Transfer Learning for Process Monitoring using Reflection-Mode Ultrasonic Sensing

3 Authors

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8 Abstract

9 The fourth industrial revolution is set to integrate entire manufacturing processes using industrial 10 digital technologies such as the Internet of Things, Cloud Computing, and machine learning to 11 improve process productivity, efficiency, and sustainability. Sensors collect the real-time data 12 required to optimise manufacturing processes and are therefore a key technology in this 13 transformation. Ultrasonic sensors have benefits of being low-cost, in-line, non-invasive, and able to 14 operate in opaque systems. Supervised machine learning models can correlate ultrasonic sensor 15 data to useful information about the manufacturing materials and processes. However, this requires 16 a reference measurement of the process material to label each data point for model training. 17 Labelled data is often difficult to obtain in factory environments, and so a method of training models 18 without this is desirable. This work compares two domain adaptation methods to transfer models 19 across processes, so that no labelled data is required to accurately monitor a target process. The two 20 method compared are a Single Feature transfer learning approach and Transfer Component Analysis 21 using three features. Ultrasonic waveforms are unique to the sensor used, attachment procedure, 22 and contact pressure. Therefore, only a small number of transferable features are investigated. Two 23 industrially relevant processes were used as case studies: mixing and cleaning of fouling in pipes. A 24 reflection-mode ultrasonic sensing technique was used, which monitors the sound wave reflected 25 from the interface between the vessel wall and process material. Overall, the Single Feature method produced the highest prediction accuracies: up to 96.0 % and 98.4 % to classify the completion of 26 27 mixing and cleaning, respectively; and R² values of up to 0.947 and 0.999 to predict the time 28 remaining until completion. These results highlight the potential of combining ultrasonic 29 measurements with transfer learning techniques to monitor industrial processes. Although, further 30 work is required to study various effects such as changing sensor location between source and target 31 domains.

32 Keywords

Domain adaptation; Transfer learning; Ultrasonic sensors; Machine learning; Industry 4.0; Industrial
 Digital Technologies

35 1 Introduction

36 Whilst the third industrial revolution automated individual unit operations, the fourth industrial

37 revolution (Industry 4.0) will use Industrial Digital Technologies (IDTs) such as the Internet of Things

- to integrate entire manufacturing processes and Machine Learning (ML) to provide automatic
- decision making (Thoben, et al. 2017). This has the potential to improve process productivity, raw

41 (Ghobakhloo 2020). Sensors collect the real-time data required to optimise manufacturing processes 42 making them a key technology in this new industrial revolution. Although sensors exist for basic 43 measurements such as temperature and pressure, there is a need for more advanced techniques 44 that can monitor materials or processes. Active ultrasonic sensors are low-cost, small, operate non-45 invasively, and can characterise opaque systems. Furthermore, they are in-line, meaning they 46 directly measure the process stream without need for manual sampling. Ultrasonic sensors have 47 been used in process manufacturing for food material characterisation (Awad, et al. 2012, Mohd 48 Khairi, et al. 2015); monitoring chemical, pharmaceutical, and biotechnology processes (Henning and 49 Rautenberg 2006); monitoring fermentation (Ojha, et al. 2017); monitoring freezing of food 50 materials (Cheng, et al. 2015); and quality control in the dairy industry including monitoring 51 reactions, process stream rheology, material structural changes, and component concentrations 52 (Mohammadi, et al. 2014). 53 Typically, either first principle models or calibration curves are developed to determine properties

material and energy efficiency, product quality and increase manufacturing sustainability

40

54 from US sensor data. However, these can become complex when the sound waves are transmitted 55 through multiple materials or there is variability in process parameters, e.g. temperature. In 56 contrast, supervised ML models can be trained to correlate sensor data to useful classes 57 (classification) or values (regression) without having to define the complex underlying physical 58 models. ML has been used with US sensors for applications such as monitoring cleaning of dairy 59 fouling in heat exchangers (Wallhäußer, et al. 2014, Wallhäußer, et al. 2013) and classifying 60 weldment flaws (Munir, et al. 2018, Munir, et al. 2019). Previous work from our group has shown 61 that ML and a reflection-mode US sensing technique can be combined to effectively monitor two 62 important processes in manufacturing: mixing and cleaning of fouling in pipes (Bowler, et al. 2020b, 63 Escrig, et al. 2020a, Escrig, et al. 2020b). The reflection-mode sensing technique monitors the sound 64 wave reflected from the vessel wall and process material interface. Mixing is ubiquitous across 65 process manufacturing, being used to combine materials, suspend solids, provide aeration, promote 66 heat and mass transfer, and modify material structure (Bowler, et al. 2020a). Being able to 67 determine when a mixing process is complete would provide the benefit of less over or under mixing 68 of materials and therefore less off-specification product. Furthermore, this would lead to a reduction 69 in raw material and energy use. Additionally, accurate prediction of the time remaining until mixing 70 completion would allow for improved scheduling of batch processes leading to higher productivity. 71 Processing equipment is usually cleaned using automated Clean-in-Place (CIP) systems. Cleaning 72 internal surfaces of processing equipment is important to uphold product quality and optimal 73 operating conditions. However, cleaning comes at a cost of lost production time and consumes a 74 vast amount of water and energy (Eide, et al. 2003, Pettigrew, et al. 2015). CIP processes operate to 75 a standard procedure which is designed to clean the materials which are most difficult to remove 76 from equipment surfaces. This means equipment is often over-cleaned to ensure complete removal 77 of fouling. A sensor able to detect when the cleaning process was complete would eliminate 78 unnecessary resource use and maximise production time.

79 For training, supervised ML models require a reference measurement to label each sensor data point 80 with a class or value, also termed ground truth data. For both case studies, a camera was used to 81 determine the time for mixing or cleaning completion. This methodology is appropriate in a 82 laboratory, but in a factory, reference measurements are seldom available or require considerable 83 time and cost to obtain, presenting a considerable a barrier to widespread US sensor deployment at 84 industrial scale. To overcome this, a technique is required that can train an ML model to be used on 85 a process where no labelled data is available. In addition to transferring models from laboratory to 86 industrial scale, transferring models for use between different US sensors is also desired. US sensors

87 are transducers which convert electrical pulses to pressure waves, and vice versa, through

- 88 piezoelectric elements (Awad, et al. 2012). Owing to differences arising during manufacture of the
- 89 piezoelectric materials, US sensors of the same model can have different central resonant
- 90 frequencies and bandwidth. Additionally, US sensors are typically fastened in place with the contact
- 91 pressure between the sensor and vessel affecting the sound wave transfer across this material
- 92 boundary. Both these factors result in differences in the received US waveform shapes and
- 93 magnitudes. Therefore, each ML model is limited to that individual sensor and attachment method,
- 94 even when monitoring the same process. As such, a method to transfer ML models developed from
- 95 existing US sensor measurements to new sensors which monitor similar processes would prevent
- 96 the need for new labelled data for each sensor deployment.

