 RPM

Table 2 compares the PID parameters, time responses and overshoot values of a DC motor operating at 280 rpm using Matlab Tuned, CO and PSO methods. The CO and PSO algorithms provide better performance in terms of overshoot and settling time compared to Matlab Tuned tuning, but the rise and peak times are slightly longer. Algorithm selection can be made depending on which performance criteria are prioritized for the operation of the DC motor.

Table 2. *Table of PID parameters, time responses and overshoot values of the DC motor at 280 rpm.*

| Algorithm | Kp | Ki | Kd | Time Responses | | | Overshoot (%) |
				Rise Time t_r (ms)	Peak Time t_p (s)	Settling Time t_s (s)	
Tuned	101.3383	531.2728	2.0227	87.703	0.183	4.8	9.989
CO	90.7824	528.1342	2.9348	98.771	0.221	3.4	3.646
PSO	86.4183	525.9055	2.9055	103.531	0.234	3.6	3.646

The controller optimized with Table 3 CO Algorithm has the lowest error indexes with 17.86 IAE, 2993 ISE and 1.037 ITAE values. This shows that the CO Algorithm best minimizes errors and improves overall performance. In general, the CO Algorithm exhibits the best performance, reaching the lowest IAE, ISE and ITAE values for the DC motor operating at 280 rpm. The PSO Algorithm also gives better results compared to Matlab Tuned, but it is not as effective as the CO Algorithm. These findings show that the CO Algorithm is more successful than other methods in minimizing errors and improving control performance.

Table 3. *IAE, ISE, and ITAE performance indices at 280 RPM for the DC motor.*

Controller Type	Performance Indices		
	IAE	ISE	ITAE
Tuned	19.12	3133	1.432
CO	17.86	2993	1.037
PSO	18.68	3070	1.188
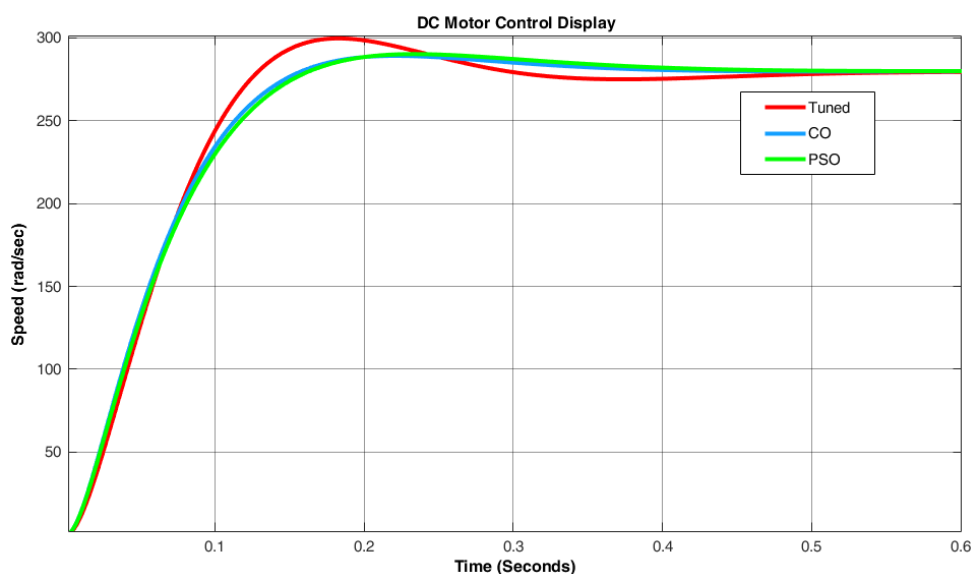
Figure 8. *Control graph of a DC motor running at 280 rpm.*

Figure 8 evaluates the control performance of a DC motor operating at 280 rpm. Matlab Tuned, CO and PSO control method were compared. Determining the most appropriate method for controlling this DC motor operating at 280 rpm depends on the requirements of the application. If faster response is required, the Matlab Tuned method can be preferred; However, if stability and minimum overshoot are more important, the PSO and CO method is more advantageous. For more stable operation of the DC motor, it is more appropriate to use the CO Algorithm with the lowest settling time.

A. 2. Optimization of PID Parameters, ISE, IAE, and ITAE Performance Indices Using Various Algorithms for a DC Motor Operating at 560 RPM

Table 4 compares the PID parameters, time responses and overshoot values of a DC motor operating at 560 rpm using Matlab Tuned, CO and PSO methods. According to Table 4, the CO method exhibits superior performance in terms of overshoot and settling time compared to Matlab Tuned and PSO algorithm. Although the rise and peak times are slightly longer, the significantly lower overshoot and faster settling time make CO preferable for applications where stability and rapid stabilization are critical.

Table 4. *Table of PID parameters, time responses and overshoot values of the DC motor at 560 rpm.*

Algorithm	Kp	Ki	Kd	Rise time t_r (ms)	Time Responses Peak time t_p (ms)	Settling time t_s (s)	Overshoot (%)
Tuned	887.4	490.8	137.6	5.517	14	26	44.203
CO	906.9844	683.3826	92.4342	6.903	17	16	38.194
PSO	965.0637	477.8979	108.0117	6.335	16	29	40.141

Table 5 gives the IAE, ISE and ITEA performance indices of the DC motor at 560 rpm. According to Table 5, the CO method exhibits superior performance compared to other algorithms in terms of IAE, ISE and ITAE performance indices. The CO method has the lowest values in terms of absolute value of errors, squared errors and the sum of time-weighted errors, allowing the system to operate more stable, faster and more efficiently. Therefore, the CO method stands out as the best option for DC motor control.

Table 5. *IAE, ISE, and ITAE performance indices at 560 RPM for the DC motor.*

Controller Type	Performance Indices IAE	ISE	ITAE
Tuned	17.09	1832	4.473
CO	16.14	1798	3.802
PSO	16.55	1916	4.14

Figure 9 evaluates the control performance of a DC motor operating at 560 rpm. Matlab Tuned, CO and PSO control method were compared. The CO method did not perform better than the Tuned and PSO methods in DC motor control. The CO method can ensure more stable and efficient operation of the motor with lower overshoot value, shorter settling time and less fluctuation. Therefore, the CO method stands out as the most suitable option for DC motors operating at 560 rpm.
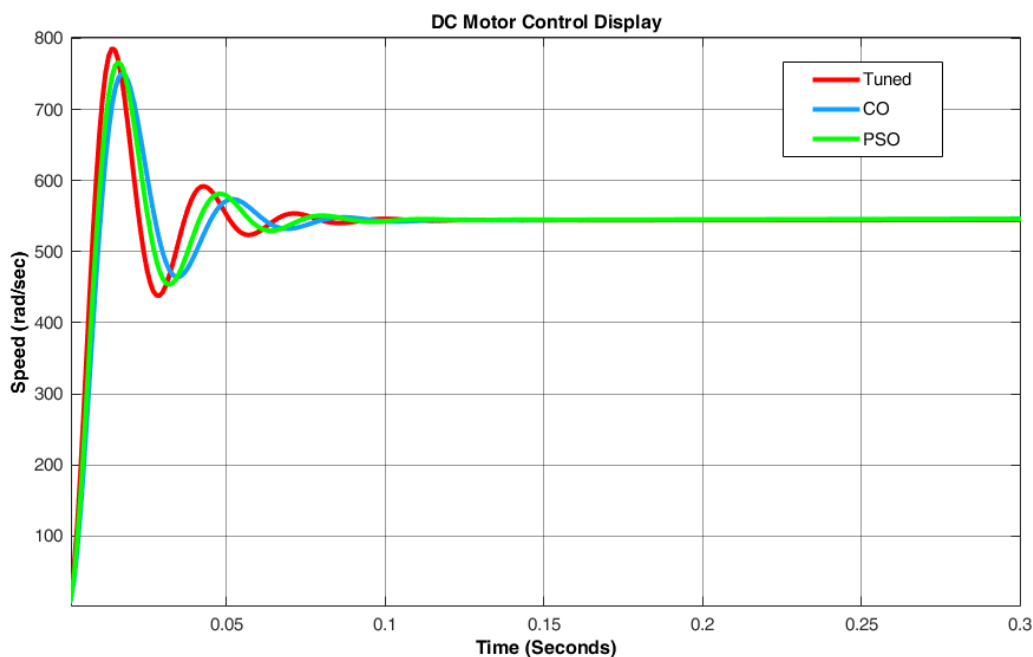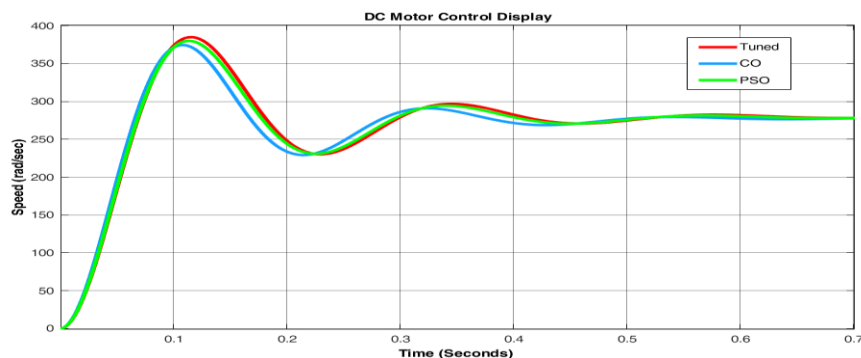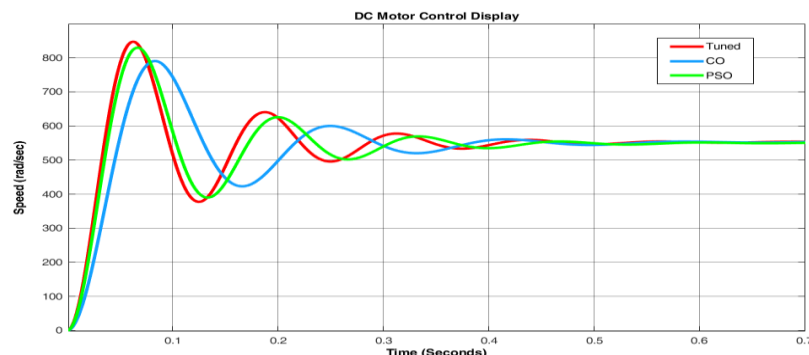

Figure 9. *Control graph of a DC motor running at 560 rpm.*

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A. 3. Optimization of PI Parameters, ISE, IAE, and ITAE Performance Indices Using Various Algorithms for a DC Motor Operating at 280 RPM

Table 6 compares the PI parameters, time responses and overshoot values of a DC motor operating at 280 rpm using Matlab Tuned, CO and PSO methods. In line with these data, it can be said that the CO Algorithm performs quite well in DC motor control with certain PI parameters. It optimizes the speed and stability of the motor, especially with its fast rise and settling time. Therefore, a more effective and efficient motor control can be achieved by choosing the CO Algorithm in certain applications. Considering the settling times, it shows that the CO Algorithm has the shortest settling time, that is, the motor stabilizes to the target speed value the fastest. The CO Algorithm seems to have an advantage over the other two algorithms in providing faster and more effective control.

Table 6. *Table of PI parameters, time responses and overshoot values of the DC motor at 280 rpm.*

Algorithm	Kp	Ki	Time Responses			Overshoot (%)
			Rise time t_r (ms)	Peak time t_p (ms)	Settling time t_s (s)	
Tuned	226.2371	1076.69	45.929	115	7.2	38.194
CO	255.0585	795.2805	44.007	108	5	34.459
PSO	233.0323	966.0349	45.693	114	7.4	36.301

Table 7 gives the IAE, ISE and ITAE values for the PI control performance indexes of the DC motor at 280 rpm. According to Table 7, the CO Algorithm has the lowest values in all performance indexes. This reveals that the CO Algorithm shows the highest performance and controls the motor speed with minimum error. Therefore, the CO Algorithm for PI control of a DC motor operating at 280 rpm can be considered the most suitable option as it minimizes errors and provides a fast, stable response.

Table 7. *IAE, ISE, and ITAE performance indices at 280 RPM for the DC motor.*

Controller Type	Performance Indices		
	IAE	ISE	ITAE
Tuned	24.63	3207	2.953
CO	22.73	2919	2.74
PSO	23.72	3101	2.765

According to Table 7 and Figure 10, when the performance of the CO Algorithm for PI control of the DC motor at 280 rpm is evaluated, the CO Algorithm is superior to other methods. According to Figure 10, the CO Algorithm exhibits superior performance in terms of both time response and performance indices. These findings show that the CO Algorithm is the most suitable option for controlling the DC motor with the PI control method at a speed of 280 rpm.
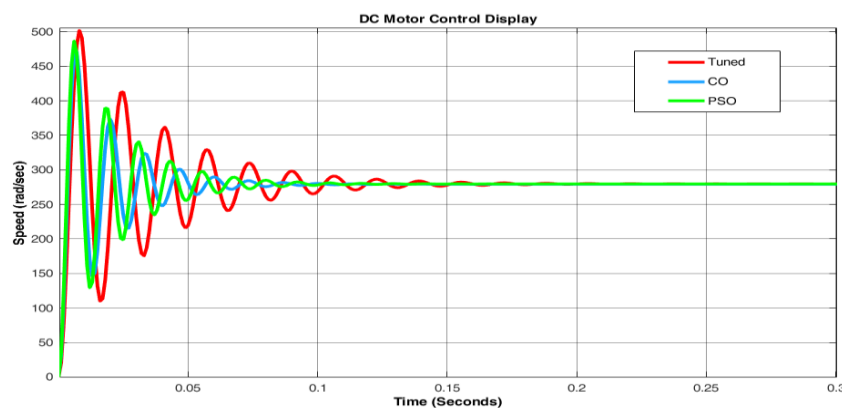

Figure 10. *Control graph of a DC motor running at 280 rpm.*

A. 4. Optimization of PI Parameters, ISE, IAE, and ITAE Performance Indices Using Various Algorithms for a DC Motor Operating at 560 RPM

Table 8 compares the PI parameters, time responses and overshoot values of a DC motor operating at 560 rpm using Matlab Tuned, CO and PSO methods. When Table 8 and time responses are evaluated, it is seen that although the CO Algorithm has certain disadvantages, it is superior to other algorithms in terms of settling time and overshoot rate. According to Table 8, the CO Algorithm can be considered as the most suitable method for controlling the DC motor at 560 rpm using the PI control method, in terms of minimizing errors and providing a more stable and oscillation-free speed control, compared to Matlab Tuned and PSO methods. Therefore, using the CO Algorithm offers both an effective and efficient solution in DC motor control.

Table 8. Table of PI parameters, time responses and overshoot values of the DC motor at 560 rpm.

Algorithm	Kp	Ki	Time Responses			Overshoot (%)
			Rise time t_r (ms)	Peak time t_p (ms)	Settling time t_s (s)	
Tuned	739.194	916.413	15.522	63	7	99.764
CO	421.0687	805.4795	32.169	83	5	44.203
PSO	650.4682	692.7841	15.774	67	8.2	101.428

Table 9 gives the IAE, ISE and ITAE values for the PI control performance indexes of the DC motor at 560 rpm. According to Table 9, the Tuned method generally outperforms the CO and PSO methods in terms of IAE, ISE and ITAE indices. While the CO method performs slightly worse than the Tuned method, it generally produces better results than the PSO method. The PSO method generally gives slightly lower performance than the Tuned and CO methods in terms of IAE, ISE and ITAE.

Table 9. IAE, ISE, and ITAE performance indices at 560 RPM for the DC motor.

Controller Type	Performance Indices		
	IAE	ISE	ITAE
Tuned	41.25	9165	5.54
CO	43.23	10130	5.778
PSO	42.18	9242	6.12

Figure 11 evaluates the control performance of a DC motor operating at 560 rpm. In Figure 11, the CO Algorithm provides lower peaks and more controlled initial acceleration, while remaining slightly slower in terms of settling time. This performance of the CO Algorithm can be considered an important tool in the optimization of control systems. However, in certain applications Tuned or PSO methods may also be appropriate.

Figure 11. Control graph of a DC motor running at 560 rpm

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A. 5. Optimization of PD Parameters, ISE, IAE, and ITAE Performance Indices Using Various Algorithms for a DC Motor Operating at 280 RPM

Table 10 compares the PD parameters, time responses and overshoot values of a DC motor operating at 280 rpm using Matlab Tuned, CO and PSO methods. Table 10 shows that the CO Algorithm exhibits a settling time of 0.25 seconds, which is shorter compared to other methods. This characteristic makes the CO control method preferable for specific applications, particularly where stability and mitigating overshoot are crucial, or when rapid response times are required in the system.

Table 10. Table of PD parameters, time responses and overshoot values of the DC motor at 280 rpm.

Algorithm	Kp	Kd	Time Responses			Overshoot (%)
			Rise time t_r (ms)	Peak time t_p (ms)	Settling time t_s (s)	
Tuned	26458.8891	171.3373	1.069	8	0.6	163.866
CO	10079.7118	553.0150	1.319	7	0.25	131.282
PSO	20689.1197	559.3766	0.836	6	0.3	132.289

Table 11 gives the IAE, ISE and ITAE values for the PD control performance indexes of the DC motor at 280 rpm. Since the PSO control method generally has the lowest values according to the IAE, ISE and ITAE performance indices, it can offer a better performance for the speed control of the DC motor. The CO method generally exhibits good performance, but compared to the PSO method, it appears to have higher IAE and ISE values in some cases. Matlab Tuned, on the other hand, performs lower than others in terms of performance indices.

Table 11. IAE, ISE, and ITAE performance indices at 280 RPM for the DC motor.

Controller Type	Performance Indices		
	IAE	ISE	ITAE
Tuned	6.173	676.3	0.2868
CO	3.868	377.6	0.3115
PSO	3.918	413	0.1947

Figure 12 evaluates the control performance of a DC motor operating at 280 rpm. Figure 12 reveals that the CO Algorithm has significant potential for energy efficiency and precise motion control in industrial applications by providing lower peak values, faster settling times, and more stable speed control. This superior performance of the CO Algorithm shows that it is a powerful tool for the optimization of control systems.

Figure 12. Control graph of a DC motor running at 280 rpm.

A. 6. Optimization of PD Parameters, ISE, IAE, and ITAE Performance Indices Using Various Algorithms for a DC Motor Operating at 560 RPM

Table 12 compares the PD parameters, time responses and overshoot values of a DC motor operating at 560 rpm using Matlab Tuned, CO and PSO methods. According to Table 12, the CO Algorithm provides stable control with low Peak time and Kp, Kd parameters and has the lowest settling time (0.2 seconds). The PSO algorithm shows a higher peak time and a longer settling time of 0.28 seconds compared to the others, while the Tuned algorithm exhibits medium performance. In line with these results, it was found that the CO Algorithm was the most appropriate choice for PD control of a DC motor operating at 560 rpm.

Table 12. *Table of PD parameters, time responses and overshoot values of the DC motor at 560 rpm.*

Algorithm	Kp	Kd	Time Responses			Overshoot (%)
			Rise time t_r (ms)	Peak time t_p (ms)	Settling time t_s (s)	
Tuned	1818.543	28.1982	10.283	27	0.3	42.143
CO	1084.1003	55.8350	8.906	22	0.2	32.667
PSO	1107.0990	18.8365	13.706	35	0.28	34.459

Table 13 gives the IAE, ISE and ITAE values for the PD control performance indexes of the DC motor at 560 rpm. According to Table 13, the Tuned algorithm generally shows better performance in terms of IAE and ITAE performance indexes, while the CO Algorithm shows better performance in terms of ISE performance index. The PSO Algorithm generally showed the highest performance indices.

Table 13. *IAE, ISE, and ITAE performance indices at 560 RPM for the DC motor.*

Controller Type	Performance Indices		
	IAE	ISE	ITAE
Tuned	16.93	3009	3.018
CO	18.18	2341	4.742
PSO	21.65	3521	4.772

Figure 13 evaluates the control performance of a DC motor operating at 560 rpm. Figure 13 clearly shows that the CO Algorithm exhibits superior performance in DC motor speed control compared to the Tuned and PSO methods. The CO Algorithm has significant potential for energy efficiency and precise motion control in industrial applications by providing lower peak values, faster settling times and more stable speed control.
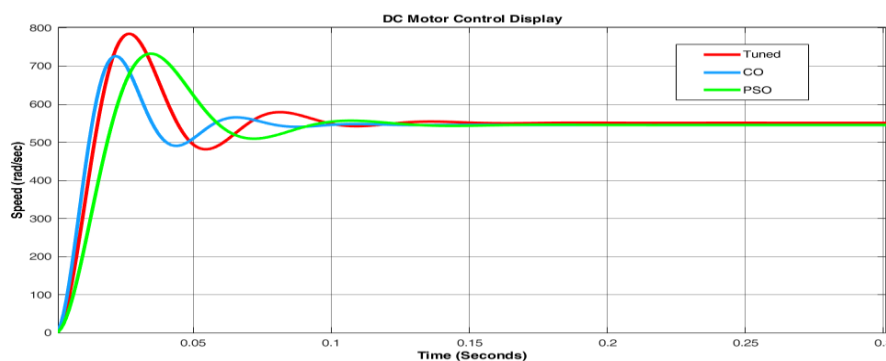
Figure 13. *Control graph of a DC motor running at 560 rpm.*

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A. 7. Performance Evaluation of DC Motor Using PID, PI, and PD Control Methods at Different Speeds

In Figures 14, 15 and 16, DC motor performance evaluation graphs of PID, PI and PD control methods at 280 rpm and 560 rpm speeds are given.
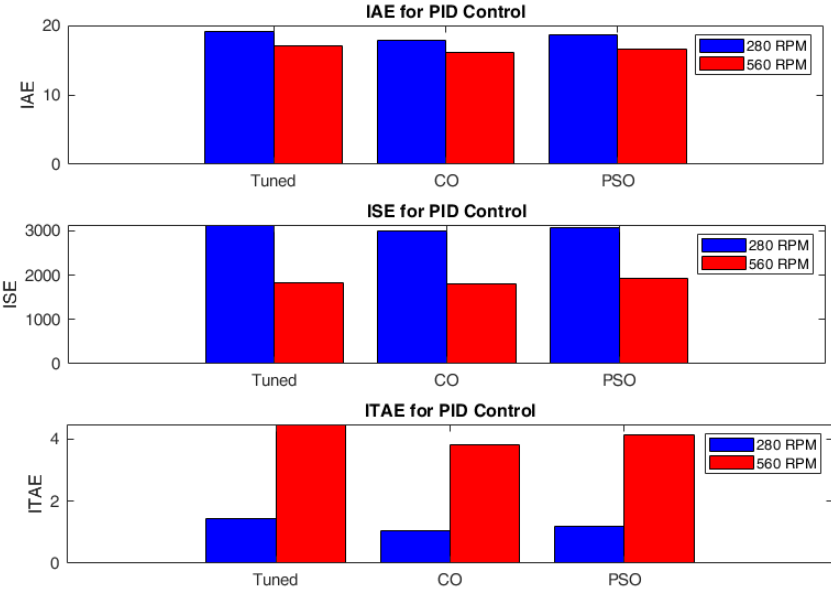
Figure 14. Performance comparison graph of the PID controller at different speeds.

When we evaluate the performance of the PID controller at different speeds in Figure 14, the CO method generally shows the best performance at both 280 rpm and 560 rpm speeds. Therefore, it is recommended to use a PID controller optimized with the CO method in DC motor speed control applications.
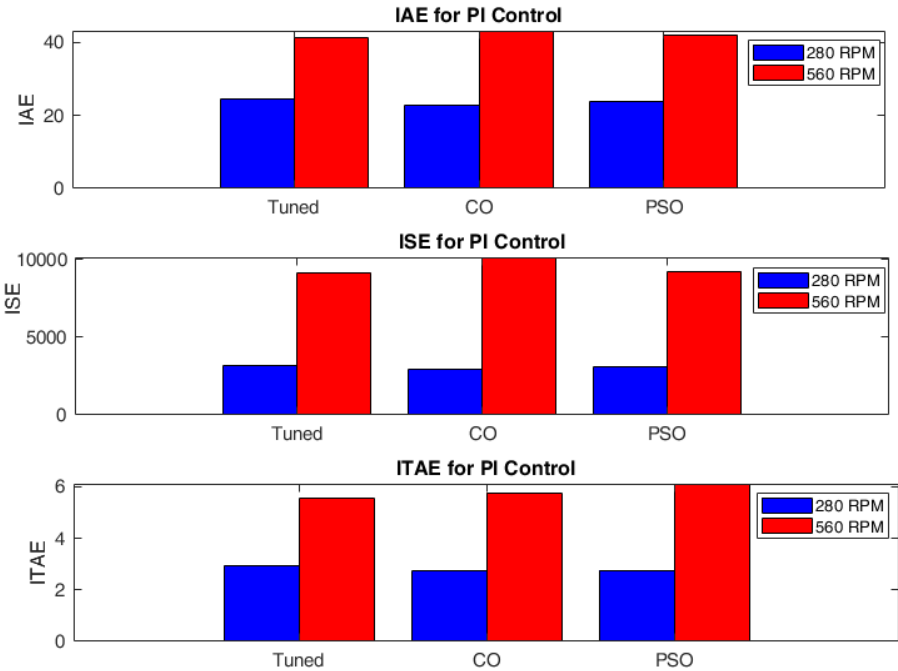
Figure 15. Performance comparison graph of the PI controller at different speeds.

When the performance of the PI controller was evaluated according to Figure 15, the CO method at 280 rpm was found to have the best results in IAE, ISE and ITAE metrics. This shows that the CO method provides a more effective PI control performance at low speeds. At 560 rpm, the Tuned method gives the best results in IAE, ISE and ITAE metrics. This means that we can say that the Tuned method provides superior performance at high speeds.
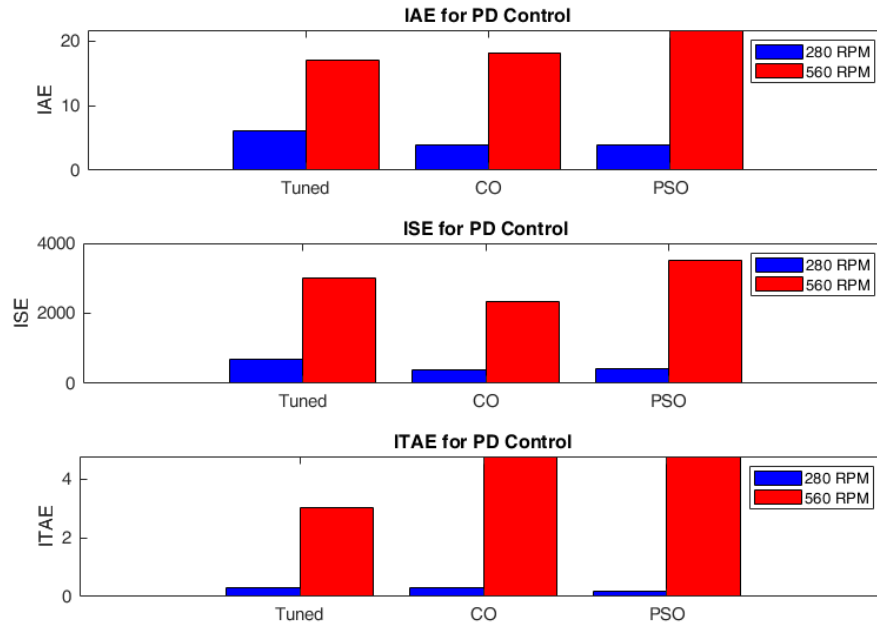
Figure 16. Performance comparison graph of the PD controller at different speeds.

According to Figure 16, it has been determined that the CO controller is particularly strong in terms of disturbance rejection. The CO controller's "best performance in terms of disturbance rejection" indicates that the CO controller better maintains or provides the desired output more stably by minimizing external influences. The CO controller has the lowest ISE values at both speeds, meaning it provides the best disturbance rejection. However, the Tuned controller shows the best performance in terms of ITAE at 280 rpm and in terms of IAE and ITAE at 560 rpm. Although the PSO controller generally shows low values in terms of IAE, it has been found to have some disadvantages in terms of other performance measures.

IV. CONCLUSION

In this study, various control methods and parameter optimization techniques for DC motor speed control were examined. Using PID, PI and PD control methods, the performances of these methods were evaluated with Matlab Tuned, CO Algorithm and PSO techniques. The aim of the study is to monitor the desired speed of the DC motor in real time, ensure that it reaches the target speed, and determine the optimal control method and parameter settings to correct fluctuations caused by changing loads or external factors.

The findings showed that the CO Algorithm showed superior performance compared to other methods in adjusting the parameters of PID, PI and PD controllers. It has been determined that controllers optimized with the CO Algorithm have the lowest error values in terms of performance criteria such as IAE, ISE and ITAE. Especially in the tests performed at 280 rpm and 560 rpm speeds, it was seen that the CO Algorithm exhibited the best performance against variable loads and external factors. It was found that the control parameters determined by the CO Algorithm had lower fluctuation and settling times compared to Matlab Tuned and PSO methods.

This study offers a practical approach for optimizing DC motor speed control in industrial processes. Next-generation and effective optimization methods, such as the CO Algorithm, have been shown to have the potential to significantly improve the performance of control systems. The CO Algorithm stands out especially in applications requiring low error values and high performance and offers new opportunities for future research in this field.

As a result, by comprehensively comparing the performances of different control methods and optimization techniques used in DC motor speed control, it provides important information for the development of more efficient and effective control strategies in industrial applications. Additionally, by demonstrating the potential of next-generation optimization methods such as the CO Algorithm, it directs future research in this field and helps motors determine the most appropriate control methods in DC motor systems facing variable loads and external factors. In this way, valuable contributions are made to increasing energy efficiency in industrial processes, ensuring precise motion control and optimizing overall system performance.

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Mobile Application Based Indoor Routing System Using Transfer Learning

Nesrin AYDIN ATASOY [a,*], Ebru ÇIRACI [b]

[a] Department of Computer Engineering, Faculty of Engineering, Karabük University, Karabük, TURKEY
[b] Department of Computer Engineering, Faculty of Engineering, Architecture and Design, Bartın University, Bartın, TURKEY
* Corresponding author's e-mail address: nesrinaydin@karabuk.edu.tr
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ABSTRACT

Nowadays, indoor routing in places with complex multi-storey architecture such as hospitals, shopping malls, parking garages and public buildings is traditionally carried out using signage or devices in a fixed position. When we examine the literature, it is generally seen that indoor orientation studies for certain needs are seen. The fact that the routing systems are fixed, and the signage is not an effective tool constitutes the motivation of this study. In this study, an image-based mobile application that is hardware-independent and adaptable to other interior spaces has been implemented using a mobile device. The application basically consists of two parts. In the first part, transfer learning based MobileNetV2 architecture is used to determine the initial store location. The proposed model detects the store signage image taken from the camera with 96% success. In the second part, the user is successfully guided to the target using the Dijkstra algorithm. With the developed mobile application, the user can reach the targets on the same or different floors in the fastest way without wasting time and without asking anyone. The application was tried in real time in a shopping center and successful results are obtained.

Keywords: *Dijkstra algorithm, Indoor navigation, Transfer learning*

Transfer Öğrenme Kullanılarak Mobil Uygulama Tabanlı İç Mekan Yönlendirme Sistemi

ÖZ

Günümüzde hastaneler, alışveriş merkezleri, kapalı otoparklar ve kamu binaları gibi karmaşık çok katlı mimariye sahip yerlerde iç mekan yönlendirmesi geleneksel olarak tabelalar veya sabit konumdaki cihazlar kullanılarak gerçekleştirilmektedir. Literatürü incelediğimizde genel olarak belirli ihtiyaçlara yönelik iç mekan yönlendirme çalışmalarının yapıldığı görülmektedir. Yönlendirme sistemlerinin sabit olması ve tabelaların etkili bir araç olmaması bu çalışmanın motivasyonunu oluşturmaktadır. Bu çalışmada, mobil cihaz kullanılarak donanımdan bağımsız ve diğer iç mekanlara uyarlanabilen, görüntü tabanlı bir mobil uygulama gerçekleştirilmiştir. Uygulama temel olarak iki bölümden oluşmaktadır. İlk bölümde, ilk mağaza konumunu belirlemek için transfer öğrenme tabanlı MobileNetV2 mimarisi kullanıldı. Önerilen model, kameradan alınan mağaza tabela görüntüsünü %96 başarı ile tespit etmektedir. İkinci bölümde kullanıcı Dijkstra algoritması kullanılarak hedefe başarılı bir şekilde yönlendirilmektedir. Geliştirilen mobil uygulama ile kullanıcı aynı veya farklı katlardaki hedeflere zaman kaybetmeden ve kimseye sormadan en hızlı şekilde ulaşabilmektedir. Uygulama gerçek zamanlı olarak bir alışveriş merkezinde denenmiş ve başarılı sonuçlar alınmıştır.

Anahtar Kelimeler: *Dijkstra algoritması, İç mekan navigasyon, Transfer öğrenme*

I. INTRODUCTION

Increasing the world population, large architectural structures such as hospitals, airports, shopping malls, garages and underground train stations are being built. These multi-storey buildings, which are built to meet the building need, cause the increase and complexity of urban structures. In addition, finding a way in the building and reaching the desired place in the fastest and shortest way cause a separate problem. Therefore, people prefer to use guidance systems to make their lives easier. Satellite-based Global Positioning System (GPS); It is widely used in many fields such as navigation, map making, geology, search and rescue and defense industry [1]. For example, on a large university campus, students' GPS information on their smartphones was used to determine the duration, frequency, and time students spend on campus [2]. However, GPS cannot be used successfully in closed areas due to structures such as roofs and walls that block the satellite signal [3]. Therefore, indoor navigation systems are needed.

Wireless technologies such as Wi-Fi, Zigbee, Bluetooth, Ultra-Wideband (UWB), Radio-Frequency Identification (RFID) are used for object location detection in indoor areas, independent of satellite-based systems [4]. These technologies affect life positively for orientation in buildings such as hospitals, public buildings, shopping malls. Murata et al. developed a probabilistic localization algorithm that utilizes mobile device inertial sensors and Received Signal Strength (RSS) from Bluetooth Low Energy (BLE) beacons for visually impaired people. Field experiments were realized with impaired people confirm the practical performance of the proposed system in very big shopping mall [5]. In another study, they developed a smart phone application with a QR tags that are a clue for individuals with cognitive disabilities. Generally, individuals with cognitive disabilities can find direction at work, school or hospital with a caregiver or guide until they get used to the place. QR codes placed on a certain route will be useful for the person to go to their location and destination easily, cheaply and on their own. Authors stated that their field experiments with 14 cognitively impaired users yielded successful results. Thus, these people will be able to navigate individually in unfamiliar indoor spaces [6]. In daily life, people spend more time indoors than outdoors. Despite this, the success of indoor positioning systems still does not provide usability and accuracy comparable to GPS [7, 8]. Because tracking the location of the object or person indoors is an important factor. For this reason, various studies are carried out using many techniques such as Wi-Fi, Bluetooth, Zigbee, UWB, RFID technologies, as well as machine learning and deep learning, for successful indoor routing [9, 13].

Navigation systems are one of the important systems that make human life easier. The development of communication technologies and smart devices has supported the use of navigation systems. People prefer to use these systems in different areas. After outdoor navigation, people also prefer these systems in large buildings such as hospitals, airports, train stations [14].

Indoor navigation systems can be elaborated as Computer Vision, Communication Technology and Pedestrian Dead Reckoning. Computer vision-based systems use omnidirectional cameras, 3D cameras, or smartphone cameras to obtain information about indoor environments. These images are made sense for routing and location knowledge by methods such as Speeded Up Robust Feature, Scale Invariant Feature Transform, machine learning, and deep learning [15]. Zhang et al. performed indoor scene and object recognition inside the MIT building using a Deep Convolutional Neural Network (DCNN). They used DCNN to perform position recognition based on spatial features. They created more than 600,000 2D and 3D images of the endless corridors of MIT buildings with camera and phone. The accuracy of the proposed model is 81.72% and 94.39%, respectively. Thus, it has been determined that DCNN successfully makes sense of places like people. The authors stated that indoor orientation will be made in their future studies [16].

Recently, autonomous robot navigations have been widely used. However, challenges such as environmental factors, light conditions, sensor limitations, and messy indoor environments negatively affect robot navigation. DCNN is used in situations such as determining the door location in indoor

navigation where the image quality is affected. Model trainings are made according to different poses of the door. After the door location is determined, the movement of the robot when it approaches the door can be determined and indoor navigation can be created successfully [17].

In another study, the interior spaces such as kitchen, bathroom, bedroom, living room, which are most used in daily life were determined for blind and visually impaired persons. Using the EfficientNet architecture, 95.60% success accuracy was achieved with the MIT 67 dataset [18].

Developments in vehicle technology contribute to the production of vehicles with more features. However, GPS does not work indoors such as in a parking. Kumar et al. propose an indoor positioning system for vehicles called eValet. They have placed cameras in certain parts of the closed parking. Convolutional Neural Networks (CNN) detects whether the moving image on the camera is a vehicle or not. Using the Homography Transformation, the closest point of the vehicle to the ground is converted into geographic coordinates. Thus, latitude and longitude values are determined for each object determined as a vehicle on the image. In this study, they obtained more successful results than their previous application with Haar-like feature classifier algorithm for indoors using CNN [19].

Deep learning architecture is used successfully in the detection of living things as well as in inanimate object detection. Home accidents play an important role in the lives of elderly and lonely people. For this reason, Sultana et al. propose a human fall detection system. They detect human falls using CNN and Recurrent Neural Network architectures in the images obtained from the camera placed in the room. They achieved a 98% success rate in images obtained from different cameras. In their next work, they will improve the system by adding a warning system [20].

Low-cost Nano Aerial Vehicles (NAVs) offer a new autonomous inspection framework in indoor evaluation studies. In another study using nano aerial vehicles, obstacles were detected with a human perspective brought to aircraft. Obstacle avoidance steps were carried out by checking the potential existence of any obstacle with the navigation algorithm. The application, which geotags the image when no obstacle is detected, offers autonomous navigation and obstacle avoidance with guidance [21].

In another indoor navigation study, where pedestrians were guided indoors and users were able to track indoor and outdoor locations, the guidance solution in large areas was provided efficiently. In the study, where a deep learning approach was used for automatic classification of landmarks, model relationships for both performance and salience of landmarks were determined with the data obtained from the images, and an indoor navigation system for pedestrians was presented as an android application [22].

Different categories such as obtaining location information, interpreting the information, and determining routing steps are also preferred in machine learning and deep learning architectures routing studies [23].

As seen in the literature, deep learning architecture, which is used in different areas, shows good success in making sense of the image in the interior. For this reason, MobilNet architecture is used in this image-based study. MobilNet architectures are a deep learning architecture designed to perform more efficient work on mobile devices and embedded systems [24].

In addition, in the literature, it is seen that smart devices and cameras are preferred because of their ease of use in many studies on routing [25-27]. It is generally used for data collection, audio, and video guidance.

In navigation systems, guiding the person to the target with the best route is as important as determining the location of the person. In many indoor navigation studies, the shortest route is preferred firstly. In addition, it is aimed to optimize the cost of location detection, power, and memory consumption. Looking at the literature, First Fit, Best Fit, Dijkstra, Location Aware and Remembering

Navigation (LARN), HCTNav, modified A*, depth-first, Flexible Path Planning, trilateration, D*, k-NN, PF, PDR, and triangulation algorithms are mostly preferred [28]. Dijkstra Algorithm (DA) and A* are among the popular algorithms [29]. DA is a mature shortest pathfinding algorithm between the start position to destination based on reference nodes. It takes a short time and is not very complex with high performance for not very large data. Therefore, it is preferred in many studies.

Xu et al. They propose a personalized pedestrian guidance application to reduce obstacles on the route in a closed shopping center. The best path between the starting and target shop for user is created with DA. The priority of the features taken into consideration while creating the route is determined as the store to be visited, the distance and the roughness on the road. For example, if the user on the second floor will go to the store on the first floor, he or she is guided by the elevator despite the information that he will not prefer the elevator. Because the priority in the study is to reach the target store. The same floor orientation situations, the platform on which the system was developed, and user experiences were not presented in the study [29].

Gao et al. propose a smart phone-based parking guidance system in their study. The system offers the most suitable parking place and driving route recommendation according to the driving distance, in-car travel time, walking time, parking fee, parking space search time and parking space type. The user sends a request to the system using the application for a parking request. The system determines the most suitable route according to the criteria using DA and sends it to the user's phone. In the system based on C/S architecture, the server side is Windows Server 2000 and the MySQL database is developed using the client side Android platform. Baidu Map was preferred for the visualization of the route [30]. Here, the smartphone is used only for sending and displaying requests. Another smartphone-based parking guidance system has been developed using a QR code. The QR code, which is decoded using a smartphone, contains the identification number of the vehicle. In the SQLite database, there is location information that matches the vehicle's identification number. According to this location information, the optimum route to go to the vehicle is determined by DA. User directions are created according to pedometer rules. The authors tried the application in a large parking lot and stated that they provided a successful orientation [31].

Uddin and Suny propose an application to facilitate the life of the visually impaired. The system includes two main modules: direction with voice commands with smart phone and detecting any obstacle on the road with ultrasonic sensor. After the visually impaired person gives the target location as a voice command, the system determines the shortest path between the source and the target using DA. When an obstacle is detected on the road with the ultrasonic sensor, the distance of the obstacle is calculated by the microcontroller. The necessary data is sent to the smart phone using the Bluetooth module and is given to the visually impaired person as a voice instruction. The system has limitations such as lack of GPS data and not updating Microsoft Bing Map [32].

As seen in the literature, technologies such as QR code, Beacon, Bluetooth and RFID and DA are preferred in mobile application-based studies [33-35]. Because the complexity of DA is acceptable for pedestrian navigation.

DA is a greedy algorithm used to determine the shortest path and solves the optimization problem. The basic logic of DA is to add the shortest point relative to the starting point and update the shortest distance and it is suitable for use in this study given a single source and all nodes. When a decision needs to be made, he chooses the best option available at the time. Based on Broad Scope Search (BSF), this algorithm searches the path from the starting point to all points; it is a method of exploring broadly before exploring in depth. DA is use because it is difficult to express the shortest distance when store distances between floors are taken into account. DA is preferred in this study because pedestrian guidance is made according to the optimum route between the starting and target location in a building with the same or different floor layout. An algorithm using a heuristic approach is not preferred because instant location information is not used.

Most of these problems constitute the motivation of the study. The aim of the routing studies is to guide the user from one point to another target point with route information. In this study, it is aimed for the person to go to his destination by using own phone indoors, using the low cost, easy, accurate, real-time, and shortest route. Thus, it is expected to reach its destination easily indoors without the need for additional hardware, guides, and sign. The main contributions and steps can be listed as follows:

- The developed mobile-based application includes the floor plans of a shopping mall. Thus, it can be updated for every shopping mall with a floor plan.
- With the mobile application, the user takes the picture of the store in his/her location with the phone camera. No additional hardware or internet connection is required and is low cost. In addition, the user easily selects the name of the store he will visit from the menu in the application according to the floor plan. Since it is a picture-based orientation application, it can be adapted in large spaces such as hospitals and factories.
- The name of the store is determined using the Transfer Learning architecture from the image of the starting point where the user is located, and the coordinates of the store are determined by matching with the floor plan information. Therefore, no signal information is required for position information.
- The shortest route between the starting and target store is determined in real time by DA. The mobile application visually presents the route on the floor plan.
- The designed deep learning-based mobile application has been tested with users' phones in a shoppng mall in Istanbul, Turkey, and its accuracy has been determined to work in multi-story buildings.

Other parts of the study are as follows: Material and Methods are mentioned in Section 2. Experimental results and analysis are presented in Section 3. Conclusion and future works are told in last Section 4.

II. MATERIAL AND METHOD

A. DATASET

Floor plans and store information of many shopping centers in Turkey are published on their own web pages. In this study, Buyaka shopping center in Istanbul is preferred [36]. There are 158 different stores in the six-floor Buyaka shopping center. Since there are not enough images of the stores on the website, images of different angles and sizes are collected from inside the shopping mall. Since the obtained images would not be sufficient for the performance of the model, data augmentation is performed. There are many preprocessing techniques such as cleaning, reducing, transforming, merging on the data [37]. With these techniques, the meaning of the data, the detection of missing data, resizing, normalization is provided, and it is made suitable for the purpose of use. For this reason, 8536 images are obtained by affine transformation (translation, rotation, scaling). Store names in the images have been blurred to avoid using trademark names in the article. Sample images of the prepared dataset are shown in Figure 1.

Figure 1. Sample images of some stores.

8536 input image datasets with 3-channel color information are converted to level images and the data size is determined as 224 x 224. To convert the gray level pixel values in the range of 0-255 to the range of 0-1, the Max-Min Normalization process seen in equation (1) is performed. Thus, 0: Black, 1: White, and the gray level values in between are represented by their closeness to 0 and 1. In Equation (1), x: gray level pixel value; (x): smallest gray level pixel value; (x) : largest gray level pixel value; x': stands for normalized data.

$$x' = (x - (x)) \div (max(x) - min(x)) \tag{1}$$

A. 1. Classification of Store Images With MobileNetV2

Deep learning has been used successfully in many classification problems [38-40]. CNN is one of the most popular deep learning models. CNN is a multi-layered forward-looking artificial neural network with its ease of use, parallel operation, and high success capability. The success of CNN is demonstrated in many studies such as classification, object recognition and detection, natural language processing, and text analysis [41, 42]. There are different CNN architectures such as AlexNet, VGGNet, ResNet, MobileNet. These architectures differ in the number of layers and learnable parameters. MobilNet architectures are a deep learning architecture designed to perform more efficient work on mobile devices and embedded systems [24]. Thus, performance loss in mobile devices is prevented with light models [43]. Models with deeper convolutional architecture can be created with the MobileNet architecture [44]. MobileNet has different versions such as MobileNetV1, MobileNetV2, MobileNetV3 according to usage area and structural changes. Unlike MobilNetV1, MobileNetV2 has linear bottlenecks between the layers and shortcut connections between the bottlenecks [45]. Unlike MobilNetV2, MobilNetV3 has activation functions. In this study, MobilNetV2 is preferred because it is an architecture developed for the operation of image processing applications on mobile devices.

In our study, feature vectors of images trained with MobileNetV2 architecture on ImageNet dataset [46] are used for transfer learning model. First, the training image dimensions are arranged as (224,224,3). After performing the necessary normalization process, using the feature vectors of the MobileNetV2 model, the dropout layer is added and the model design suitable for the study is carried out with the change made in the classification layer. The learning rate, which indicates the update rate

of the weights learned during the training of the model, was determined as 0.001. Categorical cross entropy function was used to calculate the loss between the model's prediction result and the real value. The Adam optimization algorithm was preferred because the learning rate can be updated for different parameters, is computationally efficient, and requires low memory requirements. The general flow of the model designed in the study is shown in Figure 2 and the model architecture created in Table 1.
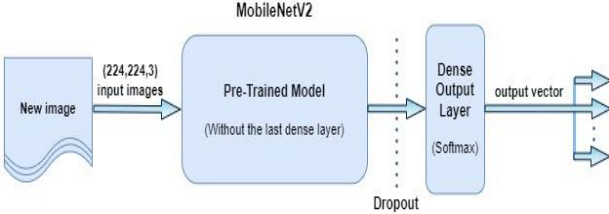
Figure 2. *Overview of the designed model.*

Table 1. *The general MobileNetV2 architecture.*

Layer (Type)	Output Shape	Parameters
keras-layer (KerasLayer)	(None, 1280)	2257984
dropout (Dropout)	(None, 1280)	0
dense (Dense)	(None, 158)	202398

MobileNetV2 uses a linear bottleneck structure to reduce the input size. The Bottleneck layer is used to extract features from the high dimensional space without much loss of information. This layer combines the linear activation function and the 1x1 convolution filter. These shortcut connections that make up the residual connection structure greatly reduce memory costs. The bottleneck layer structure of model is shown in Figure 3.
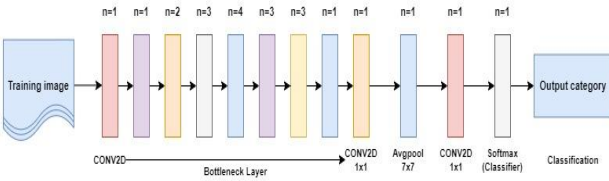
Figure 3. *Overview of the designed model.*

A.1.1. Adapting MobileNetV2 Model to Tensorflow Lite

TensorFlow-Lite is a toolkit that enables more efficient use of Tensorflow models on embedded systems and mobile devices. It enables the learned models to be used on mobile devices with less latency. It also offers APIs for many programming languages by supporting different platforms such as Android and IOS. The proposed model for the classification of store images is saved as a .tflite file to be used in the Android environment together with the conversion process and is used in the Android environment with the label file containing the store names.

A.1.2. Routing Using The Dijkstra Algorithm

A graph is a non-linear data structure consisting of vertices and edges. Graphs are represented as N(Node)= {N0, N1, N2…}; E(Edge)= {E0, E1, E2…}; G(Graph)= {N, E}. N, E, G respectively represent Node, Edge, Graph. Graph model can be used for any application that has a connection between them based on distance/relations. In this study, the floor plans of the shopping center are considered as a graph model. The door numbers of the stores represent the corners/nodes. The roads connecting the stores represent the edges.

In the study, the route information between the start and destination point is obtained with the DA. The route information is presented to the user on the floor plans of the relevant floors. Relationships between neighboring stores are discussed in the routing operations on the same and different floors. In the routing processes between different floors, routing is carried out by considering the elevator information at the nearest point. The sample floor plan image used in the study is shown in Figure 4.
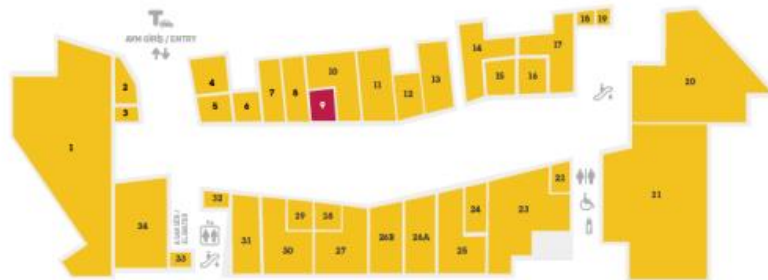
Figure 4. *Buyaka shopping center floor plan [47].*

Considering the change of store names for each floor plan in the shopping center, an adjacency matrix indicating the neighborhoods between the door numbers is created. The general equation of the adjacency matrix is seen in Equation (2).

$$\begin{cases} if\ (Ni,Nj)or(Nj,Ni) \in E & ,1 \\ \qquad otherwise & ,0 \end{cases} \tag{2}$$

Here, Ni and Nj represent two nodes, E represents edges. When constructing the adjacency matrix for a simple graph model, if the Ni and Nj points have a neighborhood with each other, the neighborhood can be specified both from Ni node to Nj and from Nj node to Ni. In the adjacency matrix created in this way, those who observe neighborhood statuses are represented by 1 and those who do not are represented by 0. The process of taking the neighborhood between the neighbors of the door number determined on the adjacency matrix, updating the nearest door information, and keeping the shortest path information are summarized as following algorithm:

1. Updating the shortest door distance information of all door numbers.
2. Determine the index of the selected door number (doorNumberIndex).
3. If the door is a door that has not been visited before (addedDoorNumber) and the distance information of the door (shortestDistances) is less than the shortest door distance (shortestDoorDistances) Determine the selected house number as the nearest door.
4. And update the shortest door distance (shortestDoorDistance).
5. Updating the transportation cost and the shortest distance information of the door numbers on the distance matrix.
6. Determine the distance information of the nearest door and the selected door number on the distance matrix.
7. If the distance information is greater than zero and the sum of the shortest door distance and the arrival cost is less than the short distance information of the door number.

8. Set the selected door number as the starting point for the next step and update the shortest distance information.

Building structures are stored in Javascript Object Notation (json) format to present the work to the user in the Android environment. For each floor plan, a json file containing information such as store name, door number, floor information and x, y point values of the floor plans placed on the canvas is created. A json file block in the form of "id: 27, doorNumber: 27, name: Arçelik, x: 637, y: 367, floor: B2" is created for each store in the floor plan.

The store name information obtained with the classification model and the selected target store name information are associated with the door numbers in the relevant json files. The DA provides the route information between the selected door numbers over the neighborhood matrix. A class named Canvas is used for Android drawing operations. The route between the starting point and the destination point is made using a class called Canvas for Android.

III. RESULTS

In this study, a real-time application has been developed to guide the user in the building without monitoring the status of the person. The study is carried out on two foundations. First, a deep learning architecture is created to analyze the store images to determine the current location with the Android application. The second is the display of the route created with the shortest path algorithm on the mobile application, using the floor information of the building structures. In the study, MobilNetV2 architecture, which can achieve results quickly and successfully, was preferred as the deep learning architecture. This architecture was used because it was developed for mobile and embedded devices and required low computing power. The proposed model in the study is trained through Google Colab using Python language. The computer and library information for which the model is designed are as follows: Intel Core i5-7200U CPU @ 2.40 Ghz, Intel(R) HD Graphics 620, 8GB, Windows 10 Pro 64 bit, TensorFlow 2.5.0.

A. SAME AND DIFFERENT FLOOR ROUTING SCENARIO

The application is first tested with the Android studio emulator Nexus 5X API 29. After determining the starting place where the user is located, the target store is selected. By checking the json file containing the floor information, the route information of the shortest route is created with DA according to the door numbers for the stores on the same floor. The names of the stores you will see while passing through this route are listed on the screen. Figure 5 shows the opening screen of the application and the route information for Watsons, the starting store, and Nautica, the target store, located on the same floor.

(a)   *(b)*   *(c)*
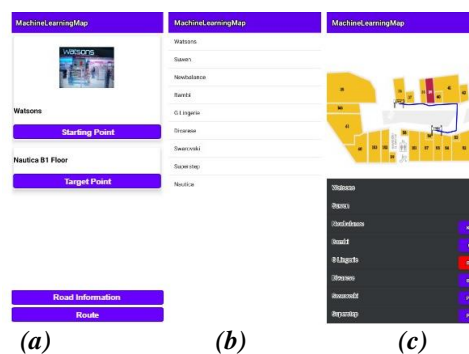
Figure 5.(a) Selecting start and target name of the stores on the same floor using opening screen (b) Stores that the user will see on the route (c) Display of the created route on the floor plan.

For stores located on different floors, guidance is made using the elevator information on the floor plans. The DA first creates the shortest elevator route. When the user comes to the same floor as the target store, the direction of the target store is realized with the shortest route according to the elevator. For example, Burger King and Hotiç are on different floors. The route information from upper floor to lower floor is shown on the screen in Figure 6. The operations are carried out in the same way from the ground floor to the upper floor.

| (a) | (b) |
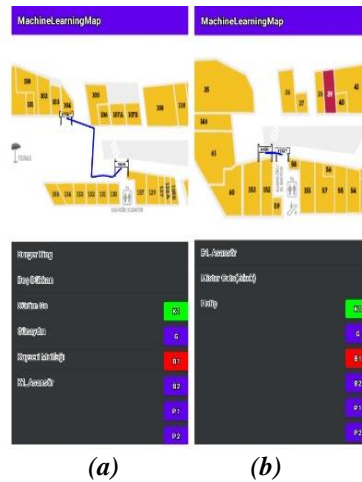
Figure 6. (**a**) *Directing the user on the upper floor (K1) to the elevator* (**b**) *Directing the user going downstairs (B1) to the store.*

B. REAL-TIME TESTING OF THE APPLICATION

The application is tested in real time at the Buyaka shopping center using a Redmi 8A MIUI Global 12.0.3 smartphone. Routing guides in the application are shown in Figure 7. Routing videos on the same and different floors can be seen in the given links [48, 49].

| (a) | (b) | (c) | (d) |
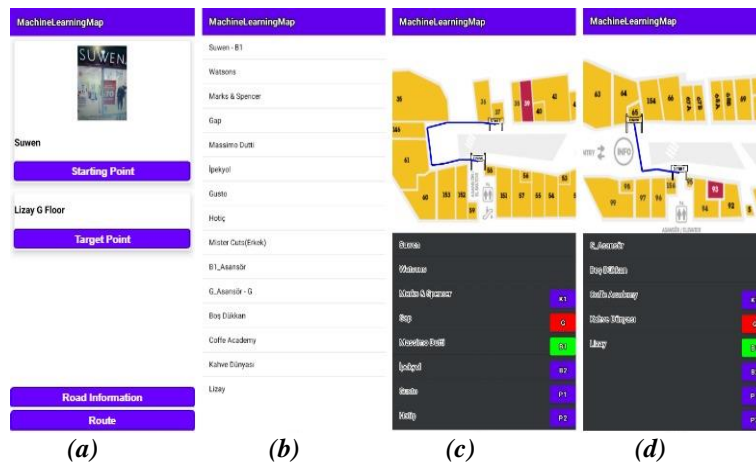
Figure 7. *In the routing process performed on a different floor* (**a**) *Determination start and target store name for initial information* (**b**) *Store names route information between target stores* (**c**) *routing information for different floor* (**d**) *route information shown on the floor plan where the target store is located.*

C. EVALUATION OF THE MODEL

Buyaka dataset is determined as 80% training and 20% as validation dataset. The designed model is trained with 6890 training images and 1646 validation images. Figure 8 and Figure 9 show the graphs of the model's accuracy and loss values for 200 epochs.
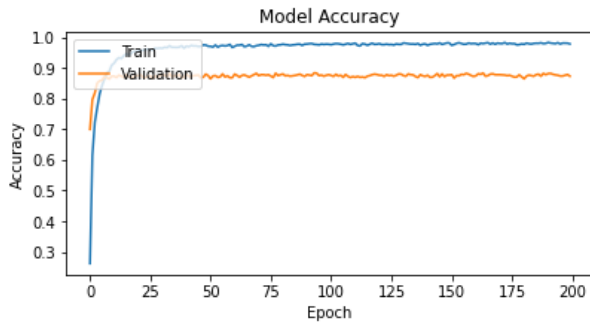
Figure 8. *Model accuracy for training and validation.*
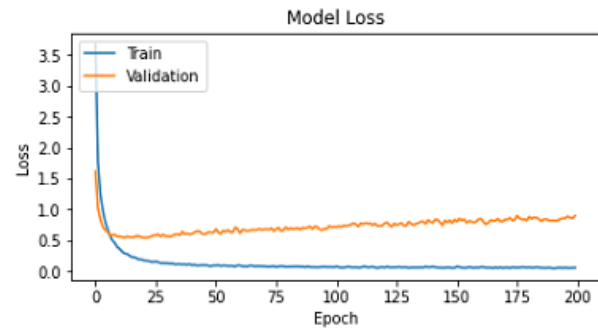
Figure 9. *Model loss graphic for training and validation.*

The model is run 200 epochs with a total of 8536 images and achieved 98% accuracy in the training process. For the test processes of the model, a total of 588 test image data belonging to 158 classes are prepared with data augmentation and 96% success is achieved. The accuracy value (Acc) is calculated with the formula in equation (3). In the equation, "True Positive (TP)" is the number of perfectly identified store pictures; The "True Negative (TN)" is the number of perfectly detected wrong; "False Positive (FP)" is the number of wrongly detected images as positive which is actually non correct, and "False Negative (FN)" is the number of correctly detected images as negative which is actually non correct. These values are found in the complexity matrix in Table 3. The correctly classified some sample test picture images are shown in Figure 10.

