

# Section 3Controller Design

December 25, 2025

## 1 Controller Design

This section presents the control law design for each of the seven SMC variants evaluated in this study. All controllers share a common sliding surface definition but differ in how they drive the system to and maintain it on this surface.

### 1.1 Sliding Surface (Common to All SMC Variants)

Definition:

The sliding surface  $\sigma : \mathbb{R}^6 \rightarrow \mathbb{R}$  combines pendulum angle errors and their derivatives:

where: -  $\lambda_1, \lambda_2 > 0$  - position error weights -  $k_1, k_2 > 0$  - velocity error weights

Physical Interpretation:

The sliding surface represents a weighted combination of pendulum state errors. When  $\sigma = 0$ , the system evolves along a manifold in state space where angles and angular velocities satisfy the constraint  $\lambda_i \theta_i + k_i \dot{\theta}_i = 0$  for  $i = 1, 2$ . This constraint enforces exponential convergence of each angle to zero with time constant  $\tau_i = k_i / \lambda_i$ .

Design Philosophy:

- Reaching Phase: Drive system toward sliding surface ( $\sigma \rightarrow 0$ ) - Sliding Phase: Maintain system on surface ( $\sigma = 0$ ), ensuring exponential convergence to equilibrium - Steady-State: System remains at equilibrium ( $\theta_1 = \theta_2 = 0$ )

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#### 1.1.1 Controller Architecture Overview

All seven SMC variants in this study share a common architecture pattern but differ in specific implementation of the control law and how they handle uncertainties.

Figure 3.1: Common SMC architecture for DIP stabilization

Controller Family Tree:

Architectural Differences:

[TABLE - See Markdown version for details]

This architectural overview provides context for understanding design tradeoffs: simplicity (Classical) vs performance (STA) vs adaptability (Adaptive/Hybrid).

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### 1.2 Classical Sliding Mode Control

Control Law:

where: -  $u_{eq}$  - equivalent control (model-based feedforward) -  $K > 0$  - switching gain (drives system to sliding surface) -  $\epsilon > 0$  - boundary layer width (chattering reduction) -  $k_d \geq 0$  - derivative gain (damping) -  $\text{sat}(\cdot)$  - saturation function (continuous approximation of sign function)

Equivalent Control:

The equivalent control compensates for known dynamics:

where: -  $L = [0, k_1, k_2]$  - sliding surface gradient vector -  $M, C, G$  - inertia, Coriolis, gravity matrices from Section 2 -  $B = [1, 0, 0]^T$  - control input matrix

Saturation Function (Boundary Layer):

Two options implemented:

- Hyperbolic Tangent (Default): Smooth transition, maintains control authority near  $\sigma = 0$
- Linear Saturation: Piecewise linear, sharper switching

Design Parameters:

[TABLE - See Markdown version for details]

Advantages: - Simple implementation (6 gains) - Fastest computation (18.5  $\mu\text{s}$ , Section 7.1) - Well-understood theory - Good energy efficiency (12.4 J, Section 7.4)

Disadvantages: - Moderate chattering (index 8.2, Section 7.3) - Larger overshoot (5.8percent, Section 7.2) - Boundary layer introduces steady-state error

Implementation Notes:

Discretization ( $dt = 0.01\text{s}$ , 100 Hz control loop):

The continuous-time control law must be discretized for digital implementation:

- Sliding Surface: Direct substitution (no discretization error)
- Equivalent Control: Use backward differentiation for stability
- Saturation Function:  $\tanh$  is inherently continuous, no discretization needed

Numerical Stability:

- Matrix Inversion:  $M(q)$  is always invertible (positive definite) but can become ill-conditioned for large  $\theta$ . Use LU decomposition (`scipy.linalg.solve`) instead of explicit `inv(M)` - Overflow Prevention: Clip intermediate calculations:  $u_{eq}$  limited to  $\pm 100\text{N}$  before adding switching term - Derivative Estimation: Use filtered backward difference for  $\theta$  (Butterworth 2nd-order, 20 Hz cutoff) to reduce noise amplification

Computational Breakdown (18.5  $\mu\text{s}$  total):

[TABLE - See Markdown version for details]

Common Pitfalls:

- Chattering from small epsilon: Setting  $\epsilon < 0.01$  causes high-frequency switching ( $> 50\text{ Hz}$ ). Stay above  $\epsilon \geq 0.02$  for  $dt = 0.01\text{s}$ . - Instability from large  $k_d$ : Derivative gain  $k_d > 5.0$  can cause oscillations due to noise amplification in  $\theta$  estimates. - Steady-state error from large epsilon: Boundary layer  $\epsilon > 0.1$  introduces 5percent steady-state error in  $\theta$ . Tune epsilon to balance chattering vs accuracy. - Matrix inversion failure: For  $|\theta| > \pi/2$ ,  $M(q)$  becomes poorly conditioned. Always check condition number:  $\text{cond}(M) < 1000$ .

Figure 3.2: **Classical SMC** block diagram

Signal Flow: - Measure state  $x = [x, \theta, \dot{\theta}]$  - Compute sliding surface  $\sigma = \lambda \theta + \lambda \dot{\theta} + \ddot{\theta}_{ref}$  - Compute equivalent control  $u_{eq}$  (model-based feedforward) - Compute switching term:  $-K \cdot \text{sat}(\sigma/\epsilon)$  - Compute derivative damping:  $-k_d \cdot \dot{\sigma}$  - Sum all terms:  $u = u_{eq} - K \cdot \text{sat}(\sigma/\epsilon) - k_d \cdot \dot{\sigma}$  - Apply saturation:  $u = \text{clip}(u, -20\text{N}, +20\text{N})$

### 1.3 Super-Twisting Algorithm (STA-SMC)

Control Law:

STA employs a continuous 2nd-order sliding mode algorithm:

where: -  $K1, K2 > 0$  - STA algorithm gains (satisfy Lyapunov conditions) -  $z$  - integral state (provides continuous control action) -  $\text{sign}(\sigma)$  - smoothed via saturation function:  $\text{sign}(\sigma) \approx \tanh(\sigma/\epsilon)$

Key Features:

- Continuous Control: Unlike classical SMC,  $u_{STA}$  is continuous (no discontinuity at  $\sigma = 0$ ) - Finite-Time Convergence: Guaranteed convergence to  $\sigma = 0$  in finite time (not just asymptotic) - Chattering Reduction: Continuous action inherently eliminates chattering

Gain Selection (Lyapunov-Based):

For stability, gains must satisfy:

where  $\bar{d}$  is the upper bound on disturbances.

Convergence Time Estimate:

Upper bound on reaching time:

Design Parameters:

[TABLE - See Markdown version for details]

Advantages: - Best overall performance (1.82s settling, 2.3percent overshoot) - Lowest chattering (index 2.1, 74percent reduction vs Classical) - Most energy-efficient (11.8 J) - Finite-time convergence guarantee

Disadvantages: - +31percent compute overhead vs Classical (24.2  $\mu$ s) - More complex gain tuning (Lyapunov conditions) - Less intuitive than classical SMC

Figure 3.3: Super-Twisting Algorithm (STA) block diagram

Signal Flow: - Measure state  $x = [x, \theta, \dot{\theta}, \ddot{\theta}]$  - Compute sliding surface  $\sigma = \lambda \ddot{\theta} + \lambda \dot{\theta} + \ddot{\theta}_d + \dot{\theta}_d$  - Compute equivalent control  $u_{eq}$  (model-based feedforward) - Compute proportional term:  $-K|\sigma|^{1/2}\text{sign}(\sigma)$  - Compute integral state:  $\dot{z} = -K\text{sign}(\sigma) - \text{Sum STA terms}$  :  $u_{STA} = -K|\sigma|^{1/2}\text{sign}(\sigma) + z - \text{Total control}$  :  $u = u_{eq} + u_{STA}$  - Apply saturation :  $u_{sat} = \text{clip}(u, -20N, +20N)$

Implementation Notes:

Discretization ( $dt = 0.01s$ ):

- Fractional Power Term:  $|\sigma|^{1/2}$  can cause numerical issues for small  $\sigma$ . Use a safety threshold :

- Integral State Update: Use backward Euler for stability:

- Sign Function Smoothing: Replace discontinuous sign with smooth saturation:

Numerical Stability:

- Integral Windup: Clip  $z$  to prevent unbounded growth:  $z \in [-100, +100]$  - Division by Zero:

Check  $|\sigma| \geq \epsilon$  min before computing fractional power - Overflow Protection: Clip  $u_{STA}$  before adding to  $u_{eq}$ :  $u_{STA} \in [-50N, +50N]$

Common Pitfalls:

- Instability from violating Lyapunov conditions: Ensure  $K^2 \geq 2Kd$  where  $d$  is disturbance bound ( 1.0 for DIP) - Integral windup: Without anti-windup ( $z$  clamping), integral state can grow unbounded during saturation - Chattering from small epsilon: If  $\epsilon \leq 0.005$ , sign function becomes too sharp - high-frequency switching - Slow convergence from small  $K$ : If  $K \leq 8.0$ , reaching time increases beyond acceptable limits ( $\geq 5s$ )

## 1.4 Adaptive Sliding Mode Control

Control Law:

where: -  $K(t)$  - time-varying adaptive gain -  $\gamma > 0$  - adaptation rate (increase when  $|\sigma|$  large)  
 -  $\beta > 0$  - leak rate (decay toward  $K_{init}$  when  $|\sigma|$  small) -  $\delta > 0$  - dead-zone threshold -  $K_{init}$  - nominal gain value

Adaptation Mechanism:

- Outside Dead-Zone ( $|\sigma| > \delta$ ): Gain increases proportionally to sliding surface magnitude, providing more control authority when far from surface - Inside Dead-Zone ( $|\sigma| \leq \delta$ ): Gain decays toward nominal value, preventing unbounded growth

Bounded Gain Constraint:

Prevents gain saturation or underflow.

Design Parameters:

[TABLE - See Markdown version for details]

Advantages: - Adapts to model uncertainty online - Predicted best robustness to parameter errors (15percent tolerance, Section 8.1) - Bounded gains prevent instability

Disadvantages: - Slowest settling (2.35s, Section 7.2) - Highest chattering (index 9.7, Section 7.3) - Highest energy (13.6 J, +15percent vs STA) - Most complex computation (31.6 mus)

## 1.5 Hybrid Adaptive STA-SMC

Control Law:

Hybrid controller switches between STA mode and Adaptive mode based on sliding surface magnitude:

where: -  $u_{STA}$  - STA control law (Section 3.3) -  $u_{Adaptive}$  - Adaptive control law (Section 3.4)  
 -  $\sigma_{switch}$  - mode switching threshold

Switching Logic:

- Reaching Phase ( $|\sigma|$  large): Use STA for fast, chattering-free convergence - Sliding Phase ( $|\sigma|$  small): Use Adaptive for robustness to model uncertainty - Hysteresis: Implement hysteresis band to prevent chattering between modes

Mode Transition:

where  $\Delta$  is hysteresis margin.

Design Parameters:

[TABLE - See Markdown version for details]

Advantages: - Balanced performance (1.95s settling, 3.5percent overshoot) - Best predicted robustness (16percent model uncertainty tolerance) - Good disturbance rejection (89percent attenuation) - Combines STA speed with Adaptive robustness

Disadvantages: - Complex switching logic requires validation - Moderate compute overhead (26.8 mus) - Requires tuning both STA and Adaptive gains

Figure 3.4: Hybrid Adaptive **STA-SMC** with mode switching

Signal Flow: - Measure state  $x = [x, \theta, \dot{\theta}, \ddot{\theta}]$  - Compute sliding surface  $\sigma = \lambda \ddot{\theta} + \lambda \dot{\theta} + k\theta + k\dot{\theta}$  - Compute equivalent control  $u_{eq}$  (model-based feedforward) - Evaluate mode selector: - If  $|\sigma| > \Delta$  - Mode = STA - If  $|\sigma| \leq \Delta$  - Mode = Adaptive - Otherwise - Keep previous mode (hysteresis)  
 - Compute control based on mode: - STA mode:  $u_{sw} = -K_{sw} \sigma^{1/2} \text{sign}(\sigma) + \dot{\sigma}$  -  $u_{sw} = -K(t) \text{sat}(\sigma/\epsilon) - k\sigma - \text{Totalcontrol}$  :  $u = u_{eq} + u_{sw}$  -  $u_{sat} = \text{clip}(u, -20N, +20N)$

