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# Model-Based Dynamic Sliding Mode Control and Adaptive Kalman Filter Design for Boiler-Turbine Energy Conversion System

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## Abstract

The model-based control of a boiler-turbine system (BTS) is a formidable task due to coupling in state variables, nonlinearities and constraints on the control inputs. In this paper, a model-based, multi-variable dynamic sliding mode control (DSMC) is designed for the nonlinear BTS model to maintain the drum pressure, electric power and water level at the desired levels. In DSMC, an implicit sliding manifold is designed for the water level due to its complexity and explicit dependence on the control inputs. For this purpose, an auxiliary function is computed, and the sliding mode is enforced in such a way that the system fluid density tracks the auxiliary function, and subsequently the water level tracks the desired trajectory. Owing to its complexity, the time derivative of the auxiliary function is computed using the uniform robust exact differentiator (URED). An adaptive Kalman filter (AKF) is designed for the estimation of the unmeasurable state i.e., system fluid density. The design of AKF is based on the quasi-linear model of the BTS. Furthermore, a detailed stability analysis is carried out to ensure the boundedness of the closed-loop system. The simulation results depict that the designed control scheme exhibits the desired tracking performance in the presence of external disturbances, nonlinearities, constraints on the inputs, and measurement and process noises.

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*Keywords:*

Boiler-turbine system (BTS), Multi-variable dynamic sliding mode control (DSMC), Adaptive Kalman filter (AKF), Energy conversion systems

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## 1 Introduction

A boiler-turbine system (BTS) is a critical component of an electric power plant. There are two levels of energy conversion in a BTS, initially chemical energy is converted into mechanical energy, which is further converted into electrical energy, cf. [1, 2]. The primary function of a BTS is to meet the electricity demand while keeping the drum pressure, electric power and water level within the specified limits regardless of the load variations, cf. [3]. At the beginning of the BTS operation, water enters into the economizer section before getting into the steam drum. The economizer transfers the heat of boiler stack gases to the boiler feed water and raises its temperature. The main function of the steam drum is to separate water and steam coming from the economizer and water walls, respectively. The steam generated in the steam drum is provided to the inlets of high and low-pressure turbines to generate electricity. The steam is super-heated to a high temperature before entering the turbines, cf. [1, 4].

The Researchers have been extensively working on the modeling and control of BTS for the last three decades. The control system design of a BTS has a significant importance to achieve the desired performance and for the safe operation of a power plant. However, the development of a control system for a BTS is a challenging task due to the process nonlinearities, external disturbances, strong coupling between state variables and inputs, and physical limitations imposed on the control inputs, cf. [1, 5, 6].

### 1.1. Related Work

Over the years, numerous linear and nonlinear control techniques have been designed for the BTS to achieve the desired levels of the output power, drum pressure and water by manipulating the flow rate of fuel, steam and water, respectively. In [2, 7–10], various linear controllers are designed by linearizing the nonlinear BTS model reported in [11]. Tan et al, cf. [2, 9] have designed loop shaping design based  $H_\infty$  and PID controllers for the BTS. The controllers exhibit good tracking performance in the presence of modeling inaccuracies. However, the conventional PID controller is not optimal for

32 BTS due to hard nonlinearities, cf. [1]. In [7], the nonlinear BTS model  
33 proposed in [11] is transformed into the linear parameter varying (LPV) form  
34 to design the gain scheduled controller. The simulation results show that the  
35 desired performance is achieved. In [8], Dimeno and Lee have designed PI and  
36 state feedback controllers by using the genetic algorithm (GA). The external  
37 disturbances are not considered in the control design. The results of both the  
38 controllers are compared, which show the superiority of state feedback control  
39 law. In [10], authors have linearized the BTS model proposed in [11] to design  
40 the  $H_\infty$  controller. The simulation results show the adequate performance of  
41 the designed controller both in the time and frequency domains.

42 In [6, 12–23], the model proposed in [11] is employed to design various  
43 model-based nonlinear control techniques. In [6], the BTS model is simplified  
44 to design the disturbance rejection control (DRC) and the unknown states  
45 and external disturbances are also estimated by designing a higher order slid-  
46 ing mode observer (SMO). However, large control efforts and a slight deteri-  
47 oration in output tracking are observed due to model simplification. In [12],  
48 authors have designed the robust adaptive sliding mode control (RASMC)  
49 using the input-output feedback linearization procedure. Moreover, the type-  
50 I servo controller is designed by linearizing the BTS model around a single  
51 operating point. Both the control schemes are implemented on the nonlinear  
52 model and the simulation results show the superiority of RASMC. Ghabraei  
53 et al, cf. [13] have designed the robust adaptive variable structure control  
54 (RAVSC) and  $H_\infty$  controller for the BTS. The RAVSC is designed by em-  
55 ploying almost similar methodology presented in [12]. Both the controllers  
56 are implemented on the nonlinear model and the results depict that RAVSC  
57 has slightly better performance than  $H_\infty$  controller. In [14, 15], sliding mode  
58 control (SMC) is designed for the linear model proposed in [24] and [25],  
59 respectively. The results are also compared with the  $H_\infty$  controller and it is  
60 observed that the SMC outperforms  $H_\infty$ . Ataei et al, cf. [16] have designed  
61 the SMC for the reduced order nonlinear model presented in [26]. The results  
62 of SMC are compared with PI controller which show the superiority of SMC.

63 Similarly, authors have used the feedback linearization and gain schedul-  
64 ing techniques to design the control laws for BTS, cf. [17]. The simulation  
65 results illustrate that the control design based on feedback linearization gives  
66 better performance as compared to gain-scheduling controller. In [18], the  
67 model proposed in [26] is used to design the decentralized control by em-  
68 ploying the backstepping technique. The model is partitioned into two sub-  
69 systems and the control laws are designed separately for each sub-system.

70 The desired levels of the throttle pressure and output power are maintained  
 71 by manipulating the throttle valve position and firing rate. In [19–22], fuzzy  
 72 sliding mode control (FSMC), nonlinear predictive control (NPC), robust  
 73 model predictive control (RMPC) and general active disturbance rejection  
 74 control (GADRC) are designed, respectively by linearizing the BTS model  
 75 presented in [11]. In [19], authors have designed the FSMC to eliminate the  
 76 chattering phenomenon in the conventional SMC. Moreover, the results of PI  
 77 control and SMC are compared with FSMC which show the predominancy of  
 78 FSMC. In [20], the extended kalman filter (EKF) is also used to estimate the  
 79 unknown states. In [21], authors have constructed a global LPV model by  
 80 combining the linearized models obtained at various operating points. Zhu  
 81 et al. [22] have designed the multivariable extended state observer (MESO)  
 82 for the estimation of external disturbances. The results are compared with  
 83  $H_\infty$  and model predictive control with integral action (MPC-integral), which  
 84 shows better performance of GADRC. Lei et al, cf. [23] have linearized the  
 85 BTS model presented in [27] to designed the internal model robust adaptive  
 86 control (IMRAC). Moreover, authors have designed the state predictor for  
 87 the unmeasurable state used in the control design. The IMRAC is compared  
 88 with fuzzy extended state observer based predictive control which shows the  
 89 supremacy of the designed control law. To identify the gap analysis, the  
 90 related work of nonlinear control techniques is summarized in Table 1.

### 91 1.2. Gap Analysis

92 In our previous work, cf. [28] the super-twisting based SMC is designed  
 93 for the drum boiler system (DBS). The decentralized control law is designed  
 94 based on the assumption that  $u_1$  and  $u_2$  have a significant impact on  $y_1$  and  
 95  $y_2$ , respectively. However, the decentralized controller is not feasible for the  
 96 BTS due to its highly coupled nature. It is evident in the above-mentioned  
 97 literature that mostly nonlinear control techniques are designed by assuming  
 98 that the system fluid density is directly measurable. However, it is highly un-  
 99 realistic to design the model-based control by using the unmeasurable states,  
 100 cf. [6, 29–33]. Hence, the estimator design is essential to develop a control  
 101 system for the BTS. It is also pertinent to mention that the mathematical  
 102 expression for the water level, one of the outputs of the BTS, is highly non-  
 103 linear and complex. Moreover, the water level has an explicit dependence on  
 104 the control inputs which further complicates the design of SMC. Therefore,  
 105 the direct control of water level is quite cumbersome. Most of the litera-  
 106 ture focuses on the control of drum pressure, electrical power and system

Table 1: Notable contributions for the control of BTS

Control Techniques	Year	Model Type	Major simplifications	Linearization Technique	State Estimator Design	Implementation considerations			
						Nonlinear model	Disturbances	Process noise	Measurement noise
RMPC [21]	2021		Linearization	TSE	✗	✓	✓	✗	✗
IMRAC [23]	2020		Linearization	TSE	State predictor	✓	✓	✗	✗
GADRC [22]	2019	Nonlinear	Linearization	TSE	✗	✓	✓	✗	✗
DRC [6]	2018		Assumed complex terms in $y_3$ as disturbance	✗	✗	✓	✓	✗	✓
RAVSC [13]	2018		Assumed $y_3=x_3$	Input-Output	✗	✓	✓	✗	✗
NPC [20]	2017		Linearization	TSE	EKF	✓	✓	✓	✓
RASMC [12]	2015		Assumed $y_3=x_3$	Input-Output	✗	✓	✓	✗	✗
SMC [16]	2014		Reduced order model	✗	✗	✓	✓	✗	✗
FSMC [19]	2013		Linearization	TSE	✗	✗	✓	✗	✗
SMC [15]	2012	LTV	✗	✗	✗	✗	✓	✗	✗
BBC [18]	2011	Nonlinear	Decentralized controller	✗	✗	✓	✓	✗	✗
SMC [14]	2009	LTI	✗	✗	✗	✗	✓	✗	✗

LTI= Linear time invariant; LTV= Linear time variant; TSE= Taylor series expansion  
 $x_3$ = system fluid density;  $y_3$ = water level

107 fluid density pertaining to a BTS. Furthermore, the BTS model is linearized  
108 through Taylor series expansion (TSE) for both the observer and controller  
109 designs. The linearization of highly nonlinear systems by TSE can cause  
110 instability [34–36]. Moreover, the control design based on the linear model  
111 always ensure adequate performance and stability for a limited operating  
112 range. Thus, the design of a centralized control law based on the nonlinear  
113 model along with a state estimator is essential for the BTS to address the  
114 aforesaid shortcomings.