Figure 10. *Sample images of some stores.*

The performance of proposed approach for some classes is measured using Recall (R), Precision (P) and F1-Score metrics in Equation (4, 5, 6) in Table 3.

$$P(n) = \frac{TP}{TP + FP} \tag{4}$$

$$R(n) = \frac{TP}{TP + FN} \tag{5}$$

$$F1Score(n) = \frac{TP + TF}{TP + TF + FP + FN} \tag{6}$$

Table 3. Performance values of some classes.

Prediction Values	Newbalance	Oysho	Rossmann	Suwen	Swarovski	R	P	F1 Score
Newbalance	55	0	0	0	0	0.95	0.98	0.96
Oysho	0	48	0	0	0	0.93	0.97	0.95
Rossmann	0	0	44	0	0	0.94	0.97	0.95
Suwen	0	0	0	30	0	0.93	0.96	0.94
Swarovski	0	0	0	2	51	0.94	0.95	0.94

K-fold cross validation allows us to see if the high performance of the model is random. This method shows both whether we are facing an overfitting problem and the quality of the model. A 10-fold cross validation method is used to increase the validity of the created model. The success value and the average cross validation success value obtained in each fold of the model are shown in Table 4. The mean cross validation Acc value is calculated as 94%.

Table 4. 10- fold accuracy values of model.

Fold1	Fold2	Fold3	Fold4	Fold5	Fold6	Fold7	Fold8	Fold 9	Fold 10	Average
92.61	92.84	96.43	94.63	93.42	93.15	94.84	94.63	93.41	92.10	94

The results of different navigation applications according to the hardware and software used in the interior are shown in Table 5. Although there are studies based on deep learning architecture in interior spaces, in this study a mobile guidance application specific to a single shopping center was implemented.

Table 5. Different indoor navigation study results.

Studies	Task	Score
Path planning for indoor mobile robot based on deep learning[50]	Indoor path planning	95.6%
Scene perception based visual navigation of mobile robot in indoor environment [51]	Indoor navigation	94.2%
Hybrid deep learning model based indoor positioning using Wi-Fi RSSI heat maps for autonomous applications [52]	Indoor navigation	88%
Multi goals and multi scenes visual maples navigation in indoor using meta-learning and scene priors [53]	Indoor navigation	80%
This study	**Indoor navigation**	**96%**

The results comparision of different classification and mobile application studies carried out with the MobileNetV2 architecture is shown in the Table 6. In our study, as a result of the training carried out with indoor images, a successful result was achieved in image classification and the user was guided through the classification model in the Android environment. The study also contributes to the use of the MobilNetV2 transfer learning approach in indoor spaces.

Table 6. *Different mobile application study results with MobileNetV2.*

Studies	Task	Score
Health protocol system: Face mask detection using deep transfer learning [54]	Feature extraction	99.24%
Android skin cancer detection and classification based on MobileNetV2 model [55]	Detection-classification	95%-70%
Classification of pollen-bearing honeybees using MobileNetV2 architecture [56]	Classification	91%
Diet application that can recognize Turkish foods with deep learning [57]	Detection	78%
This study	**Classification**	**96%**

IV. CONCLUSION

GPS information is not always sufficient for indoor navigation studies. For this reason, different hardware alternatives are offered to the user in indoor navigation studies. Hardware-based studies have cost and time constraints at the point of implementation. Therefore, in this application, the phone has been preferred in this application because it is a portable and widely used device.

In addition, the lack of GPS information at every point formed the main motivation of this study. This work can be used for any building with a floor plan. Transfer learning-based approach is used to determine the locations of the spaces, and 98% success is achieved in the training images and 96% in the test images. Since this is a real-time running app, the quality of the user's store images can affect the app's response time. Therefore, images should be clear and legible. For the application to work efficiently, the user must follow the given route. Since there is no instant location tracking in the study, the application must be restarted when a different route is entered. User feedback and store change status will be checked in the next versions of the application.

The application is image-based to be able to use it in places such as hospitals, factories, airports. For this reason, a direction is not made by typing the name of the starting and destination point as in normal navigation systems. It is planned to add a route tracking and voice warning system with a low-cost technology. The floor plan database of the application can be expanded by adding floor plans of different and popular shopping malls. Thus, the user who downloads the application can reach the store he is looking for in different shopping malls in a fast, easy, without asking anyone, and shortest way.

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Düzce University Journal of Science & Technology

Research Article

Distributed Generation Approach with Helping of Charging Stations

Ali İhsan AYGÜN [a],[*]

a Department of Electric-Electronics, Faculty of Engineering, Düzce University, Düzce, TURKEY
* Corresponding author's e-mail address: aliihsanaygun@duzce.edu.tr

ABSTRACT

This study addresses the optimization difficulties created by the combination of distributed generation (DG) and charging stations (CS), with the key difference that charging stations not only permit electric vehicle charging but also actively contribute to power supply. Using Convex Optimization (CVX) methods, the study formulates and solves optimization issues for coordinating and controlling DG units, taking into account charging stations' dual roles as power suppliers. The findings indicate that EVs can significantly contribute to grid stability, but challenges such as battery degradation and the need for advanced battery management systems (BMS) must be addressed to optimize these benefits. Simulation results show a potential improvement in grid stability the promise and the practical considerations of this innovative approach.

Keywords: Distributed Generation, Electric Vehicle Charging Stations, Convex Optimization, Energy Management, Power System Optimization

Şarj İstasyonlarının Yardımıyla Dağıtık Üretim Yaklaşımı

ÖZ

Bu makale, dağıtık enerji üretimi (DG) ve şarj istasyonlarının entegrasyonundan kaynaklanan optimizasyon zorluklarına odaklanmaktadır. Özel bir nokta ise şarj istasyonlarının yalnızca elektrikli araç şarjını kolaylaştırmakla kalmayıp aynı zamanda aktif bir şekilde enerji tedarik etmeleridir. Convex Optimization (CVX) yöntemlerini kullanarak, çalışma, şarj istasyonlarını enerji tedarikçisi olarak dikkate alarak DG birimlerini koordine etmek ve kontrol etmek için optimizasyon problemlerini formüle etmekte ve çözmektedir. Bu yaklaşımın amacı, şebeke istikrarını artırmak ve enerji dağıtımını optimize etmektir. Bulgular, EV'lerin şebeke istikrarına önemli ölçüde katkıda bulunabileceğini, ancak bu faydaları optimize etmek için pilin bozulması ve gelişmiş pil yönetim sistemlerine (BMS) duyulan ihtiyaç gibi zorlukların ele alınması gerektiğini gösteriyor. Simülasyon sonuçları, şebeke istikrarında potansiyel bir iyileşme olduğunu, bu yenilikçi yaklaşımın vaadini ve pratik hususlarını göstermektedir.

Anahtar Kelimeler: Dağıtık Üretim, Elektrikli Araç Şarj İstasyonları, Dışbükey Optimizasyon, Enerji Yönetimi, Güç Sistemi Optimizasyonu

I. INTRODUCTION

The development of Electric Vehicles (EVs) is a turning point in the automotive industry, demonstrating a key transition towards a more sustainable and environmentally sensitive paradigm of transportation. The move from internal combustion engines to electric power has become a key component of international efforts to reduce environmental impact, pushed by growing concerns about air quality and climate change [1-2]. The development of electric vehicles (EVs) has progressed at an impressive rate due to developments in battery technology, increased energy efficiency, and growing interest in environmentally friendly transportation options. This change represents a major turning point in the history of mobility and opens the door to a future where personal transportation is more sustainable and cleaner [2-3].

The benefits of electric vehicles (EVs) go beyond environmental factors same as other sources [4] to include practical and economic aspects [6-7]. Electric vehicles (EVs) are a desirable option for fleet operators and individual consumers alike due to their lower maintenance costs, less reliance on oil, and lower operating costs. In addition, EVs' developing infrastructure, which includes a growing network of charging stations, makes it easier for them to integrate seamlessly into daily life [7-8].

The role that electric vehicles (EVs) can play as flexible mobile energy storage has received a lot of attention lately, especially when it comes to power grid management—especially when those power grids are dependent on renewable energy sources. Furthermore, bidirectional energy flow and two-way communication between EVs and the grid are made possible by the vehicle-to-grid (V2G) technology [8-9]. As noted in [10], in recent years, concepts like vehicle-to-home (V2H), vehicle-to-vehicle (V2V), and vehicle-to-grid (V2G) have become more and more appealing, with the potential to become a reality in the near future due to the charging/discharging capabilities of EVs and the energy-efficient requirements of power grids.

Prior studies [11-12-13] have demonstrated the potential of V2G in enhancing grid resilience and efficiency. Additionally, convex optimization has been widely applied in energy management systems for its ability to provide global optimal solutions under various constraints [12]. These references underline the relevance and innovative nature of combining V2G and convex optimization in this study. The ever-growing landscape of distributed generation and the widespread adoption of electric vehicles introduce a novel dimension where charging stations not only facilitate charging but also actively contribute to the power grid. This paper delves into the challenges and opportunities presented by this dual role of charging stations. Employing Convex Optimization methods [14], the study seeks to optimize the coordination and control of distributed generation units, taking into account the unique characteristic of charging stations as active power suppliers. The introduction outlines the motivation for this research, highlights the significance of addressing the dual-role charging stations, and presents the current state of the field.

In this article, the emphasis is placed on the V2G (Vehicle-to-Grid) capability of electric vehicles as a form of distributed generation (DG). Unlike traditional DG methods which include renewable sources like solar and wind, this study specifically explores the potential of electric vehicles to supply power back to the grid. This dual functionality of EVs not only supports the energy infrastructure but also contributes to grid stability and efficiency. The primary focus of this paper is to analyze both the technical and economic impacts of integrating V2G with distributed generation systems. Simulation results will distinctly address the technical aspects, such as power distribution and grid stability, and the economic aspects, including cost evaluation. For instance, the technical impact is evaluated through parameters like voltage stability and load balancing, while the economic impact is quantified using specific cost metrics and savings.

The paper's organization is as follows: in Section II explanation of the background of distributed generation and definition of convex optimization problem and the integration of proposed approach. In

Section III, focuses on presenting case studies and the simulation results. Conclusions are given in Section IV.

II. PRELIMINARIES

A. OPPORTUNITIES AND OBSTACLES OF ELECTRIC VEHICLES AS DISTRIBUTED ENERGY SUPPLIER

EVs have emerged as dynamic assets capable of enhancing grid stability by serving as flexible mobile energy storage units, mitigating strain during peak demand periods and emergencies. Their integration holds promise in supporting the balance between energy supply and demand, especially crucial in the context of intermittent renewable energy sources, thus contributing to a more resilient and adaptable grid infrastructure. Economically, EV owners stand to gain from participating in vehicle-to-grid (V2G) programs, tapping into additional revenue streams through the sale of excess energy back to the grid [15-16]. Simultaneously, utility companies can leverage the existing EV fleet to optimize resource allocation, thereby potentially saving on the costs associated with building new power plants or storage systems. Beyond economic advantages, the environmental impact of integrating EVs into the energy ecosystem cannot be overstated, with reduced reliance on fossil fuels leading to lower greenhouse gas emissions and fostering a more sustainable energy paradigm.

However, alongside these opportunities, a set of formidable obstacles must be addressed to unlock the full potential of EVs in this capacity. Battery degradation emerges as a significant concern, with frequent charging and discharging cycles accelerating wear and potentially reducing overall battery lifespan [17-18] is addressing the impact of vehicle-to-grid (V2G) on battery degradation and degradation is a critical concern for the successful implementation of V2G deployment This not only presents a challenge for maintaining EV fleets but also raises questions about the long-term viability of V2G participation. Technological and infrastructure limitations further complicate matters, as current grid infrastructure may not be adequately equipped to handle the bidirectional flow of energy between EVs and the grid. Overcoming these challenges requires substantial investment in infrastructure upgrades and the development of advanced battery management systems to ensure optimal performance and longevity. Additionally, economic and policy considerations play a crucial role in determining the feasibility of integrating EVs into the energy ecosystem. Economic viability hinges on factors such as electricity prices, incentives, and the cost of battery replacement, necessitating a clear and supportive policy framework to incentivize widespread adoption.

B. DISTRIBUTED GENERATION

Distributed generation refers to the generation of electricity from various small-scale energy sources located near the end-users, reducing the need for centralized power plants [22-23]. This approach aims to enhance energy efficiency, reliability, and sustainability. Mathematical equations play a crucial role in modeling and optimizing distributed generation systems. These equations encompass diverse parameters such as power output, efficiency, and cost factors, allowing engineers and researchers to formulate models that optimize the deployment and operation of distributed generation technologies. By employing mathematical equations, stakeholders can analyze the economic viability, environmental impact, and overall performance of distributed generation systems, fostering advancements in the integration of renewable energy sources into decentralized power networks [19-20]. In a distributed generation system, a quadratic cost function might be expressed as:

$$C(q) = aq^2 + bq + c \tag{1}$$

Where, $C(q)$ is the total cost as a function of the quantity q, which could represent the installed capacity or power output of the distributed generation system. a, b, and c are coefficients that depend on various factors such as initial invesment costs, variable costs, and fixed costs. The quadratic term aq^2 signifies

that the cost is proportional to the square of the quantity, suggesting economies or diseconomies of scale. The linear term bq captures additional costs that may increase linearly with the quantity, and the constant term c represents fixed costs that do not depend on the quantity.

C. CONVEX OPTİMİZATİON

Convex optimization is chosen for its robust ability to handle complex energy management problems while ensuring global optimality and computational efficiency. In the literature, convex optimization has been recommended for its tractability and effectiveness in distributed energy resource management [21]. By leveraging these properties, this study aims to optimize the coordination of DG units with V2G capabilities effectively.

Convex optimization is a mathematical discipline focused on the minimization or maximization of convex functions, subject to linear equality and inequality constraints. A convex function is one whose domain is a convex set, and it satisfies the property that the line segment connecting any two points on its graph lies above the graph itself. The general form of a convex optimization problem is given by:

$$
\begin{aligned}
\text{minimize} \quad & f(x) \\
\text{subject to} \quad & g_i(x) \leq 0, \quad i = 1, \dots, m \\
& h_j(x) = 0, \quad j = 1, \dots, p,
\end{aligned}
\tag{2}
$$

where x is the optimization variable, $f(x)$ is the objective are the function, $g_i(x)$'s are the inequality constraints, and $h_j(x)$'s are optimization problems the equality constraints. Convex optimization problems have widespread applications in various fields, including machine learning, signal processing, and control systems.

The CVX method provides a convenient and expressive way to formulate and solve convex optimization problems in MATLAB. The CVX package allows users to specify optimization problems using a natural and readable syntax. For instance, the objective and constraints of a convex optimization problem can be expressed concisely in CVX as:
Consider the subsequent optimization presented in its standard format:

$$
\begin{aligned}
\text{minimize} \quad & f_0(x) \\
\text{subject to} \quad & f_i(x) \leq 0, \quad i = 1, \dots, m \\
& h_i(x) = 0, \quad i = 1, \dots, p
\end{aligned}
\tag{3}
$$

Convex optimization offers numerous advantages, making it a powerful tool for solving a wide range of optimization problems. One key advantage lies in the mathematical tractability of convex functions, ensuring that a local minimum is also a global minimum, simplifying the optimization process. Convex optimization problems are well-structured, allowing for efficient algorithms that guarantee convergence to the optimal solution. Additionally, the duality theory associated with convex optimization enables the derivation of strong theoretical guarantees, such as optimality conditions and bounds on the optimality gap.

When compared to non-convex optimization methods, convex optimization stands out in terms of global optimality guarantees. In non-convex optimization, finding a global minimum is challenging due to the presence of multiple local minima. Convex optimization, on the other hand, provides assurance that the solution obtained is globally optimal, eliminating concerns about getting trapped in suboptimal solutions. Convex optimization methods, illustrated by ule CVX package in MATLAB, also excel in terms of ease of implementation and readability. The clear syntax of CVX enables users to articulate difficult optimization issues in a comprehensible manner. Convex optimization attracts to researchers and practitioners in domains such as machine learning, finance, and engineering due to its simple nature of use and ability to solve a wide range of convex problems.

In summary, the advantages of convex optimization, including mathematical tractability, efficient algorithms, global optimality guarantees, and user-friendly interfaces like CVX, position it as a preferred approach for addressing optimization challenges in diverse applications.

III. CASE STUDIES

Distributed generation sources based on renewable energy can be integrated into the modern distribution system, and the percentage used has been continually increasing. After utilizing different approaches for each aggregator, we developed distributed generation dispatch approach with the help of vehicle charging station. We assumed that there is one slack bus, and 3 charging stations are capable supply power during one day which is 1440 minutes. Each charging station are considered a supply bus. To achieve the best outcome for the objective function, we employ CVX, a MATLAB®-based software (R2018b). The simulations were carried out on a Windows-based computer featuring a 2.8 GHz Intel Core-i5 processor and 16 GB of RAM. Our case studies are developed by following criteria's:

Total power that is supplied in each time period must equal the demand:

$$\sum_{i=1}^{n} P_i(t) = d_t \ , t = 1, \dots, 1440 \tag{4}$$

Fach bus has a minimum and maximum allowed output power:

$$P_i^{min} \le P_{i,t} \le P_i^{max} \ , t = 1, \dots, 1440 \tag{5}$$

We assume that cost functions are quadratic:

$$\phi_i(u) = \delta + \alpha_i u + \beta_i u^2 \tag{6}$$

δ = cost coefficients of the ith bus
α_i = cost coefficients of the ith bus
β_i = cost coefficients of the ith bus
u = amount of power

Using equation 6, we developed our objective function which is given in equation 7 by considering equations 4-5 and 6.

$$C = \sum_{i=1}^{n} \sum_{t=1}^{T} \phi_i(p_{i,t}) \tag{7}$$

minimize $\quad \sum_{t=1}^{T} \left(\phi_i(p_{i,t}) \right)$

subject to $\quad P_i^{min} \le p_{i,t} \le P_i^{max}, t = 1, \dots, T$ $\qquad\qquad\qquad$ (8)

$\qquad\qquad \sum_{i=1}^{n} P_i(t) = d_t \ , \ t = 1, \dots, T$

We assume that slack bus is main bus that cover the demand, it has lowest cost coefficients. The bus demand is given in Figure 1. In Case I we are observing if slack bus is not able to meet the total demand, we can see that charging stations become active regarding to cost coefficient. In this case charging station 4 is not active and other supply are not exceeding their maximum supply limit. Coefficients of cost function are given Table 1.
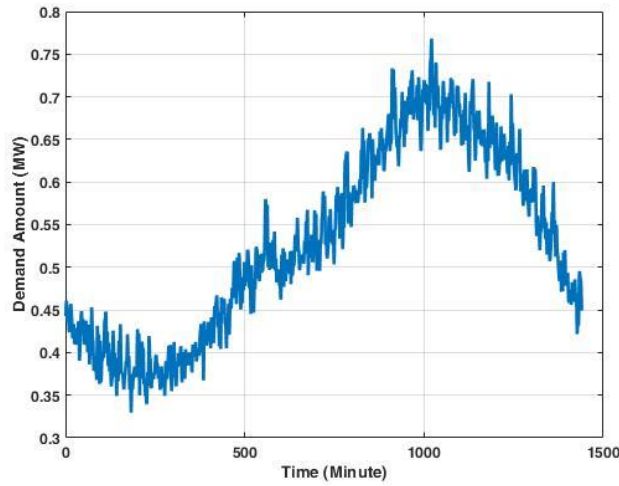
Figure 1. *Power demand during a day*

Table 1. *Parameters of cost function for Case I*

	δ	α_i	β_i	Pmax	Pmin
Slack Bus	3	0,1	0,1	0,6	0
Charging Station-1	0,5	0,4	0,1	0,1	0
Charging Station-2	0,5	0,5	0,1	0,1	0
Charging Station-3	0,5	0,6	0,1	0,1	0

After utilizing proposed algorithm, power supply and cost are calculated in Figure 2. In Case I, where the slack bus is unable to meet total demand, charging stations with lower cost coefficients are activated, then total demand is covered. However, total cost of power is increased around %100 percent by using different charging stations.
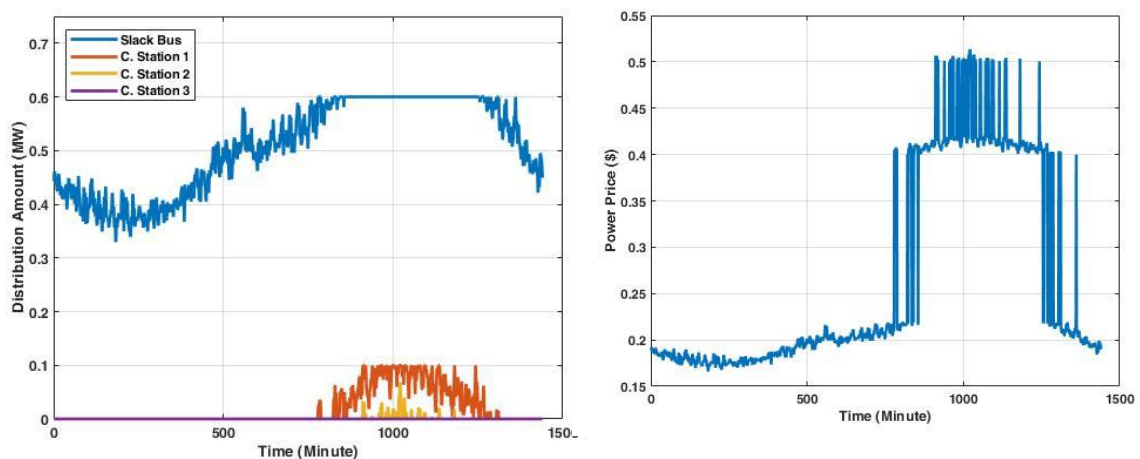
Figure 2. (a) *Power distribution amount.* **(b)** *Power price after distribution.*

In case II, we assume that slack bus is not able to cover the demand for a certain time and all charging stations have to power during emergency. In this case, we decrease slack bus Pmax amount from 0.6 mw to 0.5 mw and other parameters remain same which is given Table 2.

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Table 2. *Parameters of cost function for Case II*

	δ	α_i	β_i	Pmax	Pmin
Slack Bus	3	0,1	0,1	0,5	0
Charging Station-1	0,5	0,4	0,1	0,1	0
Charging Station-2	0,5	0,5	0,1	0,1	0
Charging Station-3	0,5	0,6	0,1	0,1	0

After utilizing proposed algorithm, power supply and cost are calculated in Figure 3. In Case II, where the slack bus is unable to meet total demand, charging stations with lower cost coefficients are activated, then total demand is covered. However, total cost of power is increased more than case I, because this time charging station 3 is also active and it has biggest cost efficient.
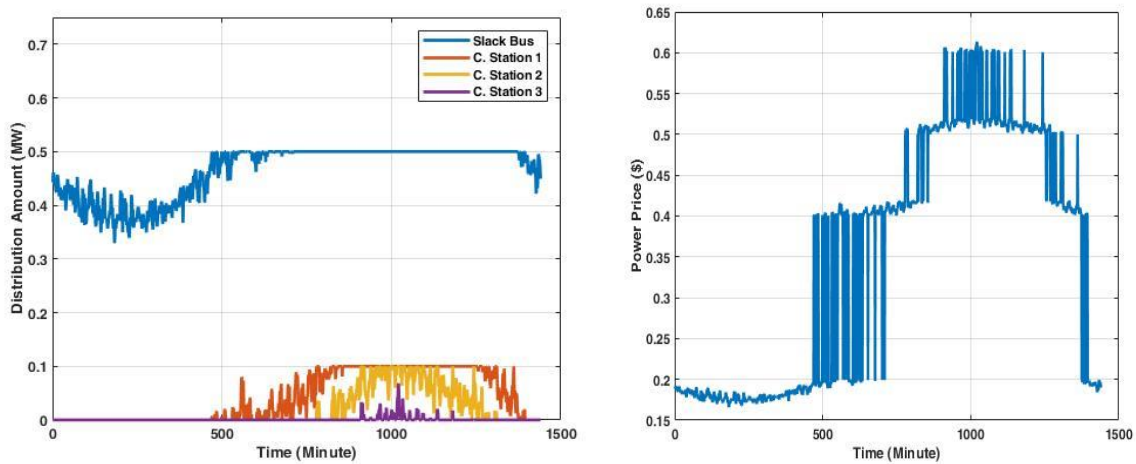
Figure 3. *(a) Power distribution amount.* *(b) Power price after distribution.*

IV. CONCLUSION

In conclusion, this paper presents a distributed generation approach that effectively integrates charging stations as active power suppliers. Utilizing Convex Optimization methods, the study successfully addresses the optimization challenges associated with the coordination and control of distributed generation in the presence of charging stations with a dual role. As electric vehicle adoption continues to rise, the proposed approach provides a foundation for resilient and efficient power infrastructure accommodating the dual functionality of charging stations. This study finds that V2G integration via convex optimization significantly enhances grid stability enhancement and optimal energy distribution. Future research could explore the integration of other optimization techniques and real-time data analytics to further improve system efficiency and resilience. Additionally, expanding the scope to include renewable energy sources alongside V2G could provide comprehensive solutions for sustainable energy management.

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Thermal Analysis of Photovoltaic Panel Cooled by Electrospray Using Different Fluids

iD Abdüssamed KABAKUŞ [a,*], iD Fatin SÖNMEZ [a], iD Ahmet ÖZTÜRK [a]

[a] Department of Machine and Metal Technologies, Artvin Çoruh University, Artvin, TURKEY
* Corresponding author's e-mail address: akabakus@artvin.edu.tr
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ABSTRACT

In this study, the cooling performance of the photovoltaic (PV) panel was examined by the electrospray cooling method. The experiments were carried out under 1000 W/m² irradiation, 25 G nozzle diameter and 70 mm nozzle-to-PV panel distance and 20 kV voltage. Water, ethanol and water - ethanol (50%- 50%) mixture were atomized and sprayed on the panel surface at flow rates of 50-80-110 ml/h. The results showed that electrical power output decreased with increasing PV panel surface temperature. Ethanol and water - ethanol mixture showed a more effective cooling performance than water, especially at flow rates of 80 and 110 ml/h. At the highest flow rate, ethanol reduced the panel temperature by 59%, providing 6,8% more electrical power output than the uncooled condition. These findings show that the electrospray cooling method is effective in increasing the electrical efficiency of PV panels and that better cooling performance is achieved with ethanol, water - ethanol mixture compared to water.

Keywords: PV panel, Electrospray cooling, Solar energy

Farklı Akışkanlar Kullanılarak Elektrosprey ile Soğutulan Fotovoltaik Panelin Termal Analizi

ÖZ

Bu çalışmada, fotovoltaik (PV) panelin elektrosprey soğutma yöntemi ile soğutma performansı incelenmiştir. Deneyler, 1000 W/m² ışınım, 25 G nozul çapı ve 70 mm nozul-PV panel arası mesafesi ve 20 kV gerilim altında gerçekleştirilmiştir. Su, etanol ve su - etanol (%50-%50) karışımı, 50-80-110 ml/h debilerde atomize edilerek panel yüzeyine püskürtülmüştür. Sonuçlar, PV panel yüzey sıcaklığının artmasıyla elektrik güç çıkışının azaldığını göstermiştir. Etanol ve su - etanol karışımı, özellikle 80 ve 110 ml/h debilerde, suya göre daha etkili bir soğutma performansı sergilemiştir. En yüksek debide etanol, panel sıcaklığını %59 düşürerek soğutulmamış duruma göre %6,8 daha fazla elektrik güç çıkışı sağlamıştır. Bu bulgular, elektrosprey soğutma yönteminin PV panellerin elektriksel verimini artırmada etkili olduğunu ve etanol, su - etanol karışımı ile suya göre daha iyi soğutma performansı elde edildiğini göstermektedir.

Anahtar Kelimeler: PV panel, Elektrosprey soğutma, Güneş enerjisi

I. INTRODUCTION

The rapid increase in energy demand and the increase in global warming and greenhouse effect caused by fossil fuel consumption have increased interest in renewable energy sources [1]. Solar energy is an important energy source for a sustainable future. In the sustainable energy production of photovoltaic panels, variable weather conditions cause uncertainties in power output. Especially the variability of weather conditions affecting PV panel power output brings some challenges. Meteorological conditions such as cloud cover, solar radiation, air temperature, humidity and dust accumulation significantly affect PV panel performance [2], [3].

The basis of solar energy systems is the generation of electricity from solar radiation through photovoltaic modules. PV panels in solar systems consist of small cells [4]. The temperature of the cells is an important factor affecting the output power of PV modules [5], [6]. An increase in solar panel temperature causes an increase in current intensity and a sudden drop in open circuit voltage [7]. As the temperature increases, the voltage drops, which leads to a decrease in the electrical efficiency of the panel [8], [9]. Therefore, cooling of PV panels is important to the operational output power closer to the rated power [10].

Many cooling methods have been used in the literature to reduce the temperature and provide thermal control of PV panels. There are two types of methods for cooling PV panels: active and passive cooling systems [11], [12]. Active cooling systems need external fans and pumps to allow heat to move away from the PV cells, while passive cooling systems rely on natural convection and do not require additional power [13].

Apart from forced and natural air cooling, evaporative cooling offers an effective solution for cooling PV panels by using the latent heat of the evaporation process of water [14]. Many studies have been carried out in the literature on cooling PV panels with water spray, which is one of the active cooling methods. Bevilacqua et al. [15] proposed a new thermal model by spray cooling the PV panel from its back surface. As a result, they found that the electrical power increased by 7.8% and the average cell temperature decreased by 28.2% during peak irradiation hours. Shalaby et al. [16] experimentally investigated the effect of cooling the back surface of the PV panel on electrical power generation and efficiency. As a result, the power generation of the PV panel increased by about 14.1% when the cooling system they proposed was applied. Nižetić et al. [17] obtained 16.3% increase in electrical power output and 14.1% increase in PV panel efficiency with spray cooling in their experimental study. By cooling the PV panel from both the front and the back, they reduced the temperature from 54 °C to 24 °C. With this study, the researchers emphasized that spray cooling is an effective method for PV panel cooling. Agyekum et al. [18] showed that cooling PV panels and lowering the temperature by 23 °C increased the output power by 30%. While the average efficiency was 12.83% without cooling, this rate was realized as 14.36% when the temperature was lowered. Abdolzadeh and Ameri [19] conducted an experimental study to improve the performance of photovoltaic water pumping system with water spray. As a result, they increased PV cell efficiency by 3.26%, subsystem efficiency by 1.4% and total efficiency by 1.35%. Raju et al. [20] developed a 3D CFD model to determine the optimum amount of water for a water spray cooled PV panel. As a result, they determined the optimum flow rate as 170 l/s. At this flow rate, they obtained PV panel power output as 40.25 W and panel electrical efficiency as 15.73%.

Ethanol is a promising type of additive due to its potential to improve atomization performance with low surface tension and contact angle compared to water [21], [22]. Yin et al. [23] experimentally tested the effect of spray cooling on heat transfer using both water and a 4% ethanol-water mixture as the working fluid. They showed that for a fixed nozzle, the particle mean diameter was smaller for the 4% ethanol-water mixture. As a result, they showed that the heat transfer efficiency of 4% ethanol-water mixture is superior to water. Liu et al. [24] carried out an experimental study to determine the effect of mixing different alcohols with water at different ratios on heat transfer. The results showed that adding a small amount of alcohol to water can significantly reduce the surface tension and contact angle.

As an emerging alternative cooling technology, electrospray cooling has superior advantages such as stable droplet diameter, flexible installation and low power requirements [25]. The most important advantage of this method is that the spray particles produced by electrospray are smaller than droplets produced by mechanical atomizers. In addition, homogeneous droplet production, directivity of electrically charged droplets, and easy application are among the other advantages of electrospray cooling [26]–[28].

In electrospray cooling, an electric voltage is generated between a high-temperature metal or metal-coated surface and a stainless steel nozzle. At the exit of the nozzle, the liquid with low surface tension and high dielectric constant succumbs to the electric voltage and atomization takes place [29]. In this way, the liquid particles hitting the hot surface realize high heat transfer on the surface and cause cooling by removing heat [30]. The electrospray cooling mechanism is given in **Figure 1**.
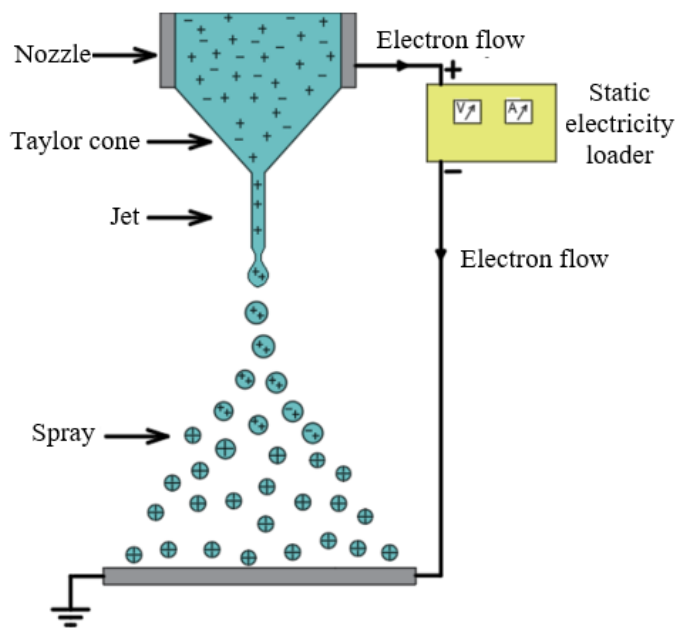
Figure 1. Schematic view of electrospray cooling [31]

The literature review shows that there are different parameters affecting the performance of PV panels. Among these parameters, it is stated that temperature is one of the important parameters affecting PV panel efficiency. It is stated that different cooling methods are used to minimize the effect of temperature in PV panels and to provide thermal control, and cooling with water spray is a very effective method.

Although electrospray cooling is an effective method that has been used/researched in the literature in recent years, especially for cooling heat sinks, it has not been used for cooling PV panels. In this study, the change in power output and cooling time of the PV panel by electrospray cooling using different fluids (water, ethanol and water - ethanol) and fluid flow rates (50-80-110 ml/h) were investigated.

II. MATERIALS and METHODS

In this study, an experimental setup using an electrospray cooling system was established to reduce the operating temperature of the PV panel and increase its efficiency and electrical power output. A schematic view of the experimental setup is given in **Figure 2**. The cell type of the PV panel is polycrystalline and its properties under standard test conditions (T=25 °C and R=1000 W/m²) are presented in **Table 1**. As shown in **Figure 3**, the PV panel with dimensions of 125×135×2 mm is cooled by electrospray. The PV panel is placed at an angle of 90° to the horizontal to avoid liquid accumulation

on the cooling surface and to ensure that the rays from the light source are vertical to the surface. The electrospray cooling nozzle is aligned with the geometric center of the PV panel. The distance between the nozzle and the PV panel is 70 mm. The nozzle is made of stainless steel and has a diameter of 25 G (d_i=0.25 mm).
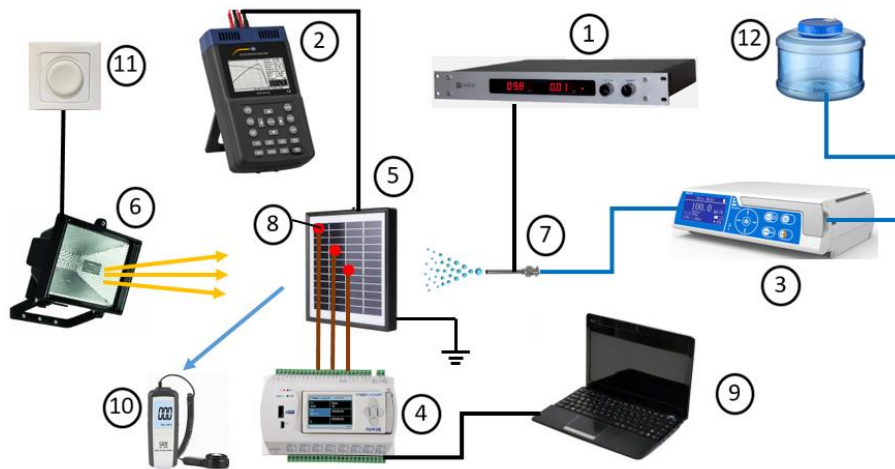
Figure 2. *Schematic diagram of the experimental setup (1- High Voltage Power Supply, 2- Solar Module Analyzer, 3- Infusion Pump, 4- Datalogger, 5- PV Panel, 6- Halogen Projector, 7- Nozzle, 8- Thermocouple, 9- Computer, 10- Solar Power Meter, 11- Dimmer, 12- Reservoir)*

Table 1. *Characteristics of the PV panel*

Electrical Characteristics	
Maximum Power Rating (P_{max})	530.8 mW
Open Circuit Voltage (V_{oc})	14.54 V
Short Circuit Current (I_{sc})	51 mA
Voltage at Maximum Power (V_{mp})	13.27 V
Current at Maximum Power (I_{mp})	40 mA
Nominal Operating Cell Temperature	25 °C
Physical Characteristics	
Cell Type	Polycrystalline
Cell Size	25×8.5 mm
Cell Number	48
Module Dimension (L×W×T)	135×125×2 mm
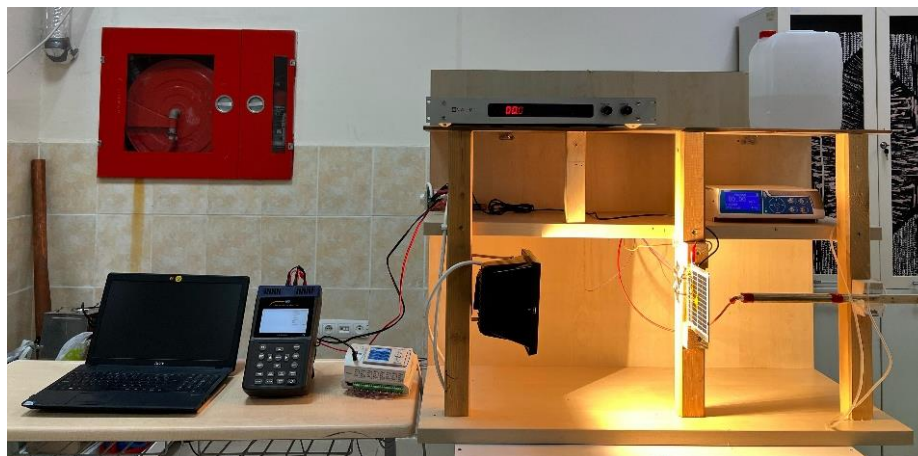
Figure 3. *View of the experimental setup*

In the experiments carried out under laboratory conditions, a 500 W halogen lamp projector was used to create artificial sunlight. The distance between the projector and the PV panel is 350 mm. The irradiance was adjusted with a dimmer and measured with Cem DT-1307 solar power meter. Water, ethanol and a mixture of water - ethanol (50%-50%) were used as coolant fluid. In the experiments, an infusion pump (Hedy 15) was used to deliver coolant fluid at a constant flow rate to the stainless steel nozzle. The coolant fluid was atomized by a high voltage power supply (Nanoliz NL-K25). The experiments were carried out under a constant voltage of 20 kV. In the experiments, multijet electrospray mode was observed at all flow rates. The electrospray view is given in **Figure 4**.

Figure 4. *Electrospray generation*

In order for the electrically charged coolant fluid particles to discharge their charges and electrospray formation to occur, the back surface of the PV panel was covered with aluminum foil and grounding connection was made. Heat conduction paste was applied between the back surface of the PV panel and the aluminum foil to prevent contact resistance. Since the thickness of the aluminum foil is too low (0.016 mm), the thermal resistance caused by the aluminum foil is neglected. A solar module analyzer (PCE-PVA 100) was used to record the voltage, current and power generated by the PV panel over time.

In the experiments, the average temperature values on the PV panel and the ambient temperature were measured with T-type thermocouples. Three thermocouples (T1, T2 and T3) were placed on the PV panel at equal intervals starting from the center to the corner point of the panel (**Figure 5**). The thermocouples were fixed to the front surface of the panel with thermal tapes in order not to be affected by the electrospray and the temperature values were read. The temperature data were transferred to the computer using a data logger (Novus-Fieldlogger). PV panel temperature values were determined by averaging the transferred temperature values.
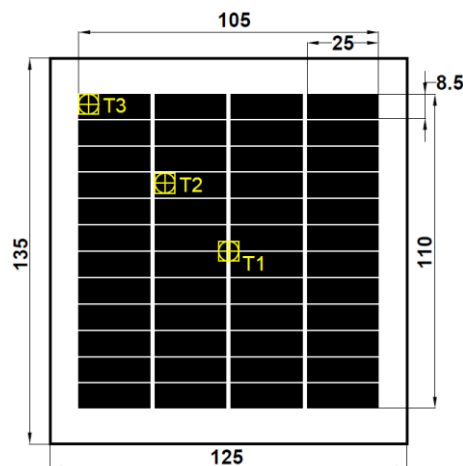
Figure 5. *PV panel dimensions and placement of thermocouples*

The experiments were carried out at 1000 W/m^2 irradiance and coolant fluid flow rates of 50-80-110 ml/h. Then, the voltage-current values were determined and the power-temperature graph was obtained. The total input power to the PV panel was calculated as follows (**Equation 1**).

$$P_g = R.A \tag{1}$$

Where P_g (W) is the amount of radiation acting on the panel, R (W/m^2) is the solar radiation measured at the PV surface and A (m^2) is the PV panel surface area. The maximum output electrical power is calculated as follows (**Equation 2**):

$$P_{maks} = I_{opt}.V_{opt} \tag{2}$$

Where P_{maks} is the maximum power, I_{opt} (A) is the current at the maximum power point and V_{opt} (V) is the optimum voltage value.

Uncertainty analysis

In the experimental system, parameter values for voltage-current, radiation and temperature were measured. Uncertainty analysis was performed for the results obtained from the measurements of these parameters. Uncertainty analysis provides information about the reliability of the experimental system and reveals the parameter that causes the highest deviation [32]. The sensitivity and uncertainties of the equipment in the experimental system are given in **Table 2**.

Table 2. Accuracy and uncertainty of measurement equipment

Equipment	Accuracy (%)	Uncertainty
High Voltage Power Supply	±0.01	±5 mV
	±0.2	±2 mA
Solar Module Analyzer	±1	±0.1 V
	±1	±9 mA
Infusion Pump	±2	±0.2 ml
Datalogger	±0.2	±1 °C
Solar Power Meter	±5	±10 W/m^2

At the result of the experimental study, the uncertainty analysis was performed with **Equation 3**.

$$w_R = \left[\left(\frac{\partial R}{\partial x_1} w_1 \right)^2 + \left(\frac{\partial R}{\partial x_2} w_2 \right)^2 + \ldots\ldots\ldots + \left(\frac{\partial R}{\partial x_n} w_n \right)^2 \right]^{0,5} \tag{3}$$

Where w_R is the system uncertainty, $(x_1, x_2, \ldots\ldots, x_n)$ are the independent variables, R is the function of independent variables, $(w_1, w_2, \ldots\ldots, w_n)$ is the uncertainty of independent variables [33]. Using the above mentioned equation, the experimental uncertainty is calculated as P_{maks} 0.25% for the panel power output.

III. RESULTS and DISCUSSION

In this study, the cooling performance of a photovoltaic panel by electrospray is experimentally investigated. The experiments were conducted at 1000 W/m^2 irradiance, 25 G (d$_i$=0.25 mm) nozzle diameter, 70 mm nozzle-to-PV panel distance and 20 kV nozzle-to-PV panel voltage. These parameters were chosen for the condition where the highest contact area of the spray particles occurs on the PV panel surface. Water, ethanol and a mixture of water - ethanol (50%-50%) were used as coolant fluid.

The coolant fluids were atomized at flow rates of 50-80-110 ml/h and sprayed on the panel surface. The experiments were carried out in the laboratory environment where the coolant fluid temperature and ambient temperature were stable and the same.
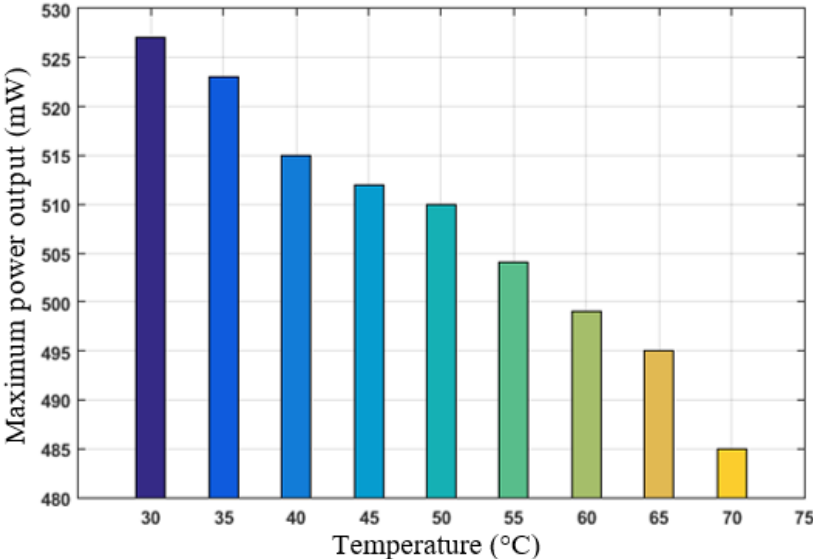
Figure 6. Variation of PV panel power output with temperature at 1000 W/m² irradiance

The variation of the electrical power output of the PV panel with temperature at 1000 W/m² irradiance is given in **Figure 6**. The experiments were started at the temperature value where the panel and ambient temperature were the same and completed at the maximum temperature value that can be reached with the irradiation applied to the PV panel. **Figure 6** shows that the PV panel power output decreases with increasing temperature. There is approximately 7.4% difference between the power output obtained from the panel with a surface temperature of 30 °C and the panel with a surface temperature of 70 °C. In order to increase the power output by decreasing the surface temperature of the PV panel used in the experiments, a mixture of water, ethanol and water - ethanol was atomized by electrospray and sprayed on the PV panel surface. The time dependent variation of PV panel temperature at different flow rates is presented in **Figures 7-8-9**.
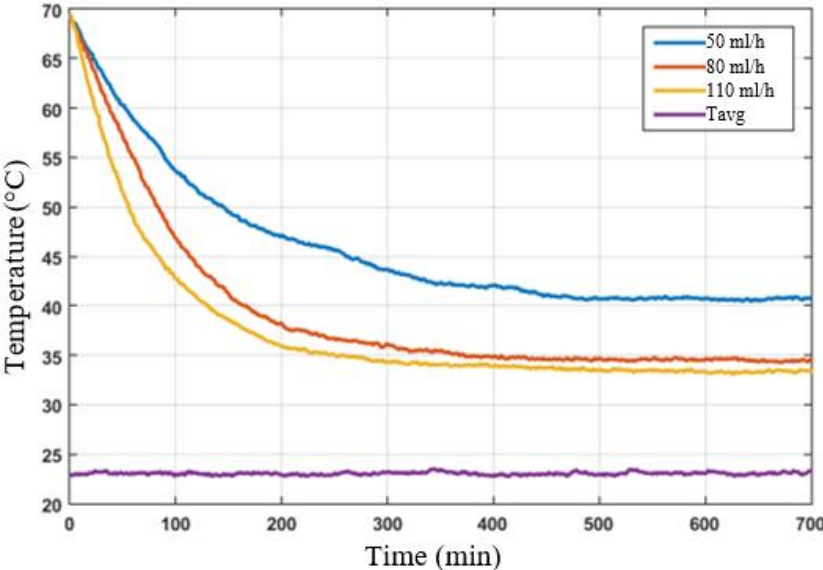
Figure 7. Time dependent variation of the temperature of the PV panel cooled with water at different flow rates

The temperature change-time graph obtained by cooling the PV panel with water spray at a flow rate of 50-80-110 ml/h is given in **Figure 7**. At 1000 W/m^2 irradiation, the PV panel temperature reached a maximum of 70 °C. This temperature was reduced to approximately 40.4 °C at 50 ml/h flow rate, 34.3 °C at 80 ml/h flow rate and 33.1 °C at 110 ml/h flow rate. The temperatures stabilized in about 500 seconds at 50 ml/h flow rate and in about 400 seconds at 80 and 110 ml/h flow rates. In the experiments, the ambient temperature was measured as approximately 23 °C. In the experiments with water, it was observed that the PV panel surface temperature stabilized earlier with increasing flow rate and similar surface temperatures were obtained at 80-110 ml/h flow rates.
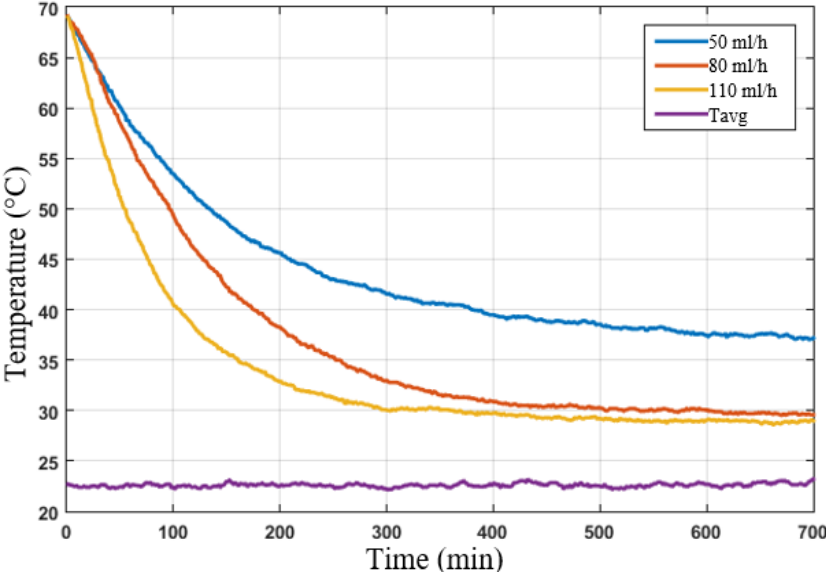
Figure 8. Time dependent variation of the temperature of the PV panel cooled with ethanol at different flow rates

Figure 8 shows the temperature change-time graph obtained by cooling the PV panel with ethanol. When the graph is examined, the PV panel temperature, which reached a maximum of 70 °C, was reduced to 37 °C at 50 ml/h flow rate, 29.5 °C at 80 ml/h flow rate and approximately 28.6 °C at 110 ml/h flow rate. The temperatures stabilized in about 600 seconds at 50 ml/h flow rate and in about 400 seconds at 80 and 110 ml/h flow rates. The ambient temperature in the experiments was measured as approximately 23 °C. In the experiments with ethanol, it was observed that the PV panel surface temperature stabilized earlier with increasing flow rate and similar surface temperatures were obtained at 80-110 ml/h flow rates.
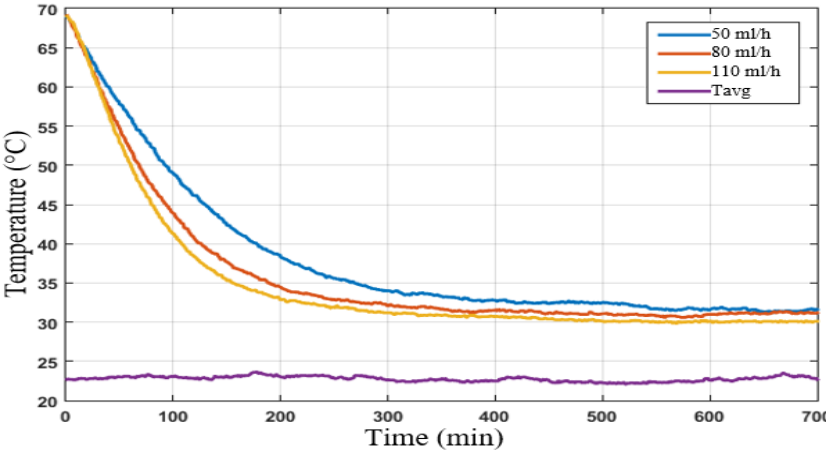
Figure 9. Time dependent variation of the temperature of the PV panel cooled with water - ethanol mixture at different flow rates

Figure 9 shows the temperature-time variation of the panel cooled with water - ethanol mixture. With the water - ethanol mixture, the panel temperature of 70 °C was reduced to 31.1 °C at 50 ml/h flow rate, 30.5 °C at 80 ml/h flow rate and approximately 29.8 °C at 110 ml/h flow rate. The temperatures stabilized in about 600 seconds at 50 ml/h flow rate and in about 500 seconds at 80 and 110 ml/h flow rates. The ambient temperature was measured as approximately 23 °C in the experiments. When the temperature-time curves were analyzed, it was observed that the temperature decreased more rapidly at higher flow rates, but after the panel temperature stabilized, approximately the same temperature value was obtained at all three flow rates.
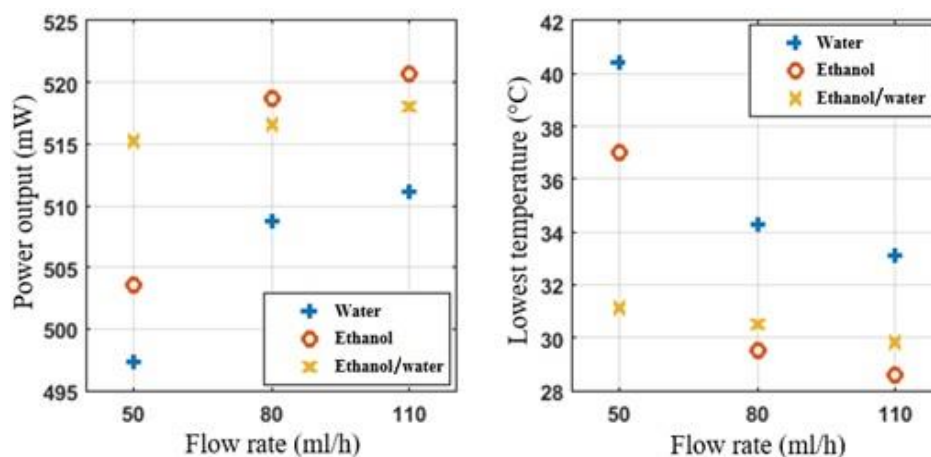
Figure 10. *Variation of power output and lowest temperatures obtained for different coolant fluids according to flow rate*

At 1000 W/m2 irradiation, the lowest panel temperatures and the panel electrical power output obtained by cooling the PV panel, which reached the maximum temperature, with different fluids and flow rates are given in **Figure 10**. When the graphs are analyzed, it is seen that approximately the same temperature values are achieved for all coolant fluids at 80 and 110 ml/h flow rates. The reason for this situation is that the heat flux produced on the surface due to the radiation affecting the PV panel surface is constant. While the heat flux removed from the surface increases up to the 80 ml/h refrigerant flow rate value, the amount of heat flux removed after the 80 ml/h flow rate is minimized. The amount of heat flux removed from the surface did not change and the PV panel temperature reached the lowest and stable value. It was determined that ethanol and water - ethanol mixture showed a more effective cooling performance than water, especially at 80 and 110 ml/h flow rates. It is seen that the water - ethanol mixture achieves a temperature of approximately 30 °C at all flow rates and provides effective cooling. Depending on the temperature variations, the highest power output from the PV panel was obtained with 100 ml/h flow rate and ethanol (~520 mW), while the lowest power output (~497 mW) was obtained with 50 ml/h flow rate and water. At the highest flow rate, ethanol reduced the panel temperature by about 59%, while water reduced it by about 52%. At the lowest flow rate, water - ethanol mixture reduced the PV panel temperature by 55%, while water reduced it by about 42%. Due to the reduction of panel temperatures, about 6.8% more electrical power output was obtained with ethanol and 5.1% more with water at the highest flow rate compared to the uncooled case. At the lowest flow rate compared to the uncooled case, about 6.2% more electrical power output was obtained with water - ethanol mixture and 2.5% more with water.

IV. CONCLUSION

In this study, the cooling performance of different flow rates and fluids on PV panels by electrospray atomization was investigated. The experiments were carried out at 1000 W/m² irradiance, 25 G (d_i=0.25 mm) nozzle diameter, 70 mm nozzle to PV panel distance and 20 kV nozzle to PV panel

voltage. Water, ethanol and water - ethanol (50%-50%) mixtures were atomized at 50-80-110 ml/h flow rates and sprayed on the panel surface. The following results were obtained from the experimental study.

