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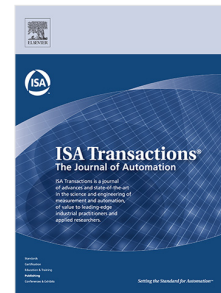
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**Load Mitigation of a Class of 5-MW Wind Turbine with RBF Neural Network based Fractional-Order PID Controller**

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- A gain-scheduling fractional-order PID pitch controller is proposed
- The controller is designed to mitigate the mechanical loads
- A database controller parameters are evaluated via chaotic differential evolution
- The proposed controller method has shown to have superior performance
- The results are validated via FAST simulator

1            *Load Mitigation of a Class of 5-MW Wind Turbine with RBF Neural*  
2            *Network based Fractional-Order PID Controller*

3    *Abstract-* In variable-pitch wind turbines, pitch angle control is implemented to regulate  
4    the rotor speed and power production. However, mechanical loads of the wind turbines  
5    are affected by the pitch angle adjustment. To improve the performance and at the same  
6    time alleviate the mechanical loads, a gain-scheduling fractional-order PID (FOPID),  
7    where a trained RBF neural network chooses its parameters is proposed. The database,  
8    which the RBF neural network is trained based on, is created via optimization of a  
9    FOPID in several wind speeds with chaotic differential evolution (CDE) algorithm. The  
10   simulation results are compared to an RBF based PID controller that is designed via the  
11   same method, a conventional gain-scheduling baseline PI controller developed by  
12   NREL, an optimal RBF based PI controller, and a FOPID controller. The simulations  
13   indicate that the RBF based FOPID improves the control performance of the benchmark  
14   wind turbine in comparison to the other controllers, while the applied loads to the  
15   structure are mitigated. To validate the performance and robustness, all controllers are  
16   implemented on FAST wind turbine simulator. The superiority of the proposed FOPID  
17   controller is depicted in comparison to the other controllers.

18   **Keywords:** Gain-scheduling fractional-order PID, Wind turbine pitch control, Chaotic  
19   differential evolution, RBF neural network, FAST

20   **1 Introduction**

21   In past decades, more attention has been paid to developing and economizing renewable  
22   sources of energy. Among them, wind energy has received noticeable attention.  
23   Installed wind energy conversion systems (WECSs) have increased by 40% in the 2000s  
24   [1]. Until now, many countries have installed WECSs, and the capacity of installed  
25   WECSs is going to pass 750 GWs by 2020 [2]. It should be noted that developing  
26   control algorithms has played an essential role in this rise [3].

27   It is conventional to use more than one strategy to operate a wind turbine in different  
28   wind speeds, which is based on *rated-speed*. While in speeds below rated-speed the goal  
29   is to keep the captured power as high as possible via torque control, in above rated-  
30   speed the point is to regulate the rotor speed via pitch angle and torque control,  
31   simultaneously [4].

32   Research is abundant in the performance of controllers of each kind in wind turbine  
33   pitch angle and torque adjustment. For instance, in [5], by combining a radial basis  
34   function (RBF) neural network and PI controller, a gain-scheduling PI controller is  
35   developed. Therefore, by measuring the wind speed, the RBF neural network selects  
36   suitable gains for the PI controller. The proposed method has shown better performance  
37   in regulating rotor speed and power in a stochastic wind condition over a constant-gain  
38   PI controller. In [6], two controllers are designed for pitch actuator based on MLP and  
39   RBF neural networks. In the article, RBF had slightly better performance in rotor speed  
40   regulation. The performance of a nonlinear PI (N-PI) controller is studied in [7], in  
41   which by designing an extended-order state and perturbation observer to estimate the

42 nonlinearities, an external signal is added to the output of a PI controller. The results  
43 showed the effectiveness of N-PI in decreasing the RMS (Root Mean Square) of error  
44 and mechanical loads in comparison to a gain-scheduled PI. Meanwhile, the results are  
45 also validated via the FAST simulator. In [8], to overcome the effect of the unknown  
46 delays caused by hydraulic pressure driven units a PI controller is optimized for an ideal  
47 system, while a delay estimator is designed to estimate the perturbation caused by the  
48 delay. Using this estimation as a compensation signal the effect of the delay in the  
49 output is removed. The technique was tested on wind turbines with different rated  
50 powers, and it is observed that the performance of a 4.8-MW wind turbine has been  
51 improved.

52 The quality of adjusting the controlling parameters of a wind turbine has significant  
53 effects on the mechanical loads of the drivetrain, tower, and blades [7]. Pitch regulation,  
54 changes the direction of the airfoil, so as the vector of applied forces on the blades.  
55 These changes and wind speed fluctuations, cause cyclic motion and vibration in the  
56 blades and tower. Hence, the control methods play an essential role in limiting the loads  
57 and fatigue damages and as a result lowering the maintenance cost and increasing the  
58 efficiency of wind turbines. These are the motivations to search for suitable approaches  
59 in operation. Although one of the manners is to redesign the blades with respect to  
60 fatigue reduction [9], or implementing new sensors and mechanical equipment [10], a  
61 fast and viable way in order to response these demands are changing the control  
62 algorithms and software, in which, the requirement for new sensors and design would  
63 be relaxed.

64 Therefore, more research is done recently to decrease the mechanical loads. For  
65 instance, in [11], several control algorithms are presented to alleviate loads of a wind  
66 turbine. These methods consist of installing new sensors to measure the loads, using  
67 individual pitching control (IPC), providing a joint control between power production  
68 and the loads, and using the torque control to alleviate the torsional resonance. IPC is a  
69 technique that every blade rotates along its longitude axis separately. An experimental  
70 study on IPC is conducted in [12] to reduce the loads. The controller is designed based  
71 on the linear state-space model, and the gains are calculated via linear quadratic  
72 regulator (LQR) method. The controller demonstrates better performance in lowering  
73 the loads while maintaining the error and pitch actuator usage. However, in these kinds  
74 of model-based methods, a complete model of the system is needed. A combination of  
75 IPC and fuzzy controllers is studied to reduce mechanical loads [13]. To do this, a fuzzy  
76 controller is designed to control the rotor speed by adjusting the pitch angle and  
77 generator reference torque, while the other two fuzzy controllers are responsible for  
78 controlling the mechanical loads (blade moments) by adding an extra signal to the  
79 output of the first controller. The control performance shows a reduction in fatigue  
80 loads. A robust  $H_\infty$  method is examined in [10] for tower and drivetrain load mitigation  
81 in a 5-MW wind turbine, where two  $H_\infty$  controllers are designed at above the rated  
82 speed; one controller is for adjusting the pitch angle, and another is designed to tune the  
83 generator torque. The inputs of the controllers were generator speed, tower, and blade  
84 tip accelerations. The method has superiority in load reduction in comparison to a

85 baseline controller. In [14], it is shown that how optimization of a pitch and torque  
86 controller can affect the loads. In the method, a hybrid cost function is defined, which  
87 includes the fatigue and ultimate loads of blades, tower and drivetrain and the rate of  
88 pitch angle. Then the variation of cost in different proportional and integral gains is  
89 studied. A reduction of 2% was achieved in load effect in particular wind speed. In [15],  
90 a comparison is made between SISO and MIMO active flow control in a wind turbine. It  
91 is shown that in a wind turbine equipped with active flow control, a MIMO controller  
92 can be decomposed into simpler SISO controllers, which is highly efficient in load  
93 reduction.

94 In the past years, the fractional order controllers have received many interests.  
95 Fractional order controllers have more parameters to set so that the controller designer  
96 can apply more consideration to account. A motivation to study this kind of controller is  
97 its particular structure: If their extra parameters, which are their orders, are set to 1, they  
98 act as a simple PID controller. On the other hand, albeit their nonlinear figure ( $PI^\lambda D^\mu$ ),  
99 they are usually approximated via linear transfer functions that are similar to high order  
100 linear controllers. In several cases, fractional-order controllers have shown a better  
101 control performance than their integer order counterparts: In [16], the performance of an  
102 automatic voltage regulator is investigated under control of an optimized FOPID. In  
103 [17], a multi-objective optimization is accomplished to control a hydraulic turbine.  
104 Besides, in [18], a multi-objective design process is suggested to design a FOPID and  
105 PID for plants with parametric uncertainty. In [19], a fractional order PI controller is  
106 investigated for a 4.8 MW wind turbine, while its gains are constant during the  
107 operation. In [20], a gain-scheduling PID and a gain/order-scheduling FOPID are  
108 designed via optimization. The simulation results show significant superiority of  
109 schedule-gain/order FOPID in decreasing control signal fluctuations.

110 In this paper, to mitigate the mechanical loads in a wind turbine and maintain its  
111 performance, simultaneously, a new method, which is a combination of FOPID and  
112 RBF neural network, is proposed. In the process, the wind turbine equipped with a  
113 simple FOPID controller undergoes several wind profiles with fixed average speed.  
114 Then, employing chaotic differential evolution (CDE), the optimal gains and orders are  
115 found. The primary goal of this design is to alleviate the tower and blade moments,  
116 which are critical in the wind turbine lifespan. With the optimal dataset, an RBF neural  
117 network is trained to choose the best parameters and put them into the controller. To  
118 study the effectiveness of FOPID, an RBF neural network based PID is also designed  
119 within the same framework. Then several fluctuated wind speeds are applied to the wind  
120 turbine model, and the results are compared with a conventional gain-scheduling PI  
121 controller (NREL baseline PI controller) [21], the RBF PI controller [5], and the FOPI  
122 controller [19]. It is known that the validation of a proposed controller is of utmost  
123 importance. To this end, to validate the simulation results, all controllers are applied to  
124 the FAST (Fatigue, Aero-elastic, Structure, Turbulence) as a detailed wind turbine  
125 simulator.

126 The motivation of this paper is twofold: 1) Proposing controllers to investigate the load  
127 mitigation of a wind turbine and comparing it via a conventional controller in the

128 industry. 2) Since the load mitigation and performance in wind turbines conflict with  
 129 each other, another motivation is that the controllers should present satisfactory  
 130 performance. It should be noted that, although a controller with more coefficient may  
 131 demonstrate a better achievement in some control objectives, its effect on different  
 132 aspects should be studied. The contributions of this paper, to accomplish those  
 133 motivations, are as follows:

- 134 1) Proposing a cost function to decrease the mechanical loads.
- 135 2) Considering the performance of a conventional gain-scheduling PI controller  
 136 (NREL baseline PI controller) as a constraint.
- 137 3) Proposing an RBF neural network that can predict the gains of the PID/FOPID  
 138 controllers without any demand to measure the wind speed.
- 139 4) Validation the control performance of the proposed controllers via a standard  
 140 wind turbine simulator (FAST).
- 141 5) In the proposed methods, unlike IPC related papers, there is no demand for new  
 142 mechanisms [11-13].
- 143 6) The need for sensors to measure the wind speed or the tower/blades acceleration  
 144 is relaxed [5, 6, 10].

145 This paper is organized as follows: Section 2 is a brief description of the wind turbine  
 146 model. In Section 3, the baseline controller and the proposed methods are presented.  
 147 Section 4 demonstrates the process of deriving the parameters, test scenarios, and  
 148 validation. Finally, Section 5 concludes the paper by discussing the main advantages of  
 149 the proposed method.

## 150 2 Wind Turbine Dynamic Model

151 A wind turbine (WT) dynamics can be divided into several parts: Aerodynamics,  
 152 drivetrain, generator, pitching system, and flexible tower. The wind turbine that is  
 153 presented in this study as the benchmark is a land-based 5 MW class horizontal wind  
 154 turbine, which is proposed by NREL [21].

