Second Order Sliding Mode Control of Three Phase Neutral Point Clamped Inverter in Stationary Frame

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Abstract

Grid-tied Neutral-Point-Clamped (NPC) inverters have been widely used in various applications recently. A superior control method is required to achieve the desired performance of a grid-connected NPC inverter. Accordingly, a second-order sliding mode control (SOSMC) method, which is designed in the stationary frame, is utilized for achieving this aim in this paper. The super-twisting second-order sliding mode control is used for solving the chattering problem of conventional first-order sliding mode control (FOSMC). In comparison to control methods which are applied in rotation frame, this method is not required transformation from rotating frame to a-b-c frame and vice versa and decoupling of d and q components. The Lyapunov stability analysis is used for designing of this controller. The performance of proposed method is evaluated by simulation results implemented in MATLAB/Simulink software. The performance of the SOSMC is also compared with FOSMC. The results show that the incorporation of SOSMC can improve current reference tracking of the NPC inverter in different scenarios.

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1. INTRODUCTION

Nowadays, multilevel inverters are widely used in different applications such as high voltage DC systems (1), interfacing inverters of distributed generation (DG) (2-5), electrical vehicles (6), solid-state transformers (7), and etc. due to their advantages, including delivering higher quality current, low voltage stress of components, higher efficiency, and their ability to operate at low switching frequency (7-11).

As DG penetration increases, current research has focused on the structure and control of grid-tied inverters; Hence, grid-tied multilevel inverters have been an attractive topic for researchers (12).

The prevalent topologies found in multilevel inverters are the Neutral-Point-Clamped (NPC) (13, 14) Flying-Capacitor (FC) (15, 16), and Cascaded H-Bridge (CHB) (17, 18). Due to the smaller size requirements of DC sources, NPC structures are an exciting option for interfacing DGs with grids (19). The control system of a grid-tied inverter should satisfy some requirements, including fast dynamic response, fixed switching frequency, DC link voltage balancing, and robustness to parameter changes (20). For the sake of these aims, different control methods are utilized for the control of grid-connected NPC inverters. The control strategies can be broadly categorized as linear and nonlinear control methodologies. The nonlinearity and uncertainty of grid-tied inverters can be controlled by using nonlinear control methods; hence nonlinear control approaches such as model predictive control (21, 22), sliding mode control (20, 23), etc., have been utilized for control of grid-tied NPC inverters. Among the nonlinear control methods, SMC has attracted more attention in the control of grid-tied NPC inverters due to its robustness against the uncertainty of the system, fast dynamic, and accurate current tracking; however, it suffers from chattering effects (24, 25). To resolve this problem, some SMC-based methods have been proposed, which can be categorized into two groups. The first category is allocated to research in which first-order SMC (FOSMC) has been used. Komurcugil et al. (26) applied SMC to a dual hysteresis band controller of NPC inverter to overcome the variable frequency problem of the hysteresis band controller and chattering effect. However, the variable frequency problem is not effectively mitigated due to changes in parameters. An SMC-based observer is incorporated by Guzman et al. (27) to reduce the states of the model; however, its implementation increases the overall complexity of the system. Although the SMC-based method proposed by Altin et al. (28) decreases the required measurement, this method suffers from the chattering effects and variable frequency problems.

Sebaaly et al. (20) introduced a PWM-based SMC control of a grid-connected NPC inverter in a rotating dq frame. Although the frequency of the proposed method is kept constant, the performance of this control scheme is dependent on the parameters of the system.

The second category of SMC-based method of NPC inverters is dedicated to the second-order SMC (SOSMC)-based method of grid-tied inverters. Ozdemir et al. (23) utilized the SOSMC approach to control a grid-connected NPC inverter which can alleviate the chattering effect and time-varying switching frequency. The methods by Ozdemir et al. (23) are implemented in the dq rotating frame, which needs computation burden for the transformation of variables from the dq to abc frame and vice versa and the decoupling and compensation process.