- ➢ With the increase in PV panel temperature (from 30 °C to 70 °C), the electrical power output of the PV panel decreased and a difference of approximately 7.4% was observed.

- ➢ In the experiments with water, the lowest PV panel surface temperature was obtained at a flow rate of 110 ml/h (33.1 °C) and it took about 400 seconds for the PV panel to reach a stable temperature.

- ➢ In the experiments with ethanol, the lowest PV panel surface temperature was obtained at a flow rate of 110 ml/h (28.6 °C) as in the experiments with water and it took about 400 seconds for the PV panel to reach the stable temperature.

- ➢ In the experiments with water - ethanol (50%-50%) mixture, the lowest PV panel surface temperature was 29.8 °C at a flow rate of 110 ml/h and it took about 500 seconds for the PV panel to reach the stable temperature.

- ➢ The ethanol and water - ethanol mixture had a more effective cooling performance than water at 110 ml/h flow rate. This is due to the lower evaporation temperature of ethanol particles hitting the PV panel surface. Since ethanol particles remove heat from the panel surface by evaporation as well as convection, higher heat transfer was realized from the PV panel surface. In PV panels, the panel surface temperature range caused by the effect of solar radiation is low. For this reason, ethanol, which has a lower evaporation temperature, made a positive contribution to the removal of heat from the panel. In systems operating at higher temperatures, the effect of ethanol will be quite low compared to water, which has a higher enthalpy of vaporization.

- ➢ At a flow rate of 110 ml/h, ethanol reduced the panel temperature by 59% and water by 52%. Accordingly, approximately 6.8% more electrical power output was obtained with the ethanol-cooled panel and approximately 5.1% more electrical power output was obtained with the water-cooled panel.

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Detection of Piston Ring Deficiency in The Assembly of Automotive Ball Joint and Tie Rod End Parts

Mehmet Emin ÖRS [a, *], Ziya ÖZÇELİK [b]

[a] *AYD Automotive Industry, Konya, TURKEY*
[b] *Department of Mechatronics Engineering, Faculty of Technology, Selçuk University, Konya, TURKEY*
* Corresponding author's e-mail address: ors.mehmetemin@aydtr.com
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ABSTRACT

In today's intensely competitive environment, businesses strive to optimize production efficiency to reduce costs, increase profitability, and ensure customer satisfaction. This focus on efficiency and quality enables businesses to operate more effectively, gain a competitive advantage in the market, and move towards sustainable growth. This study uses image processing techniques to detect missing segments in the assembly of ball joints automatically. In the automotive industry, performing quality control of critical components before assembly and detecting and classifying the defective ones is essential. Many quality control methods can be applied with existing technologies. This paper proposes an automatic real-time control based on image processing techniques to detect ball joint missing segments, a common defect in the automotive industry. In the company, operators perform defect detection by visual inspection. In this system, production continues in cases where the operator cannot detect the defect. This system aims to detect the errors made by the operator during the assembly operations and provide instant feedback. The developed system uses OpenCV library algorithms that are highly accurate in detecting defects in manual assembly processes so that missing components are removed from the production chain, and production quality is significantly improved. Accuracy is over 94% when identifying missing segments, about 30% better than traditional methods. In tests, 1200 ball joints were run through the system, resulting in 1150 defects being correctly identified and removed from the production line. Accuracy is high thanks to the application of various image processing techniques such as grayscale conversion, edge detection, and shape recognition. This also provides real-time feedback to the operator so the system can reduce detection and response time from 15 seconds to 5 seconds. This increases production speed and reduces the error rate in manual assembly processes by 20%. This paper also highlights the potential of image processing technology in manufacturing. It will contribute to improved quality control mechanisms to increase the reliability and efficiency of production lines in the automotive industry.

Keywords: Image Processing, Quality Control, OpenCV-based system, Automatic Defect Detection, Automotive Industry

Otomotiv Rotil ve Rotbaşı Parçalarının Montajında Sekman Eksikliğinin Tespiti

ÖZ

Günümüzün yoğun rekabet ortamında, işletmeler, maliyetleri düşürmek, kârlılığı artırmak ve müşteri memnuniyetini sağlamak için üretim verimliliğini optimize etmeye çalışmaktadır. Verimlilik ve kalite konusundaki bu odaklanma, işletmelerin daha etkin çalışmasını, pazarda rekabet avantajı elde etmesini ve

sürdürülebilir büyüme yolunda ilerlemesini sağlar. Bu çalışma; rotil ve rot başı parçalarının montajında segman eksikliğinin görüntü işleme teknikleriyle otomatik tespiti üzerinedir. Otomotiv sektöründe kritik bileşenlerin montaj öncesinde kalite kontrollerinin yapılması ve hatalı olanlarının tespit edilip tasnif edilmesi önemlidir. Mevcut teknolojiler ile birçok kalite kontrol yöntemi uygulanabilmektedir. Bu makalede, firmada karşılaşılan bir hata olan rotil ve rot başı parçalarının montajında eksik segmanları tespit etmek için görüntü işleme tekniklerine dayalı gerçek zamanlı otomatik kontrol sistemi önerilmektedir. Firmada operatörler hata tespitini göz ile kontrol ederek yapmaktadırlar. Böyle bir sistemde operatörün hatayı tespit edemediği durumlarda hatalı olan ürünler montaj hattından hatalı bir şekilde geçmektedir. Bu çalışmada, görüntü işlemeye dayalı bu sistem ile montaj operasyonlarının yapıldığı süreçte operatör tarafından yapılan bu tip hataların tespit edilip operatöre anlık geri bildirim sağlanması amaçlanmıştır. Geliştirilen sistem, manuel montaj süreçlerindeki kusurları tespit etmede yüksek doğrulukla çalışan OpenCV kütüphanesi algoritmalarını kullanmaktadır; bu sayede eksik bileşenler üretim zincirinden çıkarılmakta ve üretim kalitesini önemli ölçüde iyileştirilmektedir. Yaklaşık %30 daha iyi bir oranla, geleneksel yöntemlerle yapıldığı gibi eksik segmanları tanımlarken de doğruluk oranı %94'in üzerindedir. Yapılan testlerde 1200 rotil ve rot başı parçası sistemden geçirilmiş ve sonuçta 1150 adet kusur doğru bir şekilde bulunarak üretim hattından çıkarılmıştır. Gri tonlama dönüştürme, kenar algılama ve şekil tanıma gibi çeşitli görüntü işleme tekniklerinin uygulanması ile doğruluk oranı yüksektir. Bu aynı zamanda operatöre gerçek zamanlı geri bildirim sunmakta; dolayısıyla sistem algılama ve yanıt süresini 15 saniyeden 5 saniyeye düşürmektedir. Bu artış sadece üretim hızını artırmak değil, aynı zamanda manuel montaj süreçlerindeki hata oranını da %20 oranında azaltmaktadır. Bu makale aynı zamanda görüntü işleme teknolojisinin üretimdeki potansiyelini de vurgulamaktadır. Ayrıca otomotiv endüstrisindeki üretim hatlarının güvenilirliğini ve etkinliğini arttırmak için geliştirilmiş kalite kontrol mekanizmalarına katkıda bulunacaktır.

Anahtar Kelimeler: Görüntü İşleme, Kalite Kontrol, OpenCV tabanlı sistem, Otomatik Hata Tespiti, Otomotiv Endüstrisi
.

I. INTRODUCTION

Quality control in manufacturing processes has become a cornerstone of production efficiency and product reliability, especially in high-precision industries such as the automotive industry. In recent years, the advancement of image processing technologies and artificial intelligence applications has enabled the development of new methodologies for detecting assembly defects [1, 2]. Systems based on the OpenCV library have attracted attention with their real-time image processing and object recognition capabilities [3]. These systems offer essential steps in automatically detecting and correcting assembly defects, thus playing important roles in increasing production line efficiency and reducing costs. Considering these technological advances, the current study presents a system to detect the missing piston ring in ball joints, a shared assembly defect in the automotive industry. Previous studies have demonstrated the potential of machine learning and deep learning techniques in detecting assembly defects [4]. Image-based quality control systems in aerospace manufacturing provide an example to illustrate the effectiveness and applicability of image-based quality control techniques in the aerospace industry. The case study evaluates how image-based quality control is integrated and utilized and results in a specific aerospace component manufacturing process. [5]. Color-based machine vision systems in textile manufacturing, evaluating the applicability and effectiveness of color-based image processing techniques in the textile industry. It examines different color-based quality control systems' design, implementation, and performance. [6] There are examples of color-based machine vision techniques for defect detection in plastics manufacturing. These examples compare the effectiveness and applicability of color-based image processing techniques in the plastics industry. It analyzes different color-based defect detection systems' performance, advantages, and limitations. [7]

Quality control in manufacturing has become crucial for ensuring production efficiency and product reliability, particularly in high-precision industries like automotive manufacturing. Recent advancements in image processing technologies and artificial intelligence have led to the development of new methods for detecting assembly defects. Systems based on the OpenCV library have gained attention for their real-time image processing and object recognition capabilities. These systems play a vital role in automatically detecting and correcting assembly defects, thus increasing production line

efficiency and reducing costs. One specific application is the detection of missing piston rings in ball joints, a shared assembly defect in the automotive industry. Machine learning and deep learning techniques have shown potential in detecting assembly defects. In aerospace manufacturing, image-based quality control has proven effective in evaluating and improving specific components' manufacturing processes. Similarly, in textile manufacturing, color-based machine vision systems have been assessed for their effectiveness in quality control. Another notable area is defect detection in plastics manufacturing, where color-based machine vision techniques have been compared for their efficacy and applicability. Color-based machine vision systems have also been discussed in metal fabrication, industrial products, electronics manufacturing, food manufacturing, and pharmaceutical manufacturing. These discussions often focus on evaluating the design, implementation, and performance of color-based defect detection systems across different industrial sectors. In summary, image processing and machine vision technologies, particularly those based on the OpenCV library, have significantly enhanced quality control processes across various manufacturing industries, ultimately improving production efficiency and product reliability. Some color-based machine vision systems are applied for defect detection in metal fabrication. They focus on designing, implementing, and optimizing color-based image processing systems to detect color defects in metal products.[8] Color-based machine vision systems have also been applied in metal fabrication industrial products, electronics manufacturing, food manufacturing, and pharmaceutical manufacturing. These applications typically involve designing, implementing, and optimizing color-based image processing systems. The goal is to detect defects specific to each industry. For instance, in metal fabrication, these systems focus on detecting color defects to identify flaws in metal products. In electronics manufacturing, they are employed to detect defects in electronic products. The use of color-based machine vision systems extends to food and pharmaceutical manufacturing. They help detect color defects in food products. Additionally, they ensure the quality of pharmaceutical products. These systems are designed and implemented to meet specific quality control needs. Each industry demonstrates the versatility and effectiveness of color-based image processing techniques. In the automotive industry, the combination of OpenCV library and convolutional neural networks (CNN) has been used for real-time defect detection. They integrate deep learning techniques with image processing algorithms. These systems achieve higher accuracy. They also improve efficiency in defect detection on the production line. The application of such systems highlights a practical approach to real-time quality control. Overall, image processing and machine vision technologies, particularly those based on the OpenCV library, have significantly enhanced quality control processes. This improvement spans various manufacturing industries. These technologies contribute to improved production efficiency and product reliability. They enable automatic and accurate defect detection. This study focuses on a real-time and exact image processing system developed using OpenCV and Python programming language. The system can quickly and effectively detect missing piston rings in automotive assembly lines, thus minimizing errors in production processes and maximizing product quality. This study aims to make a significant contribution that increases the applicability of image processing and machine learning techniques in industrial manufacturing processes and brings a new perspective to research in these fields. In this context, by conducting a comparative analysis with similar studies in the literature, we will discuss the developed system's advantages and potential development areas in detail and provide a basis for future research.

II. MATERIAL AND METHOD

A. DETECTION OF QUALITY DEFECTS IN BALL JOINT AND TIE ROD END PARTS

A ball joint is a rotating component in the steering mechanism of vehicles. The lower ball joints are critical parts that affect the vehicle's steering capability by allowing the vehicle's front wheels to turn. These parts' quality and correct assembly directly affect steering system stability and the vehicle's steering performance. Therefore, any defects in the ball joints must be detected and remedied. This study uses image processing techniques to detect one of the assembly defects in ball joints, namely, missing a

circlip. Using a setup consisting of a camera, Wi-Fi network, and PC systems, it is aimed to detect and eliminate the up and down piston ring deficiencies in ball joints by the operator on the assembly line. The company's customer feedback stated that the piston rings need to be installed in 1-2 out of 500-750 parts. This situation is considered a serious problem by the company regarding customer satisfaction. Python programming language and OpenCV library were used for image processing. This system aims to increase operational efficiency and maximize product quality by detecting defective parts in real-time. In particular, the flexibility of the OpenCV library enables precise detection of missing components. The algorithm provides real-time processing of images, reading each frame from the stream and converting it into HSV color space. A mask is then created based on a specific range of blue colors, and contour detection is performed on this mask. Rectangles are drawn around the detected blue objects, and descriptive text is written to display each processed frame on the screen. By processing the images in real-time, an audible warning system next to the assembly line is activated when defective products are detected. This situation allows operators to intervene quickly and correct defective products before they leave the production line. This study highlights the importance of image processing techniques in industrial production processes and shows how critical real-time detection is in quality control processes. Future studies aim to obtain more precise results using deep learning techniques and illumination optimization.

A. 1. Image Processing with OpenCV

This system combines the Python programming language's power and the OpenCV library's flexibility to bring a new dimension to quality control processes in the manufacturing industry. This system can be developed and implemented quickly thanks to Python's easy-to-read and extensive library support. The OpenCV library's image processing algorithms enable precise detection of missing components. This study used OpenCV to discriminate between color and shape in images. The images were converted from RGB format to HSV format for color discrimination. The HSV format separates colors into hue, saturation, and brightness components, making color perception more consistent and accurate. For example, blue piston rings in the ball joints were detected by creating a mask sensitive to blue. This masking process distinguished blue segments by considering a specific range of blue tones (e.g., 89<tone<121). This masking process distinguished blue segments by considering a particular range of blue tones (e.g., $89 < tone < 121$). The defined range ensures that only the hues falling within the blue spectrum are considered, effectively filtering out other colors that might be present in the image. This selective filtering is crucial for accurately identifying the blue piston rings amidst potentially noisy backgrounds. Moreover, the saturation and value thresholds are set to enhance the reliability of detection. By ensuring that the saturation is higher than the value, the method prioritizes vivid blue tones, which are less likely to be confused with other objects or artifacts in the image. This approach reduces the risk of false positives and improves the precision of the detection system. The binary thresholding step further refines the image by creating a clear binary mask. This mask isolates the blue regions, allowing for precise measurement and analysis of the area occupied by the blue segments. Consequently, this systematic approach enhances the robustness and accuracy of the missing piston ring detection system, ensuring that only relevant features are considered during the verification process. This way, accurate information about the absence or presence of blue segments was obtained. The flexibility of OpenCV provides an ideal platform for implementing image processing algorithms. This condition enables real-time detection and intervention of defective parts on the production line, improving product quality and maximizing operational efficiency.

Figure 1. Representation of the piston rings in the tie rod end

The OpenCV library can perform many operations, such as edge detection and color object motion detection. In the current study, a distinction was made between color and shape.
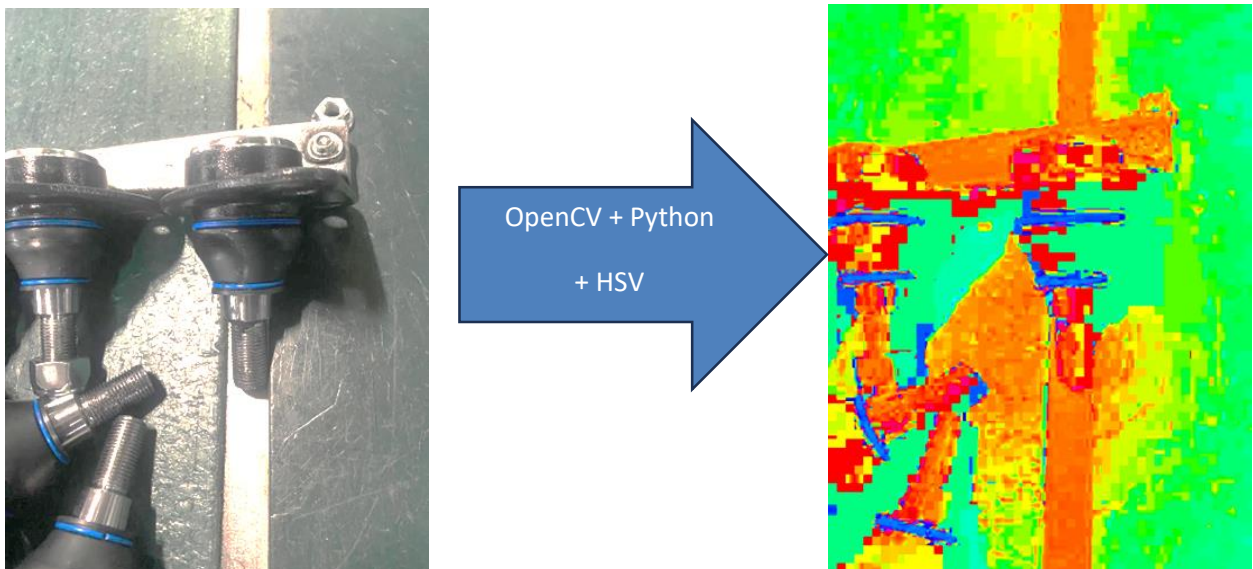
Figure 2. Image of ball joint part images converted from RGB to HSV
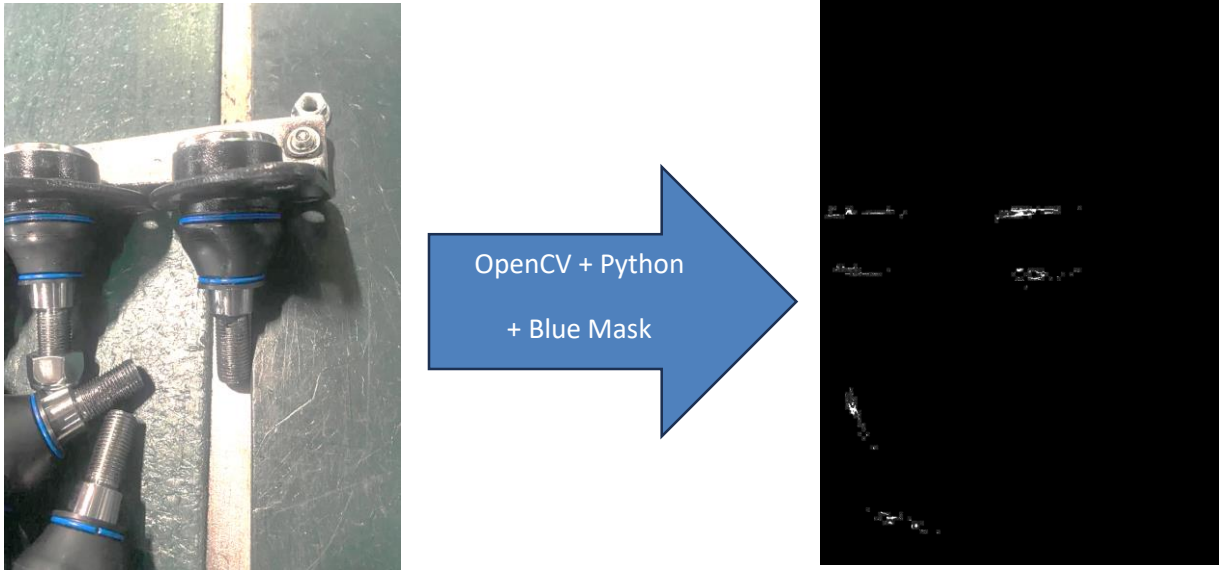
Figure 3. Image with ball joints with a blue mask of 89<TON<121

The image with the ball joints taken with the camera in Figure 2 is transformed into HSV. In this image, some regions are blue with no blue piston rings. For these, the blue tone range is set to 89<ton<121. In this way, the blue piston ring can be distinguished. The application of the blue mask in this range is shown in Figure 3. Several formulas and transformations are used for RGB HSV transformation. The RGB (Red, Green, Blue) values of the image are separated by 255 to change the range from 0...255 to 0...1:

R '= R / 255   (1)
G '= G / 255   (2)
B '= B / 255   (3)
Cmax = max (R ', G ', B ')   (4)
Cmin = min (R ', G ', B ')   (5)
Δ = Cmax – Cmin   (6)

Tone calculation is:

$$H = \begin{cases} 0°, & \Delta = 0 \\ 60° \times \left(\frac{G'-B'}{\Delta} \mod 6 \right), & C_{\max} = R' \\ 60° \times \left(\frac{B'-R'}{\Delta} + 2 \right), & C_{\max} = G' \\ 60° \times \left(\frac{R'-G'}{\Delta} + 4 \right), & C_{\max} = B' \end{cases} \qquad (7)$$

Saturation value calculation:

$$S = \begin{cases} 0, & C_{\max} = 0 \\ \frac{\Delta}{C_{\max}}, & C_{\max} \neq 0 \end{cases} \qquad (8)$$

Value calculation below:

V = C_max   (9)

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RGB (Red, Green, Blue) and HSV (Hue, Saturation, Value) color spaces are commonly used in image processing and computer vision. These color spaces represent colors differently, allowing color-related operations to be performed more effectively. While RGB space represents colors with a combination of red, green, and blue components, HSV space represents colors with three components: hue, saturation, and luminance. These formulations are used to provide transformations between color spaces. These formulations transform from RGB space to HSV space and vice versa. The OpenCV library offers a wide range of functions to perform these transformations. These functions make switching between color spaces in image processing applications easier and increase their image processing ability. For example, to detect the color of a particular object in an image or to perform color-based object detection, a transformation from RGB color space to HSV color space can be performed. This transformation allows colors to be more accurately distinguished and processed. Also, HSV space can often be a more appropriate choice when analyzing colors because it represents colors in a way that is closer to human perception. The RGB and HSV conversion functions available in the OpenCV library are essential for performing various color-related tasks in image processing applications. These functions can be used in color-based object detection, color segmentation, color matching, and many other image-processing algorithms. Hence, these transformation functions allow for the successful performance of color-related analyses in image processing and computer vision projects. The RGB HSV transform is provided in the OpenCV library because of these formulations running in the background.

A. 2. Defective Product Detection

The acquired images are processed on a computer (PC) in real time. This processing operation can be done using image processing algorithms, which enable the detection of defective products. If a product is defective, the computer immediately detects and processes this information. A buzzer system located next to the assembly line is then activated. A PC buzzer or similar sound output device realizes the buzzer. When a defective product is detected, a signal triggered by the computer is sent to the PC buzzer. The PC buzzer informs the operators about the defective product by emitting a specified warning tone or signal. This buzzer system allows operators to intervene quickly and facilitates the removal of defective products from the assembly line. It provides a fast feedback mechanism for real-time product inspection and enables operators to act more efficiently, increasing productivity on the production line. In addition, the audible warning system helps to quickly identify defective products and prevent disruptions on the production line. In this way, the quality control process on the assembly line becomes more reliable, and the company's product quality and customer satisfaction increase.

A. 3. Detection Method

Several verifications are essential for ensuring accuracy when developing a detection system for missing piston ring products using OpenCV. The system relies on specific parameters to identify the presence or absence of the piston ring. One of the critical verifications involves analyzing the area size, which is calculated as the total area minus the sum of the blue area pixels. This means that the system identifies regions within the image that correspond to the expected location of the piston ring and then subtracts the pixels that fall within the defined blue color range. The selection of the blue color range, specifically with hue values between 89 and 121, is a critical aspect of the missing segment detection process in image processing applications. This specific range is meticulously chosen to optimize the detection accuracy and reliability of the system. The parameters for selecting this range are not arbitrary but are determined through careful consideration of several factors, including the masking color, the camera angle, and the segment's real color as captured by the camera. Each of these factors plays a significant role in ensuring that the system operates efficiently and accurately under various conditions. Firstly, the concept of masking color is fundamental in image processing. Masking refers to the process of isolating certain colors or regions in an image to facilitate more accurate analysis. In this context, the chosen blue color range of 89 to 121 is likely selected to maximize the contrast between the segments of interest and the background or other objects in the image. This high contrast is crucial for the detection system to effectively differentiate the segments from their surroundings. By isolating the blue hues within this specific range, the system can filter out extraneous information and focus solely on the relevant

segments, thereby enhancing the precision of the detection process. Secondly, the angle at which the camera captures the image significantly influences the perceived color of objects. Variations in camera angle can cause changes in lighting and shading, which in turn affect the hue values recorded by the camera. The range of 89 to 121 is selected to account for these variations and ensure that the blue segments are consistently detected regardless of the camera angle. This adaptability is crucial for maintaining the robustness of the detection system across different imaging conditions. By considering the potential variations in camera angle, the system can reliably identify the blue segments even when the viewing perspective changes. Thirdly, the real color of the segment captured by the camera must be accurately represented within the selected hue range. The colors captured by a camera can differ from their true colors due to factors such as lighting conditions, camera sensor characteristics, and environmental influences. The hue range of 89 to 121 is chosen based on empirical observations and experimental data to best match the true color of the segments as they appear in the camera images. This ensures that the detected color closely corresponds to the actual color of the segments, minimizing false detections and improving the overall accuracy of the system. Additionally, the selection of this specific hue range may be supported by prior experimental results and domain-specific knowledge. Through a series of controlled experiments and iterative testing, it was determined that the hue values between 89 and 121 consistently yield the best results for segment detection in the given application. This data-driven approach ensures that the chosen color range is not only theoretically sound but also practically validated, providing a reliable basis for the detection system.

In conclusion, the specified blue color range of 89 to 121 is a carefully considered parameter in the missing segment detection system. It addresses key factors such as masking color, camera angle, and the real color as captured by the camera, all of which are essential for accurate and reliable detection. The meticulous selection process ensures that the system can effectively isolate and identify the relevant segments, thereby enhancing the overall efficiency and robustness of the image processing application. This thoughtful approach underscores the importance of considering multiple variables in the design and implementation of advanced detection systems. Hue is one of the components of the HSV (Hue, Saturation, Value) color model, which is often used in image processing because it separates color information (hue) from intensity information (value), making it easier to segment images based on color. The saturation and value components are also considered, with the condition that the saturation must be greater than the value. This constraint ensures that the detected blue color is vivid and not washed out, essential for reliable detection. Thresholding is another vital verification step. In this context, thresholding creates a binary image where the blue regions are marked with a value of 1, and all other areas are marked with 0. This binary image then isolates the blue regions corresponding to the piston ring. The thresholding function $I_{\text{blue}}(x,y)$ outputs one if a pixel at coordinates (x,y) falls within the blue color range and 0 otherwise. This process helps create a clear distinction between the areas of interest (the blue regions) and the rest of the image, facilitating more accurate detection and analysis. Using these verifications—calculating the area size, defining the blue color range, and applying thresholding—the system can effectively identify whether the piston ring is present or missing. This method leverages the distinct blue color properties and ensures that only regions with the specified hue, saturation, and value characteristics are considered. Consequently, it minimizes the likelihood of false detections and enhances the reliability of the piston ring detection system.

To summarize, the detection system for missing piston rings using OpenCV incorporates several verification steps:

1. **Area Size Calculation**: Subtracting the sum of blue area pixels from the total area to identify the region of interest.
2. **Blue Color Range Specification**: To detect vivid blue regions, set the hue range between 89 and 121, with the condition that saturation is greater than the value.
3. **Thresholding**: Isolating the areas of interest by creating a binary image in which blue regions are marked as one and others as 0 isolates them.

These verifications are critical for accurately and reliably detecting missing piston rings in the product detection system.

The verifications to be used for the missing piston ring product detection system with OpenCV are as follows:

$$Area\ size = Area - \sum Blue\ Area\ Pixels$$

Blue Color Range = 89<Hue<121, Other Values: Saturation> Valuer

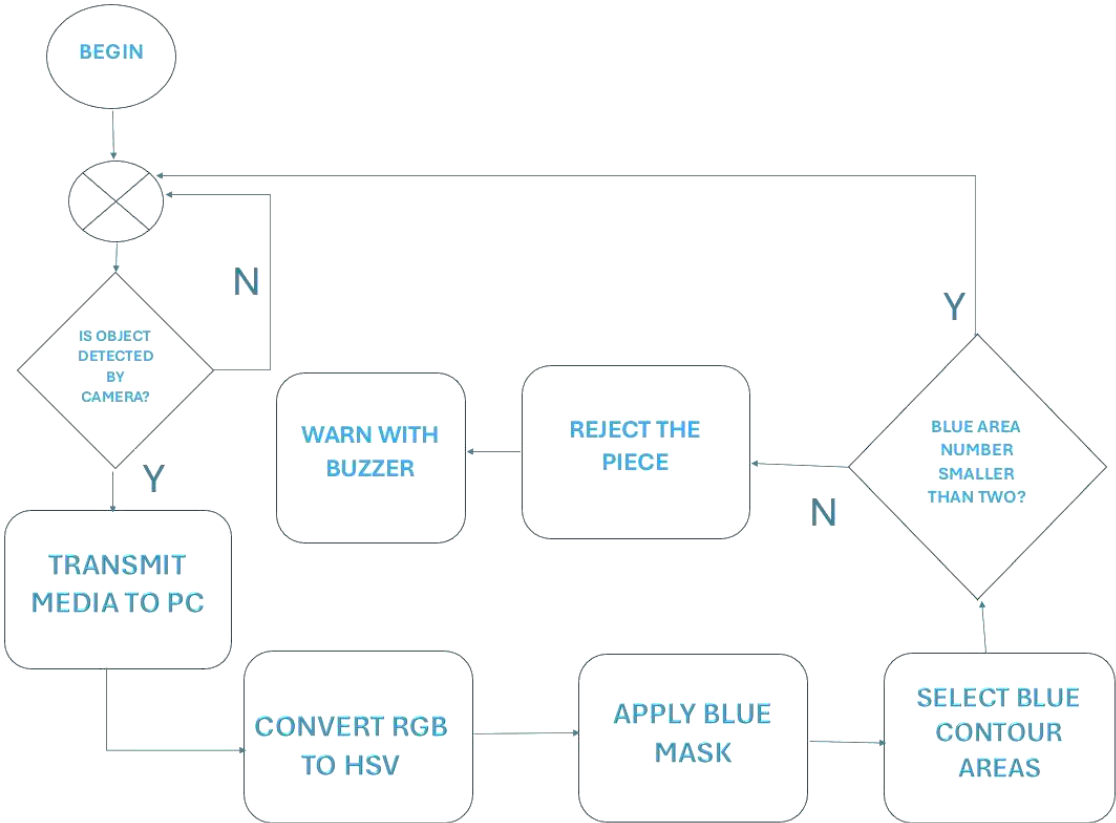*Thresholding= I_blue (x,y)-{1,0 if it fits within the blue color range,0 for other cases*

Figure 4. *Flowchart of the missing piston ring detection system*

A flowchart of the disappeared piston ring detection system is given in Figure 4. This flowchart shows the system's working algorithm.

III. EXPERIMENTAL STUDIES

Attempting to detect the condition of piston rings, a series of eight tests were conducted. The primary objective was to detect if some rings were missing, and the results of such tests were compared with findings obtained through visual inspection. The accuracy percentages resulting from these tests are represented below based on evaluations of two hundred and fifty pieces moving on a continuously flowing conveyor. These tests were more accessible as an IP camera had been installed over the conveyor belt, and the footage was quickly taken accordingly. The camera operated at a transfer rate of 25 FPS and offered a very in-depth and continuous monitoring process. Image processing and analysis

were done using the Python-OpenCV library, and the percentage accuracy can be tabulated below: These percentages indicate the system's efficiency in recognizing the absence of piston rings—information critical to the quality and performance of the conveyor belt operation. From this fact, it is paramount to state that the present study does not work with a predefined dataset but functions with a Rule-Based System. Therefore, if a Machine Learning system is included in further research attempts, there is room to improve the accuracy and reliability of the detection with adequate strength and vigor. The current system is configured to continuously monitor the conveyor belt and offer an immediate warning in case of an error. This warning could be on a screen close to an operator or adjuster, or it might be audible. Real-time feedback like this is necessary to keep the production line efficient and accurate because any discrepancy in the conveyor's performance has enormous implications.

Each part that goes through the conveyor belt is susceptible to being pushed out in three to four minutes. As this process is critical, the single and double piston rings have been intentionally shifted in the tests by letting them move towards the system to test its capability to detect flaws. All these tests and comparing the results with the findings of a visual test conducted by human operators took time. System design and operation rely on eliminating human errors to improve the general reliability of the inspection process. Detecting absent piston rings is automated and, thus, eliminates as much dependence on manual checks, which are typically prone to omissions and variations. Real-time error notification enforces the correction of errors within the set timelines, subsequently eliminating the possibility of parts with errors flowing down the line. Figure 5 presents a schematic diagram of the sample system. This figure provides an overall view of the system's several components and their relationships, with particular attention to the IP camera, the conveyor belt, and the error notification interaction. In total, acquaintance with the system's structure and functioning can be beneficial in finding value in this diagram. In short, eight tests to assess piston rings' states proved that the Python-OpenCV-based system can detect ring absence correctly. The monitoring is continuous through an IP camera that works at 25 FPS, and the Rule-Based System provides a substantial foundation on which further advancements could be applied by using Machine Learning. More importantly, the system can issue error notifications, which can be both visual and audible, instantaneously, which further underlines its contribution toward maintaining both the integrity and productivity of the production process. As development goes on, improvements using the techniques of Machine Learning are expected to bring even more accuracy and reliability to the system, thus leading to robust and dependable solutions for inspection in this environment.
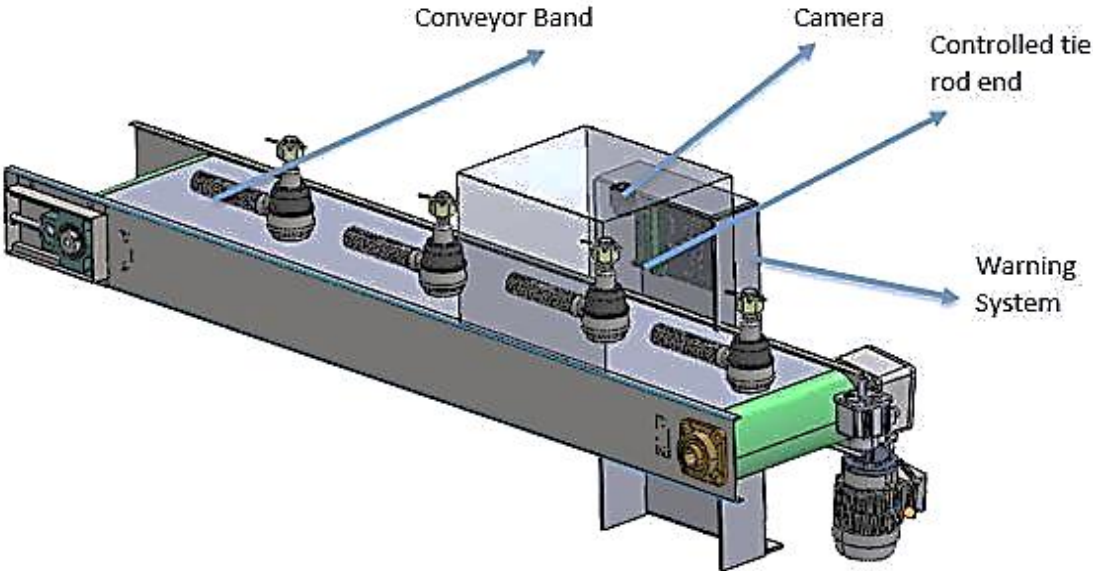
Figure 5. A single IP camera takes the image from the part on the rotating conveyor and transmits it to the computer. The computer decides whether there is a defective product or not.

	NO SMALL SEGMENT	NO BIG SEGMENT	WITHOUT BOTH RINGS
1. Test	47	48	50
2. Test	46	48	49
3. Test	46	47	49
4. Test	49	48	48
5. Test	46	48	48
6. Test	47	49	48
7. Test	46	49	49
8. Test	47	48	48

Table 1 depicts the results of running an algorithm for detecting some segments in different tests. Each test contained fifty pieces, and the table tells us how many correct detections were obtained for three conditions: Without a Small Segment, Without a Big Segment, and Both Rings. The table shows eight tests, each giving specific results for this counting under these conditions. Regarding the "No Small Segment" condition, the proper detections vary from 46 to 49 in eight tests. The highest number was 49 proper detections during the fourth test. The most frequent number of detections, 46, appears four times. This ensures that the algorithm works very solidly but shows slightly fluctuating results. "No Big Segment" is the only condition where an algorithm detection count falls between 47 and 49. The highest obtained is 49, which happened on the sixth and seventh tests. A count of 48 arises more commonly, appearing six times. This shows that the algorithm can be reliable enough to detect the absence of significant segments. This demonstrates the highest detection counts of all to be 48 to 50, which is the "Without Both Rings" condition. A perfect detection count of 50 is measured in test number one, and the detection count of 48 comes up most frequently- five times- all of which indicates that the algorithm is particularly well-outfitted for detecting the lack of both rings. Comparatively, the algorithm best performs with the "Without Both Rings" condition. It shows a perfect detection rate in the first test and maintains a high detection count in all tests. Under the "No Big Segment" condition, the performance is good, with a slight but consistent drop in some tests. The "No Small Segment" condition showed the highest variability, so the algorithm perhaps is more challenged at detecting the lack of small segments than large segments or both rings. Data seems to indicate in a general way that it is a reliable algorithm since detection rates are consistently high across conditions. Differences in detection counts are trivial, meaning performance is stable, with small fluctuations without influence. Performance is most consistent in the "No Big Segment" and "Without Both Rings" conditions, where detection counts are rarely at the low end of the scale. A slightly lower and less stable detection rate within the "No Small Segment" condition indicates a possible area for improvement in the algorithm. The latter could provide more consistent overall performance conditions by improving the sensitivity to small segments. The data suggests that the algorithm in its present form is highly effective for situations where more significant portions lack either element (rings), and future refinements could be made to develop the performance of the more minor elements. Overall, the abstract gives good insight into the capabilities of detection by algorithm across conditions. This algorithm is accurate and remarkably consistent, especially when more significant portions lack rings and elements. The relatively small variation in detection performance for "No Small Segment" indicates room for refinement to reach close-to-ideal detection performance in all these test conditions. This data hints at the strengths but points explicitly to places where a focused improvement effort could raise the bar around the overall performance. The data in the table underscores the fact that high detection rates are well preserved for this algorithm, primarily when larger or more complex segment combinations are missing. Here, we have evidence that the algorithm has learned the changes of a more substantial nature excellently. However, these drops for the smaller segments reflect some degree of optimization that remains necessary. These small, critical details are focused on and bring the algorithm's performance up to an even higher level. The constant

high performance under the "Without Both Rings" condition indicates that the algorithm is fit for tasks that demand the identification of several missing elements. Very likely, robustness is, in turn, a very likely sign that it might be applied in various practical scenarios for which both precision and reliability count. Meanwhile, the slightly variable good performance under "No Small Segment" reminds us that even good algorithms are never done. In that sense, these results of the experiments represent valuable guidance for the developer to make focused improvements so that the algorithm can deal with the broadest possible variety of challenging tasks and conditions. The table provides an all-embracing insight into the capabilities and deficiencies within an algorithm. It is an excellent algorithm with excellent performance and reliability in cases of highly accurate detection, especially in complex scenarios. With these minor inconsistencies considered during the detection of smaller segments, developers can rest assured that it will operate perfectly under all conditions, making it an even more valuable tool in its application domain.

Figure 6. In the picture given in (a), the product is defective because it has a single segment; in (b), it is defective because it has no segment; in (c), it is correct. It has two segments: in (d), it is not very accurate because it has only a tiny segment; in (e), it has double segments. In (f), there are no rings at all. Therefore, it is a defective product.

Figure 6 shows some examples of the tests performed. The presence of two segments indicates that the product is correct. The presence of a single segment suggests that the product is defective. The absence of any segments is another type of error.

As a result of the experiments, approximately 47 out of 50 ball joints were found to have no segments, with an accuracy of more than 94%.

V.CONCLUSION

In this study, a missing component detection system was developed for real-time quality control in the manufacturing industry. In this system, defective products are passed through a conveyor belt, and image processing techniques are used to detect missing segments in ball joints and tie rod ends. An IP camera

was mounted on the conveyor belt. This camera operated at a transfer rate of 25 FPS and the parts passing through the conveyor were continuously recorded. These recordings were analyzed in a computer environment using image processing techniques and the Python-OpenCV library. As a result of this examination, clear images of the elements were taken, and sensitivity was increased as much as possible. Inferences were made according to the results obtained and the number of photographs was increased to detect missing parts. Thus, the accuracy rate was increased to over 94% using the Python-OpenCV library. Increasing the camera resolution used during this study, correcting the lighting conditions, and using a more powerful processor can increase the accuracy rate. This increases efficiency by providing real-time feedback to the operator performing this work, reducing the detection and response time of the system by 66.6%, thus increasing the production speed and reducing the error rate in manual assembly processes by 20%, also, in terms of efficiency and precision.

A. SUGGESTIONS AND FUTURE STUDIES

There are some suggestions to improve the study: Firstly, we used a single blue color range and threshold to examine the ball joint and tie rod end pieces. Trying out different color ranges and thresholds could enhance the accuracy of the detection process. Secondly, while this study relied on image processing techniques, incorporating deep learning could boost the accuracy and reliability of our results. Deep learning models have a remarkable ability to learn and generalize from large datasets, which could lead to better performance in recognizing and classifying the components we're studying. Thirdly, transferring the image to a PC for processing slowed down the study. If we optimize the algorithm and process it directly on the system using powerful microcontrollers, we could significantly speed up the workflow and improve overall performance. Lastly, utilizing advanced preprocessing techniques—such as morphological operations, noise reduction, and edge detection algorithms—with higher-quality images, could greatly enhance the study's performance. These steps would improve image clarity and feature extraction, resulting in more accurate and reliable outcomes.

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Research Article

Design and Performance Evaluation of Multi-Generation System based on Transcritical CO_2 Rankine Cycle and Helium Gas Turbine with Hydrogen Production

ⓘ Gamze SOYTÜRK [a,*]

[a] *Department of Mechanical Engineering, Faculty of Technology, Isparta University of Applied Sciences, Isparta, TURKEY*
* *Corresponding author's e-mail address: gamzeyildirim@isparta.edu.tr*
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ABSTRACT

The advancement in nuclear energy embodied by the gas-cooled modular reactor (GCMR), incorporating the transcritical CO_2 Rankine cycle (tRC) and a helium turbine (He tur.) for hydrogen (H_2) production, signifies a substantial leap forward in this domain. This research endeavor aimed to amalgamate various technologies to enhance energy conversion efficiency and generate clean hydrogen, a versatile energy carrier. Helium, selected as the GCMR coolant, boasts advantageous properties such as superior heat transfer capabilities, chemical inertness, and the capacity to operate at elevated temperatures. These attributes facilitate effective heat extraction from the reactor core, mitigating corrosion risks while boosting both power output and energy efficiency. A pivotal aspect of this design lies in integrating the tRC with the helium turbine, maximizing energy conversion efficiency and resource utilization by harnessing waste heat from the He turbine to generate additional power through the CO_2 Rankine cycle. Furthermore, the system incorporates a hydrogen production module, enabling the clean generation of hydrogen as a byproduct of the nuclear power generation process. According to analysis results, the net power obtained from the Helium turbine was calculated as 241679 kW, and the net power produced from the tRC was calculated as 9902 kW. Additionally, with this developed system, 23.11 kg/h H_2 and 183.4 kg/h O_2 can be produced. The energetic and exergetic performance of the overall system is computed as 41.8% and 54.28%, while the total amount of exergy destruction is determined as 212199 kW. Moreover, analytical findings reveal that the reactor core exhibits the highest exergy destruction among system components at 91282 kW, whereas the heat exchanger (HEx) registers the lowest exergy destruction at 3.56 kW. In addition, in this study, parametric analyses are also performed to determine the effect of helium outlet temperature analysis and pressure ratio on system performance.

Keywords: Gas-Cooled Modular Reactor, Helium Gas Turbine, transcritical CO_2 Rankine Cycle, Hydrogen Production, Energy, Exergy

Hidrojen Üretimli Transkritik CO_2 Rankine Çevrimi ve Helyum Gaz Türbini Tabanlı Çok Üretimli Sistemin Tasarımı ve Performans Değerlendirmesi

ÖZ

Transkritik CO_2 Rankine çevrimini (tRC) ve hidrojen (H_2) üretimi için bir helyum türbinini (He tur.) birleştiren gaz soğutmalı modüler reaktör (GCMR) ile ilgili nükleer enerjideki çalışmalar, bu alanda önemli bir ilerleme anlamına gelmektedir. Bu araştırma çabası, enerji dönüşüm verimliliğini artırmak

ve çok yönlü bir enerji taşıyıcısı olan temiz hidrojen üretmek için çeşitli teknolojileri birleştirmeyi amaçladı. GCMR soğutucusu olarak seçilen helyum, üstün ısı transfer kapasitesi, kimyasal eylemsizlik ve yüksek sıcaklıklarda çalışabilme kapasitesi gibi avantajlı özelliklere sahiptir. Bu özellikler, reaktör çekirdeğinden etkili ısı tahliyesini kolaylaştırır ve hem güç çıkışını hem de enerji verimliliğini artırırken korozyon risklerini azaltır. Bu tasarımın önemli yönü, tRC'nin helyum türbiniyle entegre edilmesi, CO_2 Rankine döngüsü yoluyla ek güç üretmek için He türbininden gelen atık ısıdan yararlanılarak enerji dönüşüm verimliliğinin ve kaynak kullanımının maksimuma çıkarılmasında yatmaktadır. Analiz sonuçlarına göre Helyum türbininden elde edilen net güç 241679 kW, tRC'den üretilen net güç ise 9902 kW olarak hesaplanmıştır. Ayrıca geliştirilen bu sistem ile 23.11 kg/h H_2 ve 183.4 kg/h O_2 üretilebilmektedir. Sistemin genel enerjetik ve ekserjetik performansı sırasıyla %41.8 ve %54.28 olarak hesaplanırken, toplam ekserji yıkım miktarı 212199 kW olarak belirlenmiştir. Ayrıca analitik bulgular, sistem bileşenleri arasında reaktör çekirdeğinin 91282 kW ile en yüksek ekserji yıkımını, ısı değiştiricinin (HEx) ise 3.56 kW ile en düşük ekserji yıkımını kaydettiğini ortaya koymaktadır. Ayrıca bu çalışmada, helyum çıkış sıcaklık analizi ve basınç oranının sistem performansına etkisini belirlemek amacıyla parametrik analizler de yapılmıştır.

Anahtar Kelimeler: Gaz Soğutmalı Modüler Reaktör, Helyum Gazı Türbini, Transkritik CO_2 Rankine Çevrimi, Hidrojen Üretimi, Enerji, Ekserji

I. INTRODUCTION

The rise in global population and the escalating energy requirements accompanying industrialization contribute to a rapid increase in the demand for fossil fuels. The change in consumption of energy resources in the world and Turkey according to fuel type is shown in Figure 1. Since 1965, fossil-based energy has been meeting the ever-increasing energy demand. As depicted in the figure, although the share of sustainable sources in energy generation has increased considerably, especially since the end of the 2000s, this increase cannot meet the increasing energy demand, and fossil-based energy generation is also increasing. Renewable energy sources meet 4.96% of the global energy demand, whereas in Turkey, they account for 6.33% [1].
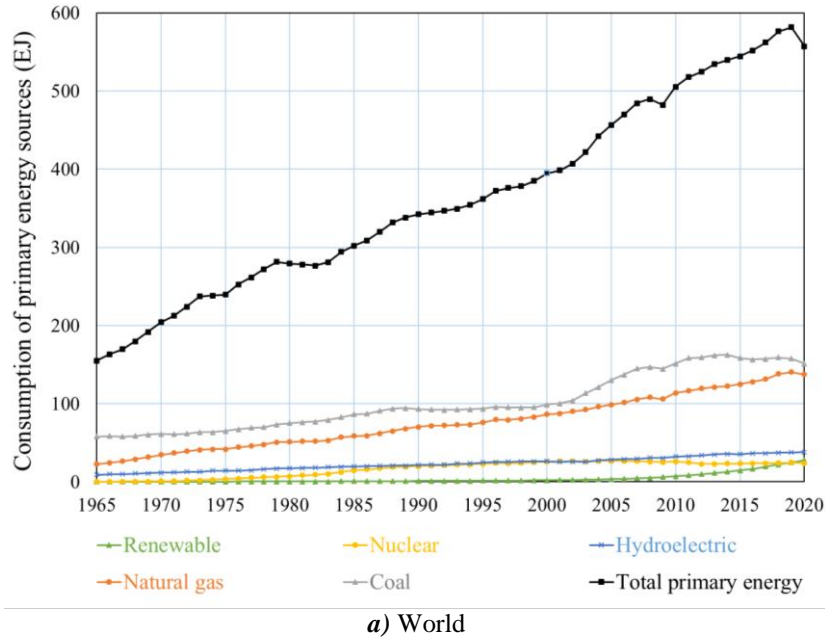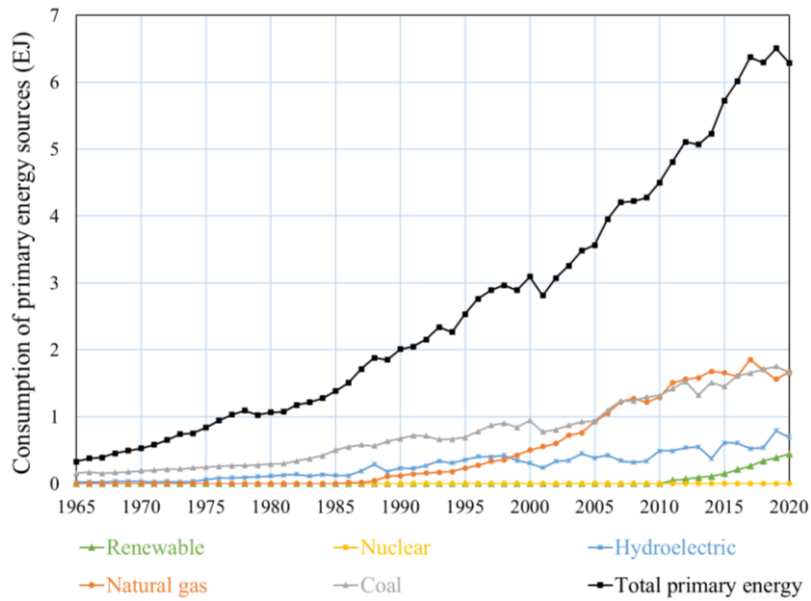
a) World

b) Turkey

Figure 1. *Change in consumption of primary energy resources over the years* [1]

The exploration of advanced nuclear energy technologies presents a significant opportunity to tackle worldwide energy issues while reducing CO_2 emissions and environmental consequences. A promising area of investigation involves combining GCMRs with inventive power conversion systems, including helium gas turbines and tRCs, all while simultaneously producing H_2. This integrated strategy seeks to improve the general efficiency of the plant, boost power generation capacities, and facilitate the creation of clean H_2 as a versatile energy carrier [2]. GCMRs employ helium as the cooling agent, offering advantages over conventional water-cooled reactors. These advantages encompass enhanced energy efficiency, superior safety characteristics, and decreased water usage. The utilization of helium facilitates effective heat removal from the nuclear reactor core, enabling the transfer of heat to the power conversion systems [3]. In advanced nuclear power technology, a noteworthy advancement is the incorporation of a helium turbine coupled with a bottoming tRC within the GCMR system. The helium gas turbine plays a pivotal role as the primary power conversion system, utilizing the energy derived from the hot helium to propel turbine blades and produce electricity. The utilization of helium, with its exceptional heat transfer properties, enables higher operating temperatures, thereby enhancing the overall thermodynamic efficiency of the plant. To further optimize energy extraction, a bottoming tRC is integrated into the system. This secondary power conversion cycle captures waste heat from the helium turbine and utilizes CO_2 as the working fluid. The tRC operates at high pressures and temperatures, facilitating efficient power generation by effectively utilizing the available heat energy.

Several environmentally friendly techniques for producing low-carbon hydrogen are widely discussed in the literature [4,5]. Electrolysis stands out as one of the most prevalent and environmentally clean methods for hydrogen generation. Proton Exchange Membrane (PEM) electrolyzers are used for the electrolysis of water, which is a clean, easy, and efficient way to obtain hydrogen. PEM electrolyzers can function at a wider range of current densities compared to alkaline electrolyzers, making them easier to integrate with renewable energy sources that have fluctuating energy production levels. Additionally, the PEM electrolysis method offers several benefits over traditional hydrogen production techniques, including high efficiency, production of high-purity and high-pressure hydrogen, and environmentally friendly reaction products. In response to the increasing need for environmentally friendly energy sources, incorporating H_2 production into the hybrid system plays a crucial role. By leveraging excess heat from the nuclear reactor and the tRC, H_2 can be generated through thermochemical processes, contributing to the advancement of sustainable fuel technologies. This addresses the need for clean energy carriers and establishes a versatile energy system capable of meeting various demands across

power generation and fuel production [6]. In the field of investigation of integrated systems containing GCMR-based helium turbine, Dardoura et al. [7] outlined the next stages leading to the progress of mathematical and physical models that facilitate the estimate of desalination process costs for the GCMR and the pebble bed modular reactor, both of which provide free thermal energy. El-Genk and Tournier [8] researched the characteristics and constraints of inert gases and two-component mixtures as potential working substances for gas-cooled nuclear power cycles employing Brayton cycles (BC). They performed a comparative examination of pressure losses and heat transfer coefficients, concentrating on different inert gases and helium. The study took into account standard working conditions in commercial power centrals, maintaining the same geometry and molecular flow rate for comprehensive analysis. Tournier and El-Genk [9] carried out comprehensive research on the specifications of inert gases such as helium, krypton, and argon, as well as their binary mixtures. This included a wide range of pressures and temperatures. They gathered a comprehensive dataset of experimental measurements and formulated property correlations. Zhao and Peterson [10] projected the efficiency of helium BCs incorporating multiple reheat and intercooling stages for sodium-cooled fast reactors. The investigation specifically considered reactor outlet temperatures spanning from 510 to 650 °C. The energy efficiencies obtained, varying between 39% and 47%, proved to be similar to those observed in recompression sCO_2 (supercritical CO_2) cycles. The findings of the study indicated that, for sodium-cooled fast reactors, the multiple reheat helium cycle is more favorable than the sCO_2 cycle. Temiz and Dincer [11] examined a hybrid system composed of a solar energy system and a nuclear power plant to produce electric power, fresh water, and H_2. They calculated energetic and exergetic efficiencies to determine the performance of the plant. They also performed numerous time-dependent dynamic analyses to examine the effects of some variable inputs, like solar irradiation intensity. According to the analysis, they determined the energetic efficiency of the system to be between 21.8% and 24.2% and the general exergetic efficiency of the system to be between 18.6% and 21.1%. Temiz and Dincer [12] proposed combining nuclear and renewable systems with a molten salt energy storage system. The suggested nuclear and sustainable integrated energy system produces heat, H_2, fresh water, power, and cooling effects to meet the needs of communities in a sustainable manner. The suggested system's exergetic and energetic efficiencies are calculated to be 57.96% and 63.54%, respectively. The maximum energetic efficiency was determined as 84.4%, and the maximum exergetic efficiency was calculated as 81.28%. In addition, with the designed system, 53.285.15 tons of H_2 were generated annually, in addition to the needs of the existing society. Hercog et al. [13] analyzed hydrogen production technologies based on the use of heat obtained from a nuclear cogeneration plant and thermochemical water splitting. Khan et al. [14] studied a new integrated power plant for solar tower systems composed of helium BC and tCO_2 (transcritical carbon dioxide). They examined the performance of the suggested cycle with respect to exergoeconomic and thermodynamics and compared it with different cycles. According to the analysis, they concluded that the solar subsystem has the highest exergy destruction rate and cost rate of around 72.37% and 56.8%, respectively, in the suggested general facility. Temiz and Dincer [15] have designed an integrated system to produce electricity, domestic hot water, H_2 fuel, district heating, and fresh water. The designed system consists of nuclear reactors, H_2 generation cycle, photovoltaic panels, gas and steam turbines and a multi-effect water desalination unit. They calculated the general energetic efficiency of the proposed integrated system as 62.64% and the general exergetic efficiency as 68.91%.

In the examination of existing literature, it is clear that although GCMRs are mature in technology, their applications are limited due to the high operating temperature, and they are efficient only when operated at higher temperatures due to the large back-work ratio.

