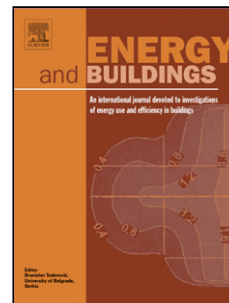


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1 **An Evidence Based Approach To Determining Residential Occupancy and its Role in Demand Response**
2 **Management**

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7

8 **Highlights**

- 9
- 10 • A simple method has been suggested for the estimation of the occupied and unoccupied
11 distributions for different sensors installed in a residential home.
 - 12 • A critical feature of the method is that it does not require extensive recording of ground
13 truth.
 - 14 • Practical occupancy inference through combining Dempster- Shafer's theory of evidence
15 with Hidden Markov Models has been demonstrated on some preliminary data and appears
16 to be a very reasonable approach.
 - 17 • A methodology has been developed that uses this practical occupancy inference for
18 assessing the possibility of demand response for a particular household at different times of
19 day.
 - 20 • The benefits of occupancy to different demand response initiatives have been qualitatively
21 assessed.

21

22

23 **Abstract**

24 This article introduces a methodological approach for analysing time series data from multiple sensors in order
25 to estimate home occupancy. The approach combines the Dempster-Shafer theory, which allows the fusion of
26 'evidence' from multiple sensors, with the Hidden Markov Model. The procedure addresses some of the
27 practicalities of occupancy estimation including the blind estimation of sensor distributions during unoccupied
28 and occupied states, and issues of occupancy inference when some sensors have missing data. The approach is
29 applied to preliminary data from a residential family home on the North Coast of Scotland. Features derived
30 from sensors that monitored electrical power, dew point temperature and indoor CO₂ concentration were
31 fused and the Hidden Markov Model applied to predict the occupancy profile. The approach shown is able to
32 predict daytime occupancy, while effectively handling periods of missing sensor data, according to cross-
33 validation with available ground truth information. Knowledge of occupancy is then fused with consumption
34 behaviour and a simple metric developed to allow the assessment of how likely it is that a household can
35 participate in demand response at different periods during the day. The benefits of demand response
36 initiatives are qualitatively discussed. The approach could be used to assist in the transition towards more
37 active energy citizens, as envisaged by the smart grid.

38

39 **Keywords:** demand response; occupancy; sensor fusion; context-aware; smart meter; Dempster-Shafer;

40 Hidden Markov Model

41

42

43 1. Introduction

44 One of the primary motivations of occupancy detection in buildings has been reduction of energy use whilst
45 maintaining occupant comfort through the control of heating, cooling and ventilation systems (Bing Dong et al
46 2010). However, with the increase of intermittent distributed renewables on the power grid, occupancy
47 sensing provides further opportunities to assist in the flexible management of consumer demand to better
48 match supply (Palensky and Dietrich 2011). Periods of active occupancy (when people are at home and awake)
49 have a high correlation with user demand profiles (Capasso et al n.d., Abu-Sharkh et al 2005), because it is
50 during times of active occupancy that consumers are most likely to be carrying out activities that require the
51 consumption of energy, such as utilising appliances, heating, lighting etc. Torriti (Torriti 2012) considers
52 variation in occupancy and suggests that the extent to which peak loads can be shifted is not only a function of
53 incentive or price, but is largely dependent upon patterns of occupancy, especially for incentivised-based
54 forms of Demand Response (DR). Indeed, for this type of DR, it is only during occupied periods that people
55 have the capacity to modify their energy consumption behaviour. Furthermore, even ‘smart’ actuated DR
56 strategies will benefit from knowledge of occupancy patterns for effective appliance scheduling (Yuce et al
57 2016). At the same time it is also important to take into account user comfort (Saele and Grande 2011, Yuce et
58 al, 2014), which is of course only important during occupied periods (both active and non-active), and is closely
59 linked with energy consumption and peak demand (Strengers 2008, Yuce, 2016). For these reasons the
60 determination of occupancy profiles is important when accessing the potential opportunities for both
61 incentivised and actuated DR.

62

63 One of the main challenges is reliable non-intrusive approaches to determine when occupants leave and arrive
64 in the home and to map the associated patterns of occupancy. Most approaches to occupancy estimation
65 sensing require ground truth training data (e.g. (Lam et al 2009, Han et al 2013)), but this requirement places a
66 barrier to the rapid uptake of DR. To take full advantage of the potential benefits of occupancy sensing there is
67 a need for blind occupancy estimation strategies through inference (Ebadat et al 2015).

68

69 1.1 Occupancy Inference

70 There have been various attempts at inferring occupancy using ubiquitous sensors. One very promising
71 approach is use of electricity data from smart meters or electricity clamps. Statistical approaches classifying
72 this data have been suggested that are able to provide estimates of occupancy with accuracies of more than
73 80% (D Chen et al 2013, Kleiminger et al 2013). Smart meter data could be used to provide this functionality
74 meaning it could be delivered with no extra hardware expense.

75

76 Occupants generate heat, moisture and water vapour and therefore environmental sensors provide a potential
77 approach to inferring occupancy (B Dong and Andrews 2009). One of the most common approaches is to use a
78 CO₂ sensor combined with a detection algorithm (e.g. (Han et al 2013, Wang and Jin 1998, Lam et al 2009). Jin
79 et al. investigate the use of indoor CO₂ concentration to infer occupancy, by modelling the *dynamics* of human

80 generated CO₂ concentration in a room, demonstrating a strong link between the behaviour of CO₂ levels in
81 the room and occupancy. However, changes in ventilation rates caused by opening doors and windows affects
82 the reliability of approaches relying solely on CO₂ measurements (Naghiyev et al 2014).

83

84 Various studies include relative humidity in occupancy estimation (e.g. (Khan et al 2014, Lam et al 2009, Bing
85 Dong et al 2010). The problem with using relative humidity is that it is a function of the air temperature, where
86 a temperature decrease in a building due to thermostat setbacks for example, will result in an increase in the
87 relative humidity because colder air is able to hold less moisture (Lawrence 2010); therefore without
88 considering the effect of temperature, the cause of a change in relative humidity will not be clear.

89

90 Additional sensors that have been used to determine occupancy, often in combination with other sensors
91 include: door sensors (Agarwal et al 2011), acoustic sensors (Bian et al 2005, Scott et al 2005, Jianfeng Chen et
92 al 2005, Hailemariam et al 2011), cameras (Benezeth et al 2011), PIR sensors (Dodier et al 2006, Naghiyev et al
93 2014, Scott et al 2011) and ultrasound (Guo et al 2010). Alternative approaches include the use IT
94 infrastructure: using GPS information from smartphones (Koehler et al 2013), although this requires active
95 participation of the occupants, and a phone (with sufficient battery), which must be carried at all times; and by
96 monitoring MAC and IP addresses (Melfi et al 2011).

97

98 **1.2 Processing Sensor Data**

99 The output from different sensors captures different possible interactions between an occupant and the
100 environment in which they are in (Lam et al 2009). Therefore, by combining multiple sources of data from
101 different sensors, it is possible to exploit information from a range of interactions, and thus to increase
102 occupancy state classification accuracy. For instance, Lam et al. (Lam et al 2009) looked at combining various
103 sensors, including CO₂, relative humidity (RH), PIR and sound. These capture information on the following
104 interactions, respectively: exhalation of CO₂ as the occupant breaths within the space; the occupant respiring
105 and giving off moisture; the occupant moving in the environment; and the occupant making noise while in the
106 space.

107

108 One of the key factors in achieving greater accuracy in occupancy prediction is processing the data in an
109 appropriate way to generate distinguishing features. The following features have been successfully used in
110 occupancy sensing classification problems: moving average (Lam et al 2009, Hailemariam et al 2011), range,
111 standard deviation (D Chen et al 2013), 1st order difference, 2nd order difference (e.g. see (Bing Dong et al
112 2010, Ekwevugbe 2013)). Different features will have stronger and weaker correlations with occupancy, for
113 example, in the study of Lam et al. (2009), which focused on an office space, CO₂ and acoustic parameters
114 were shown to have the strongest correlation out of all the studied variables. Once the best features are
115 established, classification of the feature set can then be carried out.

116

117 **1.3 Classification to determine Occupancy**

118 How sensor information is processed and combined is critically important for the success of the method. For
119 instance, the work by Hailemariam et al. (Hailemariam et al 2011) on combining multiple sensor data using
120 decision trees to predict occupancy, showed that over fitting can occur when combining a large number of
121 sensors, even reducing overall accuracy. Careful selection of the classification technique for the occupancy
122 inference problem is vital.