### 155 2.1 Aerodynamic

156 The captured energy crucially depends on blade shape. However, it is also affected by  
 157 wind speed and pitch angle. The captured power is calculated as:

$$158 P_a = \frac{1}{2} \rho \pi R^2 C_p(\lambda, \beta) v^3 \quad (1)$$

159 where  $P_a$  is the captured aerodynamics power,  $\rho$  is the air density, and  $R$  is the radius of  
 160 blades plus hub radius.  $C_p$  is power coefficient and  $v$  is the wind speed.  $\beta$  is the pitch  
 angle and  $\lambda = R\omega_r/v$  is called the tip speed ratio (TSR).

161 The captured torque from wind is calculated as follows:

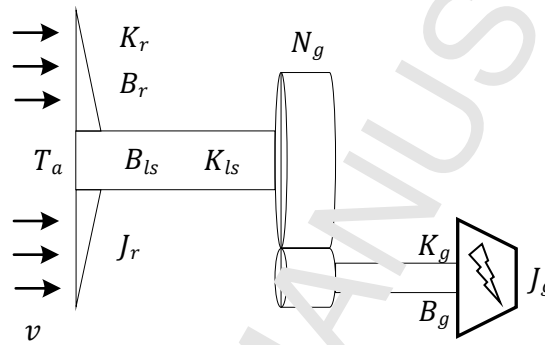
$$162 P_a = T_a \omega_r \quad (2)$$

where  $T_a$  is the aerodynamic torque.

163  $C_p$  is an experimental coefficient, which is nonlinear and dependent on blade shapes,  
 164 TSR, and pitch angle. Here the coefficient is adopted from a look-up table of NREL 5-  
 165 MW wind turbine [21].

## 166 2.2 Drivetrain

167 The drivetrain is a complex component that transmits the captured power to the  
 168 generator. In a large-scale wind turbine, the drivetrain can have severe effects on the  
 169 performance, because of its flexibility. It is more common to simplify the model to  
 170 separated masses. In [22], several separated mass models in the transient period, such as  
 171 2-mass, 3-mass, and 6-mass are compared. It is studied that 2-mass model is accurate  
 172 and yet simple enough to be chosen for simulation and controller design. A two-mass  
 173 simplified model for drivetrain is shown in Figure 1.



174

175 **Figure 1** Two-mass simplified drivetrain model

176 The drivetrain equations are derived as follows

$$177 J_r \dot{\omega}_r = T_a - T_{ls} - B_r \omega_r \quad (3)$$

178 where  $J_r$  is the inertia of blades, hub and low-speed shaft.  $T_{ls}$  is the low-speed shaft  
 torque and  $B_r$  is the rotor damping coefficient.  $T_{ls}$  can be calculated as follows

$$179 T_{ls} = K_{ls}(\psi_r - \psi_{ls}) + B_{ls}(\omega_r - \omega_{ls}) \quad (4)$$

180 where  $K_{ls}$  is low-speed shaft stiffness and  $B_{ls}$  is low-speed shaft damping.  $\omega_{ls}$  is the  
 181 speed of low-speed shaft while  $\psi_r$  and  $\psi_{ls}$  are the rotor and low-speed shaft angular  
 deviation, respectively.

182 The gearbox transmission ratio is defined as:

$$183 N = \frac{T_{ls}}{T_{hs}} \quad (5)$$

184 where  $N$  is gearbox ratio and  $T_{hs}$  is the high-speed shaft torque.

In the generator side, the following equations exist:

$$185 J_g \dot{\omega}_g = T_{hs} - T_g - B_g \omega_g \quad (6)$$



185 In (6),  $J_g$  is the generator inertia,  $T_g$  is the generator torque and  $B_g$  is the generator  
186 damping.

187 According to (3)-(6), the drivetrain differential equations are derived as follows

$$\begin{bmatrix} \dot{\omega}_r \\ \dot{\omega}_g \\ \dot{T}_{ls} \end{bmatrix} = \begin{bmatrix} a_{11} & a_{12} & a_{13} \\ a_{21} & a_{22} & a_{23} \\ a_{31} & a_{32} & a_{33} \end{bmatrix} \begin{bmatrix} \omega_r \\ \omega_g \\ T_{ls} \end{bmatrix} + \begin{bmatrix} b_{11} \\ b_{21} \\ b_{31} \end{bmatrix} T_a + \begin{bmatrix} c_{11} \\ c_{21} \\ c_{31} \end{bmatrix} T_g \quad (7)$$

188 where

$$\begin{aligned} a_{11} &= -\frac{B_r}{J_r} & a_{12} &= 0 & a_{13} &= -\frac{1}{J_r} & b_{11} &= \frac{1}{J_r} & c_{11} &= 0 \\ a_{21} &= 0 & a_{22} &= -\frac{B_g}{J_g} & a_{23} &= \frac{1}{N_g J_g} & b_{21} &= 0 & c_{21} &= -\frac{1}{J_g} \\ a_{31} &= K_{ls} - \frac{B_{ls} B_r}{J_r} & a_{32} &= \frac{1}{N_g} \left( \frac{B_{ls} B_g}{J_g} - K_{ls} \right) & a_{33} &= -B_{ls} \left( \frac{J_r + N_g^2 J_g}{N_g J_r J_g} \right) & b_{31} &= \frac{B_{ls}}{J_r} & c_{31} &= \frac{B_{ls}}{N_g J_g} \end{aligned}$$

### 189 2.3 Generator

190 The generator is supposed to convert the kinetic energy of the wind to electrical power.  
191 In this paper, a simple first order generator is chosen, and its differential equation is as  
192 follows

$$\dot{T}_g = \frac{1}{\tau_g} (T_{ref} - T_g) \quad (8)$$

$$P_g = \eta_g T_g \omega_g \quad (9)$$

193 where  $\tau_g$  is the generator time constant,  $P_g$  is the generated power and  $\eta_g$  is generator  
194 efficiency. It should be noted that there is also a limitation in both torque and torque rate  
195 in generators dynamics.  $T_g$  is limited between 0 to 47,402.91 N.m whereas its rate is  
196 limited between -15 to 15 KN.m/s [21].

197 Since the main contribution of this paper is to study the mechanical loads and pitch  
198 control, the turbine is considered to be an off-grid; thus, a first order generator is  
199 reasonable [21]. However, a more advanced model for the generator is needed when the  
200 turbine is connected to the grid. Usually, the doubly-fed induction generator, along with  
201 a back-to-back converter, is utilized [23]. To control the connection of WT to the grid,  
202 one of the effective methods is to use a back-to-back converter to control the frequency.  
203 Besides, since doubly-fed induction generators consume reactive power, the back-to-  
204 back converter can also be used as a capacitor bank to compensate power factor [24].

### 205 2.4 Pitch actuator

206 Pitch actuator rotates the blades around their longitude axis. In this research, a simple  
207 first order generator is implemented. The differential equation is as follows

$$\dot{\beta} = \frac{1}{\tau_\beta} (\beta_{ref} - \beta) \quad (10)$$

208 In (10),  $\beta_{ref}$  is the reference pitch angle, generated by the controller and  $\tau_\beta$  is the time  
209 constant of the actuator. In a pitch actuator, the limitations are playing a crucial role.

210  $\beta$  is usually limited between  $0^\circ$  and  $90^\circ$  while the rate limitation is considered to be  
 211 between  $-8$  to  $+8$  %/s.

## 212 2.5 Tower

213 Rising wind through wind turbine caused vibration in the tower. In tall wind turbines,  
 214 tower vibration caused an additional fluctuation in wind speed. In this paper, the tower  
 215 is approximated via a mass-spring-damper system. The differential equation of the  
 216 tower can be derived as follows:

$$\ddot{z} = \frac{1}{m_{tow}} (F_{tow} - K_{tow}z - B_{tow}\dot{z}) \quad (11)$$

217 where  $z$  is the displacement of the tower top.  $K_{tow}$  and  $B_{tow}$  are the tower stiffness and  
 218 damping coefficient, respectively.  $F_{tow}$  is the applied force to the tower and has a  
 219 nonlinear relation with wind speed and pitch angle [21]

220 Although the effect of the flexible tower is usually neglected in many papers, in this  
 221 paper, it is considered by its impact on wind speed fluctuations. In other words, the  
 222 tower tip speed is added to the wind speed. It is noticeable that the blade motion, like  
 223 tower motion, could also affect the WT performance by changing the power curve.  
 224 However, the effect of blade motion on power production and the interaction between  
 225 the drivetrain, tower, and blade is neglected in the two-mass model.

226 Table 1 exhibits some of the leading wind turbine parameters.

227 **Table 1** Wind turbine parameters [21]

Parameter	Value
Power capacity	5 MW
Cut-in, Cut-out and rated speed	3 m/s, 25 m/s and 11.4 m/s
Rotor radius	63 m
Tower height	87.6 m
Rated generator angular speed	122.9 rad/s
Rated generator torque	43093.55 N.m
Gearbox ratio	97:1
Maximum power coefficient	0.482

## 228 3 Control Design

### 229 3.1 Baseline controller

230 In this part, the baseline PI controller, which is proposed by [25] and designed for a 5-  
 231 MW wind turbine by NREL [21] is described. Baseline PI controller is a gain-  
 232 scheduling PI controller and developed based on the simple single degree of freedom  
 233 wind turbine model. Based on the free body of a simple drivetrain, the rotor equation of  
 234 motion can be written as follows

$$T_a - NT_g = (J_r + N_g^2 J_g) \frac{d}{dt} (\omega_r + \Delta\omega_r) = J_d \Delta\dot{\omega}_r \quad (12)$$

235 where  $J_d$  is the drivetrain inertia.

236 Since the Generator torque changes are ignorable in the region above rated-speed, it can

237 be calculated by

$$T_g(N_g\omega_r) = \frac{P_0}{N_g\omega_r} \quad (13)$$

238 where  $P_0$  is the rated mechanical power. On the other hand, by assuming that the change  
239 in the captured aerodynamic force is ignorable:

$$T_a(\beta) = \frac{P(\beta, \omega_{r-rated})}{\omega_{r-rated}} \quad (14)$$

240 where  $P$  is the mechanical power and  $\omega_{r-rated}$  is the nominal rotor speed.

241 By using first-order Taylor expansion of (13) and (14) around  $\omega_r$  and  $\beta$ , respectively,  
242 two equations can be written as:

$$T_g \approx \frac{P_0}{N_g\omega_{r-rated}} - \frac{P_0}{N_g\omega_{r-rated}^2} \Delta\omega_r \quad (15)$$

$$T_a \approx \frac{P_0}{\omega_{r-rated}} + \frac{1}{\omega_{r-rated}} \left( \frac{\partial T_a}{\partial \beta} \right) \Delta\beta \quad (16)$$

243 where  $\Delta\beta$  is a small deviation of blade pitch angle about its operational point. A PID  
244 controller scheme, which its input is deviation of rotor speed and its output is defined as  
245 the deviation of blade pitch angle can be written as:

$$\Delta\beta = K_P N_g \Delta\omega_r + K_I \int_0^t N_g \Delta\omega_r dt + K_D N_g \Delta\dot{\omega}_r \quad (17)$$

246 where  $K_P$ ,  $K_I$  and  $K_D$  are proportional, integral, and derivative gains, respectively.