### 115 1.3. Major Contributions

116 As described in the gap analysis, BTS is a highly coupled nonlinear sys-  
117 tem, therefore, it is not possible to figure out which output is affected by  
118 which input. Hence, practically for such systems centralized controller is a  
119 perfect choice instead of a decentralized controller to achieve the desired per-  
120 formance. Thus, in this work, a nonlinear model-based centralized dynamic  
121 sliding mode control (DSMC) is designed to maintain the drum pressure,  
122 electric power and water level at the desired levels. The primary reason to  
123 design a DSMC is to mitigate the chattering phenomena which inherently ex-  
124 ists in a conventional SMC. In the literature, the design of numerous control  
125 laws are based on the assumption that the system's fluid density is avail-  
126 able. However, in practice, this state is not directly measurable, and it is  
127 impractical to use it directly in the model-based control. For this purpose, an  
128 adaptive Kalman filter (AKF) is designed which adapts initial biased covari-  
129 ances to provide an accurate estimate the system fluid density of the BTS.  
130 DSMC is designed in such a way that the sliding mode is established in a  
131 manifold where the system fluid density attains the desired level, which is  
132 chosen in such a way that the water level follows its reference trajectory. In  
133 the gap analysis, it is also highlighted that the implementation scheme of the  
134 designed control laws is simplified by ignoring the process and measurement  
135 noises. In the proposed work, the designed control law is implemented on  
136 the nonlinear model with practical considerations like external disturbances,  
137 measurement and process noises.

138 The rest of the paper is organized as follows. The control-oriented model  
139 of the BTS is explained in Section 2, the problem statement is described in  
140 Section 3. The DSMC design and stability analysis is presented in Section 4.  
141 The design of AKF is discussed in Section 5. The simulation results are  
142 presented in Section 6 and finally, this article is concluded in Section 7.

## 143 2. Model description

144 A suitable model selection has a significant role in the model-based control  
145 design. In the literature, various mathematical models of BTS have been  
146 proposed by the researchers, cf. [11, 27, 37–39]. The mathematical model of  
147 BTS proposed by Astrom and Bell, cf. [11] is employed to design the model-  
148 based control system. The mathematical model of the BTS proposed in (1) is  
149 a first principle based model, and it provides essential physical insight about  
150 the process. This model is simple and involves lesser number of parameters

151 as compared to other models reported in the literature. Moreover, the model  
 152 is extensively used in the literature for the BTS control design. The model  
 153 equations are given as

$$\begin{aligned}
 \dot{x}_1 &= -a_{11}u_2x_1^{9/8} + a_{12}u_1 - a_{13}u_3 + d_1 + n_{p1}, \\
 \dot{x}_2 &= (a_{21}u_2 - a_{22})x_1^{9/8} - a_{23}x_2 + d_2 + n_{p2}, \\
 \dot{x}_3 &= \frac{[a_{31}u_3 - (a_{32}u_2 - a_{33})x_1]}{a_{34}} + d_3 + n_{p3},
 \end{aligned} \tag{1}$$

154 where  $\mathbf{x} \in \mathfrak{R}^{3 \times 1}$ ,  $\mathbf{u} \in \mathfrak{R}^{3 \times 1}$ ,  $\mathbf{n}_p \in \mathfrak{R}^{3 \times 1}$ ,  $\mathbf{d} \in \mathfrak{R}^{3 \times 1}$  and  $a_{ij}$  represent states,  
 155 normalized inputs, process noises, unknown input disturbances and model  
 156 parameters, respectively. The outputs are

$$\begin{aligned}
 y_1 &= x_1 + n_{m1}, \\
 y_2 &= x_2 + n_{m2}, \\
 y_3 &= a_{41}(a_{42}x_3 + a_{43}\alpha_{cs} + \frac{q_e}{a_{44}} - a_{45}) + n_{m3},
 \end{aligned} \tag{2}$$

157 where  $\mathbf{n}_m \in \mathfrak{R}^{3 \times 1}$ ,  $\alpha_{cs}$  and  $q_e$  are the measurement noises, steam quality  
 158 and evaporation rate (kg/sec), respectively. The expressions for  $\alpha_{cs}$  and  $q_e$   
 159 are given as

$$\begin{aligned}
 \alpha_{cs} &= \frac{(1 - a_{46}x_3)(a_{47}x_1 - a_{48})}{x_3(a_{49} - a_{50}x_1)}, \\
 q_e &= (a_{51}u_2 - a_{52})x_1 + a_{53}u_1 - a_{54}u_3 - a_{55}.
 \end{aligned}$$

160 The states, the inputs and the outputs are summarized in Table 2, whereas,  
 161 the model parameters are described in Table 3. [The constraints on the inputs](#)  
 162 [and their time derivatives describe the physical constraints on the actuators,](#)  
 163 [cf. \[11\], and are given as](#)

$$\begin{aligned}
 0 &\leq u_{1,2,3} \leq 1, \\
 -0.007 &\leq \dot{u}_1 \leq 0.007, \\
 -2 &\leq \dot{u}_2 \leq 0.02, \\
 -0.05 &\leq \dot{u}_3 \leq 0.05.
 \end{aligned} \tag{3}$$



Table 2: List of symbols

Symbol	Description	Units
$x_1$	Drum pressure	kg/cm <sup>2</sup>
$x_2$	Electric power	MW
$x_3$	System fluid density	kg/m <sup>3</sup>
$y_1$	Drum pressure	kg/cm <sup>2</sup>
$y_2$	Electric power	MW
$y_3$	Water level	m
$u_1$	Fuel flow rate	—
$u_2$	Steam flow rate	—
$u_3$	Water flow rate	—

Table 3: Nominal model parameters

$a_{11}=0.0018$	$a_{12}=0.9$	$a_{13}=0.15$
$a_{21}=0.073$	$a_{22}=0.016$	$a_{23}=0.1$
$a_{31}=141$	$a_{32}=1.1$	$a_{33}=0.19$
$a_{34}=85$	$a_{41}=0.05$	$a_{42}=0.13073$
$a_{43}=100$	$a_{44}=9$	$a_{45}=67.975$
$a_{46}=0.001538$	$a_{47}=0.8$	$a_{48}=25.6$
$a_{49}=1.0394$	$a_{50}=0.00123404$	$a_{51}=0.854$
$a_{52}=0.147$	$a_{53}=45.59$	$a_{54}=2.514$
$a_{55}=2.096$		

### 164 3. Problem Statement

165 To design a model-based nonlinear controller for BTS which drags the  
 166 drum pressure, electric power and water level to the desired set points. The  
 167 controller should be capable to ensure fast convergence, robustness and sta-  
 168 bility in the presence of external disturbances, and process and measurement  
 169 noises. Also, the controller should meet the physical constraints imposed on  
 170 the actuators.

### 171 4. Control Design

172 Owing to highly coupled states and inputs, a model-based, centralised  
 173 DSMC is designed for the BTS by using the nonlinear model presented in

174 (1) and (2). The step by step design procedure of DSMC is summarize as  
 175 follows:

- 176 1. The sliding variable vector  $\sigma = [\sigma_1 \ \sigma_2 \ \sigma_3]^T$  is selected such that the  
 177 sliding mode shows the desired characteristics.
- 178 2. For obtaining continuous control input, a DSMC is designed by in-  
 179 tentinally adding an integrator to enforce sliding mode in the time-  
 180 derivative of the control input.
- 181 3. It can be seen in (2) that  $y_3$  has a relative degree 0 with respect to  
 182 all the control inputs. Therefore, enforcing the conventional sliding  
 183 mode, i.e.,  $y_3 \rightarrow r_3$  through the sliding variables in (4) can render  
 184 discontinuous terms in the right hand side of  $y_3$ , cf. (2). Hence, in  
 185 order to avoid discontinuity and to obtain consistency in the relative  
 186 degree, the sliding mode is enforced such that  $x_3 \rightarrow x_{3f}$ , where  $x_{3f}$  is  
 187 an auxiliary function of the states and selected such that  $y_3 \rightarrow r_3$ .
- 188 4. For controller synthesis  $\dot{x}_{3f}$  is also required. In order to avoid complex  
 189 mathematical computations,  $\dot{x}_{3f}$  is numerically obtained by uniform  
 190 robust exact differentiator (URED) of [40]
- 191 5. A detailed stability analysis is carried out to prove that the closed-loop  
 192 system is stable, even in the presence of modeling imperfections and  
 193 external disturbances. Moreover, the maximum bounds of the allowable  
 194 disturbances are also computed.