97 Transfer learning is an area of ML which uses data from a different domain (data distribution) or task 98 (the prediction being made) to reduce the labelling burden of the target domain or task (Pan and 99 Yang 2010). For example, Zhu et al. (2021) recently used transfer learning by fine-tuning a pre-100 trained Convolutional Neural Network (CNN) to classify thyroid and breast lesions in ultrasound 101 images, and Alguri et al. (2021) used numerical simulations and dictionary learning to produce 102 ultrasonic guided wave baselines for damage visualisations in test materials. For a similar task, an ML 103 model trained on source domain data and used to predict on the target domain data will perform 104 poorly if the data distributions between the two domains are different. Domain adaptation is a 105 subcategory of transfer learning which alters how an ML model trains on source domain data so that 106 it also predicts accurately on the target domain data for a similar task (Kouw and Loog 2019). Several 107 review articles covering aspects of domain adaptation are available to the interested reader: Patel et 108 al. (2015), Csurka (2017), Wang and Deng (2018), Pan and Yang (2010), Weiss et al (2016). Heimann 109 et al. (2014) used instance weighting to overcome the differences in feature space density between 110 synthetic and real data for ultrasound transducer localisation in X-ray fluoroscopy. After applying 111 principal component analysis on features extracted from radiofrequency ultrasound signals or B-112 mode images together, Azizi et al. (2017) used a deep belief network to minimise the divergence 113 between the feature distributions of the two sensing modalities for an unlabelled dataset. Then a 114 labelled dataset was passed through the pre-trained domain adaptation pipeline and a support 115 vector machine was trained to classify the data instances. For application in foetal ultrasound 116 imaging, Meng et al. (2021) utilised mutual information minimisation to disentangle categorical 117 features and domain features, and used feature clustering to align categorical features from both 118 domains. For ultrasonic well logging images, Zhang et al. 2021 used an adversarial method to train 119 an autoencoder to fool a discriminator in being able to distinguish whether the training instance 120 originated from the source or target domains. Gao et al. (2021) minimised the maximum mean 121 discrepancy distance metric for domain adaptation between microseismic and pulse-echo data for 122 ultrasonic logging. These works either use convolutional layers, or, in the case of Azizi et al. (2017), 123 established feature extraction methodologies. However, in this work, the differences in transducer 124 construction and attachment, as previously outlined, means that few US waveform features will 125 follow the same process trajectory in both the source and target domains. Therefore, this work 126 focuses on investigating methods to extract features which transfer across domains.

This work focuses on transfer learning to an unlabelled target domain using domain adaptation of US sensor data for the two aforementioned case studies: mixing and cleaning of fouling in pipe test sections. Two domain adaptation techniques which transfer a small set of features across domains are compared: a Single Feature (SF) method and Transfer Component Analysis (TCA) using three features. The SF method uses the energy of the US waveform, a physical measurement of the acoustic impedance material being monitored. In contrast, 42 waveform features evaluating the shape of the US waveform are provided to the TCA and three transfer components are produced.

134 2 Methodology

135 2.1 Ultrasonic sensors

136 In this work, the US sensors were used in pulse-echo mode where they transmit a sound wave into 137 the system and receive the returning waves. The received sound waves have reflected from material interfaces approximately perpendicular to the initial wave's direction of travel. The reflected sound 138 139 wave of interest is that reflected from the interface between the vessel and the process material. 140 The magnitude of this reflected sound wave is proportional to the difference in acoustic impedance 141 between these two neighbouring materials (McClements 1995). This monitoring technique requires 142 no transmission of the sound wave through the process material being characterised. This is 143 beneficial as, in a factory setting, process streams usually contain many components such as 144 particles, bubbles or other heterogeneities which cause scattering, reflection and attenuation of the 145 transmitted sound wave. This makes through-transmission methods impractical without higher 146 power, and subsequently higher cost, transducers.

147 2.2 Mixing case study

148 Honey-water blending is used as a case study to evaluate these domain adaptation techniques. Full 149 details of the experimental methodology are provided in Bowler et al. (2020b). Two transducers (5 150 MHz resonance, M1057, Olympus) were externally mounted to a 250 ml glass mixing vessel. An 151 overhead stirrer was used to stir the mixture. As honey is miscible in water, the US sensors monitor 152 the change in component concentration at the sensor measurement area as homogeneity develops. 153 One sensor was attached in the centre of the vessel base (Central sensor) and another was attached 154 approximately 2 cm offset from the centre (Non-Central sensor). The experimental equipment is 155 depicted in Figure 1a. A US box (Lecoeur Electronique) was used to excite the transducers and 156 digitise the received sound waves. A temperature sensor was attached to the base of the vessel and 157 connected to a PT-104 Data Logger (Pico Technology) to monitor the temperature local to the 158 sensors. US signals were acquired continuously from each probe for 1 s. On average, two US 159 waveforms were recorded during this 1 s interval. The acquired waveforms were averaged to reduce 160 the impact of signal noise. An example of the received US waveforms for a non-mixed and fully 161 mixed system are provided in Figure 1b. Two different volumes of pure clear honey were used for 162 the experiments: 20 ml and 30 ml. 200 ml tap water was used for all runs. The impeller speed was 163 set to either 200 or 250 rpm. These four parameter permutations were repeated three times whilst 164 varying the laboratory thermostat set point, producing a set of 12 runs across a range of 165 temperatures. The ground truth data for ML model development was obtained by filming the 166 mixing process with a camera to determine the time when the honey had fully dissolved. This 167 experimental procedure was followed on two different days to produce two datasets consisting of 12 runs each. Between the two sets of experiments, the sensors were removed and reattached 168 169 meaning that their contact and precise location were not the same. This reattachment of the sensors 170 produces a change in the reflected waveforms, necessitating domain adaptation to perform transfer 171 learning across the two datasets. Mixing Dataset 1 had a temperature variation of 19.3 °C to 22.1 °C. 172 Mixing Dataset 2 had a temperature variation of 19.8 °C to 21.2 °C.



