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# Improved Rotor Flux Observer for Sensorless Control of PMSM with Adaptive Harmonic Elimination and Phase Compensation

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(Invited)

**Abstract**—In this paper, a sensorless control strategy of a permanent magnet synchronous machine (PMSM) based on an improved rotor flux observer (IFO) is proposed. Due to the unknown integral initial value and the high harmonics caused by current sampling and inverter nonlinearities, the flux linkage estimated by traditional rotor flux observer may be inaccurate. In order to address these issues, a self-adaptive band-pass filter (SABPF) is designed to eliminate the DC component and high-frequency harmonics of the estimated equivalent rotor flux linkage. Furthermore, in order to avoid that the design of PI parameter is influenced by the amplitude of equivalent rotor flux linkage, an improved phase-locked loop (IPLL) is employed to obtain the rotor speed and to normalize the estimated equivalent rotor flux linkage. In addition, angle shift caused by an SABPF is compensated to improve the accuracy of the estimated flux linkage angle. Besides, the parameter robustness of this method is analyzed in detail. Finally, simulation and experimental results demonstrate the effectiveness and parameter robustness of the proposed method.

**Index Terms**—Improved phase-locked loop (IPLL), sensorless control, improved flux observer (IFO), self-adaptive band-pass filter (SABPF).

## I. INTRODUCTION

PERMANENT magnet synchronous motors (PMSM) are widely used in the industrial field owing to its high power density, high reliability. Further the rotor position and rotor speed are essential in the field-oriented control (FOC). Generally, encoders or sensors are used to obtain the position. However, the installation of encoder may increase the cost, stability and complexity of PMSM drive system. Thus,

sensorless control is in ascendant of PMSM drive system.

Currently, there are several sensorless control algorithms of PMSM drive systems, including direct calculation method [1], flux observer [2], extend back-electromotive force estimator [3], model reference adaptive system (MRAS) [4], sliding mode observer (SMO) [5-6], extended Kalman filter (EKF) [7], Luenberger observer [8], high-frequency signal injection (HFI) [9], artificial intelligence-based estimator [10], etc. The direct calculation method calculates the back-electromotive force directly by stator voltage equation and obtains the estimated rotor position by arctangent. This method is very dependent on the parameters, and the estimated rotor position is not regulated. EMF method rearranges the mathematical model of PMSM to obtain the EMF, which is used to estimate the rotor speed and position. MRAS method constructs an adjustable model by mathematical model, and designs adaptive rate to regulate the adjustable model to ensure to outputs of two model are consistent. Therefore, MRAS can obtain the rotor speed and position by adjustable model. SMO estimates the rotor speed and position by constructing Lyapunov function and sliding surface. HFI is only suitable for interior permanent magnet synchronous machine at low speed. In this paper, a sensorless control algorithm based on an improved flux observer is proposed.

Based on the mathematical model of PMSM, rotor position can be obtained by alpha-beta axis flux linkage. Generally, the rotor flux linkage is integrated by Equivalent back-electromotive force (EMF), which is obtained by stator voltage and stator current. However, the DC component and high-frequency harmonics might be generated in the current sampling and the nonlinearity of the converter. Furthermore, stator resistance may vary with the temperature while motor running, and the stator inductance may vary with the load. Therefore, due to the unknown integral initial value, the high-frequency harmonics and mismatch of parameters, the conventional flux observer is unable to estimate the rotor speed and position accurately. Currently, some methods are proposed to solve the problem. Such as disturbance observer and initial flux condition estimator [11]. However, the proposed methods can't guarantee the effectiveness. As for LPF [12], the pure integral is replaced by an LPF, and this method can eliminate the DC component, but the phase shift might be generated in

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estimated equivalent rotor flux linkage. Thus, the proposed method is also unable to obtain the rotor speed and position accurately. Meanwhile, a SOIFO-FLL method is proposed in [13] where the proposed method can reduce but not eliminate the DC component. Furthermore, a second-order SOIFO-FLL is proposed in [14], and this method can eliminate the DC component and high-frequency harmonic. However, the calculation process of the proposed method is very complex, and the practicality is unable to be guaranteed.

In this paper, a useful and simple method is proposed to solve about the mentioned problem. Firstly, a self-adaptive band-pass filter (SABPF) is used to eliminate DC component and high-frequency harmonics. Then, an improved phase-locked loop (IPLL) is used to obtain the rotor speed and uncompensated position. Next, the estimated rotor position is compensated. Furthermore, analysis of parameter robustness is provided. Ultimately, the accuracy and feasibility are verified by and experimental results.

## II. CONVENTIONAL FLUX OBSERVER

Based on the mathematical model of PMSM, rotor position can be obtained by alpha-beta axis flux linkage which is generally integrated by EMF.