#### 195 4.1. Dynamic Sliding Mode Control design

196 The vector of sliding variables is chosen to achieve the desired levels of  
 197 drum pressure, electric power and water level. The sliding variables  $\sigma_i$  are  
 198 selected as

$$\sigma_i = \dot{e}_i + \lambda_i e_i, \quad i = 1, 2, 3, \quad (4)$$

where  $e_1 = y_1 - r_1$ ,  $e_2 = y_2 - r_2$ ,  $e_3 = x_3 - x_{3f}$  and  $\lambda_i \in \mathfrak{R}^+$  are the design parameters. While,  $r_1$  and  $r_2$  are the desired levels of drum pressure and electric power respectively. The auxiliary function  $x_{3f}$  is computed by solving the third equation in (2) with  $y_3 = r_3$ , which yields the following quadratic equation

$$\varphi x_{3f}^2 + \beta x_{3f} + \gamma = 0, \quad (5)$$

where  $r_3$  is the desired water level and the parameters  $\varphi$ ,  $\beta$  and  $\gamma$  are expressed as follows

$$\begin{aligned}\varphi &= a_{41}a_{42}, \\ \beta &= -r_3 - a_{41}a_{45} - \left( \frac{a_{41}a_{43}a_{46}(a_{47}x_1 - a_{48})}{(a_{49} - a_{50}x_1)} \right) \\ &\quad + \left( \frac{a_{41}}{a_{44}}x_1(a_{51}u_2 - a_{52}) + a_{53}u_1 - a_{54}u_3 - a_{55} \right), \\ \gamma &= \frac{a_{41}a_{43}(a_{47}x_1 - a_{48})}{(a_{49} - a_{50}x_1)}.\end{aligned}$$

199 The solution of (5) is given as

$$x_{3f} = \frac{-\beta \pm \sqrt{\beta^2 - 4\varphi\gamma}}{2\varphi}.$$

200

201 Depending on the values of the model parameters, cf. Table 3, both values  
202 of  $x_{3f}$  are positive, real and distinct. By consulting the literature, we have  
203 opted for the higher value of  $x_{3f}$ . The time derivatives of errors and  $\sigma$  are  
204 determined as follow

$$\begin{bmatrix} \dot{e}_1 \\ \dot{e}_2 \\ \dot{e}_3 \end{bmatrix} = \begin{bmatrix} a_{12} & a_{11}x_1^{9/8} & -a_{13} \\ 0 & a_{21}x_1^{9/8} & 0 \\ 0 & -\frac{a_{32}}{a_{34}}x_1 & \frac{a_{31}}{a_{34}} \end{bmatrix} \begin{bmatrix} u_1 \\ u_2 \\ u_3 \end{bmatrix} - \begin{bmatrix} \dot{r}_1 \\ \dot{r}_2 + a_{22}x_1^{9/8} + a_{23}x_2 \\ \dot{x}_{3f} - \frac{a_{33}}{a_{34}}x_1 \end{bmatrix}, \quad (6)$$

205

$$\begin{aligned}\begin{bmatrix} \dot{\sigma}_1 \\ \dot{\sigma}_2 \\ \dot{\sigma}_3 \end{bmatrix} &= \begin{bmatrix} -\frac{9}{8}a_{11}u_2x_1^{1/8} + \lambda_1 & 0 & 0 \\ \frac{9}{8}x_1^{1/8}(a_{21}u_2 - a_{22}) & -a_{23} + \lambda_2 & 0 \\ \frac{[(a_{33} - a_{32}u_2)]}{a_{34}} & 0 & \lambda_3 \end{bmatrix} \begin{bmatrix} \dot{x}_1 \\ \dot{x}_2 \\ \dot{x}_3 \end{bmatrix} + \begin{bmatrix} \lambda_1 d_1 + \dot{d}_1 \\ \lambda_2 d_2 + \dot{d}_2 \\ \lambda_3 d_3 + \dot{d}_3 \end{bmatrix} \\ &+ \begin{bmatrix} a_{12} & -a_{11}x_1^{9/8} & -a_{13} \\ 0 & a_{21}x_1^{9/8} & 0 \\ 0 & -\frac{a_{32}}{a_{34}}x_1 & \frac{a_{31}}{a_{34}} \end{bmatrix} \begin{bmatrix} \dot{u}_1 \\ \dot{u}_2 \\ \dot{u}_3 \end{bmatrix} - \begin{bmatrix} \lambda_1 \dot{r}_1 + \ddot{r}_1 \\ \lambda_2 \dot{r}_2 + \ddot{r}_2 \\ \lambda_3 \dot{x}_{3f} + \ddot{x}_{3f} \end{bmatrix}. \quad (7)\end{aligned}$$

206 The unknown disturbances ( $\mathbf{d} = [d_1 \ d_2 \ d_3]^T$ ) are assumed norm-bounded  
207 in  $C^1$ , i.e.  $|\mathbf{d}(\mathbf{t})| \leq \rho$ , where  $\rho$  is unknown for the controller. The computation

208 of time derivatives of  $x_{3f}$  is a formidable task due to its high complexity. For  
 209 this purpose, the uniform robust exact differentiator (URED) is employed.  
 210 The error ( $\Theta$ ) between input ( $x_{3f}$ ) and the estimated ( $\hat{x}_{3f}$ ) signal is given as

$$\Theta = x_{3f} - \hat{x}_{3f}. \quad (8)$$

211 Now by using the super twisting algorithm (STA), the time derivatives  
 212 of the estimated signal are

$$\begin{aligned} \dot{\hat{x}}_{3f} &= -F_1 \Pi_1(\Theta) + \hat{x}_{3f}, \\ \dot{\hat{\dot{x}}}_{3f} &= -F_2 \Pi_2(\Theta), \end{aligned} \quad (9)$$

213 where  $F_1, F_2 \in R^+$ . The functions  $\Pi_1(\Theta)$  and  $\Pi_2(\Theta)$  are given below.

$$\begin{aligned} \Pi_1(\Theta) &= |\Theta|^{\frac{1}{2}} \operatorname{sgn}(\Theta) + \mu |\Theta|^{\frac{3}{2}} \operatorname{sgn}(\Theta), \\ \Pi_2(\Theta) &= \frac{1}{2} \operatorname{sgn}(\Theta) + 2\mu\Theta + \frac{3}{2}\mu^2 |\Theta|^2 \operatorname{sgn}(\Theta), \end{aligned} \quad (10)$$

214 where  $\mu \geq 0$  is a scalar, and the terms  $|\Theta|^{\frac{3}{2}} \operatorname{sgn}(\Theta)$  and  $|\Theta|^2 \operatorname{sgn}(\Theta)$  give  
 215 uniform convergence irrespective of the initial conditions of the differentia-  
 216 tor [40]. Similarly  $\ddot{x}_{3f}$  is also computed using the same procedure. The con-  
 217 tinuous part of the control input  $\mathbf{v}_{\mathbf{eq}} = \dot{\mathbf{u}}_{\mathbf{eq}} = [v_{eq1}, v_{eq2}, v_{eq3}]^T$  is computed  
 218 by solving  $\dot{\sigma} = 0$ . Thus, the equivalent control is

$$\begin{aligned} \begin{bmatrix} v_{eq1} \\ v_{eq2} \\ v_{eq3} \end{bmatrix} &= \begin{bmatrix} a_{12} & -a_{11}x_1^{9/8} & -a_{13} \\ 0 & a_{21}x_1^{9/8} & 0 \\ 0 & -\frac{a_{32}}{a_{34}}x_1 & \frac{a_{31}}{a_{34}} \end{bmatrix}^{-1} \left( \begin{bmatrix} \lambda_1 \dot{r}_1 + \ddot{r}_1 \\ \lambda_2 \dot{r}_2 + \ddot{r}_2 \\ \lambda_3 \dot{x}_{3f} + \ddot{x}_{3f} \end{bmatrix} \right. \\ &\quad \left. + \begin{bmatrix} \frac{9}{8}a_{11}u_2x_1^{1/8} - \lambda_1 & 0 & 0 \\ -\frac{9}{8}x_1^{1/8}(a_{21}u_2 - a_{22}) & a_{23} - \lambda_2 & 0 \\ -\frac{[(a_{33}-a_{32}u_2)]}{a_{34}} & 0 & -\lambda_3 \end{bmatrix} \begin{bmatrix} \dot{x}_1 \\ \dot{x}_2 \\ \dot{x}_3 \end{bmatrix} \right), \end{aligned}$$

and the above expression can be written as

$$\mathbf{v}_{\mathbf{eq}} = B^{-1}F. \quad (11)$$

219

Hence, the overall DSMC control law becomes

$$\dot{\mathbf{u}} = B^{-1}F - N \operatorname{sgn}(\sigma), \quad (12)$$

220 where  $N = \begin{bmatrix} N_1 & 0 & 0 \\ 0 & N_2 & 0 \\ 0 & 0 & N_3 \end{bmatrix}$  and  $N_1, N_2, N_3 \in \mathfrak{R}^+$ .