247 Now by assuming  $\Delta\beta = \phi$ , and combining (12) and (15)-(17), the equation of motion  
248 for rotor-speed will be calculated as follows

$$\begin{aligned} & \left[ J_d + \frac{1}{\omega_{r-rated}} \left( -\frac{\partial P}{\partial \beta} \right) N_g K_D \right] \ddot{\phi} + \left[ \frac{1}{\omega_{r-rated}} \left( -\frac{\partial P}{\partial \beta} \right) N_g K_P - \frac{P_0}{\omega_{r-rated}^2} \right] \dot{\phi} \\ & + \left[ \frac{1}{\omega_{r-rated}} \left( -\frac{\partial T_a}{\partial \beta} \right) N_g K_I \right] \phi = 0 \end{aligned} \quad (18)$$

249 Eq. (18) bears a striking resemblance to an ordinary second-order system with following  
250 the differential equation

$$M_{eq} \ddot{\phi} + C_{eq} \dot{\phi} + K_{eq} \phi = 0 \quad (19)$$

251 In (19), natural frequency and damping ratio can be defined as

$$\omega_\phi = \sqrt{\frac{K_{eq}}{M_{eq}}} \quad (20)$$

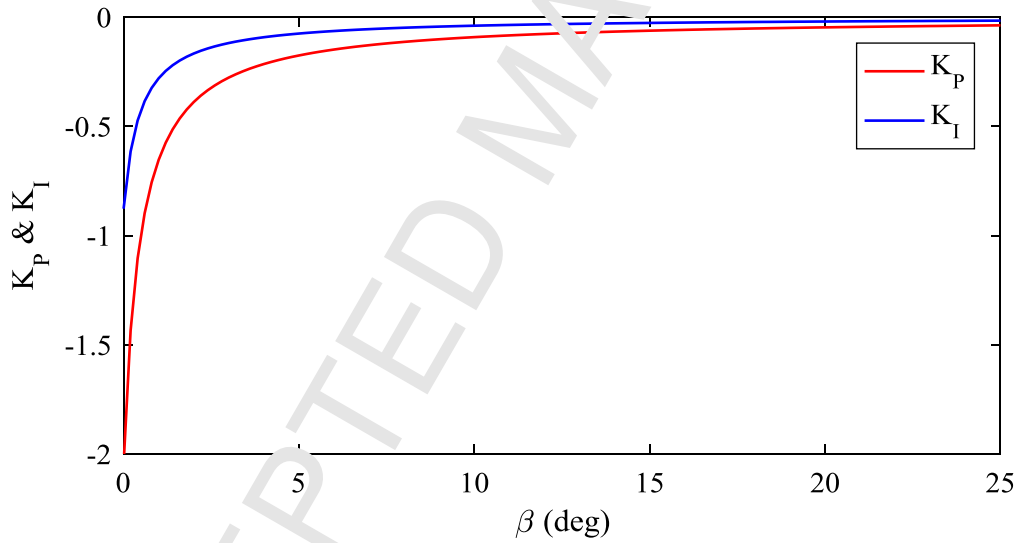
$$\zeta_{\varphi} = \frac{C_{eq}}{2\sqrt{K_{eq}M_{eq}}} \quad (21)$$

252 In [25] it is suggested to neglect the  $K_D$  and assume the natural frequency to be 0.6 rad/s  
 253 and the damping ratio to be 0.6 - 0.7. Therefore, the gains can be calculated with the  
 254 following equations

$$K_P = \frac{2J_d \omega_{r-rated} \zeta_{\varphi} \omega_{\varphi}}{N_g \left(-\frac{\partial P}{\partial \beta}\right)} \quad (22)$$

$$K_I = \frac{J_d \omega_{r-rated} \omega_{\varphi}^2}{N_g \left(-\frac{\partial P}{\partial \beta}\right)} \quad (23)$$

255 In the above equations,  $-\frac{\partial P}{\partial \beta}$  is the blade pitch sensitivity and is dependent on the wind  
 256 speed, pitch angle, and rotor speed. In [21], the blade pitch sensitivity curve is driven  
 257 for wind speed. With blade pitch sensitivity, both proportional and integral gains can be  
 258 calculated. Figure 2 shows the gains for operation in the region above rated-speed.



259

260 **Figure 2**  $K_P$  and  $K_I$  in the baseline PI controller that is designed for a 5-MW wind turbine [21]

261 In this method, the gains are chosen based on the pitch angle. Thus, the speed  
 262 measurement is needed. However, it is a cost-effective suggestion since wind speed  
 263 measurement is not an easy or accurate task [26]. The anemometer that is usually  
 264 installed on the wind turbine can only measure the wind speed in the installed point,  
 265 which does not give proper information about the other parts of the wind turbine.

266 **Remark 1:** As it is shown in Figure 2,  $K_P$  and  $K_I$  are negative parameters. As it is  
 267 indicated in [21], the relationship between control signal (which is pitch angle) and  
 268 controller input (which is the error of generator speed) is inverse. On the other hand, the  
 269 existence of the torque controller adds negative damping to the system. Therefore, for  
 270 the stability of the system, it is needed to use negative gains.

### 271 3.2 Proposed controller

272 The proposed controller is a gain-scheduling fractional-order PID, which uses the  
 273 subtraction of generator and nominal speeds as the input and a reference pitch angle as  
 274 the output. Although FOPID is used in this paper, by this method, any controller with  
 275 adjustable gains or parameters can be designed. Eq. (24) shows a fractional-order PID in  
 276 the time domain.

$$\beta_{ref} = K_P e(t) + K_I \int_0^t e(\tau) d\tau^\lambda + K_D \cdot \frac{d^\mu e(t)}{dt^\mu} \quad (24)$$

277 where  $\mu$  and  $\lambda$  are two fractional numbers.

278 **Remark 2:** Fractional-order controllers are usually approximated via specific  
 279 expansions, among them, Oustaloup approximation, which recently received many  
 280 attentions, is slightly simpler to be implemented by hardware [27, 28]. In this paper, due  
 281 to its effectiveness, the Oustaloup approximation is used. To perform a fractional  
 282 controller, many tools can be utilized. Although electrochemical systems [29] and  
 283 electronic circuits [16] can be used, microprocessors and PLCs are the most viable and  
 284 practical methods.

285 To choose the optimal parameters, they are first derived by solving a suitable  
 286 optimization problem. This procedure gives a set of optimal parameters for different  
 287 wind speeds. This optimal set is used to train an RBF neural network. Thus, the trained  
 288 neural network can select the proper parameters in each wind speed. However, due to  
 289 reasons mentioned in Subsection 3.1, the wind speed should not be measured directly.  
 290 Thus, in our method, the wind speed is estimated by using measurable quantities of the  
 291 wind turbine. In the following subsections, the technique is explained.

#### 292 3.2.1 Gains Calculation

293 To calculate the gains of (24), different wind speeds are considered. Then using an  
 294 optimization algorithm, a suitable cost function will be minimized, and thus a set of  
 295 optimal parameters for (24) is derived for each wind speed. With this method, an  
 296 optimal dataset for gains and orders will be found.

297 To optimize the controller, the following cost function is considered.

$$Cost = \int_0^{T_{max}} |\dot{u}(t)| \cdot dt \quad (25)$$

298 where  $T_{max}$  is the maximum simulation time and  $u(t)$  is the control signal (i.e., the  
 299 pitch angle reference) at the time  $t$ .

300 Minimizing (25), leads to minimization of the surface below  $|\dot{u}|$  over time. There are  
 301 many reasons for choosing (25) as the primary cost function.  $\dot{u}$  is highly related to the  
 302 rate of pitch angle, which means the rate of force vector changes on the blades. Thus, it  
 303 is highly correlated with the blades and the tower mechanical loads. One other  
 304 suggestion instead of (25) is the integral absolute error (IAE) of the rotor speed [5].  
 305 However, making the error as small as possible may not generally be a good choice

306 concerning load reduction. Besides, reducing cost function (25) will lower the risk of  
 307 wind-up and saturation in pitch angle actuators, which because of the minor time  
 308 constant is probable. It is noticeable that although utilizing (25) can mitigate the loads;  
 309 it may jeopardize the performance, i.e., generator speed error. Thus, a constraint is  
 310 needed to determine suitable performance. In this paper, the constraint is defined as the  
 311 maximum generator speed error of a wind turbine with a PI controller, which its gains  
 312 are equal to the baseline in each wind speed. Eq. (26) introduces the constraint

$$\int_0^{T_{max}} |e_{p_S}^v(t)| \cdot dt \leq \int_0^{T_{max}} |e_{p_I}^v(t)| \cdot dt \quad (26)$$

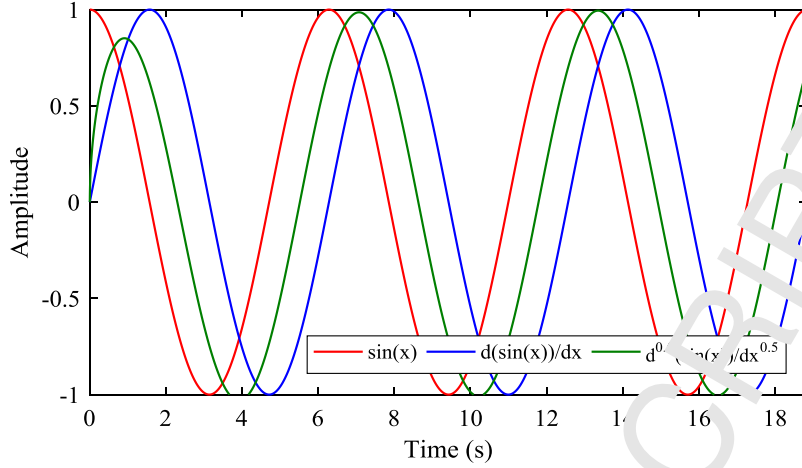
313 where  $e_{p_S}^v(t)$  and  $e_{p_I}^v(t)$ , are the error at wind speed  $v$  for the proposed controller and  
 314 PI controller with the baseline gains, respectively. It should be noted that the constraint  
 315 makes a suitable background in comparing the controllers in the sequel. Considering the  
 316 above discussions, the following optimization problem can be defined

$$\begin{aligned} & \min_{\text{Controller Parameters}} \int_0^{T_{max}} |u(t)| \cdot dt \\ \text{s.t. } & \int_0^{T_{max}} |e_{p_S}^v(t)| \cdot dt \leq \int_0^{T_{max}} |e_{p_I}^v(t)| \cdot dt \end{aligned} \quad (27)$$

317 Selecting the RMS or variance of the signals may be another choice for the cost  
 318 function. However, it is observed that it does not necessarily minimize the signal  
 319 frequency; although the RMS or variance is decreased, there might be more cycles.  
 320 Thus, the derivative of the pitch actuator is not necessarily decreased, and in an  
 321 uncertain situation, it leads to more load on the structure.

322 Now, a gain-scheduling mechanism should be implemented, so that in every wind  
 323 speed, suitable gains will be assigned to the controller. This mechanism is discussed in  
 324 the following.

325 It is essential to consider the difference between gain-scheduling and order-scheduling  
 326 problems. In (24), the control signal is linear concerning the parameters  $K_p$ ,  $K_I$ , and  $K_D$ .  
 327 However, changing the fractional orders in (24) needs recalculating of Oustaloup  
 328 approximation, which for each time step, new operators should be calculated. Although  
 329 Oustaloup approximation can approximate fractional operators, it is not accurate for the  
 330 first time step. Thus, changing the order of the fractional operator will cause the  
 331 controller to give inaccurate results. Figure 3 shows this effect. The figure demonstrates  
 332 a Sine wave, its full derivative, and its half derivative. As it is shown, the half-derivative  
 333 behavior in the first few moments is different: In the first half cycle, the amplitude is  
 334 less than the steady state. However, after a few time steps, the half derivative of Sine is  
 335 reached to its steady state.



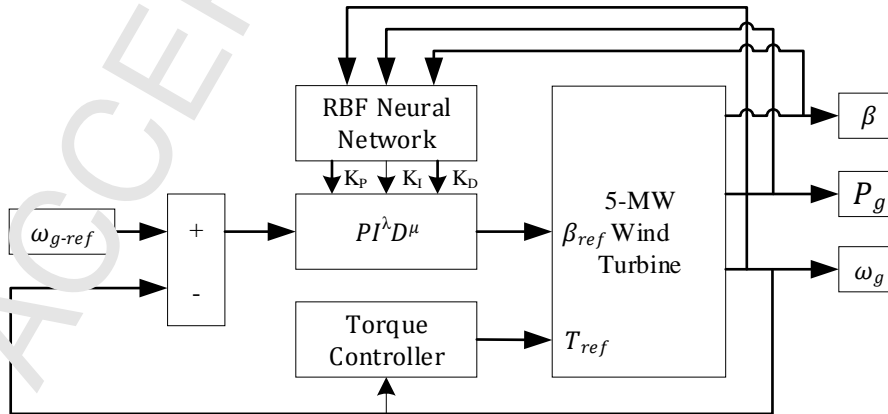
336  
337 **Figure 3** Sin(x), its full derivative, and its half derivative

338 To solve the problem above, we will assume that the orders of FOPID do not change  
339 during operation, and they are equal to the average of optimized orders of the  
340 optimization results. Now by considering the orders of (24) to be constant values,  
341 another optimization is done to recalculate the three gains of FOPID.