### A. Flux Observer for Sensorless Control

For interior permanent magnet synchronous motor (IPM), the model can be described as:

$$\begin{bmatrix} u_\alpha \\ u_\beta \end{bmatrix} = \begin{bmatrix} R_s + pL_\alpha & pL_\beta \\ pL_\alpha & R_s + pL_\beta \end{bmatrix} \begin{bmatrix} i_\alpha \\ i_\beta \end{bmatrix} + \omega_r \lambda_m \begin{bmatrix} -\sin\theta_r \\ \cos\theta_r \end{bmatrix} \quad (1)$$

where  $u_\alpha$  and  $u_\beta$  are the  $\alpha$ -axis and  $\beta$ -axis stator voltages,  $i_\alpha$  and  $i_\beta$  are the  $\alpha$ -axis and  $\beta$ -axis stator currents,  $R_s$  is the stator resistance,  $p$  is the differential operator,  $\omega_r$  is the rotor speed,  $\theta_r$  is the rotor position,  $\lambda_m$  is the rotor flux linkage.  $L_\alpha$ ,  $L_{\alpha\beta}$  and  $L_\beta$  are temporary variables, whose values are:

$$\begin{bmatrix} L_\alpha \\ L_\beta \\ L_{\alpha\beta} \end{bmatrix} = \frac{1}{2} \begin{bmatrix} L_d + L_q + (L_d - L_q) \cos 2\theta \\ L_d + L_q - (L_d - L_q) \cos 2\theta \\ (L_d - L_q) \sin 2\theta \end{bmatrix} \quad (2)$$

From (1), it can be obtained that:

$$\begin{bmatrix} u_\alpha \\ u_\beta \end{bmatrix} = \begin{bmatrix} R_s + pL_q & 0 \\ 0 & R_s + pL_q \end{bmatrix} \begin{bmatrix} i_\alpha \\ i_\beta \end{bmatrix} + p \begin{bmatrix} \lambda'_\alpha \\ \lambda'_\beta \end{bmatrix} \quad (3)$$

where  $\lambda'_\alpha$  and  $\lambda'_\beta$  are the  $\alpha$ -axis and  $\beta$ -axis equivalent rotor flux linkage. And the  $\alpha$ - $\beta$ -axis equivalent back-electromotive force  $e'_\alpha$  and  $e'_\beta$  can be expressed as

$$\begin{bmatrix} e'_\alpha \\ e'_\beta \end{bmatrix} = p \begin{bmatrix} \lambda'_\alpha \\ \lambda'_\beta \end{bmatrix} = \omega_r [(L_d - L_q) i_d + \lambda_m] \begin{bmatrix} -\sin\theta_r \\ \cos\theta_r \end{bmatrix} \quad (4)$$

where  $L_d$  and  $L_q$  are the  $d$ -axis and  $q$ -axis stator inductance,  $i_d$  is the  $d$ -axis stator current. Thus, we could get the equivalent rotor flux linkage in the  $\alpha$ - $\beta$  reference frame by integrating equation (3) as the following:

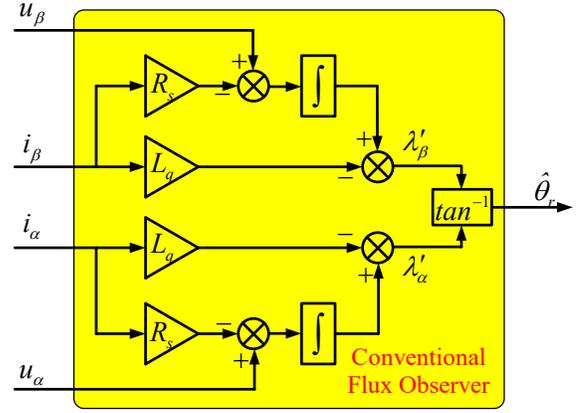


Fig. 1. Structure diagram of conventional flux observer in a PMSM.

$$\begin{bmatrix} \lambda'_\alpha \\ \lambda'_\beta \end{bmatrix} = -L_q \begin{bmatrix} i_\alpha \\ i_\beta \end{bmatrix} + \int \begin{bmatrix} u_\alpha - R_s i_\alpha \\ u_\beta - R_s i_\beta \end{bmatrix} \quad (5)$$

Therefore, the estimated rotor position  $\hat{\theta}_r$  can be obtained as:

$$\hat{\theta}_r = \tan^{-1}(\lambda'_\beta / \lambda'_\alpha) \quad (6)$$

And the Structure diagram of conventional flux observer in a PMSM is shown in Fig. 1.

### B. Analysis of Conventional Flux Observer

From equation (5), the conventional flux observer has a pure integral structure. And the ideal estimated flux linkage can be obtained as the following:

$$\begin{bmatrix} \hat{\lambda}'_\alpha \\ \hat{\lambda}'_\beta \end{bmatrix} = -L_q \begin{bmatrix} i_\alpha \\ i_\beta \end{bmatrix} + \int \begin{bmatrix} u_\alpha - R_s i_\alpha \\ u_\beta - R_s i_\beta \end{bmatrix} = k \begin{bmatrix} \cos\theta_r \\ \sin\theta_r \end{bmatrix} \quad (7)$$

However, the DC component may be generated in the sampling of the stator current while the motor is running. Therefore, the estimated flux linkage may be realized due to the pure integral block. Furthermore, high-frequency harmonics may be generated in stator voltage because of the nonlinearities of the inverter. Thus, the actual estimated flux linkage might be:

$$\begin{bmatrix} \hat{\lambda}'_\alpha \\ \hat{\lambda}'_\beta \end{bmatrix} = k \begin{bmatrix} \cos\theta_r \\ \sin\theta_r \end{bmatrix} + \begin{bmatrix} a \\ b \end{bmatrix} \quad (8)$$

where  $a$  and  $b$  are DC component and high-frequency harmonics of  $\alpha$ -axis and  $\beta$ -axis estimated stator flux linkage. In this case, the actual rotor position is not equal to the estimated rotor position:

$$\theta_r = \tan^{-1} \frac{k \sin\theta_r}{k \cos\theta_r} \neq \hat{\theta}_r = \tan^{-1} \frac{k \sin\theta_r + b}{k \cos\theta_r + a} \quad (9)$$

Therefore, the conventional flux observer is unable to estimate rotor speed and position accurately.