In this paper, a super twisting (ST)-based SOSMC is proposed for control of a three-phase grid-tied inverter in the stationary qϕ. Since all of the control methods are implemented in the stationary frame, in comparison to the method proposed by Ozdemir et al. (23), the transformation of the variable from the abc frame to the rotation dq frame and vice versa is not needed which can reduce the computation burden of the controller. Additionally, this method eliminates the need for the decoupling and compensation process of d and q variables, resulting in reduced complexity and computation burden for the controller. Using the SOSMC can also eliminate the chattering effect in comparison to the FOSMC-based algorithms used and reported in literature (24-28). The controller is designed based on the Lyapunov stability theory. The main contribution of this paper is summarized as follow:

- Proposing a second order sliding control for a grid-tied NPC inverter in stationary frame
- Guarantee the stability of proposed method by Lyapunov stability analysis
- Comparison the performance of this system with FOSMC-based algorithm
- Evaluate the performance of this system in different condition

The rest of this paper is arranged in the following organization. In the second part of this paper, the general description of a three-phase grid-connected NPC inverter is presented. Section 3 is dedicated to introduce the proposed SMC algorithm for control of a grid-connected NPC inverter. Simulation results are presented in section 4. Finally, this paper is concluded in section 5.

2. GENERAL SCHEME OF THREE-PHASE CONNECTED NPC INVERTER GRID

Figure 1 depicts the structure of a three-phase NPC inverter, which is connected to the grid via an L filter. In this structure, four switches, two clamping diodes, and two split DC capacitors are utilized in each leg.
As shown in this figure, the voltage stress on each power switch can be reduced by the series combination of them. The states of switches for generating a three-level phase to neutral voltage are presented in Table 1, in which the state of “On” represents the closed condition of this switch while the open state of this switch is denoted by “Off”. According to this table, the switches 1, 3 as well as the switches 2, 4 operate in complementary; hence, five levels of voltages, including +Vin, +Vin/2, 0, -Vin/2, and -Vin, can be generated in line-to-line voltage.

Assuming the ideal model of switches, the dynamic model of the NPC inverter depicted in Figure 1 is written as follows in abc coordinate frame:

\[
\begin{bmatrix}
\frac{dv_a}{dt} \\
\frac{dv_b}{dt} \\
\frac{dv_c}{dt}
\end{bmatrix} = \frac{L}{3} \begin{bmatrix}
2 & -1 & -1 \\
-1 & 2 & -1 \\
-1 & -1 & 2
\end{bmatrix} \begin{bmatrix}
v_a \\
v_b \\
v_c
\end{bmatrix}
\]

(1)

\[
\begin{bmatrix}
\frac{di_a}{dt} \\
\frac{di_b}{dt} \\
\frac{di_c}{dt}
\end{bmatrix} = \begin{bmatrix}
v_a \\
v_b \\
v_c
\end{bmatrix} - \frac{1}{2} \begin{bmatrix}
\delta_a \\
\delta_b \\
\delta_c
\end{bmatrix}
\]

(2)

where \(\delta_a, \delta_b,\) and \(\delta_c\) represent the control input. It should be mentioned that Equation 1 is valid if the amount of these control inputs will be in the range of \([-1, 1]\) without saturation. In this study, the stationary frame (\(\alpha\beta\)) model is used to achieve better current tracking performance and reduce commutation burden. This model is obtained using the Clark matrix as shown in Equation 3.

\[
x_{\alpha\beta 0} = \begin{bmatrix}
\frac{1}{2} & -\frac{1}{2} & -\frac{1}{2} \\
0 & \frac{\sqrt{3}}{2} & -\frac{\sqrt{3}}{2} \\
\frac{1}{2} & \frac{1}{2} & \frac{1}{2}
\end{bmatrix}
\]

(3)

The \(\alpha\beta\) stationary frame model of system presented in Equation 1 is written as:

\[
\begin{bmatrix}
\frac{di_a}{dt} \\
\frac{di_b}{dt} \\
\frac{di_c}{dt}
\end{bmatrix} = \begin{bmatrix}
v_a \\
v_b \\
v_c
\end{bmatrix} - \frac{1}{2} \begin{bmatrix}
\delta_a \\
\delta_b \\
\delta_c
\end{bmatrix}
\]

(4)

The controller should be designed in order to \(\alpha\beta\) stationary currents \((i_a, i_b)\) track their references \((i_{a,ref}, i_{b,ref})\) according to the following equation:

\[
i_a = i_{a,ref} \quad i_b = i_{b,ref}
\]

(5)

As mentioned before, in this paper, a second order sliding mode controller is presented in \(\alpha\beta\) frame.