### 342 3.2.2 Wind speed estimation

343 The Newton-Raphson method [7] and artificial neural network [30] have been used in  
344 wind speed prediction. Although the estimation tools may be different, the principle of  
345 all is the same and based on extracted aerodynamics power. In fact by measuring the  $P_a$   
346 in any time and considering (1), the wind speed  $v$  can be estimated.

347  $P_a$  can be calculated via (1) for different values of  $\beta$ ,  $\omega_r$ , and  $v$ , to provide a database  
348 for the relation between the variables and actual wind speed. It should be noted that it is  
349 impossible to measure the captured power ( $P_a$ ). Instead, the generator power is  
350 measured and divided into generator and drivetrain efficiency. The generator efficiency  
351 is 94.4%, and the drivetrain is considered to be frictionless [21]. In addition, since the  
352 drivetrain model is deemed to be unknown, the  $\omega_r$  is calculated by dividing the  $\omega_g$  to  
353 the gearbox ratio.



354  
355 **Figure 4** Proposed controller structure

356 Then, a prediction method can be evaluated that its input vector is  $\beta$ ,  $\omega_g$  and  $P_g$  and its  
 357 output vector is the wind speed ( $v$ ). However, since the goal is to set the gains in each  
 358 situation, instead of  $v$ , we consider estimating the gains vector in each wind speed,  
 359 directly. Regarding the discussions in Subsections 3.2.1 and 3.2.2, the structure of the  
 360 proposed method can be depicted in Figure 4.

## 361 4 Simulation

362 In this section, the proposed controller in section 3 will be designed for the model in  
 363 section 2, and then test scenarios will be studied. In the sequel, the performance of the  
 364 proposed controller is compared with the gain-scheduling PID controller designed using  
 365 the proposed method, NREL baseline PI controller described in Subsection 3.1, RBF PI  
 366 controller proposed in [5], and a FOPI controller [19], which is tuned based on [31, 32].  
 367 For the subsequent discussions, these controllers are respectively denoted as proposed  
 368 FOPID, proposed PID, baseline PI, RBF PI, and FOT. It should be noted that all  
 369 controllers are designed based on the two-mass model and are validated via the FAST  
 370 simulator.

### 371 4.1 Tools

#### 372 4.1.1 Chaotic differential evolution

373 Differential evolution (DE) is one of the oldest; however, the strongest optimization  
 374 algorithms. In this paper, a *rand/2/best* mutation is considered as [33].

$$V_{id}^t = X_{id}^t + F^t(X_{id}^t - XBest_d^t) + F^t(A_d^t - B_d^t) \quad (28)$$

375 where  $X_{id}^t$  is the  $d^{\text{th}}$  dimension of  $i^{\text{th}}$  population among generation  $t$ .  $A$  and  $B$  are two  
 376 random members from  $X^t$ s.  $V_{id}^t$  is the  $d^{\text{th}}$  dimension of the  $i^{\text{th}}$  mutated vector in  
 377 generation  $t$ ,  $XBest_d^t$  is the  $d^{\text{th}}$  dimension of the best solution in generation  $t$ .  
 378 Meanwhile,  $F^t$  is a value called the *scaling factor*. In this paper the  $F^t$  is generated via a  
 379 Gaussian chaotic map as

$$x_{n+1} = \exp(-b \cdot x_n^2) + c \quad (29)$$

380 where  $x$  is the representative of the chaotic random number [34]. The map features a  
 381 chaotic behavior for many values of  $b$  and  $c$ . In this study  $b$  and  $c$  are considered to be  
 382 6.2 and -0.5, respectively. Since, the value of  $x$  is in the interval of [-0.2878, 0.5000], it  
 383 is mapped to the interval of [0.5, 1] [35].

384 In the crossover, the same dimension of some members is exchanged with another one.  
 385 The crossover that is used in this study is precisely the same as the ordinary DE in [33].  
 386 Table 2 indicates the parameters as well as the chaotic map used to calculate the mutant  
 387 factor.

388

389

390



391 **Table 2** CDE parameters

Parameter	Value
Maximum iteration	50
Population	10 times of variables
$F$	$\text{rand}(0.5, 1)^*$
$Cr$	0.6
Chaotic map	$x_{n+1} = \exp(-b \cdot x_n^2) + c$ $b = 6.2, c = 0.5$

392 \*Random number is created via Gaussian chaotic map

393 **Remark 3:** In this study, any kind of optimization algorithm is applicable. However,  
394 chaotic DE is selected since it is simple and at the same time powerful. Besides, its  
395 dominance over ordinary DE and PSO is shown in [35].

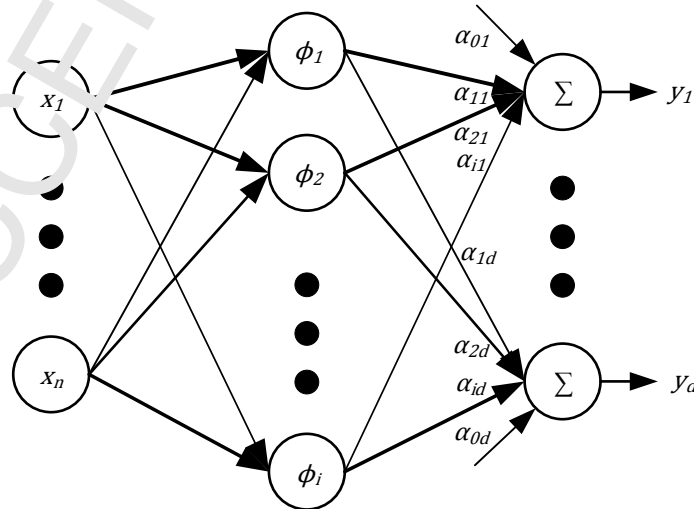
396 **4.1.2 RBF neural network**

397 The basis of artificial neural networks is the human brain mechanism of learning and  
398 producing knowledge. RBF neural networks, which its structure is presented in Figure 5  
399 uses a single array of radial basis functions in the hidden layer, and the output layer is  
400 usually considered as a linear function [36]. Thus, it has less parameter in comparison to  
401 MLP and GMDH, which makes RBF more straightforward tool for function  
402 approximation. RBF can be trained in a short time, and it works best if there are many  
403 training vectors available [37].

404 The activation function in RBF neural network hidden layer is a Gaussian function as  
405 follows:

$$\phi_i(x) = \exp\left(-\frac{\|x - C_i\|^2}{\sigma_i^2}\right), i = 1, 2, \dots, k, \quad (30)$$

406 where  $C_i$ , which in the form of  $C_i = [C_{i1}, C_{i2}, \dots, C_{in}]$  is the center of Gaussian radial  
407 function  $\phi_i(x)$ , and  $\sigma_i = [\sigma_1, \sigma_2, \dots, \sigma_k]$ , is called spread and determines the width of  
408 each Gaussian radial function. To train the neural network, the procedure proposed in  
409 [37] is considered.



410

411

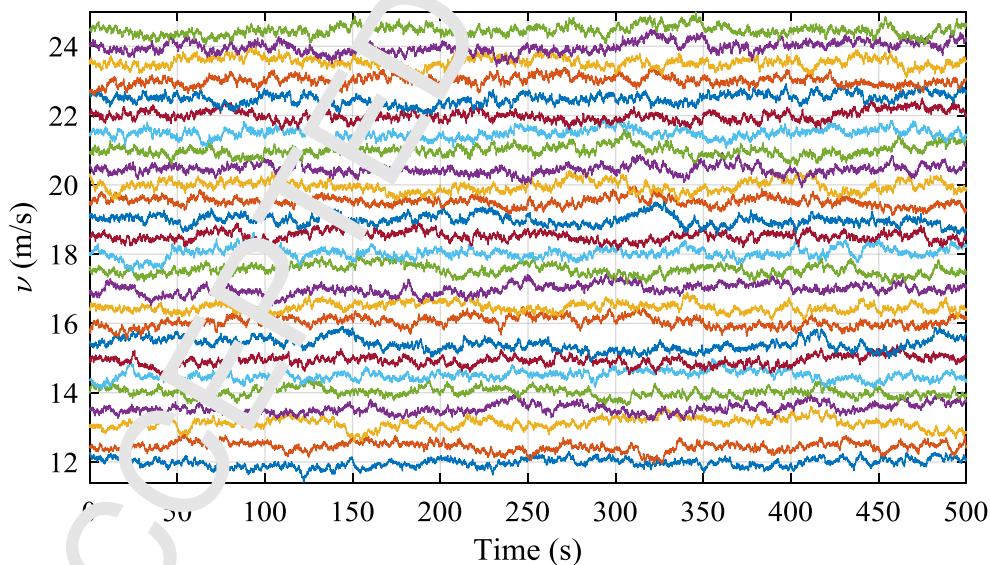
**Figure 5** RBF neural network structure

412 **Remark 4:** To predict the gains, the goal is to make a relation between the three inputs  
 413 and the three outputs. It should be noted that any modeler, such as different kinds of  
 414 artificial neural networks and regression models are applicable. However, artificial  
 415 neural networks have shown better performance in wind energy related applications  
 416 such as power curve estimation and fault detection [38, 39]. On the other hand, slightly  
 417 better performance has been reported for RBF against MLP as a direct pitch controller  
 418 [6].

#### 419 **4.2 Optimization and training**

420 The optimization is done for 26 wind speeds between 12 m/s up to 24.5 m/s with the  
 421 step of 0.5 m/s. To challenge the robustness, all the wind speeds have minimal  
 422 fluctuation with a maximum frequency of 10 Hz (Figure 6) [40]. All the wind profiles  
 423 are created via Kaimal wind model based on IEC 61400-3 [41]. The optimization  
 424 problem is considered in (27). To calculate the IAE of the baseline PI controller, firstly  
 425 the gains of the baseline PI are obtained from Figure 2. Then, by the constant gains, the  
 426 IAE of the baseline PI controller is calculated for each wind speed profiles of Figure 6.  
 427 Thus, during the optimization, the IAE of FOPID will be compared to IAE of the  
 428 baseline PI controller, and if the constraint does not meet, a penalty function is applied.  
 429 Table 3 shows the equivalent pitch angle, gains, IAE, and the cost function (25) for the  
 430 baseline PI controller in some wind speeds.

431 It should be noted that the same method can be easily applied to an ordinary PID. Table  
 432 4 shows some of the optimal parameters of FOPID and PID.



433 **Figure 6** Wind speed profiles used for the optimization process  
 434  
 435

436

437

**Table 3** Parameters of baseline PI controller

Wind speed	Equivalent pitch angle (deg)	$K_p$	$K_i$	IAE	Cost in (25)
14	8.7	-0.6298	-0.2699	144.4497	68.8277
15.5	9.6	-0.4912	-0.2105	171.0745	62.6868
17	10.4	-0.4119	-0.1765	185.3420	56.0194
18.5	11.3	-0.3593	-0.1540	207.5071	55.8160
20.5	12.0	-0.3108	-0.1332	251.5365	55.7465
22	12.8	-0.2838	-0.1216	267.6865	56.2760
24	13.5	-0.2559	-0.1097	312.1463	59.3156

439 **Remark 5:** Unlike many related kinds of literature [5, 7], in this paper, a fluctuated  
 440 wind speed is used for optimization. The amplitude of these fluctuations is minimal.  
 441 Therefore the values can be used instead of nominal constant wind speed. However, the  
 442 variations can affect the performance significantly, since the behavior of the wind  
 443 turbine varies in different wind frequencies. Therefore, to put the optimization in a more  
 444 realistic condition, it is more appropriate to accomplish the optimization process in wind  
 445 speed with real fluctuation frequencies.