123

124 The work by Lam et al. (Lam et al 2009) compares three classification methods for multi-sensor data: Support
125 Vector Machine, Neural Networks and Hidden Markov Model (HMM). The HMM classifier was found to be the
126 method that produced a profile that best described occupancy presence. The effectiveness of the HMM for
127 classifying occupancy profiles was confirmed by Kleiminger et al.'s (Kleiminger et al 2013) who compared K-
128 Nearest Neighbour (KNN), Support Vector Machines (SVM), Thresholding (THR) and Hidden Markov Model
129 (HMM) classifiers for predicting occupancy from electricity consumption profiles. The HMM showed the best
130 overall and consistent performance, even without taking into account prior probabilities. This was further
131 demonstrated by Chen et al. (Dong Chen et al 2015). The HMM is a tool for representing probability
132 distributions over a sequence of observations in time series data and they are well known for their applications
133 in pattern recognitions systems (e.g. (Gales and Young 2007, Avilés-Arriaga and Sucar-Sucar 2011, Hu et al
134 1996, Deng and Byrne 2008)), such as in handwriting and speech. One of the major advantages of the HMM
135 compared with other methods, is that it has a time dimension, which takes into account the transition
136 probability between occupied and unoccupied states as a function of the sequence of observed features.

137

138 One of the challenges of using the HMM with a large feature vector is the number of training examples
139 required: the number of parameters needed to describe the model grows exponentially with the number of
140 observation variables or states (Rabiner 1988). Indeed this could become an issue with a large distributed
141 network of sensors to predict occupancy. In order to address this shortcoming, Aviles-Arrianga et al. (Aviles-
142 Arriaga et al 2003) considered the combination of Naïve Bayes classifiers with HMMs. Different evaluations
143 have shown the Naïve Bayes classifier, though simple, to perform well across a variety of domains, even
144 compared to more sophisticated probabilistic classifiers (Langley et al 1992, Michie et al 1994). In this
145 approach, the distribution of observations at a given time, are combined by finding, according to the Naïve
146 Bayes assumption, the product of the likelihoods, giving a joint probability distribution of the given
147 observables being detected (Aviles-Arriaga et al 2003). In a similar way to the HMM, the states classes with the
148 highest probability, best describing the observations can then be found. Aviles-Arriaga et al. have shown the
149 approach to have better performance than the HMM when the number of training examples is small (Ibid)

150

151 A disadvantage of using Naïve Bayes theory for occupancy classification is that it requires the specification of
152 prior class probabilities, which are often unknown. Another disadvantage is its inability to deal with ignorance,
153 i.e. a lack of knowledge regarding sensor data. This might occur, for example, when there is missing data over
154 a given time period (e.g. due to a malfunctioning sensor); the output of this sensor is unknown and therefore
155 there is ignorance around what state this sensor would infer the system is in. A simple method which deals

156 with these shortcomings is the Dempster-Shafer method, often described as a generalisation of Naïve Bayes
157 theory. It is a robust method and has been shown in different instances to perform as well as, or better than
158 the Bayes approach (Challa and Koks 2004).

159

160 This paper is concerned with a study that focuses on the combination of CO₂, electricity and internal dew point
161 temperature data to infer occupancy, two attributes which have independently been shown in other studies to
162 have a strong correlation with occupancy. Occupancy patterns are considered in conjunction with
163 consumption behaviour to provide insights, to enable more effective participation of households in demand
164 response. In the first part, the estimation of observation probability density distributions of sensor values
165 during occupied and unoccupied household states, while lacking concrete ground truth, is addressed.
166 Classification of data is then carried out in an iterative process using HMMs in combination with Dempster-
167 Shafer fusion. Finally, methods of interpreting data are presented and the interplay between occupancy and
168 participation in both behaviour driven and actuated demand response is discussed.

169

170 **2. Methodology**

171 **2.1 Case study building**

172 In order to illustrate the approach of determining the occupancy and considering the interplay between
173 occupancy and demand response, a case study approach was adopted. A well-insulated terrace house in
174 Northern Scotland was used for collecting preliminary data for the study. The property had two storeys, with
175 an overall floor area of 62m². The occupants were a young couple with a child aged two years old.

176

177 **2.2 Data collection**

178 The building was instrumented with voltage clamps on each individual circuit in the house, which included
179 lighting, sockets, fridge-freezer and a washing machine. A CO₂, humidity and temperature sensor was installed
180 upstairs in the open plan kitchen-lounge area. A heat meter was installed to record when domestic hot water
181 was used. Data was recorded at intervals of five minutes. The monitoring period was one month starting on
182 the 1st of May 2015.

183

184 **2.3 Determination of Occupancy**

185 Each of the sensors can be thought of as supplying evidence for and against a space being occupied at any
186 given time interval, t_i . All of the evidence from a chosen cluster of sensors used (in this instance: CO₂, electrical
187 power and dew point temperature) in the time interval can be combined and to determine a probability of
188 occupancy. By considering the probability over a sequence of observations, using an HMM, the hidden
189 occupancy state (occupied or unoccupied) is inferred.

190

191 **2.3.1 Hidden Markov Model**

192 The problem that now needs to be solved is: given a series of sensor values, over time period T , where t_i is a
193 given time interval, determine the most likely series of hidden states (occupied or unoccupied) that caused

194 these sensor outputs. The solution to this is one of the key problems addressed by the HMM. In this work the
 195 *observations* are the continuous values recorded by the sensors, and the *hidden states*, causing the recorded
 196 sensor outputs, are the possible occupancy states of the building (occupied or unoccupied).

197

198 Let the state, s_t , be the occupancy state of the system at time, t_i , with a likelihood of an observation, $p(x|s_t)$,
 199 where x , is a feature vector of continuous values derived from the sensors and i is the number of the time
 200 interval. If $O = x_1 x_2 x_3 \dots x_N$, a sequence of observation vectors, at each time interval, t_i , a new state is
 201 entered. The objective is to determine the hidden state sequence (the occupancy pattern) that caused this
 202 observed sequence of sensor values for time intervals over a time period, T , where $T = N\delta t$ and δt is the time
 203 interval between observation outputs. It is assumed that sensor emissions (observations) of the system are
 204 independent of one another, and depend only on the state of the system at time step t_i . Furthermore, it is
 205 assumed that the state of the system, s_t , at time, t_i , is dependant only on the previous state of the system
 206 $s_{t-\delta t}$, which is known as the Markov assumption and can be written as:

$$p(s_t | s_0, s_1, s_2, \dots, s_{t-1}) = p(s_t | s_{t-\delta t})$$

207 The intuition behind this assumption is that the state at time t_i captures enough of history of the process in
 208 order to reasonably predict the future output.

209

210 The likelihood of a given series of emissions given a series of system states is then given by:

$$p(x_{1:N} | s_{1:N}) = p(s_1) p(x_1 | s_1) \prod_{t=2}^T p(s_t | s_{t-\delta t}) p(x_t | s_t)$$

211 Where $p(s_t | s_{t-\delta t})$ is the transition model (between different states of the system) and $p(x_t | s_t)$ is the
 212 observation emission model. The objective is to determine the hidden states given the data, i.e. to compute
 213 $p(s_t | x_{1:t})$. Implicit in this model is the conditional independence among the attributes (emissions), given the
 214 class (state).

215

216 The elements in the transition matrix assume classical statistical probabilities. However, the emissions model,
 217 $p(x_t | s_t)$, is assumed to be described by a model based on the Dempster-Shafer theory of belief (Ramasso and
 218 Denoeux 2014). This is a formal framework for reasoning that is able to take into account uncertain
 219 information (Shafer 1976). The model is described in the next section (2.3.2).

220

221 2.3.2 A Dempster-Shafer Based Emission Model

222 The Dempster-Shafer theory is a mathematical theory (Shafer 1976) which enables the combination of
 223 multiple pieces of evidence to calculate the belief in support of an event. It offers an alternative to traditional
 224 probabilistic theory for a mathematical representation of uncertainty. In Bayesian theory any evidence not
 225 assigned to a hypothesis is assigned to its negation. However, this might not be true in reality. For instance, if a
 226 particular sensor value has not been seen before it does not necessarily mean in a two state system (occupied
 227 and unoccupied) that one state is totally improbable and the other state is 100% probable, but there remains a
 228 degree of uncertainty associated with which class it belongs to (what state of the system caused it). Another

229 frequently occurring issue in data collection is missing data from a particular sensor. In sensor fusion problems
 230 it is critical that such types of situations are taken into consideration. An important aspect of Dempster-Shafer
 231 theory is the combination of evidence from multiple sources and modelling the conflict between them, with a
 232 way to represent ignorance. In the case of missing sensor data, complete ignorance can be assigned for this
 233 sensor during the affected time periods. Sensor fusion produces two parameters for each hypothesis: the
 234 degree of belief in the hypothesis and the degree of plausibility. The approach has been applied effectively to
 235 sensor fusion (e.g. (Wu et al 2002)). One of the major advantages of this method is that the truth of the
 236 hypothesis is assessed based on the evidence from available working sensors, i.e. evidence is based on current
 237 knowledge. Each sensor will contribute its observation by assigning its belief that the system is in a particular
 238 state. Furthermore, the approach does not assume knowledge of prior probabilities, which is the case with
 239 occupancy in this study.