3. SLIDING MODE CONTROL OF THREE PHASE GRID CONNECTED NPC

The robustness of SMC against disturbances, changing system parameters, and undesired noises makes it a desirable solution for compensating for uncertainties in the system model. Although this method possesses a fast dynamic, the chattering problem is one of the drawbacks of this system. In the rest of this section, at first, the FOSMC control of a three-phase grid-connected NPC inverter is proposed. Afterward, this controller is developed by a SOSMC approach.

3.1. First Order Sliding Mode Control

Initially, a sliding surface is chosen to accomplish the controller’s goal, which is current tracking. Subsequently, the control input is determined to keep the system within this specified sliding surface. In this paper, the sliding surface \((S_a \text{ and } S_\beta)\) is defined as follows:

\[
S_a = i_a - i_{a,ref} \quad S_\beta = i_b - i_{b,ref}
\]

(6)

The aim of the control is reaching to a zero-sliding surface according to the following equation:

\[
\sigma = \frac{S_a}{S_\beta} = 0
\]

(7)

where \(\sigma\) represents the sliding surface matrix. If control variables remain on this surface, it means that each current can track its reference properly. According to Lyapunov stability, it is enough to find a definite...
positive function of the sliding surface whose derivative is negative definite in order to prove that the system converges on the sliding surface and remains on its surface, which is obtained by finding those limits; hence, for stable operation following constraints must be satisfied. The \( P \) is defined as:

\[
P = \frac{1}{2}(S_\alpha^2 + S_\beta^2) > 0, \quad \dot{P} = S_\alpha \dot{S}_\alpha + S_\beta \dot{S}_\beta < 0, S_\alpha \dot{S}_\alpha < 0, S_\beta \dot{S}_\beta < 0
\]

where \( S_\alpha \) and \( S_\beta \) denote the sliding surface in \( \alpha \) and \( \beta \) frames, respectively. The derivatives of these surfaces are represented by \((S_\alpha')\) and \((S_\beta')\). Equation 1 can be rewritten as follow:

\[
\dot{S}_\alpha = \frac{1}{L} V_a + \left(-\frac{V_\alpha}{2L}\right) \delta_\alpha, \dot{S}_\beta = \frac{1}{L} V_b + \left(-\frac{V_\beta}{2L}\right) \delta_\beta
\]  

(8)

The control law \((\delta)\) which satisfies \( S = 0 \) consists of two terms according to the following equation:

\[
\delta = \delta_{eq} + \delta_{st}
\]  

(9)

where, \( \delta_{eq} \) is used for removing the nonlinearity of this system, while \( \delta_{st} \) is utilized in order to reduce the chattering effect. The general form of Equation 9 can be expressed by the following equation:

\[
S' = f + g.\delta
\]  

(10)

where \( f \) is nonlinear term of this system, while \( g \) represents the linear term of this system. For removing this nonlinear part, the following equation should be satisfied:

\[
S' = f + g.\delta_{eq}=0
\]  

(11)

According to the above equation, the \( \delta_{eq} \) can be given as:

\[
\delta_{eq} = \frac{\alpha_{S_{eq}}}{\beta_{S_{eq}}} = \frac{V_a}{V_\alpha}
\]  

(12)

As mentioned before, the first-order SM control cannot achieve the desired goal due to the chattering problem. In this paper, to reduce the chattering effect, the proposed method by Gao is incorporated \((20, 29)\). To fulfill this aim, the \( \delta_{st} \) is used according to the following equation:

\[
\delta_{st} = -\varepsilon \text{sign}(S) - kS
\]  

(13)

The parameters \( \varepsilon \) and \( k \) in sliding mode control represent coefficients that determine the contingency speed. Now, by replacing these coefficients in Equation 8, the limitations of control parameters for stable operation are obtained. For stable operation, it is sufficient that both coefficients are positive.

So far, the first-order sliding mode control signal has been obtained, and its limits have been determined by Lyapunov stability. In the next part, SOSMC-based control of an NPC inverter is discussed.