446 **Remark 6:** The Oustaloup fractional-order approximation, which is used in this paper,  
 447 is assumed to be a 5<sup>th</sup> order. The band frequency, also is considered to be in the interval  
 448 of [0.01,100] Hz, which is suitable for most of the industrial purposes [17].

449 **Table 4** The optimized parameters of PID and FOPID

Controller	Wind speed	$K_p$	$K_I$	$K_D$	$\lambda$	$\mu$	IAE	Cost in (25)
PID	14	-0.7103	-0.2699	-0.063244	1	1	144.4440	56.5092
	15.5	-0.5244	-0.2105	-0.062084	1	1	171.0113	54.3429
	17	-0.4567	-0.1540	-0.040277	1	1	185.3392	50.6492
	18.5	-0.3659	-0.1479	-0.043744	1	1	207.5067	50.9266
	20.5	-0.3009	-0.1325	-0.035805	1	1	251.5078	51.6529
	22	-0.2651	-0.1222	-0.033855	1	1	267.6456	51.1509
	24	-0.2290	-0.1112	-0.032115	1	1	312.6179	53.6180
FOPID	14	-0.4179	-0.2090	-0.3967	0.9368	0.4982	144.3742	53.2665
	15.5	-0.4157	-0.1746	-0.2450	0.9850	0.5917	170.9041	51.0409
	17	-0.3685	-0.1930	-0.3316	0.9284	0.3962	185.2877	47.0226
	18.5	-0.3009	-0.1544	-0.1612	0.9724	0.6240	207.4520	48.3941
	20.5	-0.2807	-0.1346	-0.1086	0.9926	0.7014	251.5317	48.9513
	22	-0.2422	-0.1263	-0.1072	0.9843	0.7423	267.3900	47.4482
	24	-0.1978	-0.1200	-0.1020	0.9787	0.7150	312.4545	49.5714

450 It should be noted that it is observed that if the system is optimized for a fractional PI,  
 451 the  $\lambda$  will converge toward 1, and the result is the same as integer-order PI.

452 As it is expressed in Subsection 3.2.1, another optimization is done in which; the  
 453 fractional orders remain constant, equal to the average of the first optimization. The fact  
 454 that  $\mu$  and  $\lambda$  are nearly the same in all wind speeds validates this simplification. In this  
 455 study, the average value for  $\lambda$  is 0.9607, and the average for  $\mu$  is 0.6062. Table 5 shows  
 456 these parameters for the new optimization for some wind speeds.

457 **Table 5** The optimized parameters of FOPID

Wind speed	$K_P$	$K_I$	$K_D$	$\lambda$	$\mu$	IAE	Cost in (25)
14	-0.5128	-0.1962	-0.3067	0.9607	0.6062	144.3939	53.2921
15.5	-0.4025	-0.1825	-0.2612	0.9607	0.6062	170.9911	51.1794
17	-0.3135	-0.1724	-0.2053	0.9607	0.6062	185.2508	47.2882
18.5	-0.2861	-0.1594	-0.1731	0.9607	0.6062	207.458	48.4363
20.5	-0.2416	-0.1469	-0.1475	0.9607	0.6062	251.453	49.0613
22	-0.2081	-0.1363	-0.1329	0.9607	0.6062	267.6402	47.7781
24	-0.1635	-0.1306	-0.1355	0.9607	0.6062	312.922	49.9602

458 To train the RBF neural network, the database is created for the wind speeds between 12  
 459 to 24.5 m/s with the step of 0.5 m/s, for the  $\omega_r$  (which will be converted to  $\omega_g$ ) between  
 460 1 to 1.5 rad/s with the step of 0.0025 rad/s and for the pitch angle from  $0^\circ$  to  $25^\circ$  with  
 461 the step of  $1^\circ$ . However, the entries that lead the power to become less than 4MWs and  
 462 higher than 6MWs are eliminated, since the wind turbine does not see these conditions  
 463 in the region above rated-speed. In this way, 10295 entries are created. Then the neural  
 464 network is trained via the method that is discussed in subsection 4.1. For the RBF neural  
 465 network, 10 neurons and 3 outputs are considered, so there are 30 weights and 3 biases  
 466 that should be calculated via the training method. However, instead of  $v$  as the output  
 467 vector, the equivalent optimal gains are set. Thus, as it is shown in Figure 4, the  
 468 outcome is an RBF neural network for each proposed controller, which its input vector  
 469 is  $\beta$ ,  $\omega_g$  and  $P_g$ , and its output vector is  $K_P$ ,  $K_I$ , and  $K_D$ .

470 **Remark 7:** Since the inputs are not in the same order, all of them are normalized and  
 471 mapped to the interval of [0, 1].

472 To determine the best spread value for the RBF neural network, the mean squared error  
 473 (MSE) of several situations is considered. The training was conducted for ten times with  
 474 different spreads (between 0.5 to 3 with the step of 0.1) for 70% of the database as train  
 475 data, and then the best spread is chosen based on the MSE of remaining 30%. Table 6  
 476 demonstrates the average MSE for different spreads in test data.

477 **Table 6** The average MSE of 10 RBF training for validation data with different spreads

Spread ( $\sigma$ )	0.5	0.7	1.0	1.5	2.4	2.9
For PID database	0.001900	0.001043	0.0008051	<b>0.0006553</b>	0.0007088	0.0009962
For FOPID database	0.001326	0.0007988	0.0006554	<b>0.0005505</b>	0.0005822	0.0006997

478 Based on Table 6, the spread for training the RBF neural network for both PID and  
 479 FOPID is considered to be 1.5.

480 One of the most critical stages in design is to guarantee the performance  
 481 mathematically. However, providing analytical proof in the wind turbine (even in the  
 482 two-mass model) is not a straightforward task, because the aerodynamical equations and  
 483 the structure of the controllers are highly nonlinear. On the other hand, in a more real  
 484 condition, when the wind fluctuations are high and stochastic, the linear models for  
 485 stability analysis do not provide a suitable background in the design. Thus, two test  
 486 scenarios are brought in following. In the first one, the two-mass model is implemented,  
 487 and the performance in different wind fluctuations is studied. In the next, the same  
 488 controller that is designed for the two-mass model is implemented on a more detailed

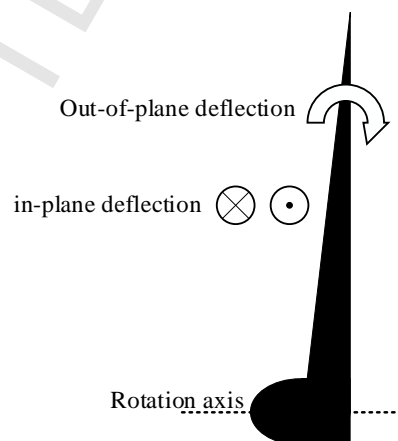
489 simulator; therefore the performance and robustness of the proposed controller is  
 490 studied under different wind fluctuations in a more realistic situation.

#### 491 **4.3 Test on the two-mass model**

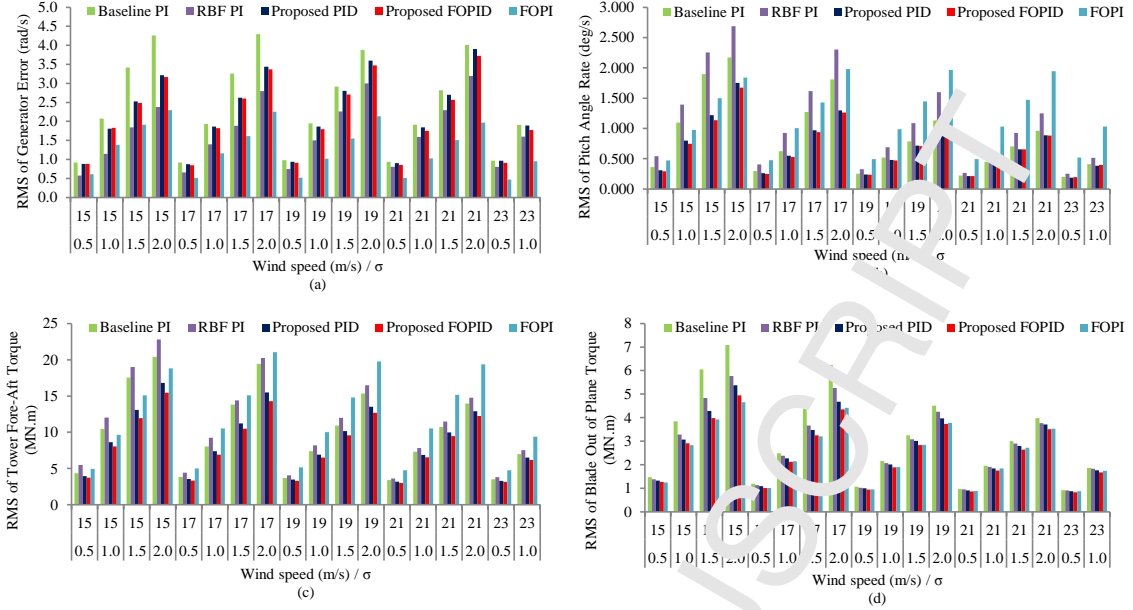
492 In this Subsection, the proposed FOPID, proposed PID, baseline PI, RBF PI (Ref. [5]),  
 493 and FOPI (Ref. [19]) are compared on the two-mass model. Eighteen wind speed  
 494 profiles are generated based on the Kaimal wind model, adopted from the IEC 61400-3  
 495 [41], which includes different wind speeds average and different standard deviations.

496 The presented controller in [5], is an RBF based PI controller, which is trained based on  
 497 an optimized dataset of PI controllers in different steady wind speeds. The IAE of  
 498 generator speed is considered as an optimization cost function, and a sensor for wind  
 499 speed measurement is assumed. Thus, this paper is a good example to study the effect of  
 500 our proposed method.

501 The performance criteria, which are chosen to compare the controllers at the first step,  
 502 will be RMS of generator speed error and RMS of control force rate. However, this is  
 503 not satisfactory enough since different loads on the structure of the wind turbine should  
 504 also be considered. The most critical loads on a wind turbine are the tower fore-aft  
 505 moment and the blade root out-of-plane motions. The first one is the torque caused by  
 506 movements of the tower to its front and back, and the second one is the motion of blades  
 507 out of rotation plane. To compare the blades, their RMS around their mean value is  
 508 calculated [42]. It is noticeable that the blade out-of-plane deflection refers to the  
 509 deflection of the blade that is caused by wind and push the blade outside the rotation  
 510 plane. Meanwhile, the blade in-plane deflection refers to a deflection inside the rotation  
 511 plane. The moments caused by these deflections are called out-of-plane and in-plane  
 512 moments, respectively. Figure 7 depicts these two blade deflections in a cross section of  
 513 the rotation plane.



514  
 515 **Figure 7** Cross section of a blade rotation plane



516

517 **Figure 8** (a) RMS of generator speed error in 2-mass model. (b) RMS of pitch actuator rate in 2-mass  
 518 model. (c) RMS of pitch actuator rate in 2-mass model. (d) RMS of the out-of-plane moment of blade  
 519 root in 2-mass model

520 Figure 8 shows the performances of five controllers. To have a better comparison, the  
 521 simulation time is considered 900 seconds. It should be noted that the absolute  
 522 percentages are calculated via

$$A \text{ respect to } B = 100 \frac{B - A}{B} \quad (31)$$

523 Figure 8 (a) shows the RMS of generator speed error. The FOPI has performed almost  
 524 the best among all controllers by 38.0% better performance comparing the proposed  
 525 FOPID. On the other hand, the performance of RBF PI is 27.7% better than the  
 526 proposed FOPID. The performance of the proposed FOPID is slightly better than the  
 527 proposed PID in this figure, and the average error in the proposed FOPID is 3.1% better  
 528 than the proposed PID. However, the baseline PI controller shows the weakest  
 529 performance. The figure depicts that the proposed FOPID is minimizing the RMS by  
 530 11.2% in comparison to the baseline PI. Less value in RMS of the generator speed error  
 531 means the rotor is under less torque variation.