240

241

242 **Basic concepts**

243 In the Dempster-Shafer theory, the frame of discernment, denoted by ϑ , is a set of all possible mutually
 244 exhaustive events. This represents the set of all choices available to the reasoning scheme, where sources (in
 245 this case sensors) assign evidence (belief) across the frame of discernment.

246

247 Let 2^ϑ represent the set of all subsets of ϑ to which a source of evidence can apply its belief. In this problem ϑ
 248 can be defined as:

$$\vartheta = \{s^0, s^1\}$$

249 Then $2^\vartheta = \{\emptyset, s^0, s^1, \{s^0, s^1\}\}$, the set of all subsets of ϑ . Meaning the state can be either occupied (s^1),
 250 unoccupied (s^0) or unknown ($\{s^0, s^1\}$). \emptyset is the null set.

251

252 Each sensor, will contributed its observation by assigning what is known as a mass function, m , over ϑ . A
 253 probability mass function is defined, also called Basic Belief Assignment (BBA) and it maps how belief is
 254 distributed across the frame, 2^ϑ . It is defined such that it satisfies the following conditions:

255

$$256 \quad \sum_{A \subseteq \vartheta} m(A) = 1 \quad \text{and} \quad m(\emptyset) = 0$$

257

258 This means that belief from an evidence source cannot be assigned to a null hypothesis, and belief from all of
 259 the evidences sources, including any combinations of hypothesis must sum to one. Assigning evidence to
 260 $\{s^0, s^1\}$, which in this case contains all the possible hypothesis (occupied or unoccupied) is an assignment of
 261 ignorance. The subset $A \subseteq \vartheta$ is called a focal set where its mass is non-zero, where A is a given hypothesis. The
 262 mass, $m(A)$, expresses the proportion of all relevant and available evidence in support of the proposition that
 263 A is true, i.e. it represents the 'degree of belief' that there is in A . From mass assignments, the theory allows
 264 the upper and lower bounds of the probability interval to be defined, this interval contains the probability in
 265 the classical sense ($p(A)$), bounded by two non-additive measures called belief, $bel(A)$, and plausibility,

266 $pl(A)$:

$$bel(A) \leq p(A) \leq pl(A)$$

267 Where the belief, $bel(A)$, for a set A , is defined as the sum of all masses of the subset of interest:

$$bel(A) = \sum_{B \subseteq A} m(B)$$

268 Indeed the nature of this system means that $bel(\{s^0, s^1\}) = 1$, meaning that the system must be in either
 269 state s^0 or s^1 and therefore, in this case for occupied and unoccupied states, $m(A) = bel(A)$. It can take a
 270 value ranging from 0 (no evidence) to 1 (certainty). Plausibility can be understood as the weight of evidence
 271 that doesn't contradict hypothesis A . It is a measure of the extent to which the evidence in favour of other
 272 states (not A) leaves room for belief in state A . Belief and plausibility are related such that:

$$pl(A) = 1 - bel(\bar{A})$$

273 Where \bar{A} is the hypothesis 'not A ', e.g. if A is the hypothesis that the home is occupied, \bar{A} is the hypothesis that
 274 it is unoccupied. $bel(\bar{A})$, is therefore the belief that the home is not occupied. The plausibility, $pl(A)$, also
 275 ranges from 0 to 1.

276

277 Dempster's Rule of Combination is a way to combine evidence from independent sources. If $Bel(A)$ and
 278 $Bel(B)$ are two belief functions (for two different sensors) over the same frame of discernment, ϑ , with
 279 probability masses m_1 and m_2 , respectively, the joint mass is defined as:

$$m_{1,2}(C) = m_1 \oplus m_2 = \frac{\sum_{A \cap B = C \neq \emptyset} m_1(A)m_2(B)}{1 - \sum_{A \cap B = \emptyset} m_1(A)m_2(B)}$$

280 The use of Dempster-Shafer theory allows uncertainty to be incorporated into the final decision and allows for
 281 missing sensor data, or when the distribution of the feature data is not fully know. Furthermore, unlike
 282 Bayesian inference no *a priori* knowledge is required to make an inference (Hoffman and Murphy 1993). It
 283 therefore provides a practical method for the fusion of sensor data.

284

285 **Application to fusion of sensor data**

286 The normalised probability density of a feature given the system is in a particular state, $d(s_i^Y | x_i)$, gives
 287 evidence for and against a particular state (occupied or unoccupied), where x_i is the value of the feature, i
 288 indicates the current time step of the system and Y indicates the state of the system is in. $d(s_i^0 | x_i^0)$ is the
 289 degree of evidence allocated to state 0 (unoccupied) for a particular feature x , and $d(s_i^1 | x_i^1)$ is the degree of
 290 evidence allocated to state 1 (occupied). It has been proposed that representing the uncertainty in the current
 291 state of class membership (occupancy level) can be achieved by estimating the distance between the most
 292 plausible class and all others (Zahzah and Serge 1992). This function is designed such that the greater the
 293 difference between the evidence supplied by the two classes, the greater the degree of confidence in the class
 294 membership, and the smaller the difference the greater the *degree of confusion* as to which state the system is
 295 in. In this analysis there are only two classes and therefore the degree of uncertainty was assumed to take the
 296 following simple form:

$$297 \quad \varphi = 1 - |d(s_i^0 | x_i^0) - d(s_i^1 | x_i^1)| \quad \text{where } 0 < d(s_i^Y | x_i^Y) \leq 1 \quad (1)$$

298 For example, if there was absolute certainty in one of the parameters, such that, for example $d(s_i^0|x_i^0) = 1$
 299 and $d(s_i^1|x_i^1) = 0$, then $\varphi = 0$; in this case the system is deterministic. The masses of evidence were assigned
 300 as follows:

$$m_i^Y(s_i) = \frac{d(s_i^Y|x_i^Y)}{(\sum_Y d(s_i^Y|x_i^Y) + \varphi)}$$

301

$$m_i^Y(\theta) = \frac{\varphi}{(\sum_Y d(s_i^Y|x_i^Y) + \varphi)}$$

302

303 so that $\sum_Y m_i^Y(s_i)=1$ (the sum over all possible states) and $m(\theta)$ is the mass assigned to ignorance. It can be
 304 seen that when there is a high degree of confusion between the two states, a large part of the mass of
 305 evidence will be assigned to $m(\theta)$. This would be the case, for example, if there was a high, yet similar degree
 306 of evidence for both hypotheses, or if there was little evidence for either. The definition of φ in this way means
 307 (see Equation 1) that the resulting belief function behaves as a kind of likelihood function taking into account
 308 conflict: the more evidence there is for a particular hypothesis (unoccupied or occupied) and the less evidence
 309 there is against, the greater the belief in the hypothesis, that is the greater the evidential 'likelihood' that the
 310 given hypothesis is true. In essence it gives an indication of the lower limit of the statistical probability that the
 311 hypothesis is true.

312

313 The combined belief mass is taken to be the lower limit of the combined likelihood, describing the emissions
 314 likelihoods, $p(x_t|s_t)$, where x is the feature vector (x_1, x_2, x_3) . Although the combination is in effect an
 315 artificial probabilistic model, the result is equivalent to the classical approach Bayesian approach of combining
 316 likelihoods (Ramasso and Denoeux 2014). The HMM was implemented in Python using the approach
 317 described in (Mann et al 1999). Figure 2 illustrates graphically how the training process operates: at each time
 318 step $p(x_t|s_t)$ is estimated. The Baum-Welch algorithm used to update parameters and finally the Viterbi
 319 algorithm is applied in order to find the most likely state sequence that caused the observations. This gives the
 320 predicted occupancy profile.

321

322 2.3.3. Parameter Learning

323 As is usual in HMM application, full knowledge of $p(s_t|s_{t-\delta t})$, the transition probabilities and $p(x_t|s_t)$, the
 324 emission distributions are not known and need to be determined. In order to maximise the chance of
 325 convergence, initial estimates for the probability density functions of the parameters needs to be made. This
 326 can then be refined with the Baum-Welch algorithm (Rabiner 1988., Baum et al 1970), a particular instance of
 327 the Expectation-Maximum (EM) algorithm.