## III. IMPROVED FLUX LINKAGE OBSERVER

An IFO is proposed in this section to obtain a more accurate rotor position. The IFO uses the SABPF to eliminate the DC component and high harmonics. Also, an IPLL is used to obtain the rotor position instead of using a division. Meanwhile, phase



In general, stator resistance  $R_s$  varies with the motor temperature while the motor operation. Supposed that actual stator resistance is  $R'_s$ , and  $\Delta R_s$  is the variable value of the stator resistance.

$$R'_s = R_s + \Delta R_s \quad (18)$$

Supposed that the  $\alpha$ - $\beta$ -axis stator voltages are:

$$\begin{bmatrix} u_\alpha \\ u_\beta \end{bmatrix} = u_s \begin{bmatrix} \sin(\omega_r t + \theta_u) \\ \cos(\omega_r t + \theta_u) \end{bmatrix} \quad (19)$$

where  $\theta_u$  is the phase of stator voltage. And the  $\alpha$ - $\beta$ -axis stator currents are:

$$\begin{bmatrix} i_\alpha \\ i_\beta \end{bmatrix} = i_s \begin{bmatrix} \sin(\omega_r t + \theta_i) \\ \cos(\omega_r t + \theta_i) \end{bmatrix} \quad (20)$$

where  $\theta_i$  is the phase of stator current. Therefore, the estimated flux linkage can be derived as :

$$\begin{bmatrix} \hat{\lambda}'_\alpha \\ \hat{\lambda}'_\beta \end{bmatrix} = -L_q \begin{bmatrix} i_\alpha \\ i_\beta \end{bmatrix} + \int m \begin{bmatrix} \sin(\omega_r t + \phi_R) \\ \cos(\omega_r t + \phi_R) \end{bmatrix} dt \quad (21)$$

where  $m$  and  $\phi_R$  are constant values, and they can be expressed as

$$m = \sqrt{u_s^2 + R_s'^2 i_s^2 - 2R_s' i_s u_s \cos(\theta_u - \theta_i)} \quad (22)$$

$$\phi_R = \tan^{-1} \frac{u_s \sin \theta_u - R_s' i_s \sin \theta_i}{u_s \cos \theta_u - R_s' i_s \cos \theta_i} \quad (23)$$

Considering that  $u_s \gg R_s' i_s$ , equation (21) can be simplified to:

$$\begin{bmatrix} \hat{\lambda}'_\alpha \\ \hat{\lambda}'_\beta \end{bmatrix} \approx -L_q \begin{bmatrix} i_\alpha \\ i_\beta \end{bmatrix} + \int u_s \begin{bmatrix} \sin(\omega_r t + \phi'_R) \\ \cos(\omega_r t + \phi'_R) \end{bmatrix} dt \quad (24)$$

$$\phi'_R \approx \tan^{-1} \theta_u \quad (25)$$

Therefore, a change of  $R_s$  has almost no impact on the estimated flux linkage. Meanwhile,  $L_q$  varies with the load torque. Supposing that actual  $q$ -axis stator inductance is  $L'_q$ , and can be expressed as

$$L'_q = L_q + \Delta L_q \quad (26)$$

where  $\Delta L_q$  is the variable value of the  $q$ -axis stator inductance.

The estimated flux linkages can be expressed as

$$\begin{bmatrix} \hat{\lambda}'_\alpha \\ \hat{\lambda}'_\beta \end{bmatrix} = -(L_q + \Delta L_q) \begin{bmatrix} i_\alpha \\ i_\beta \end{bmatrix} + \int u_s \begin{bmatrix} \sin(\omega_r t + \theta_\lambda) \\ \cos(\omega_r t + \theta_\lambda) \end{bmatrix} dt \quad (27)$$

where  $\theta_\lambda = (\theta_u + \theta_i)/2 + \phi'$ , rearranging (27) to become

$$\begin{aligned} \begin{bmatrix} \hat{\lambda}'_\alpha \\ \hat{\lambda}'_\beta \end{bmatrix} &= -L'_q i_s \begin{bmatrix} \sin(\omega_r t + \theta_i) \\ \cos(\omega_r t + \theta_i) \end{bmatrix} + \frac{u_s}{\omega_r} \begin{bmatrix} \cos(\omega_r t + \theta_i) \\ -\sin(\omega_r t + \theta_i) \end{bmatrix} \\ &= n \begin{bmatrix} \cos(\omega_r t + \phi_L) \\ -\sin(\omega_r t + \phi_L) \end{bmatrix} \end{aligned} \quad (28)$$

where  $n$  and  $\phi_L$  are constant values, and they can be expressed as

$$n = \sqrt{\frac{u_s^2}{\omega_r^2} + L_q'^2 i_s^2 + 2L_q' i_s \frac{u_s}{\omega_r} \sin(\theta_i - \theta_\lambda)} \quad (29)$$

$$\phi_L = \tan^{-1} \frac{L_q' i_s \omega_r \cos \theta_i + u_s \sin \theta_\lambda}{-L_q' i_s \omega_r \sin \theta_i + u_s \cos \theta_\lambda} \quad (30)$$

Considering that  $u_s \gg L_q' i_s \omega_r$ , the equation (28) can be simplified to:

$$\begin{bmatrix} \hat{\lambda}'_\alpha \\ \hat{\lambda}'_\beta \end{bmatrix} \approx \frac{u_s}{\omega_r} \begin{bmatrix} \cos(\omega_r t + \phi'_L) \\ -\sin(\omega_r t + \phi'_L) \end{bmatrix} \quad (31)$$

where  $\theta'_L \approx \theta_\lambda$ . Therefore, change of  $L_q$  seldom exerts the influence on the estimated flux linkage. Furthermore,  $L_d$  and  $\lambda_m$  are not used during the observation.