532 Figure 8 (b) demonstrates the RMS of the pitch actuator rate. It can be seen that  
 533 controllers are performing differently at different wind speeds. The proposed PID and  
 534 proposed FOPID have less variation in pitch angle rate. Although, the proposed PID and  
 535 the proposed FOPID has had better performance than the baseline PI by 13.8% and  
 536 15.0% in average, respectively, in some cases the baseline PI controller has been acted  
 537 better than the other two controllers. However, the proposed FOPID is working better in  
 538 minimizing pitch angle rate; it has reduced pitch actuator rate by 1.7% on average, in  
 539 comparison to the proposed PID. The RBF PI has the weakest performance in lower  
 540 wind speeds in pitch angle rate, while The FOPI had the most inferior performance in  
 541 higher wind speeds. The FOPI performed 32.3% worse than the baseline PI, by average.  
 542 On the other hand, RBF PI has achieved 31.0% worse than the baseline PI, mainly  
 543 because there was no trace of  $u$  in the cost function.

544 Figure 8 (c), depicts that the proposed FOPID has reduced the RMS of the tower fore-  
 545 aft moment by 6.0% and 16.3% in comparison to the proposed PID and the baseline PI,  
 546 respectively. The proposed PID, on the other hand, has acted 11.0% better than the  
 547 baseline PI in this survey. However, again in this part, the response of the baseline PI  
 548 and the RBF PI controllers get better in higher wind speeds. Besides, the performance of  
 549 the RBF PI and FOPI are respectively 9.9% and 17.3% weaker than the baseline PI  
 550 controller. Thus, the proposed FOPID controller is more capable of reducing the cyclic  
 551 loads to the wind turbine tower in comparison to the other controllers.

552 Figure 8 (d) demonstrates the RMS of the out-of-plane moment of the blade root, which  
 553 directly affects the fatigue damages to the blades. Blades have the most risk of damages,  
 554 among other components. Therefore, reducing the variations of this parameter is  
 555 essential. It can be seen from Figure 8 (d) that the proposed FOPID acts the best among  
 556 all controllers. Although in all cases, the proposed FOPID is working better than the  
 557 proposed PID with the average of 5.9%, the behavior of the baseline PI is changing in  
 558 different wind speeds in comparison to the proposed PID. The baseline PI controller is  
 559 acting 17.1% worse than the proposed FOPID, while the proposed PID is performing  
 560 12.0% better than the baseline PI, on average. In this case, the performance of FOPI is  
 561 the best among lower wind speeds, but it gets slightly worse than the proposed FOPID  
 562 at higher wind speeds.

563 **Remark 8:** It is noteworthy that comparing the above values to Tables 4 and 5 reveals  
 564 that the performance of the controllers varies in the presence of higher wind  
 565 perturbation. Although the difference in cost function between the proposed PID and  
 566 FOPID is small in the table, they differ higher in the test section. In addition, although  
 567 the difference between RMS of generator error and control signal in test scenarios are  
 568 small, the difference between the RMS of loads is much higher. It means that by a slight  
 569 reduction in the (25) and even keeping the (26) near the same as the baseline PI, the  
 570 proposed controllers are more capable of mitigating the loads. Besides, although the aim  
 571 of this paper was not to decrease the IAE from the beginning, and IAE was only the  
 572 optimization constraint, the proposed controllers showed a better performance in  
 573 reducing the generator speed error.

574 **Remark 9:** While it seems trivial that by proposing a more sophisticated controller,  
 575 better performance is achievable in some control desirables, in reality, the other aspects  
 576 of designs might remain neglected. For instance, surely fuzzy controllers have much  
 577 more parameters to set (membership functions and rule base), but in spite of better  
 578 performance in regulating the rotor speed, the control signal becomes higher in  
 579 comparison to a simple PI/FOPI controller. Thus, although more advanced controllers  
 580 might reduce IAE, they do not necessarily resolve all the demands [43].

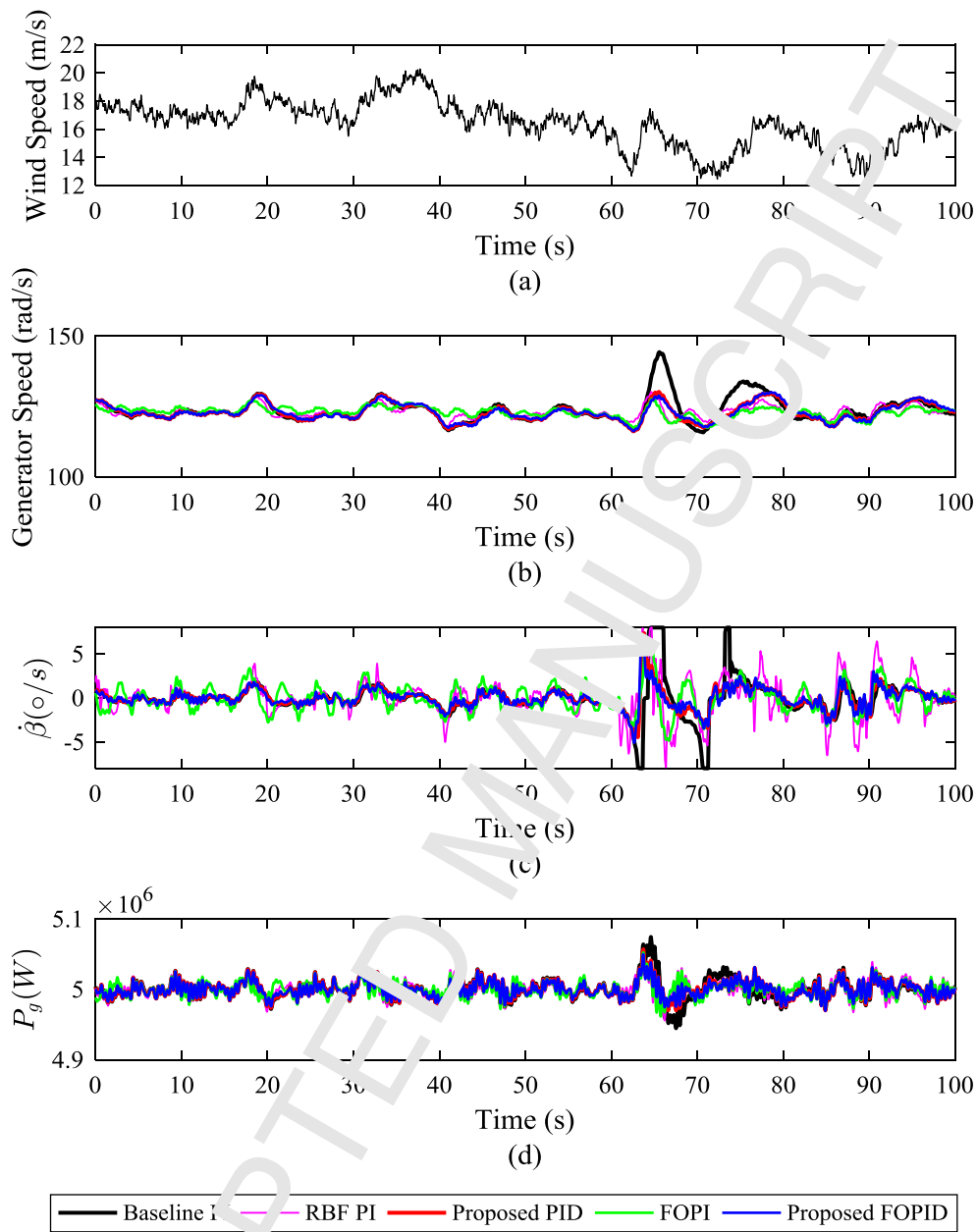
581 Figure 9 shows the above comparison of five mentioned controllers for an average wind  
 582 speed of 17 m/s and gust of 1.5 m/s. Figure 9 (a) depicts 100 seconds of the wind speed  
 583 that the simulation is done. Figure 9 (b) demonstrates the performance of five  
 584 controllers in generator speed adjustment. As can be seen in time between 60 seconds to  
 585 80 seconds, the proposed FOPID and proposed PID were more capable of keeping the

586 performance near the desired value (122.9 rad/s) in comparison to the baseline PI, but  
587 the FOPI has the best performance overall in this section. Figure 9 (c) shows the rate of  
588 pitch actuator. Interestingly, unlike the baseline PI controller, none of the other  
589 controllers have led the actuator to become saturated between 60 seconds to 80 seconds.  
590 Besides, the peak of the rate of pitch angle on the proposed FOPID is less in comparison  
591 to the other controllers. The figure depicts that the RBF PI and FOPI controllers have  
592 more fluctuation in their performance. Figure 9 (d) shows the generated power. Based  
593 on this figure, the proposed FOPID has superiority against the proposed PID, the  
594 baseline PI, RBF PI, and FOPI controllers in adjusting the generated power on its  
595 nominal (5 MWs). Figures 10 (a) and 10 (b) show the tower fore-aft moment and out-  
596 of-plane blade root moment of five controllers, respectively. It can be seen that the  
597 proposed FOPID reaches the smallest moments and thus, mitigates the mechanical loads  
598 the most.

#### 599 4.4 Validation via the FAST

600 In this paper, FAST code is utilized to predict a more realistic performance of the wind  
601 turbine. This code is a powerful tool, which is capable of simulating the loads and  
602 control performance of wind turbine if the structural properties, such as blade and tower  
603 configurations, are entirely defined [7, 44]. This code cooperates with the aerodynamic  
604 subroutine AeroDyn, which provides a detailed analysis of aerodynamics by blade  
605 element momentum theory (BEM) and dynamic stall [45]. Since the baseline NREL 5-  
606 MW wind turbine is fully defined in FAST v8.0; it is implemented to validate the  
607 control performance in this paper.