Implementation Notes:

Mode Switching Logic (Critical for Safety):

- Hysteresis Implementation:

- State Continuity: When switching modes, ensure control continuity: - Transfer integral state  $z$  from STA to Adaptive  $K(t)$  - Use smooth transition:  $u[k] = \alpha \cdot u_{STA} + (1-\alpha) \cdot u_{Adaptive}$  where  $\alpha \in [0,1]$  based on hysteresis position

- Mode Initialization: - Start in STA mode (typical for large initial errors) - Initialize  $z=0$ ,  $K(t)=K_{init}$  - Track mode transitions for debugging

Numerical Stability:

- Bumpless Transfer: During mode switch, match initial conditions: - STA- $\rightarrow$ -Adaptive: Set  $K(t) =$  current equivalent switching gain - Adaptive- $\rightarrow$ -STA: Set  $z =$  accumulated adaptive correction - Anti-Windup: Reset integral states ( $z$  or  $K$ ) if control saturates for  $\geq 100ms$  - Mode Chattering Prevention: Enforce minimum dwell time (50ms) in each mode

Common Pitfalls:

- Mode chattering: If  $\Delta$  too small ( $\leq 0.005$ ), controller oscillates between modes - $\rightarrow$  instability  
- Discontinuous control: Without bumpless transfer,  $u$  jumps at mode switches - $\rightarrow$  excites high-frequency dynamics  
- Incorrect state initialization: Forgetting to transfer integral states causes transient spikes ( $\geq 20\%$  overshoot)  
- Hysteresis too large: If  $\Delta \geq \sigma_{switch}/2$ , mode never switches - $\rightarrow$  defeats hybrid design purpose

## 1.6 Swing-Up SMC

Two-Phase Control:

Swing-up SMC operates in two distinct modes:

Phase 1: Swing-Up (Energy-Based Control)

When total system energy  $E < E_{threshold}$ :

where: -  $k_{swing} > 0$  - swing-up gain - Energy pumping: Adds energy when  $\cos(\theta_1)\dot{\theta}_1 > 0$  (constructive phase)

Phase 2: Stabilization (SMC)

When  $E \geq E_{threshold}$  and  $|\theta_1|, |\theta_2| < \theta_{switch}$ :

Uses any SMC variant (typically Classical or STA) for stabilization.

Energy Calculation:

Mode Transition Logic:

Design Parameters:

[TABLE - See Markdown version for details]

Advantages: - Global controller (works from any initial condition) - Can bring pendulum from downward to upward position - Combines energy-based and model-based control

Disadvantages: - Complex mode logic requires careful tuning - Swing-up phase performance not guaranteed (heuristic energy pumping) - Not applicable to small perturbation stabilization (this study's focus)

## 1.7 Model Predictive Control (MPC)

Optimization Problem:

At each time step, solve finite-horizon optimal control problem:

where: -  $N$  - prediction horizon (number of future time steps) -  $Q, R, Q_f$  - state, input, terminal cost weight matrices -  $f(\cdot, \cdot)$  - discretized nonlinear dynamics (Section 2) -  $u_{\max}$  - actuator limit

Linearization (For Computational Efficiency):

Approximate nonlinear dynamics around current trajectory:

where  $A(k), B(k)$  are Jacobians computed via finite differences.

Implementation:

Uses ‘cvxpy’ library to solve quadratic program (QP) at each time step.

Design Parameters:

[TABLE - See Markdown version for details]

Advantages: - Explicit handling of constraints (actuator limits, state bounds) - Optimal control over finite horizon - Can incorporate future reference trajectories

Disadvantages: - Computationally expensive (requires external optimizer) - Not self-contained (depends on ‘cvxpy’) - Real-time feasibility questionable for 10 kHz control - Excluded from main comparative analysis (dependency issue)

## 1.8 Summary and Comparison

Table 3.1: Controller Characteristics Comparison

[TABLE - See Markdown version for details]

Convergence Guarantees:

[TABLE - See Markdown version for details]

Design Complexity:

- Simplest: **Classical SMC** (6 scalar gains) - Moderate: STA SMC (2 gains + Lyapunov conditions), **Adaptive SMC** (5 gains + adaptation law) - Complex: Hybrid STA (8 gains + switching logic) - Most Complex: Swing-Up SMC (energy calculation + mode transitions), MPC (weight matrices + optimization)

Computational Complexity Analysis:

Table 3.2: Detailed Computational Breakdown

[TABLE - See Markdown version for details]

Common Operations (All Controllers): - M, C, G Evaluation: 8.2 mus, 120 FLOPs (inertia matrix, Coriolis, gravity) - Matrix Inversion: 4.1 mus, 60 FLOPs (3x3 LU decomposition for  $M^{-1}$ ) - *Overhead* : 1.3 – 1.5mus(*functioncalls, memoryaccess, statecopying*)

Controller-Specific Costs:

- **Classical SMC** (4.9 mus control law): - Sliding surface sigma: 0.9 mus (10 FLOPs: 4 multiplies + 3 adds) - Equivalent control  $u_{eq}$ : 2.8 mus (40 FLOPs: matrix-vector products) - Switching term: 1.2 mus (5 FLOPs: saturation + multiply) - Bottleneck:  $u_{eq}$  calculation (58percent of control law time)

- STA SMC (10.6 mus control law): - Sliding surface sigma: 0.9 mus (same as Classical) - Equivalent control  $u_{eq}$ : 2.8 mus (same as Classical) - Fractional power —sigma—<sup>1/2</sup> : 3.2mus(*sqrtooperation 50cycles*)—*Integralstateupdate*  $\dot{z}$  : 2.1mus(*signfunction+integration*)—*Signsmoothing(tanh)* : 1.6mus(40cyclesfortanhap) *Bottleneck* : *Fractionalpowerterm*(30percentofcontrollawtime)

- **Adaptive SMC** (17.8 mus control law): - Sliding surface sigma: 0.9 mus - Equivalent control  $u_{eq}$ : 2.8 mus - Switching term: 1.2 mus (same as Classical) - Gain adaptation update: 8.4 mus (dead-zone check, conditional update, bounds checking) - State history management: 4.5 mus (circular buffer for derivative estimation) - Bottleneck: Gain adaptation (47percent of control law time)

- Hybrid STA (13.2 mus control law): - Sliding surface sigma: 0.9 mus - Equivalent control u eq: 2.8 mus - Mode selector logic: 2.1 mus (hysteresis check, mode transitions) - Dual control law computation: 6.2 mus (compute both STA and Adaptive in parallel) - Bumpless transfer: 1.2 mus (state continuity during mode switch) - Bottleneck: Dual control law (47percent of control law time)

- Swing-Up SMC (8.5 mus control law): - Energy calculation: 3.8 mus (kinetic + potential energy terms) - Mode selector: 0.8 mus (energy threshold check) - Swing-up term: 1.4 mus (k swing cos(theta) theta) - SMC stabilizer: 2.5 mus (simplified **Classical SMC**) - Bottleneck: Energy calculation (45percent of control law time)

Real-Time Feasibility (100 Hz Control Loop):

[TABLE - See Markdown version for details]

Notes: - All SMC variants have  $\geq 99.6$ percent timing margin -  $\geq$  safe for 100 Hz deployment - MPC requires optimization solver (10-50 iterations) -  $\geq$  not real-time feasible without warm-start - Worst-case timing (**Adaptive SMC**): 31.6 mus  $\gg$  10 ms deadline (0.32percent utilization)

Scalability to Faster Control Loops:

[TABLE - See Markdown version for details]

Observations: - SMC variants scale to 5 kHz (200 mus budget) with  $\geq 84$ percent margin (Classical) or  $\geq 84$ percent margin (Adaptive) - **Classical SMC** fastest -  $\geq$  best for high-frequency applications (robotics: 1-10 kHz) - MPC limited to  $\leq 100$  Hz without hardware acceleration (GPU, FPGA)

## 1.9 Parameter Tuning Guidelines

This section provides step-by-step tuning procedures for each controller, based on system characteristics and performance requirements.

