

VARIABLE STRUCTURE CONTROL – FROM PRINCIPLES TO APPLICATIONS

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Abstract: The theory of variable structure systems (VSS) with sliding modes is currently one of the most significant research topics within the control engineering domain. Moreover, recently a number of important applications of the theory in the field of power electronics, motion control, robotics, bioprocess etc. have also been reported. Therefore, this paper presents a brief introduction to the theory of sliding mode control, then enumerates the most important novel trends in fundamental research in this field and finally gives some examples of successful engineering applications.

Keywords: variable structure systems, sliding mode control, discrete time sliding mode, chattering

1. INTRODUCTION TO VSS

In recent years much of the research in the area of control theory focused on the design of discontinuous feedback which switches the structure of the system according to the evolution of its state vector. This control idea may be illustrated by the following example.

Let us consider the second order system

$$\begin{aligned}\dot{x}_1 &= x_2 \\ \dot{x}_2 &= x_2 + u_i \quad i = 1, 2\end{aligned}\quad (1)$$

where $x_1(t)$ and $x_2(t)$ denote the system state variables, with the following two feedback control laws

$$u_1 = f_1(x_1, x_2) = -x_2 - x_1 \quad (2)$$

$$u_2 = f_2(x_1, x_2) = -x_2 - 4x_1 \quad (3)$$

The performance of system (1) controlled according to (2) is shown in figure 1, and figure 2 presents the behaviour of the same system with feedback control (3). It can be clearly seen from those two figures that each of the feedback control laws (2) and (3) ensures the system stability only in the sense of Lyapunov.

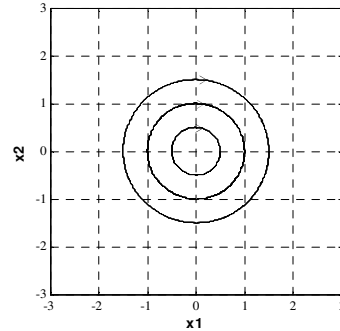


Fig. 1. Phase portrait of system (1) with controller (2).

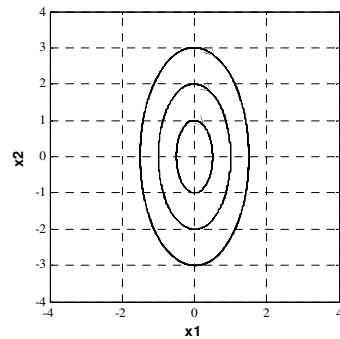


Fig. 2. Phase portrait of system (1) with controller (3).

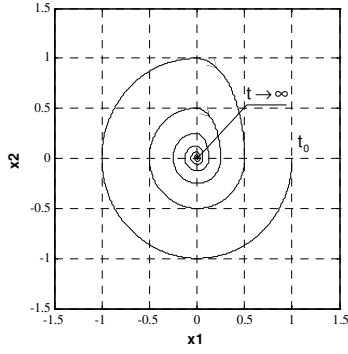


Fig. 3. Phase portrait of system (1) when switching strategy (4) is applied.

However, if the following switching strategy is applied

$$i = \begin{cases} 1 & \text{for } \min\{x_1, x_2\} < 0 \\ 2 & \text{for } \min\{x_1, x_2\} \geq 0 \end{cases} \quad (4)$$

then the system becomes asymptotically stable. This is illustrated in figure 3. Moreover, it is worth to point out that system (1) with the same feedback control laws may exhibit completely different behaviour (and even become unstable). For example, if the switching strategy (4) is modified as

$$i = \begin{cases} 1 & \text{for } \min\{x_1, x_2\} \geq 0 \\ 2 & \text{for } \min\{x_1, x_2\} < 0 \end{cases} \quad (5)$$

then the system output increases to infinity. The system dynamic behaviour, in this situation, is illustrated in figure 4.

This example presents the concept of variable structure control (VSC) and stresses that the system dynamics in VSC is determined not only by the applied feedback controllers but also, to a large extent, by the adopted switching strategy.