### 3. 2. Second Order Sliding Mode Control

The second derivative of the sliding surface is written as follows:

\[
\ddot{S}_\alpha = \frac{1}{L} V_a + \left(-\frac{V_\alpha}{2L}\right) \delta_\alpha
\]  

(14)

\[
\ddot{S}_\beta = \frac{1}{L} V_b + \left(-\frac{V_\beta}{2L}\right) \delta_\beta
\]  

(15)

The recent equations can be expressed in the following format:

\[
\ddot{s} = a + b\delta
\]  

(16)

where, the nonlinear term (i.e. \( a \)) can be written as follows:

\[
a = \left[-\frac{1}{L} V_a, -\frac{1}{L} V_b \right]
\]  

(17)

while the derivation of control input( \( \delta \) ) can be presented based on super twisting sliding mode control \((19)\):

\[
\begin{align*}
\dot{\delta}_\alpha &= -\alpha \sqrt{|S_\alpha|} Sgn(S_\alpha) - \beta \int Sgn(S_\alpha) \\
\dot{\delta}_\beta &= -\alpha \sqrt{|S_\beta|} Sgn(S_\beta) - \beta \int Sgn(S_\beta)
\end{align*}
\]  

(18)

where \( \alpha \) and \( \beta \) are control parameters that affect stability and steady-state error, respectively. As mentioned before, the stability of this nonlinear system will be guaranteed if a definite positive function of the sliding surface which satisfies the following equation is found:

\[
\dot{P} = S_\alpha \left[\frac{1}{L} V_a + \frac{V_\alpha}{2L} \delta_\alpha\right] + S_\beta \left[\frac{1}{L} V_b + \frac{V_\beta}{2L} \delta_\beta\right] < 0
\]  

(19)

By substituting Equation 19 into Equation 20, the following equation is derived:

\[
\dot{P} = \frac{\gamma \alpha}{2L} \left[\alpha \sqrt{|S_\alpha|} Sgn(S_\alpha) + \beta \int Sgn(S_\alpha)\right] - \frac{V_a}{L} - \frac{\gamma \beta}{2L} \left[\beta \sqrt{|S_\beta|} Sgn(S_\beta) + \beta \int Sgn(S_\beta)\right] - \frac{V_b}{L} < 0
\]  

(20)

According to Equation 21, If \( \alpha \) and \( \beta \) are determined in large values, the condition of \( P < 0 \) will be obtained. The performance of the controller will be enhance if \( \alpha \) and \( \beta \) are determined as follows:

\[
a > \frac{AM}{\bar{U}} B^2 \geq \frac{4AM\alpha_1(\alpha_1+\alpha_2)}{\beta_2^2(\alpha_1-\alpha_2)}
\]  

(21)

where AM represent the positive bound of \( A \). The minimum value of AM is determined as \( AM \geq \|A\| \). BL and BU denote minimum and maximum amount of positive part of \( b \) (i.e., \( BL \leq b \leq BU \). \( a \) and \( b \) are the terms of the second derivative of \( S \), which are expressed in Equation 17. These terms can be written as follows:

\[
a = \left[-\frac{1}{L} V_a, -\frac{1}{L} V_b \right]
\]  

(22)

Figure 2 shows the implementation of the SOSMC in \( \alpha \beta \) stationary frame to control a grid-tied NPC inverter. According to this figure, the injected currents of the NPC inverter in \( \alpha \beta \) stationary frame (Ia and Ib) are subtracted with their reference values (Iref, a and Iref, b) to generate...
sliding surfaces according to Equation 6. Afterward, the SOSMC is applied to generate control input for this NPC inverter. Following the $\alpha\beta/abc$ transformation, the $\delta$ angle is employed to generate pulses for the switching of NPC inverters. In order to regulate the DC voltage of the upper and lower capacitors and balance these voltages, a proportional-integrator (PI) controller is used. The PI controller's output, depicted in Figure 2 as $\Delta P_{dc}$, is added to the reference power ($P_{ref}$) to generate $P^*$. Afterward, by assuming the reference reactive power as $Q^*$, the reference currents in $\alpha\beta$ frames are obtained according to the following equation:

$$\begin{bmatrix} I_{ref,\alpha} \\ I_{ref,\beta} \end{bmatrix} = \begin{bmatrix} V_a & V_\beta \\ -V_\beta & V_\alpha \end{bmatrix}^{-1} \begin{bmatrix} P^* \\ Q^* \end{bmatrix}$$  \hspace{1cm} (23)

4. SIMULATION RESULTS

In this section, the performance of the proposed control scheme is evaluated in different scenarios using MATLAB/Simulink software. Illustrates a case study of the system shown in Figure 1. The power and control system parameters are listed in Table 2.