221 The controller in (12) is called the dynamic SMC because the discontin-  
222 uous term is introduced in the time derivative of the control input. Conse-  
223 quently, (12) is integrated to yield the control input.

#### 224 4.2. Stability Analysis

225 To be able to use a Lyapunov function to determine the stability condi-  
226 tions of the sliding mode, the control components in (7) are replaced with  
227 the corresponding expressions found in (12), yielding

$$\underbrace{\begin{bmatrix} \dot{\sigma}_1 \\ \dot{\sigma}_2 \\ \dot{\sigma}_3 \end{bmatrix}}_{\dot{\sigma}} = - \underbrace{\begin{bmatrix} a_{12}N_1 & -a_{11}x_1^{9/8}N_2 & -a_{13}N_3 \\ 0 & a_{21}x_1^{9/8}N_2 & 0 \\ 0 & -\frac{a_{32}}{a_{34}}x_1N_2 & \frac{a_{31}}{a_{34}}N_3 \end{bmatrix}}_{D(x)} \underbrace{\begin{bmatrix} \operatorname{sgn}(\sigma_1) \\ \operatorname{sgn}(\sigma_2) \\ \operatorname{sgn}(\sigma_3) \end{bmatrix}}_{\operatorname{sgn}(\sigma)} + \underbrace{\begin{bmatrix} \lambda_1 d_1 + \dot{d}_1 \\ \lambda_2 d_2 + \dot{d}_2 \\ \lambda_3 d_3 + \dot{d}_3 \end{bmatrix}}_{\tilde{d}}. \quad (13)$$

The above equation can also be presented in a compact form as

$$\dot{\sigma} = -D(x) \operatorname{sgn}(\sigma) + \tilde{d}. \quad (14)$$

To prove the convergence of the sliding mode, a Lyapunov function of the form stated below is chosen

$$V = |\sigma_1| + |\sigma_2| + |\sigma_3|, \quad (15)$$

The time derivative of the above Lyapunov function is calculated to be

$$\begin{aligned} \dot{V} &= \frac{\partial V}{\partial \sigma_1} \dot{\sigma}_1 + \frac{\partial V}{\partial \sigma_2} \dot{\sigma}_2 + \frac{\partial V}{\partial \sigma_3} \dot{\sigma}_3, \\ &= \frac{\sigma_1}{|\sigma_1|} \dot{\sigma}_1 + \frac{\sigma_2}{|\sigma_2|} \dot{\sigma}_2 + \frac{\sigma_3}{|\sigma_3|} \dot{\sigma}_3, \\ &= \operatorname{sgn}(\sigma_1) \dot{\sigma}_1 + \operatorname{sgn}(\sigma_2) \dot{\sigma}_2 + \operatorname{sgn}(\sigma_3) \dot{\sigma}_3. \end{aligned} \quad (16)$$

The above equation can also be written in a compact form as

$$\dot{V} = \text{sgn}^T(\sigma)\dot{\sigma}. \quad (17)$$

228 The convergence conditions for the nominal system and the perturbed  
229 system are presented separately in the subsequent sections.

230 *4.2.1. Stability of Nominal System*

For the nominal system, the disturbance term  $\tilde{d}$  in (14) is eliminated. Therefore, the time derivative of the sliding variable for the nominal system is represented as

$$\dot{\sigma} = -D(x) \text{sgn}(\sigma). \quad (18)$$

231 According to [41], for  $\dot{\sigma}$  written in the above form, if the matrix  $D$  is  
232 positive definite, then the origin is a finite time stable equilibrium point.  
233 The matrix  $D$ , presented in (13) can be proven to be positive definite if all  
234 of its leading principal minors  $M_{ij}$ , are positive:

$$\begin{aligned} M_{11} &= \frac{a_{31}}{a_{34}} N_3, \\ M_{22} &= \frac{a_{12}a_{31}}{a_{34}} x_1^{9/8} N_2 N_3, \\ M_{33} &= \frac{a_{12}^2 a_{31}}{a_{34}} x_1^{9/8} N_1 N_2 N_3. \end{aligned} \quad (19)$$

235 Since all the components  $N_i, a_{ij}$  and  $x_i \in \mathfrak{R}^+$ , hence, all the principal  
236 minors in (19) are positive. Therefore, the matrix  $D$  is positive definite and  
237 hence it is proved that the origin  $\sigma = 0$  is a finite time stable equilibrium  
238 point.

239 *4.2.2. Stability of Perturbed System*

240 The results of nominal stability can be extended for the perturbed system  
241 defined in (13). For  $\sigma(x) = 0$  to be a sliding manifold, it is sufficient that  
242 matrix  $D$  is positive definite and

$$\begin{aligned} \lambda_0 &> \tilde{d}_0 \sqrt{m} \text{ with } \lambda_{\min}(x) > \lambda_0 > 0, \\ &\|\tilde{d}(t)\| < \tilde{d}_0, \end{aligned} \quad (20)$$

244 where  $m$  is the number of inputs,  $\lambda_0 \in \Re^+$ ,  $\tilde{d}_0$  is the upper bound of  
 245 vector  $\tilde{d}$  defined in (14), and  $\lambda_{min}(x)$  is the minimum eigenvalue of  $\frac{D+D^T}{2}$ .  
 246 Then the time derivative of Lyapunov function will be of the form

$$\dot{V}(t) \leq \tilde{d}_0 \sqrt{m} - \lambda_0 < 0. \quad (21)$$

The upper bound of the disturbance vector  $\tilde{d}(t)$  and hence the value of  $\tilde{d}_0$  are computed analytically is known. The design parameters of sliding mode in (4) are chosen as  $\lambda_1 = 0.02$ ,  $\lambda_2 = 0.2$  and  $\lambda_3 = 0.1$ . The profiles of the disturbances given in [12] are selected to evaluate the robustness of the proposed control scheme

$$\begin{aligned} d_1(t) &= 30 \times 10^{-4} \cos(0.5t), \\ d_2(t) &= 30 \times 10^{-4} \cos(0.5t), \\ d_3(t) &= 30 \times 10^{-4} \cos(0.75t). \end{aligned} \quad (22)$$

By replacing the values of  $\lambda_i$  and  $d_i(t)$ , the expressions for  $\tilde{d}_i(t)$  becomes

$$\begin{aligned} \tilde{d}_1(t) &= 30 \times 10^{-4} (\lambda_1 \cos(0.5t) - 0.5 \sin(0.5t)), \\ \tilde{d}_2(t) &= 30 \times 10^{-4} (\lambda_2 \cos(0.5t) - 0.5 \sin(0.5t)), \\ \tilde{d}_3(t) &= 30 \times 10^{-4} (\lambda_3 \cos(0.75t) - 0.75 \sin(0.75t)). \end{aligned} \quad (23)$$

By considering the fact that the maximum value of trigonometric functions in (23) will be 1, the upper bound of  $\tilde{d}$  is found to be

$$\tilde{d} = [-0.0014 \quad -0.0009 \quad -0.0020]^T, \quad (24)$$

247 and the norm of  $\tilde{d}$  is calculated to be  $\|\tilde{d}(t)\| = 0.0026$ . Hence, according to  
 248 the condition (20),  $\tilde{d}_0 = 0.003$ .

249 As the matrix  $D$  is state dependent, hence the right hand side of the  
 250 inequality in (21) is evaluated numerically. It can be observed in Fig. 1 that  
 251 (21) holds for the whole length of the simulations, therefore,  $\sigma = 0$  is a  
 252 sliding manifold and sliding mode occurs after a finite time interval, even for  
 253 the perturbed system.

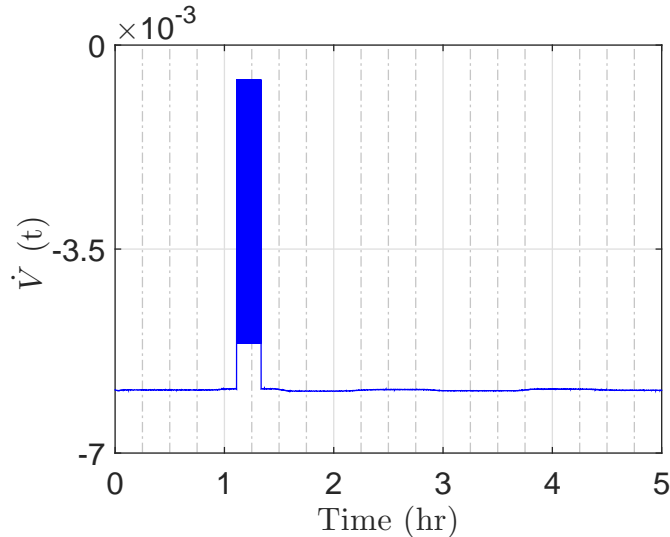


Figure 1: Time derivative of Lyapunov function.

## 254 5. Adaptive Kalman Filter Design

255 In order to make the model-based control design possible, the unknown  
 256 state of BTS, i.e.,  $x_3$  needs to be estimated. Therefore, the AKF is designed  
 257 to reconstruct  $x_3$ . The effect of process and measurement noises is also  
 258 included in the system since the performance of the KF depends on sensor  
 259 and process noise covariances [42]. Generally, in practical applications these  
 260 covariances are partially known or completely unknown [42]. Hence, in order  
 261 to improve the performance of KF, the initial biased unknown covariance  
 262 matrices are adapted using AKF which works on the principle of extended  
 263 Kalman filter (EKF). The filter adapts the unknown initial biased values of  
 264 covariances through its adaptation rules and provides better estimates along  
 265 with improved noise cancellation [42].