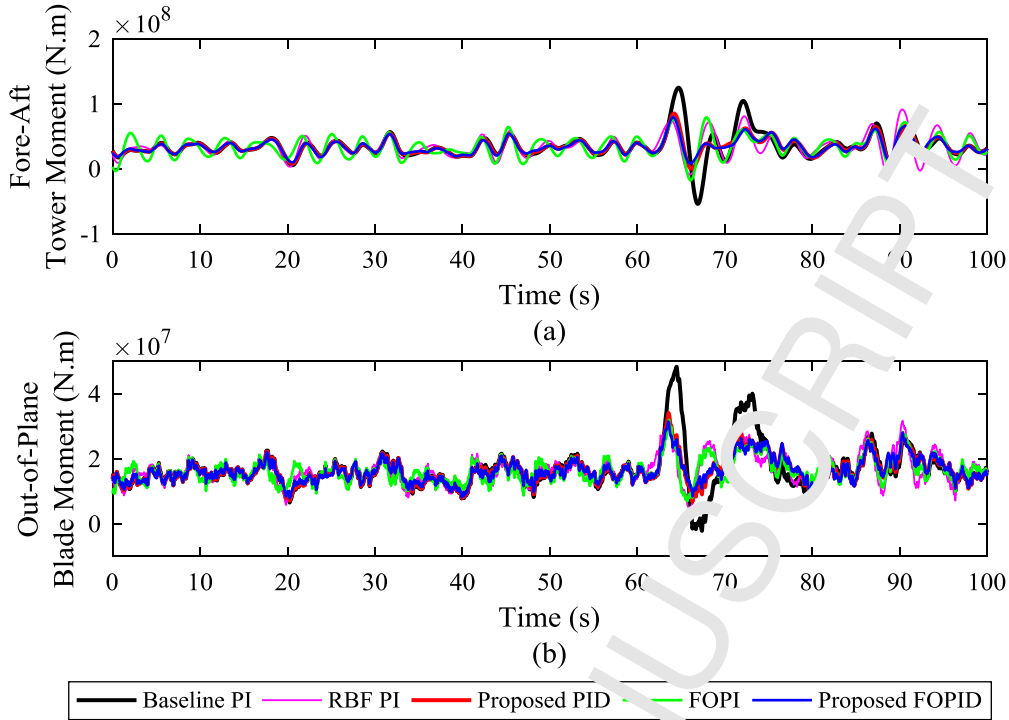


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**Figure 9** The performance of five controllers in a wind speed of 17 m/s with a standard deviation of 1.5 m/s. (a) The wind speed profile. (b) The generator speed. (c) rate of pitch angle. (d) The generated power

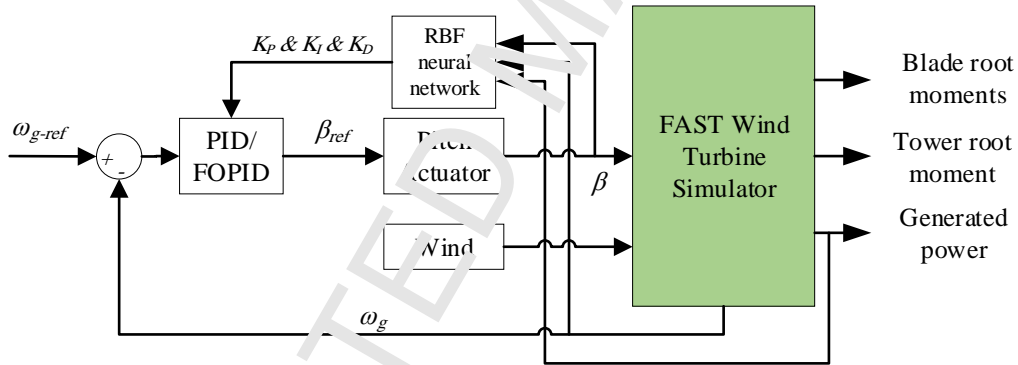


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**Figure 10** The applied loads in five controllers in a wind speed of 17 m/s with a standard deviation of 1.5  
 a) The fore-aft tower moment b) the out-of-plane blade moment



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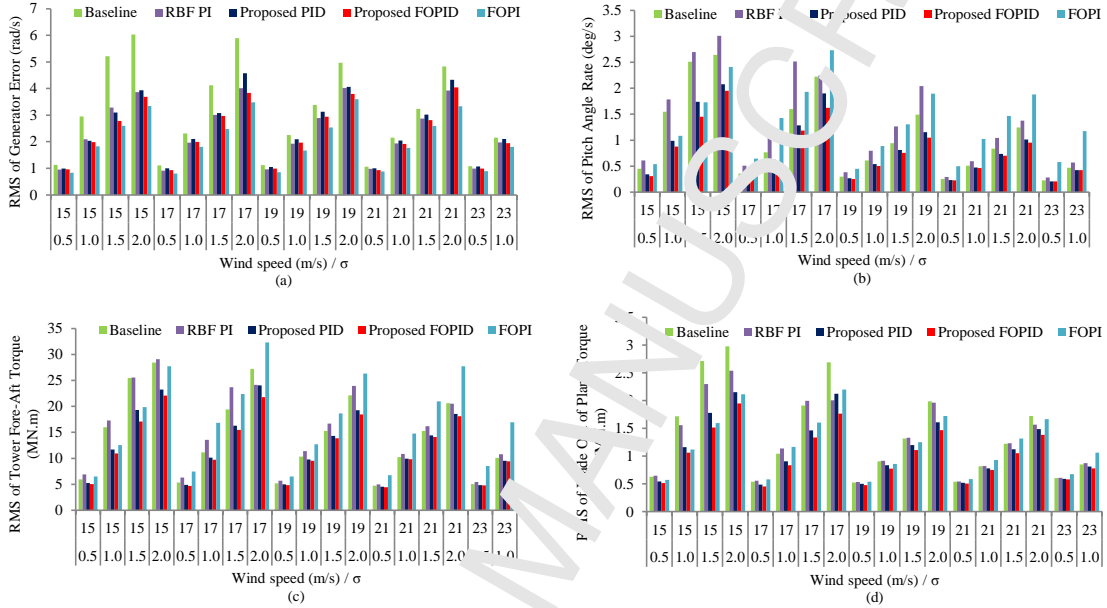
615

**Figure 11** Scheme of implementation of FAST code

616 Nature always is more complicated than our constructed models and simulations. Thus,  
 617 to make a better comparison and challenge the robustness, a more detailed model is  
 618 implemented. The model that is used to derive the parameters (which was discussed in  
 619 Section 2) had many neglected dynamics, such as the side-side movements and the  
 620 blades both in-plane, out-plane deflections and the interaction between blades and  
 621 tower. These deflections can affect performance and cause unexpected behavior or even  
 622 instability. However, with the FAST code, the designer will be able to anticipate many  
 623 of this ignorance. Although FAST is only a simulator and not a real setup, it makes our  
 624 proposed controller one more step nearer to a real situation. FAST is also capable of  
 625 predicting extreme loads and fatigue damages in different wind speeds [44]. In this  
 626 study, the first blades edgewise mode, the first and second blade flapwise modes, the  
 627 first and second tower side-to-side and fore-aft mode, the drivetrain flexibility and the  
 628 generator DOFs are simulated. Remarkably, FAST is not equipped with a pitch actuator

629 model; thus, the same differential equation in (10) is considered for following  
630 simulations.

631 Figure 11 depicts a schematic block diagram of FAST code in our proposed method. It  
632 should be noted that many studies have used the FAST to validate their results [7, 35,  
633 42]. To show the effectiveness of the proposed method, the controllers (Proposed  
634 PID/FOPID, baseline PI, RBF PI, and FOPI) that were designed for the simplified two-  
635 mass system and tested in the previous section are applied to the FAST simulator.



636 **Figure 12** (a) RMS of generator speed error in FAST. (b) RMS of pitch actuator rate in FAST. (c) RMS  
637 of tower fore-aft moment in FAST. (d) RMS of the out-of-plane moment of blade root in FAST  
638  
639

640 Thus, in this section, the controllers will be faced with some unmodeled dynamics as  
641 well as the wind fluctuations. The wind models are precisely the same as wind profiles  
642 in Subsection 4.3 and are created via Kaimal wind model [41]. The same criteria of  
643 Subsection 4.3 are used in part as well: The RMS of generator speed error, RMS of  
644 pitch angle rate and RMS of tower root and out of plane blade root moments.

645 Figure 12 compares the performance of five controllers in different aspects. Figure 12  
646 (a), shows the RMS of the generator speed error of five controllers. It is observed that in  
647 all of the cases, the FOPI has the best control performance. The proposed FOPID has  
648 19.3% and 6.6% better performance in comparison to the baseline PI and the proposed  
649 PID, respectively. However, the proposed PID has acted 13.6% better than the baseline  
650 PI. The RBF PI controller has performed 18.7% better than the baseline PI, but its  
651 performance was slightly weaker than the proposed FOPID on average. Besides, FOPI  
652 has shown 10.6% better than the proposed FOPID. As it is seen in this part, the  
653 difference between the IAE of five controllers is increased in comparison to the  
654 previous subsection.

655 Figure 12 (b), compares the actuator rate among five controllers. Like what it is  
656 observed in the two-mass model, the performance of baseline PI and the RBF PI

657 improve as the wind speed rises. However, the difference between rates of pitch  
 658 actuator is more sensible in the FAST model. In many cases, the proposed FOPID  
 659 showed less actuator rate in comparison to the proposed PID, which is 7.2%, on  
 660 average. However, the proposed FOPID shows 22.4% less actuator rate, in contrast to  
 661 the baseline PI controller. On the other hand, the proposed PID has a 10.7% less  
 662 actuator rate than the baseline PI controller. Like the previous section, the pitch angle  
 663 rate in FOPI is the worst in higher wind speeds, and it is worked 25.4% worse than the  
 664 baseline PI controller. Besides, RBF PI has performed 19.8% worse than the baseline  
 665 PI. Figures 12 (a) and 12 (b) demonstrate that the proposed FOPID achieved to the least  
 666 RMS of the generator speed error and actuator rate.

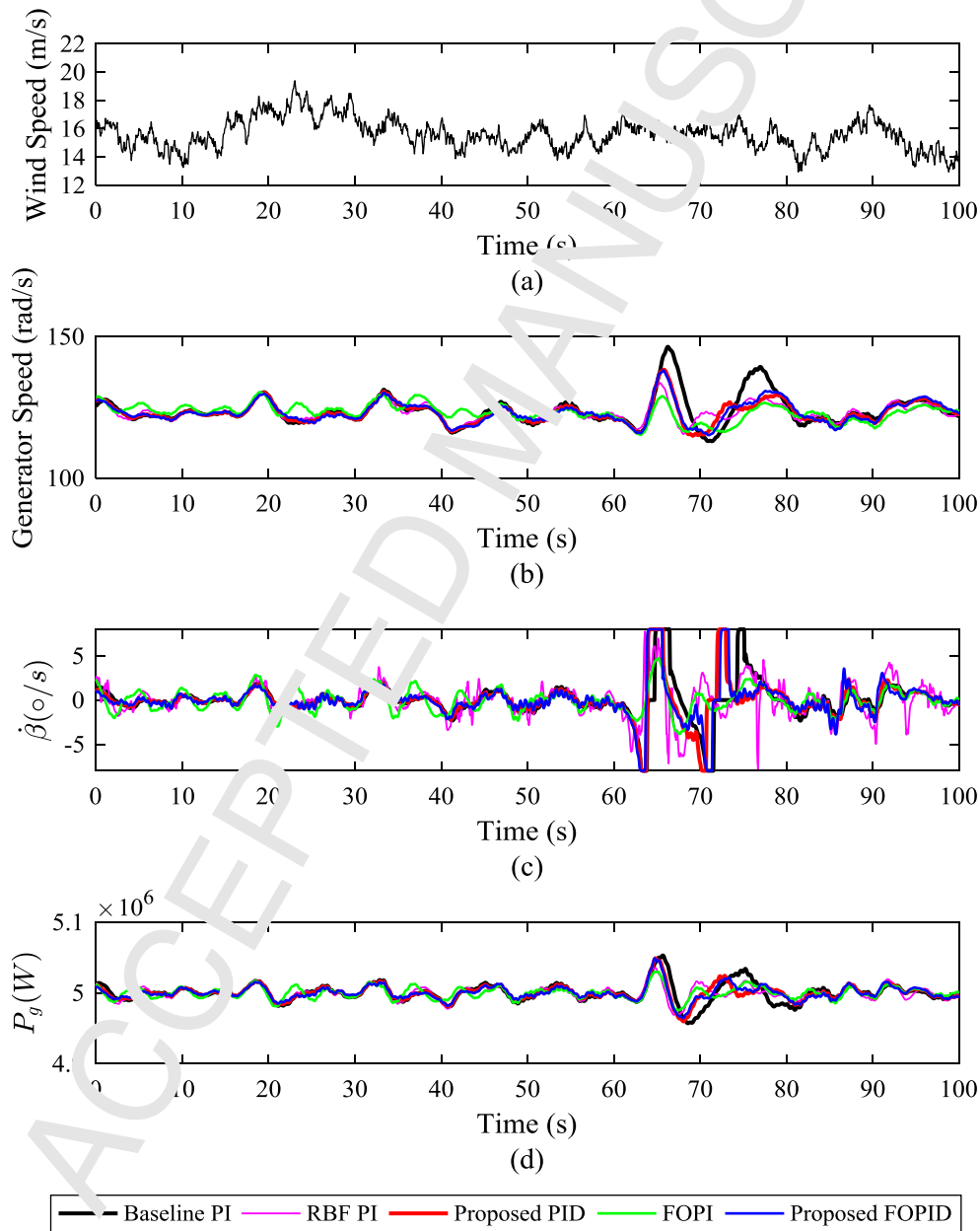
667 Figure 12 (c) shows the RMS of the tower root moments. This figure depicts that, as the  
 668 wind rises, the performance of the baseline PI and the RBF PI controller get better. By  
 669 average, the proposed FOPID reduces the moment by 3.9% in comparison to the  
 670 proposed PID. On the other hand, the proposed FOPID has acted 13.3% better than the  
 671 baseline PI controller. Besides, the proposed PID has worked 9.8% better than the  
 672 baseline PI. The performance of FOPI is 17.2% worse than the baseline PI. On the other  
 673 hand, the RBF PI controller has performed almost 7% worse than the baseline PI  
 674 controller.

