

# Adaptive Active Fault-Tolerant MPPT Control of Variable-Speed Wind Turbine Considering Generator Actuator Failure

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## Abstract

In order to ensure that the wind power system (WPS) can realize maximum power point tracking (MPPT) under generator side fault, an MPPT control system with adaptive active fault tolerance capability is proposed in this paper. The basic idea of the proposed control strategy is that a perturbation term containing model uncertainties, system nonlinearities and unknown disturbances (generator actuator failure and disturbance torque) is estimated in real-time by a designed observer. The estimated perturbation is used for the compensation of actual perturbation. Then, an adaptive feedback linearizing control of variable-speed wind turbine (VSWT) system can be realized. Therefore, the control strategy neither requires detailed system model and full state measurements, nor relies on fault detection, diagnosis and isolation techniques when the generator actuator fails. Simulation results show that the proposed control scheme has smaller tracking error and better dynamic performance than the traditional PI control and MPPT control, and higher robustness against system parameter uncertainties, disturbance torque and generator actuator failure than the nonlinear static state feedback based MPPT (NSSF-MPPT) control, traditional PI control and MPPT control.

*Keywords:* Wind power system, adaptive active fault-tolerant MPPT control, nonlinear adaptive control, generator actuator failure, maximum power point tracking

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## Nomenclature

AAFT-MPPTC	adaptive active fault-tolerant MPPT control	HGO	high-gain observer
ADRC-MPPT	active disturbance rejection control based MPPT	ITAE	integral of the time multiplied by the absolute error
AFTC	active fault-tolerant control	MPPT	maximum power point tracking
FDI	fault diagnosis and isolation	MPPT-OTSR	MPPT control based on OTSR
HCS	hill climb searching	MRE	maximum regulation error

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NSSF-MPPT	nonlinear static state feedback based MPPT	SMPO-NAC	NAC based on sliding-mode perturbation observer
ORS	optimal rotation speed	VSWT	variable-speed wind turbine
ORSE	ORS estimation	WPS	wind power system
OTSR	optimal tip speed ratio	WPSs	wind power systems
PSF	power signal feedback	WT	wind turbine

## 1. Introduction

Efficient and stable operation is important for reducing wind farm operation and maintenance costs and successful deployment of wind power systems (WPSs) [1, 2]. The costs can be effectively reduced by improving the efficiency of WPSs [3, 4]. More than 50% of the energy for a variable-speed wind turbine (VSWT) is captured in the operation area below the rated wind speed. Therefore, it is particularly important to improve the efficiency of a VSWT by maximum power point tracking (MPPT) control [5, 6]. At the same time, a wind turbine (WT) will inevitably encounter some faults after operating a long period in the severe environment. As the actuator of the speed control, the generator of a WPS is one of the components most prone to failure. In the operation period of WPSs, the execution efficiency may be decreased under generator actuator failure. If the WPS is controlled in accordance with the original MPPT control strategy, it is bound to affect the performance of the WPS and even lead to system instability and serious accidents [7, 8]. Therefore, considering the failure of generator actuator in the MPPT control strategy is crucial to ensure safety performance and reduce costs [2, 8].

In the WPS, the MPPT control strategy makes the VSWT always operate on the optimal tip speed ratio (OTSR) through the adjustment of VSWT speed, so as to realize the capture of maximum wind energy [9]. In the traditional MPPT control strategies, it can be mainly divided into the following three kinds: hill climb searching (HCS) method [10, 11, 12], power signal feedback (PSF) method [13, 14] and OTSR method [15, 16, 17, 18, 19]. To overcome the problems of step size selection, speed oscillation and search direction misjudgment existing in the conventional HCS algorithm, a new peak detection method has been designed to keep up with the rapidly varying wind speed by changing the step size and overcome the drawback of speed oscillation at the maximum power point [10]. The optimized HCS method has solved the problem of searching direction [11]. Generally, compared with large inertia VSWTs with slow response, the HCS is more suitable for small and medium-sized VSWTs [12, 20]. Due to the high turbulence intensity of wind speed and slow response of large inertia VSWT, the traditional PSF control strategy needs a certain time to achieve the optimal speed, which reduces the efficiency of the VSWT [20]. To increase the efficiency of the conventional PSF control strategy, the researchers have proposed the MPPT control strategies based on the tracking range reduction [13] and adaptive torque control method [14]. However, these methods are inseparable from offline training, and need to obtain the optimal starting speed according to the recorded wind speed data. Because the