#### IV. SIMULATION AND EXPERIMENTAL RESULTS

The block diagram of the sensorless control based on the IFO strategy is shown in Fig. 6. The FOC scheme is used as the basic control scheme. Firstly, the sampled current and voltage are executed Clarke transformation to obtain the  $\alpha$ - $\beta$  axis

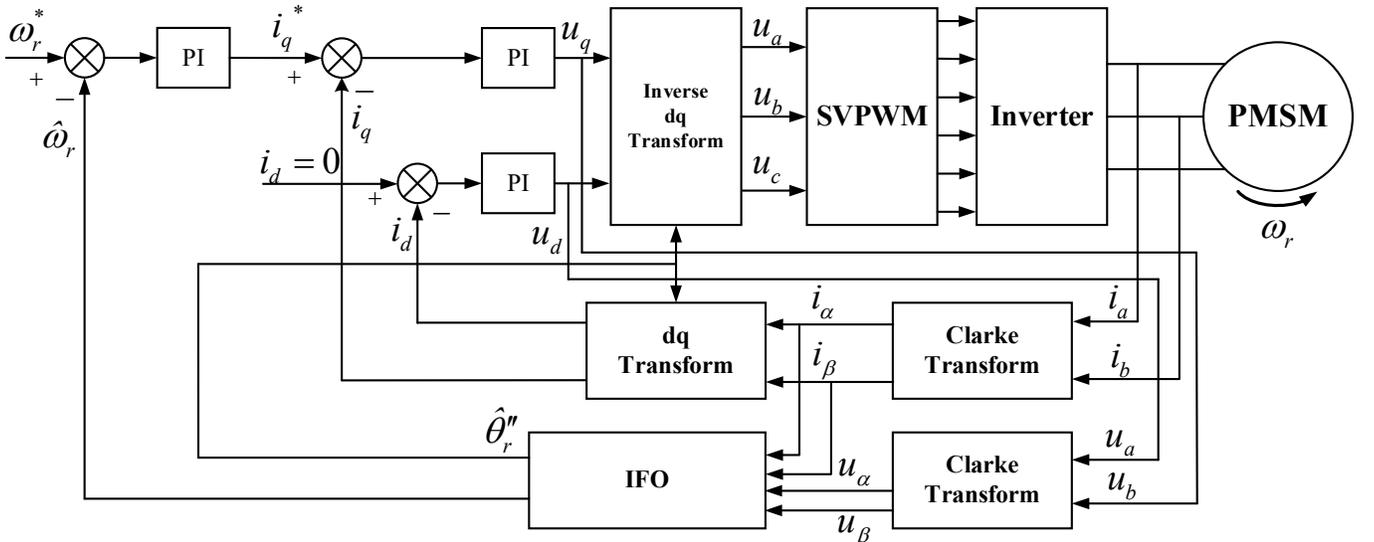


Fig. 6. Structure diagram of sensorless control strategy based on improved flux observer.

current and voltage. Then, the estimated rotor speed and position are provided by the proposed method. Meanwhile, the estimated rotor speed is fed back to the speed loop, and the estimated rotor position is used for executing dq transformation and inverse dq transformation. Furthermore, Table I shows the parameters of PMSM.

TABLE I  
PARAMETERS OF PMSM

Symbol	Quantity	Value and Unit
$P_n$	Rated power	3 kW
$I_N$	Rated current	6.8 A
$n_N$	Rated speed	1200 rpm
$p_n$	Number of pole pairs	3
$\lambda_m$	Flux linkage	0.35 Wb
$R_s$	Stator resistance	1.14 $\Omega$
$L_d$	d-axis stator inductance	1.19 mH
$L_q$	q-axis stator inductance	4.73 mH
$J$	Coefficient of friction	$3.78 \times 10^{-4}$ kg*m <sup>2</sup>

A. Simulation Results

Fig. 7 shows the simulation results of the conventional flux observer, IFO (before compensation), IFO (after compensation) at 200 r/min with no load. Fig. 7 (a) shows the estimated rotor position and position error of the conventional flux observer. It is obvious that the conventional flux observer is unable to

estimate the rotor position accurately. Fig. 7 (b) shows the estimated angle and angle error of the proposed IFO (before compensation). In this figure, the frequency of the estimated rotor position is equal to the actual rotor position. Therefore, the rotor speed estimated by IFO is accurate. However, due to the mismatch of the self-adaptive resonant angular frequency and estimated rotor angular frequency, there exist an angle error (about 1.22 rad) between estimated rotor position and actual rotor position. Fig. 7 (c) presents the estimated rotor position and position error of IFO (after compensation). As it can be seen, the angle error is decreased to less than 0.01 rad after the phase compensation, which guarantees the accuracy of the rotor position estimated by the proposed method at low speed.