VSC is inherently a nonlinear technique and as such, it offers a variety of advantages which cannot be achieved using conventional linear controllers. Our

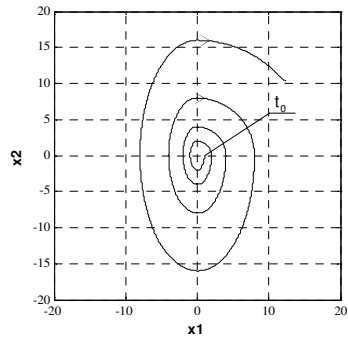


Fig. 4. Phase portrait of system (1) when switching strategy (5) is applied.

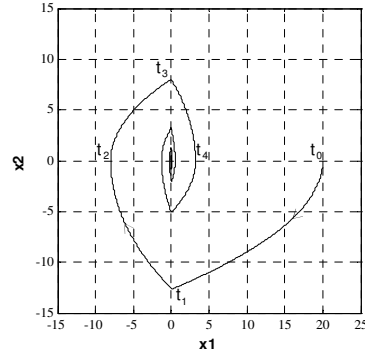


Fig. 5. Phase portrait of system (1) controlled according to (6).

next example shows one of those favourable features – namely it demonstrates that VSC may enable finite time error convergence. In this example, again we consider system (1), however now we apply the following controller

$$u = -x_2 - a \operatorname{sgn}(x_1) - b \operatorname{sgn}(x_2) \quad (6)$$

where $a > b > 0$. Closer analysis of the behaviour of system (1) with control law (6) demonstrates that, in this example, the system error converges to zero in finite time which can be expressed as

$$T = \frac{a}{b} \sqrt{2x_{10}} \left(\frac{1}{\sqrt{a-b}} + \frac{1}{\sqrt{a+b}} \right) \quad (7)$$

where x_{10} and $x_{20} = 0$ represent initial conditions of system (1). Even though the error converges to zero in finite time, the number of oscillations in the system tends to infinity, with the period of the oscillations decreasing to zero. This is illustrated in figures 5 and 6. In the simulation example presented in the figures, the following parameters are used $a = 7$, $b = 3$, $x_{10} = 20$ and $x_{20} = 0$. Consequently, the system error is nullified at the time instant $T = 12.045$ and remains equal to zero for any time greater than T . Clearly these favourable properties are achieved using finite control signal. This controller, due to the way the phase trajectory – shown in figure 5 – is

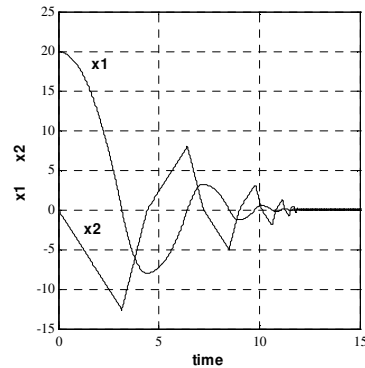


Fig. 6. State variables of system (1) controlled according to (6).

drawn, is usually called “twisting controller”. It also serves as a good, simple example of the second order sliding mode controllers.

2. SLIDING MODE CONTROL

The two examples presented up to now demonstrate the principal properties of VSC systems. However, the main advantage of the systems is obtained when the controlled plant exhibits the sliding motion (Utkin, 1977; DeCarlo *et al.*, 1988; Slotine and Li, 1991; Hung *et al.*, 1993). The idea of sliding mode control (SMC) is to employ different feedback controllers acting on the opposite sides of a predetermined surface in the system state space. Each of those controllers pushes the system representative point (RP) towards the surface, so that the RP approaches the surface, and once it hits the surface for the first time it stays on it ever after. The resulting motion of the system is restricted to the surface, which graphically can be interpreted as “sliding” of the system RP along the surface. This idea is illustrated by the following example.