rotation speed is adjusted directly according to the feedback of speed error, the MPPT control based on OTSR (MPPT-OTSR) has faster response speed than the MPPT control based on PSF and HCS [20]. The MPPT-OTSR can quickly track the optimal rotation speed (ORS) under high turbulence wind speed, so as to capture wind energy efficiently [15, 16]. Conventional OTSR requires real-time observation of wind speed to achieve the ORS. In the wind farm, the wind speed is often measured by the anemometer at a certain point. However, considering the huge sweeping area of the large inertia VSWT, the equivalent wind speed acting on the VSWT cannot be simply replaced by the measured wind speed [21]. Hence, accurate estimation of the equivalent wind speed for obtaining the ORS estimation (ORSE) plays an important role in effective wind energy capture [22]. In this paper, the ORSE is obtained according to the estimated wind speed, which has been designed in author's previous research work [23]. Although literatures [17, 18, 19] realized MPPT based on estimated wind speed or ORSE, they focus on high efficiency without considering the influence of generator actuator failure, parameter uncertainties and unknown disturbances on the control system. The design of MPPT control strategy considering the impact of generator actuator failure is critical to ensure system safety and reduce maintenance cost, but there is a lack of research in this aspect [7, 8].

Fault-tolerant capability is important for the decrement of the WT downtime and fault detection. The active fault-tolerant control (AFTC) approach is based on the controller with capability of resetting parameters or even modifying the structure, and realizes a fast dynamic compensation of control outputs after failures, so as to keep the system stable. Therefore, in case of failure, the AFTC must actively provide corresponding failure or state information. In the design of AFTC, fault diagnosis and isolation (FDI) technology is an important method. The FDI methods have been widely used in WPSs, including fuzzy modeling method [2, 24], varying parameter method [25], Kalman filtering method [26], robust fuzzy method [27], observation method [28, 29, 30], data-driven method [31], deep learning [32] and so on. Refs. [25, 30, 31, 32] mainly pay attention to the detection, diagnosis, isolation and estimation of the VSWT failures, rather than the fault-tolerant control (FTC) system of the VSWTs after failures.

To ensure the efficient realization of AFTC through FDI technology after VSWT failures, a new method using fuzzy modeling, identification and fault diagnosis has been proposed in [24], which ensures the normal operation of VSWTs in the case of the failures of generator speed and pitch angle sensors. When the stator current sensor of the doubly-fed WT fails, the closed-loop control system is reconstructed by FDI technology to ensure the efficient operation of the VSWT at time-varying wind speed [26]. Ref. [27] has successfully realized the speed tracking control under the failure of speed sensor by comparing the differences between measurements and estimations of state variables. In the case of sensor and generator actuator failures, a fault estimation method is used to keep the controller in a satisfactory working state [28]. For the converter failure, Ref. [29] ensures the safe operation of WPS through fault detection and reconstruction of control system. Based on the construction principle of control system, the FDI technology is used to process failure information accurately, which makes the AFTC have strong robustness and adaptability. However, when the AFTC relies heavily on the performance of FDI, the fault-tolerant ability of AFTC may even be lower than that of passive FTC because of failure detection omission, large diagnostic error or long time delay caused by fault diagnosis mechanism [2].

To avoid relying on the performance of FDI, adaptive control output compensation technology is applied to AFTC strategy, which has attracted more and more attention. The control strategy only uses the variations of system state variables caused by failures to provide the required failure information for the controller. This method has been applied in the FTC of WPSs due to its obvious advantage of fast fault compensation [7, 8, 33, 34]. In [33], an adaptive output feedback sliding-mode controller for pitch control has been proposed to enhance the fault-tolerant capability of the control system against the generator actuator failure without knowing failure information. However, its research object is the pitch control system. In [7, 8], the adaptive AFTC strategies based on MPPT have been adopted to deal with generator actuator failure, modeling error and external disturbances, without requiring failure information detection. However, the differential of rotor speed is required to be known in [7], and the online estimation of some control system parameters is needed in [8]. In [34], it has proposed a robust AFTC method based on power tracking control and distributed control scheme, which ensures the transient performance of each VSWT in the wind farm and robustness against generator actuator failure. However, the relevant parameters need to be estimated online. At present, there are few literatures on the application of adaptive AFTC in MPPT control strategy for VSWT to solve generator actuator failure. Therefore, an adaptive active fault-tolerant MPPT control (AAFT-MPPTC) strategy has been developed to deal with the uncertainties that may occur in VSWTs, including potential generator actuator failure, system model uncertainties and external disturbance.