328

329 2.3.3 Initial Estimation of Observation Probability Density Distributions

330 The first thing to note is that the form of the probability density distributions associated with the different
 331 sensors is often unknown and cannot assumed to follow typical distribution forms, e.g. Gaussian.. The

332 approach taken here is to estimate the probability density distributions using evidence from events to which
 333 we have as a high degree of confidence that they are indicative of human interaction. These are referred to as
 334 switch events. A high degree of confidence can be assigned to the hypothesis that an occupant is present.
 335 Switch events are clearly defined. For example, a switch event might be when a light switch is turned on or off,
 336 or it might be when a hot water tap is turned on or off. If necessary, identification of the best switch events for
 337 households could be inferred through a simple survey. By assuming that for a small period around the switch
 338 event that a person is present, and by considering a large number of switch events over a period of several
 339 weeks, it is possible to build up a picture of the distribution of sensor values for occupied periods. The
 340 distribution of values can then be found for all states (occupied and un-occupied periods), by finding
 341 probability density distribution over all time (taking into account all the available data), $p(s^{\text{all}})$. Finally, using
 342 Bayes theorem, it is possible to estimate the distribution associated with unoccupied periods:

343

344 Bayes theorem states that:

$$345 \quad p(s_i|D) = \frac{p(s_i^Y)p(D|s_i^Y)}{p(s^{\text{all}})} \quad (2)$$

346

347 Where, in terms of this problem: $p(s_i^Y|D)$ is the conditional probability of the system being in occupancy
 348 state, Y , given sensor values D . $p(D|s_i^Y)$ is the conditional probability of observing sensor data values, D ,
 349 given the occupancy state is s_i^Y . It is also known as the likelihood function and expresses how probable the
 350 observed sensor values (D) are, given the particular state the system is in. This is what will be determined for a
 351 set of time periods when the home is occupied. $p(s_i^Y)$ is the prior probability of the system being in the
 352 occupancy state s_i^Y .

353 The denominator in Equation 2 is the normalisation constant, which ensures the posterior distribution is a
 354 valid probability density and integrates to one. It can be expressed with respect to the prior and likelihood
 355 functions:

$$p(s^{\text{all}}) = \int_Y p(s_i)p(D|s_i^Y)ds_i^Y$$

356 For a given observation time window, t_i , with observed data values, D , and when s_i^Y is discrete it can be
 357 simplified to:

$$p(s^{\text{all}}) = \sum_Y^n p(s_i^Y)p(D|s_i^Y)$$

358 Where n is the number of states the system can be in, which in this analysis is two. In other words $p(s_i)$ is the
 359 sum of the *prior* \times *likelihood* for occupied and unoccupied states of the system. If it is assumed that the
 360 *prior* probability of the system being an given state is uniform and the probability of the system being in
 361 either state is equal, then the *prior* probability can be assumed to take a constant value of 0.5. The probability
 362 density distribution of the system being in either state, $p(s_{\text{all}})$, is for each time window, t_i , the sum of
 363 occupied and unoccupied likelihoods, which is known. We therefore have:

$$364 \quad p(s_i^o|D) = \frac{0.5p(D|s_i^o)}{p(s^{\text{all}})}$$

$$365 \quad p(s_i^1|D) = \frac{0.5p(D|s_i^1)}{p(s^{\text{all}})} \quad (3)$$

366 Because the state of the system is jointly exhaustive:

$$p(s_i^0|D) + p(s_i^1|D) = 1$$

367 The likelihood of being unoccupied, $p(D|s_i^0)$, can therefore be estimated from the known likelihood
368 distributions as follows:

$$369 \quad p(D|s_i^0) = 2p(s^{\text{all}}) - p(D|s_i^1) \quad (4)$$

370

371 Application of the method

372 Switch events used for this preliminary study were: (1) lights being turned on and off. This was determined by
373 monitoring the lighting circuits in the home, but could equally well be determined using low cost light sensors;
374 (2) the hot water tap being turned on and off. This was determined using heat meter data, but could equally
375 be determined using low cost thermistors on the hot water supply pipes; (3) electrical appliances being turned
376 on and off. This was determined by monitoring the socket circuits in the home. The switch events were
377 determined by 1) finding the rolling mean (with a 15 minute rolling window), finding the first difference and in
378 the case of sockets, filtering out the differences according to a threshold, in order to remove the changes
379 caused by small, non-descript power loads. The switch events were joined together. Figure 3 shows the count
380 of switch events for each week in the month.

381

382 It was assumed that for a window of 10 minutes either side of the switch event the occupant was present in
383 the home. The occupied distribution for given sensors, $p(D|s^1)$, was found by finding the probability density
384 distribution of values occurring across all these windows. $p(s^{\text{all}})$ was then calculated by considering all the
385 data, inside and outside of the switch event time windows. Finally, $p(D|s^0)$ was estimated using Equation 4.

386

387 The distributions during occupied and unoccupied periods were then found using the described procedure. A
388 useful measure of the how the two distributions differ can be given by:

$$\chi = \frac{\int_{-\infty}^{\infty} |Q(t) - Z(t)| dt}{\int_{-\infty}^{\infty} (Q(t) + Z(t)) dt}$$

389 Where $Q(t)$ and $Z(t)$ are the two probability density distributions. When $Q(t)$ and $Z(t)$ do not overlap and
390 are totally distinct, χ would tend to one, whereas two identical distributions would result in an χ of zero.

391 Figure 4(a) illustrates how χ varies with the change in window size of the time window for CO₂ level, with an
392 expected decrease in the distinctiveness between occupied and unoccupied distributions. The assumption of a
393 window of 10 minutes either side of a switch event can be seen to be reasonable.

394

395 In order to select the most distinctive features, χ was found. Table 1 summaries a range of features explored.
396 The five highest scoring features were selected and used for classification of occupancy in the study. These
397 were, in order of distinctiveness: instantaneous mains feed electrical power, rolling window standard deviation
398 of CO₂, rolling window standard deviation of mains feed, indoor dew point temperature and CO₂

399 concentration.

400

401 Figure 4 (b) to (e) shows the methodology applied to four of the different selected features: (b) instantaneous
402 mains feed electrical power, (c) CO₂ concentration in the home; (d) the rolling window standard deviation of
403 CO₂, (e) internal dew point temperature. The probability density distributions can be used to find an estimate
404 for the likelihood of the system being in either an occupied or an unoccupied state given an observed sensor
405 feature value. The mains feed electrical power use data shows a distinctive difference in distribution between
406 occupied and unoccupied states. However there is still a degree of overlap, implying that it is possible to have
407 low power consumption during occupied times. This is due to the fact that the occupant may be at home but
408 not using electrical devices. The CO₂ sensor used in this study has not been calibrated, resulting in CO₂
409 concentrations being recorded that are outside a realistic range. However, because we are only interested in
410 the relative difference between occupied and unoccupied periods this will not affect the algorithm
411 performance. In fact it illustrates one of the advantages of an approach where distributions are estimated for
412 the installed sensors in a specific household, i.e. the estimation of a realistic and representative probability
413 density distribution for a given attribute as a function of system state. The probability density distributions for
414 CO₂ clearly shows that higher ppm tends to occur during occupied periods, as would be expected. However,
415 the closeness of the curve in parts may be the result of the lag between the room CO₂ concentration and
416 changes in occupancy, such that $p(s^1 | D)$ will contain within the distribution data, unoccupied periods, and
417 vice versa.

418

419 The estimated distributions were used within the HMM to find estimates for the combined probability density
420 distributions.

421

422

423 3. Results and Discussion

424 The described methodology was used to determine the occupancy profile for the trial period, with equal weight
425 given to all the feature vectors in the Dempster-Shafer fusion. The simulation was run to determine occupancy
426 during intervals between the hours of 8am and 11pm, when the occupant was likely to be awake and active.

427 Environmental sensors were not installed in the bedroom and electricity usage is generally low during the night,
428 making night-time occupancy difficult to determine. The detection of sleep patterns could be attempted in
429 further work. Figure 5 gives an example of a predicted occupancy profile for a day during week 1, and Figure 6
430 gives empirically based profiles for two days during the fourth week in May. These are for days for which we
431 have specific knowledge of occupancy that was provided by the household members. This provided some
432 validation of the method. During the first week of May the usual occupants of the property were away and the
433 house was being used by a guest, of which we have little information. In the second week of May the house was
434 empty for most of the week, with someone occasionally coming in for very brief periods. This can be seen in
435 the data, but because of the lack of occupancy presence for the majority of the week, it has not been included in
436 the analysis and discussion. In the third and fourth weeks the family returned. The following discussion is
437 focused mainly around the second half of the month.