Let us consider another second order plant

$$\begin{aligned}\dot{x}_1 &= x_2 \\ \dot{x}_2 &= b \cos(mx_1) + u \quad |b| < 1\end{aligned}\quad (8)$$

where b and m are possibly unknown constants. We select the following line in the state space

$$s = x_2 + cx_1 = 0 \quad (9)$$

($c = \text{const.}$) and apply the controller

$$u = -cx_2 - \text{sgn}(s) \quad (10)$$

In this equation $\text{sgn}(\cdot)$ function represents the sign of its argument, i.e. $\text{sgn}(s < 0) = -1$ and $\text{sgn}(s > 0) = +1$. With this controller the system representative point moves towards line (9) always when it does not belong to the line. Then, once it hits the line, the controller switches the plant input (in the ideal case) with infinite frequency. Therefore, line (9) is called the switching line. Furthermore, since after reaching

the line, the system RP slides along it, then the line is also called the sliding line. This example is illustrated in figure 7. The system parameters used in the presented simulation are $c = 0.5$, $b = 0.75$, $m = 10$ and the simulation is performed for the following initial conditions $x_{10} = 5$ and $x_{20} = 1$. Notice that when the plant remains in the sliding mode, its dynamics is completely determined by the switching line (or in general the switching hypersurface) parameters. This implies that neither model uncertainty nor matched external disturbance affects the plant dynamics (Draženović, 1969) which is a highly desirable system property. This property can also be justified geometrically, if one notices that in our example the slope of line (9) fully governs the plant motion in the sliding mode. Therefore, in SMC systems we usually make the distinction between two phases: the first one – called the reaching phase – lasts until the controlled plant RP hits the switching surface, and the second one – the sliding phase – begins when the RP reaches the surface. In the latter phase the plant insensitivity to a class of modelling inaccuracies and external disturbances is ensured. Let us stress that the system robustness with respect to unmodelled dynamics, parameter uncertainty and external disturbances is guaranteed only in the sliding mode. Therefore, shortening or (if possible) even complete elimination of the reaching phase is an important and timely research issue (Chang and Hurmuzlu, 1992; Chang and Hurmuzlu, 1993; Choi *et al.*, 1994; Bartoszewicz, 1995; Bartoszewicz 1996a; Betin *et al.*, 2002a; Betin *et al.*, 2002b, Tokat *et al.*, 2003; Sivert *et al.*, 2004a; Sivert *et al.*, 2004b; Sivert *et al.*, 2004c; Bartoszewicz and Nowacka, 2005; Bartoszewicz and Nowacka, 2007a; Bartoszewicz and Nowacka, 2007b; Corradini and Orlando, 2007; Pan and Furuta, 2007) in the field of SMC.

Another immediate consequence of the fact that in the sliding mode, the system RP is restricted to the switching hypersurface (which is a subset of the state space) is reduction of the system order. If the system of the order n has m independent inputs, then the sliding mode takes place on the intersection of m hypersurfaces and the reduced order of the system equals to the difference $n - m$. To be more precise, in multi-input systems the sliding mode may take place either independently on each switching hypersurface or only on the intersection of the surfaces. In the first case the system RP approaches each surface at any time instant and once it hits any of the surfaces it stays on this surface ever after. In the latter case, however, the system RP does not necessarily approach each of the surfaces, but it always moves towards their intersection. In this case the system RP may hit a surface and move away from it (might possibly cross a switching surface), but once it reaches the intersection of all the surfaces, then the RP never leaves it.

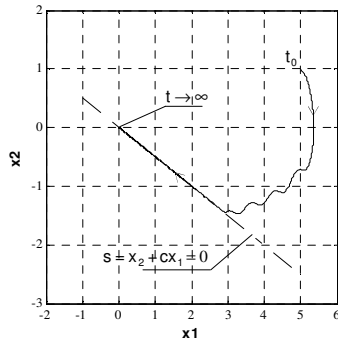


Fig. 7. Phase trajectory of system (1) controlled according to (10).