He offers various advantages surpassing those of alternative working fluids. The elevated heat capacity of helium at high temperatures leads to a decrease in the helium mass flow rate, consequently diminishing the sizes and costs of components. This is mainly responsible for the improved economic performance of helium as a working fluid. Conventionally, organic Rankine cycle (ORC) is commonly favored for lower-temperature applications because of the advantageous operational characteristics exhibited by various organic fluids in such conditions. The tCO_2 cycle presents a superior alternative for harnessing heat from a high-temperature heat resource when compared to conventional ORC cycles. This is attributed to its more effective temperature-compatible shifting in the evaporator than traditional organic liquids. Utilizing organic fluids in applications gives rise to challenges associated with pinch

point temperatures within the evaporator. When considering the thermodynamic average heat rejection temperature, tCO$_2$ demonstrated superior performance compared to ORC. The literature study does not supply proof of comprehensive analysis of GSMR-based integrated systems containing helium turbine, especially in recent years. Therefore, in this study, a new system composed of a GCMR-based helium turbine and tCO$_2$ cycle was examined from a thermodynamic perspective. In this study, the performance of the cycle was significantly improved by using helium liquid. Additionally, the tCO$_2$ cycle was used to recover waste heat. This innovative approach combines multiple technologies to enhance the system's overall efficiency while enabling the production of H$_2$, a clean and versatile energy carrier. The originality of this concept lies in the integration of these various technologies into a single system. The development of a GCMR based on a helium turbine with a bottoming tRC and H$_2$ production represents a crucial step towards the realization of advanced nuclear energy systems. In summary, the convergence of nuclear energy with advanced thermodynamic cycles and sustainable hydrogen production represents a transformative leap in energy technology. The originality of the proposed system lies in its unique integration of a gas-cooled modular reactor (GCMR) with a helium gas turbine, a transcritical CO2 Rankine cycle, and green hydrogen generation. Each component, while individually well-established, combines in this context to create a synergetic, high-efficiency system that addresses multiple energy challenges simultaneously.

II. SYSTEM OVERVIEW

Figure 2 exhibits the schematic representation of the integrated system consisting of a GCMR, a helium tur., a tRC, and an H$_2$ generation system. The GCMR serves as the core component of the system. It utilizes helium as the coolant, providing advantages like higher energy efficiency, improved safety features, and reduced water consumption. The GCMR produces high-temperature helium gas because nuclear fission is used as a heat source for subsequent power conversion processes. The helium turbine is the primary power conversion system in the integrated setup. It utilizes the high-temperature helium gas from the GCMR to drive the turbine blades and generate electricity. The He turbine operates based on the principles of thermodynamics, extracting energy from the hot helium and converting it into mechanical energy, which is then transformed into electrical energy through a generator. To further optimize the system's energy extraction, a bottoming tRC is incorporated. This secondary power conversion cycle captures waste heat from the helium turbine. The tRC operates at high pressures and temperatures, making efficient use of the waste heat by utilizing CO$_2$ as the working fluid. The CO$_2$ expands through a turbine, driving a generator to produce additional electricity. Concurrent with power generation, the system facilitates hydrogen production. Excess heat from the GCMR, which is not utilized by the gas turbine or the bottoming transcritical CO$_2$ Rankine cycle, is diverted to a thermochemical water-splitting process. This process utilizes the excess heat to separate water molecules into hydrogen and oxygen, generating clean H$_2$ as a valuable byproduct. The hydrogen can be captured, stored, and utilized for various applications, like fuel cells, transportation, and industrial processes. Overall, the integrated system operates in a closed-loop manner, with heat being extracted from the GCMR using helium as the coolant. With a higher temperature, Helium is used to drive the He turbine, producing electricity. Waste heat from the Helium turbine is further harnessed through the bottoming transcritical CO$_2$ Rankine cycle, maximizing the energy extraction from the system. Concurrently, excess heat is utilized in a thermochemical process for H$_2$ generation, enhancing the general efficiency and sustainability of the plant. The default initial parameters of the integrated system are arranged in Table 1.
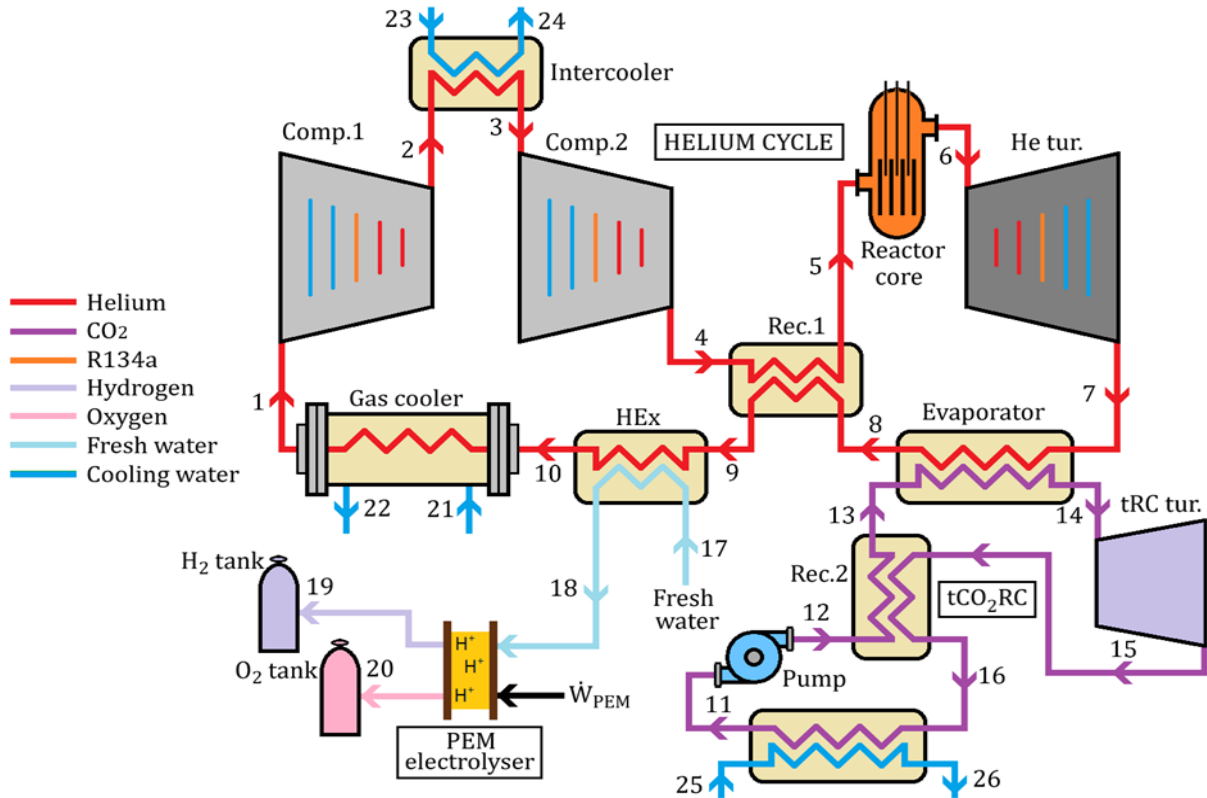
Figure 2. *Schematic drawing of a GCMR integrated with the tRC cycle and H₂ production.*

Table 1. *The default initial parameters*

Parameter	Value
Reference temperature	25 °C
Reference pressure	100 kPa
Thermal power from the reactor	600 MW [16]
Gas cycle turbine inlet temperature	750°C [17]
Gas cycle turbine inlet pressure	8000 kPa [17]
Gas cycle compressor inlet temperature	30°C [8]
Gas cycle compressor inlet pressure	2500 kPa
Gas cycle recuperator efficiency	0.9
tRC pump inlet temperature	23.5°C
tRC pressure ratio	1.45
Isentropic efficiency of the tRC turbine	0.90
Isentropic efficiency of the tRC pump	0.85
tRC recuperator efficiency	0.85
Reactor core temperature	1300 K
Gas turbine pressure ratio	3.2
Pinch point temperature	8°C
Core thermal power (MW)	600
PEM Electrolyzer [18]	
T_{PEM} (°C)	79
P_{PEM} (kPa)	101.325
A_{PEM} (m^2)	1.3805
η_{PEM}	%80
E^a_{act}(kJ/mol)	76

Table 1(cont). The default initial parameters

E^c_{act} (kJ/mol)	18
λ_a	14
λ_c	10
D(μm)	100
J^a_{ref} (A/m^2)	1.76 x 10^5
J^c_{ref} A/m^2)	4.60 x 10^3
F (C/mol)	96487
LHV of H$_2$ (kJ/kg)	120040

III. TERMODYNAMIC ANALYSIS

In this section, a comprehensive description of the thermodynamic methodology used in this paper is presented. The system's performance is evaluated through energetic and exergetic analyses conducted using the Engineering Equation Software (EES) [19]. The thermodynamic analysis in this study is based on the following assumptions:

- Whole system components are selected to operate under steady-flow and steady-state conditions.
- The alterations in potential and kinetic energies are disregarded when considering energy changes.
- Heat losses from pumps and turbines are not taken into consideration.
- Pressure drops across pipelines and heat exchangers are omitted from consideration.
- The properties at the reference state are defined at a temperature of 25°C and a pressure of 101.325 kPa.

The mass balance for the designed system can be defined as follows [20]:

$$\sum \dot{m}_{in} = \sum \dot{m}_{out} \tag{1}$$

where, $\dot{m}$ represents the mass flow rate, with the subscript *in* indicating the inlet and *out* indicating the outlet. The energy balance is determined as [20]:

$$\dot{Q} + \sum \dot{m}_{in}h_{in} = \dot{W} + \sum \dot{m}_{out}h_{out} \tag{2}$$

In this equation, $\dot{Q}$ signifies the rate of heat transfer, $\dot{W}$ represents work, and *h* denotes specific enthalpy. In the context of exergy analysis, the balance equation is outlined as [21]:

$$\dot{Ex}_Q - \dot{Ex}_W = \sum \dot{Ex}_{in} - \sum \dot{Ex}_{out} + T_0\dot{S}_{gen} \tag{3}$$

In the given expression, the initial and subsequent terms pertain to the exergy of heat and work, respectively. $\dot{Ex}$ shows the flow exergy rate, T_0 is the temperature of the reference state, and the final term signifies entropy generation. Each term in the equation is defined as follows:

$$\dot{Ex}_{dest} = T_0\dot{S}_{gen} \tag{4}$$

$$\dot{Ex}_Q = \dot{Q}\left(\frac{T-T_0}{T}\right) \tag{5}$$

$$\dot{Ex}_W = \dot{W} \tag{6}$$
$$\dot{Ex} = \dot{m}\, ex \tag{7}$$

In Equation (7), *ex* denotes the specific flow exergy and can be computed using the following equation:

$$ex = (h - h_0) - T_0(s - s_0) \tag{8}$$

Furthermore, the general equilibrium equations of thermodynamics given above are applied to all components of the hybrid system and are tabulated in Table 2.

In explain energy and exergy efficiency within power generation or utilization systems, it is common to employ non-dimensional ratios of quantities. The equation representing energetic efficiency can be recognized as:

$$\eta_{energy} = \frac{\dot{W}_{net,He\ tur.} + \dot{W}_{net,tRC} + \dot{m}_{19}LHV_{H2}}{\dot{Q}_{core} + \dot{W}_{PEM}} \tag{9}$$

The exergy efficiency equation can be defined as:

$$\eta_{exergy} = \frac{\dot{W}_{net,He\ tur.} + \dot{W}_{net,tRC} - \dot{Ex}_{19}}{\dot{Ex}_{core} + \dot{W}_{PEM}} \tag{10}$$

Table 2. *Formulations of thermodynamic equilibrium equations of integrated system elements*

Component	Energy balance	Exergy balance	Entropy balance
Comp-1	$\dot{m}_1 h_1 + \dot{W}_{Comp-1} = \dot{m}_2 h_2$	$\dot{Ex}_1 + \dot{W}_{Comp-1} = \dot{Ex}_2 + \dot{Ex}_{dest,Comp-1}$	$\dot{S}_1 + \dot{S}_{gen,Comp-1} = \dot{S}_2$
Intercooler	$\dot{m}_2 h_2 + \dot{m}_{23} h_{23} = \dot{m}_3 h_3 + \dot{m}_{24} h_{24}$	$\dot{Ex}_2 + \dot{Ex}_{23} = \dot{Ex}_3 + \dot{Ex}_{24} + \dot{Ex}_{dest,intercooler}$	$\dot{S}_2 + \dot{S}_{23} + \dot{S}_{gen,intercooler} = \dot{S}_3 + \dot{S}_{24}$
Comp-2	$\dot{m}_3 h_3 + \dot{m}_5 h_5 + \dot{W}_{Comp-2} = \dot{m}_1 h_1 + \dot{m}_6 h_6$	$\dot{Ex}_3 + \dot{Ex}_5 + \dot{W}_{Comp-2} = \dot{Ex}_1 + \dot{Ex}_6 + \dot{Ex}_{dest,Comp-2}$	$\dot{S}_3 + \dot{S}_5 + \dot{S}_{gen,Comp-1} = \dot{S}_1 + \dot{S}_6$
Rec.-1	$\dot{m}_4 h_4 + \dot{m}_8 h_8 = \dot{m}_5 h_5 + \dot{m}_9 h_9$	$\dot{Ex}_4 + \dot{Ex}_8 = \dot{Ex}_5 + \dot{Ex}_9 + \dot{Ex}_{dest,Rec.-1}$	$\dot{S}_4 + \dot{S}_8 + \dot{S}_{gen,Rec.-1} = \dot{S}_5 + \dot{S}_9$
HEx	$\dot{m}_9 h_9 + \dot{m}_{17} h_{17} = \dot{m}_{10} h_{10} + \dot{m}_{18} h_{18}$	$\dot{Ex}_9 + \dot{Ex}_{17} = \dot{Ex}_{10} + \dot{Ex}_{18} + \dot{Ex}_{dest,HEx}$	$\dot{S}_9 + \dot{S}_{17} + \dot{S}_{gen,HEx} = \dot{S}_{10} + \dot{S}_{18}$
Reactor core	$\dot{Q}_{Core} + \dot{m}_5 h_5 = \dot{m}_6 h_6$	$\dot{Ex}_{core} + \dot{Ex}_5 = \dot{Ex}_6 + \dot{Ex}_{dest,Reactor,core}$	$\dot{Q}_{Core}/T_{core} + \dot{S}_5 + \dot{S}_{gen,Reactor\ core} = \dot{S}_6$
Helium tur.	$\dot{m}_6 h_6 = \dot{m}_7 h_7 + \dot{W}_{He\ tur.}$	$\dot{Ex}_6 = \dot{Ex}_7 + \dot{W}_{He\ tur.} + \dot{Ex}_{dest,He\ tur.}$	$\dot{S}_6 + \dot{S}_{gen,He\ tur.} = \dot{S}_7$
Evaporator	$\dot{m}_7 h_7 + \dot{m}_{13} h_{13} = \dot{m}_8 h_8 + \dot{m}_{14} h_{14}$	$\dot{Ex}_7 + \dot{Ex}_{13} = \dot{Ex}_8 + \dot{Ex}_{14} + \dot{Ex}_{dest,Evaporator}$	$\dot{S}_7 + \dot{S}_{13} + \dot{S}_{gen,Evaporator} = \dot{S}_8 + \dot{S}_{14}$
Pump	$\dot{m}_{11} h_{11} + \dot{W}_{Pump} = \dot{m}_{12} h_{12}$	$\dot{Ex}_{11} + \dot{W}_{Pump} = \dot{Ex}_{12} + \dot{Ex}_{Pump}$	$\dot{S}_{11} + \dot{S}_{gen,Pump} = \dot{S}_{12}$
Rec.-2	$\dot{m}_{15} h_{15} + \dot{m}_{12} h_{12} = \dot{m}_{13} h_{13} + \dot{m}_{16} h_{16}$	$\dot{Ex}_{15} + \dot{Ex}_{12} = \dot{Ex}_{13} + \dot{Ex}_{16} + \dot{Ex}_{dest,Rec.-2.}$	$\dot{S}_{15} + \dot{S}_{12} + \dot{S}_{gen,Rec.-2} = \dot{S}_{13} + \dot{S}_{16}$
tRC tur.	$\dot{m}_{14} h_{14} = \dot{m}_{15} h_{15} + \dot{W}_{tRC\ tur.}$	$\dot{Ex}_{14} = \dot{Ex}_{15} + \dot{W}_{tRC\ tur.} + \dot{Ex}_{dest,tRC\ tur.}$	$\dot{S}_{14} + \dot{S}_{gen,tRC\ tur} = \dot{S}_{15}$
Gas cooler	$\dot{m}_{10} h_{10} + \dot{m}_{21} h_{21} = \dot{m}_1 h_1 + \dot{m}_{22} h_{22}$	$\dot{Ex}_{10} + \dot{Ex}_{21} = \dot{Ex}_1 + \dot{Ex}_{22} + \dot{Ex}_{dest,Gas\ cooler}$	$\dot{S}_{10} + \dot{S}_{21} + \dot{S}_{gen,Gas\ cooler} = \dot{S}_1 + \dot{S}_{22}$
PEM-El	$\dot{m}_{18} h_{18} + \dot{W}_{PEM-El} = \dot{m}_{19} h_{19} + \dot{m}_{20} h_{20}$	$\dot{Ex}_{18} + \dot{W}_{PEM-El} = \dot{Ex}_{19} + \dot{Ex}_{20} + \dot{Ex}_{des,PEM-El}$	$\dot{S}_{18} + \dot{S}_{gen,PEM-El} = \dot{S}_{19} + \dot{S}_{20}$
Condenser	$\dot{m}_{16} h_{16} + \dot{m}_{25} h_{25} = \dot{m}_{11} h_{11} + \dot{m}_{26} h_{26}$	$\dot{Ex}_{16} + \dot{Ex}_{25} = \dot{Ex}_{11} + \dot{Ex}_{26} + \dot{Ex}_{dest,Condenser}$	$\dot{S}_{16} + \dot{S}_{25} + \dot{S}_{gen,Condenser} = \dot{S}_{11} + \dot{S}_{26}$

A. PEM ELECTROLYZER

This research employs PEM electrolysis for hydrogen production, a versatile technology that breaks down water into hydrogen and oxygen atoms through electrochemical reactions. Table 3 showcases the PEM equations, while Table 1 outlines its limitations.

Table 3. Mathematical equations for PEM electrolysis unit modeling [18]

H_2 generation	$H_2O + \Delta H \rightarrow H_2 + (0.5)O_2$
Total energy	$\Delta H = \Delta G + T\Delta S$
Molar hydrogen generation	$\dot{N}_{H_2} = \dfrac{J_{elect.}}{2F}$
Electrical power	$\dot{W}_{elect.} = J_{elect.}V$
Cell overall potential	$V = V_0 + V_{act,a} + V_{act,c} + V_{ohm}$
Reversible potential	$V_0 = 1.229 - 8.5 \times 10^{-4}(T_{PEM} - 298)$

$$\sigma_{PEM}[\lambda(x)] = [0.5139\lambda(x) - 0.326]\ \exp\left[1268\left(\frac{1}{303} - \frac{1}{T_{PEM}}\right)\right]$$

$$\lambda(x) = \frac{\lambda_a - \lambda_c}{D}x + \lambda_c$$

Ohmic overpotential	$V_{ohm} = J_{elect.}R_{PEM}$
Overall ohmic resistance	$R_{PEM} = \displaystyle\int_0^L \frac{dx}{\sigma_{PEM}[\lambda(x)]}$

$$V_{act,i} = \frac{RT_{PEM}}{F}\sinh^{-1}\left(\frac{J}{2J_0^i}\right), i = a, c$$

$$J_{0,i} = J_{ref}^i \exp\left(-\frac{E_{act}^i}{RT_{PEM}}\right), i = a, c$$

B. VALIDATION of PEM ELECTROLYZER

To ensure the accuracy of the H_2 production process, the PEM Electrolyzer model was validated using both empirical data from Ioroi et al. [22] and theoretical data from Ahmadi et al. [23]. Figure 5 compares the three models, showing the relationship between cell potential and current density. The figure indicates that the discrepancy between the current model and Ioroi et al.'s experimental results [22] is within an acceptable range, with an average error of 3.72%. Additionally, the results closely align with the findings of Ahmadi et al. [23].
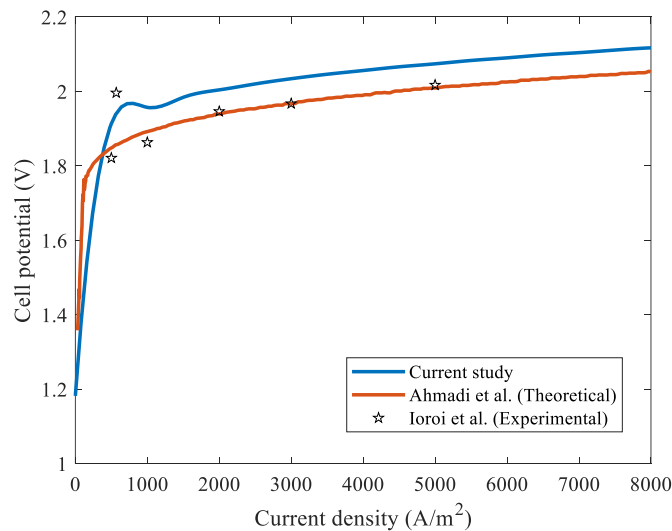
Figure 5. Validation of the PEM Electrolyzer model with two separate research (Modified from Ref [19])

IV. RESULTS AND DISCUSSION

The current research aims to integrate a helium turbine with a bottom tRC and evaluate the performance of the H_2-producing GCMR-based plant. At the same time, parametric studies were carried out to explore the effects of helium temperature and pressure ratio at the reactor outlet on the cycle performance. Using the balance equations and under the assumptions given above, the analyses are performed by EES software. The results of the current study were calculated, taking into account the data shown in Table 1. According to these results, the net power obtained from the He turbine was calculated as 241679 kW, and the net power produced from the tRC was calculated as 9902 kW. Additionally, with this developed system, 23.11 kg/h H_2 and 183.4 kg/h O_2 can be produced. The energetic and exergetic performance of the overall system is computed as 41.8% and 54.28%, while the total amount of exergy destruction is determined as 212199 kW. Utilizing these input data, Table 4 presents the thermal properties and corresponding mass flow rates per case.

Table 4. Thermodynamic specifications of every point in the hybrid system

State	Working fluid	T (°C)	P (kPa)	ṁ (kg/s)	h (kJ/kg)	s (kJ/kgK)	e (kJ/kg)	Ėx (kW)	Ṡ (kW/K)
1	Helium	30	2500	261.7	1588	21.41	2001	523703	5603
2	Helium	118.8	4472	261.7	2055	21.53	2430	636070	5636
3	Helium	30	4472	261.7	1594	20.2	2367	619500	5287
4	Helium	118.8	8000	261.7	2066	20.33	2801	733057	5321
5	Helium	308.2	8000	261.7	3050	22.38	3174	830682	5857
6	Helium	750	8000	261.7	5342	25.31	4592	1.202E+06	6624
7	Helium	394.3	2500	261.7	3479	25.5	2670	698954	6676
8	Helium	329.3	2500	261.7	3141	24.97	2492	652142	6536
9	Helium	139.9	2500	261.7	2158	23.01	2093	547716	6023
10	Helium	139.9	2500	261.7	2158	23.01	2093	547711	6023
11	CO_2	23.5	6216	425.5	-238.2	-1.51	213.1	90694	-642.6
12	CO_2	29.13	9013	425.5	-233.7	-1.508	216.9	92294	-641.7
13	CO_2	61.35	9013	425.5	-61.07	-0.961	226.5	96376	-408.9
14	CO_2	215	9013	425.5	146.5	-0.4412	279.1	118749	-187.7
15	CO_2	181.4	6216	425.5	118.8	-0.4344	249.4	106108	-184.9
16	CO_2	42.63	6216	425.5	-53.86	-0.8935	213.6	90878	-380.2
17	Freshwater	25	100	0.0792	104.9	0.3672	0	0	0.02908
18	Freshwater	80	100	0.0792	335.1	1.076	18.94	1.5	0.08518
19	H_2	80	100	0.00642	791.4	67.25	118364	759.8	0.4317
20	O_2	80	100	0.05095	50.68	6.567	128.2	6.534	0.3346
21	Cooling water	22.85	100	8504	95.94	0.337	0.03246	276	2866
22	Cooling water	27.05	100	8504	113.5	0.3959	0.02944	250.4	3367
23	Cooling water	22.85	100	7397	95.94	0.337	0.03246	240.1	2493
24	Cooling water	26.75	100	7397	112.3	0.3917	0.02148	158.9	2898
25	Cooling water	22.85	100	4936	95.94	0.337	0.03246	160.2	1663
26	Cooling water	26.65	100	4936	111.8	0.3903	0.01911	94.3	1926

Figure 6 demonstrates the exergy destruction rate of the components that make up the hybrid system. The orange color on the right side of the graph shows the exergy destruction rate in the reactor core, and the blue color on the left shows the exergy destruction rate on the other components of the system. As seen in the figure, the highest exergy destruction is in the reactor core with 91282 kW. The reactor core is followed by the evaporator, gas cooler, intercooler, and He turbine, respectively. The component with the least exergy destruction in the system is the HEx, which has a value of 3.56 kW.
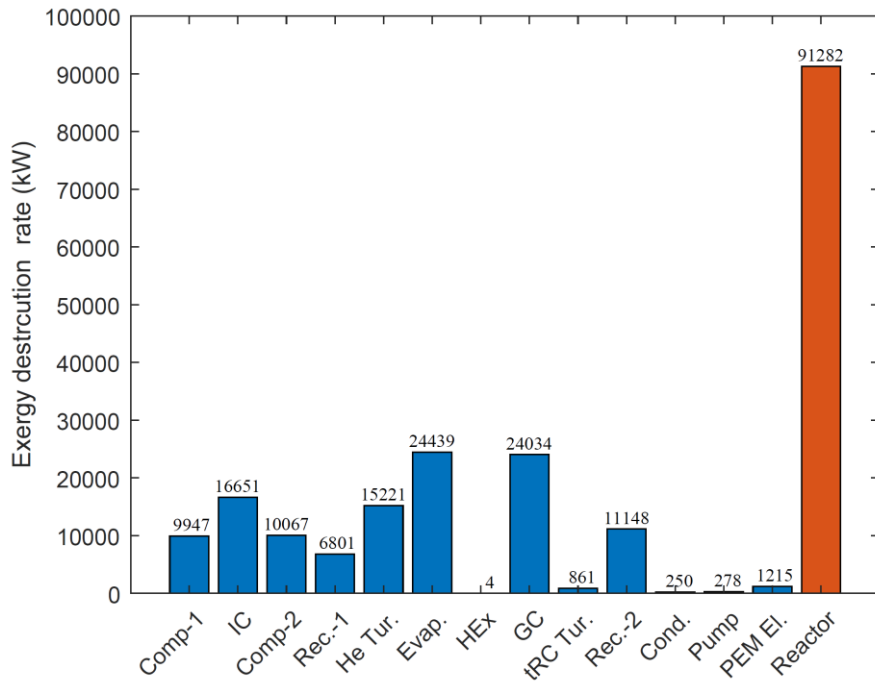
Figure 6. *Exergy destruction rates across the various components of the plant*

Parametric studies have been carried out to determine the impacts of He temperature at the reactor exit on the plant performance. Figure 7 depicts how the He temperature at the reactor outlet influences both total power production and energy efficiency. As depicted in the figure, when the He temperature at the reactor outlet is increased from 700°C to 900°C, the total power generation and overall energy efficiency increase. The effect of He temperature at the reactor outlet on total power generation and overall energy efficiency depends on the specific characteristics of the system and reactor design. Generally, the temperature of the working fluid, in this case, helium, can significantly influence the performance of a nuclear reactor and its overall energetic efficiency. The temperature of the fluid at the reactor outlet influences the power conversion efficiency. Higher temperatures typically lead to higher energy efficiencies in power conversion processes. The efficiency of a power cycle, such as a BC used with helium as the working fluid, often improves with higher outlet temperatures. Higher helium outlet temperatures contribute to increased power production. This is because the temperature variance between the reactor core and the heat sink (usually the environment or a heat exchanger) plays a crucial role in determining the potential power output.
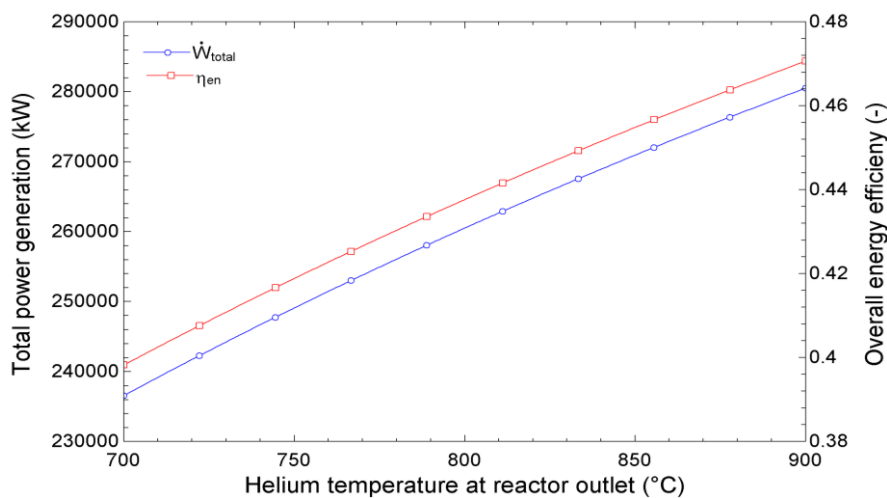
Figure 7. *Impact of helium temperature at the reactor outlet on total power production and overall energy efficiency*

The impact of He temperature at the reactor outlet on both the destruction of exergy and the overall efficiency of exergy is shown in Figure 8. The temperature of helium at the reactor outlet plays a crucial role in influencing the exergy destruction within the system. It is quite clear that as the helium temperature at the reactor exit increases, the exergy destruction rate decreases. Higher temperatures generally result in lower exergy destruction, as the temperature variance between the heat source (reactor) and the heat sink (environment or heat exchanger) influences the thermodynamic losses. As depicted in the figure, contrary to exergy destruction, exergy efficiency increases as helium temperature at the reactor outlet increases. Exergy efficiency increases as higher helium outlet temperatures allow a higher working fluid temperature in the power conversion cycle, potentially increasing thermodynamic efficiency.
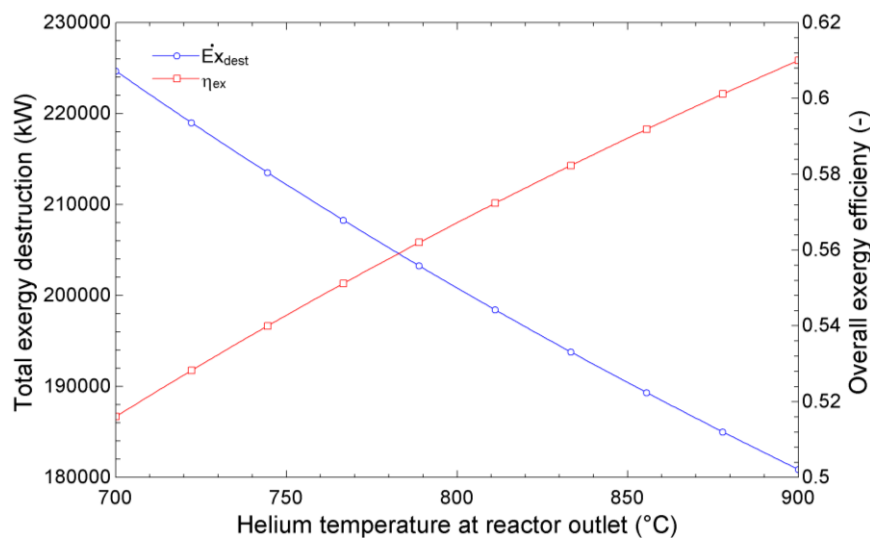
Figure 8. *Impact of helium temperature at the reactor outlet on total exergy destruction and overall exergy efficiency*

The influence of the helium temperature at the reactor outlet on both hydrogen production and net power generation in the transcritical carbon dioxide Rankine cycle (tRC) is shown in Figure 9. As evident from the figure, an elevation in helium temperature results in a decrease in the energy efficiency of the tRC. This is because the heat transferred to helium is less effective in generating electricity. At higher helium temperatures, heat dissipation to the environment becomes more pronounced. This is due to the widening of the temperature variance between helium and the environment. This heat loss reduces the amount of heat available for energy production, further reducing net power production and energy efficiency. In addition, hydrogen production in high-temperature GCMR is achieved by thermochemical processes. These processes involve a series of temperature-dependent chemical reactions. As the helium temperature increases, the reaction equilibrium of these processes shifts towards less favorable conditions for hydrogen production. In summary, the decrease in H_2 production and tRC net power production with increasing helium temperature is due to a combination of factors that influence the overall efficiency of the gas-cooled reactor system.

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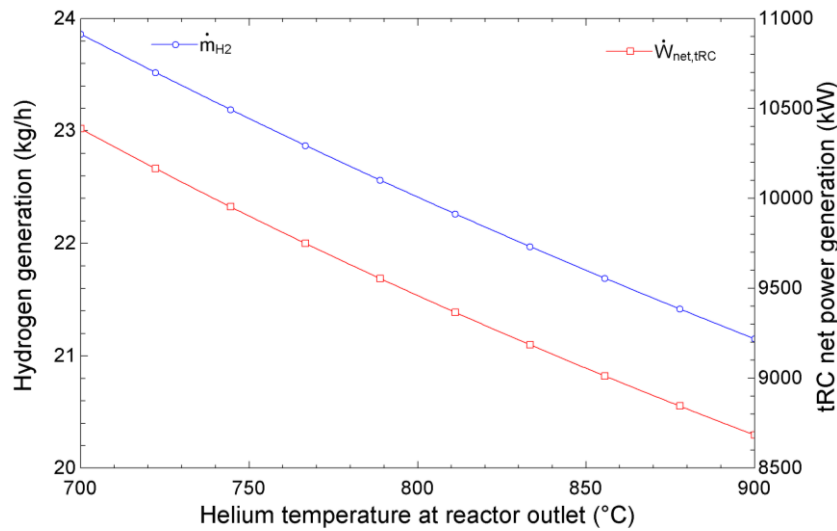
Figure 9. Impact of helium temperature at the reactor outlet on H_2 production and tRC net power generation

The effect of the pressure ratio on both total power generation and overall energetic efficiency is illustrated in Figure 10. As the pressure ratio rises, total power production and efficiency exhibit an increase, reaching their peak at a pressure ratio of 2.6. This maximum value shifts to higher pressure ratios when elevated turbine inlet temperatures are employed. The temperature escalation raises the average heat intake temperature in the cycle, subsequently enhancing Carnot efficiency and overall cycle efficiency. Furthermore, the heightened temperature contributes to an increased enthalpy variance across the turbine, enabling greater power generation and achieving heightened efficiencies for all cycles. Additionally, the temperature increase results in an elevated turbine inlet temperature and pressure in the transcritical carbon dioxide Rankine cycle (tRC), leading to an augmented power output in the tRC turbine. It is seen that when the pressure ratio is approximately 2.7 and above, the total power production and general energy efficiency decrease. Pressure changes affect the cycle's efficiency and performance, and further increases lead to reduced returns or negative effects. Therefore, it is necessary to determine an optimal pressure ratio in these systems. The observed reduction in power production and energy efficiency results from the combined effects of increased compressor work, reduced heat exchanger efficiency, higher flow losses, lower turbine efficiency, and unfavorable reaction equilibrium for hydrogen production.
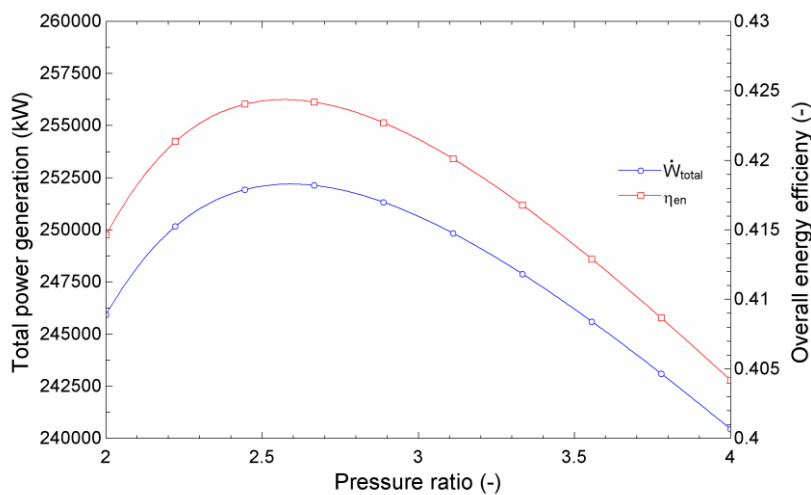
Figure 10. Impact of pressure ratio on total power production and overall energy efficiency

Figure 11 shows the influence of pressure ratio on total exergy destruction and general exergy efficiency. There is generally an optimal pressure ratio at which overall exergy efficiency is maximized, and exergy

destruction is minimal. While exergy efficiency decreases at higher pressure ratios, exergy destruction tends to increase. The figure shows that exergy efficiency reaches its maximum value when the pressure ratio is approximately 2.6. After this value, it is seen that as the pressure ratio increases, exergy destruction and efficiency decrease. This is because as the pressure ratio increases, the exergy destruction in the compressor also increases. Additionally, the compressor must do more work to compress the helium to a higher pressure, resulting in increased irreversibility and exergy loss. Higher pressure ratios increase exergy destruction in heat exchangers due to larger temperature differences between fluid flows. This increased temperature difference results in higher entropy production and exergy loss. Higher pressure ratios also increase exergy destruction due to increased flow losses in components such as valves and pipes. These losses represent wasted exergy that reduces overall efficiency.
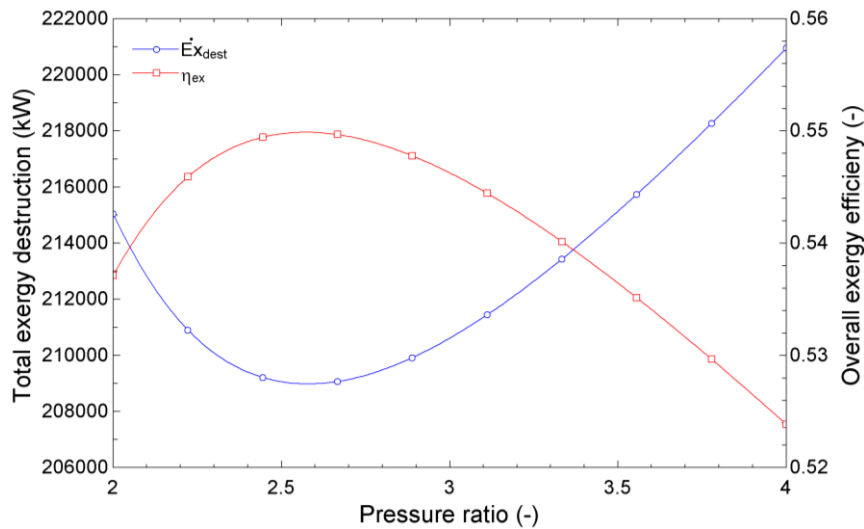
Figure 11. Impact of pressure ratio on total exergy destruction and overall exergy efficiency

Figure 12 displays the effect of pressure ratio on H_2 generation and tRC net power production. Increasing the pressure ratio generally leads to a decrease in H_2 production. This is primarily attributed to the shifting reaction equilibrium of thermochemical hydrogen production processes. At higher pressure ratios, the equilibrium shifts towards less favorable conditions for hydrogen formation, resulting in lower H_2 production rates. Also, higher pressure ratios can affect the efficiency of heat exchangers' efficiency in thermochemical hydrogen production. Heat transfer effectiveness may decrease as the pressure ratio increases due to increased fluid velocities and reduced residence time. This reduced heat transfer can further limit H_2 production. Moreover, higher pressure ratios demand more work from the compressor, which consumes more power. This increase in compressor power consumption can negate the initial gain in turbine power output, potentially leading to a decrease in tRC's net power generation. Also, while the turbine power output initially increases with the pressure ratio, the specific heat capacity of helium decreases. This results in a lower enthalpy drop across the turbine, reducing its power output and contributing to the overall efficiency decline.
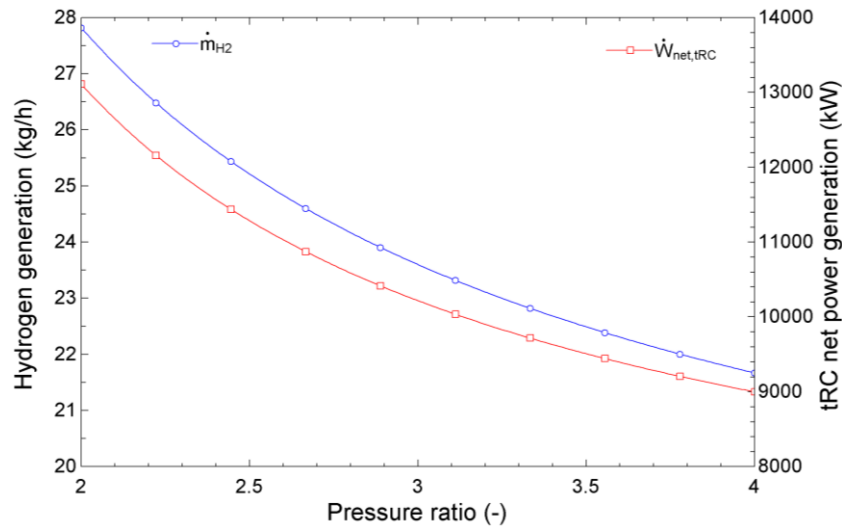
Figure 12. *Impact of pressure ratio on H$_2$ generation and tRC net power generation*

V. CONCLUSIONS

In this research, the performance of a GCMR-based system that facilitates hydrogen production while integrating a helium gas turbine with the bottoming out transcritical CO_2 Rankine cycle is investigated. At the same time, parametric studies were carried out to evaluate the effects of helium temperature and pressure ratio at the reactor outlet on the cycle performance. The key findings from this research are as follows:

- The net power gained from the He turbine is 241679 kW.
- The net power produced from the tRC is 9902 kW.
- The amount of H_2 produced is 23.11 kg/h, and the amount of O_2 is calculated as 183.4 kg/h.
- The overall rate of exergy destruction in the system amounts to 212199 kW.
- Analysis results show that the system has an energy efficiency of 41.8% and an overall exergetic efficiency of 54.28%.
- As per the outcomes of the parametric analysis, an increase in the helium temperature at the reactor outlet positively impacts both the total power generation and the general energetic efficiency of the integrated plant.
- As stated by the results of the parametric analysis, H_2 production decreases as the exit temperature of helium from the reactor increases.
- Finally, the pressure ratio has an important effect on system performance. According to the results of the parametric analysis, as the pressure ratio increases, H_2 production and net power production of the tRC cycle decrease.

In conclusion, the development of a GCMR based on a helium turbine with a bottoming tRC and H_2 production holds significant promise for advancing the field of nuclear energy. This innovative approach enhances the sustainability of the system by optimizing resource utilization. Developing a GCMR based on a helium turbine with a bottoming tRC and H_2 production is crucial to realizing advanced nuclear energy systems. This integrated approach offers a range of advantages, including high energy efficiency, reliable and safe operation, reduced environmental impact, and clean hydrogen production. However, further research, development, and demonstration efforts are required to optimize and validate this concept's technical and economic feasibility at a larger scale. With continued advancements in nuclear technology and a focus on sustainable energy solutions, the GCMR, with a bottoming tRC and H_2 production, holds immense potential for transforming the energy landscape and driving us toward a greener and more sustainable future.

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Failure Behavior of Titanium/CFRP Hybrid Composites Under Tensile Loading

(iD) Aysun GÜVEN ÇITIR[a,*], (iD) Serkan TOROS[b,c], (iD) Fahrettin ÖZTÜRK[c,d]

[a] *Department of Mechanical Engineering, Faculty of Engineering, Ankara Yıldırım Beyazıt University, Ankara, TÜRKİYE*
[b] *Department of Mechanical Engineering, Faculty of Engineering, Nigde Omer Halisdemir University, Nigde, TÜRKİYE*
[c] *Turkish Aerospace Industries, Inc., Ankara, TÜRKİYE*
[d] *Faculty of Mechanical Engineering, Istanbul Technical University, Istanbul, TÜRKİYE*
* *Corresponding author: aysunguvencitir@aybu.edu.tr*
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ABSTRACT

Carbon fiber reinforced polymer (CFRP) composites have found widespread use in various lightweight engineering applications, owing to their high stiffness and strength at low density. Nevertheless, they exhibit certain weaknesses, such as low bearing strength, leading to reduced impact resistance in CFRP components. In addressing this challenge, metal/CFRP composites have emerged as an alternative, leveraging the ductility of metals along with the high specific strength of the CFRP composites. In this study, tensile tests were conducted on the CFRP composite plates with 0°, 90°, and ±45° stacking sequences, and the corresponding load-displacement curves were obtained. The numerical simulation of tensile tests was conducted by the LS-DYNA software, and the numerical model was verified with the experimental results. Furthermore, numerical simulations were conducted to examine the influence of various metal types on the failure behavior of metal alloy/CFRP hybrid composite plates with different thicknesses under tensile loading. The results indicate that both the thickness of the hybrid CFRP composites and the type of metal have a substantial impact on the performance of metal-hybrid components. Additionally, a comparison between the tensile test results and numerical simulation results reveals a good agreement.

Keywords: Carbon fiber reinforced polymer, CFRP, Failure behavior, Titanium, Hybrid composite plates

Titanyum/CFRP Hibrit Kompozitlerin Çekme Yüklemesi Altındaki Kırılma Davranışı

ÖZ

Karbon fiber takviyeli polimer (CFRP) kompozitler, düşük yoğunlukta yüksek rijitlik ve mukavemetleri nedeniyle çeşitli hafif mühendislik uygulamalarında geniş bir kullanım alanı bulmuştur. Bununla birlikte, CFRP yapıları düşük taşıma mukavemeti gibi belirli zayıflıklar gösterirler, bu durum da CFRP yapılarındaki darbe direncinin azalmasına neden olur. Bu sorunu çözmek için metallerin şekillenebilirliğini ve CFRP kompozitlerin yüksek özgül mukavemeti birlikte kullanılarak metal/CFRP kompozitler bir alternatif olarak ortaya çıkmıştır. Bu çalışmada çekme testleri 0°, 90° ve ±45° istifleme dizilimi ile CFRP kompozit levhalar üzerinde gerçekleştirilmiş ve ilgili yük-şekil değişimi eğrileri elde edilmiştir. Çekme testlerinin sayısal çözümlenmesi, LS-DYNA simülasyon programı kullanılarak gerçekleştirilmiş ve sayısal model deneysel sonuçlarla doğrulanmıştır. Ayrıca, farklı

kalınlıklardaki metal alaşımı/CFRP hibrit kompozit levhaların çekme yüklemesi altındaki kırılma davranışı üzerinde çeşitli metal tiplerinin etkisinin incelenmesi için nümerik simülasyonlar yapılmıştır. Sonuçlar hem hibrit CFRP kompozitlerinin kalınlığının hem de metal tipinin metal-hibrit kompozitlerin performansı üzerinde önemli bir etkisi olduğunu göstermektedir. Ek olarak, çekme testi sonuçları ile sayısal simülasyon sonuçları arasında karşılaştırma yapılmış iyi bir uyum olduğu görülmüştür.

Anahtar Kelimeler: Karbon fiber takviyeli polimer, CFRP, Kırılma davranışı, Titanyum, Hibrit kompozit plakalar

I. INTRODUCTION

In recent decades, fiber reinforced polymer composites (FRPCs) have gained extensive utilization owing to their exceptional mechanical characteristics, including superior strength, stiffness, fatigue resistance, low weight, and manufacturing convenience. However, they have some drawbacks, including low impact and residual strength, susceptibility to moisture, and brittle behavior. To overcome most of these disadvantages, hybrid composite laminates have been introduced to several industries such as aerospace, automotive, defense, and infrastructure [1-3] in various configurations. Fiber metal laminates (FMLs) are hybrid structures based on combining composite laminates and thin metal alloys. Thus, FMLs combines the fatigue and fracture properties of composite laminates with the durability and toughness advantages of metal alloys such as titanium, aluminum, magnesium, and steel [4]. The most commonly used aluminum-based FMLs can be categorized as aramid fiber reinforced aluminum laminate (ARALL), carbon fiber reinforced aluminum laminate (CARALL), and glass fiber reinforced aluminum laminate (GLARE), while titanium-based FMLs are defined as hybrid titanium composite laminates (HTCL).

The mechanical properties of the ARALL, the CARALL, the GLARE, and the HTCL composites have been examined by many researchers [5-9]. Recent studies have demonstrated that various factors influence the mechanical properties of hybrid composite laminates including fiber type, stacking sequence, the adhesion of fiber/metal interlayer and the type of metal/fibers [10-13]. Hynes et al. [14] experimentally and numerically compared the mechanical properties of the CFRP to the FMLs, which consist of Al6061 (0.5 mm thickness) and the CFRP combined in two different stacking sequences. The stacking sequence of laminates, which start and end with Al6061 and the CFRP respectively, was labeled as Type-I (ACACA) and Type-II (CACAC), while a laminate consisting solely of the CFRP was defined as Type-III. The results revealed that the stacking sequence significantly influences mechanical properties including tensile strength, impact resistance, and flexural strength. For example, Type-I and Type-II FMLs demonstrated 24.40% and 6.41% higher tensile strength, 79.56% and 55.93% higher impact energy, and 51.61% and 37.5% greater ultimate breaking load compared to the CFRP, respectively. Sun et al. [15] investigated the effect of strain rate on the mechanical properties such as tensile strength of titanium based and aluminum based FMLs. Ti6Al4V and AL2024 were preferred as metal alloys, and both combined with the CFRP. They concluded that strain rate has negligible effect on the mechanical properties of these FMLs. Furthermore, the HTCLs were showed higher specific strength than the CARALLs. Yao et al. [16] examined the tensile strength and damage mechanisms of the FMLs at different temperatures also regarding the effect of the orientation of the layers by experimentally, numerically, and theoretically. T700/3234 CFRP and 2024-T3 aluminum, a thickness of 0.5 mm, were tested at different temperatures with different layer orientation. It was concluded that the orientation of the layers in the FMLs significantly influences their final fracture sequence and failure mechanism. In the FMLs with layers oriented at 0°/90° and 45°/−45°, the final damage mode is primarily driven by the fibers, indicating a tension-dominated failure mechanism, and the aluminum layers, indicating a tension-shear dominated failure mechanism, respectively. It implies that the arrangement of layers not only affects the overall mechanical behavior of the laminate but also determines how the laminate responds to stress and ultimately fails. Additionally, the FMLs primarily exhibit fiber fracture and matrix cracking at low temperatures while there is more delamination between metal alloy and composite layers at high temperatures which causes sudden decrease in ultimate tensile load. Sharma and Velmurugan [17] conducted a study on the tensile characterization of the FMLs composed of

Ti6Al4V sheets and of glass fiber reinforced polymer (GFRP) composite layers. They examined the FMLs with varying thicknesses of Ti6Al4V sheets, where metal layers were dispersed throughout the thickness while maintaining a constant total thickness for the metal layer. Additionally, they investigated different stacking sequences of the GFRP under tension. The FMLs with grouped composite layers exhibited higher strength compared to the FMLs with discrete metal layers. Additionally, the FMLs with dissimilar fiber orientations separated by a metal layer demonstrated increased tolerance to damage with only minor reductions in strength.

In this study, it was aimed to investigate mechanical properties of metal/CFRP hybrid composite laminates under tensile loading. The tensile behavior of the CFRP composite laminates were tested experimentally according to ASTM D3039 for 0° and 90° and ASTM D3518 for ±45° stacking sequences. Additionally, hybrid composite laminates with varying thicknesses of metal layers (0.3 mm and 0.6 mm) and different types of metal alloys (Ti6Al4V, Al7075-T6, Al6061-T6, and Al2024-T3) were examined through finite element analysis (FEA) utilizing the LS-DYNA software.

II. MATERIALS AND METHOD

A. MATERIALS

UD (unidirectional) carbon fiber reinforced LM-PAEK (Cetex® TC1225) with a 34% resin content by weight was supplied by Toray Industries, Inc. The physical and mechanical properties of the UD/CFRP composites supplied from technical data sheets provided by the manufacturer are given in Table 1.

Table 1. Material properties of considered CFRP composite.

Properties	LM-PAEK
Density (g/cm^3)	1.3
Modulus (GPa)	E11=135; E22=E33=10; G12=G13= G23= 4.3
Poisson's ratio	$\upsilon12= \upsilon13= \upsilon23=0.33$
Tensile strength 0° (MPa)	XT=2410
Tensile strength 90° (MPa)	YT=86
Shear strength (MPa)	SC=152

B. FABRICATION OF SPECIMENS

The UD/CFRP composite specimens were produced according to ASTM D3039 for 0° and 90° stacking sequences and ASTM D3518 for ±45° stacking sequences, each with different lay-ups: 90° and ±45° stacking sequences with 16 plies and 0° with 8 plies. The thickness of each layer is 0.140 mm. The manufacturing process CF/LM-PAEK prepregs were shown in Figure 1.

Cutting samples by CNC   Spot welding   Autoclave process   Tensile test samples
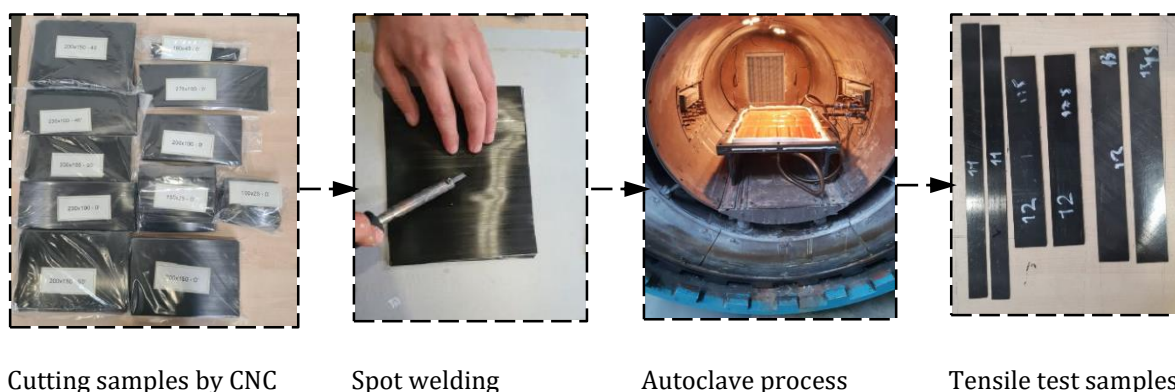
Figure 1. Manufacturing process of CFRP composites.

Initially, the prepregs were cut using CNC and arranged in the desired directions. A spot-welding process was then performed at two edges and one in the center of the plates to prevent any slippage or displacement. Subsequently, the prepregs were heated in an autoclave at a specified temperature and pressure. Two different autoclave cycles were used for LM-PAEK and PEKK composite consolidation with Ti6Al4V. The curing cycle of LM/PAEK was carried out at a heating rate of 3 °C/min up to 260°C for first heating cycle and with a heating rate of 3 °C/min up to 370°C for second heating cycle. Then return to room temperature at a heating rate of 3 °C/min. The curing cycle of PEKK was performed at a heating rate of 11 °C/min up to 400°C and was held at 400°C for 3 h, then return to room temperature at a heating rate of 3 °C/min. The vacuum of 0.08 MPa was used for both LM/PAEK and PEKK autoclave cycles. Finally, the prepared prepreg layers were precision-cut to the required dimensions for tensile testing, employing a water jet cutting technique.
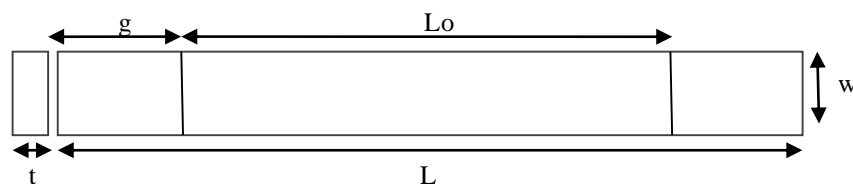
Figure 2. *The overall dimensions and layout of the UD/CFRP tensile test specimen.*

The general specimen layout of the UD/CFRP composite laminate shown in Figure 2. The length, width and thickness values of the tensile test specimens varied depending on their respective ASTM standards. The dimensions of 0° direction test coupon, which has 8 plies with the layup configuration of $[0°]_8$, and the dimensions of 90° direction test coupon, which has 16 plies with the layup configuration of $[90°]_{16}$, were chosen as suggested in ASTM D3039 standard detailed in Table 2. Additionally, according to ASTM D3518 standard, the value of n for unidirectional composites is recommended to be within the range of $4 \leq n \leq 6$. Therefore, the value of n was selected as four, resulting in the production of (±45°) test coupons with 16 plies.

Table 2. *Details of LM-PAEK tensile specimens.*

Material	Layup	Length, L (mm)	Width, w (mm)	Thickness, t (mm)	Gage length, Lo (mm)	Grip length, g (mm)	ASTM standard
LM_PAEK	$[0°]_8$	250	15	1	130	60	ASTM D3039
	$[+45/-45°]_{4s}$	200	25	2	50	50	ASTM D3518
	$[90°]_{16}$	175	25	2	40	40	ASTM D3039

C. TESTING OF COMPOSITE SPECIMENS
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The tensile properties of unidirectional the CFRP composite specimens were tested at room temperature (RT) using a Shimadzu AGS-X 100kN universal testing machine using a constant crosshead speed of 2 mm/min according to ASTM D3039 for 0° and 90°, and ASTM D3518 for ±45° stacking sequences. Five repeated tensile tests were conducted to minimize any experimental inaccuracies. Figure 3 shows the UD/CFRP tensile test specimen loaded in the universal testing machine.
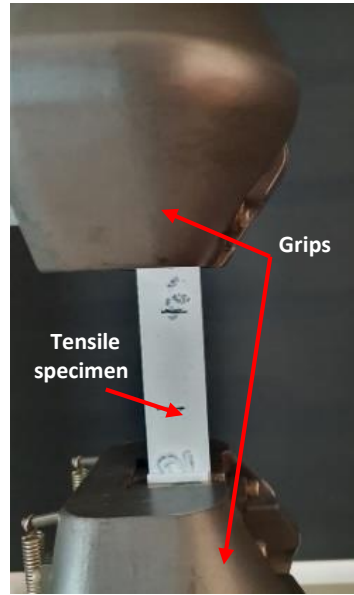
Figure 3. *Specimen loaded in a Shimadzu AGS-X 100kN universal testing machine.*

III. NUMERICAL SIMULATIONS

Tensile test simulations on the CFRP composite laminates and the hybrid composite laminates were performed by the quasi-static implicit solver in the LS-DYNA software using the geometry as defined in the tensile experiment tests. Figure 4 illustrates the side view of the hybrid laminate composites with varying thicknesses, represented by shell elements. To show the contrast in thickness between the metal layers, which are 0.3 mm and 0.6 mm in the simulations, the "shell thickness effect" option was applied to all layers.