438

439 **3.1 Validation of Method**

440 **3.1.1 Sense checking the occupancy profiles**

441 As can be seen from the example profile given in Figure 5, the predicted unoccupied period behaves as one
442 would expect, indicated by the reduction in CO₂ concentration where the mains feed power use falls to a
443 minimum. Notice also that the dew point temperature begins to gradually decrease during the unoccupied
444 period. Notice also that all of the switch events for all three profiles (Figure 5, Figure 6 (a) and (b)), when we
445 have a high degree of confidence that the occupant is in the home, occur within the predicted occupied periods.
446 In addition in the profile in Figure 6(a) there is a considerable amount of missing power data. At this point the
447 calculation of the value of φ (see Equation 1) will go to one, indicating total ignorance of the occupancy state
448 since no information is provided by this sensor. At these times the prediction is based on the evidence provided
449 by the other sensors, illustrating the power of the Dempster-Shafer method.

450

451 **3.1.2 Confirmation against known occupancy behaviour**

452 The occupant was asked to recall patterns of occupancy during the last two weeks in May (Table 2). Although
453 only a limited amount of information has been provided, periods of known unoccupancy were identified during
454 two particular days in the fourth week of May. The predicted profiles for these two days are given in Figure 6.
455 Figure 6(a) shows that the house was predicted to be empty during the late afternoon of the 26th May and Figure
456 6(b) shows the prediction that it was empty for a period during the morning on the 29th of May, which is
457 confirmed by the information provided by the occupants. Encouragingly the time of leaving on the 29th of May
458 is also predicted correctly. This provides some confidence that the predictions of the model do fit with real
459 patterns of occupancy.

460

461 **3.2.3 Comparison with the Harmonised European Time of Use Survey Dataset**

462 The Harmonised European Time of Use Survey (HETUS, 2013), provides 10 minutely data categorised by
463 different activities, location and by a large number of other variables. Aerts et al. (Aerts et al 2014) used
464 hierarchical clustering of occupancy patterns of the 2005 Belgian HETUS time survey and identified seven
465 typical occupancy patterns of residential buildings (which can be summarised as: mostly at home; mostly
466 absent; very short daytime absence; night-time absence; daytime absence; afternoon absence; and short daytime
467 absence). Laarhoven (Laarhoven 2014) explored three examples of the average occupancy patterns discovered
468 by Aerts and assigned plausible, indicative demographic conditions. These were: Couple without children
469 (daytime absence)- occupied and active hours 6am-8am, 6pm-11pm. Retired couple (mostly at home): average
470 active occupancy 8am to 11pm; couple with Children: High occupancy at 8am, decreasing to low occupancy at
471 1pm and increasing to high occupancy by 10pm.

472

473 The HETUS dataset was used to find the mean profile for a household which had a young child between the
474 ages of 1-3, as described by Laarhoven, which is representative of the household that generated the data used in
475 this analysis. The associated profile is given in Figure 7(a). Although this is extracted from Belgium data, the
476 form and shape of the curve is representative of many other European Countries for this variable. Figure 7(b)
477 shows the mean profile calculated on an hourly basis for the second two weeks of May, when the family were

478 living in their home. Notice that the form of the predictive curve does in fact closely follow the shape of the
479 curve extracted from the HETUS dataset. This gives some confidence that the predicted occupancy profile is
480 plausible and in line with what might be expected for this type of household.

481

482

483 **3.2 Occupancy and Demand response**

484 Demand Response (DR) refers to a deliberate intervention, normally by the utility company, to cause a change
485 in the magnitude and shape of user load profiles (Gellings 1993). This might be done through encouraging users
486 through incentives or through direct actuation of energy. Occupancy provides a number of different benefits to
487 the demand response paradigm. Firstly, because occupancy is so closely tied with household energy
488 consumption, understanding occupancy patterns across a large number of dwellings can potentially be used to
489 improve demand forecasting through identifying the periods in different households when high demand is
490 *possible*. Secondly, because it is necessary for an occupant to be present to take part in behavioural based DR,
491 knowing the occupancy patterns, informs when it is *physically possible for an end-user to shift their demand*.
492 Thirdly, combining typical occupancy patterns of individual households with their consumption data over a
493 defined community, allows the identification of households that have the greatest potential to participate in, and
494 make a significant contribution to overall community demand response. These households can then be targeted.
495 Finally, by installing additional technology, it is also possible to remotely actuate loads and achieve load
496 shifting without the need for the occupant to take action. This actuated demand response can be enhanced by
497 knowledge of occupancy patterns, which provides constraints on periods when user comfort must be
498 maintained. It also allows loads to be actuated to bring occupant benefits, e.g. switching selected loads off to
499 avoid wasting energy and increasing end-users bills when the occupant is not at home. These benefits of
500 occupancy to DR will now be further explored.

501

502 **3.3.1 Providing relevant, personalised and timely information to participants**

503 The monitoring of occupancy patterns in a home provides useful information on user behaviour and lifestyle.
504 This will directly and indirectly affect the possibility and willingness of people to respond to information that
505 encourages them to move load to a different time of day. On a basic level occupancy sensing provides
506 information concerning the household routines of the occupant, allowing regular patterns of when they are in,
507 leave, out and return to be identified. With enough data, patterns could be identified over different time scales
508 from individual days of the week, through to monthly and even seasonal patterns of behaviour. Occupancy
509 patterns could also be linked with other data, such as temperature and weather, to improve accuracy when using
510 past patterns to anticipate future occupancy. Knowing patterns of when people are likely to be in and out of their
511 home allows only relevant information, which occupants could conceivably respond to, to be communicated. As
512 a concrete example, if a person normally arrived back from work at 6pm in the evening on a particular day, a
513 mobile message could be sent to them a short while before this habitual event informing them of a DR
514 opportunity, in anticipation of when they return home. On the other hand, if on another day they normally work
515 away from home so that the house is unoccupied, it would allow the prevention of irrelevant communications
516 that could annoy the user. Another way of seeing this is that, occupancy sensing could inform not only the time,
517 but the way opportunities are communicated. For example, a graphical communication interface, while

518 displaying other data, might highlight and give special emphasis to DR possibilities that the occupant is most
519 likely be able to respond to, so that at a quick glance they are brought to their attention. Furthermore, the
520 instantaneous feedback of whether a home is occupied or not, despite what the prediction was, is also very
521 valuable and can be used to inform occupants of immediate opportunities that are now available, while they are
522 at home (even if this is not their typical pattern of occupancy).

523

524 Occupancy sensing data can be combined with other relevant information to provide a richer understanding of
525 occupancy behaviour and allow the relevant tailoring of information. A simple example of this would be
526 combining it with statistics concerning the occupants response to information sent at different times over an
527 extended period, which would allow informed targeting of opportunities they are more likely to be responded to.
528 For instance, this type of analysis might reveal that an occupant tends to respond to DR opportunities in the
529 evenings between 6-8pm, but very rarely in the mornings. An understanding of behavioural response patterns is
530 both beneficial to the occupant, who can take advantage of offered incentives, as well as to the party looking to
531 reliably achieve a shift in peak demand at a specific time of day.

532

533 Another example is combining occupancy behaviour with consumption behaviour at different times of day, in
534 order to make a first assessment of how feasible it is for someone to participate in DR and shift loads, within
535 their existing schedule. For effective DR, one important factor that should be considered is the degree to which
536 both the occupancy and load are elastic with respect to one another. In other words, how easy it is to change
537 occupancy in order to shift a load, or how flexible the loads are, such that when present in the building, the
538 occupant can take advantage of DR opportunities to the greatest effect. In the following, an example of an
539 approach combining occupancy with consumption behaviour to assess this elasticity is suggested, demonstrating
540 the benefit of fusing occupancy information with other data.

541

542 Figure 8 shows a bubble plot of the relationship between occupancy and power consumption at different times
543 of day: on the abscissa is the mean occupancy over the specified time period and on the ordinate is the mean
544 power consumption averaged over the same period. The occupancy prediction and power consumption for the
545 candidate household in this study is averaged over an extended period, in this case the last two weeks of May.
546 The size of the bubble indicates the standard deviation in each parameter. In this example the analysis has been
547 done with a three hour time period; however this can be altered as required. The graph suggests the time of day
548 during which a household would most likely be able to respond to a demand response event. In the case of this
549 example, it can be seen that in the time period 6-9 am, although the likely occupancy is high, demand use is
550 fairly low and the spread of demand is small. This might indicate a regular routine in the morning, perhaps using
551 similar appliances on a daily basis. It is unlikely that this time of day would provide much opportunity for
552 demand response. Compare this with the period 9-12am. The occupancy remains high, with little change in the
553 spread, but the mean load is on average higher with a much more significant spread. This indicates that during
554 this period of the day there is significant variation in the use of appliances and their timing. In this instance
555 analysis of the disaggregated data from the different electrical circuits, indicated that this particular spread was
556 caused by the occupant regularly doing the clothes washing over this time period. However, this is not done on
557 an everyday basis, hence the spread. The high likelihood of occupancy, combined with a high spread in the load,

558 suggests that, if informed in advance, this might be a time during which the household in this study might be
 559 able to contribute to load shifting without significantly altering their behaviour. In contrast, the time period
 560 15:00-18:00 shows a low mean and greater spread in the occupancy. This means there is much less certainty that
 561 the residents will be in the house at this time, and therefore there is a lower probability that they will be able to
 562 respond to a DR opportunity. Furthermore, it appears that when they are in the house at this time their power use
 563 is relatively low. This is unlikely to be the best time of day to request an occupant to shift a load. It is important
 564 to emphasize that this is not definitive, a large financial incentive might indeed cause an occupant to shift load
 565 into this time period, but, what is being argued is that a greater degree of demand response is most likely if it fits
 566 in with an occupants existing patterns of energy use and their daily routines.