As it has already been mentioned, the switching surface completely determines the plant dynamics in the sliding mode. Therefore, selecting this surface is one of the two major tasks in the process of the SMC system design. In order to stress this issue let us point out that the same controller which has been considered in the last example may result in a very different system performance, if the sliding line slope c is selected in another way. This can be easily noticed if one takes into account any negative c . Then, controller (10) still ensures stability of the sliding motion on line (9), i.e. the system RP still converges to the line, however the system is unstable since both state variables x_1 and x_2 tend to (either plus or minus) infinity while the system RP slides away from the origin of the phase plane along line (9).

The other major task in the SMC system design is the selection of an appropriate control law. This can be achieved either by assuming a certain kind of the control law (usually motivated by some previous engineering experience) and proving that this control satisfies one of the so-called reaching conditions or by applying the reaching law approach. The reaching conditions (Edwards and Spurgeon, 1998) ensure stability of the sliding motion and therefore they are naturally derived using Laypunov stability theory. On the other hand, if the reaching law approach is adopted for the purpose of a sliding mode controller construction (Hung *et al.*, 1993), then a totally different design philosophy is employed. In this case the desired evolution of the switching variable s is specified first, and then a control law ensuring that s changes according to the specification is determined.

Sliding mode controllers guarantee system insensitivity with respect to matched disturbance and model uncertainty, and cause reduction of the plant order. Moreover, they are computationally efficient, and may be applied to a wide range of various, possibly nonlinear and time-varying plants. However, often they also exhibit a serious drawback which essentially hinders their practical applications. This drawback – high frequency oscillations which inevitably appear in any real system whose input is supposed to switch infinitely fast – is usually called chattering. If system (8) exhibits any, even arbitrarily small, delay in the input channel, then control strategy (10), will cause oscillations whose frequency and amplitude depend on the delay. With the decreasing of the delay time, the frequency rises and the amplitude is getting smaller. This is a highly undesirable phenomenon, because it causes serious wear and tear on the actuator components. Therefore, a few methods to eliminate chattering have been proposed. The most popular of them uses function

$$\text{sat}(s) = \begin{cases} -1 & \text{for } s < -\rho \\ \frac{1}{\rho}s & \text{for } |s| \leq \rho \\ 1 & \text{for } s > \rho \end{cases} \quad (11)$$

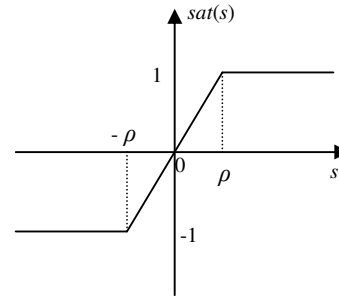


Fig. 8. Function $\text{sat}(s)$.

instead of $\text{sgn}(s)$ in the definition of the discontinuous control term. With this modification the term becomes continuous and the switching variable does not converge to zero but to the closed interval $[-\rho, \rho]$. Consequently, the system RP after the reaching phase termination, belongs to a layer around the switching hyperplane and therefore this strategy is called boundary layer controller (Slotine and Li, 1991).

Other approaches to the chattering elimination include:

- a) introduction of other nonlinear approximations of the discontinuous control term, for example the so called fractional approximation defined as

$$\text{approx}(s) = \frac{s}{\delta + |s|} \quad (12)$$

where δ is a small positive constant (Ambrosino *et al.*, 1984; Burton and Zinober, 1986; Spurgeon and Davies, 1993; Yu and Lloyd, 1997);

- b) replacing the boundary layer with a sliding sector (Shyu *et al.*, 1992; Xu *et al.*, 1996);
- c) using dynamic sliding mode controllers (Sira-Ramirez, 1993a; Sira-Ramirez, 1993b; Sira-Ramirez and Llanes-Santiago, 1994; Zlateva, 1996; Bartolini and Pydynowski, 1996; Rios-Bolivar *et al.*, 1997; Spurgeon and Lu, 1997; Lu and Spurgeon, 1998; Selisteanu *et al.*, 2007);
- d) using fuzzy sliding mode controllers (Palm, 1994; Palm *et al.* 1997; Choi and Kim, 1997);
- e) using second (or higher) order sliding mode controllers (Levant, 1993; Bartolini *et al.*, 1997a; Bartolini *et al.*, 1997b; Bartolini *et al.*, 1998; Levant, 2003).