Fig. 8 presents the simulation results of the three methods at 900 r/min with no load. Fig. 8 (a) shows the estimated rotor position and position error of conventional flux observer. Fig. 8 (b) shows the estimated angle and angle error of proposed IFO (before compensation). Fig. 8 (c) presents the estimated rotor position and position error of IFO (after compensation). As it can be seen, the conventional flux observer is still unable to estimate the rotor speed and position accurately while the IFO can accurately obtain the rotor speed regardless of phase

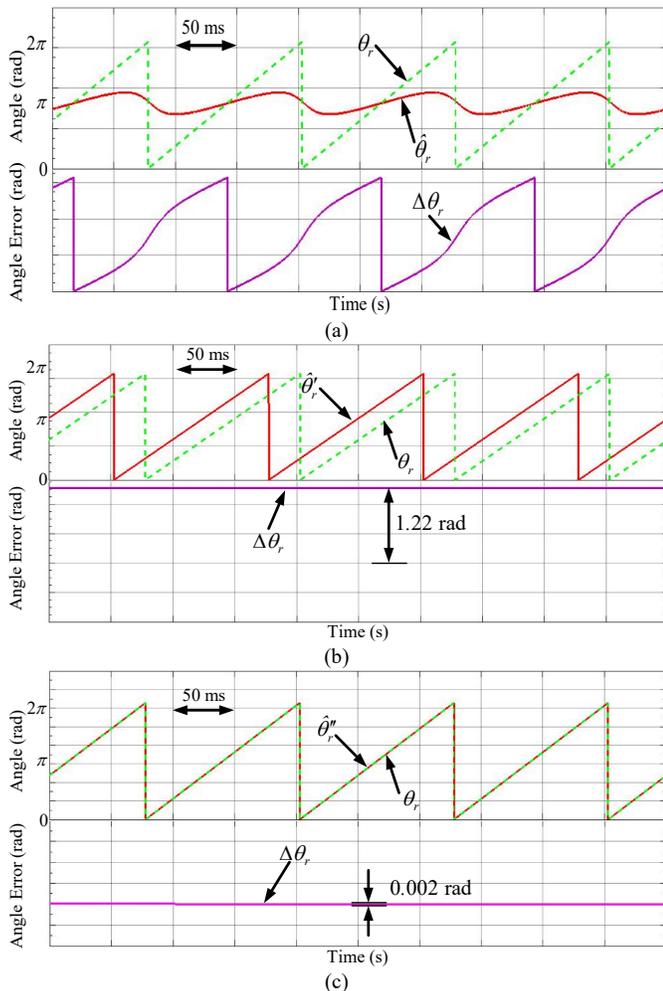


Fig. 7. Simulation results of the angle estimation at 200 r/min with no load. (a) Conventional flux observer, (b) IFO (before compensation), (c) IFO (after compensation).

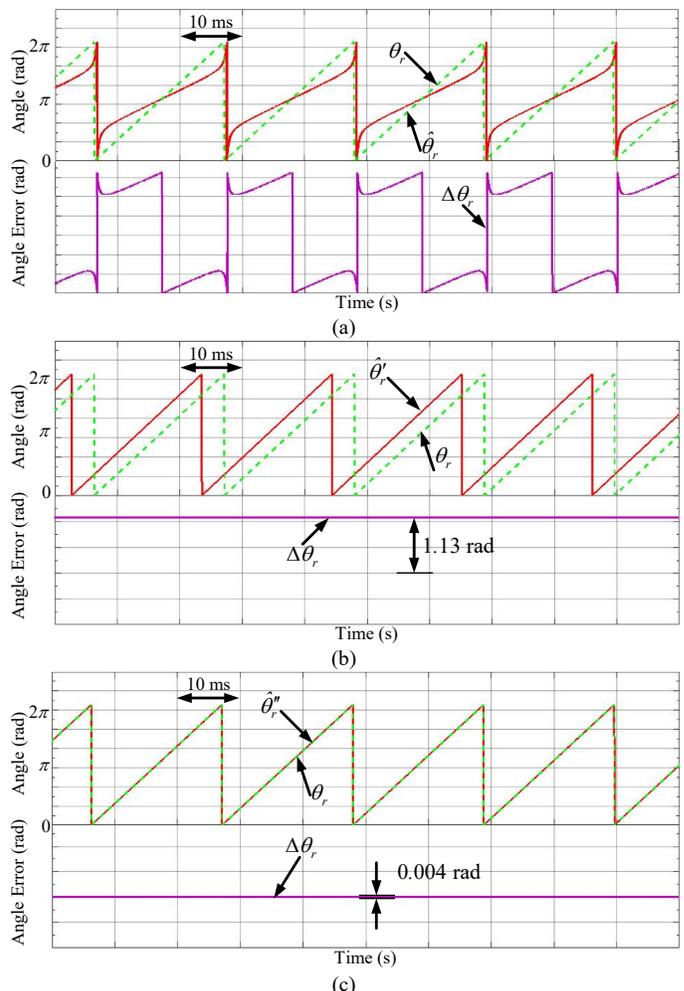


Fig. 8. Simulation results of the angle estimation at 900 r/min. with no load (a) Conventional flux observer, (b) IFO (before compensation), (c) IFO (after compensation).

compensation. But in order to ensure to accuracy of the estimated rotor position, it is necessary to compensate the estimated by the IPLL.