The nonlinear model of the BTS in (1) is first discretized and then decomposed using quasi-linear approach [43] in order to implement linear-discrete AKF framework, cf. [42]. The nonlinear model of the BTS in (1) can be written in a compact form as

$$\dot{x} = f(x) + b(x)u + d + n_p, \quad (25)$$



where  $f, d, n_p \in \mathbb{R}^3$  and  $b \in \mathbb{R}^{3 \times 3}$  are characterized as

$$f(x) = \begin{bmatrix} 0 \\ -a_{22}x_1^{9/8} - a_{23}x_2 \\ \frac{a_{33}}{a_{34}}x_1 \end{bmatrix},$$

$$b(x) = \begin{bmatrix} a_{12} & -a_{11}x_1^{9/8} & -a_{13} \\ 0 & a_{21}x_1^{9/8} & 0 \\ 0 & -\frac{a_{32}}{a_{34}}x_1 & \frac{a_{31}}{a_{34}} \end{bmatrix}, d = \begin{bmatrix} d_1 \\ d_2 \\ d_3 \end{bmatrix}, n_p = \begin{bmatrix} n_{p1} \\ n_{p2} \\ n_{p3} \end{bmatrix}. \quad (26)$$

266 The model is discretized with a step size of  $\Delta t = 0.01$  s, by using explicit  
267 Euler method, cf. [44]. The discrete nonlinear form of BTS is given as

$$x_{k+1} = x_k + f(x_k) + Bu(k) + D + N, \quad (27)$$

268 where  $f(x_k) = \Delta t f(x(t))$ ,  $B = \Delta t b$ ,  $D = \Delta t d$  and  $N = \Delta t n_p$ .

Similarly, the output  $y$  given in (2) can be written in compact and discrete form as

$$y_k = h(x_k) + l(x_k)u_k + \Omega + n_{mk}, \quad (28)$$

269 where  $y_k \in \mathbb{R}^3$ ,  $h \in \mathbb{R}^3$ ,  $l \in \mathbb{R}^{3 \times 3}$ ,  $n_m \in \mathbb{R}^3$  and constant vector  $\Omega \in \mathbb{R}^3$  are  
270 given as

$$h(x_k) = \begin{bmatrix} x_{1k} \\ x_{2k} \\ a_{41} \left( a_{42}x_{3k} + a_{43} \left( \frac{(1-a_{46}x_{3k})(a_{47}x_{1k}-a_{48})}{x_{3k}(a_{49}-a_{50}x_{1k})} \right) - \frac{a_{52}x_{1k}+a_{55}}{a_{44}} - a_{45} \right) \end{bmatrix},$$

$$l(x_k) = \begin{bmatrix} 0 & 0 & 0 \\ 0 & 0 & 0 \\ \frac{a_{41}a_{53}}{a_{44}} & \frac{a_{41}a_{51}}{a_{44}}x_{1k} & -\frac{a_{41}a_{54}}{a_{44}} \end{bmatrix},$$

$$\Omega = \begin{bmatrix} 0 \\ 0 \\ -(a_{41}a_{45} - \frac{a_{41}a_{55}}{a_{44}}) \end{bmatrix}, n_{mk} = \begin{bmatrix} n_{mk1} \\ n_{mk2} \\ n_{mk3} \end{bmatrix}. \quad (29)$$

In the second step, Eqs. (27) and (28) are decomposed using quasi-linear approach as proposed in [43] to have the following state-space representation,

comprising of state dependent matrices

$$\begin{aligned}x_{k+1} &= A(x_k) x_k + B(x_k)u_k + D + n_{pk}, \\y_k &= C(x_k) x_k + l(x_k)u_k + \Omega + n_{mk},\end{aligned}\tag{30}$$

where  $A(x_k) \in \mathbb{R}^{3 \times 3}$ ,  $B \in \mathbb{R}^{3 \times 1}$  and  $C(x_k) \in \mathbb{R}^{3 \times 3}$ . The state dependent matrices  $A(x_k)$  and  $C(x_k)$  correspond to the quasi-linear form of  $f(x_k)$  and  $h(x_k)$  given in Eqs. (26) and (29), respectively are given as

$$\begin{aligned}A(x_k) &= \begin{bmatrix} | & | & | \\ r_1 & r_2 & r_3 \\ | & | & | \end{bmatrix}, \\C(x_k) &= \begin{bmatrix} | & | & | \\ c_1 & c_2 & c_3 \\ | & | & | \end{bmatrix}.\end{aligned}\tag{31}$$

The elements of  $A(x_k)$  and  $C(x_k)$  are obtained by using following expression as given in [43]

$$r_k = \nabla f_k(x_k) + \frac{f_k(x_k) - x_k^T \nabla f_k(x_k)}{\|x_k\|^2} x_k, \quad x_k \neq 0.\tag{32}$$

$$c_k = \nabla h_k(x_k) + \frac{h_k(x_k) - x_k^T \nabla h_k(x_k)}{\|x_k\|^2} x, \quad x_k \neq 0,\tag{33}$$

271 where  $\nabla(\cdot)$  is the gradient of a smooth vector field in the direction of  
272 state trajectories.

273 Now, AKF is designed for the following system

$$\begin{aligned}x_{k+1} &= A(x_k) x_k + B(x_k)u_k + D + n_{pk}, \\y_k &= C(x_k) x_k + l(x_k)u_k + \Omega + n_{mk}, \\n_{pk} &\sim \mathcal{N}(0, Q_k), \\n_{mk} &\sim \mathcal{N}(0, R_k), \\E[(n_{mk} \ n_{mk}^T)] &= R_k \delta_{k-j}, \\E[(n_{pk} \ n_{pk})] &= Q_k \delta_{k-j}, \\E[(n_{pk} \ n_{mk}^T)] &= 0,\end{aligned}\tag{34}$$

274 where the kronecker delta function  $\delta_{k-j} = 1$  if  $k = j$  and  $\delta_{k-j} = 0$  if  
 275  $k \neq j$ . Both process noise  $n_{pk}$  and sensor noise  $n_{mk}$  are white, zero mean,  
 276 uncorrelated and with unknown covariance matrices  $Q_k \in \mathbb{R}^{3 \times 3}$  and  $R_k \in$   
 277  $\mathbb{R}^{3 \times 3}$ , respectively.

278 The idea behind AKF is to add two recursive unbiased updating rules for  
 279 the measurement noise covariance  $R_k$  and process noise covariance  $Q_k$ . These  
 280 rules are derived based on the covariance matching principle [42]. Also, up-  
 281 dating rules have the ability to tune the noise covariance matrices to attain  
 282 better performance. The AKF algorithm is solved similar to KF in three  
 283 steps, i.e. initialization, prediction update and measurement update. The  
 284 first step is similar to conventional KF. But the other two steps of conven-  
 285 tional KF are modified using updating rules R1 and R2 which are as follows

**Initialization:**

The initial values of posteriori state estimate ( $\hat{x}_0^+$ ), posteriori state estimate error covariance matrix ( $P_0^+$ ), and the initial process ( $Q_0$ ) and measurement ( $R_0$ ) covariance matrices are given as

$$\begin{aligned}
 \hat{x}_0^+ &= E(\hat{x}_0) , \\
 P_0^+ &= E[(x_0 - \hat{x}_0^+)(x_0 - \hat{x}_0^+)^T], \\
 Q_0 &= \text{diag} (q_{1,1}, q_{2,2}, q_{3,3}), \\
 R_0 &= \text{diag} (v_{1,1}, v_{2,2}, v_{3,3}), \tag{35}
 \end{aligned}$$

286 where  $q_{i,i}$  and  $v_{i,i}$  are the diagonal values of covariance matrices  $Q_0$  and  $R_0$   
 287 respectively.

**R1- Measurement covariance update rule:**

The adaptation of  $R_k$  is calculated with the measurement error update in Eq. (38), which uses the conventional time update step of KF equations

given in (36) and (37), respectively.

$$\hat{x}_k^- = A(x_k)\hat{x}_{k-1} + B(x_k)u_{k-1}, \quad (36)$$

$$P_k^- = A(x_k)P_{k-1}A(x_k)^T + Q_{k-1}, \quad (37)$$

$$e_k = z_k - (C(x_k)\hat{x}_k^- + l(x_k)u_k + \Omega), \quad (38)$$

$$\alpha_1 = \frac{N_R - 1}{N_R}, \quad (39)$$

$$\bar{e}_k = \alpha_1\bar{e}_{k-1} + \frac{1}{N_R}e_k, \quad (40)$$

$$\Delta R_k = \frac{1}{N_R - 1}(e_k - \bar{e}_k)(e_k - \bar{e}_k)^T - \frac{1}{N_R}C(x_k)P_k^-C(x_k)^T, \quad (41)$$

$$R_k = | \text{diag}(\alpha_1 R_{k-1} + \Delta R_k) |. \quad (42)$$

288 where  $z^T = [y_1 \ y_2 \ y_3]$  is a vector of measured outputs.