The phenomenon of chattering has been extensively analysed in many papers using describing function method and various stability criteria (Shtessel and Lee, 1996; Chung and Lin, 1999; Bartoszewicz, 2000).

3. DISCRETE-TIME SMC

In sections 1 and 2 of this paper we focused our attention on continuous time systems, which can change the plant input at any instant of time t . However, nowadays controllers are usually built as

microprocessor systems and their output signal cannot change at arbitrarily selected moments, but only at the predetermined, discrete instants of time $t = kT$, where k is a natural number and T denotes the sampling (or discretisation) period. Therefore, digitally implemented SMC systems often exhibit essentially different properties from the same systems realized using only analogue devices. Those digitally implemented systems are usually called discrete time sliding mode control (DSMC) systems and they no longer ensure complete insensitivity of the controlled plant with reference to external disturbances and model uncertainty. However, they still offer some degree of robustness measured in a strictly defined sense, most often measured in terms of the switching variable magnitude.

There are two major approaches to the DSMC system design. One of them refers to the notion of the sliding hypersurface (or typically hyperplane) and the other one uses the concept of the sliding sector. The first approach is a natural generalization of the continuous time SMC idea and has been developed gradually by many authors working for various research institutions (Milosavljevic, 1984; Sarpturk *et al.* 1987; Kotta, 1989; Spurgeon, 1992; Gao *et al.*, 1995; Bartoszewicz, 1998). In general, the idea is quite similar to that described in section 2 and it comprises of selecting an appropriate sliding hyperplane $s(kT) = 0$ and choosing such a control law $u(kT)$ which ensures that $s[(k+1)T] = 0$. We will illustrate this idea with the following, very standard example. Let us consider a single input, linear discrete time system

$$\mathbf{x}[(k+1)T] = \mathbf{A}\mathbf{x}(kT) + \mathbf{b}u(kT) \quad (13)$$

where \mathbf{x} is the state vector, \mathbf{A} is an n by n state matrix and \mathbf{b} is an n by 1 input vector. Then we choose the following sliding hyperplane

$$s(kT) = \mathbf{c}^T \mathbf{x}(kT) = 0 \quad (14)$$

in the n -dimensional state space \mathfrak{R}^n , and in order to obtain $s[(k+1)T] = 0$ we select

$$u(kT) = -(\mathbf{c}^T \mathbf{b})^{-1} \mathbf{A}\mathbf{x}(kT) \quad (15)$$

Clearly vector \mathbf{c} has to be chosen in such a way that $\mathbf{c}^T \mathbf{b} \neq 0$. Substituting equations (13) and (15) into (14) one can easily notice that this controller actually brings the system RP on line (14) at the time instant $k+1$. Thus the ideal sliding motion without chattering takes place in the system. Moreover, when control strategy (15) is applied, then the closed-loop system state matrix has the following form $\mathbf{A}_c = [\mathbf{I}_n - \mathbf{b}(\mathbf{c}^T \mathbf{b})^{-1} \mathbf{c}^T] \mathbf{A}$, where $\mathbf{I}_n = \text{diag}\{1, 1, \dots, 1\}$ is an n by n identity matrix. This shows that the system dynamic performance may be tuned as desired, and various design objectives might be achieved. Those may include but are not limited to: finite time error

convergence (time optimal performance), obtained when the closed loop system characteristic polynomial has the form

$$\det(z\mathbf{I}_n - \mathbf{A}_c) = z^n, \quad (16)$$

linear-quadratic (LQ) optimal, integral absolute error (IAE) optimal, integral time multiplied by the absolute error (ITAE) optimal performance, etc.