Figure 4. *The side view of a FEM model of the hybrid composite laminates tensile test specimens.*

Table 3 shows the details of hybrid composite laminates used in the numerical simulations. Additionally, $[0°]_8$, $[\pm45°]_8$ and $[90°]_{16}$ stacking sequences of the UD/CFRP laminates were defined as LM-PAEK/A, LM-PAEK/B, and LM-PAEK/C, respectively.

Table 3. *Details of the hybrid laminates.*

Notation	Layup sequence	Metal alloy	Metal thickness *(mm)*	Total thickness *(mm)*
Ti_0.3/A		Ti6Al4V	0.3	1.42
Ti_0.6/A			0.6	1.72
Al1_0.3/A		Al7075-T6	0.3	1.42
Al1_0.6/A	$[0°]_4$ /Metal alloy/$[0°]_4$		0.6	1.72
Al2_0.3/A		Al2024-T3	0.3	1.42
Al2_0.6/A			0.6	1.72
Al3_0.3/A		Al6061-T6	0.3	1.42
Al3_0.6/A			0.6	1.72

Table 3 (cont). *Details of the hybrid laminates.*

Ti_0.3/B	[±45°]₄/Metal alloy/[±45°]₄	Ti6Al4V	0.3	1.42
Ti_0.6/B			0.6	1.72
Al1_0.3/B		Al7075-T6	0.3	1.42
Al1_0.6/B			0.6	1.72
Al2_0.3/B		Al2024-T3	0.3	1.42
Al2_0.6/B			0.6	1.72
Al3_0.3/B		Al6061-T6	0.3	1.42
Al3_0.6/B			0.6	1.72
Ti_0.3/C	[90°]₈/Metal alloy/[90°]₈	Ti6Al4V	0.3	2.54
Ti_0.6/C			0.6	2.84
Al1_0.3/C		Al7075-T6	0.3	2.54
Al1_0.6/C			0.6	2.84
Al2_0.3/C		Al2024-T3	0.3	2.54
Al2_0.6/C			0.6	2.84
Al3_0.3/C		Al6061-T6	0.3	2.54
Al3_0.6/C			0.6	2.84

The tensile behavior of the UD/CFRP composite materials was modelled using the MAT54 (*MAT_ENHANCED_COMPOSITE_DAMAGE) material card, specifically designed to handle orthotropic materials like the UD tape composite laminates and based on the Chang-Chang failure criterion. All plies of the CFRP composite were assembled with *PART_COMPOSITE_LONG card with different stacking sequences. *MAT_098 (SIMPLIFIED_JOHNSON_COOK) keyword was used to define an isotropic elasto-plastic material including Ti6Al4V, Al7075-T6, Al2024-T3, and Al6061-T6 metal alloys. The general material properties and the Johnson-Cook model parameters of Ti6Al4V, Al7075-T6, Al6061-T6, and Al2024-T3 metal alloys used in the simulations given in Table 4 and 5, respectively.

Table 4. *General material properties of Ti6Al4V, Al7075-T6, Al6061-T6, and Al2024-T3 [18,19].*

Properties	Ti6Al4V	Al7075-T6	Al6061-T6	Al2024-T3
Young modulus, E (GPa)	109.8	71.7	68.9	70
Poisson's ratio, υ	0.31	0.33	0.33	0.3
Density, ρ (kg/m³)	4428	2810	2700	2700

Table 5. *The Johnson-Cook model parameters of Ti6Al4V, Al7075-T6, Al6061-T6, and Al2024-T3 [18,19].*

Materials	A (MPa)	B (MPa)	n	C	m
Ti6Al4V	1098	1092	0.93	0.014	1.1
Al7075-T6	546	678	0.71	0.024	1.56
Al6061-T6	289	203.4	0.35	0.011	1.34
Al2024-T3	352	440	0.42	0.0083	1.7

The metal alloy layers and the CFRP composite layers were bonded together using the *CONTACT_TIED_SURFACE_TO_SURFACE contact card in the LS-DYNA software. Specifically, no contact definition was applied to the CFRP composite layers, as each layer was defined in the simulation using the PART_COMPOSITE_LONG card.

The boundary conditions of the tensile samples in the LS-DYNA software were adjusted to correspond with those of the uniaxial tensile experiment. During the uniaxial tensile test, one end tab of the samples was clamped with six degrees of freedom (DOF) fixed while the other end tab underwent a displacement. Figure 5 shows the boundary conditions of the numerical model used in the simulations.

In numerical modelling, the mesh sizes have significant effect on the accuracy of the model. Therefore, it is important to determine the appropriate mesh size of the numerical model to minimize computational time and resources. For this reason, seven different element sizes for the uniaxial tensile test coupon were simulated with 0.125, 0.25, 0.5, 1, 2, 4, 8 mm first order quad elements as shown in Figure 6.
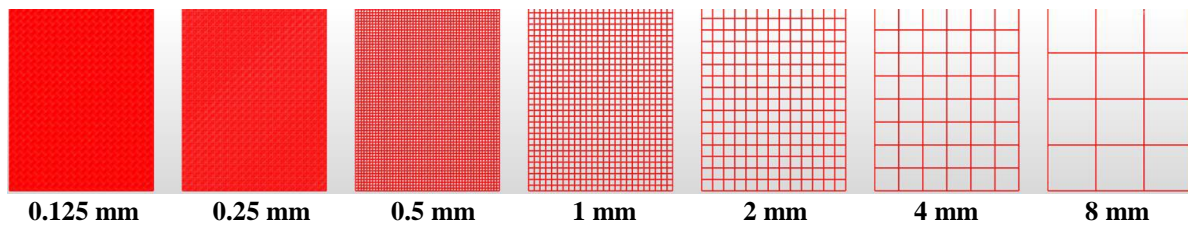
Figure 6. *Element sizes of the numerical model for mesh sensitivity analysis.*
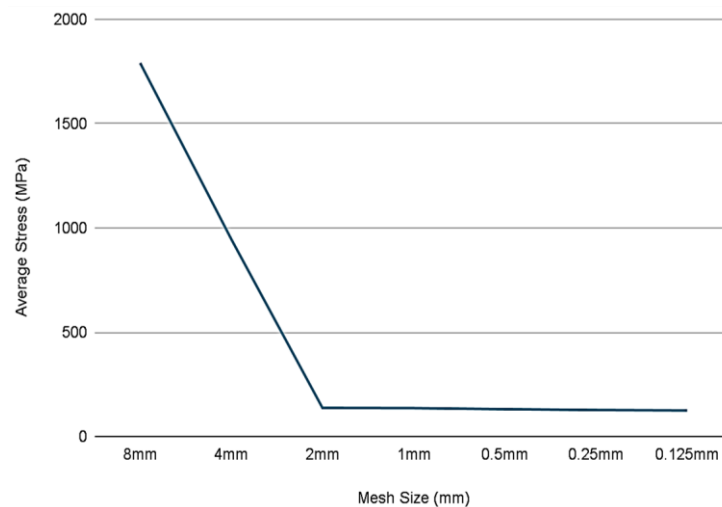
Figure 7. *Average stress vs. mesh size graph.*

Figure 7 shows the average stress response for different mesh sizes of the tensile test coupons. The graph was created by selecting the peak values of the time-dependent the von-Mises stress average of all elements on the sample. As increasing the mesh size, the computational time increase. However, as the element size decreased, especially from 8 mm to 2 mm, the average stress line decreased dramatically, and the accuracy of the model was increased.

Especially, after the 2 mm mesh size, the results were slightly changed by the more refined mesh size. The 1 mm element size (number of elements=5000), which has the most optimum analysis accuracy percentage and solution time ratio, was chosen to be used in analysis models, despite achieving fast and fairly accurate analysis solutions with 2 mm element size (number of elements=1300).

IV. RESULTS AND DISCUSSION

A. MECHANICAL TESTING

Three different types of stacking sequences were tested under tensile loading to investigate their fracture behavior and strength. The uniaxial tensile test specimens before the tests shown in Figure 8 (a). The failure mode of 90° UD/CFRP laminates was observed along to the transverse direction of loading while the failure mode of the ±45° specimens was observed along the diagonal direction of loading due to the rotation of the fibers during the tensile test as shown in Figure 8 (b).

(a) **(b)**
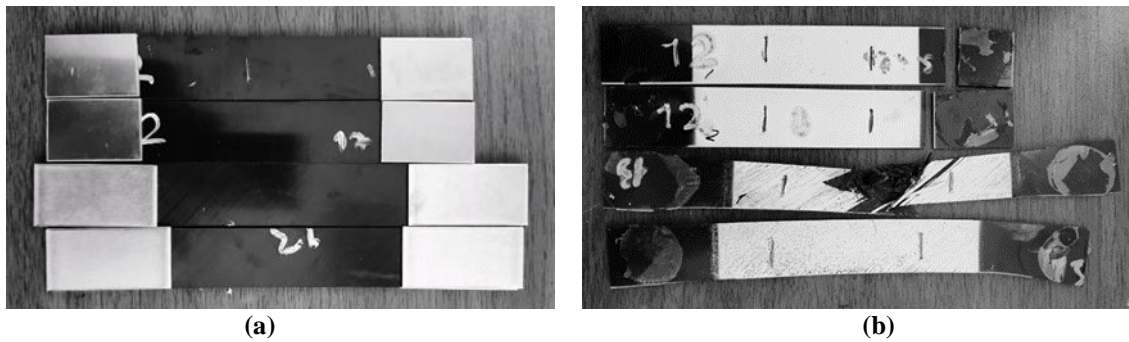
Figure 8. *The CFRP tensile test specimens with 90° and ±45° stacking sequences (**a**) before and (**b**) after tensile tests.*
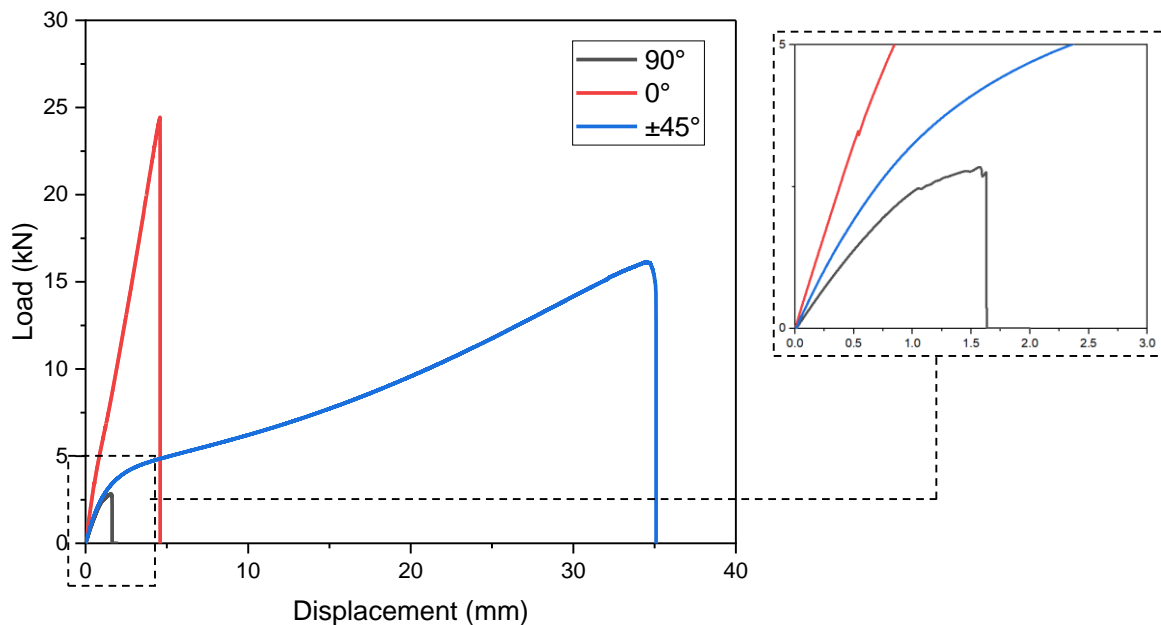
Figure 9. *Load-displacement tensile test results for the CFRP composites.*

The load-displacement curves derived from the experimental results for three different stacking sequences, depicted in Figure 9, also include a zoomed-in view of the low load region. The maximum loads observed for the CFRP with a stacking sequences of 0°, 90°, and ±45° were determined to be 24.44 kN, 2.82 kN, and 16.16 kN, respectively. Therefore, the highest maximum load was recorded for the 0° stacking sequence, whereas the lowest was observed for the 90° stacking sequence [20,21]. It can be concluded that the 0° orientation carries the highest load due to the longitudinal direction while the 90° orientation carries the lowest load due to the perpendicular direction [22]. Regarding displacement, the maximum displacement measured was 35.1 mm for the ±45° stacking sequence, whereas the lowest displacement was 1.63 mm for the 90° stacking sequence. Additionally, the tensile strengths of the

UD/CFRP composites in the 0°, 90°, and ±45° directions were nearly 1630 MPa, 57 MPa, and 162 MPa, respectively.

B. NUMERICAL MODELLING

Initially, the load-displacement curves of the FE model results were compared to the experimental results for the UD/CFRP composite laminates to validate the material and geometric models used in the FE model. Figure 10 (a), (b), and (c) illustrate the load-displacement curves for the numerical and experimental results of the CFRP laminates with $[0°]_8$, $[\pm45°]_8$, and $[90°]_{16}$ stacking sequences, respectively. The 0° specimen for both experimental and numerical results displayed linear increase before fracture on the load-displacement curves. The 90° specimen initially responded with a linear increase, then the curve oscillated slightly as it approached the fracture point. The ±45° specimen for experimental and numerical results showed similar slope changes until failure occurred. The average error of the maximum loads between the numerical and experimental results for $[0°]_8$, $[\pm45°]_8$ and $[90°]_{16}$ stacking sequences of the CFRP composite laminates shown in Table 6. It was found that a good agreement was achieved between the numerical and the experimental results. Therefore, the FE model used for further investigations of the hybrid composite laminates.

Table 6. The average error of the experimental and the numerical results.

Layup	Maximum load (kN)		Error (%)
	Experimental	Numerical	
$[0°]_8$	24.44	27.8	13.74
$[+45/-45°]_8$	16.16	17.1	5.81
$[90°]_{16}$	2.82	2.42	14.18
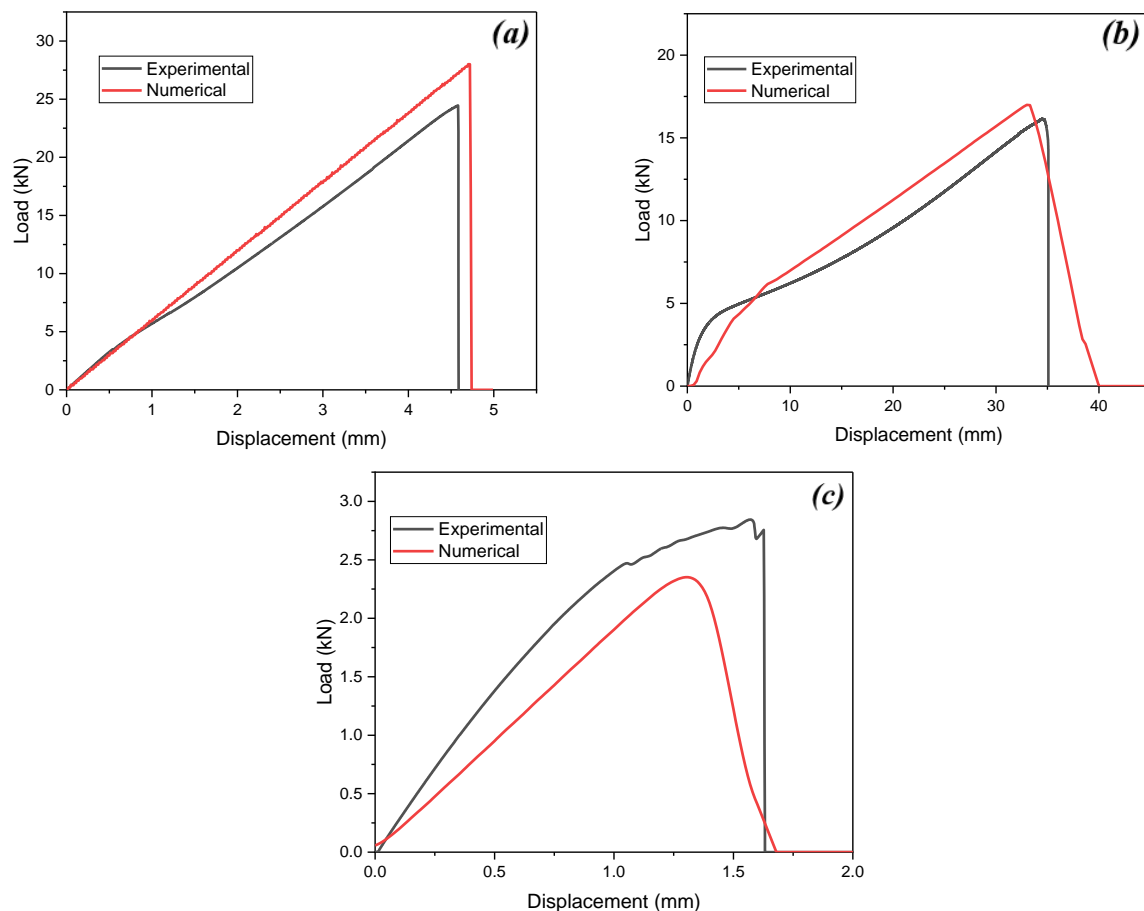
Figure 10. Load-displacement curves of the FE model and experiment of the CFRP composite laminate for (a) $[0°]_8$, (b) $[\pm45°]_8$, (c) $[90°]_{16}$.

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Figure 11, 12, and 13 shows the fracture behavior of the CFRP composite laminates at selected times under uniaxial tensile loading for $[0°]_8$, $[±45°]_8$, and $[90°]_{16}$ stacking sequences, respectively. The effective stress of the CFRP composite laminate, oriented in 0° direction, increases with the increasing displacement between the two clamps over time, as illustrated both in Figure 11 (a) and 11 (b). The failure has been observed perpendicular to the orientation direction when the specimen has reached its ultimate tensile strength, in Figure 11 (c).
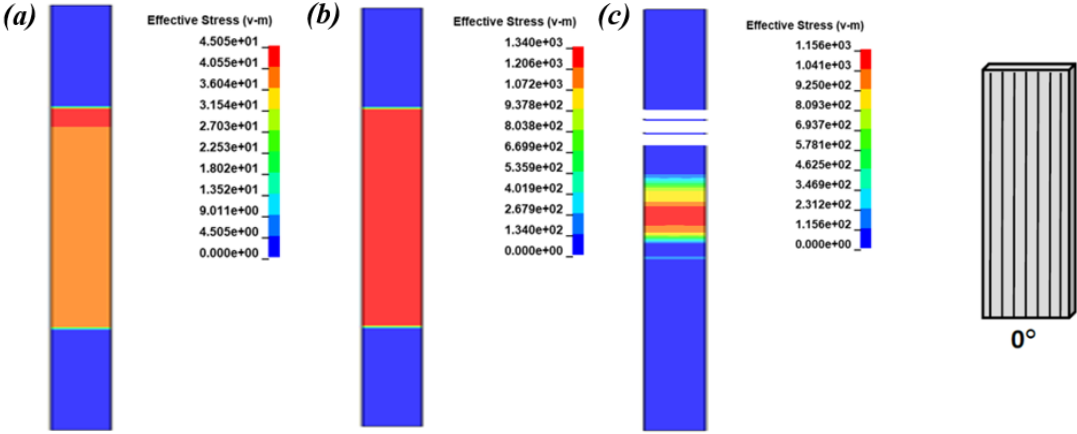
Figure 11. *Fracture behavior of the UD/CFRP composite laminate with $[0°]_8$ stacking at (a) 0.002s (b) 0.035s, and (c) 0.048s.*

Similar to the 0° specimen, the effective stress values of the CFRP composite laminate in the ±45° direction have increased as displacement increases as seen in Figure 12. However, when the specimen reached ultimate tensile strength, the failure was observed at ±45° orientation in different failure pattern than both 0° and 90° specimens as in the experiment. In Figure 13, the 90° specimen had a similar failure pattern to the 0° specimen. The highest stress was observed in the 0° specimen and the lowest was in the 90° specimen, as found in the experiment. Briefly, the results also demonstrated that the failure modes of three different stacking sequences were similar to those observed in the experimental tests.
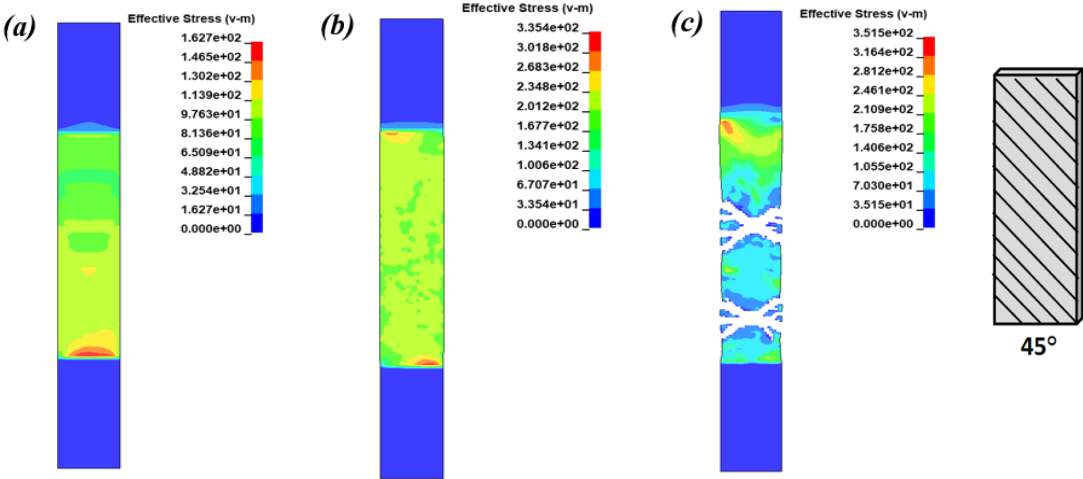
Figure 12. *Fracture behavior of the UD/CFRP composite laminate with $[±45°]_8$ stacking at (a) 0.002s (b) 0.005s, and (c) 0.012s.*
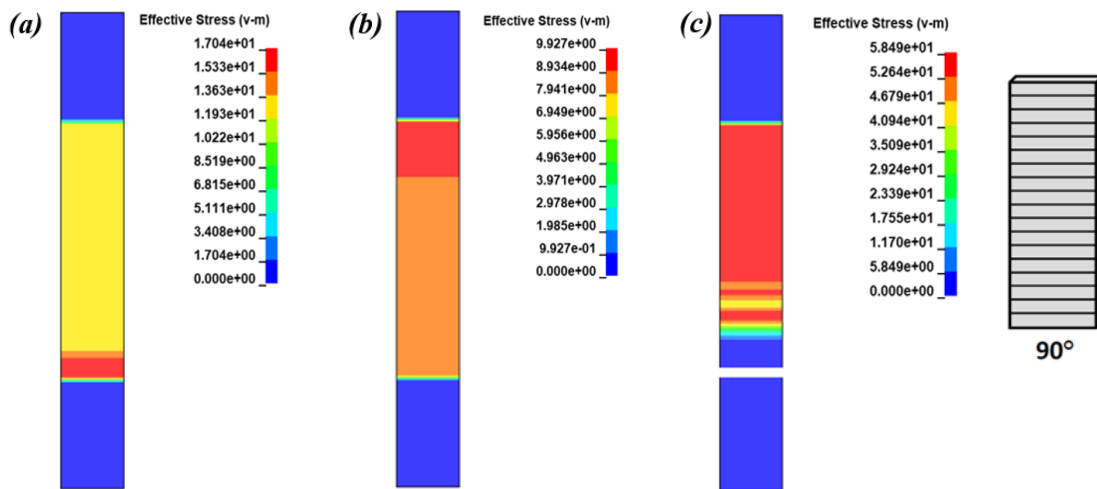
Figure 13. Fracture behavior of the UD/CFRP composite laminate with [90°]₁₆ stacking at (a) 0.002s (b) 0.004s, and (c) 0.016s.

The comparison of the load-displacement curves of the hybrid composite laminates for the 0° stacking sequences shown in Figure 14. Ti_0.6/A demonstrated the highest strength with the highest maximum load of 38.1 kN while PAEK/A showed the lowest strength with the maximum load of 28 kN. Ti6Al4V sheets improved the strength of the hybrid composite laminates in the 0° orientation to a greater extent compared to the improvement provided by aluminum alloy sheets especially with the thickness of 0.6 mm metal alloy layer. The maximum load value for Ti_0.6/A was 38.1 kN and for Al1_0.6/A, Al2_0.6/A and Al3_0.6/A were 33.27 kN, 31.8 kN and 31.03 kN, respectively. Therefore, the Ti6Al4V sheet, has a thickness of 0.6 mm, improved the maximum load 14.5%, 19.81%, and 22.78% greater than Al7075-T6, Al6061-T6, and Al2024-T3 alloy, respectively. The maximum load value for Ti_0.3/A was 33.1 kN and for Al1_0.3/A, Al2_0.3/A and Al3_0.3/A were 33.27 kN, 29.9 kN and 29.5 kN, respectively. It can be concluded that the FMLs had higher strength values than the CFRP composites [14].
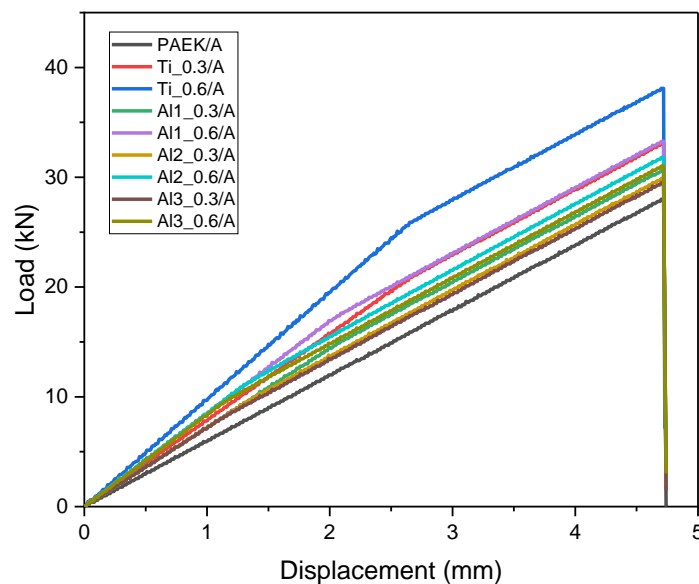
Figure 14. Load-displacement curves of the FE model for the CFRP and the hybrid composite laminates with the 0° stacking sequences.

The comparison of the load-displacement curves of the hybrid composite laminates for the ±45° stacking sequences shown in Figure 15. The highest maximum load value for the hybrid composite laminates in

the ±45° samples was 34.42 kN and it occurred on "Ti_0.6/B" while the lowest value was 16.98 kN of PAEK/B. The maximum load value for Ti_0.6/B was 34.42 kN and for Al1_0.6/B, Al2_0.6/B and Al3_0.6/B were 26.7 kN, 26.8 kN, and 24.25 kN, respectively. The maximum load value for Ti_0.3/B was 24.21 kN and for Al1_0.3/B, Al2_0.3/B and Al3_0.3/B were 20.19 kN, 19.96 kN, and 18.24 kN, respectively.
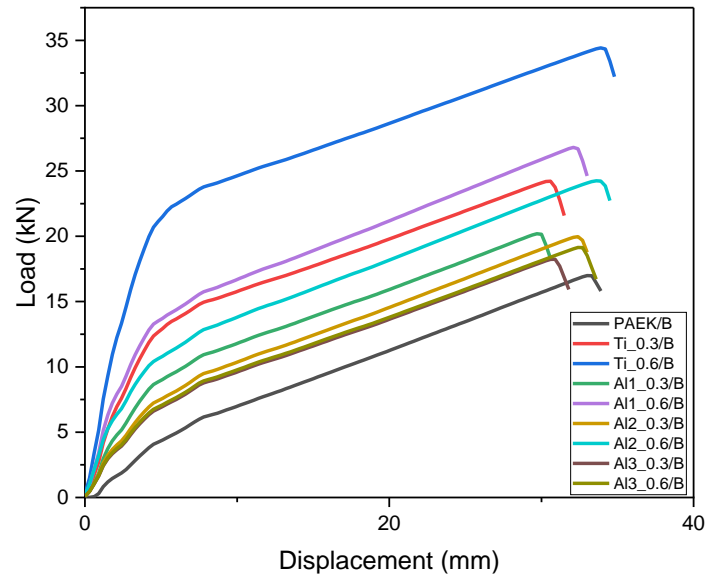
Figure 15. *Load-displacement curves of the FE model for the CFRP and the hybrid composite laminates with the ±45° stacking sequences.*

The comparison of the load-displacement curves of the hybrid composite laminates for the 90° stacking sequences shown in Figure 16. The highest maximum load value for the hybrid composite laminates in the 90° samples was 19.56 kN and it occurred on "Ti_0.6/C" while the lowest value was 2.35 kN of PAEK/C. The maximum load value for Ti_0.6/C was 19.56 kN and for Al1_0.6/C, Al2_0.6/C, and Al3_0.6/C were 11.42 kN, 8.8 kN, and 7.75 kN, respectively. The maximum load value for Ti_0.3/C was 11.04 kN and for Al1_0.3/C, Al2_0.3/C, and Al3_0.3/C were 6.97 kN, 5.66 kN, and 4.9 kN, respectively.
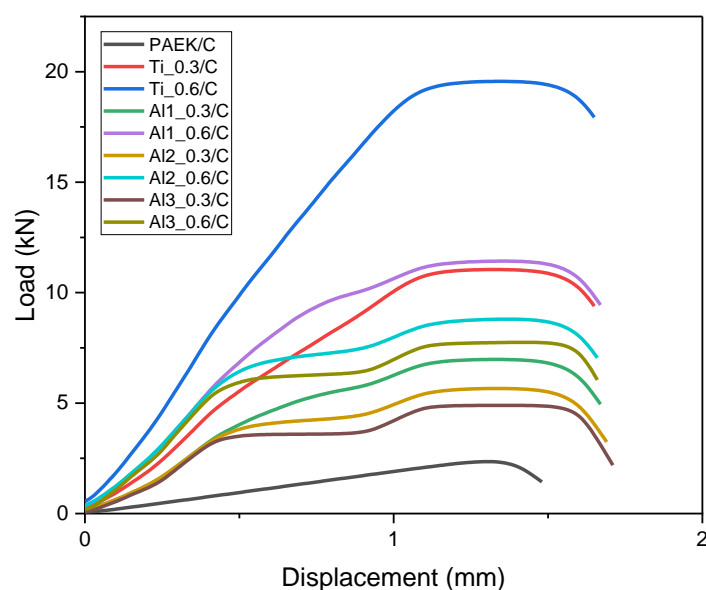
Figure 16. *Load-displacement curves of the FE model for the CFRP and the hybrid composite laminates with the 90° stacking sequences.*

In summary, when comparing the effects of the metal alloys with a thickness of 0.6 mm used in the configurations of the hybrid composite laminates, it is obvious that Ti6Al4V substantially improves the tensile strength and has the highest effect on the tensile strength for all three stacking sequences [23]. Furthermore, Al7075-T6 demonstrates peak load values of 33.27 kN, 27.53 kN, and 11.42 kN for the 0°, ±45°, and 90° orientations, respectively. Regarding the maximum load values improvement, the metal alloys can be listed in descending order as follows: Ti6Al4V, Al7075-T6, Al6061-T6, and Al2024-T3 for all three stacking sequences [14-16]. It can be concluded that the types of the metal alloy layers have a significant effect on the strength of the hybrid composite laminates. When comparing the thickness of the metal alloy layers at 0.3 mm and 0.6 mm in terms of the maximum loads, the most significant difference was observed in the Ti6Al4V alloy hybrid composite laminates for all three stacking sequences. The other metal alloys used in the configurations, with thicknesses of both 0.3 mm and 0.6 mm, exhibited slightly different maximum load values. It was found that as the thickness of the metal alloy layer increased, the strength of the hybrid composite laminates significantly increased for Ti6Al4V, while it only showed a slight increase for all aluminum alloys including Al7075-T6, Al6061-T6, and Al2024-T3 [24].

V. CONCLUSIONS

In this research, LM-PAEK specimens were manufactured and tested by the uniaxial tensile testing machine. The mechanical properties of the LM-PAEK were examined by experimentally and numerically. The results of experiments and numerical simulations were compared and verified the numerical model. By using the verified numerical model, the different metal types (Ti6Al4V, Al7075-T6, Al6061-T6, and Al2024-T3) and different metal thickness values (0.3 mm and 0.6 mm) were investigated by the FEM simulations using the LS-DYNA software to determine their effects on the mechanical properties on the hybrid composite laminates. The overall results were drawn as follows:

- In the numerical simulations, the maximum displacements of the hybrid composite laminates were around 4.7 mm and 1.48 mm for the 0° and the 90° UD/CFRP samples, respectively, while it was approximately 40 mm for the ±45° UD/CFRP samples. Additionally, the maximum loads of the samples were highest in the 0° direction, followed by the ±45°, and the 90° directions for these samples.

- The Ti_0.6/A specimen had the highest maximum load, 38.1 kN, among the hybrid laminate composites and the lowest maximum load was 28 kN for the LM-PAEK/A for the 0° samples. The titanium sheet with a thickness of 0.6 mm provided a 36.1% increase in the maximum load compared to the LM-PAEK/A.

- The Ti_0.6/B specimen had the highest maximum load among the hybrid laminate composites with a value reaching 34.42 kN and the lowest maximum load was 16.98 kN for the LM-PAEK/B for the ±45° samples. Ti_0.6/B specimen reached the maximum load almost 2 times that of the UD/CFRP in the ±45° direction.

- The Ti_0.6/C specimen had the highest maximum load among the hybrid laminate composites with a value reaching 19.56 kN and the lowest maximum load was 2.35 kN for the LM-PAEK/C for the 90° samples. Ti_0.6/C specimen reached the maximum load 8.32 times that of the UD/CFRP in the 90° direction.

- Al7075-T6 specimen in the 0° direction had the highest maximum load among Al6061-T6, and Al2024-T3 hybrid laminate composite for both 0.6 mm and 0.3 mm thickness. The tensile strength of Al1_0.6/A was 2218 MPa while Al2_0.6/A and Al3_0.6/A were 2120 MPa and 2068 MPa, respectively.

- Al7075-T6 specimen in the 0° direction had the highest maximum load among Al6061-T6, and Al2024-T3 hybrid laminate composite for both 0.6 mm and 0.3 mm thickness. The tensile strength of Al1_0.6/A was 2218 MPa while Al2_0.6/A and Al3_0.6/A were 2120 MPa and 2068 MPa, respectively.

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Research Article

The Effect of the Wall Thickness of the Material Loaded Cavity on the RCS Reduction

Oğuzhan DEMİRYÜREK [a,*], Filiz BİRBİR ÜNAL [a]

[a] Department of Electrical Electronic Engineering, Faculty of Engineering, Düzce University, Düzce, TURKIYE
* Corresponding author's e-mail address: oguzhandemiryurek@duzce.edu.tr
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ABSTRACT

In this paper, the effect of a parallel plate waveguide's wall thickness on radar cross-section reduction (RCS) is rigorously analyzed for H-polarization by using the Wiener-Hopf Technique, when the waveguide region is loaded with dielectric material and terminated with a perfect electric conductor (PEC) plate. Transfer matrices are incorporated into the analysis to account for the effect of different material layers through continuity relations. The Fourier transforms of the diffracted field and the boundary conditions yield a modified scalar Wiener-Hopf equation of the second kind (MWHE-2). The classical procedure to solve the MWHE-2 is applied and the approximate expression of the diffracted far field is obtained. Numerical results are given by comparing with the results available in the literature for the case of the wall thickness of the cavity not being considered.

Keywords: RCS reduction, Wiener-Hopf Technique, Wall thickness of waveguide cavities

Dielektrik Malzeme Yüklü Paralel Plaka Dalga Kılavuzu Duvar Kalınlığının RCS Azaltılmasına Etkisi

ÖZ

Bu çalışmada, paralel plaka dalga kılavuzunun duvar kalınlığının radar kesit alanının azalmasına (RCS) etkisi, dalga kılavuzu bölgesi dielektrik malzeme ile yüklendiğinde ve mükemmel iletken (PEC) bir levha ile sonlandırıldığında H-polarizasyonu için Wiener-Hopf Tekniği kullanılarak titizlikle analiz edilmiştir. Süreklilik bağıntıları kullanılırken, farklı malzeme katmanlarının etkisini hesaba katmak için transfer matrisleri analize dahil edilir. Kırınan alanın Fourier dönüşümünün ve sınır koşullarının kullanılması, ikinci türden değiştirilmiş bir skaler Wiener-Hopf denklemini (MWHE-2) verir. MWHE-2'yi çözmek için klasik prosedür uygulanır ve kırınıma uğrayan uzak alanın yaklaşık ifadesi elde edilir. Sayısal sonuçlar, literatürde mevcut olan paralel plaka dalga kılavuzunun duvar kalınlığının dikkate alınmadığı durumdaki sonuçlarla karşılaştırılarak verilmiştir.

Anahtar Kelimeler: Radar kesit alanı azaltma, Wiener-Hopf Tekniği, Dalga kılavuzunun duvar kalınlığı

I. INTRODUCTION

Reducing and predicting the radar cross-section (RCS) of objects or targets is a critical and important subject in electromagnetic wave scattering studies. Previously, scattering and diffraction properties of some simple geometric elements like edges, cylinders, spheres, plates, and shells have been analyzed to understand how to predict or reduce the RCS of complex objects such as vehicles or aircraft [1-9]. An important geometry to investigate is the open-ended parallel plate waveguide cavity, which forms a model for duct systems like jet engine intakes and many microwave elements such as filters, antennas, and transmission lines. There are a variety of papers studying two-dimensional or three-dimensional cavity problems using numerical or high-frequency ray techniques [10-14], however, the results may not apply to arbitrary cavity sizes.

The Wiener-Hopf technique has been used for a wide range of problems including finite or semi-infinite planar and cylindrical structures since it is a rigorous and efficient way of studying wave scattering and diffraction problems with canonical geometries [6, 15, 16]. The Wiener-Hopf technique can also be used with the mode matching method, which gives rise to the modified Wiener-Hopf equation that helps us analyze the effect of the thickness of the target and stack of dielectric layers. In previous studies, Kobayashi et al. used the Wiener-Hopf technique to conduct a rigorous RCS analysis of various two-dimensional cavities created by finite parallel-plate waveguides [16-20] and semi-infinite parallel-plate waveguides [16, 21-27], however, they didn't take into account the wall thickness of the parallel plates. Furthermore, the approach in [16-22] and [25, 26] results in a more sophisticated and extensive analysis each time they add a new dielectric material layer to the waveguide region.
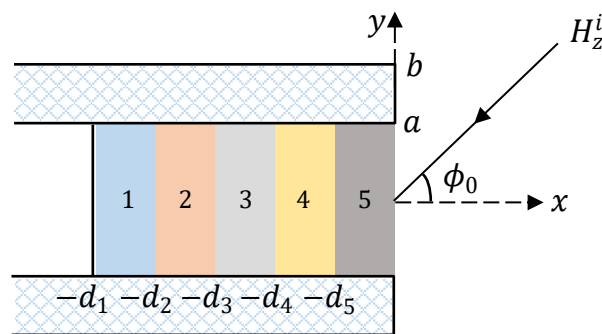
Figure 1. Geometry of the investigated problem

The paper is organized as follows. In Section II, the authors of this study examine the scattering that results from a thick parallel plate waveguide cavity, as shown in Figure 1, loaded with different numbers of layers of dielectric material in the case of H-polarization. As seen in Figure 1, the numbers 1, 2, 3, 4, 5 denote the number of layers of dielectric material. Constitutive parameter of the layer jth is ε_j, μ_j where j=1,2,…,5. By applying the Fourier transform technique to the scattered field components and the related boundary conditions, the problem reduces to a modified matrix Wiener-Hopf equation (WHE), but there is no general method to factorize an arbitrary matrix that appears in the WHE. Instead, incorporating a series of normal modes in the waveguide region for each dielectric layer, we obtain transfer matrices along with scalar modified Wiener-Hopf equation of the second kind. The solution contains infinitely many unknown constants that satisfy an infinite system of linear algebraic equations. A numerical solution of this system is presented in Section III, which compares the results of [25] for the same dielectric parameters and aperture sizes while taking into account the wall thickness of the waveguide. The paper concludes with a discussion of the effect of the wall thickness and the material properties of the dielectric layers in the cavity region.

In this study, time dependence is assumed as $e^{-i\omega t}$ where ω is the angular frequency, and is suppressed throughout the paper.

II. ANALYSIS

We consider the diffraction by a cavity formed by two thick semi-infinite PEC plates as shown in Figure 1 for an H_z-polarized plane wave. As seen in Figure 2 (a) and (b), one can proceed to decompose the incident wave into odd and even excitations to determine the scattered field. It is possible to show that the configurations in Figures 2 (a) and (b) are identical to those in Figures 2 (c) and (d), respectively, by using the image bisection principle. The odd and even excitations will be discussed separately in the sections that follow.
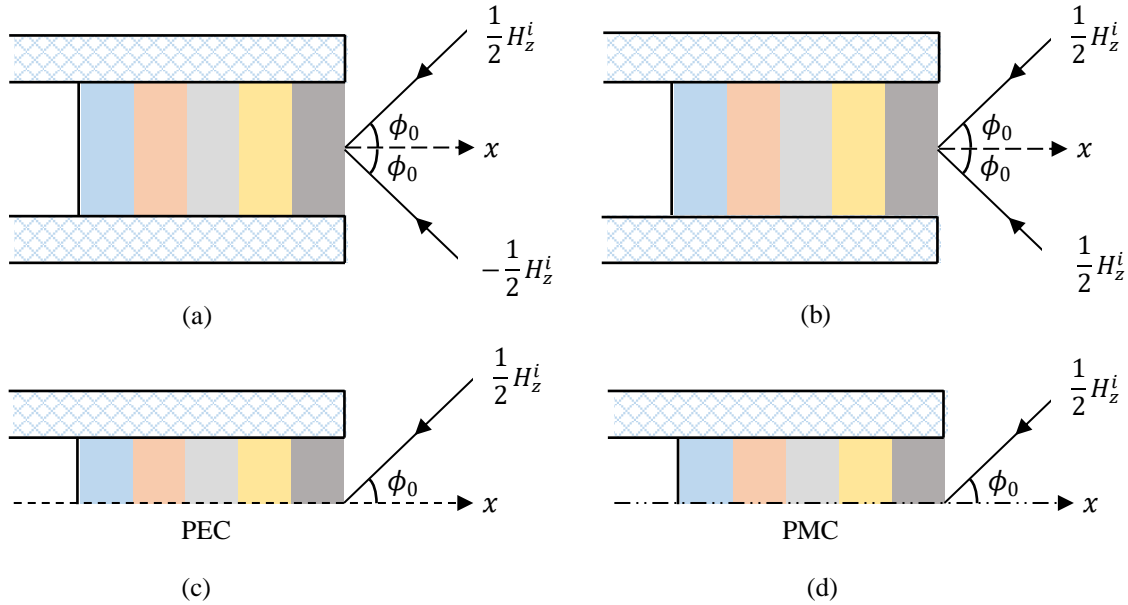
Figure 2. *Equivalent problems* ***(a)*** *Asymmetric (odd) excitation.* ***(b)*** *Symmetric (even) excitation.* ***(c)*** *Equivalence to* ***(a)****. **(d)*** *Equivalence to* ***(b)****.*

A. ODD EXCITATION

First, we will look at the configuration shown in Figure 2(a), which corresponds to the odd excitation case. Since the field is not symmetrical about the plane $y = 0$ in this particular case, the total electric field for $x \in (-\infty, \infty)$ (electric wall) must vanish.

For analysis, the total field can be expressed as follows:

$$u^o(x,y) = \begin{cases} u^i + u^r + u_1^o, & y > b, x \in (-\infty, \infty) \\ u_{2,j}^o, & 0 < y < a, -d_j < x < -d_{j+1}, j = 1,2,\dots,5 \\ u_3^o, & a < y < b, x > 0 \end{cases} \tag{1}$$

Here, u^i is the incident field given by

$$H_z^i = u^i(x,y) = e^{-ik(x\cos\phi_0 + y\sin\phi_0)}, \tag{2a}$$

and u^r is the field reflected from the plane $y = b$, namely

$$u^r(x,y) = -e^{-ik(x\cos\phi_0 - (y-2b)\sin\phi_0)} \tag{2b}$$

with $k = \omega\sqrt{\varepsilon_0\mu_0}$ is the free-space wave number and ϕ_0 is the angle of the incident field. The total field satisfies the two-dimensional Helmholtz equation

$$\left[\frac{\partial^2}{\partial x^2} + \frac{\partial^2}{\partial y^2} + k^2\right] u^o(x, y) = 0, \tag{3}$$

and is determined to satisfy the following boundary conditions and continuity relations:

$$\frac{\partial}{\partial y} u_1^o(x, b) = 0, \qquad x < 0 \tag{4a}$$

$$\frac{\partial}{\partial y} u_{2,j}^o(x, a) = 0, \qquad x < 0 \tag{4b}$$

$$u_{2,j}^o(x, 0) = 0, \qquad x < 0 \tag{4c}$$

$$u_3^o(x, 0) = 0, \qquad x > 0 \tag{4d}$$

$$u_1^o(x, b) - u_3^o(x, b) = -2e^{-ik(x \cos \phi_0 + b \sin \phi_0)}, \qquad x > 0 \tag{4e}$$

$$u_{2,1}^o(-d_1, y) = 0, \qquad 0 < y < a \tag{4f}$$

$$u_{2,j}^o(-d_{j+1}, y) = u_{2,j+1}^o(-d_{j+1}, y), \qquad 0 < y < a \tag{4g}$$

$$\frac{1}{\varepsilon_j} \frac{\partial}{\partial x} u_{2,j}^o(-d_{j+1}, y) = \frac{1}{\varepsilon_{j+1}} \frac{\partial}{\partial x} u_{2,j+1}^o(-d_{j+1}, y), \qquad 0 < y < a \tag{4h}$$

$$u_{2,5}^o(0, y) = u_3^o(0, y), \qquad 0 < y < a \tag{4i}$$

$$\frac{\partial}{\partial x} u_3^o(0, y) = \begin{cases} \dfrac{1}{\varepsilon_5} \dfrac{\partial}{\partial x} u_{2,5}^o(0, y), & 0 < y < a \\ 0, & a < y < b \end{cases} \tag{4j}$$

Since $u_1^o(x, y)$ satisfies Helmholtz equation in the region $y > b, x \in (-\infty, \infty)$, its Fourier transform with respect to x satisfies

$$\left[\frac{d^2}{dy^2} + (k^2 - \alpha^2)\right] F^o(\alpha, y) = 0 \tag{5a}$$

with

$$F^o(\alpha, y) = F_+^o(\alpha, y) + F_-^o(\alpha, y) \tag{5b}$$

where

$$F_+^o(\alpha, y) = \pm \int_0^{\pm\infty} u_1^o(x, y) e^{i\alpha x} dx . \tag{5c}$$

By considering the asymptotic behaviors of $u_1^o(x, y)$ for $x \to \pm\infty$

$$u_1^o(x, y) = \begin{cases} \mathcal{O}(e^{-ikx}), & x \to -\infty \\ \mathcal{O}(e^{-ikx \cos \phi_0}), & x \to \infty \end{cases}, \tag{6}$$

we can show that $F_+^o(\alpha, y)$ and $F_-^o(\alpha, y)$ are regular functions of α in the half-planes $\mathfrak{Im}(\alpha) > \mathfrak{Im}(k \cos \phi_0)$ and $\mathfrak{Im}(\alpha) < \mathfrak{Im}(k)$, respectively. The general solution of (5a) that satisfies the radiation condition for $y \to \infty$, gives

$$F_+^o(\alpha, y) + F_-^o(\alpha, y) = A^o(\alpha)e^{iK(\alpha)(y-b)}. \tag{7}$$

Here, $K(\alpha) = \sqrt{k^2 - \alpha^2}$ is the square root function defined in the complex α-plane cut along $\alpha = k$ to $\alpha = k + i\infty$ and $\alpha = -k$ to $\alpha = -k - i\infty$, as can be seen in Figure 3, such that $K(0) = k$. From (4a), we get $\dot{F}_-^o(\alpha, b) = 0$ in the Fourier transform domain, and the derivative of (7) with respect to y at $y = b$, one obtains

$$\dot{F}_+^o(\alpha, b) = iK(\alpha)A^o(\alpha) \tag{8}$$

$(\,\dot{}\,)$ denotes the derivative with respect to y.
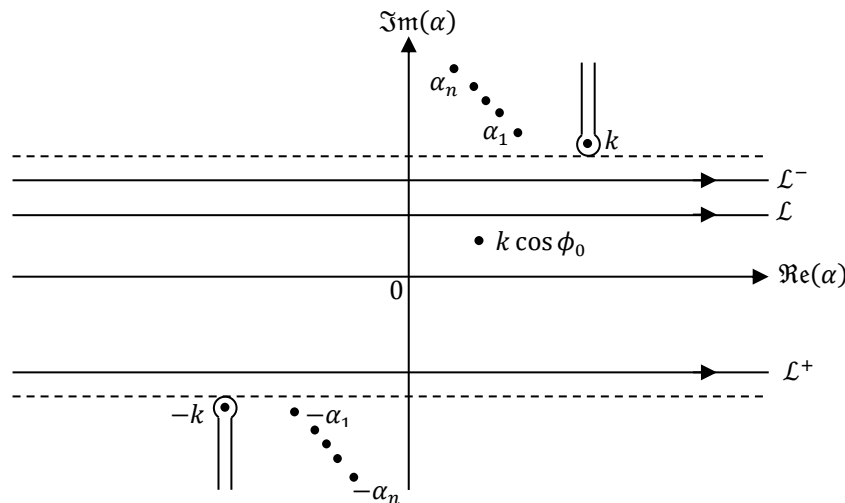
Figure 3. Brunch-cuts and integration lines in the complex plane

In the region $x > 0$, $0 < y < b$, $u_3^o(x, y)$ satisfies the Helmholtz equation and its half-range Fourier transform gives

$$\left[\frac{d^2}{dy^2} + [K(\alpha)]^2\right] G_+^o(\alpha, y) = f^o(y) + \alpha g^o(y) \tag{9a}$$

with

$$f^o(y) = \frac{\partial}{\partial x} u_3^o(0, y), \qquad g^o(y) = -i u_3^o(0, y). \tag{9b}$$

$G_+^o(\alpha, y)$ is defined by

$$G_+^o(\alpha, y) = \int_0^\infty u_3^o(x, y)e^{i\alpha x}dx. \tag{9c}$$

The general solution of (9a) satisfying the boundary condition at $y = 0$ gives

$$G_+^o(\alpha, y) = \frac{\sin Ky}{KM^o(\alpha)}\left\{\dot{F}_+^o(\alpha, b) - \int_0^b [f^o(t) + \alpha g^o(t)]\cos K(b - t)\, dt\right\}$$
$$+ \frac{1}{K(\alpha)}\int_0^y [f^o(t) + \alpha g^o(t)]\sin K(y - t)\, dt \tag{10a}$$

with

$$M^o(\alpha) = \cos Kb. \tag{10b}$$

Although the left-hand side of (10a) is regular in the upper half-plane $\Im m\{\alpha\} > \Im m\{-k\}$, the regularity of the right-hand side is violated by the presence of simple poles occurring at $\alpha = \alpha_m^o$ which are zeros of $M^o(\alpha)$, satisfying

$$M^o(\alpha_m^o) = 0, \qquad K_m^o = K(\alpha_m^o) = \frac{(2m+1)\pi}{2b}, \qquad m = 0,1,2,\dots \tag{11}$$

These poles can be eliminated by imposing that their residues are zero. This gives

$$\dot{F}_+^o(\alpha_m^o, b) = \frac{b}{2}\sin K_m^o b \, (f_m^o + \alpha_m^o g_m^o) \tag{12a}$$

where

$$\begin{bmatrix} f_m^o \\ g_m^o \end{bmatrix} = \frac{2}{b}\int_0^b \begin{bmatrix} f^o(t) \\ g^o(t) \end{bmatrix} \sin K_m^o t \, dt \tag{12b}$$

Taking into account (7), (8), (10a), (12b) and evaluating the resultant integral, one obtains the MWHE-2 valid in the strip $\Im m(k\cos\phi_0) < \Im m(\alpha) < \Im m(k)$,

$$\frac{\dot{F}_+^o(\alpha, b)}{iK(\alpha)N^o(\alpha)} - F_-^o(\alpha, b) = -\frac{2ie^{-ikb\sin\phi_0}}{(\alpha - k\cos\phi_0)} + \sum_{m=0}^{\infty}(f_m^o + \alpha g_m^o)\frac{\sin K_m^o b}{K^2 - (K_m^o)^2} \tag{13a}$$

with

$$N^o(\alpha) = M^o(\alpha)\, e^{iK(\alpha)b}. \tag{13b}$$

$N^o(\alpha)$ is the kernel function of (13a) and factorized as [27]

$$N^o(\alpha) = N_+^o(\alpha)N_-^o(\alpha) \tag{14a}$$

$$N_+^o(\alpha) = N_-^o(-\alpha) \tag{14b}$$

where

$$
\begin{aligned}
N_+^o(\alpha) = \sqrt{\cos kb}\ &\exp\left\{\frac{ib\alpha}{\pi}\left(1 - C + \ln\left(\frac{\pi}{2kb}\right) + i\frac{\pi}{2}\right)\right\} \\
&\times \exp\left\{\frac{ibK}{\pi}\ln\left(\frac{\alpha + K}{k}\right)\right\}\prod_{m=1}^{\infty}\left(1 + \frac{\alpha}{\alpha_m}\right)\exp\left\{\frac{i\alpha b}{m\pi}\right\}
\end{aligned}
\tag{14c}
$$

with $C = 0.57721566\dots$ being Euler's constant. WHE in (13a) is solved by following the classical procedure and one gets

$$\frac{\dot{F}_+^o(\alpha, b)}{iN_+^o(\alpha)\sqrt{k + \alpha}} = \tilde{F}_+^o(\alpha, b), \tag{15a}$$

where

$$\tilde{F}_+^o(\alpha, b) = -2ie^{-ikb\sin\phi_0}\frac{\sqrt{k(1-\cos\phi_0)}\, N_-^o(k\cos\phi_0)}{(\alpha - k\cos\phi_0)}$$
$$+ \sum_{m=0}^{\infty}\frac{(f_m^o - \alpha_m^o g_m^o)}{2\alpha_m^o}\frac{N_+^o(\alpha_m^o)\sqrt{k+\alpha_m^o}\,\sin K_m^o b}{(\alpha + \alpha_m^o)}. \tag{15b}$$

Consider now the waveguide region $x < 0, 0 < y < a$. Since the waveguide region has more than one material layer, $u_{2,j}^o(x,y)$ should be expressed separately for each layer. The field in each layer can be given as

$$u_{2,j}^o(x,y) = \sum_{n=0}^{\infty}\left[b_{n,j}^o e^{i\beta_{n,j}^o x} + c_{n,j}^o e^{-i\beta_{n,j}^o x}\right]\sin\gamma_n^o y, \qquad j = 1,2,\dots,5 \tag{16a}$$

$$\gamma_n^o = \frac{(2n+1)\pi}{2a}, \qquad n = 0,1,2,\dots \tag{16b}$$

$$\beta_{n,j}^o = \sqrt{k_j^2 - (\gamma_n^o)^2} \tag{16c}$$

where $k_j = k\sqrt{\varepsilon_j\mu_j}$, j denotes the jth layer.