To further validate the parameter robustness of the IFO, the simulation results of parameter variation are shown in Fig. 9. Fig. 9 (a) shows the estimated angle error while stator resistance and  $q$ -axis stator inductance change with on  $\pm 50\%$  of their nominal values. Fig. 9 (b) shows the estimated speed error when the stator resistance and  $q$ -axis stator inductance change with  $\pm 50\%$  of their nominal values. As can be seen, the estimated angle error maintains at about 4 degrees when  $R_s$  and  $L_q$  change with  $\pm 50\%$ . Simultaneously, the estimated speed error maintains about 0.4 r/min when parameters change. Therefore, parameter variation seldom exerts influence on the estimated rotor position, which demonstrate strong parameter robustness of the proposed method.

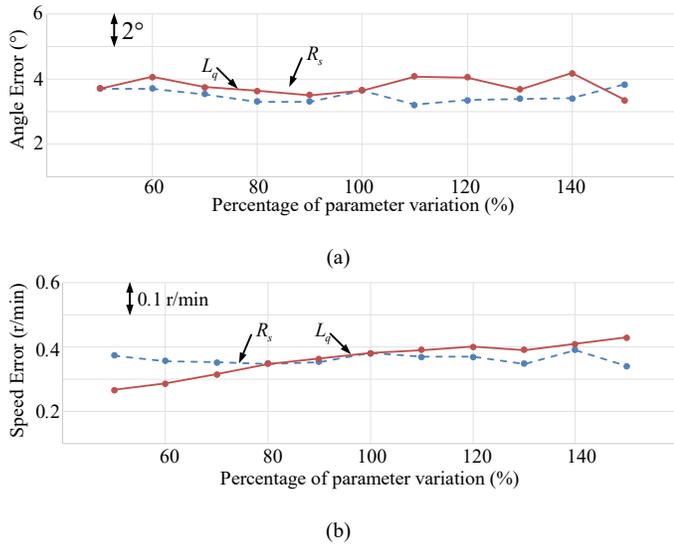


Fig. 9. Simulation results of parameter variation of  $R_s$  and  $L_q$ . (a) Estimated angle error, (b) Estimated speed error.

**B. Experimental Results**

To further demonstrate the effectiveness of IFO, the proposed sensorless control strategy is implemented in a PMSM drive system, controlled by a TI TMS 320F28335 DSP board. The platform of the PMSM drive system is shown in Fig. 10.

In this figure, an asynchronous induction machine (IM), which is connected with PMSM by a torque sensor is used as a load. The load can be changed by adjusting the current of the IM. Block diagram of drive system is shown in Fig. 11.

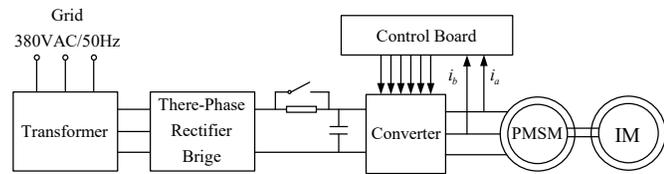


Fig.11. Block diagram of drive system.

In this system, dc voltage is supplied by the grid through transformer and three-phase Rectifier Bridge. The control board sends out three-phase pulse width modulation to the converter to control PMSM. In addition, the sampled currents

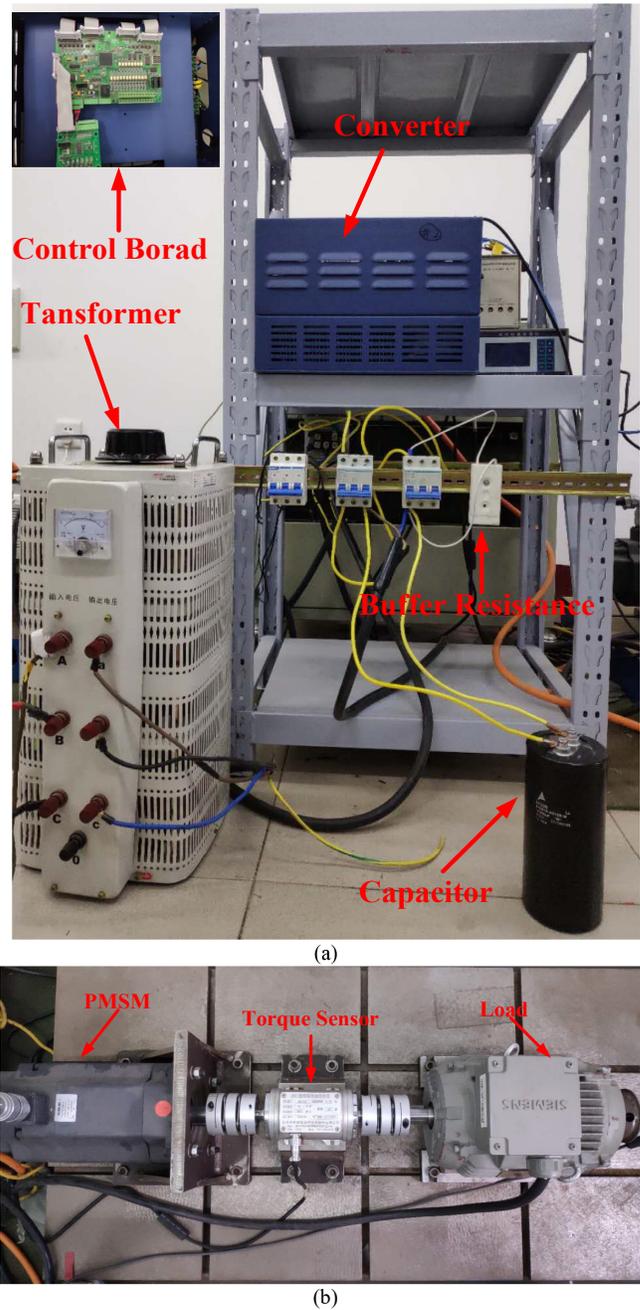


Fig.10. Platform of PMSM test drive system.

and voltages are sent to control board to obtain the estimated speed, estimated position and generate the PWM wave forms. The sampling frequency is 10 kHz.