289

290 **R2- Process covariance update rule:** For the adaptation of  $Q_k$ , we  
 291 need to calculate the state estimation error in (46) by using the conventional  
 292 KF design steps given in (43) to (45)

$$K_k = P_k^-C(x_k)^T(C(x_k)P_k^-C(x_k)^T + R_k)^{-1}, \quad (43)$$

$$\hat{x}_k = \hat{x}_k^- + K_k e_k, \quad (44)$$

$$P_k = (I - K_k C(x_k))P_k^-, \quad (45)$$

$$\hat{w}_k = \hat{x}_k - \hat{x}_k^-, \quad (46)$$

$$\alpha_2 = \frac{N_Q - 1}{N_Q}, \quad (47)$$

$$\bar{w}_k = \alpha_2\bar{w}_{k-1} + \frac{1}{N_Q}\hat{w}_k, \quad (48)$$

$$\Delta Q_k = \frac{1}{N_Q}(P_k - A(x_k)P_k^-(A(x_k))^T) + \frac{1}{N_Q - 1}(\hat{w}_k - \bar{w}_k)(\hat{w}_k - \bar{w}_k)^T, \quad (49)$$

$$Q_k = | \text{diag}(\alpha_2 Q_{k-1} + \Delta Q_k) |. \quad (50)$$

293 The implementation of AKF has also been shown in Fig. 2 and results of  
 294 AKF are discussed in Section 6.

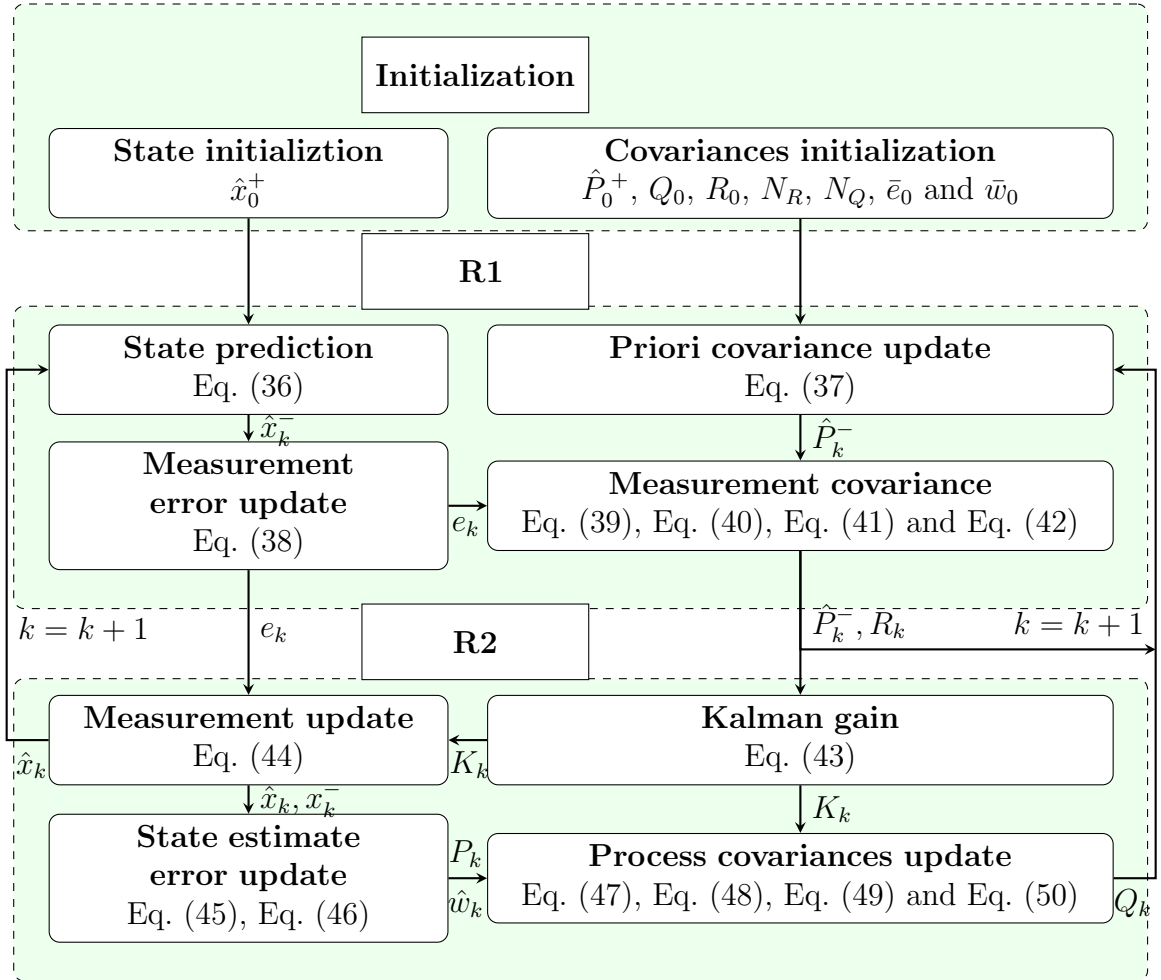


Figure 2: AKF implementation for robust estimation of BTS system.

## 295 6. Results and Discussions

296 In this section, the designed DSMC is implemented on the actual nonlinear  
 297 model in the presence of external disturbances and noises. The imple-  
 298 mentation scheme is shown in Fig. 3. Moreover, the performance of DSMC  
 299 is compared with PI controller. The practical scenario is presented by incor-  
 300 porating the following practical considerations.

- The noises given in (1) and (2) are considered during the simulation study to investigate their impact on the performance of the DSMC and

AKF. These noises are classified into the process noises,  $n_{p1}$ ,  $n_{p2}$  and  $n_{p3}$ , and the measurement noises,  $n_{m1}$ ,  $n_{m2}$  and  $n_{m3}$ , and they are generated by using the additive white Gaussian distribution. The process noises has zero mean and variance  $1 \times 10^{-4}$  and the measurement noises considered in (2) are represented by the following expressions

$$\begin{aligned} n_{m1} &\sim \mathcal{N}(0, 1.96), \\ n_{m2} &\sim \mathcal{N}(0, 4.62), \\ n_{m3} &\sim \mathcal{N}(0, 2.61 \times 10^{-4}). \end{aligned} \tag{51}$$

301

302 • The desired trajectories of the outputs are selected based on the  
303 typical operating points of BTS given in, cf. [11].

304 • The gains of DSMC are selected as  $N_1 = 0.007, N_2 = 0.02$  and  $N_3 =$   
305  $0.05$ . These gains are selected such that the bounds on the time deriva-  
306 tives of the control inputs, cf. (3) are satisfied.

307 •  $F_1 = 0.3, F_2 = 0.05$  and  $\mu = 0.7$  are chosen for the URED given in  
308 (9) and (10).

309 • The closed-loop system is solved by choosing a fixed step ode3 solver  
310 with a step size of 0.01 s.

311 • The structure used for PI controller is as follow

$$u_{PI_i} = K_{p_i} e_i(t) + K_{I_i} \int_0^t e_i(t) d\tau \tag{52}$$

312 where  $K_{p_i}$  and  $K_{I_i}$  are proportional and integral gains, respectively,  
313  $e_i = y_i - r_i, i \in \{1, 2, 3\}$  represents the tracking error for drum pressure,  
314 electric power and water level of the BTS, respectively. Moreover, the  
315 gains selected for PI controllers are  $K_{p_1} = 0.07, K_{p_2} = 0.007, K_{p_3} = 1.7,$   
316  $K_{I_1} = 0.001, K_{I_2} = 0.001$  and  $K_{I_3} = 0.01$ .

317 The simulations are performed using MATLAB/Simulink. The results  
318 shown in Fig. 4 depict that the designed DSMC successfully tracks each out-  
319 put to their desired level in the presence of external disturbances and noises.

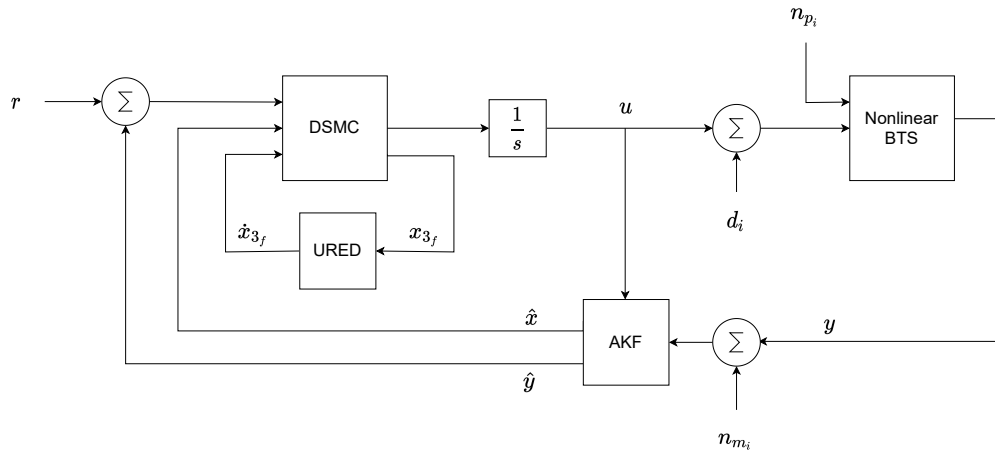
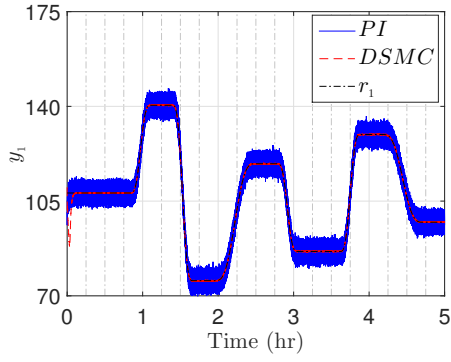
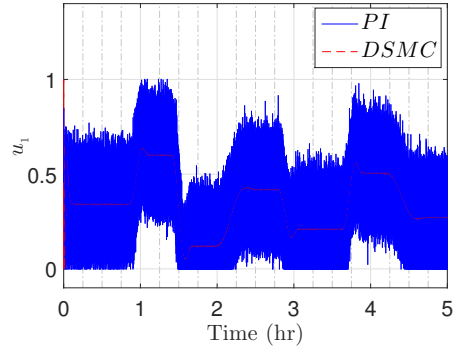


Figure 3: Implementation scheme for BTS control system.