567

568 Following on from this, the possibility of demand response (*PDR*) could be defined as follows:

$$569 \quad PDR = \frac{\beta \cdot P_{\text{ow}} \cdot \sigma_{P_{\text{ow}}} \cdot \hat{\Omega}}{(1 + \sigma_{\Omega})} \quad (5)$$

570

571 Where P_{ow} is the mean power used by the occupant during a predefined period averaged over N days of data.
 572 $\sigma_{P_{\text{ow}}}$ is the standard deviation in the power. $\hat{\Omega}$ is the mean occupancy during this period, averaged over a N
 573 days. σ_{Ω} is the standard deviation in the occupancy. β is a social factor that takes a value of between 0 to 1 and
 574 quantifies the willingness of a person to respond, which in this study is considered to take a value of unity, as we
 575 focus primarily on the possibility of someone participating in demand response. The intuition behind this
 576 definition is as follows: the greater the power use during a given period, the greater the potential shiftable load,
 577 and therefore the greater potential to gain from responding to a demand response signal. Furthermore, if an
 578 occupant's everyday routine tends to have a large degree of variation in the load consumption during a specified
 579 period, this may be indicative of there being a high degree of load flexibility. On the other hand, if the same
 580 load is used regularly, at the same time, this will result in only a small standard deviation, implying that it will
 581 require a more dramatic change in occupant behaviour in order to participate. The mean occupancy gives an
 582 indication of whether the person is likely to be at home and so able to respond. Somebody who is almost
 583 always at home during a given period will be more able to respond than someone who is rarely at home. Finally,
 584 the denominator takes into account that the greater the degree of variation in the occupancy, the greater the
 585 uncertainty there is at any given moment in this time period whether there will be an occupant at home and able
 586 to respond. It can be argued that this reduces the likelihood of demand response. *PDR* has been calculated for
 587 each of the time periods in the bubble plot (Figure 8) and the results are given in Table 3; the hypothesis is that
 588 the larger the *PDR* value the greater the practical possibility of DR. In this example it can be seen that the
 589 highest values occur between 9:00-12:00 in the morning and 18:00-21:00 in the evening. On the other hand
 590 between the hours of 15:00-18:00 is when a response would be least expected. These results correspond with the
 591 previous description of the bubble plot.

592

593 Figure 9 illustrates how this system might work in practice. Power use is continually monitored and occupancy
 594 patterns are determined in real time. A decision is made as to whether there is likely to be a DR opportunity
 595 (*PDR*; see Equation 5) in the household based on historical patterns of occupancy and consumption. In this
 596 simplified flow chart a threshold is suggested as a means to make this decision, but other methods of
 597 classification should be explored. Further work also needs to be done to explore occupancy over different time

598 domains. The *PDR* value suggested here also needs further validation of its usefulness in practice, which could
599 be gauged by measuring household load response to communication of DR opportunities given for different
600 time periods throughout the day over an extended period.

601

602

603 **3.3.2 Enhanced actuations**

604 Knowing both typical occupancy patterns and real time information on occupancy can greatly assist
605 automatically actuated demand response by: (1) providing boundaries to the extent that actuations need to
606 maintain users comfort (Lu et al 2010), when they are in the building, while allowing greater flexibility in what
607 can be done when the user is away; (2) providing information to allow demand response to be executed
608 strategically, preventing heat being wasted needlessly, which is important to users who are paying the energy
609 bill; (3) providing windows of opportunities for load shifting in order to meet anticipated user demand (e.g. by
610 ensuring that the home is warm enough when the occupant is at home, but taking advantage of knowledge of the
611 availability of a DR opportunity to do this, or controlling when thermal storage loads are actuated); (4) allowing
612 rapid adaption of actuations to fit with current real time occupancy (e.g. if user is not in, even if predicted to be,
613 the current occupancy situation could be used to inform the decision of what to actuate and whether to actuate.

614

615 An example of how knowledge of occupancy can be used to enhance actuated *DR* is in the control of a
616 household's central heating. Space heating represents one of the largest loads during peak demand hours
617 (during cold periods), and electrically heated homes are therefore prime candidates for participation in demand
618 response (Henze 2005). Marie-Andree et al. (2011), explored controlling the temperature in a well-insulated
619 home (without heat storage), using the thermal envelope and mass of the building to store energy. The goal was
620 the reduction of peak loads during winter periods by controlling a house with electrical space heating equipment
621 without the installation of additional heat storage equipment. The study suggested a 'pre-heat' strategy was an
622 effective approach; using 'envelope thermal storage during off peak hours and setback during peak hours'.
623 Although there is a small increase in overall energy consumption using the pre-heat approach, by reducing peak
624 load and increasing the use of renewables, an overall reduction in GHG emissions is achievable.

625

626 Occupancy sensing is essential for this type of demand response so that the home is not heated unnecessarily,
627 which could be costly over a significant period of time, whilst making the most of available opportunities, and
628 maintaining occupant comfort. Figure 10 gives a suggested strategy of how occupancy sensing could benefit
629 the heating control of a home of this type and allow it to participate in demand response.

630

631 The application of occupancy profiles will greatly enhance the applicability of DR initiatives. However, it does
632 not obviate the need for detailed consideration of desired thermal comfort in determining the DR potential of
633 space heating systems complex (Yuce et al 2014). Various studies have developed indices to quantify the level
634 of thermal comfort (e.g. see (Hoppe 1999, Jendritzky et al. 2012)), which may be useful in development of DR
635 control strategies. For instance, Yuce et al. (Yuce et al.. 2014) have proposed a dynamic neural-network based
636 method to estimate the Predicted Mean Vote (PMV) from sensor data in real-time, one of the most popular
637 thermal comfort indices, while simultaneously predicting energy demand. Combining knowledge of thermal

638 comfort, predicted user energy demand (to achieve a given level of thermal comfort) and occupancy, will
639 facilitate more effective DR control decisions to be made (e.g. see decision box ‘Optimise cost versus comfort’
640 in Figure 10).

641

642

643 **4. Conclusions and Further work**

644 Households of different compositions, have different occupancy profiles determined by lifestyle, demographics
645 and occupations that influence the energy demand in a building for both heating and electricity. In this study a
646 methodology was developed that enables individual household occupancy patterns to be determined using
647 ubiquitous household sensors. The method is an evidence based approach that is able to cope with missing data.
648 The method makes it simple to add additional evidence from other sensors, which could provide richer
649 information on occupant interactions within the home. Importantly, the method required only a minimum
650 amount of prior information on the household since it is self-learning and does not require ground truth data to
651 be collected for every house. As a result the methodology can be more readily scaled. The analysis was applied
652 to preliminary sensor data for a household comprising a child between of two years old. Features were derived
653 from sensors that monitored electrical power, dew point temperature and indoor CO₂ concentration and fused
654 using the Dempster-Shafer method of combining of evidence. A Hidden Markov method was then applied to
655 predict time daytime occupancy profile. The predicted occupancy profile is cross-validated: (1) with ground
656 truth information provided by the household and (2) using a comparison with a typical occupancy profile
657 derived from the Harmonised European Time of Use Survey for a household of a similar demographic to this
658 study. The approach, according to available knowledge of ground truth, is shown be effective, while effectively
659 handling periods of missing sensor data. Further work is required, applying the method across a larger data set,
660 with more ground truth data, to confirm its validity.

661

662 Real time occupancy sensing in the context of DR has been discussed and its benefit both to for user-initiated
663 and actuated load shifting has been suggested. A simple metric, the possibility of DR (*PDR*), was introduced as
664 a means to assess how possible a behavioural response from a given household is. This needs to be applied
665 across a larger dataset in order to assess its usefulness in predicting, across a community, which homes are most
666 likely to be able to participate, and make a contribution to shifting loads to period of peak local renewable
667 generation. This could potentially lead to a simple way through which data from smart meters could be used to
668 assess which homes could most benefit from a dynamic tariff as an incentive to shift energy demand. Indeed,
669 occupancy sensing has been shown to provide contextual information that potentially enables demand response
670 programs to be more effective. The approach could be used to assist in the transition towards more active energy
671 citizens, as envisaged by the smart grid.