Fig. 12 presents the experimental results of three methods at 200 r/min with no load. Fig. 12 (a) shows the estimated rotor position and position error of the conventional flux observer. It is obvious that the conventional flux observer is still unable to estimate the rotor position accurately in the experimental results. Fig. 12 (b) shows the estimated angle and angle error of the proposed IFO (before compensation). In this figure, the accuracy of rotor speed estimated by IFO regardless of phase compensation is demonstrated. However, due to the mismatch of the self-adaptive resonant angular frequency and estimated rotor angular frequency, there exist an angle error (about 3.4 rad) between estimated rotor position and actual rotor position.

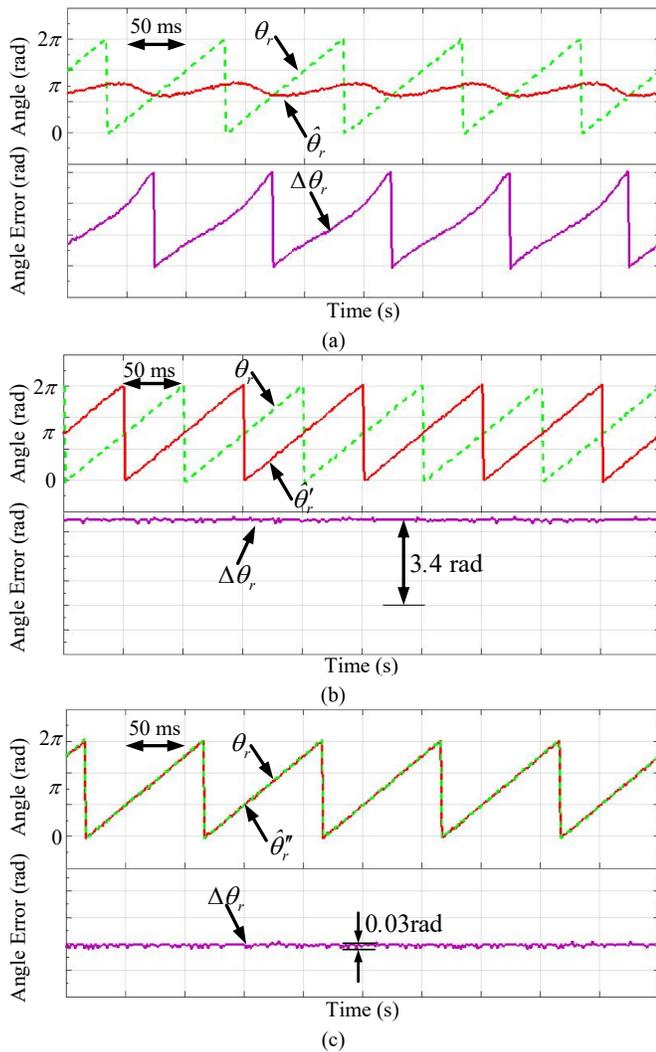


Fig. 12. Experimental results of angle estimation at 200 r/min with no load. (a) Conventional flux observer, (b) IFO (before compensation), (c) IFO (after compensation).

Fig. 12 (c) presents the estimated rotor position and position error of IFO (after compensation). As it can be seen, the angle error is decreased to less than 0.05 rad after phase compensation. From Fig. 12 (b) and Fig. 12 (c) can be seen that

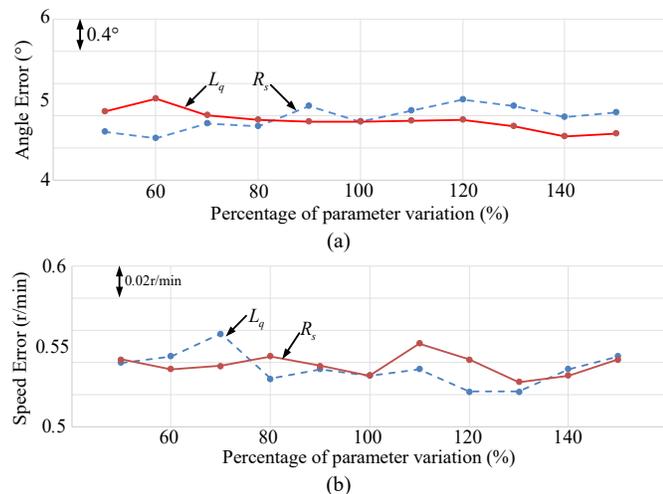


Fig. 14. Experimental results of parameter variation. (a) Estimated angle error, (b) Estimated speed error.