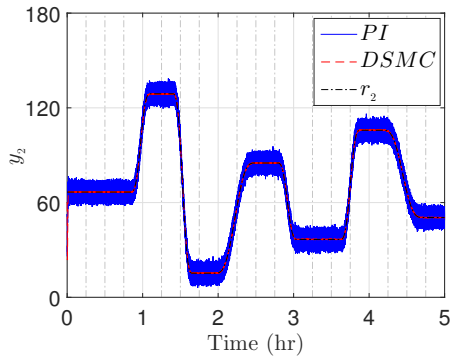
320 It is pertinent to mention here that the filtered/estimated versions of the  
 321 outputs have been used in the controller design because the measurements  
 322 are noisy, cf. Fig. 7. The corresponding control efforts are also shown in  
 323 Fig. 4. The disturbance rejection capability of DSMC is assessed by in-  
 324 troducing input disturbances at 1.1 hr, and the profiles of disturbances are  
 325 shown in Fig. 5. It is evident in Fig. 4 that the DSMC rejects the input  
 326 disturbances by manipulating the control variables. Moreover, it maintains  
 327 the control inputs within the allowed operating range. Hence, the designed  
 328 DSMC exhibits adequate performance and robustness against the noises, ex-  
 329 ternal disturbance and modeling imperfections. It is worth observing that  
 330 the designed control law does not exhibit the chattering phenomena, and the  
 331 continuous control inputs are produced to achieve the desired control objec-  
 332 tives. The time profiles of sliding variables and the tracking errors have been  
 333 shown in Fig. 6. It can be seen that sliding mode is enforced in the manifold  
 334  $\sigma_i = 0$  and  $e_i \rightarrow 0$ , where  $i=1,2,3$ .



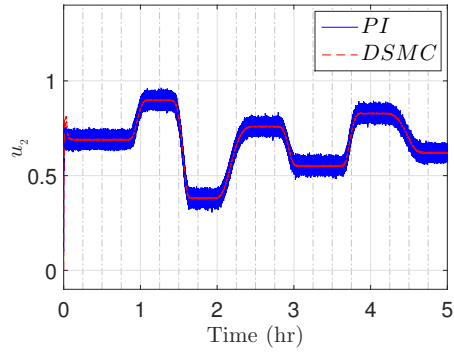
(a) Drum pressure with time



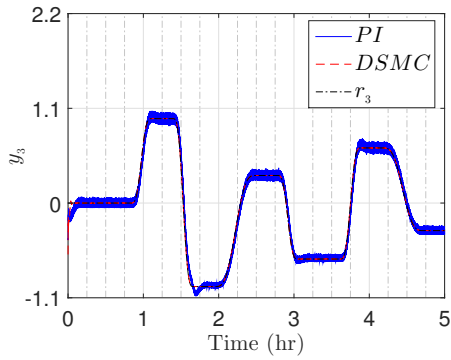
(b) Fuel flow rate with time



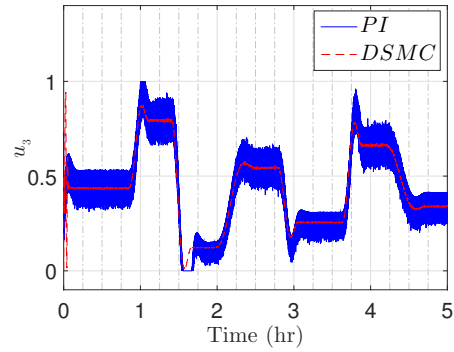
(c) Electric power with time



(d) Steam flow rate with time



(e) Water level with time



(f) Water flow rate with time

Figure 4: Outputs of the closed-loop and normalized control inputs with time



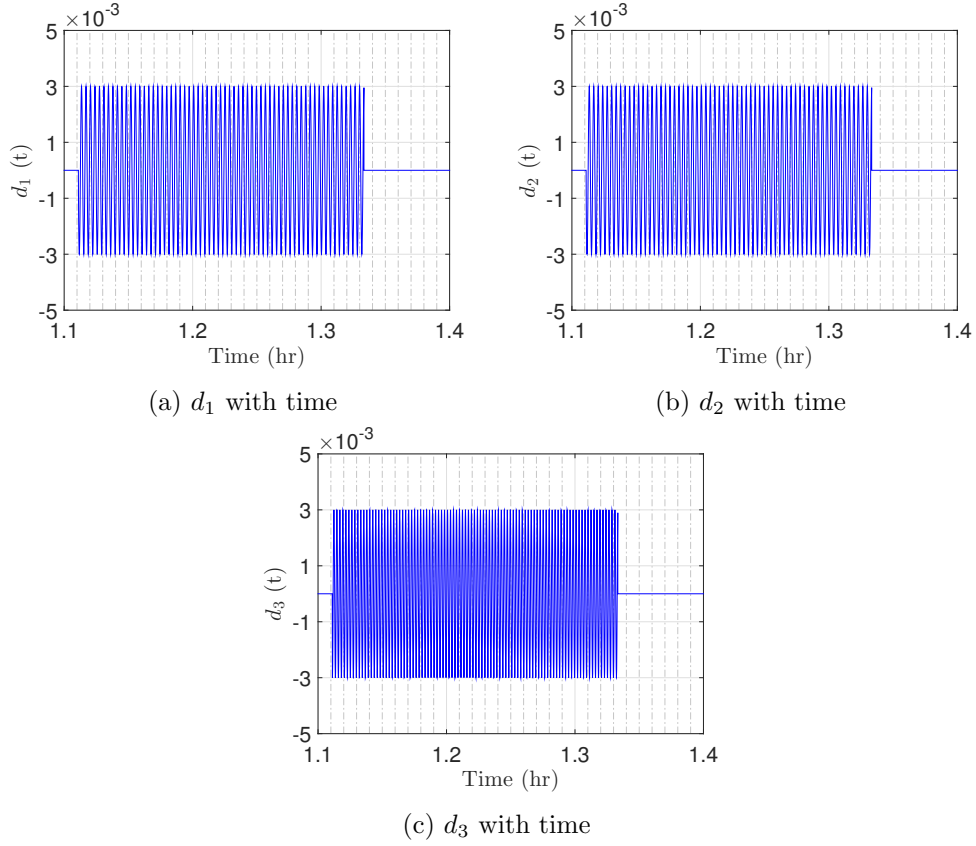


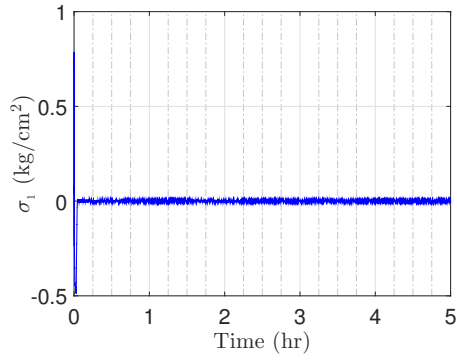
Figure 5: Input disturbances profile with time.

The effectiveness of DSMC is shown by making a quantitative analysis between DSMC and PI control scheme. The integral absolute error (IAE) is computed for both the control schemes which is as follow

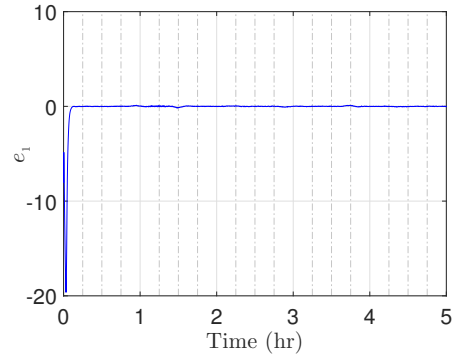
$$\text{IAE}_i = \int_0^{\infty} |e_i(t)| dt, \quad e_i(t) = y_i(t) - r_i(t), \quad (53)$$

335 where  $dt$  is the step size and the index  $i \in \{1, 2, 3\}$  refers to the IAE value of  
 336 the output  $i$ . Another criteria used for quantitative evaluation is the usage  
 337 of the control energy. The average power for the control signals generated  
 338 by the controllers is determined as