672

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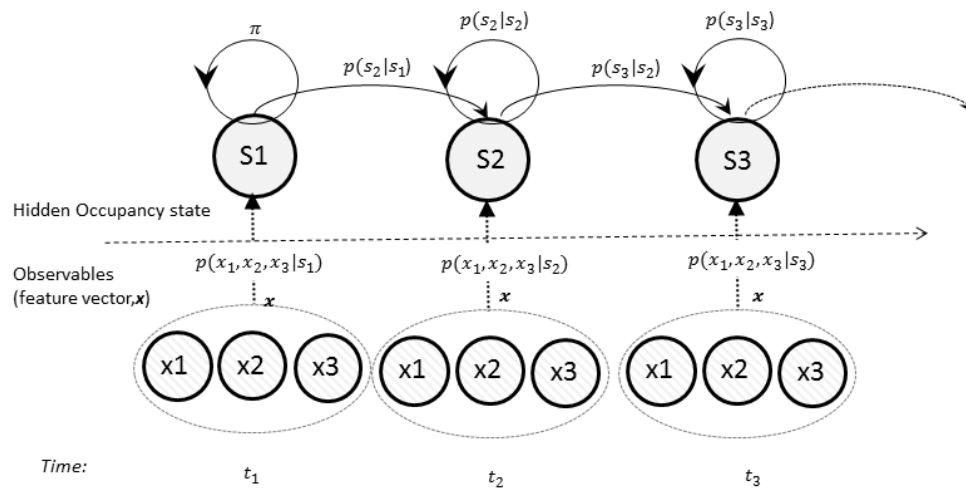
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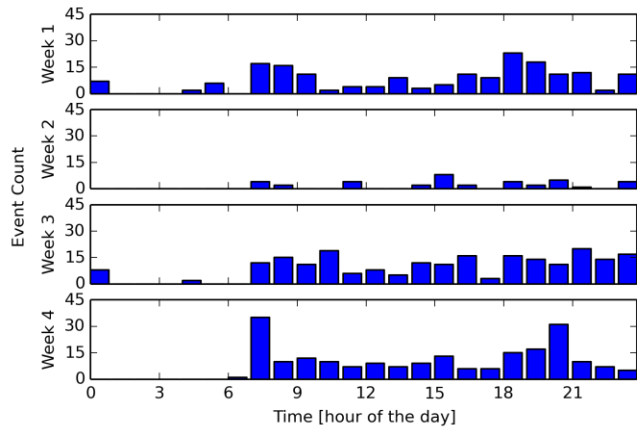
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796 **Figure Captions**

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798 **Figure 2: The combined belief of a given set of features occurring is estimated using the Dempster-Shafer**799 **method.**

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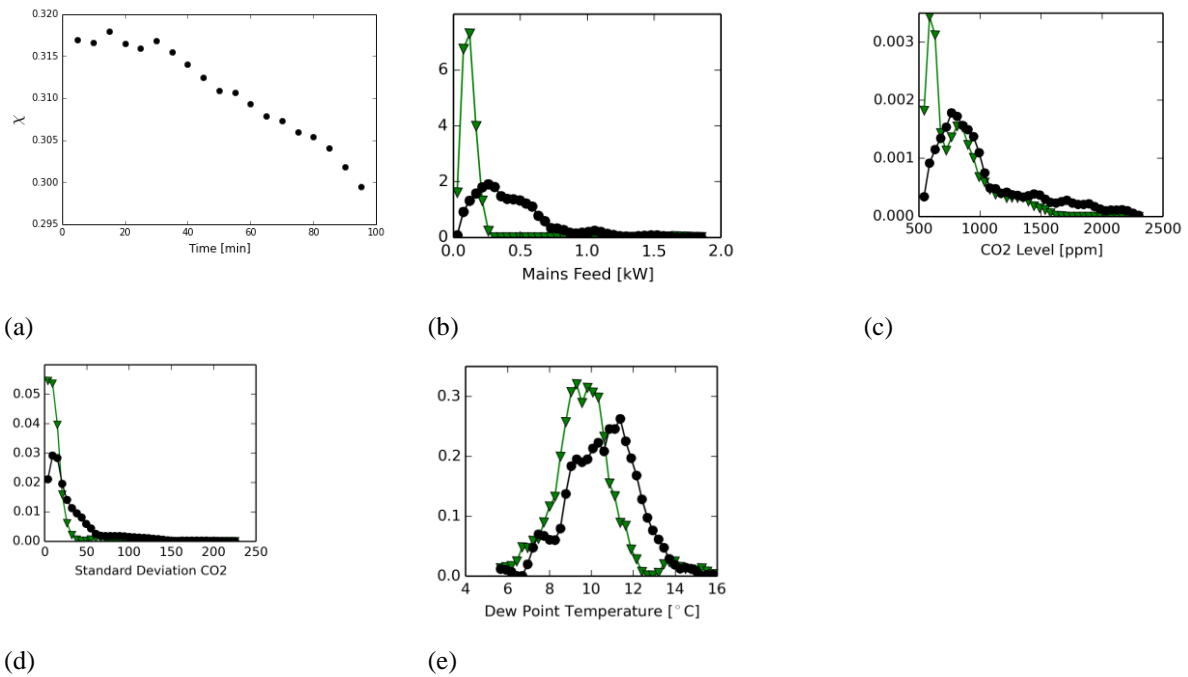


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802 **Figure 3: A count of switch events occurring for each week in May.**

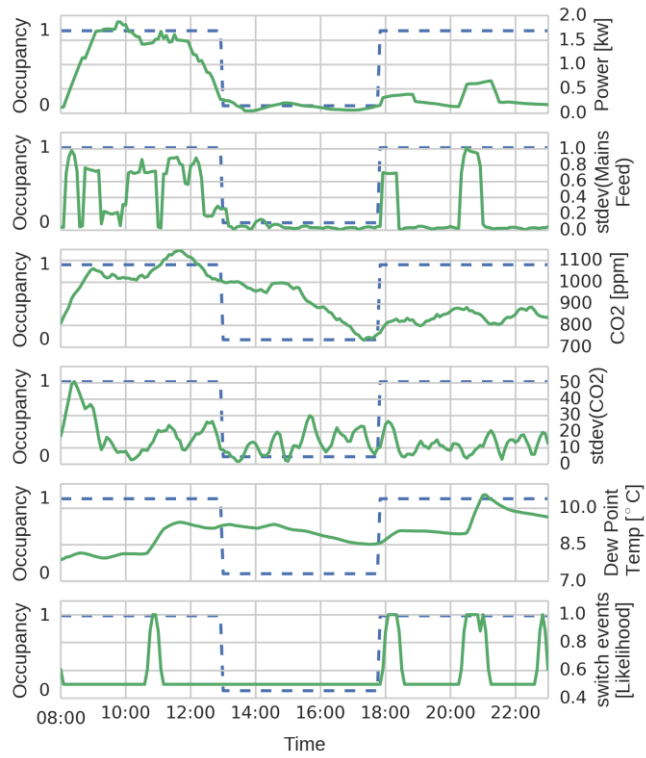
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805 **Figure 4: (a) As the size of the time window, χ , increases, the distinctiveness of the resulting distributions**
 806 **decreases. (b-e) The probability density distributions for four different feature vectors for occupied [V]**
 807 **versus unoccupied [o] periods.**