The field $u_{2,1}^o(x,y)$ valid in the region $x \in (-d_1, -d_2)$ and satisfying the boundary condition at $x = -d_1$ can be written as follows:

$$u_{2,1}^o(x,y) = \sum_{n=0}^{\infty} b_{n,1}^o\cos\beta_{n,1}^o(x+d_1)\sin\gamma_n^o y. \tag{17}$$

When we consider the continuity relations (4g) and (4h) between the dielectric layers and substitute the field expressions $u_{2,j}^o(x,y)$ into them, we get

$$\mathbf{T}_1^o b_{n,1}^o = \mathbf{T}_{2,2}^o \mathbf{x}_{n,2}^o \tag{18a}$$

$$\mathbf{T}_{j-1,j}^o \mathbf{x}_{n,j-1}^o = \mathbf{T}_{j,j}^o \mathbf{x}_{n,j}^o, \qquad j = 3,4,5, \tag{18b}$$

where we define

$$\mathbf{x}_{n,j}^o = \begin{bmatrix} b_{n,j}^o \\ c_{n,j}^o \end{bmatrix} \tag{18c}$$

$$\mathbf{T}_1^o = \begin{bmatrix} \cos\beta_{n,1}^o(d_1 - d_2) \\ -\dfrac{\beta_{n,1}^o}{\varepsilon_1}\sin\beta_{n,1}^o(d_1 - d_2) \end{bmatrix} \tag{18d}$$

$$\mathbf{T}_{j-1,j}^o = \begin{bmatrix} e^{-i\beta_{n,j-1}^o d_j} & e^{i\beta_{n,j-1}^o d_j} \\ \dfrac{i\beta_{n,j-1}^o}{\varepsilon_{j-1}}e^{-i\beta_{n,j-1}^o d_j} & -\dfrac{i\beta_{n,j-1}^o}{\varepsilon_{j-1}}e^{i\beta_{n,j-1}^o d_j} \end{bmatrix} \tag{18e}$$

$$\mathbf{T}_{j,j}^o = \begin{bmatrix} e^{-i\beta_{n,j}^o d_j} & e^{i\beta_{n,j}^o d_j} \\ \dfrac{i\beta_{n,j}^o}{\varepsilon_j}e^{-i\beta_{n,j}^o d_j} & -\dfrac{i\beta_{n,j}^o}{\varepsilon_j}e^{i\beta_{n,j}^o d_j} \end{bmatrix}. \tag{18f}$$

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The relation between $b_{n,1}^o$ and the vector $\mathbf{x}_{n,5}^o$ can be formulated as

$$\mathbf{x}_{n,5}^o = \begin{bmatrix} b_{n,5}^o \\ c_{n,5}^o \end{bmatrix} = \mathbf{T}^o b_{n,1}^o \tag{19}$$

The transfer matrix $\mathbf{T}^o$ is obtained as

$$\mathbf{T}^o = \left(\mathbf{T}_{5,5}^o\right)^{-1} \mathbf{T}_{4,5}^o \left(\mathbf{T}_{4,4}^o\right)^{-1} \mathbf{T}_{3,4}^o \left(\mathbf{T}_{3,3}^o\right)^{-1} \mathbf{T}_{2,3}^o \left(\mathbf{T}_{2,2}^o\right)^{-1} \mathbf{T}_1^o \tag{20}$$

and the nth column of $\mathbf{T}^o$ can be expressed as $[t_{1n}^o \quad t_{2n}^o]^T$. Substituting (19) into the continuity relations (4i) and (4j), we may write

$$\frac{a}{2}(t_{1r}^o + t_{2r}^o)b_{r,1}^o = \sum_{m=0}^{\infty} ig_m^o \mathbf{I}_{rm}^o \tag{21a}$$

$$\frac{b}{2} f_r^o = \sum_{n=0}^{\infty} i\beta_{n,5}^o(t_{1n}^o - t_{2n}^o)b_{n,1}^o \mathbf{I}_{nr}^o \tag{21b}$$

where

$$\mathbf{I}_{nm}^o = \frac{K_m^o}{(\gamma_n^o)^2 - (K_m^o)^2} \cos K_m^o a \sin \gamma_n^o a. \tag{21c}$$

By substituting $\alpha = \alpha_n^o$ in (15) and using (12a), we get infinitely many linear systems of equations with an infinite number of unknowns that give the constants f_n^o and g_n^o as follows:

$$\frac{b}{2i} \frac{(f_n^o + \alpha_n^o g_n^o)}{N_+^o(\alpha_n^o)} \frac{\sin K_n^o b}{\sqrt{k + \alpha_n^o}} = -2ie^{-ikb \sin \phi_0} \frac{\sqrt{k(1 - \cos \phi_0)} \, N_-^o(k \cos \phi_0)}{(\alpha_n^o - k \cos \phi_0)} + \sum_{m=0}^{\infty} \frac{(f_m^o - \alpha_m^o g_m^o)}{2\alpha_m^o} \frac{N_+^o(\alpha_m^o)\sqrt{k + \alpha_m^o} \, \sin K_m^o b}{(\alpha_n^o + \alpha_m^o)}, \tag{22}$$

$n = 0,1,2,\cdots$.

B. EVEN EXCITATION

The solution for even excitation is obtained similar to the one for odd excitation. All the boundary and continuity conditions remain valid for the even excitation case, except (4b) and (4d), which are to be changed as

$$\frac{\partial}{\partial y} u_{2,j}^e(x,0) = 0, \qquad x < 0 \tag{23a}$$

$$\frac{\partial}{\partial y} u_3^e(x,0) = 0, \qquad x > 0. \tag{23b}$$

In this situation, MWHE-2 is obtained

$$\frac{\dot{F}_+^e(\alpha,b)}{K^2 N^e(\alpha)} - F_-^e(\alpha,b) = -\frac{2ie^{-ikb \sin \phi_0}}{(\alpha - k \cos \phi_0)} + \sum_{m=0}^{\infty} (f_m^e + \alpha g_m^e) \frac{\cos K_m^e b}{K^2 - (K_m^e)^2} \tag{24}$$

with

$$N^e(\alpha) = K \sin Kb \; e^{iK(\alpha)b} \tag{25a}$$

$$p_m = \begin{cases} b/2, & m \neq 0 \\ b, & m = 0 \end{cases} \tag{25b}$$

$$K_m^e = K(\alpha_m^e) = \frac{m\pi}{b}, \qquad m = 0,1,2,\dots \tag{25c}$$

$$\begin{bmatrix} f_m^e \\ g_m^e \end{bmatrix} = \frac{1}{p_m} \int_0^b \begin{bmatrix} f^e(t) \\ g^e(t) \end{bmatrix} \cos K_m^e t \, dt \tag{25d}$$

$N^e(\alpha)$ is the kernel function of (24) and factorized as [27]

$$N^e(\alpha) = N_+^e(\alpha) N_-^e(\alpha) \tag{26a}$$

$$N_+^e(\alpha) = N_-^e(-\alpha) \tag{26b}$$

where

$$N_+^e(\alpha) = \sqrt{\frac{\sin kb}{k}} \exp\left\{\frac{ib\alpha}{\pi}\left(1 - C + \ln\left(\frac{2\pi}{kb}\right) + i\frac{\pi}{2}\right)\right\}$$
$$\times \exp\left\{\frac{ibK}{\pi}\ln\left(\frac{\alpha + K}{k}\right)\right\} \prod_{m=1}^{\infty}\left(1 + \frac{\alpha}{\alpha_m}\right) \exp\left\{\frac{i\alpha b}{m\pi}\right\}. \tag{26c}$$

WHE is solved by following classical steps and one gets

$$\frac{\dot{F}_+^e(\alpha, b)}{K^2 N_+^e(\alpha)} = \tilde{F}_+^e(\alpha, b) \tag{27a}$$

with

$$\tilde{F}_+^e(\alpha, b) = -2ie^{-ikb \sin \phi_0} \frac{k(1 - \cos \phi_0)N_-^e(k \cos \phi_0)}{(\alpha - k \cos \phi_0)}$$
$$+ \sum_{m=0}^{\infty} \frac{(f_m^e - \alpha_m^e g_m^e)}{2\alpha_m^e} \frac{(k + \alpha_m^e)N_+^e(\alpha_m^e)\cos K_m^e b}{(\alpha + \alpha_m^e)} \tag{27b}$$

$$\dot{F}_+^e(\alpha_n^e, b) = p_n \cos K_n^e b \, (f_n^e + \alpha_n^e g_n^e) \tag{27c}$$

Similar to the odd excitation case, in the waveguide region $0 < y < a, x < 0$, $u_{2,j}^o(x,y)$ should be expressed separately for each layer and can be given as

$$u_{2,j}^e(x,y) = \sum_{n=0}^{\infty}\left[b_{n,j}^e e^{i\beta_{n,j}^e x} + c_{n,j}^e e^{-i\beta_{n,j}^e x}\right]\cos \gamma_n^e y, \qquad j = 1,2,\dots,5 \tag{28a}$$

$$\gamma_n^e = \frac{n\pi}{a}, \qquad n = 0,1,2,\dots \tag{28b}$$

$$\beta_{n,j}^e = \sqrt{k_j^2 - (\gamma_n^e)^2} \,.\tag{28c}$$

where $k_j = k\sqrt{\varepsilon_j \mu_j}$, j denotes the jth layer. When $u_{2,1}^e(x,y)$ is replaced at the boundary condition at $x = -d_1$ and one gets

$$u_{2,1}^e(x,y) = \sum_{n=0}^{\infty} b_{n,1}^e \sin\beta_{n,1}^e(x + d_1) \cos\gamma_n^e y \tag{29}$$

Once we substitute the field expressions $u_{2,j}^e(x,y)$ into the continuity relations (4g) and (4h) for each layer, we get

$$\mathbf{T}_1^e b_{n,1}^e = \mathbf{T}_{2,2}^e \mathbf{x}_{n,2}^e \tag{30a}$$

$$\mathbf{T}_{j-1,j}^e \mathbf{x}_{n,j-1}^e = \mathbf{T}_{j,j}^e \mathbf{x}_{n,j}^e, \qquad j = 3,4,5 \tag{30b}$$

where

$$\mathbf{x}_{n,j}^e = \begin{bmatrix} b_{n,j}^e \\ c_{n,j}^e \end{bmatrix} \tag{30c}$$

$$\mathbf{T}_1^e = \begin{bmatrix} \cos\beta_{n,1}^e(d_1 - d_2) \\ -\dfrac{\beta_{n,1}^e}{\varepsilon_1} \sin\beta_{n,1}^e(d_1 - d_2) \end{bmatrix} \tag{30d}$$

$$\mathbf{T}_{j-1,j}^e = \begin{bmatrix} e^{-i\beta_{n,j-1}^e d_j} & e^{i\beta_{n,j-1}^e d_j} \\ \dfrac{i\beta_{n,j-1}^e}{\varepsilon_{j-1}} e^{-i\beta_{n,j-1}^e d_j} & -\dfrac{i\beta_{n,j-1}^e}{\varepsilon_{j-1}} e^{i\beta_{n,j-1}^e d_j} \end{bmatrix} \tag{30e}$$

$$\mathbf{T}_{j,j}^e = \begin{bmatrix} e^{-i\beta_{n,j}^e d_j} & e^{i\beta_{n,j}^e d_j} \\ \dfrac{i\beta_{n,j}^e}{\varepsilon_j} e^{-i\beta_{n,j}^e d_j} & -\dfrac{i\beta_{n,j}^e}{\varepsilon_j} e^{i\beta_{n,j}^e d_j} \end{bmatrix} \tag{30f}$$

The relation between $b_{n,1}^e$ and the vector $\mathbf{x}_{n,5}^e$ can be formulated as follows:

$$\mathbf{x}_{n,5}^e = \begin{bmatrix} b_{n,5}^e \\ c_{n,5}^e \end{bmatrix} = \mathbf{T}^e b_{n,1}^e. \tag{31}$$

The transfer matrix $\mathbf{T}^e$ for even excitation is obtained as

$$\mathbf{T}^e = \left(\mathbf{T}_{5,5}^e\right)^{-1} \mathbf{T}_{4,5}^e \left(\mathbf{T}_{4,4}^e\right)^{-1} \mathbf{T}_{3,4}^e \left(\mathbf{T}_{3,3}^e\right)^{-1} \mathbf{T}_{2,3}^e \left(\mathbf{T}_{2,2}^e\right)^{-1} \mathbf{T}_1^e \tag{32}$$

and n'th column of $\mathbf{T}^e$ can be expressed as $[t_{1n}^e \quad t_{2n}^e]^T$. Substituting (31) into the continuity relations (4i) and (4j), we may write

$$i\beta_{n,5}^e \frac{a}{2}\left(b_{n,5}^e - c_{n,5}^e\right) = \sum_{m=0}^{\infty} f_m^e I_{nm}^e \tag{33a}$$

$$ig_m^e \frac{b}{2} = \sum_{n=0}^{\infty} \left(b_{n,5}^e + c_{n,5}^e\right) I_{mn}^e \tag{33b}$$

where

$$I_{nm}^e = \frac{K_m^e}{(K_m^e)^2 - (\gamma_n^e)^2} \sin K_m^e a \cos \gamma_n^e a. \tag{33c}$$

By replacing $\alpha = \alpha_n^e$ in (27a) and using (27c), we get the following equations

$$p_n \frac{(f_n^e + \alpha_n^e g_n^e) \cos K_n^e b}{N_+^e(\alpha_n^e)} \frac{\cos K_n^e b}{k + \alpha_n^e} = -2ie^{-ikb \sin \phi_0} \frac{k(1 - \cos \phi_0) N_+^e(-k \cos \phi_0)}{(\alpha_n^e - k \cos \phi_0)}$$
$$+ \sum_{m=0}^{\infty} \frac{(f_m^e - \alpha_m^e g_m^e)}{2\alpha_m^e} \frac{(k + \alpha_m^e) N_+^e(\alpha_m^e) \cos K_m^e b}{(\alpha_n^e + \alpha_m^e)} \tag{34}$$

$n = 0,1,2,\cdots$.

C. ANALYSIS OF THE SCATTERED FIELD

The scattered field for odd and even excitations can be obtained by taking the inverse Fourier transform of $F^o(\alpha, y)$ and $F^e(\alpha, y)$, respectively

$$u_1^o(x, y) = \frac{1}{2\pi i} \int_{\mathcal{L}} \frac{\dot{F}_+^o(\alpha, b)}{K(\alpha)} e^{i[K(\alpha)(y-b) - \alpha x]} d\alpha \tag{35a}$$

$$u_1^e(x, y) = \frac{1}{2\pi i} \int_{\mathcal{L}} \frac{\dot{F}_+^e(\alpha, b)}{K(\alpha)} e^{i[K(\alpha)(y-b) - \alpha x]} d\alpha, \tag{35b}$$

where $\mathcal{L}$ is a straight line parallel to the real axis lying in the strip $\Im m(k \cos \phi_0) < \Im m(\alpha) < \Im m(k)$. The evaluation of the integrals in (35a) and (35b) by using the method of saddle-point technique yields the asymptotic expression of $u_1\ (r, \phi)$ for the far field as follows

$$u_1\ (r, \phi) = \frac{u_1^e(r, \phi) + u_1^o(r, \phi)}{2} \tag{36a}$$

with

$$u_1^o(r, \phi) = \frac{e^{-i\pi/4}}{\sqrt{2\pi}} \tilde{F}_+^o(-k \cos \phi, b)\, N_-^o(k \cos \phi) \sqrt{k(1 - \cos \phi)} \frac{e^{ikr}}{\sqrt{kr}} \tag{36b}$$

$$u_1^e(r, \phi) = \frac{e^{-i3\pi/4}}{\sqrt{2\pi}} \tilde{F}_+^e(-k \cos \phi, b)\, N_-^e(k \cos \phi)\, k(1 - \cos \phi) \frac{e^{ikr}}{\sqrt{kr}} \tag{36c}$$

where (r, ϕ) cylindrical polar coordinates are defined by

$$x = r \cos \phi, \quad y - b = r \sin \phi. \tag{36d}$$

III. NUMERICAL RESULTS

This section focuses on the numerical results for the far-field backscattering properties of the cavities for the RCS examples. The definition of the RCS is given per unit length in the literature as follows

$$\sigma = \lim_{r \to \infty} \left(2\pi r \frac{|u_1|^2}{|u^i|^2} \right), \tag{37}$$

where u_1 is the diffracted field and u^i is the incident field defined by (36a) and (2a), respectively. The method that is applied by incorporating the modal expressions of the field in the waveguide region for each layer separately allows one the flexibility to choose the number of the dielectric layers for the reduction of the RCS, easily. In addition, the results that are presented here show the importance of the wall thickness of the cavity in the calculation of monostatic RCS which is calculated only in the opposite direction of the incident field, and have been given for different wall thicknesses by comparing the results presented in [25] for the same dielectric parameters.

Table 1*. Characteristics of the materials that fill the cavity*

Layer, j	ε_j	μ_j
1	$3.14 + i10$	$1 + i0$
2	$1.6 + i0.9$	$1 + i0$
3	$1.4 + i0.35$	$1 + i0$
4	$2.4 + i1.25$	$1.6 + i1.9$
5	$1 + i0$	$1 + i0$

The layer thicknesses are taken as equal to each other, namely $t = d_n - d_{n+1}$, $n = 1,2,3,4$ to compare our results with [25]. The material properties are listed in Table 1 and the numerical results are derived for four distinct cases: vacuum, one-layer, three-layer, and four-layer material loadings.
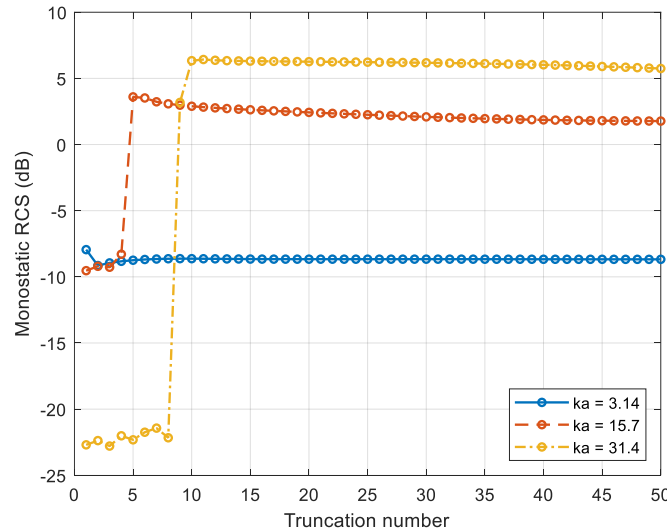
Figure 4. *The monostatic RCS versus the truncation number for $\phi = 60°$ ($kb = ka + 0.314$, $d_1/2a = 1$, $kt = 0.628$, three-layer material)*

Figure 4 shows the stability of the results for the diffracted field with the truncation number, *N,* of the infinite number of linear systems of equations. The scattered field becomes insensitive to the truncation number when *N>10* even for different waveguide dimensions.
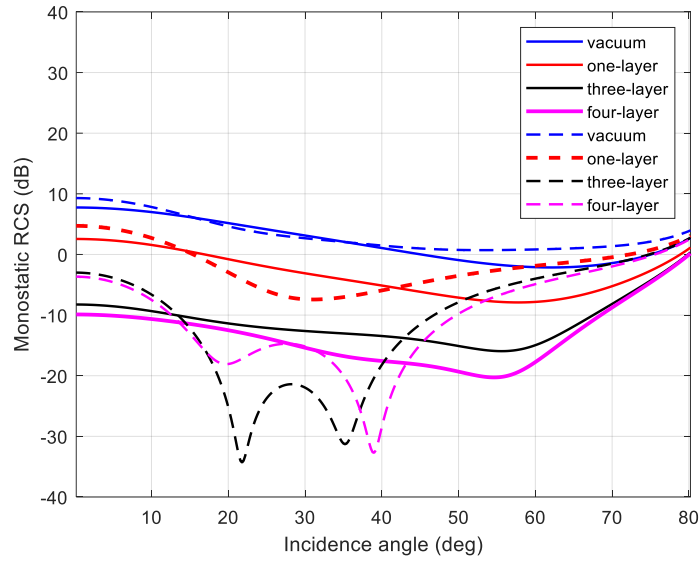
Figure 5. *Comparison of the results for different wall thicknesses,* ——— *b/a=1,* - - - *b/a=1.2*

The normalized monostatic RCS as a function of the incident angle ϕ_0 is given in Figures 5 – 10. Figure 5 represents the effect of the wall thickness for the RCS calculation by comparing the results given in [25] where the plates are considered very thin. Our results show that between around 15 to 45-degree incidence angle, the RCS gets better. In addition, Figure 6 shows the variation of RCS for different wall thicknesses that RCS increases or decreases up to 20 dB for different angles of incidence. Figures 7, 8, 9, and 10 are regenerated for the same dielectric parameters as in [25] to show the variation of RCS when the wall thickness is taken into account.
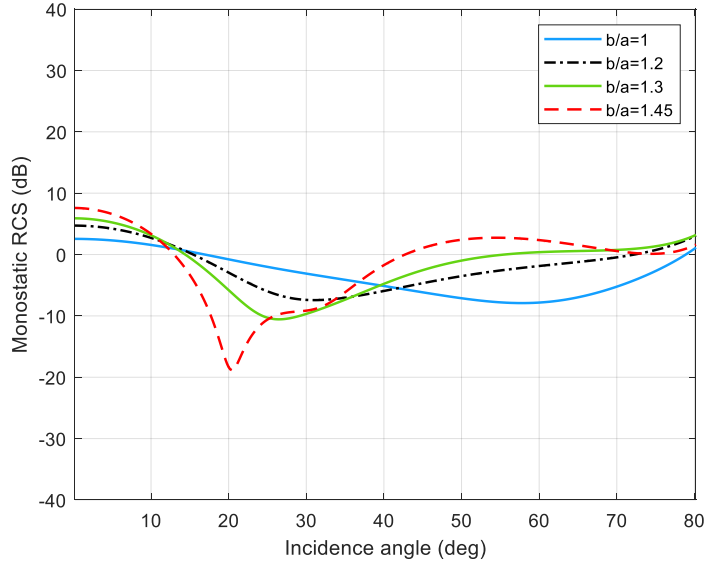
Figure 6. *Monostatic RCS for one layer loading case. Properties of the structure are $d_1/2a = 1$, $ka = 3.14$, $kt = 0.628$*
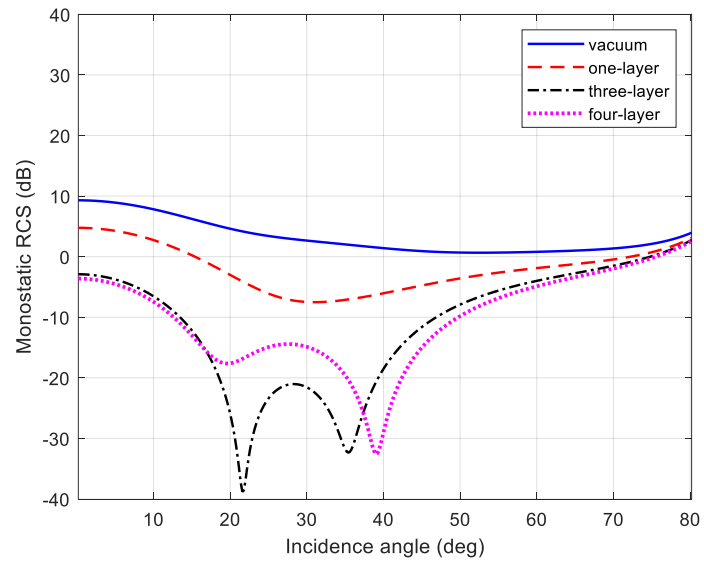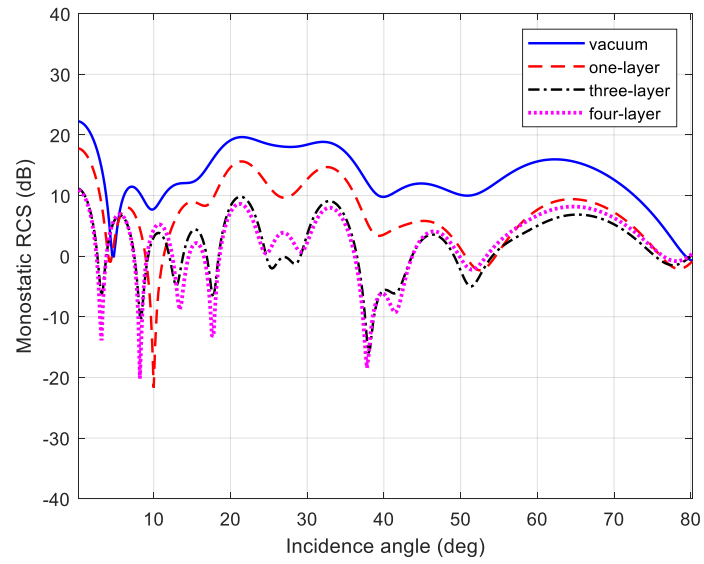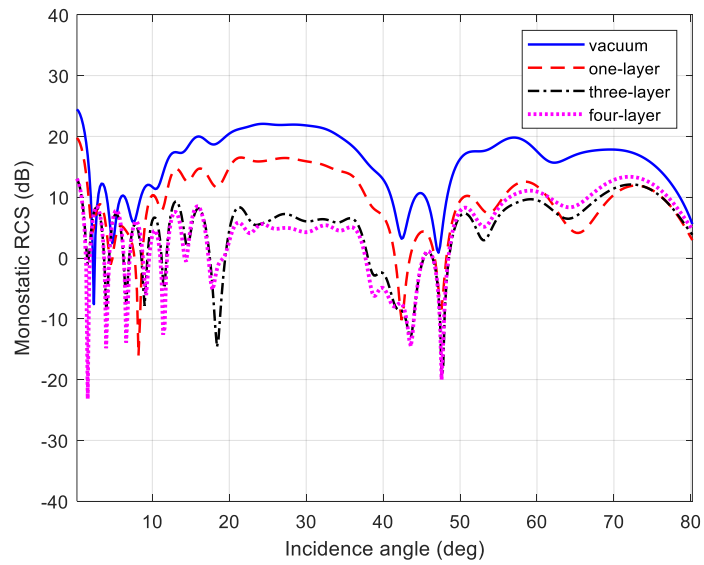
Figure 7. *Monostatic RCS for (a)* ka = 3.14 *(b)* ka = 15.7 *(c)* ka = 31.4 *(b/*a = 1.2, d$_1$/2a = 1, kt = 0.628 *for all cases)*
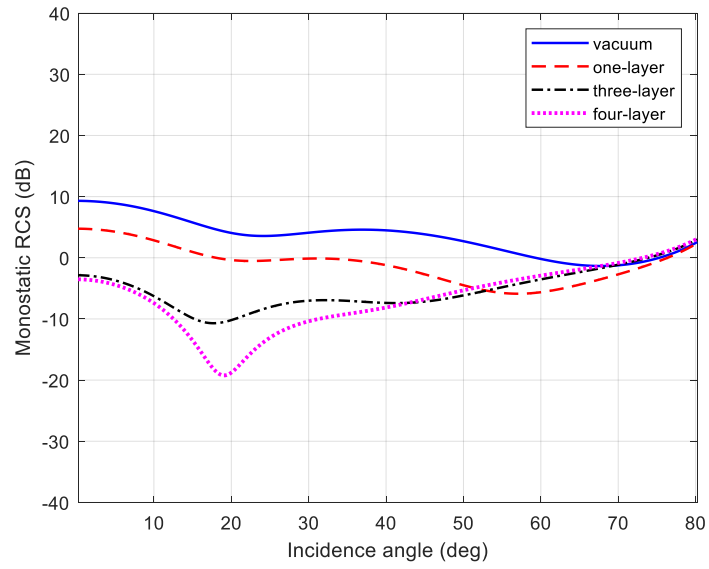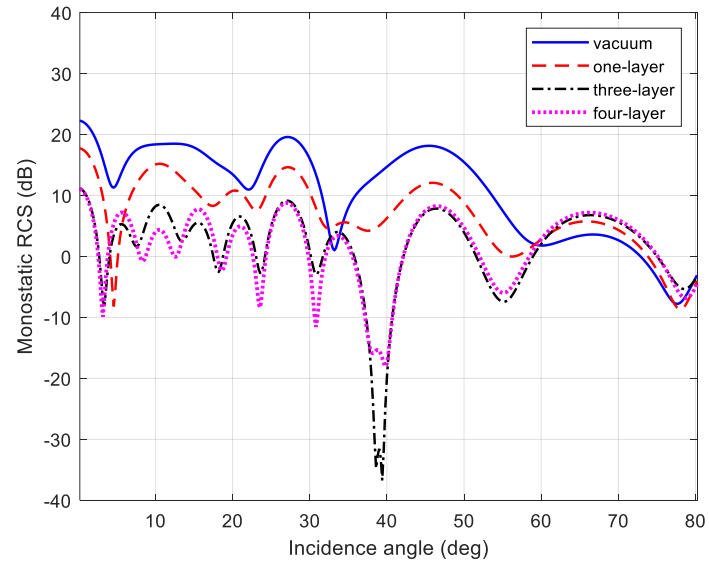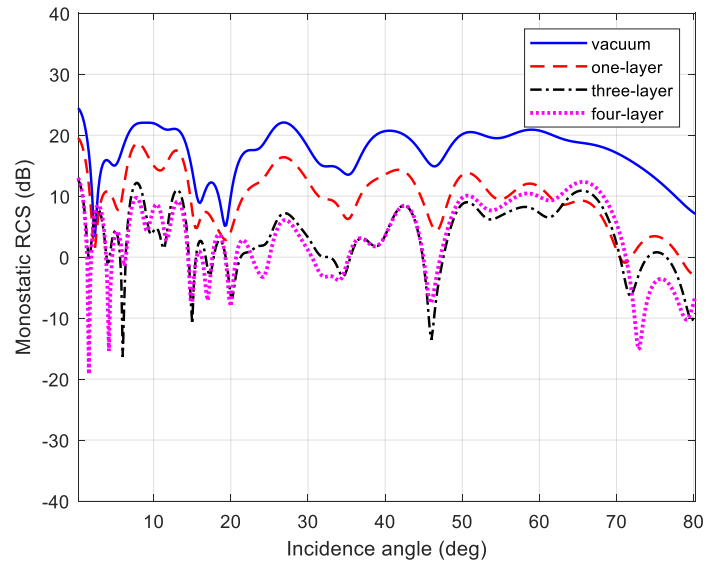
Figure 8. *Monostatic RCS for* (***a***) ka = 3.14 (***b***) ka = 15.7 (***c***) ka = 31.4 (*b*/a = 1.2, d_1/2a = 3, kt = 0.628, *for all cases*)
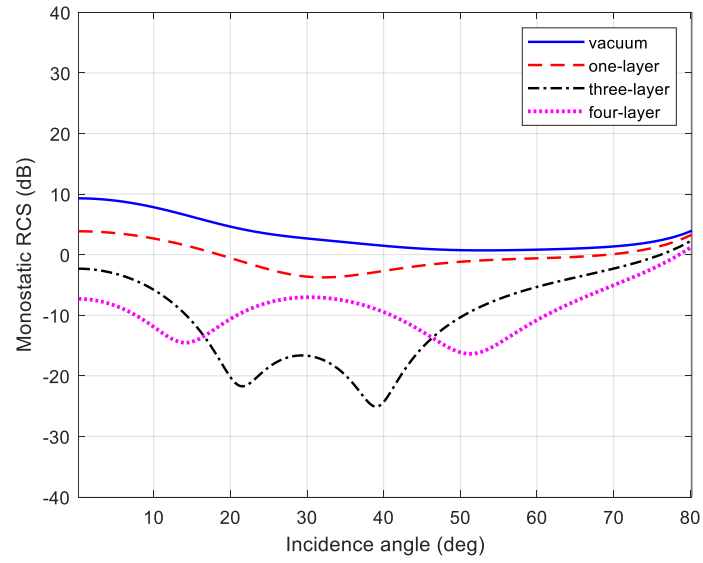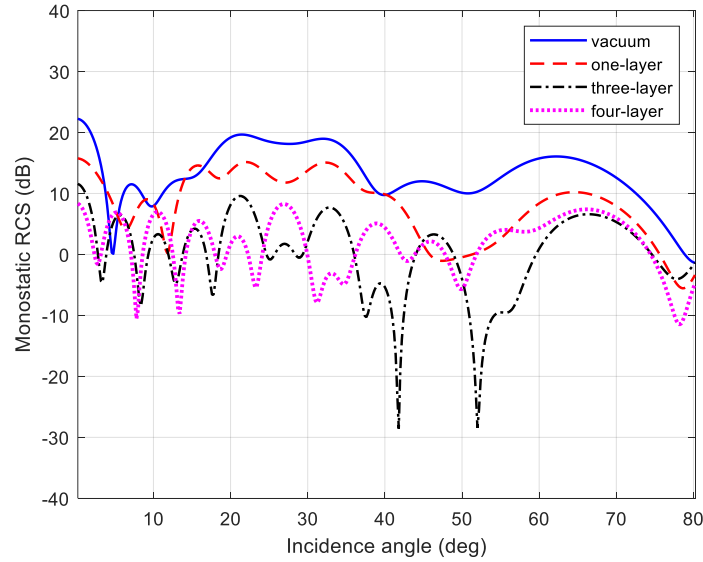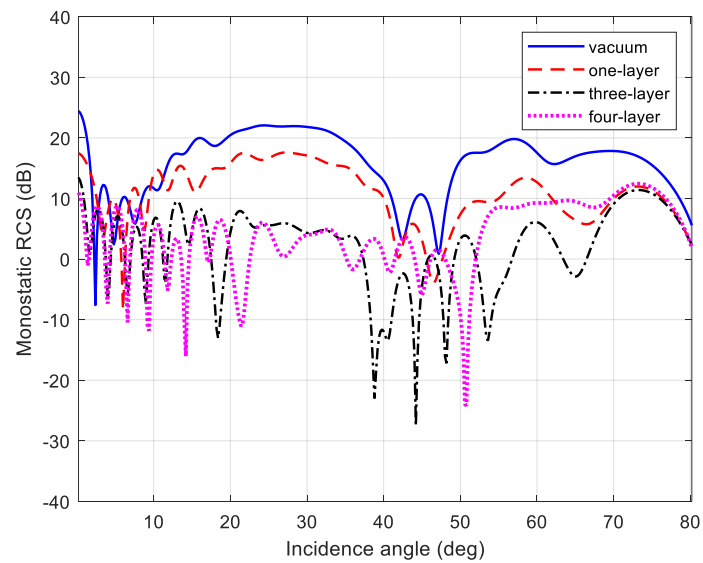
Figure 9. *Monostatic RCS for (**a**)* ka = 3.14 *(**b**)* ka = 15.7 *(**c**)* ka = 31.4 *(b*/a = 1.2, d_1/2a = 1, kt = 1.255 *for all cases)*
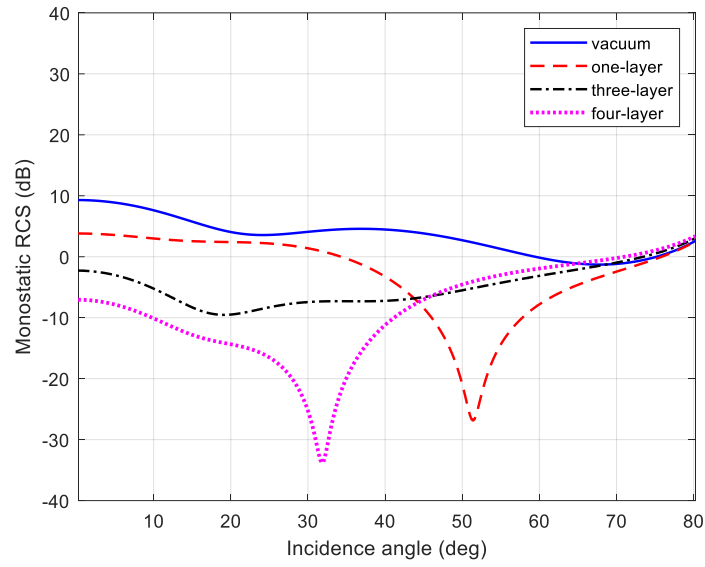
(a)
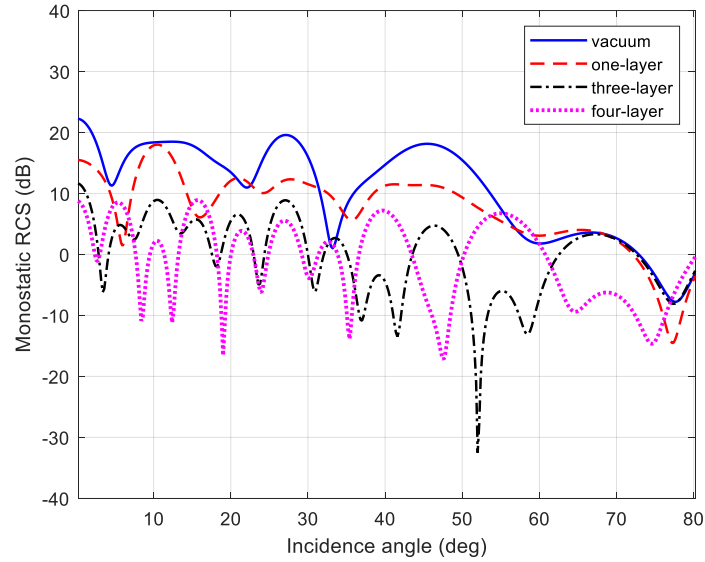
(b)
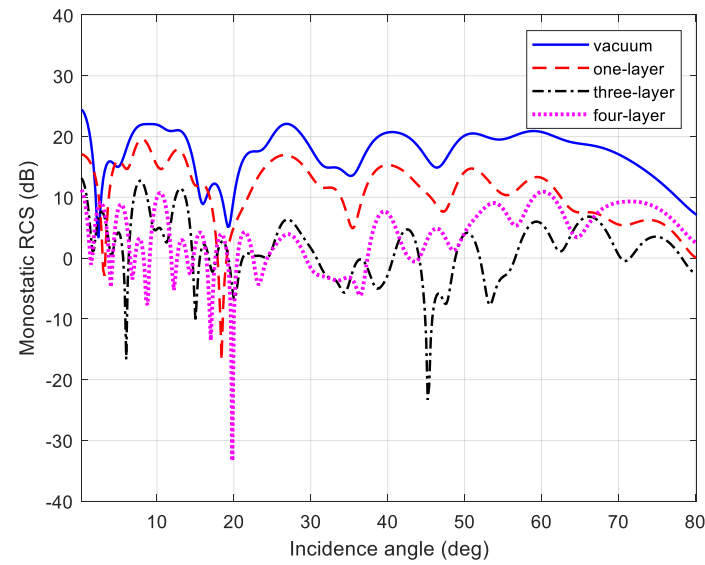
(c)

Figure 10. *Monostatic RCS for (**a**)* ka = 3.14 *(**b**)* ka = 15.7 *(**c**)* ka = 31.4 *(b/*a = 1.2, d$_1$/2a = 3, kt = 1.255 *for all cases)*

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IV. CONCLUSION

In this paper, we analyzed the effect of the wall thickness on the radar cross-section of the material-loaded planar waveguide which is terminated with a PEC plate to form a cavity. The scattering problem is formulated as the solution of two uncoupled MWHE-2's. These equations are solved by incorporating the modal expansions of the field in the waveguide region to form a linear system of equations. As a result, the scattered field is obtained after applying the inverse Fourier transform to two spectral functions $F^o(\alpha, y)$ and $F^e(\alpha, y)$. The analysis allows one to take into account the wall thickness of the plates and the flexibility to change the number and the thickness of layers with different dielectric parameters. The numerical results that are given to reflect the effect of wall thickness show that it is an important parameter for RCS reduction studies. Depending on the cavity wall thickness, RCS might be up to 20 dB higher or lower. In addition, it has been shown that when the number of the dielectric layers increased, RCS gets better also for the case of thick cavity wall.

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Research Article

Effects of AI-Generated Misinformation and Disinformation on the Economy

ⓘD Zeynep KARAŞ [a,*]

[a] *Department of International Trade and Finance, Faculty of Business Administration, Düzce University, Düzce, TURKEY*
* *Corresponding author's e-mail address: zeynepkaras@duzce.edu.tr*
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ABSTRACT

This study investigates the potential consequences of AI-driven misinformation/disinformation on the economy, which the World Economic Forum has identified as the most significant threat to global stability in the near term. To determine the effects of false and/or fake information on the economy, qualitative research method which involves collecting and analyzing information that is rich in detail, context, and meaning was preferred within the framework of this study, and the following inferences and conclusions were drawn regarding the potential implications and consequences of AI-generated mis/disinformation. Mis/disinformation can severely damage consumer trust, leading to reduced revenue and tarnished reputations for businesses. Fake news and reviews can harm consumers by influencing their decisions and can damage brands, resulting in crisis management efforts and decreased consumer loyalty. In financial markets, dis/misinformation can create divergent opinions among investors, leading to market volatility. Within supply chains, the spread of false information can disrupt operations and have significant economic consequences. AI-driven disinformation can pose additional risks, potentially affecting political stability and economic policies. As AI technology advances, countries are implementing stricter regulations, such as the EU AI Act, which may increase compliance costs, particularly for smaller businesses. This study can be considered important as it aims to contribute to a growing awareness of the complex and multifaceted nature of the impact of AI on the economy by investigating the potential negative effects of AI.

Keywords: Artificial Intelligence, AI, Misinformation, Disinformation, Economy

Yapay Zekâ ile Üretilmiş Yanlış Bilgi ve Dezenformasyonun Ekonomi Üzerine Etkileri

ÖZ

Bu çalışma, Dünya Ekonomik Forumu'nun yakın vadede küresel istikrara yönelik en önemli tehdit olarak tanımladığı Yapay Zekâ (YZ) kaynaklı yanlış bilgi/dezenformasyonun ekonomi üzerindeki potansiyel sonuçlarını araştırmaktadır. Yanlış ve/veya sahte bilginin ekonomi üzerindeki etkilerini belirlemek için, bu çalışma çerçevesinde detay, bağlam ve anlam açısından zengin bilgi toplamayı ve analiz etmeyi içeren nitel araştırma yöntemi tercih edilmiş ve YZ kaynaklı yanlış/yanıltıcı bilginin potansiyel etkileri ve sonuçlarına ilişkin şu çıkarımlar ve tespitler yapılmıştır: Yanlış/yanıltıcı bilgi, tüketici güvenine ciddi şekilde zarar vererek gelirlerin azalmasına ve işletmelerin itibarlarının zedelenmesine yol açabilmektedir. Sahte haberler ve yorumlar, tüketicilerin kararlarını etkileyerek markalara zarar verebilmekte ve kriz yönetimi çabaları ile azalan tüketici sadakati sonucunu doğurabilmektedir. Finansal piyasalarda, yanlış bilgilendirme yatırımcılar arasında farklı görüşler oluşturarak piyasa dalgalanmalarına yol açabilmektedir. Tedarik zincirlerinde ise, yanlış bilginin yayılması operasyonları aksatabilmekte ve önemli ekonomik sonuçlar doğurabilmektedir. YZ destekli dezenformasyon, potansiyel olarak siyasi istikrarı ve ekonomik politikaları etkileyerek ek riskler

oluşturabilmektedir. YZ teknolojisi ilerledikçe, ülkeler, özellikle küçük işletmeler için uyum maliyetlerini artırabilecek Avrupa Birliği YZ Yasası gibi katı düzenlemeler uygulamaktadır. Bu çalışma, YZ'nin potansiyel olumsuz etkilerini araştırarak, YZ'nin ekonomi üzerindeki etkisinin karmaşık ve çok yönlü doğası hakkında artan farkındalığa katkıda bulunmayı amaçladığı için önemli olarak değerlendirilebilecektir.

Anahtar Kelimeler: Yapay Zeka, YZ, Yanlış Bilgi, Dezenformasyon, Ekonomi

I. INTRODUCTION

Artificial Intelligence (AI), the foundations of which were laid in the 1950s and which we repeatedly hear about every day, can be generally defined as the ability of machines that imitate human intelligence. Today, there is almost no field that has not been touched by AI, and its incredible performance has made it part of the agenda on an almost daily basis [1]. AI has the potential to be used in numerous areas such as national security, finance, marketing, healthcare, transportation, education, production, agriculture, tourism, customer service etc. and its applications are expanding rapidly. For example, in finance, AI can identify potential risks and suggest mitigation strategies for risk management purposes; in healthcare, AI can help doctors analyze and diagnose x-ray images.

Due to rapid developments in the field of AI, it seems that AI will further increase its popularity and prevalence. While what can be done with AI surprises people every day, the pitfalls and dangers involved in the use of AI for various purposes are also causing growing concern. The study by Anderljung and Hazell states that AI systems can be used for increasingly harmful purposes as they become more powerful and accessible, that some AI models can produce increasingly convincing propaganda and other forms of misinformation and also create deepfakes videos, images and voices that are almost indistinguishable from the original to mislead people [2].

AI-generated materials can have very serious implications depending on for what purpose they are used. The ability of AI to produce persuasive but consciously or unconsciously false content poses a significant threat in many different areas, including social, political, economic, military and security. In a specific research study conducted by Pöhler et al. [3], it is stated that AI software and training data and other components are generally available online and easily accessible, which enables innovation and development of AI at a high speed, however, it is stated that these accessible systems and especially AI can be used maliciously and threaten physical, digital and political security [3].

In another study conducted by Slapczynski; states that despite its many successes, AI also brings important problems and ethical concerns to the agenda, such as replacing people's jobs, being prejudiced and violating privacy, and that it is very important and critical to consider the problems that will be created by AI technology, which is expected to continue to advance, and to ensure that AI is developed and used in a responsible and ethical manner [4].

According to several perspectives, including those of leading AI researchers, generative AI could significantly ease the creation of realistic yet false or misleading content on a large scale, potentially leading to catastrophic effects on people's beliefs and behaviors, the public information landscape, and democracy itself [5]. In the context of AI-generated content, the distinction between mis/disinformation (misinformation and disinformation) is crucial. When false information is spread without the intent to deceive, it is referred to as "misinformation." Conversely, when false information is intentionally and covertly spread to deceive and manipulate others, it is known as "disinformation" [6]. Misinformation is a broader category that encompasses disinformation, which specifically involves an intent to deceive or mislead people.

Mis/disinformation that can be generated by AI has been identified as a significant global risk in recent years. Such false and manipulative information causes significant problems in areas where AI is used. Although there is plenty of evidence of how AI-based tools are improving access to all kinds of

information, as well as health, education, public and government services, it is important to be cautious as this rapidly evolving AI technology harbours serious risks as well as opportunities. In January 2024, the World Economic Forum identified AI-enabled mis/disinformation as the world's biggest near-term threat [7]. While AI offers many innovations, conveniences, and benefits to humanity, it also brings with it some problems, as mentioned. Those who think that those negativities are just the beginning and will reach more serious dimensions claim that AI is a technology that will end human superiority and even that it is the last invention of humanity and also stress that just because we can do something does not mean we should do it [8].

The purpose of this study is to explore the potential impact of AI-generated mis/disinformation on the economy, which the World Economic Forum considers the most significant near-term threat globally. Due to the timeliness of this topic, no comprehensive study has been found to date within the scope of this research. Therefore, it is believed that this study will fill a significant gap in the existing literature and serve as a foundation for future investigations on the subject, providing a valuable contribution to the field.

The rest of the paper is organized as follows. The following sections provide a structured framework for understanding the potential applications and capabilities of AI, which can be utilized in both positive and negative ways. This is followed by a detailed explanation of the methodology employed in this study. The subsequent section delves into the potential consequences of AI-generated mis/disinformation on the economy, while the final section provides a concise summary of the main findings and implications of this research.

II. CONCEPTUAL FRAMEWORK

AI has made extraordinary progress, especially in recent years, and has become an integral part of many aspects of our daily lives. AI can be found in almost every field, from industrial applications to consumer-facing technologies. It is almost impossible to find an advertisement, marketing activity or application that does not mention or contain AI. As with many technologies, it is also possible for AI to be used in different ways other than its intended purpose, and such examples have begun to be encountered. While the benefits and advantages of AI are often cited, in recent years the negative aspects of AI that can cause problems have increasingly come to the fore, and important warnings for Governments to take precautions have begun to emerge.

AI, which is of great importance in today's digital age, is a technology that is built on the ability of machines to think and reason like humans by training models on large amounts of data by using certain learning techniques. The fact that AI increases efficiency and provides convenience in many areas has led to the rapid adoption of AI applications in these areas. Recent studies and experiences indicate that the use of AI in many fields increases efficiency and leads to significant achievements. Healthcare, education (natural language processing), transportation (drones and vehicles), production, e-commerce, tourism and finance are among the sectors where AI makes a difference [9].

Factors such as the fact that machines undertake many jobs, automate some tasks, increase productivity, can function 24/7 and do not get tired are gradually increasing the economic and operational benefits of AI and making AI indispensable [10]. AI is considered to have some advantages over natural intelligence in that it is more permanent, consistent, less costly, easy to replicate and disseminate, easy to document, and can perform specific tasks much faster and better than human beings. Therefore, it would not be erroneous to say that intelligent machines powered by AI will further replace or enhance human capabilities in many areas [11].

AI, which has the ability to incorporate human behavior and intelligence into machines or systems, is also considered the leading technology of the current Industry 4.0 applications. Therefore, thanks to AI, it is possible to create intelligent, smart and automated systems according to current requirements.

Different types of AI, such as analytical, functional, textual and audio-visual AI, can be applied to improve the intelligence and capabilities of an application to solve current problems. Furthermore, the AI revolution has the potential to pave the way for progress, much like previous industrial revolutions that launched major economic activities in manufacturing, trade, transport and other areas [12].

The way information is disseminated across different platforms has been revolutionized by AI. In order to deliver personalized content, AI algorithms analyze user behavior and preferences. This ensures that users receive the most relevant information, increasing engagement and satisfaction. AI is also changing the way brands and users interact with each other. Thanks to the data collected and produced by AI's algorithm, AI-powered systems can quickly determine which content will be delivered to customers and which channel will be used at what time. Thus, businesses using AI tools have opportunity to spend more time for the other aspects of digital marketing [13]. Thanks to its ever-increasing capabilities, AI also offers invaluable possibilities to support businesses, increase efficiency and reduce costs. These capabilities make AI a reliable and effective source for experiences, especially when it comes to recognizing customers, tracking user behavior, processing data in real time, making recommendations and providing offers [14].

Artificial intelligence has emerged as a powerful tool for analyzing large data sets. AI significantly contributes to various fields and solves various tasks by enabling experts to discover complex patterns and dependencies. The role of AI in big data analysis is tremendous. The ability of AI in big data analysis exceeds human capabilities, especially in finding patterns and realizing predictive analytics [15]. AI systems can also condense large volumes of information into short summaries. AI enables complex information to be transformed into more understandable forms. This includes both extractive and abstractive summarization, making it easier for users to grasp key concepts quickly. The impact of AI on information dissemination is profound, enabling both efficiency and personalization of information distribution [16].

With the increasing use of AI and data analytics in newsrooms, news organizations are experimenting with new ways to deliver news more effectively to their customers. These include data-driven recommendations that tailor news selections to the personal interests, characteristics or information needs of individual readers. Some of the largest news organizations have been exploring the potential of AI and related technology to distribute their products more effectively and to deepen engagement with readers and increase revenues [17]. For instance, Google is also backing the development of a web-based application that leverages AI technologies to aid journalists in fact-checking. This innovative tool will enable users to search vast datasets, including police and government records, to uncover accurate information [18].

With the integration of AI technology, some of the big information dissemination platforms can now identify individual user needs, filter and deliver targeted messages with unprecedented accuracy. The most significant advantage of AI-powered information dissemination is its ability to analyze user habits through data sharing and provide personalized content tailored to their specific needs. However, as we harness the power of AI, it is crucial that we avoid algorithmic biases and ensure responsible data sharing practices. It is also essential to recognize that AI technology can augment human capabilities, but its potential risks must be carefully managed. As a result, leveraging AI technology can significantly enhance information dissemination, but it is vital to use it wisely and responsibly to achieve optimal results [19] [20].

III. METHOD

Qualitative research method was preferred within the framework of this study, which was carried out in order to determine the effects of AI-based mis/disinformation on the economy. Mis/disinformation can have subtle effects on the economy, such as influencing public opinion or shaping consumer behavior. Qualitative research is tought to be better suited to capture these subtle effects, which may

be difficult to detect using quantitative methods. Economic outcomes are often influenced by contextual factors, such as cultural, social, and political environments. Qualitative research allows researchers to examine these contextual factors and how they interact with economic outcomes, providing a more nuanced understanding of the effects of mis/disinformation. For the reasons mentioned, the scope of this study has been determined with the idea that making comprehensive determinations and recommendations by examining the negative aspects of AI and especially the effects it may have on the economy may contribute to the relevant literature.

Within the framework mentioned above, related studies and researches published on AI technologies have been analysed, the information in these documents has been used, and in order to ensure the integrity of the study, in addition to the benefits and advantages of AI applications, the negative and disadvantageous aspects of AI have been focused. In this context, the consequences of the effects of AI-generated mis/disinformation in general terms were firstly identified and then evaluations and determinations were made in terms of their possible effects on the economy.

The effects of AI-generated mis/disinformation on the economy have been addressed within the scope of this study from the perspective of contributing to the level of awareness in this field due to the increasing amount and impacts of such information. In order to achieve the intended purpose of the study and to avoid erroneous determinations, publications and researches on AI, which is in continuous development, especially in recent years, have been analysed.

Since the information utilised within the scope of the study was obtained from open sources and no activities requiring the collection of personal data were carried out, it was not necessary to obtain ethics committee permission in this study.

IV. FINDINGS

AI systems are purpose-built frameworks that utilize a knowledge model to execute pre-defined tasks, without explicit algorithmic instructions. This enables the application of concepts such as learning, planning, perception, communication, and cooperation to technical systems. However, established risk reduction measures in software development are insufficient in addressing certain risks. Furthermore, AI applications must contend with a multitude of biases, some of which are specific to AI and are not adequately addressed in the verification and validation processes of traditional software safety standards. Consequently, the development of safe AI systems requires a deep understanding of trustworthy AI components and the need for tailored risk management strategies to address the novel challenges associated with this technology [21].

News plays a crucial role in our daily lives, often reinforcing people's biases and beliefs. However, when news is fake or manipulative, its purpose shifts to fostering mass ignorance or indifference for personal gain or to serve the interests of a particular group. In 2015, Google introduced the DeepDream algorithm, revolutionizing content generation and manipulation by transforming ordinary images. AI quickly became a significant tool for altering content. In 2016, Prisma software emerged, enabling users to easily transform existing content into unique and stylized paintings, further expanding AI-driven content manipulation. The turning point came in 2017 with the widespread recognition of DeepFakes, a term that attracted substantial media attention and highlighted its profoundly detrimental potential for deception [22]. The introduction of ChatGPT in 2022 can be regarded as another significant turning point in this context. Large language model (LLM) such as ChatGPT and similar powerful tools are sophisticated AI systems designed to generate human-like text based on extensive datasets. These models excel in various tasks, including content creation, language translation, and answering questions. While LLMs provide significant benefits in terms of efficiency and scalability, their influence goes beyond technological advancements. The capability of LLMs to produce convincing and coherent text brings up critical issues regarding information

authenticity, the potential for misinformation, and the ethical considerations of AI-generated content [23].

Generative AI marks the first technology that ventures into a domain once exclusive to humans: the independent creation of content in various forms, along with the interpretation and generation of language and meaning. Today, it is often challenging to discern whether a piece of content was created by a human or a machine, raising questions about the trustworthiness of what we perceive. For some time, digitization has been reshaping the public sphere, and Generative AI is a significant contributor to this change. Structural shifts are largely driven by the rise of digital media, economic challenges facing traditional media organizations, and changes in how attention is allocated and information flows. The growing volume of AI-generated content, along with the difficulty in identifying its origin, further complicates this transformation of the public sphere [24]. Recent breakthroughs in Generative AI, fueled by LLM, have led to a surge in the creation of highly realistic multimedia content, including text, images, videos, and audio. While the potential of LLM tools is vast, it also raises concerns about the unintended consequences of their use, such as the potential for the dissemination of mis/disinformation through social media platforms, using deepfakes [25].

Harnessing the capabilities of large language models (LLMs), AI-generated content is becoming increasingly difficult to distinguish from human-written information and, in some cases, is even perceived as more credible. When LLMs are employed to generate misinformation, the ability to produce large volumes of text quickly and easily can greatly amplify fringe or misleading views by creating the illusion of widespread consensus. AI's ability to rapidly generate convincing misinformation on a large scale presents a new challenge, giving malicious actors powerful tools to spread false narratives and create widespread public confusion. A notable example is Meta's Galactica, an AI model intended for scientific purposes, which was taken down just three days after its November 2022 release due to generating biased and inaccurate content, including fake papers and misleading references [26].

A research study by Vosoughi et al. analysed the differential diffusion of verified true and false news distributed on Twitter from 2006 to 2017. The data includes approximately 126,000 cascades of news stories shared on Twitter, tweeted by about 3 million people over 4.5 million times. False news spread significantly farther, faster, deeper, and more broadly than true news across all categories. This effect was most pronounced for false political news compared to news about terrorism, natural disasters, science, urban legends, or financial information. Controlling for various factors, false news was 70% more likely to be retweeted than true news. Novelty played a crucial role, as false news was perceived as more novel than true news, suggesting that people are more likely to share novel information. This analysis is important in that it shows that false information, whether intentionally or unintentionally created, attracts more attention and spreads faster [27]

Another study by Allcott and Gentzkow explored the impact of fake news, particularly in the context of the 2016 US presidential election. One of the key findings was that fake news stories circulated on social media had a significant reach. According to their research, a database contained 115 pro-Trump fake news stories that were shared on Facebook a total of 30 million times, while 41 pro-Clinton fake news stories were shared a total of 7.6 million times. Notably, social media fake news stories during the 2016 election were shared around 38 million times, resulting in approximately 760 million clicks. This staggering number highlights the potential influence of fake news on public opinion and the importance of addressing this issue [28].

Although, the quality of generative AI has undergone significant advancements over the past year, the lack of effective tools to verify the authenticity of information poses a substantial threat to businesses, as users may struggle to distinguish between fact and fiction. Some experts are concerned about the potential for newer models to generate highly convincing misinformation at scale, tailored to specific targets. The cost of misinformation stemming from generative AI could be staggering, with millions of dollars potentially lost. To mitigate this risk, companies must prepare now to detect, monitor, and

respond to potential threats from bad actors using generative AI to create misinformation. The rise of generative AI has significantly increased the threat of misinformation for organizations due to its high-quality and accessible content, lack of effective monitoring and regulation, and inadequate governance and control [29]. As a result, companies are now spending more time and money incorporating measures to detect AI-generated information into their crisis/risk managemen plans.

An analysis made by Clarke et al. reveals that investor attention, indicated by web page views and the frequency with which an article is read to the end, is significantly higher for fake news articles compared to a matched control sample of legitimate news. The findings are both economically and statistically significant, with fake news articles generating approximately 83.4% more page views than their legitimate counterparts. It is demonstrated that trading volume significantly increases on the day a fake news article is released, but fortunately increase rate is lower compared to that observed for legitimate articles [30].