General Tuning Principles:

- Start Conservative: Begin with small gains, increase gradually until performance meets requirements
- One Parameter at a Time: Change single parameter, observe response, iterate
- Measure Performance: Track settling time, overshoot, chattering index after each change
- Document Baseline: Record initial parameters and performance for comparison

System Characterization (Required Before Tuning):

Before tuning any controller, characterize the DIP system: - Mass ratios: m/m, m/m (affects inertia coupling) - Length ratios: L/L cart, L/L (affects angular dynamics) - Natural frequencies:  $\omega = (g/L)$ ,  $\omega = (g/L)$  (sets response timescales) - Disturbance levels: Measure typical external force magnitudes d (wind, friction) - Actuator limits: u max (typically  $\pm 20$ N for DIP)

### 3.9.1 Classical SMC Tuning Procedure

Step 1: Design Sliding Surface ( $\lambda$ ,  $\lambda$ , k, k)

- Choose convergence rates based on natural frequencies: Rule: 2x natural frequency provides good damping without excessive speed

- Choose sliding gains for critically damped surface: Rule:  $k_i = \lambda_i/2$  gives critically damped sliding variable dynamics

Step 2: Tune Switching Gain K

- Estimate disturbance bound:  $d = \max \text{observed disturbance}$  (typically 0.5-1.5 for DIP) - Set initial  $K = 1.5 \cdot d$  (50percent margin) - Simulate and observe: - If oscillations persist -  $\geq$  increase K by 20percent - If chattering excessive -  $\geq$  decrease K by 10percent, increase epsilon - Final K typically 1.2-2.0x disturbance bound

Step 3: Tune Boundary Layer epsilon

- Start with  $\epsilon = 0.05$  (large boundary layer, low chattering) - Gradually decrease  $\epsilon$  while monitoring chattering index: - If chattering index  $\geq 15$  -> stop, increase  $\epsilon$  - Final  $\epsilon$  typically 0.02-0.05 for DIP (balance accuracy vs chattering)

Step 4: Tune Derivative Gain  $k_d$

- Start with  $k_d = 0$  (no damping) - Increase  $k_d$  in steps of 0.5 until overshoot  $\leq 5\%$  - Typical range:  $k_d \in [1.0, 3.0]$  - Warning:  $k_d \geq 5.0$  amplifies sensor noise -> instability

Expected Performance (after tuning): - Settling time: 2.0-2.5s - Overshoot: 5-8% - Chattering index: 7-10 - Computation: 18.5  $\mu$ s

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### 3.9.2 STA-SMC Tuning Procedure

Step 1: Estimate Disturbance Bound  $d$

Same as **Classical SMC** (typically 0.5-1.5 for DIP)

Step 2: Apply Lyapunov Conditions

- Choose  $K$  to dominate disturbances: For  $d=1.0$ ,  $\epsilon=0.01$  ->  $K \geq 200$  Practical choice:  $K = 250$  (25% margin)

- Choose  $K$  to satisfy stability: For  $K=250$ ,  $d=1.0$  ->  $K \geq (500) = 22.4$  Practical choice:  $K = 30$  (34% margin)

Step 3: Tune for Performance

- Start with Lyapunov-based values ( $K=30$ ,  $K=250$ ) - If convergence too slow -> increase  $K$  by 20% - If chattering observed -> decrease  $K$  by 10%, increase  $\epsilon$  - Final gains typically:  $K \in [12, 20]$ ,  $K \in [8, 15]$  (after PSO optimization)

Step 4: Adjust Sign Function Smoothing  $\epsilon$

- Start with  $\epsilon = 0.01$  (tight smoothing) - If chattering index  $\geq 5$  -> increase  $\epsilon$  to 0.02 - STA should achieve chattering index  $\leq 3$  with  $\epsilon=0.01$

Expected Performance (after tuning): - Settling time: 1.8-2.0s - Overshoot: 2-4% - Chattering index: 1-3 - Computation: 24.2  $\mu$ s

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### 3.9.3 Adaptive SMC Tuning Procedure

Step 1: Set Initial Gain  $K_{init}$

Choose  $K_{init} = 1.2 \cdot d$  (similar to **Classical SMC** switching gain)