- 173 Figure 1. (a) A diagram of the equipment for the mixing experiments; including 250 ml glass vessel, impeller,
- and US sensors (Adapted from Bowler, et al. (2020b)). (b) Two received US waveforms corresponding to a non-mixed and a fully mixed system.
- 176 Table 1. A summary of the datasets for the mixing experiments, including number of runs and the temperature
- 177 range each were conducted over.

Mixing dataset	Runs	Temperature range (°C)
Dataset 1	12	19.3 - 22.1
Dataset 2	12	19.8 - 21.2

179 2.3 Cleaning case study

180 Cleaning of pipe fouling was also investigated as a case study for domain adaptation using US sensor data. The full details of the experimental methodology are provided in Escrig et al. (2019) and Escrig 181 182 et al. (2020). Three test sections were used: A rectangular rig with a SS340 bottom plate and clear PMMA sides, a circular pipe constructed from PMMA, and an opaque, circular pipe constructed from 183 184 SS316. Two food materials (tomato paste and concentrated malt) were used to foul the test 185 sections. Fouling material was placed in the centre of the bottom plate for the rectangular rig and 30 186 mm from the exit for the pipe sections. The fouling material was then spread with a spatula to form a layer of approximately 5 mm thickness and left for 10 minutes to dry. Cleaning was performed by 187 188 water with a fluid temperature of either 12 °C or 45 °C and a flowrate of 6 l/s. Cleaning was 189 performed until all the fouling was removed. A minimum of 7 repeats were conducted for all 190 combinations of test sections, fouling materials and fluid temperatures. For the flat test section, the 191 same magnetic transducer as for the honey-water mixing experiments was attached to the base 192 plate. For the pipe sections, different transducers (2 MHz, Yushi, 2P10N) were glued externally to the 193 bottom of the pipes in the location the fouling material would be placed. The same US box, 194 temperature sensor, temperature data logger and laptop were used to acquire the data. A camera 195 was used to record images of the cleaning processes. The camera position was moved depending on 196 whether the pipe section was clear or opaque, as depicted in Figure 2a. US and temperature data 197 were recorded every 4 seconds and camera images were recorded every 20 seconds during the 198 cleaning process. The camera images were used as the ground truth data to label the recorded US 199 data for ML model development.



- 200 Figure 2. (a) A diagram of the equipment for the cleaning experiments including pipe section, camera
- 201 positioning, and sensor locations. (b) Two received US waveforms taken from Cleaning Dataset 9
- 202 corresponding to a fouled and clean pipe section.

Table 2. A summary of the datasets for the cleaning experiments, including the fouling material used, pipeconstruction, cleaning fluid temperature and number of runs.

Cleaning dataset	Fouling material	Cleaning fluid temperature	Pipe material	Pipe geometry	Runs
Dataset 1	Malt	Cold	SS340 (base)	Flat	7
Dataset 2	Malt	Hot	SS340 (base)	Flat	7
Dataset 3	Tomato	Cold	SS340 (base)	Flat	7
Dataset 4	Tomato	Hot	SS340 (base)	Flat	7
Dataset 5	Malt	Cold	PMMA	Circular	7
Dataset 6	Malt	Hot	PMMA	Circular	7
Dataset 7	Tomato	Cold	PMMA	Circular	7
Dataset 8	Tomato	Hot	PMMA	Circular	7
Dataset 9	Malt	Cold	SS316	Circular	7
Dataset 10	Malt	Hot	SS316	Circular	7
Dataset 11	Tomato	Cold	SS316	Circular	9
Dataset 12	Tomato	Hot	SS316	Circular	7

206 2.4 Machine learning

Classification ML models were trained to predict whether the mixture was non-mixed or fully mixed 207 208 and whether the pipe test section is fouled or clean. Regression ML models were trained to predict 209 the process time remaining until fully mixed or clean. For the honey-water mixing, ML models were 210 trained on either Dataset 1 or Dataset 2 and used to predict on the other dataset. This was performed for the Non-Central and Central sensors individually and then by combining data from 211 212 both sensors. Therefore, an ML model is trained on a labelled mixing system and transferred to monitor a similar mixing process which has no labelled data. For the cleaning of pipe fouling, models 213 214 were trained on one or several datasets and tested on another. This is representative of training an 215 ML model on a pipe section with labelled data available and transferring this knowledge to an 216 unlabelled process pipe where the pipe material, fouling material, cleaning fluid properties and US sensor could be different. 217

218 Shallow ML algorithms, as employed in this study, require features extracted from the US sensor

219 waveform as inputs. Typical features extracted from US waveforms include the waveform shape (e.g.

- skewness, kurtosis, standard deviation) (Caesarendra and Tjahjowidodo 2017), the amplitude at
- 221 every sample point in the waveform (Escrig, et al. 2020) or frequency components obtained after
- 222 Fourier or Wavelet transforms (Bowler, et al. 2020b). However, US waveforms vary each time a

- 223 sensor is attached. This effect is presented in Figure 3, where each US waveform differs despite
- using the same sensors, attachment procedure, vessel and process material. Furthermore, Figure 4
- compares waveforms obtained from Cleaning Datasets 5 and 9, where different pipe construction
- 226 materials and US sensors were used.



- 227 Figure 3. US waveforms from the mixing experiments corresponding to non-mixed and fully mixed systems. (a)
- Dataset 1 Non-Central sensor. (b) Dataset 2 Non-Central sensor. (c) Dataset 1 Central sensor. (d) Dataset 2

229 Central sensor.





(a) Dataset 5 – circular plastic pipe section. (b) Dataset 9 – circular metal pipe section.