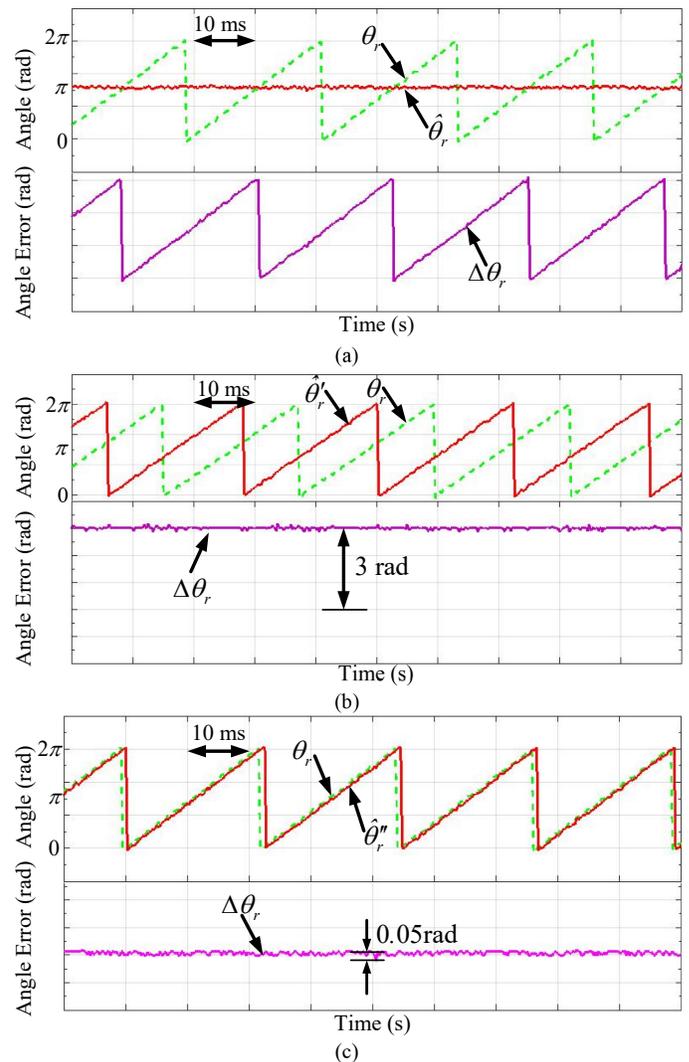


Fig. 13. Experimental results of angle estimation at 900 r/min with no load. (a) Conventional flux observer, (b) IFO (before compensation), (c) IFO (after compensation).

the proposed method, IFO, is able to estimate the rotor speed and position accurately at low speed.

Fig. 13 presents the simulation results of the three methods at 900 r/min with no load. Fig. 13 (a) shows the estimated rotor position and position error of the conventional flux observer. Fig. 13 (b) shows the estimated angle and angle error using the proposed IFO (before compensation). Fig. 13 (c) presents the estimated rotor position and position error of IFO (after compensation). As it can be seen, the conventional flux observer is still unable to estimate the rotor speed and position accurately. And the IFO can accurately obtain the rotor speed regardless of phase compensation. But in order to ensure an accuracy of the estimated rotor position, it is necessary to compensate the estimated by using the IPLL.

To further validate the parameter robustness of IFO, the experimental results of parameter variation are shown in Fig. 14. In this figure, the estimated angle error changes about 0.8 degree when  $R_s$  and  $L_q$  change with  $\pm 50\%$  of their nominal values. Simultaneously, the estimated speed error changes about 0.04 r/min when parameters change. Therefore, the proposed method has a strong parameter robustness.

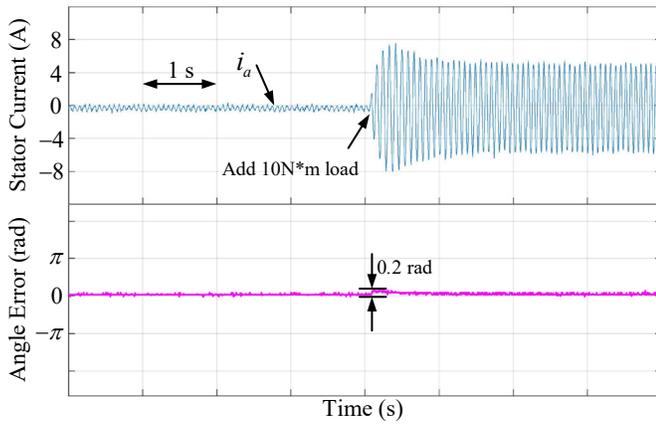


Fig.15. Experimental result of estimated error when load changes from 0 to 100% rated torque.

Fig.15 shows the experimental results of estimated error when load changes from 0 to 100% rated torque. It is obvious that the maximum estimated angle error is 0.2 rad when load changes from 0 to 100% rated torque. Therefore, the performance of IFO under the load changes is satisfactory.

## V. CONCLUSION

In this paper, an improved flux observer method is proposed. To eliminate the angle error caused by current sampling and nonlinearity of converter, an SABPF is used to eliminate the DC component and high-frequency harmonics. In addition, an IPLL is designed to obtain the rotor speed. In order to avoid that the design of PI parameter is influenced by the amplitude of equivalent rotor flux linkage, the IPLL is employed to normalize the estimated equivalent rotor flux linkage. Furthermore, the phase shift is compensated, which is generated by the mismatch of self-adaptive resonant angular frequency and estimated rotor angular frequency. Several simulations and experiments are carried out on a 30 kW PMSM at lower and higher speed. Moreover, simulation and experiments when stator resistance and q-axis stator inductance change with  $\pm 50\%$  of their nominal values are presented. All the simulation and experimental results prove the satisfactory performance and strong parameter robustness of the proposed method.

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