First, the proposed method's performance is investigated under ideal grid voltage without harmonic pollution. Afterward, Harmonic pollution is applied to the grid voltage to test control system performance in worst-case scenario. Finally, the system’s performance is evaluated when the reference power is changed suddenly. The permeance of this control system is also compared with FOSMC performance.

4. 1. Case A: with Undistorted Grid Voltage

Figure 3 shows the injected currents of the NPC inverter utilizing SOSMC when the grid voltage is undistorted. The reference power, in this case, is chosen 3000 W. The harmonics contained in the injected current are listed in Figure 4. According to this table, the amount of total harmonic distortion (THD) is 2.25, and each individual harmonics is in their standard levels. These harmonic indexes are compared when FOSMC is used as the control system. This comparison shows that although the levels of low-order harmonics are closer by using FOSMC and SOSMC, the THDs are different due to high-frequency ripples when FOSMC is used as the control system.

Figure 5 shows the $\alpha\beta$ currents of the injected current of NPC inverter by application of proposed SOSMD and FOSMD. According to this figure, it is evident that the SOSMC can track its reference more precisely.

![Figure 2](image-url)  \hspace{1cm} \text{Figure 2. Control system of super twisting sliding mode control applied to a three-phase grid-connected NPC inverter}

![Figure 3](image-url)  \hspace{1cm} \text{Figure 3. Injected current of grid-tied NPC in Case A by utilization of SOSMC}

![Figure 4](image-url)  \hspace{1cm} \text{Figure 4. Harmonic currents of Injected currents of grid-tied NPC in Case A by utilization of SOSMC and FOSMC}

<table>
<thead>
<tr>
<th>TABLE 2. Power and control parameters</th>
</tr>
</thead>
<tbody>
<tr>
<td>Grid voltage ($V_g$)</td>
</tr>
<tr>
<td>Grid frequency (f)</td>
</tr>
<tr>
<td>Filter inductance (L)</td>
</tr>
<tr>
<td>DC link voltage ($V_{dc}$)</td>
</tr>
<tr>
<td>SOSMC gains ($\alpha$ and $\beta$)</td>
</tr>
<tr>
<td>Switching frequency ($f_{sw}$)</td>
</tr>
</tbody>
</table>
Also, in order to show the superior performance of the SOSMC compared to FOSMC, three types of error indices are presented in Table 3. These indices are Integral Square Error (ISE), Integral Time Square Error (ITSE), and Integral Time Absolute Error (ITAE), which are obtained by running the simulation from t=0.5 s to t=3 s. As it is evident from this table, the SOSMC shows superior performance in all indices in comparison to FOSMC, which shows that the SOSMC can track the reference current more accurately in comparison to FOSMC.

Figure 6 shows the voltages of the upper and lower DC link capacitors (C1 and C2). According to this figure, by using the proposed control method, a voltage balance between C1 and C2 is achieved. In order to show the performance of this system in reactive power injection, the reference reactive power is considered zero (Q*=0). The current and voltage waveforms is depicted in Figure 7 for this case study. This figure shows that the phase difference of these waveforms is zero, which can verify the performance of this system in reactive power injection. It is worth mentioning that for better depiction and comparison, the current waveform is multiplied by a coefficient in Figure 7.