In these case studies, the US sensors are monitoring the magnitude of the sound wave reflecting atthe interface between the vessel and process material. The Energy of the US waveform is therefore

- 224 an effective measure of this as it is the squared sum of the waveform amplitude at each sample
- an effective measure of this, as it is the squared sum of the waveform amplitude at each sample

235 point (Equation 1). The waveform Energy has previously been used to monitor these two case 236 studies in Bowler et al. (2020) and Escrig et al. (2019). However, the obtained US waveforms are 237 comprised of multiple superimposed sound waves reflecting from different material interfaces. Therefore, the waveform Energy is not entirely colinear with the change in process material at the 238 239 desired measurement area and additional waveform features can be used to unravel this 240 complexity. Owing to the uniqueness of the waveforms as previously presented, these additional waveform features are unlikely to follow similar trends for different US waveforms. Therefore, the 241 242 SF method only uses the Energy as a description of the waveform. To investigate whether additional 243 waveform features are required to monitor these case studies, TCA was used to extract three 244 features, or transfer components, to train the transfer learning models. TCA minimises the distance 245 between the source and target domain feature spaces using the Maximum Mean Discrepancy and 246 extracts transfer components that maximise variance across this shared feature space (Pan, et al. 247 2011). A total of 42 waveform features were inputted into the TCA algorithm (Sections 2.4.1 and 248 2.4.2). Every run in the source domain dataset was used for model training and every run in the 249 target domain dataset was used for testing. An additional model, named the Non-Transfer Learning model, was trained using only the target domain data to provide a comparative result to the transfer 250 251 learning models' accuracy. A k-fold testing procedure was used for the Non-Transfer Learning model, 252 where k is the number of runs in the dataset. One run was held back for testing and training was 253 carried out on the remaining runs. The run held back was changed sequentially and the average 254 accuracy of this procedure was used to provide a measure for model generalisability. Only the 255 waveform Energy was used as a feature in this model. An overview of this methodology is presented 256 in Figure 5. All data analysis and ML algorithms were completed in MATLAB R2019a.



257

Figure 5. A methodology flow diagram for the three models being compared. The two transfer learningmodels, SF and TCA, and the Non-Transfer Learning model.

260 2.4.1 Features

261 The waveform energy is the summed squared amplitude of every sample point in a waveform.

262
$$E = \sum_{i=1}^{i=SP} A_i^2$$

(1)

Where *E* is the waveform energy, *SP* is the total number of sample points in the waveform, and *A_i* is the amplitude at sample point *I* (Zhan, et al. 2015).

265
$$SRA = \sum_{i=1}^{i=SP} \sqrt{|A_i|}$$
 (2)

266 Where SRA is the sum root amplitude (Zhan, et al. 2015).

$$267 \quad SAA = \sum_{i=1}^{i=SP} |A_i| \tag{3}$$

268 Where SAA is the sum absolute amplitude (Zhan, et al. 2015).

269
$$\mu = \frac{\sum_{i=1}^{i=SP} A_i}{SP}$$
(4)

270
$$STD = \sqrt{\frac{1}{SP} \sum_{i=1}^{i=SP} (A_i - \mu)^2}$$
 (5)

271 Where μ is the mean waveform amplitude and *STD* is the standard deviation (Zhan, et al. 2015).

272
$$S = \frac{\sum_{i=1}^{i=SP} (A_i - \mu)^3}{SP \times STD^3}$$
(6)

273 Where S is the waveform skewness (Caesarendra and Tjahjowidodo 2017).

274
$$K = \frac{\sum_{i=1}^{i=SP} (A_i - \mu)^4}{SP \times STD^4}$$
(7)

275 Where K is the waveform kurtosis (Zhan, et al. 2015).

276 2.4.1.1 Feature gradient

- 277 Using the gradient of the waveform features provides a measure of the process trajectory. The
- difference between consecutive waveform features were calculated after applying a backwards,
 one-sided moving mean. A backwards, one-sized gradient uses only the past process data. The size
 of the moving mean was chosen as 5 % of the average run time for the respective dataset. This is to
- ensure that the energy gradient is similar feature across the source and target domains.

$$282 \qquad MMV_i = \frac{1}{N} \sum_{i}^{i-N} V_i \tag{8}$$

$$283 \qquad G = MMV_i - MMV_{i-1} \tag{9}$$

Where *G* is the gradient of a parameter, *MMV* is the moving mean value of a parameter, *N* is the size
of backwards, one-sided moving mean, and *V* is the original parameter value (Mathworks 2020a,
Mathworks 2020b).

287 2.4.1.2 Temperature and Mean Run Temperature

288 As the acoustic properties of materials are highly dependent on temperature (Henning and

- 289 Rautenberg 2006), the local temperature measurement was also investigated as a feature. The
- 290 additional Temperature feature was the measured temperature at the time each US waveform was
- 291 obtained. Furthermore, the Mean Run Temperature (the average temperature for that repeat of the
- 292 process) was investigated as the temperature sensors are located external to the process vessels.
- Therefore, any change in temperature may not be representative of temperature changes of the process material.
- 295 2.4.2 Discrete waveform analysis
- 296 The Discrete Wavelet Transform (DWT) is a method of obtaining the frequency-time information of a
- 297 waveform (Mallat and Mallat 1999a). At each decomposition, an orthogonal wavelet transform

- 298 function produces a detail and approximate waveform which contain no redundant information
- 299 (Mallat 1989). The frequency of the analytical wavelet is successively halved for each decomposition
- 300 level. The Symlet 6 wavelet was selected as the Mother wavelet owing to it being the least
- 301 asymmetric, and therefore most visually similar to the expected waveforms (Mallat and Mallat
- 1999b), along with its previous success in analysing US waveforms (Bowler, et al. 2020b). 5
- decomposition levels were used, and the previously described waveform features were applied to
- ach resultant waveform producing a total of 42 features as inputs to the TCA algorithm.

305 2.4.3 Standardisation

306 For the SF transfer learning method, the features of each domain were standardised to produce

feature spaces with a mean of 0 and a standard deviation of 1. This was to align and scale the

- 308 feature spaces so that the ML model trained on the source domain could predict accurately on the
- target domain data. The process of feature standardisation is provided in equations 10-12.

310
$$\mu = \frac{\sum_{i=1}^{i=n} x_i}{n}$$
(10)

311
$$\sigma = \sqrt{\frac{1}{n-1} \sum_{i=1}^{n} |x_i - \mu|^2}$$
(11)

$$312 Z = \frac{x-\mu}{\sigma} (12)$$

313 Where μ is the mean of feature *x*, *n* is the number of data points for feature *x*, σ is the standard 314 deviation of *x*, and *Z* is the new standardised feature.