Petratos and Faccia analysed the risks posed by mis/disinformation for the supply chain and made the following findings. The processing of information is a crucial component of the supply chain, and preserving its integrity is vital. The transmission mechanisms in the supply chain can allow false or misleading information to spread and disrupt the entire chain. Intentional misinformation from external sources poses a greater threat than unintentional mistakes or misinformation that originates from within the supply chain. The risk of disruption and the negative impact on the supply chain are significantly higher when the disruption is caused by intentional rather than unintentional misinformation. Supply chain disruptions can lead to economic consequences that impact a company's profitability, reputation, and long-term competitiveness [31].

When fake news crosses from social media into the realm of business and finance, the consequences can be severe, potentially wiping out billions of dollars in seconds. A study by Arcuri et al. was made to explore whether fake news systematically affected financial markets. Analyzing a sample of fake news events from 2007 to 2019 across Europe and the US, the impact of false information on stock markets using two empirical methods: an event study and a multivariate OLS regression on abnormal returns was assessed. The findings indicated that stock markets did react to false information, particularly in the short term. False negative information lead to a negative market response, while false positive information prompted a positive reaction. However, these reactions tended to dissipate quickly, with negative responses fading within a week and positive responses within a day. This aligns with psychological research showing that people are generally more attentive to negative information than positive. The dissemination of fake news can lead to conflicting opinions among investors, as the "informational" content of these false reports is not universally recognized. This disagreement among market participants can subsequently impact stock returns [32].

The impact of direct misinformation, such as fake news and fake reviews, on consumers occurs at two distinct levels, depending on their role. Consumers can either be "receivers," influenced by misinformation in their decision-making processes, or "actors," who create, share, or spread misinformation. As receivers, they incorporate false information into various stages of their purchasing decisions. As actors, they may further spread brand-related misinformation, impacting others within their networks. Brands can be harmed by direct misinformation, such as fake news and fake reviews, which target the brand or its products. Fake news forces brands to navigate crisis management strategies to restore consumer trust, while fake reviews negatively impact consumer perceptions, brand evaluations, and trust in review platforms. As a result, brands may see lowered consumer attitudes, reduced perceived value of their products, and decreased purchase intentions [33].

The European Council has officially adopted the EU AI Act on 21 May 2024, a proposed regulation aimed at addressing the growing risks associated with AI, following its introduction by the European Commission in April 2021. This groundbreaking regulation, the first of its kind globally, establishes a common framework for the use and supply of AI systems within the EU, based on a risk-based classification approach. AI systems deemed to pose "unacceptable" risks are prohibited, while "high-

risk" systems, which could negatively affect health, safety, or fundamental rights, are allowed but must meet specific requirements to access the EU market. Systems with "limited risks", due to their lack of transparency, will face information and transparency obligations, while minimal-risk AI systems will have no further requirements. The regulation also includes specific rules for general-purpose AI models, with stricter standards for those with "high-impact capabilities" that could pose systemic risks and significantly affect the internal market. The AI act could lead to a significant increase in compliance costs, which would likely discourage investment in AI in Europe, especially for small and medium-sized enterprises (SMEs) that may not have the resources to comply with the regulations [34]. While the US has some regulations for AI, it lacks a federal framework, unlike the EU, which has a comprehensive AI Act.

V. CONCLUSION

The emergence of AI technology is revolutionising the way we live by streamlining tasks, improving decision-making processes and tailoring experiences to individual needs. From voice assistants and personalised recommendations to medical diagnostics and driverless cars, AI has become an integral part of our daily lives. However, this technological advancement also raises pressing concerns about privacy, job displacement, erosion of trust and ethical implications, making its impact both profound and complex.

This study explores the potential consequences of AI-generated mis/disinformation on the economy, which the World Economic Forum has identified as the most significant threat to global stability in the near term. While AI has been credited with driving innovation, transformation, and numerous benefits across various fields, there is insufficient attention to its negative effects. Recognizing the importance of balancing this narrative, this research was designed to provide a more comprehensive understanding of AI's impact by considering its disadvantages. By exploring the potential negative effects of AI, this study aims to contribute to a growing awareness of the complex and multifaceted nature of AI's influence on the economy.

As a result of this study; the following determinations have been made regarding the effects of AI-generated mis/disinformation on the economy and an effort has been made to provide recommendations related to the consequences of these effects:

- The rapid advancements in Generative AI, driven by LLMs, have led to a proliferation of incredibly realistic multimedia content, including text, images, videos, and audio. While the potential of LLM tools is immense, it also raises grave concerns about the unintended consequences of their use, including the possibility of widespread mis/disinformation dissemination through social media platforms via deepfakes.
- The above statement is significant because it highlights the alarming fact that false information, whether intentionally or unintentionally created, tends to garner more attention and spread faster than accurate information, posing a significant threat to the integrity of our online discourse.
- Misinformation can create a devastating impact on consumer trust, as it can erode confidence in brands and markets. When consumers are unable to distinguish between authentic and fabricated information, they may become wary of making purchases or investments, leading to a loss of revenue and reputation for businesses.
- Fake news and fake reviews can harm consumers and brands in two ways. Consumers can be influenced by misinformation as "receivers", incorporating false information into their purchasing decisions, or they can create and spread misinformation as "actors", affecting others. Brands are targeted by fake news and fake reviews, which can damage their reputation, forcing them to manage crises and restore consumer trust. This can lead to decreased consumer attitudes, lower product value, and reduced purchase intentions.
- The proliferation of fake news can give rise to divergent opinions among investors, as the accuracy of these false reports is not universally accepted. This disparity among market

participants can, in turn, have a tangible impact on stock returns, as conflicting views and uncertainty can lead to increased market volatility and fluctuations in stock prices.

- The transmission mechanisms within the supply chain can facilitate the rapid dissemination of false or misleading information, potentially disrupting the entire chain. The risk of disruption and the ensuing negative impact on the supply chain are significantly elevated when the disruption is caused by intentional rather than unintentional misinformation. When supply chains are disrupted, companies may face significant economic consequences, including decreased profitability, damage to reputation, and compromised long-term competitiveness.
- AI-driven mis/disinformation can profoundly influence electoral outcomes, leading to political instability that may affect economic policies, undermine investor confidence and can erode trust in institutions, politicians, and the democratic process.
- The rise of generative AI has heightened the risk of misinformation for organizations, driven by the production of high-quality, easily accessible content, coupled with insufficient monitoring, regulation, and governance. Consequently, companies have to invest more time and resources into incorporating detection measures for AI-generated content within their crisis and risk management strategies.
- In response to the escalating risks associated with AI, countries have begun implementing measures. For example, the European Council adopted the EU AI Act in May 2024, which could substantially increase compliance costs. This increase may deter investment in AI within Europe, particularly affecting small and medium-sized enterprises that may lack the resources to meet the regulations. Additionally, governments might introduce stricter regulations on AI and digital platforms to combat misinformation, potentially resulting in higher compliance costs for businesses.

The following recomendations can be made to reduce and/or eliminate the negative effects of AI-generated mis/disinformation on the economy:

- The spread of fake news and mis/disinformation has escalated to alarming levels in recent years, profoundly impacting societies and economies. The ease with which this content is shared on social media and other online platforms has made it increasingly challenging to distinguish fact from fiction, resulting in widespread confusion, mistrust, and destabilization. In today's digital age, individuals must be vigilant in recognizing and combating misinformation and disinformation. By critically evaluating sources, verifying facts, and understanding the tactics used by misinformation campaigns, people can help foster a culture of accuracy and critical thinking, contributing to a more informed and responsible global community.
- Fake news is becoming more prevalent and is now recognized as a component of operational risk for companies. Investors must consider this when making business and investment decisions, and effective countermeasures need to be established to address the issue.
- For governments and institutions, implementing effective strategies to combat disinformation is vital for preserving the integrity of democratic processes, maintaining political stability, and safeguarding the economy.
- Proactive measures are crucial to combating the spread of misinformation and promoting the distribution of accurate information. This can be accomplished through education and awareness campaigns, fact-checking initiatives, and collaborative efforts between governments, civil society, and technology companies to enhance media literacy and digital citizenship.
- To address the challenges posed by AI regulations like the EU AI Act, proper actions should be taken, such as supporting SMEs through government incentives, simplified compliance mechanisms, and grants; investing in Regulatory Technologies to automate compliance and offer affordable compliance services; and raising awareness and education about AI regulations, as well as providing skill development initiatives.

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Separation and Recovery of Palladium (II) and Platinum (IV) from Automotive Catalysts by Solvent Extraction Using Tri-n-butyl Phosphate and Aliquat 336

ⓘD Mustafa AKÇİL [a,*], ⓘD Çağrı EYÜBOĞLU [a]

[a] Department of Metallurgical and Materials Engineering, Faculty of Technology, Sakarya University of Applied Sciences, Sakarya, TURKEY
* Corresponding author's e-mail address: makcil@subu.edu.tr
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ABSTRACT

Pt, Pd, Fe, Ni, and Cr are among the metals found in spent automotive catalysts, which are both environmentally critical and economically beneficial. In this study, solvent extraction methods were utilized to separate and recover palladium (Pd) and platinum (Pt) from wasted car catalyst. The synthetic leach liquor employed in this investigation contains (mg/L): Pd-140, Pt-500, Ni-800, Fe-2000 and Cr-150. The variation of tri-n-butyl phosphate (TBP) in Shellsol D70 from 0.1 to 2 M revealed selective and quantitative Pd extraction even at the lowest extractant concentration. Stripping Pd from loaded organic (LO) phase using 1 M thiourea and 1 M HCl yielded stripping efficiency of 99%. The use of Aliquat 336 at concentrations ranging from 0.05 to 0.5M in the extraction of Pt from Pd free raffinate demonstrated selective extraction of Pt, reaching 99.7% at 0.2M. The use of a McCabe-Thiele plot in 0.2M Aliquat 336 is expected to result in the extraction of more than 99% of Pt in two stages when an A/O phase ratio of 3 is used. The stripping efficiency of Pt from loaded organic (LO) at O/A ratio 6 with 0.5 M thiourea (tu) and HCl was 99.9 percent.

Keywords: Automotive Catalyst, Shellsol D70, Aliquat 336

Tri-n-bütil Fosfat ve Aliquat 336 Kullanarak Otomotiv Katalizörlerinden Paladyum (II) ve Platin (IV)'in Çözücü Ekstraksiyonu ile Ayrılması ve Geri Kazanımı

Öz

Kullanılmış otomotiv katalizörlerinde bulunan metaller arasında çevresel olarak kritik ve ekonomik olarak faydalı olan Pt, Pd, Fe, Ni ve Cr bulunmaktadır. Bu çalışmada, atık otomobil katalizörlerinden paladyum (Pd) ve platin (Pt) ayırmak ve geri kazanmak için çözücü ekstraksiyon yöntemleri kullanılmıştır. Bu araştırmada kullanılan sentetik liç likörü (mg/L olarak) şunları içermektedir: Pd-140, Pt-500, Ni-800, Fe-2000 ve Cr-155.Shellsol D70 içindeki tri-n-bütil fosfat (TBP) konsantrasyonunun 0.1'den 2 M'ye değişimi, en düşük ekstraktör konsantrasyonunda bile seçici ve nicel Pd ekstraksiyonunu ortaya koymuştur. Yüklü organik (LO) fazdan 1 M tiyourea ve 1 M HCl kullanılarak Pd'nin sıyrılması %99 sıyırma verimliliği sağlamıştır. Pd'siz rafinattan Pt'nin ekstraksiyonunda 0.05'ten 0.5 M'ye kadar konsantrasyonlarda Aliquat 336 kullanımı, 0.2 M'de %99.7'ye ulaşan seçici Pt ekstraksiyonunu göstermiştir. 0.2 M Aliquat 336 kullanılarak yapılan bir McCabe-Thiele plotunun, 3 A/O faz oranı kullanıldığında iki aşamada %99'dan fazla Pt ekstraksiyonu ile sonuçlanması

beklenmektedir. Yüklü organikten (LO) 0.5 M tiyourea (tu) ve HCl ile 6 O/A oranında Pt'nin sıyrılma verimliliği %99.9 olmuştur.

I. INTRODUCTION

Platinum group metals (PGMs) consist of six elements: Rhodium, ruthenium, palladium, platinum, iridium and osmium. These metals are used in areas such as catalysts, both in the. petrochemical and automotive industries [1], hydrogen fuel cells [2] and electronic devices [3]. Platinum and palladium are sought-after elements whose prices are constantly rising.

Modern cars are equipped with catalytic converters that convert toxic exhaust components such as NO_x, unburnt C_xH_y and CO into non-toxic N_2, H_2O and CO_2 [4]. The exhaust gas conversion activity of autocatalysts decreases over time due to the deposition of impurities, unburnt hydrocarbons or the sintering process at high operating temperatures. When the regeneration of autocatalysts is no longer practical, they are considered solid waste [5,6].

PGMs, which are considered critical metals, are in short supply and increasing demand will put significant pressure on the market. Therefore, all potential PGM sources need to be considered and residues such as used automotive catalytic converters are important secondary resources in this regard.

Hydrometallurgy and pyrometallurgy are the two main methods for recovering PGMs from secondary raw materials [7]. Recycling platinum group metals from secondary raw materials is not only beneficial for the environment (less waste) but also for the economy. Hydrometallurgy (also known as the "wet process") is considered more beneficial than pyrometallurgical processes because it produces less waste and consumes less energy. In addition, hydrometallurgy allows the recovery of components from very dilute solutions and the separation not only of the main products but also of some by-products, resulting in a more environmentally friendly approach.

The PGMs have similar physical and chemical properties, which makes separation by chemical precipitation methods difficult [8]. Hydrometallurgical leaching followed by solvent extraction to separate metals offers several advantages over conventional precipitation methods due to its higher selectivity, the washing step to achieve high metal purity and the complete removal of metals through multi-stage extraction steps [9-12].

In this work, a simple, efficient and environmentally friendly process is developed for the extraction of Pd and Pt from chloride liquors of spent autocatalysts using commercially available phosphorus- and amine-based extractants. The optimization of the process parameters includes the removal of base metal impurities, the influence of the extractant concentration, the phase ratio and stripping.

II. MATERIALS AND METHODS

A. AQUEOUS AND ORGANIC SOLUTIONS

Aqueous feed solution which is similar to the chloride leach liquor of a spent automobile catalyst containing, Pd and Pt as well as other base metal impurities (Cr, Ni, and Fe) was prepared by dissolving analytical grade salts of $NiCl_2.6H_2O$ (99.9% purity, Sigma-Aldrich), $CrCl_3.6H_2O$ (98% purity, Sigma-Aldrich), $FeCl_3.6H_2O$ (99.5% purity, Merck), $PdCl_2$ (99.9% purity, Alfa Aesar) and $PtCl_4$ (99.9% purity, Sigma-Aldrich) in 3M HCl. To adjust the pH, analytical grade of NaOH (99.9% purity, Merck) and HCl (37%, Sigma-Aldrich) diluted in deionised water were used. TBP (tri-n-butyl

phosphate) from Fluka and Aliquat 336 (quaternary amine) from Merck Millipore were used without further purification. Shellsol D70 was used as a diluent and phase modifier. The metal contents in the synthetic solutions were verified via Shimadzu AA-7000 Atomic Absorption Spectrophotometer. The chemical composition of the synthetic solution is shown in Table 1.

Table 1. Chemical composition of the synthetic solution

Element	Ni	Fe	Cr	Pd	Pt
Concentration (mg L^{-1})	800	2000	150	140	500

B. EXPERIMENTAL PROCEDURE

Magnetic stirrer hot plates were used as mixing reactors in the current study, along with 500 ml beakers. The aqueous and organic solutions were preheated to 40 °C using a water heating bath. For each experiment, the aqueous solution was in contact with a various volume of organic solution to measure the equilibrium distribution of metals between the aqueous (aq) and organic (org) phases. An adjustable pipette was used to add NaOH (5 mol L^{-1}) as needed to adjust the pH of the solution during agitation. After the agitation was complete, the pH was measured, and the dispersion was transferred into separation funnels to allow the two phases to separate. After phase separation was completed, the aqueous phases were collected from the separation funnels and diluted to the concentration range required for analysis. After phase separation was complete the aqueous phases were collected from the separation funnels and diluted to the concentration range required for analysis by AAS, and the samples were analysed. The metal content of the organic phase was calculated using a mass balance based on AAS measurements. The metal ion extraction percentage (E) was calculated using the following equations:

$$E = \frac{[M]org}{[M]aq} \times 100 \tag{1}$$

where $[M]_{org}$ and $[M]_{aq}$ denote the concentration of metal ions in the organic and aqueous phase (mg L−1), respectively.

The distribution ratio, D, was calculated as the concentration of metal present in the organic phase to that part in the aqueous phase at equilibrium. Separation factor ($\beta = D_{M1}/D_{M2}$), M$_1$ represents Pd and M$_2$ represents other metals (Pt, Cr, Fe and Ni), were calculated [13].

III. RESULTS AND DISCUSSIONS

A. PALLADIUM EXTRACTION with TBP

Effect of TBP concentration: TBP concentrations ranging from 0.1 to 2M in Shellsol D70 were used to extract Pd and other metals at pH 3.5. Quantitative extraction of Pd is possible with 0.5M TBP, whereas percentage extraction of other metals ranged from 1 to 5% (Fig. 1). The best separation factor was obtained with a concentration of 0.5M TBP and increasing the extractant concentration resulted in a decrease in β values due to co-extraction of other metals. Based on these findings, a TBP concentration of 0.5M appears to be the best for separating Pd from Pt and other base metals.
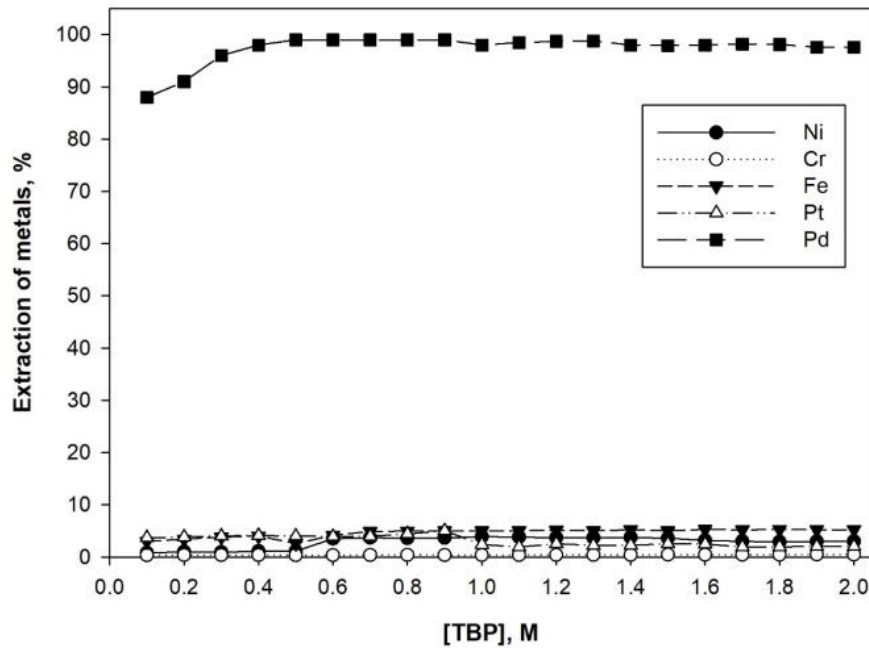
Figure 1. *Effect of TBP concentration on the extraction of palladium and other metals at pH 3.5. Palladium: 140 mg/L, HCl: 1 M, A:O phase ratio= 1*

Accordingly, McCabe–Thiele plot was obtained for the extraction of Pd with 0.5M TBP at A:O ratios from 1:2 and O:A ratios from 1:5 (Fig. 2). According to the extraction isotherm, a Pd extraction efficiency of 99.9% is achievable in two stages at an A/O phase ratio of 3. To reduce Pt co-extraction in the loaded organic phase, the extraction process was repeated at A/O phase ratios of 3.25 while maintaining the same Pd extraction efficiency. The results in Table 2 clearly showed that, a decrease in Pt co-extraction from 3% to 0.9%. Such a method can improve Pd selectivity and the purity of Pd strip solution. As a result of the Pd extraction process, 3.25:1 phase ratio (A:O) is used and the generated loaded organic (LO) contains 454.1 mg/L Pd.
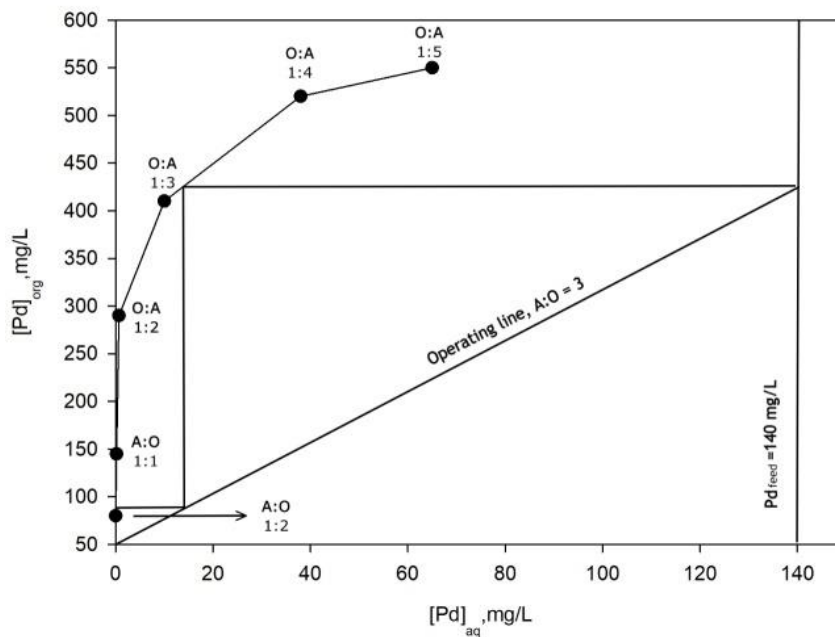
Figure 2. *McCabe-Thiele plot for Pd extraction*

Table 2. *Results of Pd extraction at different phase*

Phase Ratio (A:O)	Pd in LO, mg/L	Pd Extraction, %	Pt in LO, mg/L	Pt Extraction, %
3:1	419.6	99.9	45.3	3
3.25:1	454.1	99.8	17	1.1
3.5:1	489	99.8	13	0.9

LO = Loaded Organic

<u>Stripping of Pd from loaded organic phase</u>: It is critical in any commercial extraction process to continuously back-extract the metal from the loaded organic phase from the point of regeneration possibility and reuse for further extraction experiments. Pd was stripped from loaded organic (454.1 mg/L Pd) using different concentrations of HCl and in combination with thiourea (Table 3). Stripping of Pd with HCl is <2%. Among the various thiourea and HCl concentrations tested, 1 M thiourea and 1 M HCl gave Pd stripping of 99.9% from loaded organic phase in single stage.

Table 3. *Effect of stripping reagents on Palladium stripping from loaded organic.*

[HCl], M	[Thiourea], M	Pd stripping, %	[HCl], M	[Thiourea], M	Pd stripping, %
0.1	0	0	1.0	0.1	77.1
0.5	0	0	1.0	0.5	95.5
1.0	0	0	1.0	1.0	99.9
2.0	0	0	2.0	0.1	83.2
3.0	0	0.5	2.0	0.5	97.6
5.0	0	1.2	2.0	1.0	99.9

B. PLATINUM EXTRACTION with ALIQUAT 336

<u>Effect of Aliquat 336 concentration</u>: Fig. 3 depicts the extraction behaviour of platinum, chromium, iron, and nickel as a function of Aliquat 336 concentration in Shellsol D70 at pH 3.5. The percent extraction of Cr, Fe, and Ni in the studied concentration range is negligible. It was discovered that quantitative platinum extraction from Cr, Fe, and Ni is possible using 0.2M Aliquat 336. The co-extraction of Ni is 4,9%, indicating that platinum can be effectively separated from a Cr, Fe, and Ni mixture with a separation factor (β) of 15414. The value decreased to 3751 above 0.2M Aliquat 336 concentration due to nickel co-extraction. Based on these findings, 0.2M Aliquat 336 was chosen to ensure the best separation of platinum from Cr, Fe, and Ni.
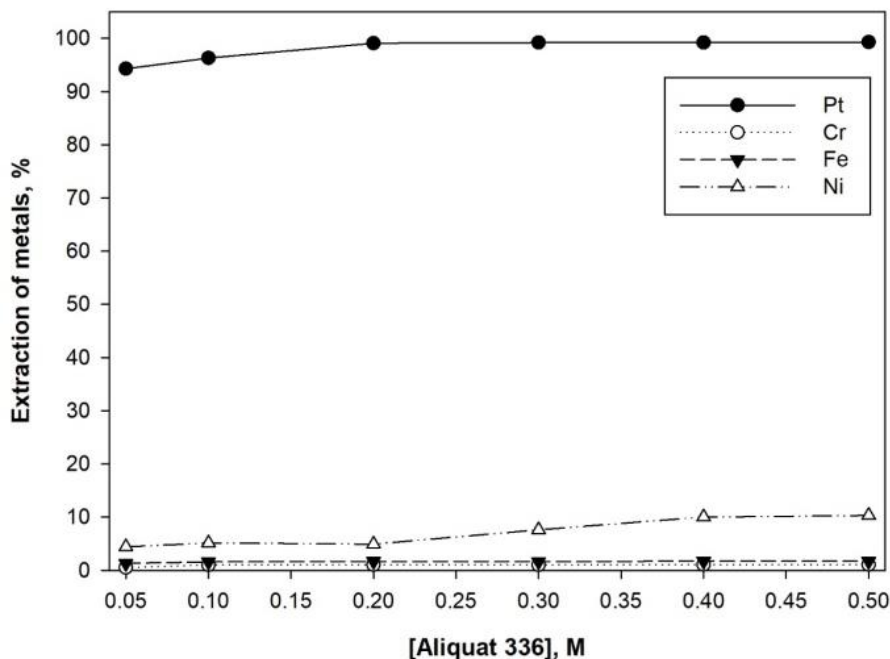
Figure 3. Effect of TBP concentration on the extraction of palladium and other metals. Palladium: 140 mg/L; HCl: 1 M.

To separate a specific metal/or group of metals from a mixture of metal ions in solution using selective extractants, an extraction isotherm (McCabe–Thiele plot) must be constructed by contacting the aqueous and organic phases at different volume ratios for a specified time. The operating line (a graphical representation of the system's mass balance) is the slope of which equals the A/O phase ratio. The extraction isotherm was created in this study by contacting the Pd free feed (500 mg/L Pt, 2000 mg/L Fe, 800 mg/L Ni and 150 mg/L Cr, pH 3.5) with 0.2 M Aliquat 336 at different A:O phase ratios ranging from 1 to 5 and O:A phase ratios ranging from 2 to 1. (Fig. 4). The McCabe–Thiele plot shows that at an A/O phase ratio of 3, complete platinum extraction efficiency can be achieved in three stages.
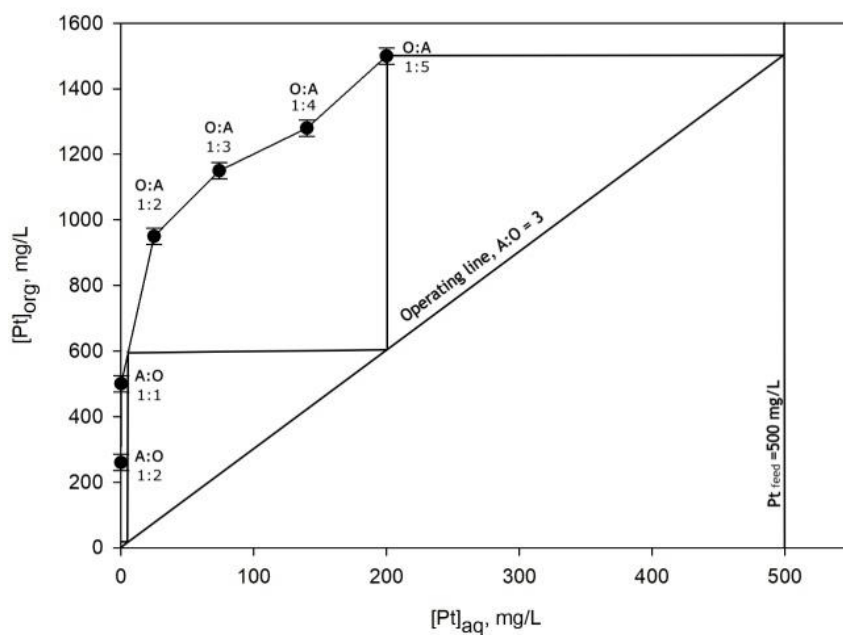
Figure 4. McCabe-Thiele plot for Pt extraction.

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Stripping of Pt from loaded organic phase: To remove PGM ions, it is necessary to use a solution that has a very high concentration of either an acidic or basic aqueous solution and contains a reagent with sulphur, such as thiourea [14]. Pt was stripped from the loaded organic phase using HCl, NH4Cl, NH3, and an aqueous mixed solution of NH3-NH4Cl at a unit phase ratio as stripping reagents (Table 4). Due to their low stripping efficiency, these reagents were found to be unsuitable for platinum removal from loaded organic phases. Individual stripping of platinum from loaded organic phase with thiourea showed better platinum stripping efficiency but longer phase separation time and metal hydrolysis in strip solution. Finally, a 0.1–0.5M mixture of thiourea and HCl resulted in clear phase separation and quantitative stripping of platinum. In the current study, platinum was stripped from loaded organic phase using 0.1M HCl and 0.5M thiourea.

Table 4. Stripping of platinum from loaded organic phase.

Stripping reagent M	Pt stripping efficiency (%)	[HCl], M	[Thiourea], M	Pt stripping efficiency (%)
1 NH4Cl	0.1	1-5	-	1-2.1
1 NH3	23.1	-	0.1-0.5	68-82
2 NH4Cl	0.3	0.1	0.2	93.2
2 NH3	27.2	0.1	0.5	100
2 NH4Cl + 0.1 NH3	3.5	0.2	0.2	98.3
2 NH4C l+ 0.2 NH3	6.9	0.2	0.5	99.9
2 NH4Cl + 0.5 NH3	14.6	0.5	0.2	99.7
2 NH4Cl + 1 NH3	26.9	0.5	0.5	100

IV. CONCLUSION

In this study, a complete lab-scale hydrometallurgical process for the separation and recovery of Pd and Pt from synthetic chloride leach liquors of spent automobile catalyst was developed using solvent extraction.

Based on the experimental results, it can be concluded that the selective extraction of palladium (Pd) and platinum (Pt) from a mixed metal solution is highly efficient when using optimized concentrations of TBP and Aliquat 336 in the presence of a diluent like Shellsol D70.

For palladium, the optimal extraction conditions were found to be 0.5M TBP, which achieved quantitative extraction of Pd while minimizing the co-extraction of other metals such as chromium (Cr), nickel (Ni), and iron (Fe). The McCabe–Thiele plot further confirmed that at an aqueous-to-organic (A/O) phase ratio of 3:1, nearly complete Pd extraction (99.9%) could be achieved in just two stages, with a reduction in Pt co-extraction when the phase ratio was adjusted to 3.25:1.

For platinum, 0.2M Aliquat 336 was identified as the most effective concentration for separating Pt from Cr, Fe, and Ni. The McCabe–Thiele plot indicated that complete Pt extraction could be accomplished in three stages at an A/O phase ratio of 3:1. Additionally, the stripping of Pt from the loaded organic phase was most efficiently achieved using a mixture of 0.1M HCl and 0.5M thiourea, which facilitated clear phase separation and quantitative stripping.

In summary, the study demonstrates that by carefully controlling the extractant concentrations and phase ratios, it is possible to achieve high selectivity and efficiency in the extraction and separation of

Pd and Pt from a mixed metal solution. The methods outlined could significantly enhance the purity and recovery rates of these valuable metals in industrial applications.

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Towards Transparent Control Systems: The Role of Explainable AI in Iterative Learning Control

Mustafa KUTLU [a], Mohammed MANSOUR [a, *]

[a] *Department of Mechatronics Engineering, Faculty of Technology, Sakarya Applied Sciences University, Sakarya, TURKEY*
* *Corresponding author's e-mail address: mohammedmansour@subu.edu.tr*

ABSTRACT

This paper presents a novel approach to improving the performance and interpretability of Iterative Learning Control (ILC) systems through the integration of Explainable Artificial Intelligence (XAI) techniques. ILC is a powerful method used across various domains, including robotics, process control, and traffic management, where it iteratively refines control inputs based on past performance to minimize errors in system output. However, traditional ILC methods often operate as "black boxes," making it difficult for users to understand the decision-making process. To address this challenge, we incorporate XAI, specifically SHapley Additive exPlanations (SHAP), into the ILC framework to provide transparent and interpretable insights into the algorithm's behavior. The study begins by detailing the evolution of ILC, highlighting key advancements such as predictive optimal control and adaptive schemes, and then transitions into the methodology for integrating XAI into ILC. The integrated system was evaluated through extensive simulations, focusing on robotic arm trajectory tracking and traffic flow management scenarios. Results indicate that the XAI-enhanced ILC not only achieved rapid convergence and high control accuracy but also maintained robustness in the face of external disturbances. SHAP analyses revealed that parameters such as the proportional gain (Kp) and derivative gain (Kd) were critical in driving system performance, with detailed visualizations providing actionable insights for system refinement. A crucial metric for control precision was the root mean square error (RMSE), which was reduced to as low as 0.02 radians in the robotic arm case, indicating extremely precise tracking of the intended route. Similarly, the ILC algorithm effectively maintained the ideal traffic density within the predetermined bounds in the traffic management scenario, resulting in a 40% reduction in congestion compared to baseline control measures. The resilience of the ILC algorithm was also examined by introducing changes to the system model, external disturbances, and sensor noise. The algorithm demonstrated a high degree of stability and accuracy in the face of these disruptions. For instance, in the robotic arm case, adding noise to the sensor readings had a negligible effect on the algorithm's performance, increasing the RMSE by less than 5%. This integration of XAI into ILC addresses a significant gap in control system design by offering both high performance and transparency, particularly in safety critical applications. The findings suggest that future research could further enhance this approach by exploring additional XAI techniques and applying the integrated system to more complex, real-world scenarios.

Keywords: Control System, Iterative Learning, AI, Explainable AI

Şeffaf Kontrol Sistemlerine Doğru: Tekrarlı Öğrenme Kontrolünde Açıklanabilir Yapay Zekanın Rolü

Öz

Bu makale, Açıklanabilir Yapay Zeka (XAI) tekniklerinin entegrasyonu yoluyla Tekrarlı Öğrenme Kontrolü (ILC) sistemlerinin performansını ve yorumlanabilirliğini iyileştirmek için yeni bir yaklaşım sunmaktadır. ILC, robotik, süreç kontrolü ve trafik yönetimi dahil olmak üzere çeşitli alanlarda kullanılan güçlü bir yöntemdir ve burada sistem çıktısındaki hataları en aza indirmek için geçmiş performansa dayalı olarak kontrol girdilerini tekrarlı olarak iyileştirir. Ancak, geleneksel ILC yöntemleri genellikle "kara kutular" olarak çalışır ve kullanıcıların karar alma sürecini anlamasını zorlaştırır. Bu zorluğun üstesinden gelmek için, algoritmanın davranışına ilişkin şeffaf ve yorumlanabilir içgörüler sağlamak üzere XAI'yi, özellikle SHapley Eklemeli Açıklamaları (SHAP) ILC çerçevesine dahil ediyoruz. Çalışma, ILC'nin evrimini ayrıntılı olarak açıklayarak, öngörücü optimal kontrol ve uyarlanabilir şemalar gibi önemli gelişmeleri vurgulayarak başlıyor ve ardından XAI'yi ILC'ye entegre etme metodolojisine geçiyor. Entegre sistem, robotik kol yörünge takibi ve trafik akışı yönetimi senaryolarına odaklanarak kapsamlı simülasyonlar yoluyla değerlendirildi. Sonuçlar, XAI ile geliştirilmiş ILC'nin yalnızca hızlı yakınsama ve yüksek kontrol doğruluğu elde etmekle kalmayıp aynı zamanda harici bozulmalar karşısında sağlamlığını da koruduğunu göstermektedir. SHAP analizleri, orantılı kazanç (Kp) ve türev kazancı (Kd) gibi parametrelerin sistem performansını yönlendirmede kritik olduğunu ve detaylı görselleştirmelerin sistem iyileştirmesi için eyleme geçirilebilir içgörüler sağladığını ortaya koymuştur. Kontrol hassasiyeti için kritik bir istatistik, kök ortalama kare hatasıydı (RMSE). RMSE, robotik kol durumunda 0,02 radyana kadar düşürüldü ve bu, amaçlanan rotanın son derece hassas bir şekilde izlendiğini göstermektedir. Karşılaştırıldığında, ILC algoritması, trafik yönetimi senaryosunda ideal trafik yoğunluğunu önceden belirlenmiş sınırlar içinde etkili bir şekilde korudu ve bunun sonucunda temel kontrol önlemleriyle karşılaştırıldığında tıkanıklıkta %40'lık bir azalma sağlandı. Sistem modeline değişiklikler, dış bozulmalar ve sensör gürültüsü eklenerek ILC algoritmasının dayanıklılığı incelendi. Algoritma, bu bozulmalar karşısında yüksek derecede kararlılık ve doğruluk gösterdi. Örneğin, robotik kol durumunda, sensör okumalarına gürültü eklemek algoritmanın performansı üzerinde ihmal edilebilir bir etkiye sahipti ve RMSE'yi %5'ten daha az artırdı. XAI'nin ILC'ye bu şekilde entegre edilmesi, özellikle güvenlik açısından kritik uygulamalarda hem yüksek performans hem de şeffaflık sunarak kontrol sistemi tasarımındaki önemli bir boşluğu giderir. Bulgular, gelecekteki araştırmaların ek XAI tekniklerini araştırarak ve entegre sistemi daha karmaşık, gerçek dünya senaryolarına uygulayarak bu yaklaşımı daha da geliştirebileceğini göstermektedir.

Anahtar Kelimeler: Kontrol Sistemi, Tekrarlı Öğrenme, Yapay Zeka, Açıklanabilir Yapay Zeka

I. INTRODUCTION

Iterative Learning Control (ILC) has emerged as a significant method in the realm of control systems, offering a systematic approach to improving system performance through the repetitive execution of tasks [1]. The foundational principle of ILC lies in its ability to learn from past iterations and adjust control inputs accordingly, thereby progressively minimizing errors and enhancing overall system efficiency. This approach is particularly effective in scenarios where tasks are repetitive, and the desired output trajectory is predefined, making ILC a powerful tool in various domains, including robotics, process control, and traffic management [2].

The initial development of ILC can be traced back to the late 1980s, with the pioneering work of Oh, Bien, and Suh [2], who introduced an ILC method designed specifically for robot manipulators. Their research demonstrated the algorithm's ability to achieve convergence under specific conditions, particularly in systems experiencing minor perturbations from a nominal trajectory. This groundbreaking work laid the foundation for subsequent advancements in the field, sparking a wave of research focused on refining and extending the basic ILC framework to address increasingly complex control challenges. As the field of ILC evolved, researchers sought to enhance the robustness and adaptability of ILC algorithms. Lee and Bien proposed "iterative learning control with multi-modal input," a significant advancement that improved the algorithm's ability to handle variable initial conditions [3]. This method synthesized control inputs based on the initial condition state, thereby enhancing convergence properties and expanding the applicability of ILC to a broader range of

scenarios. Such developments underscored the importance of adaptability and robustness in modern control systems. Further innovations in ILC were introduced by Amann et al. [4], who developed a predictive optimal ILC algorithm that integrated present and future predicted errors to calculate the current control input. This approach, akin to model-based predictive control, demonstrated significant improvements in control performance, particularly in dynamic environments where anticipating future states is crucial for achieving accurate and stable outcomes. These predictive aspects expanded the potential applications of ILC, making it a more versatile and powerful tool in various domains.

The integration of Explainable Artificial Intelligence (XAI) into control systems has broad significance across diverse fields such as power systems, air-traffic management, healthcare, IoT, and prosthetic technologies. By enhancing transparency and human understanding, XAI improves decision-making, system optimization, and user interaction, leading to more effective and user-friendly control solutions. XAI in control systems has been a topic of interest in various fields, including power systems, air-traffic management, medical applications, human-machine interfaces, IoT systems, and visual quality control. Zhang et. al., introduced the use of the SHAP method in deep reinforcement learning models for power system emergency control, providing clear explanations for under-voltage load shedding [5]. Xie et. al., utilized the XGBoost library explanations in air traffic management decision support systems to enhance human understanding and analysis [6]. Sheu et. al., conducted a survey on medical XAI, highlighting model enhancements, evaluation methods, and future improvements in healthcare explainability [7]. Kang et. al., proposed an XAI approach to optimize sensor disposition in EMG-IMU multimodal fusion systems for prosthetic hand control, aiming to reduce system redundancies and improve patient quality of life [8]. Dobrovolskis et. al., 2023 developed an explainable rule-based smart home system for IoT applications, emphasizing the importance of XAI in user-friendly systems [9]. Maxwell et. al., 2023 discussed the significance of user centric design methodology in developing meaningful XAI solutions for various operational contexts, including human-on-the-loop control and ex-post investigations [10].

The integration of XAI into ILC represents a pivotal advancement in the field, particularly in enhancing the interpretability and transparency of control systems. XAI refers to a set of methods and techniques designed to make the decision-making processes of AI systems more understandable to humans. In the context of ILC, XAI plays a crucial role in providing insights into how control decisions are made, enabling operators and engineers to better understand the behavior of the ILC algorithms and the rationale behind their adjustments. Control systems are improved by integrating XAI with ILC to make them more visible, flexible, and effective. Interpretability is brought to ILC by XAI, which promotes confidence and helps users comprehend the decision-making process especially in vital applications like industrial automation and autonomous systems. This openness helps with diagnostics, accelerating the tuning of the ILC system and simplifying the identification and resolution of performance problems. Additionally, by making the learning process intelligible and permitting human inspection and intervention, XAI facilitates improved collaboration between human operators and machines. By elucidating the steps done by the ILC system, XAI guarantees accountability in safety-critical applications, which is essential for adhering to safety and regulatory regulations. Furthermore, by emphasizing transferable learning components, XAI promotes applications in novel situations and aids in the generalization of ILC across tasks. Through optimization of the learning process, this integration speeds up convergence and enhances system performance, allowing the control system to adjust to dynamic changes or customized requirements. In the end, XAI improves ILC's responsiveness, interpretability, safety, and efficiency across a variety of applications.

The importance of XAI in ILC becomes evident when considering the complexity of modern control systems, where the interactions between various components can be highly intricate. Traditional ILC methods, while effective, often operate as "black boxes," making it difficult for users to discern the underlying processes that lead to specific control decisions. By integrating XAI techniques, such as model interpretability and explainability frameworks, the decision-making process within ILC can be made more transparent, thereby increasing trust and reliability in these systems [11]. XAI's role in ILC is particularly relevant in applications where safety and reliability are paramount, such as in autonomous vehicles, industrial automation, and healthcare robotics. For example, in the domain of

robotics, where ILC is widely used for trajectory tracking and precision control, XAI can help elucidate why certain control inputs are chosen over others, especially in situations where the system deviates from expected behavior. This transparency not only aids in troubleshooting and refining control algorithms but also enhances user confidence in the system's operations. Moreover, the integration of XAI into ILC aligns with the broader trend in AI research toward developing systems that are not only powerful but also interpretable and accountable. As highlighted by [12], incorporating insights from disciplines such as philosophy, psychology, and cognitive science can significantly enhance the effectiveness of XAI, leading to more human-centered and user-friendly AI systems. In the context of ILC, this approach facilitates a deeper understanding of how control decisions are made, thereby improving the overall efficiency and safety of the system.

This increasing focus is a reflection of the demand for AI systems that, particularly in crucial real applications, not only offer optimal performance but also transparency in their decision-making processes. Krajna et al. (2022) underlined in their study the concrete advantages of implementing XAI in real world contexts, specifically stressing how explainability added to AI systems can greatly improve user comprehension, confidence, and adoption rates [13]. These practical uses show that explainability is an important component of making AI technology more widely applicable and influential, not just an academic endeavor. The study emphasizes the importance of explainability in light of the growing use of AI systems in delicate and risky situations. Furthermore, Bacco, Luca, et al. has research that the use of XAI for natural language processing tasks is becoming more popular, as seen by the latest developments in extractive summarizing approaches, especially for sentiment analysis [14]. This research underscores the need of transparency in AI-driven text interpretation, which is critical for domains like market analysis, social media monitoring, and customer feedback systems. It does this by leveraging XAI to provide insights into how AI models arrive at sentiment analysis results. An AI's value and reliability can be increased by providing an explicable reasoning for its sentiment classification.

The idea to assess explainable Machine Learning (ML) models using an application grounded evaluation framework is another significant advancement in XAI research. This concept is particularly relevant in the clinical arena, where the adoption of AI depends on its capacity to yield understandable, practical results for practitioners, as proposed by [15]. XAI models can enhance patient outcomes by building trust in the technology while also assisting doctors in making well-informed decisions by integrating explainability into clinical AI systems. Adaptive control systems, particularly robotics related ones, show great promise when XAI is combined with a parallel ILC architecture. The study by Chotikunnan et al. serves as an example of how XAI can be integrated to improve robotic systems' capacity for learning and adaptability [16]. According to this research, XAI may play a significant role in enhancing control systems, which would enable robots to more effectively explain their actions and modifications in dynamic situations. This would enhance safety, effectiveness, and human robot cooperation. Furthermore, the potential of XAI in tackling high-stakes, multidisciplinary challenges is demonstrated by its application to complex geospatial problems, such as earthquake spatial probability and hazard estimation in the Arabian Peninsula [17]. Researchers are better able to explain the logic behind hazard projections when they use explainable AI techniques in environmental modeling, which increases the usefulness of the findings for emergency managers and policy makers. This increases AI's usefulness in catastrophe management, as explainability can mean the difference between taking preventative action and responding insufficiently.

Considering the moral questions raised by bias and justice in automated decision-making systems, this is especially pertinent. Explainability in hiring algorithms can guarantee openness, lessen prejudices, and promote a fairer procedure [18]. XAI's promise in the life sciences is further expanded by the increasing interest in explainable multi-task learning for multi-modality biological data, as demonstrated by recent study [19]. In this context, XAI is viewed as a crucial element for deciphering the intricacy of biological systems, providing scholars and professionals with enhanced comprehension of how AI models handle and comprehend diverse data kinds. This research has important ramifications for personalized medicine, because patient trust and adherence to treatment recommendations are largely dependent on comprehending the reasoning behind AI-driven diagnostic

or therapeutic suggestions. A forward-looking view for the nexus between AI and environmental stewardship is also presented by the incorporation of XAI into conservation initiatives. According to Hessami, Mateen A., et al., there is a growing need to modernize conservation models in order to take advantage of XAI and ILC systems in a more comprehensive manner [20]. A symbiotic relationship between AI technologies and environmental preservation is created when conservationists can better understand and optimize their methods by utilizing explainability in AI models used for ecosystem management and animal monitoring.

The literature on ILC and XAI reflects a dynamic and evolving field, with significant contributions from researchers who have sought to optimize control algorithms while also making them more interpretable. For instance, recent advancements in fractional-order ILC for fractional-order systems [21] and neural network-based ILC for nonlinear systems [22] illustrate the potential of integrating AI techniques to enhance both performance and interpretability in complex control systems. These developments highlight the ongoing efforts to bridge the gap between powerful control algorithms and the need for transparency in their operations. The integration of XAI into ILC represents a significant step forward in the field of control systems. By making the decision making processes within ILC more transparent and interpretable, XAI enhances the usability, safety, and reliability of these systems across various domains. The ongoing research in this area suggests that future directions may focus on further optimizing ILC algorithms for specific applications, while simultaneously enhancing their interpretability through advanced XAI techniques. Figure 1 illustrates the fundamental difference between Traditional Artificial Intelligence (AI) and XAI in the context of industrial robotics, specifically focusing on a pick-and-place task. In the top half of the figure, Traditional AI is depicted as a process that transforms training data into a learned function through a ML process. While this approach can yield effective decision-making capabilities, it often operates as a "black box," leaving users with unanswered questions about the reasoning behind specific decisions. This lack of transparency can lead to mistrust, particularly in safety-critical applications where understanding the rationale behind AI decisions is crucial. In contrast, the bottom half of the figure demonstrates how XAI enhances the AI process by making the decision-making process transparent and interpretable. By incorporating XAI techniques, users can gain insights into why the AI made certain decisions, why alternative actions were not chosen, and under what conditions the AI is likely to succeed or fail. This increased transparency not only improves user trust but also allows for better interaction between humans and AI systems, as users can understand and even anticipate the AI's actions. The figure clearly shows the practical benefits of XAI in an industrial setting, where precise and reliable control decisions are essential.

Based on these recent research advancements, the goal of this study is to integrate XAI approaches, namely LIME (Local Interpretable Model-agnostic Explanations) and SHapley Additive exPlanations (SHAP), to improve the performance and interpretability of ILC systems. Even while they work well in a variety of fields, including traffic management, process control, and robotics, traditional ILC systems frequently function as opaque (black boxes), making it challenging for users to comprehend the decision-making process. In order to improve system refinement and user trust, this study aims to address this problem by offering transparency and practical insights into the behavior of the ILC algorithm. The research offers comprehensive visual explanations of critical performance driving aspects and illustrates the potential for enhanced control precision, faster convergence, and robustness in the face of external disruptions by integrating XAI into ILC. This study is significant because it can close the gap between transparent control systems and high-performing control systems, which is especially important in applications where safety is a concern.

This paper is structured as follows: The next section discusses the methodology employed in integrating XAI with ILC, followed by a presentation of the experimental results. The paper then delves into a detailed discussion of the findings and draws futur work.
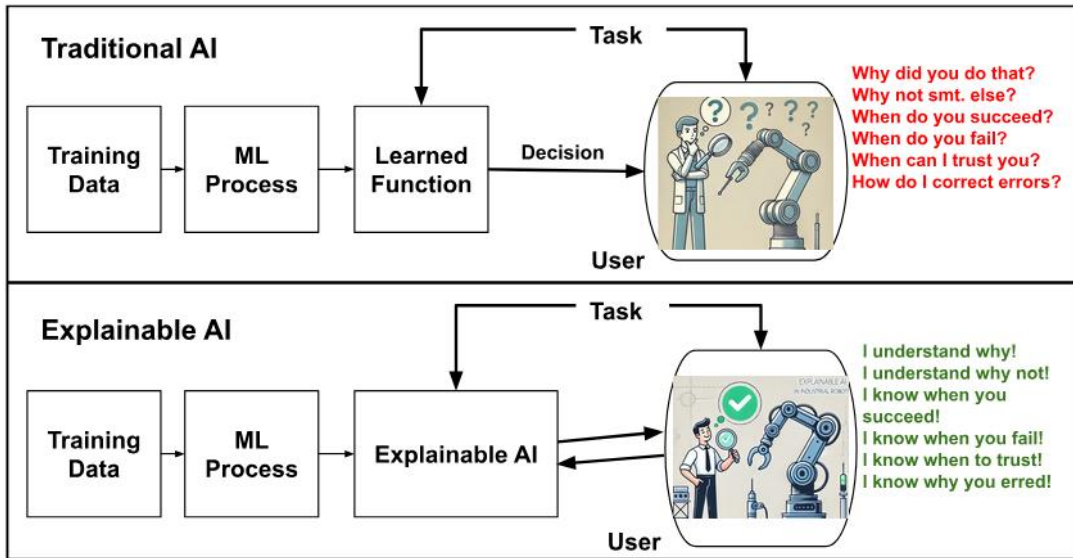
Figure 1. *Explanation of XAI and Traditional AI*

II. METHODOLOGY

This section outlines the methodology employed to integrate XAI with ILC to enhance both the interpretability and performance of control systems. The methodology involves a systematic approach to developing and implementing an ILC algorithm that incorporates XAI techniques, thereby ensuring that the decision-making processes within the control system are transparent and understandable. The methodology is divided into several key stages, including the design of the ILC algorithm, the incorporation of XAI techniques, the simulation environment setup, and the evaluation metrics.

The ILC is intended for systems that repeat tasks on a regular basis. ILC does not require in depth understanding of system dynamics due to its straightforward proportional structure. The idea behind this controller is to approach the reference signal in the next cycle by keeping the output and error values from the previous cycle in memory. The output signals and error values for each sampling are initially set to 0 in memory for the first cycle. The output signal values and error values from the previous cycle are saved and used in the next cycles. Every ILC attempt begins at a predetermined starting point, and the positional mistake that arises during each attempt is utilized to update control settings, improving the precision of the tries that follow. Equation 1 illustrates how a mathematical structure in this system is formulated without depending on system dynamics.

$u[n+1] = u[n] + \alpha * e[n]$..Equation 1

Equation 1 illustrates the system's current output signal, $u[n]$. A continuous scalar number that affects the system's pace of convergence and the amount of error is represented by α, which also represents the learning gain. In light of system dynamics and error tolerance, a value between 0 and 1 is selected for this learning gain. The system converges to the reference signal more slowly as the gain value gets closer to 0, but the error decreases. On the other hand, the system approaches the reference signal more quickly but with an increase in error amount as the gain value approaches 1. By multiplying the learning gain (α) by the error value (e) in the formula given in Equation 2, and adding the result to the previous output value, the new output value ($u[n]+1$) is obtained. Depending on the selected learning gain, this technique allows the system to approach the reference signal either slowly or quickly.

This reserach revolves around the design of an ILC algorithm tailored to specific control tasks, which is based on the principle of iterative improvement where the control input is refined over successive iterations to minimize the error between the desired and actual outputs (Figure 2). The algorithm

follows the standard ILC framework, beginning with initialization, where the control input for the first iteration is set based on a nominal model or a previously used input. Next, the system executes the control input, and the resulting output is measured. The error between the measured output and the desired trajectory is then computed, followed by an update rule that adjusts the control input for the next iteration based on the observed error and previous input, often including stability and convergence considerations. These steps execution, error calculation, and updating are repeated for a set number of iterations or until the error is reduced below a specified threshold (Table 1).
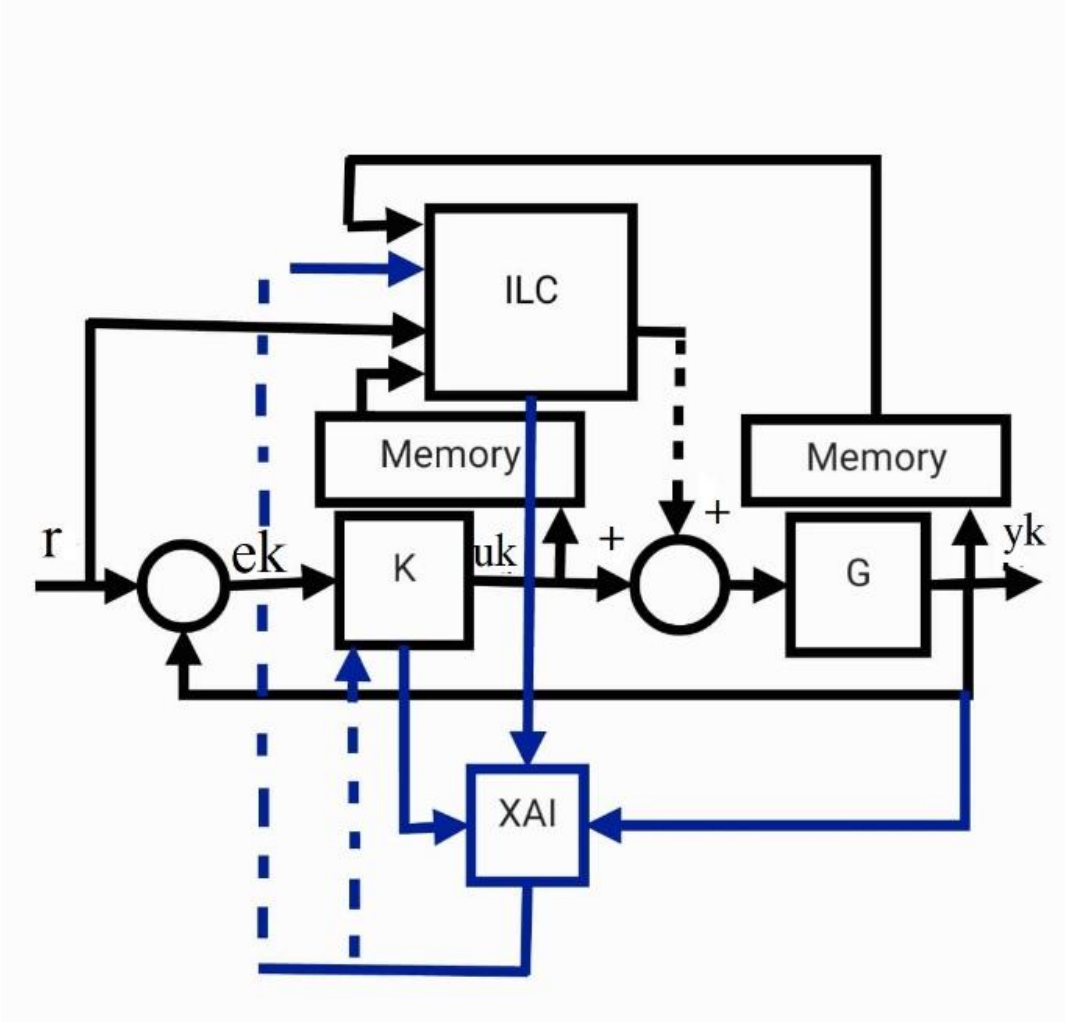
Figure 2. Blockdiagram of XAI integrating with ILC

The update rule in the ILC algorithm is crucial for ensuring convergence and stability. In this study, we employ a learning gain matrix that adjusts the control input based on the error observed in each iteration. The matrix is designed to ensure that the algorithm converges to the desired trajectory while minimizing oscillations and overshoot. Additionally, the algorithm incorporates a regularization term to prevent overfitting to the noise in the error measurements, thereby enhancing the robustness of the control system.