675 Figure 12 (d) demonstrates the difference of controllers for the out-of-plane moment of  
 676 the blade root. It is shown that the proposed FOPID has superiority in all cases over the  
 677 other controllers. RMS of the out-of-plane moment of blade root for the proposed  
 678 FOPID is 7.4% better than the proposed PID, whereas it has 19.7% better performance  
 679 in comparison to baseline PI. The proposed PID has also acted 13.6% better than the  
 680 baseline PI controller. The RBF PI and FOPI controllers have performed just 2.6% and  
 681 4.8% better than the baseline PI, respectively.

682 Figure 13, depicts loads and performances for one of the wind profile cases. Figure 13  
 683 (a) shows 100 seconds of 17 m/s wind speed with a standard deviation of 1.5 m/s.  
 684 Figure 13 (b), demonstrates the errors of the baseline PI, the proposed PID, the  
 685 proposed FOPID, RBF PI, and FOPI controllers. As it is seen in the figure, the FOPI  
 686 has slightly better performance in speed regulation. The difference is more vivid in the  
 687 times between 60 seconds to 80 seconds. Figure 13 (c) depicts the rate of pitch angle in  
 688 five controllers. In this survey, a small superiority in the proposed FOPID against the  
 689 proposed PID is observed. Although four out of five controllers have led the actuator to  
 690 its limits, it is shown that the proposed PID and proposed FOPID have reached the  
 691 nominal values sooner. Although the plant with FOPI is not saturated, the fluctuation in  
 692 its operation is much more. Figure 13 (d) shows the generated power. Based on this  
 693 figure, the proposed FOPID has got superiority against the proposed PID and the  
 694 baseline PI controllers in adjusting the generated power. Figures 14 (a) and 14 (b) show  
 695 that the amplitudes of tower fore-aft and the blade out of the plane moment in the  
 696 proposed FOPID, the proposed PID, the baseline PI, the RBF PI, and the FOPI. From  
 697 Figures 14 (a) and 14 (b), it can be seen that the proposed FOPID is able to mitigate the  
 698 mechanical load most effectively since it can decrease the tower and blade moments, the  
 699 most.

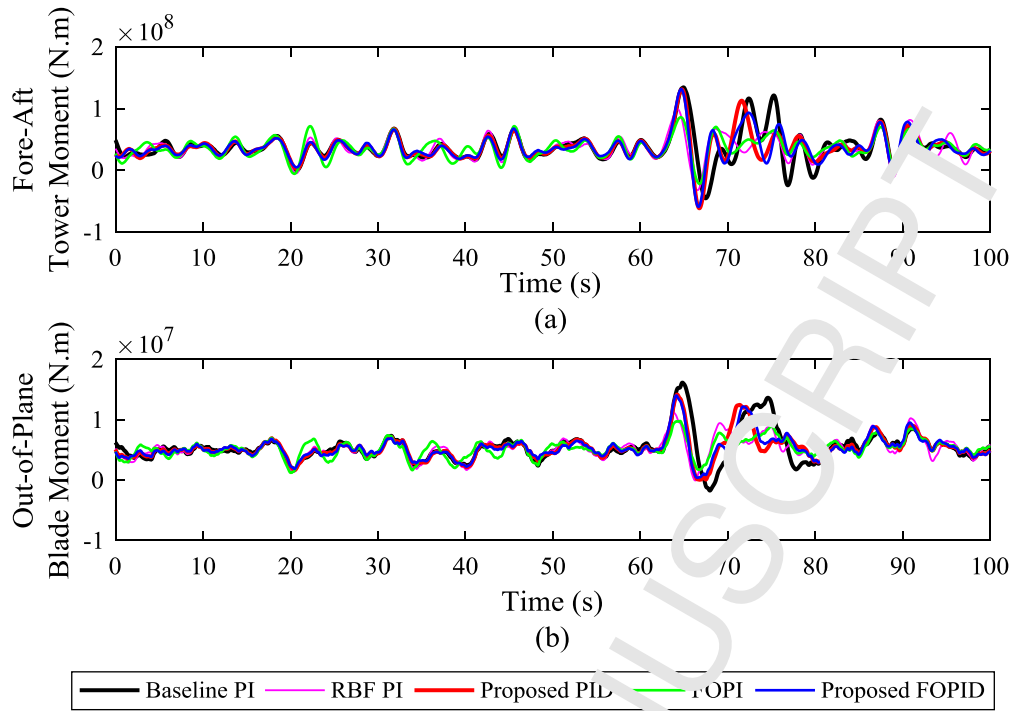
700 Using the FAST simulator, it can be seen that not only the proposed method is robust  
 701 enough to tolerate more real conditions, but also the performance that is achieved in the  
 702 previous subsection remains, relatively.

703 **Remark 10:** For more clarification, Figure 15 depicts the overall design process of the  
 704 proposed method as a flowchart. It should be noted that the optimization (using chaotic  
 705 DE) and training of neural network are offline procedures. Then, the trained neural  
 706 network is used (without any online optimization) to tune the parameters of the  
 707 fractional-order PID controller making a gain-scheduling fractional-order PID  
 708 controller.



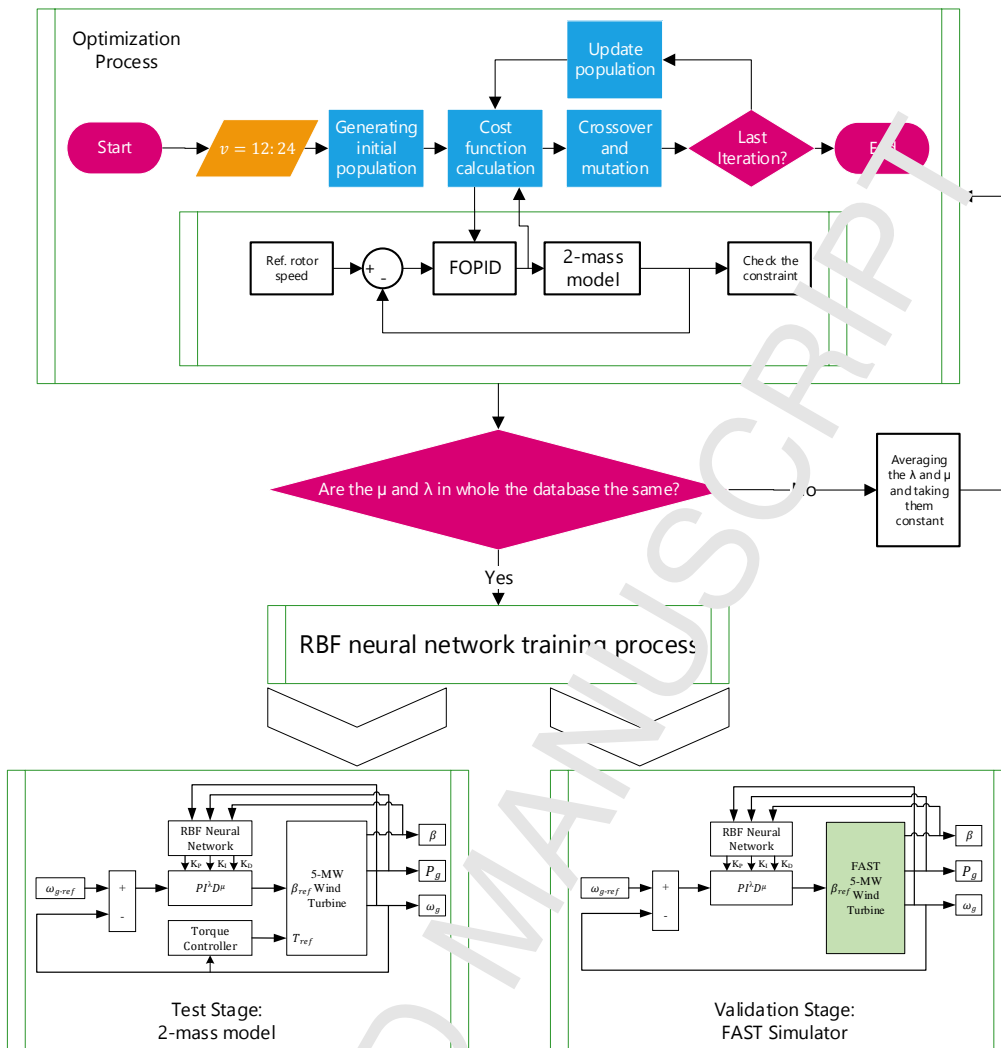
709

710 **Figure 13** The performance of five controllers in a wind speed of 17 m/s with a standard deviation of 1.5  
 711 in the FAST simulator (a) The wind speed profile. (b) The generator speed (c) The rate of pitch angle (d)  
 712 The generated power



713

714 **Figure 14** The applied loads in five controllers in a wind speed of 17 m/s with a standard deviation of 1.5  
 715 in the FAST simulator (a) The fore-aft tower moment. (b) the out-of-plane blade moment



716

717

Figure 15 The proposed controller design process

## 718 5 Conclusion

719 In this study, an RBF based fractional-order PID (FOPID) has been applied to control  
 720 the pitch angle concerning mitigation of mechanical loads. To train the RBF neural  
 721 network, a dataset of optimal gains and orders is provided for several wind speeds by  
 722 solving a suitable optimization problem using chaotic differential evolution (CDE)  
 723 algorithm. Since by changing the direction of the force vector on blades, the pitch angle  
 724 rate has a significant effect on the loads. Thus, the cost function for this optimization  
 725 problem has been considered the rate of the control signal. Meanwhile, to maintain the  
 726 performance, a constraint on error has been defined. To compare the performance a  
 727 simplified two-mass model has been used with different wind speeds and fluctuations.  
 728 The simulation has shown that a better performance is achievable in the proposed  
 729 FOPID, comparing to the other controllers. In the second scenario, the controllers,  
 730 which have been designed for the simplified model, have been tested on a more realistic  
 731 standard simulator called FAST. It has been shown that in many cases the proposed  
 732 FOPID has reached better performance and robustness with less actuator rate, in  
 733 comparison to the other controllers. Besides, it was observed that the proposed FOPID

734 controller is more capable of alleviating mechanical loads in comparison to the same  
 735 structure PID, the baseline PI controllers, [the RBF PI](#), and [the FOPI](#).  
 736 For future research, since many possible faults can easily affect the wind turbine  
 737 operation, such as blade damages, actuator failures or natural accidents such as bird  
 738 strike a study on the fault tolerance characteristics of the proposed controllers is  
 739 suggested. One other suggestion is to do the same framework, with a multi-objective  
 740 optimization instead of the single-objective. Meanwhile, more parameters can be taken  
 741 into accounts, such as direct consideration of blades and tower mechanical loads.

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The authors declare that there is no conflict of interest regarding the publication of this article

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