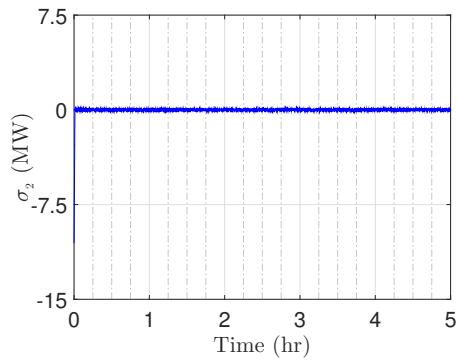
$$P_{\text{avg}_j} = \frac{1}{N} \sum_{k=1}^N u_j^2(k), \quad (54)$$



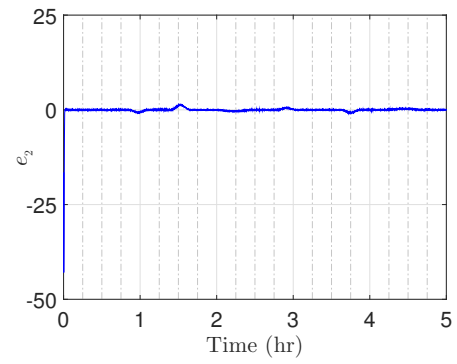
(a)  $\sigma_1$  with time



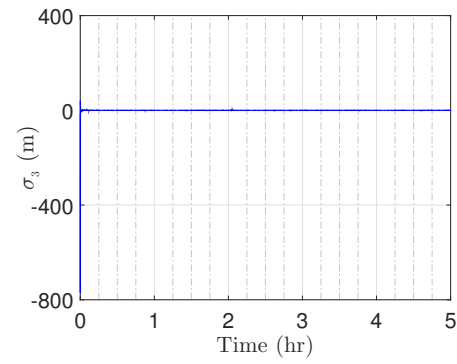
(b)  $e_1$  with time



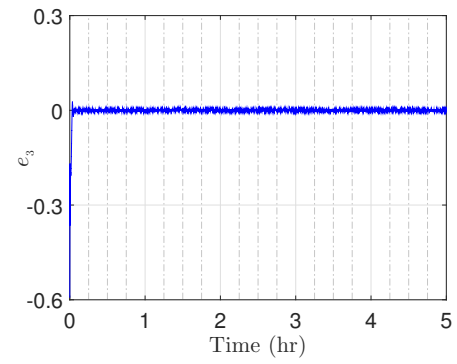
(c)  $\sigma_2$  with time



(d)  $e_2$  with time



(e)  $\sigma_3$  with time



(f)  $e_3$  with time

Figure 6: Sliding manifolds and tracking errors with time

339 where  $N$  is the number of samples and  $j \in \{1, 2, 3\}$  is the index for the  $P_{\text{avg}}$   
340 of the control input  $j$ . The IAE and the  $P_{\text{avg}}$  for both the control techniques  
341 are given in Table 4, which depicts that both the control techniques utilize  
342 almost same control energy, however, the performance of the DSMC is much  
343 better as compared to the PI controller.

Table 4: Comparison of PI and DSMC

Figure of Merit	PI Controller	DSMC
IAE <sub>1</sub>	20701	4183.8
IAE <sub>2</sub>	31712	4625.5
IAE <sub>3</sub>	536.70	27.72
P <sub>avg1</sub>	0.1474	0.1379
P <sub>avg2</sub>	0.4747	0.4755
P <sub>avg3</sub>	0.2369	0.2339

344 The BTS and AKF are initialized with different initial conditions to eval-  
345 uate the performance of the estimator. The designed parameters of AKF are  
346 summarized in Table 5. The performance of AKF is mainly dependent on  
347 tuning parameters  $N_R$  and  $N_Q$ . For noisy systems large values of  $N_R$  and  $N_Q$   
348 are recommended as they give more weight to recursion  $(R_{k-1}, Q_{k-1})$  than  
349 the current values  $\Delta R_k$  and  $\Delta Q_k$  during the adaptation of covariance matri-  
350 ces  $N_R$  and  $N_Q$ . Consequently, the AKF gain is smoothly changed through  
351 measurement error update  $(e_k)$  as given in (38) and state estimation error  
352 update  $(\hat{w}_k)$  in (46). Thus, in case, if the tracking is not satisfied then the  
353 gain will not converge to a small value. The performance of AKF is evaluated  
354 in terms of the root-mean-square error of the estimated state, i.e.  $x_3$  which  
355 is defined as

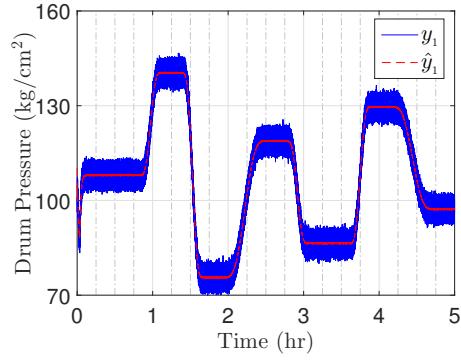
$$\tilde{e}_{\text{rms}} = \sqrt{\frac{1}{N} \sum_{i=1}^N \tilde{e}^2}, \quad \tilde{e} = x_3 - \hat{x}_3, \quad (55)$$

356 where  $N$  are the number of samples. The computed  $\tilde{e}_{\text{rms}}$  value of  $x_3$  is 0.1305  
357 which indicates the accurate state reconstruction of BTS.

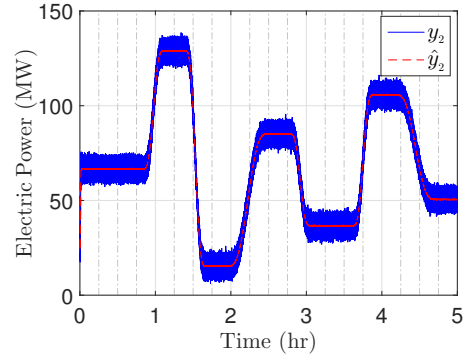
Table 5: Description of parameters

Symbol	Value
$x_0$	$[100 \ 50 \ 400]^T$
$\hat{x}_0^+$	$[110 \ 60 \ 390]^T$
$q_{i,i}$	$10^{-5}$
$v_{i,i}$	$10^{-5}$
$w$	$10^{-4}$
$\nu$	$4 \times 10^{-4}$
$Q_0$	$q_{i,i} \times I_3$
$R_0$	$v_{i,i} \times \text{diag} (10000 \ 10000 \ 10^{-1})$
$N_R$	$7 \times 10^{10}$
$N_Q$	$7 \times 10^{10}$
$\bar{e}_0$	$[1 \ 1 \ 1]^T$
$\bar{w}_0$	$10^{-4} \times [1 \ 1 \ 0.0001]^T$

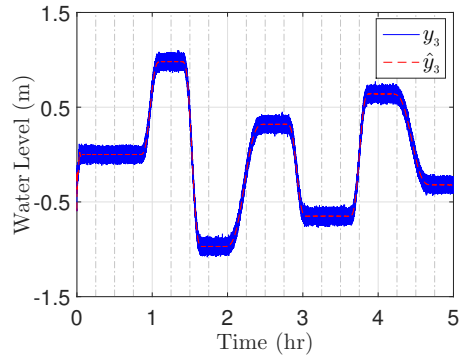
358 The measured and estimated outputs are shown in Fig. 7, whereas, Fig. 8  
359 shows the true and the estimated time profiles of the unknown state  $x_3$ . The  
360 results show that AKF yields smooth and accurate estimates of the outputs  
361 and the unknown state of BTS in the presence of process and measurement  
362 noises.



(a) Drum Pressure with time



(b) Electric Power with time



(c) Water Level with time

Figure 7: Measured outputs of BTS and their estimates with time.

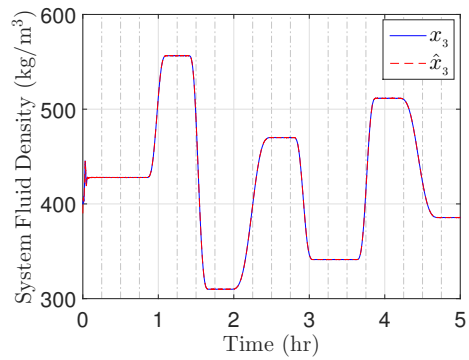


Figure 8: True and estimated time profiles of the unknown state ( $x_3$ ) of BTS.

## 363 7. Conclusion

364 In this work, the significance of a multi-variable, model-based control sys-  
365 tem for the BTS is highlighted. A model-based DSMC control law has been  
366 designed to maintain the drum pressure, electric power and water level at  
367 the desired levels in the presence of modeling inaccuracies, external distur-  
368 bances and noises. Owing to the complex mathematical expression of water  
369 level, the control problem is formulated by computing an auxiliary function  
370 and an implicit sliding manifold is designed such that the system fluid den-  
371 sity tracks the auxiliary function. Subsequently, it has been shown that the  
372 designed control law ensures that the water level follows the desired level.  
373 The time derivative of the auxiliary function used in the control design is  
374 determined by employing URED. To make the control design possible, AKF  
375 has been designed to estimate the unknown system fluid density. The design  
376 of AKF is based on the quasi-linear decomposition of the BTS model. More-  
377 over, the stability of the closed-loop system has been proved in the presence  
378 of external disturbances by using Lyapunov theory. The simulation results  
379 show that the proposed technique involving DSMC and AKF yields adequate  
380 performance in the presence of external disturbances, and measurement and  
381 process noises.

382 In the future, the current research work can be extended to a microgrid  
383 configuration in which the BTS can be integrated with other energy sources.

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