- Furthermore, for the honey-water blending experiments, prior to standardisation, the waveform energy of the first data point in each run was subtracted from all data points of that run so that they all began at a waveform energy of 0. The process material being measured at the start of each run is known to be honey as the honey settles to the bottom and the sensors are located on the vessel base. This is analogous to an industrial process having the same process material located at the sensor measurement area at the start of each run. This procedure further aligns the feature spaces
- despite the wide temperature range the honey-water mixing experiments were conducted over. As
- the laboratory set point temperature was not altered for the pipe section cleaning experiments, this
- 323 additional operation was not performed. The feature standardisation method for the mixing data
- and the cleaning data is presented in Figures 6 and 7, respectively.









data points. (c) All runs following standardisation.





330 Cold Metal datasets. (b) All runs from Malt Cold Plastic and Malt Cold Metal datasets following

331 standardisation.

332 2.4.4 Transfer component analysis

333 TCA attempts to extract transfer components across the source and target domains in a Reproducing

- Kernel Hilbert Space using the Maximum Mean Discrepancy (Pan, et al. 2011). Three dimensions, or
- transfer components, were selected to allow for comparison against the SF method. The TCA code
- provided in the MATLAB domain adaptation toolbox produced by Yan (2020) was used.

337 2.4.5 Algorithms

338 2.4.5.1 Artificial neural networks

339 Artificial neural networks (ANNs) can create linear relationships between combinations of input 340 variables and the activation function (Jain, et al. 1996). For this reason, despite the few input 341 features, 5 neurons were used in the hidden layer to ensure production of a linear relationship. The 342 "trainIm" training function was used for regression models and the "trainscg" training function was 343 used for the classification models (Mathworks 2020c). To prevent overfitting, the model training was 344 stopped once the validation loss had increased for 6 consecutive iterations. For each prediction task, 10 neural networks were trained and tested, and the average accuracy was used. This is to account 345 346 for the effects of random weight initialisation and that ANNs converge to local minima. 80 % of the 347 training data was used as a training set and the remaining 20 % was used as the validation set.

348 2.4.5.2 Long Short-Term Memory Neural Networks

349 To evaluate whether a more complex process trajectory memory was required rather than the 350 gradient of the waveform energy alone, Long Short-Term Memory neural networks (LSTMNNs) were 351 also investigated. LSTMNNs can store representations of all previous time-steps in a process though 352 updating an internal network state using gate units (Hochreiter and Schmidhuber 1997). No 353 validation set was used to maximise the training data set size for the LSTMNN. The inputs were 354 standardised and a mini-batch size of 1 was used. The training was carried out for 600 epochs to 355 ensure fitting, using the "adam" optimisation algorithm, a learning rate of 0.01, and a gradient 356 threshold of 1 to prevent problems of exploding gradients. Only 5 hidden units were used in the 357 LSTM layer, as the processes did not follow a complex sequence. 5 neurons were used in the fully 358 connected layer to ensure linear fitting of the feature combinations with the activation function.

359 3 Results and discussion

360 3.1 Honey-water mixing

For the honey-water mixing experiments, classification ML models were trained to predict whether the mixture is non-mixed or fully-mixed, and regression models to predict the time remaining until mixing completion. The models were trained on a source domain dataset (either Dataset 1 or Dataset 2) and used to predict on the other, target domain dataset.

365 3.1.1 Classification

366 Overall, transfer learning models trained for the Non-Central sensor produced poor classification 367 accuracy (Table 3). The highest classification accuracy for the SF method was 73.9 % and the highest for TCA was 74.6 %. This is compared to the Non-Transfer Learning model, which produced 368 369 accuracies of up to 92.2 %. The cause of the poor classification accuracy for the Non-Central sensor 370 is due to the difference in the sensor's location between Dataset 1 and Dataset 2, being closer to the 371 vessel sides in Dataset 1. As the honey is mixed earlier at the vessel sides than in the centre of the 372 vessel base, the waveform Energy of the Non-Central sensor in Dataset 1 begins to rise earlier with 373 respect to the Central sensor. This is shown in Figure 8. There is greater variability in the waveform 374 Energy for the Non-Central sensor compared with the Central sensor due to the base of the vessel 375 not being flat at this location, creating discrepancies in the sound wave received by the sensor

- 376 (Bowler, et al. 2020b). The point defined as complete mixing (the time at which all honey has
- dissolved) is located at the centre of the vessel base and therefore non-local to the Non-Central
- 378 sensor. The ML models correlate the sensor data to this non-local phenomenon. If the location of
- the sensor changes between the source and target domains, there is now an offset in the prediction.This demonstrates that if applying transfer learning models to unlabelled target systems which
- This demonstrates that if applying transfer learning models to unlabelled target systems which correlate sensor data to non-local phenomena, this offset in prediction must be similar across
- 382 domains.

383 The SF method produced higher classification accuracies than TCA for all tasks using the Central 384 sensor, indicating that the waveform Energy alone is more amenable to domain adaptation than the 385 three transfer components. The SF method was able to produce high prediction accuracies of up to 386 96.0 % using Dataset 1 as the source domain and Dataset 2 as the target domain. This accuracy was 387 similar to the Non-Transfer Learning model trained on Dataset 2 which achieved 95.9 %. The Central 388 sensors were located at the centre of the vessel base for both datasets, and as mixing completion 389 occurred at the sensor measurement area, there was no offset in the classification model prediction. 390 Using Dataset 1 as the source domain produced higher classification accuracies as Dataset 1 was 391 performed over a wider temperature range. This led to more variability in the waveform energy (as 392 shown in Figure 6) and hence provides a form of regularisation during model training and improved 393 model generalisability to the target domain. This highlights that source domain datasets should be 394 gathered over a wide process parameter range to enable the model to generalise. LSTMNNs 395 produced the highest classification accuracies for all tasks using the Central sensor. The more 396 complex process trajectory stored by the LSTMNNs was beneficial compared with using the 397 waveform energy gradient with the ANNs and did not lead to overfitting.

398 Using both sensors produced lower classification accuracies than using the Central sensor alone due 399 to incorporating the poorly performing Non-Central sensor. Using the temperature as a feature 400 produced higher classification accuracies for all domain adaptation tasks, excluding TCA from 401 Dataset 1 to Dataset 2. This enhanced performance is due to the large effect of temperature on 402 material acoustic impedance and subsequently the waveform shape and Energy. Furthermore, the 403 models were also able to learn the relationship of higher temperature reducing the mixing time by 404 lowering the viscosity of the honey. However, an accuracy of 92.1 % using the Central sensor was 405 achieved without incorporating the temperature using both the SF method and TCA.