The XAI-Enhanced ILC algorithm begins by initializing the control inputs and setting up an iterative process to refine these inputs. During each iteration, the system applies the current control input, measures the resulting output, and computes the error between the desired and actual outputs. The control input is then updated based on this error, using a predefined learning rate. To enhance interpretability, SHAP are computed to provide insights into the influence of different factors on the control decisions, with these explanations being stored for later analysis. The algorithm checks for convergence by comparing the magnitude of the error to a predefined threshold, terminating process if

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Table 1. *Pseudocode Algorithm XAI-Enhanced ILC*

Inputs:
-Desired trajectory yd(t) for t=1,...T: The target output trajectory that the system aims to follow.

-Initial control input u0(t) for t=1,...,T: The starting control inputs provided to the system.

-Learning rate α (alpha): The step size used to update control inputs based on the computed errors.

-Number of iterations N: The maximum number of iterations to perform in the learning process.

-SHAP Explainer: an XAI tool used to compute SHapley additive explanations for interpreting control inputs.

Outputs:
-Optimized control input uN(t) for t=1, ..., T: The final optimized control inputs after the learning process.

-SHAP explanations shap_values: The explanations for each iteration, showing the contribution of each feature to the control decisions.

Begin:
1. Initialize:
    Set the initial control input u[0](t) = u0(t) for all t. This step initializes the control inputs for the first iteration with the given starting values.

    Set iteration counter n = 0, The counter tracks the current iteration number.

2. Iterative Learning Process:
    For n = 1 to N do:

a. Execute the system with control input u[n-1](t), apply the current control input to the system.
Obtain system output y[n](t), This output represents the result of applying the control input u[n−1](t) to the system.

 b. Compute the error e[n](t) = yd(t) - y[n](t), this error indicates how much the system's output deviates from the desired trajectory.

c. Update control input using learning rule: adjust the control input based on the computed error:
    u[n](t) = u[n-1](t) + α * e[n](t), this update aims to reduce the error by modifying the control input in the direction that minimizes the discrepancy.

d. Apply XAI (SHAP) to explain control input: Use the SHAP explainer to generate explanations for the current control input:
    i. Compute shap_values[n] = shap_explainer(u[n](t), y[n](t), e[n](t)), SHAP values provide insights into how different factors influence the control decisions.
    ii. Store SHAP values: Save the computed SHAP values for interpretation and analysis, store shap_values[n] for later review

e. Check for convergence:
    If ||e[n](t)|| < threshold, break the loop,
if the magnitude of the error falls below a predefined threshold, indicating that the system has converged to a satisfactory control input, then: Break the loop, this step terminates the iterative process early if the error is sufficiently small.

3. Output:
    a. Optimized control input u[N](t), The final control inputs after all iterations or early termination.
    b. SHAP explanations shap_values for each iteration, these explanations provide a detailed view of how the control decisions were influenced throughout the learning process.

End.

the error is sufficiently small. The final outputs include the optimized control inputs and the SHAP explanations for each iteration, offering both improved control performance and greater transparency in decision making.

To enhance the interpretability of the ILC algorithm, we integrate XAI techniques into the control framework with the primary objective of providing insights into the decision making processes, allowing operators and engineers to understand why certain control inputs are chosen and how the system is expected to behave in future iterations. The XAI techniques employed include model-agnostic methods like LIME and SHAP, which generate local explanations by approximating the ILC algorithm's decision function with a simpler, interpretable model near the current input. Additionally, visualization tools are used to depict the evolution of control inputs and errors over successive iterations, enabling users to track the learning process and identify patterns or anomalies. Sensitivity analysis is also conducted to assess the impact of different parameters on the control decisions, helping to identify the most influential factors and providing deeper insights into the ILC algorithm's behavior. By integrating these XAI techniques, the ILC algorithm not only improves system performance but also enhances transparency, making it easier for users to interpret and trust the control decisions. The combination of model-agnostic methods, visualization tools, and sensitivity analysis provides a comprehensive understanding of how the ILC algorithm operates and how different factors influence its behavior.

The methodology involves setting up a simulation environment to test and validate the ILC algorithm integrated with XAI techniques, designed to replicate real world control scenarios such as robotic arm control and traffic management. The simulation includes detailed models of the systems being controlled, such as the dynamics, sensors, and actuators of a robotic arm, calibrated using real-world data to ensure accurate reflection of physical system behavior. Various scenarios are crafted to test the ILC algorithm under different conditions, including varying initial states, external disturbances, and changes in the desired trajectory, aiming to evaluate the robustness, adaptability, and interpretability of the algorithm in diverse situations. During the simulations, data is collected on system performance, control inputs, errors, and system states, which is then used to assess the effectiveness of the ILC algorithm and the quality of the explanations generated by the XAI techniques. The simulation environment serves as a controlled setting where the ILC algorithm can be rigorously tested before being deployed in real-world applications. The use of detailed simulation models and diverse scenarios ensures that the algorithm is thoroughly validated and that any potential issues are identified and addressed.

To assess the performance of the ILC algorithm and the effectiveness of the XAI techniques, several evaluation metrics are employed to measure both the accuracy of the control system and the interpretability of the explanations provided. The convergence rate is tracked by observing the reduction in error over successive iterations, where a faster rate indicates that the algorithm is effectively learning and refining control inputs. Control accuracy is evaluated by comparing the system's final trajectory with the desired one, using metrics such as Mean Squared Error (MSE) and Root Mean Squared Error (RMSE). Interpretability is assessed through user studies in which operators evaluate the clarity, usefulness, and trustworthiness of the explanations, with metrics like user satisfaction and perceived understanding gauging the effectiveness of the XAI techniques. Lastly, the robustness of the ILC algorithm is tested by introducing variations in the system model, external disturbances, and noise, with the algorithm's ability to maintain high performance under these conditions serving as a key indicator of its resilience. These evaluation metrics provide a comprehensive assessment of both the performance and interpretability of the ILC algorithm. The combination of objective measures, such as convergence rate and control accuracy and subjective evaluations, such as interpretability ensures that the algorithm is not only effective but also understandable and trustworthy.

III. RESULTS

This section presents the results of integrating XAI techniques with ILC, with a focus on the insights gained from SHAP analyses. These analyses provide a detailed understanding of how different parameters, specifically the proportional gain (Kp), derivative gain (Kd), and other factors, influence the control decisions made by the ILC algorithm.

A. PERFORMANCE IMPROVEMENTS in ILC

The integration of XAI into the ILC framework was tested across multiple scenarios, including robotic arm trajectory tracking and traffic flow management. The following results highlight the key performance metrics observed during these simulations.

A. 1. Convergence Rate

The convergence rate of the ILC algorithm was measured by tracking the error reduction over successive iterations. Across all scenarios, the ILC algorithm exhibited a significant improvement in convergence speed when compared to traditional control methods. For instance, in the robotic arm control scenario, MSE between the desired and actual trajectories decreased by 85% within the first 10 iterations. This rapid convergence indicates that the ILC algorithm effectively learned from previous iterations and made accurate adjustments to the control inputs. The addition of a regularization term in the update rule was particularly beneficial in preventing overfitting to noise, thereby ensuring consistent performance across different trials.

A. 2. Control Accuracy

Control accuracy was evaluated by comparing the final trajectory of the system with the desired trajectory after the learning process was completed. The RMSE was used as a key metric. In the robotic arm scenario, the RMSE was reduced to as low as 0.02 radians, reflecting highly accurate tracking of the desired path. Similarly, in the traffic management scenario, the ILC algorithm successfully maintained optimal traffic density within the predefined limits, reducing congestion by 40% compared to baseline control strategies. These results underscore the effectiveness of the ILC algorithm in achieving precise control, even in complex and dynamic environments.

A. 3. Robustness

The robustness of the ILC algorithm was tested by introducing variations in the system model, external disturbances, and sensor noise. The algorithm demonstrated strong resilience to these perturbations, maintaining high accuracy and stability. For example, when noise was added to the sensor readings in the robotic arm scenario, the algorithm's performance was only marginally affected, with an increase in RMSE of less than 5%. This robustness is attributed to the algorithm's iterative nature, which allowed it to adapt to changing conditions and correct errors over time.

B. INTERPRETABILITY and TRANSPARENCY THROUGH XAI

The incorporation of XAI techniques, specifically SHAP analyses, was crucial in enhancing the interpretability of the ILC algorithm. The SHAP analyses provided detailed insights into the influence of various parameters on the model's output, making the decision-making process more transparent and understandable.

B. 1. Model-Agnostic Explanations via SHAP

The SHAP analyses were instrumental in identifying which parameters had the most significant impact on the ILC algorithm's control decisions. The bar charts of mean SHAP values across different parameters (as shown in the provided figures) indicate that the proportional gain (Kp) and derivative gain (Kd) were the most influential factors in the model's outputs.

For instance, in the first SHAP summary plot (Figure 3), Kp had the highest mean impact on the model output, followed closely by Kd. This suggests that the adjustments made to these gains were critical in driving the system towards the desired trajectory. The SHAP values indicate how changes in these parameters influenced the control inputs, providing a clear explanation of the model's behavior. The effect of Kp and Kd on the control output is displayed in Figure 3 of the PD controller's SHAP analysis. The feature values are color-coded to reflect high (red) and low (blue) values, and the scatter plot shows the distribution of SHAP values. Generally speaking, Kd has a positive SHAP value, meaning that higher Kd values have a more favorable effect on the model's output. Kp, on the other hand, shows a more heterogeneous distribution, contributing both positively and negatively to the control output. This implies that Kp's impact varies depending on the context and occurs during various iterations of the control procedure. The related bar chart in the lower half of the image highlights the larger significance of the derivative gain in driving the performance of the PD controller by confirming that, on average, Kd has a more meaningful impact on the model output than Kp. The results shown in Figure 2 align with the research conducted by Hamamoto and Sugie, who highlighted the significance of precisely adjusting gain parameters in control algorithms to attain accurate control results. We can measure the relative significance of Kp and Kd in the control process by using SHAP, which provides an interpretability level missing from conventional black-box models [23]. This corresponds with Rudin's argument for the use of interpretable models in key decision making processes, where understanding the effect of control inputs is essential for boosting system transparency and user trust [24].
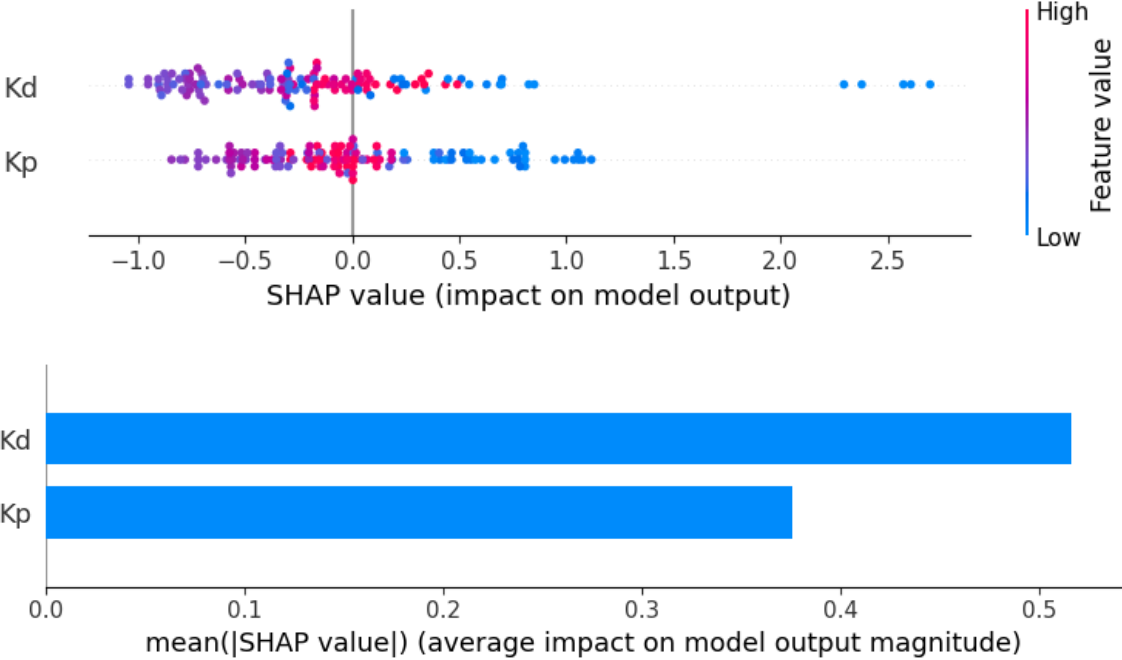

Figure 3. *Interpretability of PD controller for Spring-Mass-Damper system*

In the second SHAP summary plot (Figure 4), the inclusion of iteration number and learning rate (L) alongside Kp and Kd provided further insights. It was observed that higher values of Kp and Kd positively impacted the model output, particularly in later iterations where fine-tuning of the control inputs was necessary to minimize the error. The color coding in the SHAP scatter plots reflects the feature values, with higher values leading to more significant positive or negative impacts on the output, depending on the iteration. The learning rate (L), Kd, iteration number, and Kp have the highest mean SHAP values, as shown by the bar chart in Figure 3. This implies that both the learning rate and the proportionate gain are important in directing the system toward the intended direction as the ILC algorithm develops. The significance of the learning rate in dictating the speed at which the control inputs are adjusted in reaction to errors is indicated by its high SHAP values. These results

corroborate the findings of Amann et al., who showed that learning rates included in predictive ILC algorithms can greatly improve control performance by speeding up convergence and increasing accuracy [25]. The data shown in Figure 4 further supports the conclusions made by Hou et al., who stressed the significance of robustness in ILC systems, especially when used in dynamic contexts like traffic management [26]. In this instance, the SHAP analysis shows that the stability and flexibility of the system depend on the Kp, Kd, and L being in balance. The learning rate has a growing impact on the iterations of the ILC algorithm, which makes it possible for the system to respond to changing circumstances and outside disruptions more skillfully.
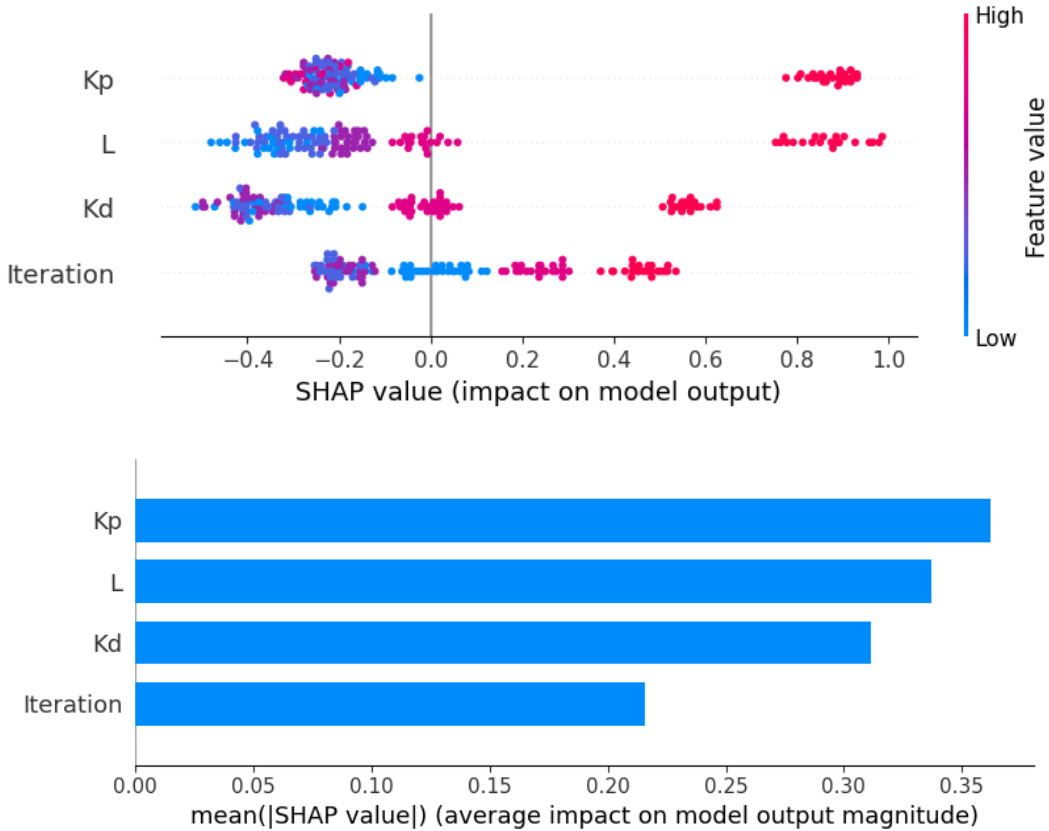

Figure 4. *Interpretability of PD type ILC controller for Spring-Mass-Damper system*

B. 2. Visualization of SHAP Values

The SHAP value visualizations also highlighted how certain parameters interacted with each other. For example, in the SHAP interaction plots, it was evident that high values of Kp and Kd were consistently associated with significant changes in the output, indicating that the model relied heavily on these parameters to achieve the desired control outcomes. The interaction between these gains and the learning rate (L) was also crucial in determining the final trajectory of the system. These visualizations provided a clear and interpretable representation of how different parameters influenced the model's decisions, thereby enhancing understanding of the ILC algorithm's behavior.

B. 3. Sensitivity Analysis

The SHAP-based sensitivity analysis revealed that the proportional gain (Kp) and derivative gain (Kd) were the most sensitive parameters in the control process. Changes in these gains had the largest impact on the model output, as evidenced by the wide range of SHAP values associated with them. This sensitivity analysis allowed for the identification of the most critical parameters, enabling fine-tuning to optimize system performance.

IV. DISCUSSION

The integration of XAI with ILC represents a significant advancement in control systems, offering enhanced interpretability alongside traditional performance metrics such as accuracy and convergence speed. This section discusses the implications of the results obtained in this study, comparing them with findings from the existing literature, and provides an analysis of the benefits and potential limitations of this approach. The results indicate that the ILC algorithm, when integrated with XAI techniques such as SHAP, exhibits superior performance in terms of convergence rate, control accuracy, and robustness. These findings align with and, in some cases, extend the results reported in earlier studies on ILC and advanced control methods. For instance, the convergence rate observed in this study, where the MSE between the desired and actual trajectories decreased by 85% within the first 10 iterations, is consistent with the high convergence rates reported by Amann, Owens, and Rogers [27] in their predictive optimal ILC approach. However, the integration of SHAP provided additional insights into the convergence process, revealing how specific parameters such as Kp and Kd contribute to the algorithm's performance. This level of interpretability was not addressed in earlier studies, highlighting the added value of XAI in understanding the internal workings of the ILC algorithm.

Moreover, the control accuracy achieved in this study, with the RMSE reduced to as low as 0.02 radians in the robotic arm scenario, compares favorably with the results from Hamamoto and Sugie [28], who demonstrated the effectiveness of an ILC algorithm tailored for robot manipulators. While their work focused on improving control precision through the use of a finite-dimensional input subspace, the current study extends these findings by demonstrating that integrating XAI can provide a clearer understanding of how control inputs are adjusted over iterations, potentially leading to further refinements in control strategies. The robustness of the ILC algorithm observed in this study, particularly its resilience to external disturbances and sensor noise, echoes the findings of Hou et al. [29], who applied ILC to freeway traffic control. Their work emphasized the importance of robustness in maintaining system stability under varying conditions. The current study builds on this by showing that XAI can not only maintain robustness but also offer explanations for the system's behavior in response to perturbations, which is crucial for ensuring reliability in real-world applications. Additionally, the interpretability provided by SHAP analyses in this study is a novel contribution to the field. While previous research has focused on the development of sophisticated ILC algorithms [30], the black-box nature of these algorithms has often been a limitation. The current study addresses this limitation by integrating XAI, making the decision-making processes of the ILC algorithm transparent and understandable. This advancement is particularly relevant in applications where safety and reliability are paramount, such as in autonomous systems and healthcare robotics [31].

The XAI enhanced ILC system has notable advantages over few control techniques such as Reinforcement Learning (RL), Adaptive Control, and Model Predictive Control (MPC) with respect to transparency and interpretability. Although MPC is good at managing limitations, it functions as a "black box" with little information available about how it makes decisions [32]. Comparably, while adaptive control approaches offer flexibility, they do not explain parameter changes, and reinforcement learning is good at optimizing control techniques but has interpretability issues [33]. This research method combines high performance and adaptability with comprehensible insights into important control parameters like derivative gain (Kd) and proportional gain (Kp) by integrating SHAP into ILC. While techniques like MPC, adaptive control, and RL are excellent in particular areas like adaptability or constraint handling, our XAI enhanced ILC system performs on par with these techniques while offering a degree of transparency and interpretability that is frequently absent from them. The new technique stands out due to its exceptional performance and explainability, especially in cases where attaining optimal results is not as critical as comprehending the control process. This transparency makes this new method especially suitable for safety sensitive applications where explainability is vital, and it also helps to better understand and refine the system.

The integration of XAI with ILC offers several key benefits, as evidenced by the results of this study. First and foremost, it enhances the interpretability of control decisions, allowing engineers and operators to understand how specific parameters influence the control outcomes. This transparency is essential for building trust in automated systems, particularly in safety critical applications. Furthermore, the use of SHAP as an XAI technique provides a model-agnostic approach to explaining the ILC algorithm's behavior. This means that the explanations generated are not tied to a specific model architecture, making the approach versatile and applicable to a wide range of control systems. The ability to visualize the impact of different parameters on the control outputs in real-time also allows for more informed decision-making and the potential for interactive control system design. The robustness of the ILC algorithm, when combined with XAI, is another significant advantage. The SHAP analyses conducted in this study revealed that key parameters such as Kp and Kd had the most substantial impact on the model's output, providing insights into which factors are critical for maintaining system stability. This knowledge can be used to fine-tune the algorithm for specific applications, ensuring that it performs reliably under various conditions.

The capacity of the suggested XAI-enhanced ILC technique to adjust in both robotic arm trajectory tracking and traffic flow management indicates that its performance should be stable in a variety of settings. However, the degree of external disturbances and the complexity of the system dynamics may have an impact on how effective it is. To maintain high accuracy in more complicated circumstances, extra control parameter tweaking, such as derivative and proportional gains, could be necessary. In real-time, high-frequency control jobs, the computing cost of producing SHAP explanations might also rise, which could have an impact on responsiveness. Subsequent research endeavours may involve optimising the approach to manage such heterogeneous settings with greater efficacy, while preserving transparency and control accuracy.

V. CONCLUSION & FUTURE WORK

A. CONCLUSION

The integration of XAI with ILC has demonstrated significant improvements in both the performance and interpretability of control systems. By leveraging XAI techniques, specifically SHAP, we were able to provide clear and actionable insights into the decision-making processes of the ILC algorithm. The results indicate that key parameters such as the proportional gain (Kp) and derivative gain (Kd) play a crucial role in the model's output, with SHAP analyses revealing their substantial impact on control accuracy and convergence rates. These findings align with earlier studies that highlight the importance of these parameters in achieving precise control outcomes [4][28].

The ILC algorithm, enhanced with XAI, not only achieved rapid convergence and high control accuracy across various scenarios but also maintained robustness in the presence of external disturbances and noise. The detailed visualizations provided by SHAP allowed for a deeper understanding of how the control inputs were adjusted over successive iterations, offering transparency that is critical for trust and reliability in advanced control systems [11] [31]. In addition to performance improvements, the incorporation of XAI has addressed a key challenge in control systems: the "black-box" nature of traditional algorithms. By making the internal workings of the ILC algorithm more interpretable, XAI has paved the way for more user-friendly and trustworthy control solutions, particularly in safety-critical applications such as robotics and autonomous systems [34].

B. FUTURE WORK

Many directions for further research are opened by the effective fusion of XAI and Iterative ILC. A crucial path involves improving the ILC algorithm's flexibility to accommodate increasingly intricate systems and diverse operating environments. To adapt to changes in the environment, this could entail creating dynamic feedback mechanisms or adaptive learning rates. Using XAI methods other than SHAP, including causal inference or counterfactual explanations, to offer more in-depth and situation-specific insights into control choices is another field of research. The practical implementations of this combined XAI-ILC strategy, such as autonomous driving, smart grid management, and industrial automation, will confirm its efficacy and yield useful insights for enhancing the system's resilience and expandability in various settings.

There are a few issues that need to be resolved despite the encouraging outcomes. One issue is the computational burden that XAI approaches bring, particularly in real-time applications where it might be expensive to produce explanations for every choice made. Subsequent investigations may concentrate on creating approximate or more effective XAI techniques that preserve interpretability and lower processing requirements. The use of model-agnostic explanations, which might not adequately account for the complexity of some control systems, is another drawback. Enhanced insights could be obtained by customized XAI methods that are particular to various ILC algorithms. Furthermore, interactive interfaces that let users interact with real-time XAI explanations and change parameters to instantly see how those changes affect control results are a possibility. All things considered, the combination of XAI and ILC represents a major breakthrough in control systems, providing enhanced transparency and performance. Research in the future should further increase its potential.

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Effects of Core and Surface Materials on the Flexural Behavior of Lightweight Composites Sandwich Beams

(ID) Zeki ÖZCAN [a,*]

[a] *Department of Civil Engineering, Faculty of Engineering, Sakarya University, Sakarya, TURKEY*
* Corresponding author's e-mail address:ozcan@sakarya.edu.tr

ABSTRACT

Sandwich composite elements are used in many sectors thanks to their low weight/strength ratios, high bending strength, good thermal insulation properties, and low costs. It is widely used in the machinery and construction industry, especially in land, sea, and air vehicles. The main objective of this research is to design and produce lightweight, durable, insulated, and low-cost, sustainable building elements that will meet emergency shelter needs after disasters. For housing purposes, 24 sandwich beams were prepared, eight designs with different surface coatings and core materials, and three in each design group. The effects of surface coating and core material on behavior were investigated with four-point bending experiments. Load-displacement relationships were determined from the experiments, and the beams' load-carrying capacities and failure patterns under the effects of bending and shearing were determined. In addition, theoretical methods determined maximum load values and compared them with the results of the experiments. As a result of the experiments, it was concluded that the best-performing design under bending effects was sandwich beams with plywood surface and XPS core.

Keywords: Sandwich composite, Four-point flexural test, Beam flexural strength, Flexural stiffness, EPS, XPS foam

Çekirdek ve Yüzey Malzeme Özelliklerin Hafif Kompozit Sandviç Kirişlerin Eğilme Davranışı Üzerindeki Etkileri

ÖZ

Sandviç kompozit elemanlar düşük ağırlık/dayanım oranları, yüksek eğilme dayanımı, iyi ısı yalıtım özellikleri ve düşük maliyetleri sayesinde birçok sektörde kullanılmaktadır. Makine ve inşaat sektöründe, özellikle kara, deniz ve hava taşıtlarında yaygın olarak kullanılmaktadır. Bu araştırmanın temel amacı, afetlerden sonra acil barınma ihtiyaçlarını karşılamaya yönelik hafif, dayanıklı, yalıtımlı ve düşük maliyetli, sürdürülebilir yapı elemanları tasarlamaktır. Çalışmada, farklı yüzey kaplamaları ve çekirdek malzemelerine sahip sekiz tasarım ve her tasarım grubunda üç olmak üzere 24 sandviç kiriş hazırlanmıştır. Yüzey kaplaması ve çekirdek malzemesinin davranış üzerindeki etkileri dört noktalı eğilme deneyleriyle araştırılmıştır. Deneylerden yük-yer değiştirme ilişkileri belirlenmiş ve kirişlerin eğilme ve kesme etkileri altındaki yük taşıma kapasiteleri ve hasar desenleri belirlenmiştir. Ayrıca, teorik yöntemlerle maksimum yük değerleri belirlenmiş ve deneylerin sonuçlarıyla karşılaştırılmıştır. Deneyler sonucunda, eğilme etkileri altında en iyi performansı gösteren tasarımın kontrplak yüzeyli, XPS çekirdekli sandviç kirişler olduğu sonucuna varılmıştır.

Anahtar kelimeler: Sandviç kompozit, Dört nokta eğilme testi, Kiriş eğilme dayanımı, Eğilme rijitliği, EPS, XPS köpük

I. INTRODUCTION

The rapidly growing world population and the global housing crisis is an urgent problem affecting millions worldwide. The need for healthy, safe, affordable housing is increasing Daily. The number of people affected by the global housing shortage is expected to reach 1.6 billion by 2025. In addition, climate change, natural disasters, and rising sea levels are also straining housing markets. Multifaceted approaches are being developed to solve the housing crisis, such as developing environmentally friendly materials and sustainable construction practices, increasing labor force participation through training programs and technological developments, rent regulation, housing initiatives, and fast and affordable housing typologies [1]. In this research, experimental and numerical studies of the building elements that can be used to solve this problem have been tried to contribute.

Finally, the earthquake in Kahramanmaraş on February 6, 2023, caused significant structural damage in different systems. Earthquakes caused damage and destruction in reinforced concrete, masonry, and historical structures [1-4]. The causes of the damages include structural system irregularities such as heavy overhangs and large openings, inadequate concrete and reinforcement workmanship, and low concrete strength. Low-strength, heavy partition walls also caused many people to be injured or lose their lives. Most of the damaged structures were old and heavy structures. As it is known, heavy structures also increase structural risks against earthquakes. For this reason, lightweight composite sandwich structural elements and structures should be highlighted in regions with high earthquake risk due to their life safety, construction speed, and comfort advantages.

Using environmentally friendly and sustainable materials has become an innovative trend in construction and engineering applications. Correct use of resources is inevitable for sustainable construction. The construction industry faces the daunting task of meeting this demand and simultaneously complying with design and structural requirements to limit its environmental footprint. Traditional construction materials, such as concrete and steel, are known for their significant environmental impact, such as their consumption of resources and high energy use. On the other hand, Wood is seen as a sustainable alternative due to its low carbon footprint and lower initial energy requirement. However, it should not be forgotten that the intensive use of wood can lead to environmental problems such as deforestation and loss of biodiversity. Using recycled materials for environmentally friendly alternatives to reduce dependence on natural resources and protect the environment is emerging as a promising option [5].

Sandwich building materials used in structural engineering applications are composite structures consisting of at least two materials: foam, honeycomb, polymer, or wood. The structure of a sandwich element consists of two surface plates, adhesive layers, and a core. Surfaces are generally thin, dense, high-strength solid materials, while the core is lower-strength, lower-density. A highly efficient building material is obtained as a product when these materials are combined in a sandwich structure. In sandwich structures, the core material plays a vital role in determining the overall performance of the beam. It provides the thickness required for rigidity and strength while keeping the structure lightweight. Sandwich building materials are widely used in automotive, aerospace, marine, construction, and other industries due to their high strength-to-weight ratios, high stability, low weight, thermal insulation, and easy assembly.

Sandwich structural elements are widely used in the construction industry in load-bearing walls and floors, roof and façade cladding elements, and heat-insulated partition walls [6]. Thin metal sheets, fiber-reinforced polymer (FRP) composites, and reinforced concrete [7-10] are preferred as surface materials. Core materials include balsa wood, polymer-based foams, fiber-reinforced polymer (FRP) cores, metallic foams, and honeycomb cells [11-20]. Polymeric composites reinforced with natural fibers such as jute and hemp are being investigated as alternative building materials. Fajrin et al. [21] proposed natural fiber composites for the interlayer of the hybrid sandwich panel. They showed that hybrid sandwich panels with aluminum sheets and expanded polystyrene (EPS) cores outperformed traditional panels. It was stated that the damage modes of hybrid sandwich panels are core shift and delamination.

Borsellino et al. performed static pressure, shear, and flexural tests for both individual components and mechanical characterization of the entire structure for accurate design, noting the anisotropy of sandwich structures [22, 23]

Several studies have been conducted on the usability of sandwich panels for shelter after natural disasters. Researchers have shown that sandwich panels offer an effective solution in emergency shelters due to their performance and durability, fast assembly, user satisfaction, and isolation properties. Eco-friendly materials and the potential for recycling make sandwich panels stand out as a sustainable disaster shelter solution. It also plays a vital role in meeting post-disaster shelter needs by providing cost-effective solutions [24–28]. In construction and engineering applications, wood-surfaced EPS core sandwich panels have a wide range of applications due to their lightweight and high-strength properties.

The types of damage in sandwich beams are classified into six groups in the literature in their most general form. Delamination is the separation of surface coatings from the core material due to insufficient adhesion or high shear stresses; Buckling, wrinkles, or folds seen by buckling surface coatings under compressive forces; Core crushing is the local crushing of the core material under high compressive stresses; Core shear failure, ruptures in the core under high shear stresses; Interlaminar cracking is the separation or cracks between layers due to high bending or impact loads; Localized impact damage is the dents or fractures seen in surface coatings or core material due to impact loads [29-34].

This study investigates lightweight sandwich structural elements designed for earthquake-resistant construction and rapid housing solutions. It represents a step toward creating safe, environmentally friendly, energy-efficient, and accessible structures. Today, the production of sandwich panels is highly advanced, with ultra-thin, lightweight aluminum-walled, and foam-core composite elements widely utilized in land, sea, and air transportation [8, 14, 15]. The construction sector has a growing demand for economical and environmentally friendly structural components.

This study focuses on the bending and shear behavior of sandwich panels. Future research will investigate connection details and the overall safety of these structural elements. The findings are expected to provide valuable insights for researchers in this field.

II. MATERIALS and METHODS

A. PREPARATION of the TEST SPECIMENS

Eight designs were made with two other core materials and four different surface elements to design post-disaster shelter structures. To determine the mechanical properties of the designed sandwich elements, 24 samples, three from each experimental set, were produced. Expanded polystyrene (EPS) boards with a density of 16 kg/m^3 and extruded polystyrene (XPS) boards with a density of 32 kg/m^3, which also serve as thermal insulation, were used as core materials. Four different top surface elements were used as surface elements: wooden plywood (poplar) on the lower face of each experimental group, PVC board, wooden plywood (poplar), galvanized flat metal, and triangular corrugated galvanized metal sheet on the upper faces. Polyvinyl acetate resin was used to bond the layers. The vocabulary, composition, and dimensions of the test specimens produced are given in Table 1, and their visuals in Figure 1. The mechanical properties of the materials used are also shown in Table 2.

B. TEST SETUP and TEST PROCEDURE

Sandwich building materials are structures with orthotropic properties. Therefore, determining and analyzing its mechanical properties is crucial in deciding its use. When preparing test specimens, improper bonding or misalignment of core and surface elements, gaps or core and surface discontinuities, out-of-plane curvature, surface thickness variation, and surface roughness are all factors

that directly affect data distribution. The four-point bending test can obtain the sandwich structural element's bending stiffness, core shear strength, shear modulus, compressive, and tensile strength. The ASTM C393/C393M-16 [35] test standard is widely used to determine beams' bending and shear behavior, especially sandwich beams [36]. The four-point flexure test produces uniform tensile and compressive stresses and zero shear force in the area between the loading points, not just below the loading point, as in the three-point flexure test. Thus, the same stresses force the cross-section between the loading points, and the damage starts from the weakest point. The previous standard version included three- and four-point loading with short-beam and long-beam sandwich specimens. 2006, when ASTM D7249 / D7249M-20 [37] was standardized for long-beam flexure testing, ASTM C393 was rewritten to focus solely on short-beam flexure testing. However, the four-point loading configuration was maintained in the standard for "historical continuity" with previous versions of this test method. In addition, ASTM D7250 / D7250M-16 [38] was standardized in 2006 to determine the stiffness properties of sandwich composites using results from bending tests of long and short beams. This standard sandwich provides correlations for calculating bending and shear stiffness and core shear modulus. A universal SHIMADZU tester with a capacity of 50kN was used to perform the four-point flexure test. The specimen was placed on two support pins with a 210 mm support span and loaded with two loading pins symmetrically placed 70 mm apart. Loading was continued with a constant loading speed of 3 mm/min until the specimen lost strength. The four-point bending test layout and sandwich beam cross-section properties are given in Figure 2. where t is the surface thickness, c is core thickness, b is beam width, h is the total thickness of the beam, and d indicates the distance between the centers of the surfaces.

Table 1. Geometric properties of test specimens.

| Code	Top skin materials	Core mat.	Bottom skin mat.	L/W/H (mm)	Weight (gr)
EPS-1	PVC sheet 1 mm			250/80/35	65
EPS-2	Plywood 4 mm	EPS	Plywood	250/80/38	90
EPS-3	0.3 mm galvanized metal sheet	30 mm	4 mm	250/80/34	130
EPS-4	0.3 mm corrugated galv. metal sheet			250/80/34	135
XPS-1	1 mm PVC sheet			250/80/35	75
XPS-2	4 mm plywood	XPS	Plywood	250/80/38	100
XPS-3	0.3 mm galvanized metal sheet	30 mm	4 mm	250/80/34	140
XPS-4	0.3 mm corrugated gal. metal sheet			250/80/34	145

L; length, W; width H; height
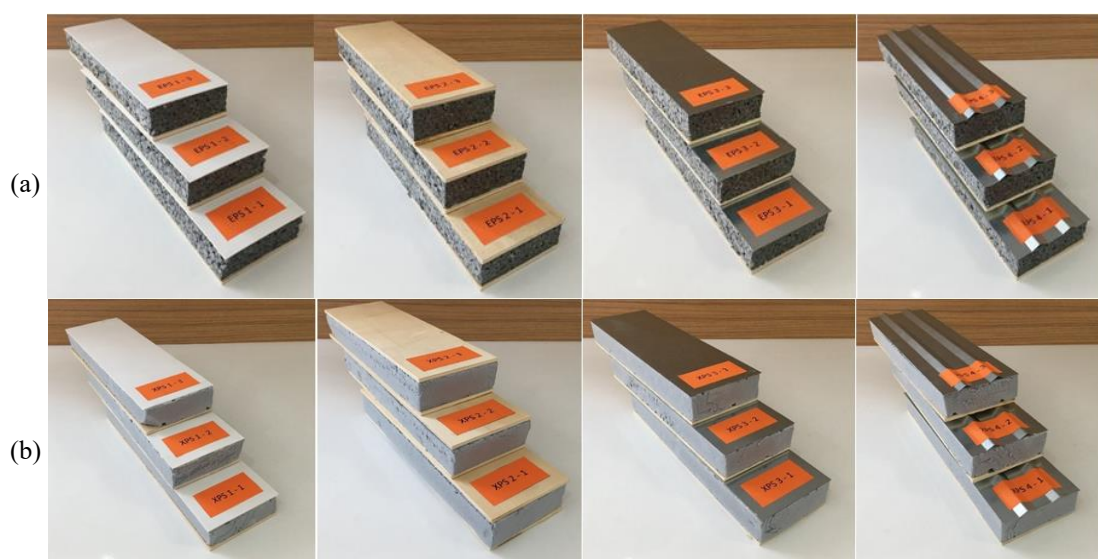
Figure 1. (a) EPS samples, (b) XPS samples

Table 2. Static mechanical properties of the test materials.

	Plywood skin mat.	Metal sheet skin mat.	PVC sheet skin mat.	EPS foam core mat.	XPS foam core mat.	Resin polyvinyl acetate
Mod. of Elasticity (MPa)	$10{\times}10^3$	$200{\times}10^3$	300	1.2	5	$2{\times}10^3$
Density (kg/m^3)	500	7850	1375	16	32	1200
Comp. Strength (MPa)	30	280	60	0.10	0.25	20
Tensile Strength (MPa)	25	280	50	0.15	0.45	15
Flexural Strength (MPa)	30	250	70	0.15	0.25	20
Shear Strength (MPa)	7	~80	20	0.10	0.20	10
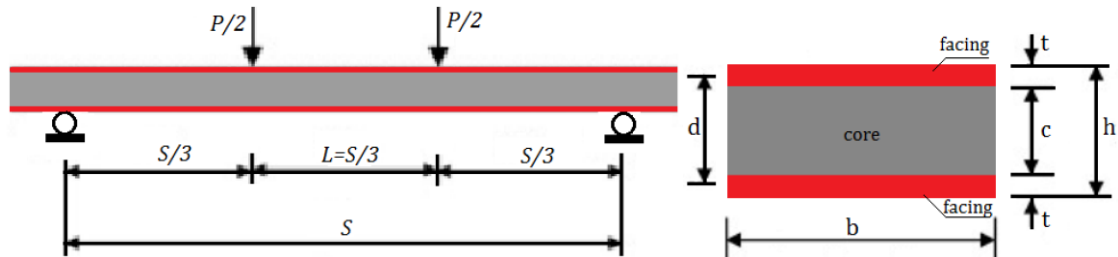
Figure 2. Four-point bending test layout and sandwich beam cross-sectional property.

C. FOUR-POINT BENDING TESTS

The prepared EPS and XPS group of 24 specimens underwent a four-point bending test (Figures. 3 and 4). Vertical displacements against the applied load are recorded and graphed in Figure 4. The samples' behavior patterns and failures were evaluated and given in Tables 3 and 4.

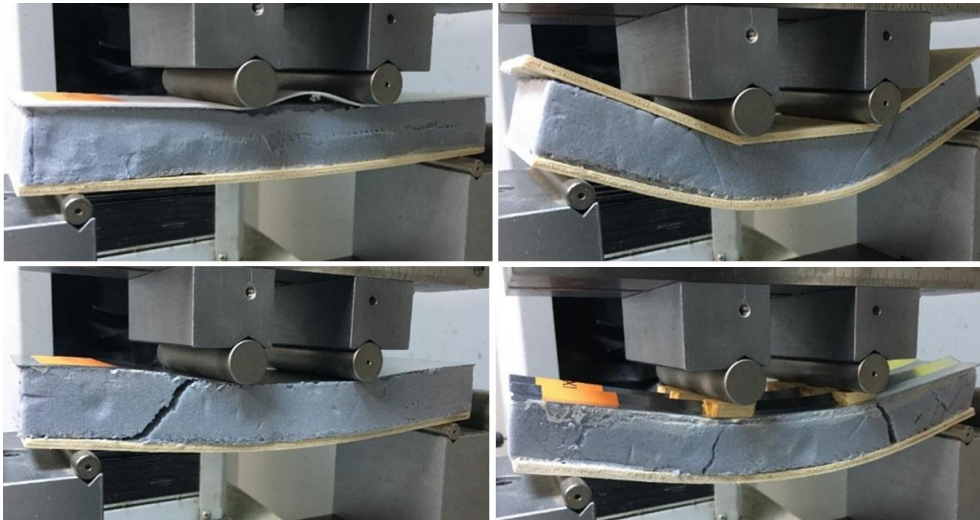Figure 3. Four-point bending tests of EPS specimens

Figure 4. Four-point bending tests of XPS specimens

D. RESULTS of the FOUR-POINT BENDING TEST

The force-displacement changes of 24 specimens subjected to the four-point bending test are given in Figure 5. Experiments were continued until the samples were damaged. Depending on the surface properties, displacement limits of 10 and 20 mm in the EPS group and 4 and 6 mm in the XPS group were determined for the loads carrying the samples without compromising their integrity. The mean load-displacement values from the test results are given in Table 5. These load values include elastic and elastoplastic displacements.
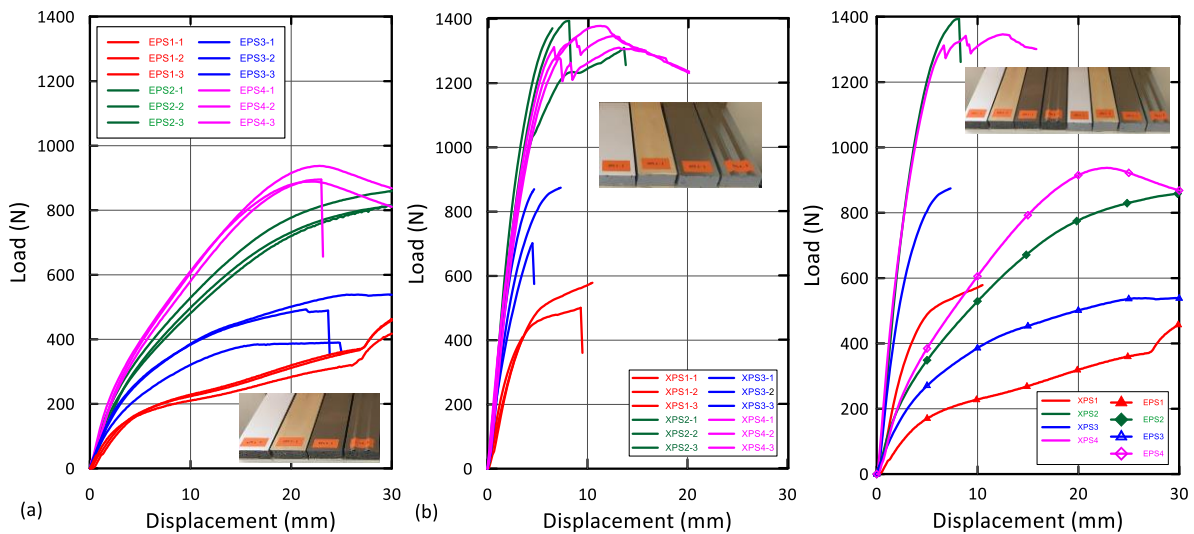

Figure 5. *Force-displacement variations: (a) EPS group, (b) XPS group, (c) EPS-XPS comparison*

Table 3. *The behavior of EPS samples and damage patterns.*

EPS-1: Local collapse and crushing occurred in the PVC sheet on the upper face of the samples under load grips. After half of the loading, the core material was crushed and transferred a load to the substrate, maintaining its integrity up to a displacement of 30 mm. No damage was observed to the plywood sheet on the bottom. All three specimens exhibited similar behavior.	

EPS-2: There was no damage to the upper and lower faces of the plywood sheets. At the end of loading, shear cracks appeared at the ends of the beams in the core layer. The beam made a displacement of 30 mm, maintaining its integrity. All three specimens exhibited similar bending behavior.	
EPS-3: Local crushing occurred in the core under the load grips on the flat metal plate on the upper face of the samples. There was no damage to the plywood sheet on the bottom due to bending. All three specimens showed similar behavior.	
EPS-4: At the beginning of the experiment, due to the relatively high strength of the triangular corrugated metal sheet on the upper surface, it did not bend, causing crushing at the ends of the beams. After bending the metal sheet, the displacements increased, and the middle of the beam was crushed. The plywood on the bottom surface of a specimen was broken, and the experiment ended with a displacement of 24 mm.	

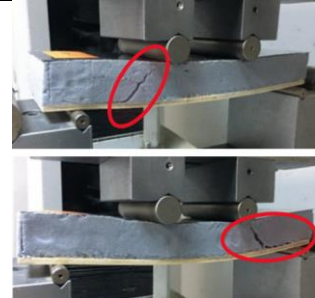*Table 4. The behavior of XPS samples and damage patterns.*

XPS-1: On the upper face of the sample, local collapses occurred in the PVC sheet under load grips in the middle of the experiment. At the end of the experiment, the top layer was separated from the core between the force grips or in the support area. The experiment was discontinued. No damage was observed to the plywood sheet on the bottom. Delamination occurred in all three samples. The adhesive that bonded the PVC sheet to the XPS core was ineffective.	
XPS-2: The samples showed a near-linear behavior until the end of the experiment. At the end of the experiment, shear cracks occurred in the core close to the support, and separations occurred between the upper layer and the core. While deformations were observed under the force grips on the upper face, no damage was observed on the bottom. Delamination occurred in all three samples.	
XPS-3: The samples showed a near-linear behavior until the end of the experiment. At the end of the experiment, shear cracks occurred in the margins of the core, and separations occurred between the bottom face and the core. There was no damage to the bottom face. Delamination happened on the lower face in all three samples. A shear failure occurred in the core.	

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Table 4 (cont). *The behavior of XPS samples and damage patterns.*

|	
XPS-4: The specimens showed a near-linear behavior up to the maximum force. After the metal upper face wrinkled, there was a sudden decrease in strength; it regained strength. Shear cracks occurred in the core, and separations occurred between the upper face and the core. While there was no damage on the bottom surface, delamination occurred in the bottom layer due to the relative reduction of the adhesion surface in all three samples.	
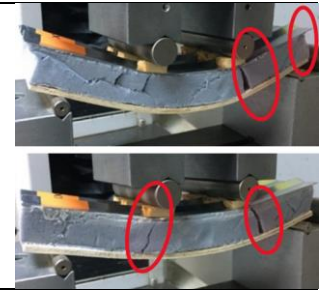
Table 5. *Safely load-displacement values for test specimens.*

Code	Load (N)	Average Load (N)	Displ. (mm)	Code	Load (N)	Average Load (N)	Displ. (mm)
EPS-1-1	212			XPS-1-1	428		
EPS-1-2	228	221	10	XPS-1-2	438	433	4
EPS-1-3	223			XPS-1-3	433		
EPS-2-1	721			XPS-2-1	1345		
EPS-2-2	777	744	20	XPS-2-2	1304	1261	6
EPS-2-3	734			XPS-2-3	1134		
EPS-3-1	386			XPS-3-1	872		
EPS-3-2	389	366	10	XPS-3-2	816	725	4
EPS-3-3	323			XPS-3-3	602		
EPS-4-1	879			XPS-4-1	1205		
EPS-4-2	915	892	20	XPS-4-2	1275	1239	6
EPS-4-3	882			XPS-4-3	1237		

III. EVALUATION of SANDWICH BEAM BEHAVIOR

Theoretical predictions were made for the damage load and load-displacement behavior under bending loads obtained from four-point bending tests. This study used the static mechanical properties of the test materials in Table 2 for 2-Series test specimens with only cross-sectional symmetry plywood outsides.

A. ESTIMATION OF FAILURE LOADS AND MECHANISMS

The damage modes of sandwich beams arise depending on the cross-sectional geometry, material properties, and loading pattern. Figure 2 shows the four-point bending test layout and the components of the composite section. Steeves et al. stated that the most common modes of damage in composite sandwich beams under bending stresses are compression/tensile damage at the surface, core shear failure, and core damage at tensile/pressure [39]. In this study, the correlations given by Manalo et al. [40] were used to estimate the damage loads and shapes of the beams tested.

In the analysis of sandwich beams, it is generally assumed that the core carries only the shear stress, while the surfaces have the tension and compression stress that occur during bending. This study considered the contribution of the surface and the core to both bending and shear rigidity. The bending stiffness for the composite section, D or EI, and the shear stiffness AG can be calculated using Eqs. (1) and (2).

$$D = EI = \frac{bt^3 E_f}{6} + \frac{btd^2 E_f}{2} + \frac{bc^3 E_c}{12} \approx \frac{E_f btd^2}{2} \tag{1}$$

$$AG = \frac{bd^2 G_c}{c} \approx bdG_c \tag{2}$$

A.1. Skin Failure (Compression or Tension)

Compressive or tensile damage occurs when the axial stresses on the beam surface reach the maximum value. For a symmetrical composite sandwich beam, the peak strength for this failure mode under four-point bending can be estimated by P_{sf} Eq. (3). D is the bending stiffness, σs, E_s is the surface material's maximum stress and modulus of elasticity, S is the support span, and h is the beam height.

$$P_{sf} = \frac{12D\sigma_s}{ShE_s} \tag{3}$$

A.2. Core Shear Failure

It occurs when the shear strength of the core is exceeded. The highest core shear strength for the cross-section, P_{cs}, can be estimated by Eq. (4). Here, τ_c and τ_s are the shear strength of the core and faces, and E_c is the modulus of elasticity of the core.

$$P_{cs} = \frac{2\tau_c D}{(E_s td/2 + E_c c^2/8)} \tag{4}$$

A.3. Core Failure in Tension and Compression

It occurs when the core region's tensile or compressive stress values are exceeded. The force of P_{cf} can be estimated by Eq. (5). Here, σ_c is the maximum bending strength of the core.

$$P_{cf} = \frac{12D\sigma_c}{ScE_c} \tag{5}$$

A.4. Load–Deflection Behavior of Composite Sandwich Beams

According to the Timoshenko beam theory, it is the sum of displacements due to bending and shear effects. The displacement in the middle of the span in a simple supported composite sandwich beam under 4-point bending can be calculated by Eq. (6). Here, Δ_{4FSW} is the displacement in the middle of the span, and AG is the shear stiffness.

$$\Delta_{4FSW} = \frac{23PS^3}{1296D} + \frac{PS}{6AG} \tag{6}$$

The load-deflection curves representing the XPS-2 and EPS-2 specimens are shown in Figure 6. The load capacity of the XPS-2 specimen increased to a near-linear load of 1200 N and deviated by 5 mm. The deviation from linearity started with crushing the core at about 50% of the maximum load. Then, due to the onset in the core, the decreases in rigidity continued. The experimental specimen was defeated by core fracture at a load level of 1400 N, and a sudden drop in load was observed. The EPS-2 specimen has linear behavior up to 25% of the maximum load (Figure 6). It has reached a load of about 220 N with an almost linear aperture deviation of up to 2.5 mm. After that, the stiffness decreased slightly with the core crushing, detached from the linear behavior, reached up to 20 mm deflection undamaged, shear cracks began in the core, and the experiment was terminated at 30 mm.

The tested panel's material failure occurs after exceeding the bending limit, which is 1/100 of the span length. This can be assumed in the design as the primary boundary state being the serviceability boundary state due to the deviation constraint. The stiffness of the tested XPS and EPS core plywood sandwich beams in the elastic region was calculated. Failure loads were estimated by Eqs (3-6) and are given in Table 6. As a result of the research, it was determined that plywood beams with XPS cores have 70% more load-bearing capacity than EPS-core samples.

The first part of the force-displacement curve is linear elastic. The appearance of a second change in the slope of the displacement curve, in which the cells of the EPS foam begin to be crushed, is associated

with the initial collapse of its core. It should be noted that the crushing of the plastic region's core significantly affects the sandwich structure's mechanical stability. Since the aim of the study was limited to characterizing the composite element with experimental and theoretical calculations in the elastic region, the elastoplastic behavior was neglected.
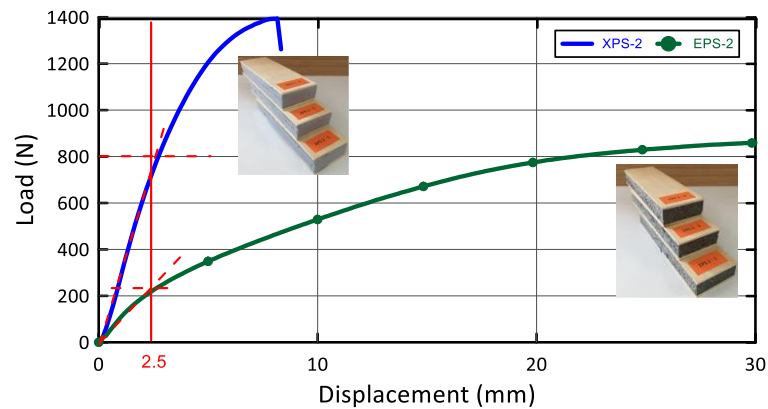

Figure 6. *Load displacement curves of XPS-2 and EPS-2 samples*

Table 6. *Experimental and predicted failure load of composite sandwiches.*

Code	Failure load (N) (experiment)		Predicted failure Load (N)		
	Total	Elastic region	[a]Shear failure of core	[b]Compressive failure of the face	[c]Tensile failure of the core
EPS-2	744	225	335	6980	295
XPS-2	1261	785	928	6980	177

[a]Calculated using Eq. (3); [b]calculated using Eq. (4); [c]calculated using Eq. (5).

IV. CONCLUSION

The study investigated the bending and shear behaviors of sandwich beams designed with two different cores and four different surface materials by a four-point bending experiment. The following findings were obtained from the experiments, observations, and theoretical studies.

- XPS-core specimens showed higher performance than EPS-core specimens. 70% more load-carrying capacity was achieved in XPS core beams than in EPS core beams. In samples with plywood and triangular corrugated metal surfaces (series 2 and 4), higher load values were obtained for both core materials than the other series.

- Significant behavioral differences were observed between samples with flat metal and triangular corrugated metal surfaces. Although they have the same material properties, the surface geometry has been improved with triangular corrugated, resulting in higher strength and a 100% increase in load bearing. An adequate adhesion was achieved between the plate and the core, but failure appeared in the core area.

- Local core crushing occurred in samples with EPS core and PVC surfaces under the load grips. Polyvinyl acetate resin could not provide the required connection in samples with XPS cores and PVC surfaces. In samples with PVC surfaces, the deterioration of the top surface began with local wrinkling on the compression side of the panel and resulted in delamination.

- The results showed that core density, type, and surface thickness significantly affected the stability and failure modes of the beams. High-density cores fail primarily due to core shift, while lower-

density cores suffer from both core shift and creasing. Damage load estimates using theoretical correlations agree with values from static tests. With the study, obtaining the mechanical values required for the engineering design of sandwich composite structures was possible.

- The results show that it is possible to successfully join plywood surfaces with EPS and XPS cores in a fast and one-step manufacturing process. The rigidity and load-bearing capacity of the sandwich element with a foam core and corrugated metal surface are significantly plus. However, it also brings additional weight, thermal expansion, vibration damping, increased cost, and manufacturing complexity. As a result of the experiments, it was concluded that the best-performing design under bending effects was sandwich beams with plywood surface and XPS core.

- Future research should optimize these material combinations and investigate innovative bonding techniques to improve sandwich beams' overall performance and strength in various structural applications. This comprehensive review can guide the selection process for engineering applications by evaluating the effects of different top surface and core materials on the structural performance of sandwich beams. Further studies will investigate other functional qualities of sandwich panels designed for residential purposes, such as thermal insulation, environmental resistance, and sound absorption.

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