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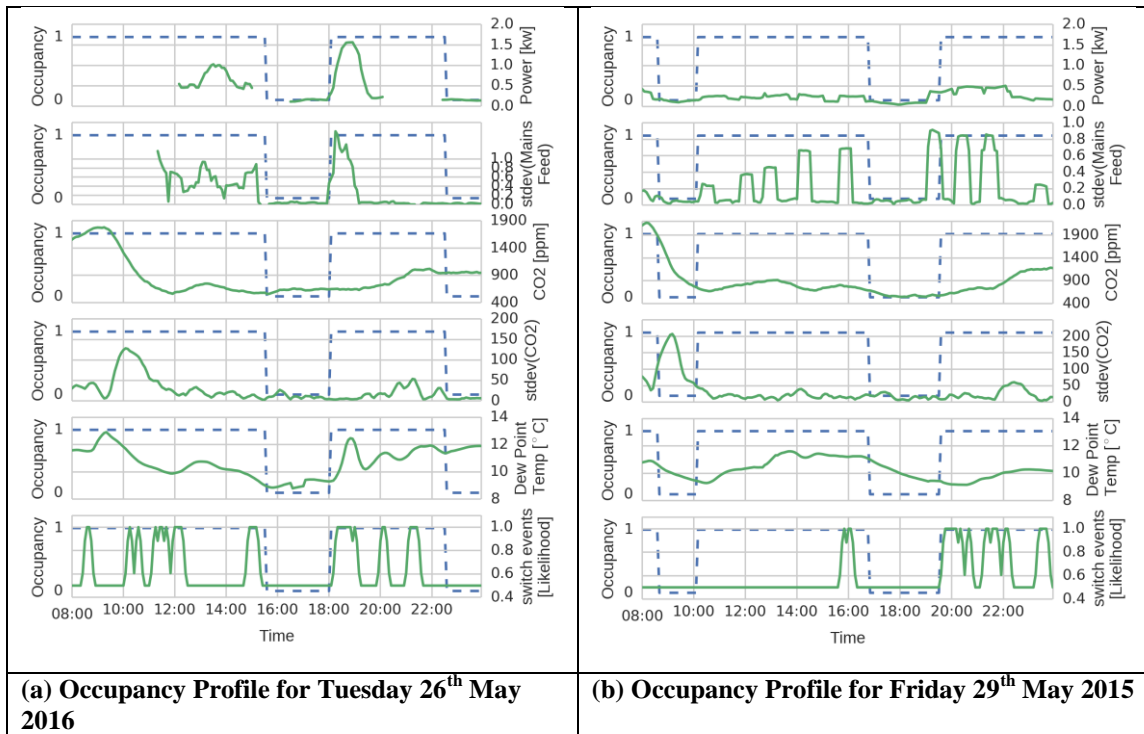


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810 **Figure 5: An example occupancy profile from the first week in May. The dotted line (- - -) gives the predicted**
 811 **occupancy profile.**

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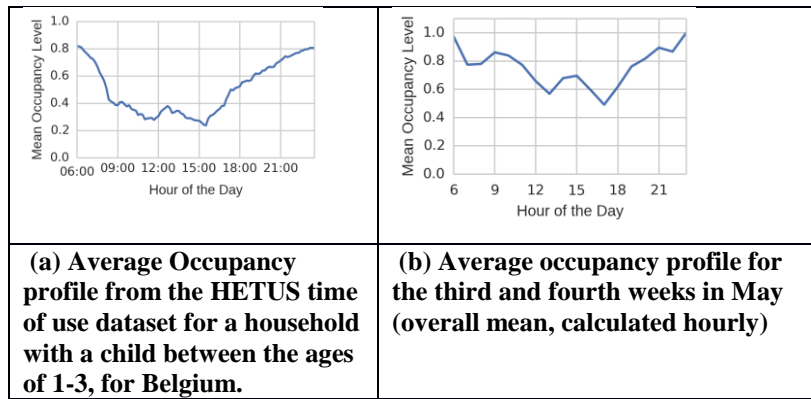
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Figure 6: Occupancy profiles for 2 particular days in the third and fourth weeks of May. The dotted line (- - -) gives the predicted occupancy profile.

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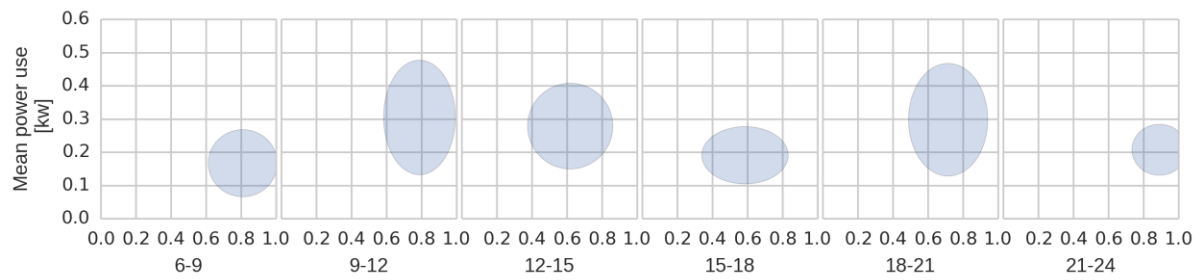


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Figure 7: Average occupancy profiles for beginning and end of May 2015.

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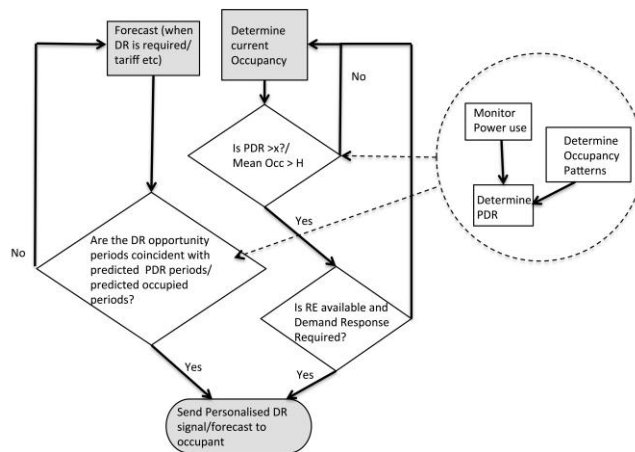


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822 **Figure 8: The relationship between occupancy and power consumption throughout the day in three hour**823 **time blocks from 06:00 until midnight. The abscissa in each time block gives the mean occupancy and**824 **associated standard deviation found by averaging over the last two weeks in May.**

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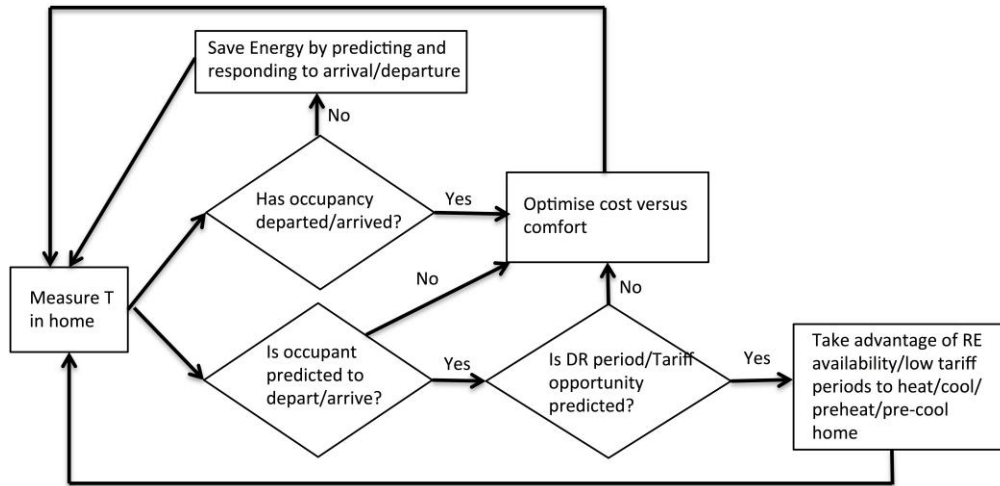
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828 **Figure 9: The role of occupancy in encouraging users to shift loads and actively engage in demand**
 829 **response.**

830



831

832 **Figure 10: How occupancy sensing can contribute to actuated demand response.**

833

834

835 **Tables**836 **Table 1: The distinctiveness of different features between occupied and unoccupied states.**

Feature	χ
Dew point	0.31
Rolling Standard deviation of dew point (over a 30 minute time window)	0.05
First difference of dew point	0.2
Instantaneous power lighting circuit at 5 min intervals [kW]	0.01
Instantaneous power socket circuit at 5 min intervals [kW]	0.12
CO ₂ concentration in the home [ppm]	0.27
Standard deviation of CO ₂ level (over a 30 minute time window)	0.39s
Instantaneous mains feed electrical at 5 min intervals [kW]	0.74
Rolling standard deviation of mains feed (over a 30 minute time window)	0.35
First difference mains feed	0.18

837

838

839 **Table 2: Information provided by the occupant on their occupancy patterns in the second two weeks of May.**

Information Known about Occupant Behaviour during May
For the first week of May the House was sublet
During the second week, the house was empty except someone occasionally coming in.
All of the family were living in the house during the third and fourth weeks in May
The family consists of a young couple with a toddler.
The house was empty for a period on the afternoon of Tuesday 26 th May.
The house was empty for a period on the Morning of Friday 29 th May, leaving the house just before 9am.
The washing machine is rarely put on timer

840

841

842 **Table 3: The Possibility of Demand Response, as defined by Equation 5, for the time periods defined in**
843 **the bubble plot (Figure 8).**

Time Period	PDR
6:00-9:00	0.02
9:00-12:00	0.06
12:00-15:00	0.03
15:00-18:00	0.01
18:00-21:00	0.05
21:00-24:00	0.02

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