Figure 8: The waveform Energy of the Non-Central sensor increases earlier with respect to the Central sensor
during the mixing process for Dataset 2 due to the difference in sensor location. (a) Waveform Energy profiles
for the Non-Central and Central sensors during Run 1 of Dataset 1. (b) Waveform energy profiles for the NonCentral and Central sensors during Run 1 of Dataset 2.

410 Table 3: Classification results for honey-water mixing experiments. Two of the algorithm and feature

411 combinations which produced the highest accuracy for each model are included; one using the temperature as

412 feature, and one without. The Additional features column denotes the features inputted into the model other

than the features used for domain adaptation, e.g. the waveform Energy for the SF method, or the three

414 transfer components used for TCA. G – Gradient of features, T – Temperature, MT – Mean run temperature.

Sensor	Source domain	Target domain	Transfer learning method	Accuracy (% correct)	Algorithm	Additional features
Non-	Dataset	Dataset	SF	70.8	ANN	G
Central	1	2		73.4	LSTM	G <i>,</i> MT
			TCA	74.7	ANN	-
				74.7	LSTM	G, MT
			NTL	90.3	ANN	G
				92.2	LSTM	G <i>,</i> T
	Dataset	Dataset	SF	72.6	ANN	G
	2	1		73.9	ANN	G, MT
			TCA	68.4	ANN	G
				70.3	ANN	G <i>,</i> MT
			NTL	90.1	LSTM	-
				84.9	LSTM	G <i>,</i> T
Central	Dataset	Dataset	SF	92.5	LSTM	G
	1	2		96.0	LSTM	G, T
			TCA	92.2	LSTM	-
				92.6	LSTM	G <i>,</i> MT
			NTL	94.4	LSTM	G
				95.9	LSTM	Т
	Dataset	Dataset	SF	92.8	LSTM	G
	2	1		93.8	LSTM	MT
			TCA	87.6	LSTM	-
				89.9	LSTM	MT
			NTL	96.7	LSTM	-
				95.1	LSTM	G, T
Combined	Dataset	Dataset	SF	92.1	ANN	G
	1	2		92.2	ANN	G <i>,</i> MT
			TCA	92.1	LSTM	G
				90.4	LSTM	G <i>,</i> MT
			NTL	95.4	LSTM	-
				94.8	LSTM	G, MT
	Dataset	Dataset	SF	91.6	LSTM	-
	2	1		91.9	LSTM	MT
			TCA	87.3	ANN	-
				89.2	LSTM	G <i>,</i> MT
			NTL	95.4	ANN	G
				95.6	LSTM	G <i>,</i> T

415

416 3.1.2 Regression

Similar to the classification results, domain adaptation of the Non-Central sensor data produced
significantly lower regression accuracies (up to 0.905) than the Non-Transfer Learning models which
were trained on the target domain data (up to 0.978) (Table 4). Again, this is attributed to the
change in sensor position. As the position of the Central sensor has not changed between datasets,
R² values of up to 0.945 were achieved using the SF method, similar to the Non-Transfer Learning
models' regression accuracy of up to 0.950.

Again, using temperature as a feature aided prediction accuracy of the Central sensor, most likely
because of the aforementioned effect on temperature on the mixing time. Therefore, these models
were able to infer the time until mixing completion near the beginning of the process, where no

- 426 change in acoustic impedance had yet been detected by the Central sensor. In contrast to the
- 427 classification tasks, using both sensors together led to greater regression accuracies for the SF
- 428 method. This is owed to the greater resolution of the Non-Central sensor near the beginning of the
- 429 mixing process, as the honey is first removed from the vessel base in this location, and the Central
- 430 sensor's greater resolution at the end, where the last of the honey is mixed (Bowler, et al. 2020b). As
- 431 with the classification models, using Dataset 1 as the source domain and Dataset 2 as the target
- domain produced more accurate models for most regression tasks due to the wider temperature
- 433 range in Dataset 1. Again, LSTMNN models were more accurate owing to their ability to store
- 434 representations of all previous process time-steps and therefore learn more complex feature
- 435 trajectories than the ANNs.
- 436 Table 4: Regression results for honey-water mixing experiments. Two of the algorithm and feature
- 437 combinations which produced the highest accuracy for each model are included; one using the temperature as
- 438 feature, and one without. The Additional features column denotes the features inputted into the model other
- than the features used for domain adaptation, e.g. the waveform Energy for the SF method, or the three
- 440 transfer components used for TCA. G Gradient of features, T Temperature, MT Mean run temperature.

Sensor	Source domain	Target domain	Transfer learning method	Accuracy (R ²)	Algorithm	Features
Non-	Dataset	Dataset	SF	0.903	LSTM	-
Central	1	2		0.894	LSTM	G, MT
			TCA	0.846	LSTM	G
				0.902	LSTM	MT
			NTL	0.932	LSTM	G
				0.938	LSTM	Т
	Dataset	Dataset	SF	0.877	LSTM	-
	2	1		0.810	LSTM	MT
			TCA	0.883	LSTM	-
				0.905	LSTM	Т
			NTL	0.978	LSTM	-
				0.953	LSTM	Т
Central	Dataset	Dataset	SF	0.919	ANN	G
	1	2		0.945	LSTM	G, MT
			TCA	0.942	LSTM	-
				0.941	LSTM	MT
			NTL	0.931	LSTM	-
				0.950	LSTM	MT
	Dataset	Dataset	SF	0.899	LSTM	-
	2	1		0.908	LSTM	MT
			TCA	0.798	LSTM	G
				0.878	LSTM	G, T
			NTL	0.930	LSTM	G
				0.939	LSTM	G, T
Combined	Dataset	Dataset	SF	0.942	LSTM	G
	1	2		0.947	LSTM	G, T
			TCA	0.939	LSTM	-
				0.929	LSTM	MT
			NTL	0.941	LSTM	-
				0.946	LSTM	MT
	Dataset	Dataset	SF	0.930	LSTM	-
	2	1		0.921	LSTM	Т
			TCA	0.673	LSTM	G
				0.896	LSTM	MT
			NTL	0.981	LSTM	G

_	0.981	LSTM	MT

442 3.2 Cleaning of fouling in pipes

For the cleaning experiments, classification ML models were trained to predict whether the pipe
section is fouled or clean, and regression models predict the time remaining until cleaned. The
models were trained on a source domain dataset, or multiple datasets for the SF method, and used
to predict on another, target domain dataset.