However, as opposed to the continuous SMC systems, DSMC considered in this section, ensures that the switching variable is equal to zero only at the sampling instants, while at any time t which is not an integer multiple of the discretisation period the switching variable may attain certain values different from zero. In other words, intersampling behaviour of this variable is not determined. Furthermore, if system (13) is subject to external disturbance $\mathbf{d}(kT)$, i.e. it is described as

$$\mathbf{x}[(k+1)T] = \mathbf{A}\mathbf{x}(kT) + \mathbf{b}u(kT) + \mathbf{d}(kT) \quad (17)$$

where the absolute value of the i th component $d_i(kT)$ of vector $\mathbf{d}(kT)$ is always upper bounded by a known, non-negative value d_{imax} ($|d_i| \leq d_{imax}$), then the system RP no longer stays on line (14) even at the discrete sampling instants, but remains in a vicinity of the line

$$|s[(k+1)T]| \leq \sum_{i=1}^n |c_i| d_{imax} \quad (18)$$

instead. In other words the system RP remains in a band around the sliding hyperplane in the state space, and therefore this type of motion is sometimes called a quasi-sliding mode or a non-ideal sliding motion (Gao *et al.*, 1995; Bartoszewicz, 1996b; Bartoszewicz, 1998). Clearly, the thinner the band (smaller the band width), the better system robustness with respect to the considered disturbance is achieved.

Let us also point out that the example which has been presented in this section shows again that the notions of SMC and VSC are not equivalent. In section 1 of this paper some examples of continuous time VSS without sliding mode were presented, and this example gives an idea of a SMC system which actually is not a VSS.

The other approach to the DSMC system design exploits the notion of the sliding sector (Furuta, 1990; Chan, 1991; Furuta, 1993; Pan and Furuta, 1997; Hara *et al.*, 1998; Pan and Furuta, 2007). The sector (cone like region in the state space) is selected in such a way that if the system RP belongs to it, then the RP always approaches the state space origin.

4. NOVEL TRENDS IN SMC

SMC is currently one of the most significant research topics within the control engineering domain.

Therefore, in this section we are able to point out only a few, arbitrarily selected issues, which we believe to be the most promising and up to date trends in the field. These include, but by no means are limited to:

- design and implementation of sliding mode observers for systems with unknown inputs (Floquet *et al.*, 2007);
- application of sliding mode observers for fault detection and isolation (Yan and Edwards, 2007);
- higher order sliding modes (Levant and Alelishvili, 2007);
- neural network based sliding mode controllers (Topalov *et al.*, 2007a; Topalov *et al.*, 2007b);
- sliding mode control of dynamic nonlinear systems by output-feedback (Oliveira *et al.*, 2007);
- variable structure control without the reaching phase (Bartoszewicz and Nowacka, 2007a; Bartoszewicz and Nowacka, 2007b; Pan and Furuta, 2007);
- sliding mode control application in robotics and complex motion steering systems (Ferrara and Lombardi, 2007);
- sliding mode control in power electronics and control of electric drives and actuators (Betin and Capolino, 2007; Topalov *et al.*, 2007b);
- sliding mode control of systems in interaction with their environment (Sabanovic, 2007);
- sliding mode control of biotechnological reactors (Selisteanu *et al.*, 2007).

There are many successful applications of SMC systems reported in literature. Therefore, the examples mentioned above are by no means exhaustive and they may only present a good starting point for further analysis. Most of the examples cited in this section come from the recent special issue of International Journal of Adaptive Control and Signal Processing on Sliding Mode Control (Bartoszewicz and Patton, 2007).

5. CONCLUSION

The paper gives a brief tutorial introduction to the most fundamental issues in the field of variable structure and sliding mode control systems. Moreover, it presents selected novel trends and successful engineering applications in the field. Both continuous and discrete time sliding mode controllers are discussed. Chattering elimination and the issue of ensuring appropriate system performance are presented.

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