### TABLE 3. Comparison of the performance of proposed SOSMC and the FOSMC in case A

<table>
<thead>
<tr>
<th>Methods</th>
<th>Indices</th>
<th>I$_{\alpha}$</th>
<th>I$_{\beta}$</th>
</tr>
</thead>
<tbody>
<tr>
<td>FOSMC</td>
<td>ISE</td>
<td>0.1611</td>
<td>0.189</td>
</tr>
<tr>
<td></td>
<td>ITSE</td>
<td>0.282</td>
<td>0.329</td>
</tr>
<tr>
<td></td>
<td>ITAE</td>
<td>0.9073</td>
<td>0.9793</td>
</tr>
<tr>
<td></td>
<td>ISE</td>
<td>0.0806</td>
<td>0.0890</td>
</tr>
<tr>
<td>SOSMC</td>
<td>ITSE</td>
<td>0.1407</td>
<td>0.1561</td>
</tr>
<tr>
<td></td>
<td>ITAE</td>
<td>0.6365</td>
<td>0.6778</td>
</tr>
</tbody>
</table>

Figure 8(a) shows the injected current of the NPC inverter when it is connected to a distorted grid by utilization of the SOSMC method. The voltage waveform the grid is depicted in Figure 8(b). The harmonic contains of the grid voltage and injected current of the NPC inverter are depicted in Figure 9. As shown in this figure, the THD is 2.56, and individual harmonics remain at their standard level in this condition.

### 4. 3. Case C: Dynamic Evaluation

In order to evaluate the dynamic performance of system, a sudden change in reference power is happen. At first, the reference power is assumed 2000W and it increased suddenly at t=2s. Figure 10 shows the injected currents and their references in $\alpha\beta$ frame. As depicted in this figure, these currents can track their references values precisely after the mentioned change.
4.4. Case D: Changing Parameter

In this case study, the parameter of the system is changed in order to show the robustness of this method against changing parameters. In this regard, the filter inductor which is represented in Figure 2 as L is changed according to Table 4. The inductance of this filter is chosen as a sensitive parameter in order to show the change of impedance of a power network in which NPC inverter is integrated. According to this table, the controller can track the current more accurately both in the situation where the value of inductance is halved and when the value of inductance is doubled. It worth mentioning that the simulation is obtained when the grid voltage is distorted similar to Case B.

5. CONCLUSIONS

This paper presents the utilization of the SOSMC approach for control of grid-tied NPC inverter in stationary αβ. The control parameters were designed using Lyapunov stability analysis. The simulation results showed that using the SOSMC can reduce current ripple compared to using the FOSMC, which can reduce the amount of inductor filter size requirement. In addition, the simulation results showed that harmonic contents of the injected current remained at normal levels despite highly polluted grid voltages. The amount of THD was measured 2.5% when the grid voltage with THD=6.1% was applied. The system’s dynamic was evaluated by a sudden 50% increase in reference current. This demonstrated the method’s superior performance during the change. Finally, the performance of SOSMC is evaluated when the filter inductance is changed, and the results show that the control method can track the reference current accurately.

6. REFERENCES


چکیده

یک شکنیانه متصل به شبکه قفل‌شده نقطه خنثی در سال‌های اخیر به طور گسترده‌ای در کاربردهای مختلف مورد استفاده قرار گرفته‌اند. برای دستیابی به عملکرد مطلوب کنترل قفل‌شده نقطه خنثی متصل به شبکه، یک نوع مدل مدل سیستم نظری نیاز است. به همین منظور در این مقاله از روی مدل لغزش فازی مرتبه دوم که در قاب مرجع ساکن طراحی شده استفاده شده است. کنترل مدل لغزش فازی مرتبه دوم فراپارامتریک برای حل مشکل پدیده، جهت کنترل مدل لغزش فازی مرتبه اول استفاده شده. در مقایسه با روش‌های کنترلی که در قاب جریان سیستم با نواحی و q راهنمایی به شیب‌سیستم پیاده‌سازی شده در نرم‌افزار Matlab/Simulink استفاده شده است.

کنترل کننده از تحلیل پایداری لایه‌پذیر استفاده شده است. کارایی روش پیشنهادی با نتایج شبیه‌سازی سیستم پیاده‌سازی شده در نرم‌افزار Matlab/Simulink نشان می‌دهد که ادغام کنترل لغزش فازی مرتبه دوم می‌تواند رابطه میان مراجع جریان در مدل قفل‌شده نقطه خنثی را بهبود بخشید.