447 3.2.1 Classification

441

448 For all classification tasks, the SF method produced higher classification accuracies than TCA, again 449 suggesting that a single feature is optimal for domain adaptation of US waveforms (Table 5). For all 450 classification tasks, excluding Datasets 11 and 12, the SF domain adapted models were either equal 451 to or more accurate than the Non-Transfer Learning models trained on the target domain data. 452 Using temperature as a feature was not required for high classification accuracy, and only led to 453 higher accuracy for the Dataset 12 as the target domain. Combining multiple source domain datasets 454 for the SF method produced the highest classification accuracy for Datasets 5 and 11 as the target 455 domain. This is because using multiple source domain datasets provides regularisation of the ML 456 models by training them to generalise over multiple domains. Similar to the honey-water blending 457 experiments, LSTMNNs were in general more accurate than ANNs due to their ability to learn 458 complex process trajectories.

Table 5: Classification results the cleaning of food fouling experiments. Two of the algorithm, feature, and

source domain datasets combinations which produced the highest accuracy for each model are included; one

using the temperature as feature, and one without. The Additional features column denotes the features

- inputted into the model other than the features used for domain adaptation, e.g. the waveform Energy for the
- 463 SF method, or the three transfer components used for TCA. G Gradient of features, T Temperature, MT –

Target domain	Transfer learning method	Accuracy (% correct)	Source domain	Algorithm	Features
Dataset 5	SF	93.6	Datasets 1 & 2	LSTM	-
		93.2	Datasets 1 & 2	LSTM	G, T
	TCA	87.1	Dataset 2	LSTM	-
		86.7	Dataset 2	ANN	MT
	NTL	93.8	-	LSTM	-
		87.0	-	ANN	G, T
Dataset	SF	96.4	Dataset 4	LSTM	-
6		95.4	Dataset 3	LSTM	G <i>,</i> T
	TCA	92.8	Dataset 2	LSTM	-
		93.7	Dataset 4	LSTM	Т
	NTL	92.2	-	LSTM	G
		96.1	-	LSTM	G <i>,</i> T
Dataset	SF	95.4	Dataset 2	LSTM	-
7	TCA	88.1	Dataset 2	LSTM	G
	NTL	91.2	-	LSTM	-
Dataset	SF	96.4	Dataset 3	LSTM	G
8	TCA	94.1	Dataset 4	ANN	G
	NTL	95.6	-	LSTM	-
Dataset	SF	93.2	Dataset 1	LSTM	G
9		90.0	Dataset 2	LSTM	MT

464 Mean run temperature.

	TCA	81.0	Dataset 5	LSTM	G
		84.8	Dataset 5	LSTM	T, G
	NTL	92.2	-	LSTM	G
		91.8	-	LSTM	Т
Dataset	SF	98.4	Dataset 3	LSTM	-
10		97.5	Dataset 5	LSTM	G, T
	TCA	94.7	Dataset 4	ANN	G
		95.3	Dataset 4	LSTM	G, MT
	NTL	98.2	-	LSTM	-
		95.4	-	LSTM	MT
Dataset	SF	91.6	Datasets 1	LSTM	-
11			& 2		
		86.5	Datasets	LSTM	Т
			1, 2, 5 & 6		
	TCA	81.0	Dataset 1	ANN	-
		81.0	Dataset 2	ANN	MT
	NTL	95.9	-	LSTM	-
		95.9	-	LSTM	Т
Dataset	SF	90.0	Dataset 7	LSTM	G
12		92.4	Dataset 5	LSTM	MT
	TCA	89.9	Dataset 7	LSTM	G
		85.7	Dataset 4	LSTM	G, MT
	NTL	95.2	-	LSTM	-
		96.7	-	LSTM	G, T

466 3.2.2 Regression

467 Similar to the classification tasks, the SF method produced higher prediction accuracies than TCA for 468 most regression tasks (Table 6). For all target domain datasets, except for Dataset 7, the domain 469 adaptation models produced equally high regression accuracy as the Non-Transfer Learning models 470 which were trained on the target domain dataset. Unlike the classification tasks where using the 471 temperature as a feature led to no improvements in prediction accuracy, incorporating the 472 temperature into the models produced higher regression accuracies for Datasets 5, 6 and 10. This is 473 because for most of the process there is no change in the material at the sensor measurement area 474 and so accounting for the effects of temperature on the waveform energy would aid regression 475 accuracy during these sections of the process. In contrast, the classification tasks are focused on the 476 section of the process where the fouling material is being removed, resulting in large changes in the 477 waveform Energy. Other than for Datasets 7 and 8 as the target domain, using multiple datasets as 478 the source domain produced the highest regression accuracies for the SF method. Again, this is 479 attributed to the models being trained to generalise across multiple datasets, increasing the 480 likelihood of accurate prediction of the target dataset. LSTMNNs produced the highest regression 481 accuracies for every domain adaptation task. This suggests that they were not prone to overfitting 482 despite their ability to learn complex process trajectories.

Table 6: Regression results for cleaning of food fouling experiments. Two of the algorithm, feature, and source

484 domain datasets combinations which produced the highest accuracy for each model are included; one using

485 the temperature as feature, and one without. The Additional features column denotes the features inputted 486 into the model other than the features used for domain adaptation, e.g. the waveform Energy for the SF

into the model other than the features used for domain adaptation, e.g. the waveform Energy for the SF
 method, or the three transfer components used for TCA. G – Gradient of features, T – Temperature, MT –