Step 2: Tune Adaptation Rate  $\gamma$

- Start with  $\gamma = 5.0$  (moderate adaptation) - Simulate with large disturbance (e.g., 50% parameter error) - If tracking error persists -> increase  $\gamma$  by 50% - If gain  $K(t)$  oscillates -> decrease  $\gamma$  by 25% - Final  $\gamma$  typically 3.0-7.0

Step 3: Tune Leak Rate  $\beta$

- Start with  $\beta = 0.1$  (slow decay) - If  $K(t)$  grows unbounded -> increase  $\beta$  to 0.2 - If  $K(t)$  doesn't adapt fast enough -> decrease  $\beta$  to 0.05 - Final  $\beta$  typically 0.05-0.15

Step 4: Set Dead-Zone  $\delta$

- Choose  $\delta = 2\epsilon$  (twice boundary layer width) - Ensures adaptation stops when on sliding surface - Typical  $\delta = 0.01$ -0.02

Step 5: Set Gain Bounds

- Lower bound:  $K_{min} = 0.5 \cdot K_{init}$  (prevent gain collapse) - Upper bound:  $K_{max} = 5 \cdot K_{init}$  (prevent excessive control effort) - Typical:  $K_{min}=5.0$ ,  $K_{max}=50.0$

Expected Performance (after tuning): - Settling time: 2.3-2.5s - Overshoot: 4-6% - Chattering index: 9-11 - Robustness: 15% model uncertainty tolerance

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### 3.9.4 Hybrid Adaptive STA-SMC Tuning Procedure

Step 1: Tune STA and Adaptive Controllers Independently



Follow Sections 3.9.2 and 3.9.3 to obtain nominal gains for both modes.

Step 2: Set Switching Threshold  $\sigma$  switch

- Analyze typical sliding variable range during transient response - Choose  $\sigma$  switch at 50-70percent of peak  $\sigma$  during reaching phase - Typical:  $\sigma$  switch = 0.05 (5percent of initial error)

Step 3: Set Hysteresis Margin Delta

- Start with Delta =  $\sigma$  switch/5 (20percent hysteresis band) - If mode chattering observed - increase Delta by 50percent - If mode switches too infrequently - decrease Delta by 25percent - Final Delta typically 0.01-0.02 (10-20percent of  $\sigma$  switch)

Step 4: Verify Bumpless Transfer

- Simulate mode transitions and check control discontinuity: - If Delta  $\geq 0.2 \cdot u_{\max}$  - adjust state initialization logic - Target: Delta  $\leq 0.1 \cdot u_{\max}$  (bumpless transfer)

Step 5: Test Robustness Across Modes

- Simulate with: - Large initial errors (test STA mode) - Model uncertainty (test Adaptive mode) - Mode transitions (test hysteresis) - Verify no chattering at mode boundaries

Expected Performance (after tuning): - Settling time: 1.9-2.1s - Overshoot: 3-5percent - Chattering index: 4-6 - Robustness: 16percent model uncertainty tolerance

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### 3.9.5 Common Tuning Pitfalls

[TABLE - See Markdown version for details]

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### 3.9.6 PSO-Based Automated Tuning (Recommended)

Manual tuning can be labor-intensive. PSO optimization (Section 5) automates the process:

Advantages: - Explores parameter space systematically (swarm-based search) - Optimizes multi-objective cost (settling time + overshoot + chattering) - Finds near-optimal gains in 50-100 iterations ( 10 minutes)

Procedure: - Define parameter bounds (e.g.,  $K \in [5, 30]$ ,  $\epsilon \in [0.01, 0.1]$ ) - Choose cost function:  $J = w_t \text{ settle} + w_o \text{ overshoot} + w_c \text{ chattering}$  - Run PSO with 20 particles, 50 iterations - Verify performance on validation scenarios (different initial conditions)

Typical Results: - **Classical SMC**:  $K=15.0$ ,  $\epsilon=0.02$ ,  $k_d=2.0$  - 18percent better than manual tuning - **STA SMC**:  $K=12.0$ ,  $K=8.0$ ,  $\epsilon=0.01$  - 22percent better performance - **Hybrid STA**:  $\sigma$  switch=0.05, Delta=0.01 - optimal mode switching

See Section 5 for complete PSO methodology.

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