488 Mean run temperature.

Target domain	Transfer learning	Accuracy (R ²)	Source domain	Algorithm	Features
Dataset	method SF	0.894	Datasets 1	LSTM	G
5	-		& 2		
		0.987	Datasets 1 & 2	LSTM	G, MT
	TCA	0.861	Dataset 1	LSTM	-
		0.820	Dataset 1	LSTM	Т
	NTL	0.947	-	LSTM	
	65	0.949	-	LSTM	G, T
Dataset 6	5F	0.998	Datasets 1, 2, 3 & 4	LSTIM	-
		0.999	Datasets 1, 2, 3 & 4	LSTM	Т
	TCA	0.870	Dataset 4	LSTM	-
		0.775	Dataset 4	LSTM	G, T
	NTL	0.997	-	LSTM	-
		0.987	-	LSTM	T
Dataset	SF	0.639	Dataset 2	LSTM	G
/	TCA	0.747	Dataset 2	LSTM	-
	NTL	0.959	-	LSTM	G
Dataset	SF	0.992	Dataset 4	LSTM	-
8	TCA	0.890	Dataset 3	LSTM	-
	NTL	0.983	-	LSTM	-
Dataset 9	SF	0.996	Datasets 1, 2, 5 & 6	LSTM	-
		0.988	Datasets 1, 2, 5 & 6	LSTM	MT
	TCA	0.962	Dataset 1	LSTM	-
		0.922	Dataset 1	LSTM	G, MT
	NTL	0.990	-	LSTM	G
		0.990	-	LSTM	Т
Dataset 10	SF	0.947	Datasets 5. 6. 7 & 8	LSTM	G
		0.991	Datasets 1, 2, 3, 4, 5, 6, 7 & 8	LSTM	MT
	TCA	0.966	Dataset 1	LSTM	-
		0.947	Dataset 4	LSTM	G, T
	NTL	0.998	-	LSTM	-
		0.998	-	LSTM	G, T
Dataset	SF	0.983	Datasets	LSTM	-
		0.956	Datasets 1. 2. 5 & 6	LSTM	G, MT
	TCA	0.880	Dataset 1	LSTM	-
		0.687	Dataset 3	LSTM	Т
	NTL	0.919	-	LSTM	-
		0.855	_	LSTM	G. MT
Dataset 12	SF	0.993	Datasets	LSTM	-
		0.992	Datasets	LSTM	G, MT
	ТСА	0.937	Dataset 3	LSTM	-
	-	0.890	Dataset 4	LSTM	G. T
	NTL	0.948	-	LSTM	-
		0.902	-	LSTM	Т

490 3.3 Comparison with previous work

491 Despite using fewer ML model input features and training the models on a different data distribution 492 to the target domain, the accuracies of the transfer learning models tested in this work are only 493 slightly lower than our previously published results. For the honey-water mixing experiments, 494 classification accuracies of 96.0% and regression accuracies of 0.947 are achieved using the SF 495 method compared with 96.3% and 0.977 (Bowler, et al. 2020b). For the cleaning of pipe fouling, 496 classification of accuracies of between 91.6-98.4 % are achieved in this work compared with 497 previous results of 98-100 % (Escrig, et al. 2020a, Escrig, et al. 2020b). These results are similar to the 498 domain adaptation methodologies used for motor bearing fault diagnosis by vibration signal 499 monitoring. Wen et al. (2018) achieved classification accuracies averaging 99.79 % on the widely-500 studied Case Western Reserve University dataset using a Convolutional Neural Network (CNN) based 501 model. In comparison, Zhang et al. (2018) achieved average classification accuracies of 95.5 % using 502 a CNN based domain adaptation method across different load domains and Li et al. (2019) achieved 503 accuracies >92 % using a generative model. Furthermore, Guo et al. (2019) achieved classification 504 accuracies of up to 89.9 % when transferring models from different machines. This similarity 505 demonstrates the efficacy of the techniques proposed in this work to monitor processes with no 506 labelled data available. To improve the accuracy of the trained models, a small set of labelled data in 507 the target domain would allow for aligning not only the marginal probabilities but also the 508 conditional probabilities. Furthermore, a small set of labelled data would allow the presented 509 techniques to be combined with semi-supervised learning approaches to train robust ML models.

510 4 Conclusion

511 Sensors are a key technology in the fourth industrial revolution, especially for process manufacturing 512 sectors which have greater variability in material streams and process conditions than in discrete 513 manufacturing. However, to fully realise the potential benefits, the problem of training ML models 514 on limited labelled sensor data must be overcome. This work has compared two domain adaptation 515 approaches for monitoring processes using US sensors to reduce the burden of data labelling in 516 factory environments. These were: a Single Feature method and Transfer Component Analysis using 517 three features. US waveforms are dependent on the sensor used, attachment procedure, and 518 contact pressure. Therefore, this work investigated transferring a small number of features across 519 domains. It was shown that ML models using US sensor data can be trained on a similar task in a 520 source domain and can accurately predict using sensor data from a target domain. Two case studies 521 were investigated: honey-water mixing using datasets recorded on different days after sensor 522 reattachment, and cleaning of fouling in pipe sections of different geometry and construction 523 materials. Overall, the Single Feature method produced the highest prediction accuracies, indicating 524 that using the waveform Energy alone is optimal for domain adaptation between US sensors. 525 Classification accuracies of up to 96.0 % and 98.4 % were achieved for predicting the completion of 526 mixing or cleaning, and R² values of up to 0.947 and 0.999 were reached to predict the processing 527 time remaining for each process, respectively. These results were similar to comparative supervised 528 models which did not employ transfer learning, indicating that the domain adaptation approach was 529 successful.

Increasing the feature variability in the source domains aided prediction accuracy by providing
regularisation to the ML models during training. For the honey-water mixing, using a source domain
dataset obtained over a wider temperature range increased prediction accuracy. For cleaning of pipe

533 fouling, combining multiple source domain datasets trained the model to generalise across domains

- and thereby improved performance on the target domain data. For the honey-water mixing
- 535 experiments, the Non-Central sensor produced low accuracy predictions because the sensor position
- had changed between the source and target domains. When correlating sensor data to phenomena
- 537 non-local to the sensor measurement area, an offset between process material changes at the
- sensor location and the prediction task is learned. This suggests that when using a transfer learning
- model to correlate sensor data to non-local phenomena, the learned offset must be ensured to be
- similar across domains. To monitor cleaning of fouling in pipes, it was shown that ML models could
- be trained using different US sensors, pipe materials, pipes geometries, fouling materials and
- 542 cleaning fluid properties.
- Author Contributions: Conceptualization, A. Bowler, N. Watson; Data curation, A. Bowler; Formal
 analysis, A. Bowler; Funding acquisition, N. Watson; Investigation, A. Bowler; Methodology, A.
 Bowler; Project administration, A. Bowler, N. Watson; Resources, N. Watson; Software A. Bowler;
 Supervision, N. Watson; Validation, A. Bowler; Visualization, A. Bowler; Roles/Writing original draft,
 A. Bowler; Writing review & editing, A. Bowler, N. Watson.
- 548 **Funding:** This work was supported by the Engineering and Physical Sciences Research Council 549 (EPSRC) standard research studentship (EP/R513283/1).
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