An MPPT control strategy designed based on OTSR of the VSWT with adaptive active fault-tolerant capability is proposed in this paper. The factors such as system nonlinearities, model uncertainties, external disturbance and generator actuator failure are considered in the proposed control strategy. In this control strategy, the Newton-Rafson iterative method is used to obtain the estimation of wind speed, which avoids the use of wind speed measurement device. In the control system design, by defining a perturbation of VSWT system to represent the nonlinearities, uncertainties of the model and unknown disturbances (including disturbances caused by generator actuator failure and disturbance torque), a designed observer is employed for real-time observation of perturbation to compensate actual perturbation. The adaptive linearization of the original VSWT system is realized, and only few system state variables need to be known. In the case of generator actuator failure, the design of control strategy avoids the reset of controller parameters and structure change, as well as the use of relevant fault detection and diagnosis technologies. The simulation test scenarios include time-varying wind speed, parameter uncertainty, disturbance torque and generator actuator failure. The proposed control strategy is compared with the nonlinear static state feedback based MPPT (NSSF-MPPT) control, traditional PI control and MPPT control methods. The simulation results show that the AAFT-MPPTC not only ensures high dynamic performance and efficiency, but also provides strong robustness against parameter uncertainty and disturbance torque, and satisfactory fault tolerance for generator actuator failure.

The main relation and difference of this work with previously published works [16], [41], [42] are summarized as follows:

- In [16], [41] and [42], the research objects are the permanent magnet synchronous generator, grid-side inverter,

and permanent magnet synchronous motor, respectively. The research object of this paper is the WT.

- In [16], it pays more attention to MPPT, and pursues the fast tracking of the optimal speed and ignores the slow response of large inertia WT. In [41], the main objective is designing a controller for the grid-side inverter to improve the low-voltage ride-through capability (LVRTC) of the WPS. In [42], the main objectives are tracking mechanical rotation speed and providing high robustness against system parameter uncertainties and unknown fast varying load torque disturbance. The main objective of this paper not only pursues high efficiency, but also considers the slow response characteristics of WT and generator actuator failure.
- In [16], the MPPT is achieved by controlling rotor speed and current via the generator-side converter. The optimal rotor speed is obtained based on wind speed measured by anemometer. In [41], the LVRTC is improved by regulating the DC-link voltage and current. The detailed model of the generator-side inverter, generator and WT has not presented in this research work. In [42], the mechanical rotation speed and current are regulated to provide high robustness against uncertainties and disturbances. This paper is based on Newton-Raphson iterative method to obtain real-time wind speed without using anemometer. This paper not only pursues high efficiency, but also considers the slow response characteristics of WT, influence of generator actuator failure and disturbance torque in the design of MPPT controller.

The main contributions of this paper can be listed as follows,

- To maximize the wind energy capture of VSWT under time-varying wind speed, the perturbation estimation techniques are used for AAFT-MPPTC to track the optimal rotor speed, whose effectiveness has been verified by simulation tests. Meanwhile, the ORSE is obtained by the estimated wind speed, so the anemometer is omitted.
- The designed observer can fully consider all VSWT nonlinearities, uncertainties and unknown disturbances without requiring detailed system model. Thus, the proposed AAFT-MPPTC strategy can robust against uncertainties and unknown disturbance (disturbance torque and generator actuator failure).
- The proposed AAFT-MPPTC approach is an output feedback controller, which does not require full state measurements, so it is easy to be implemented in practical systems.

The remaining of this paper is organized as follows: Section 2 briefly recalls the VSWT model. In Section 3, the proposed AAFT-MPPTC of the VSWT is designed. Simulation case studies are undertaken to verify the proposed controller performance in Section 4, and compare it with the NSSF-MPPT, MPPT, traditional PI and other observer based controllers. Finally, Section 5 gives the conclusions of this paper.

## 2. Model of the VSWT and Problem Formulation

### 2.1. Model of the VSWT

The aerodynamic power captured by the VSWT is as follows

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

where,  $V$  is the wind speed,  $R$  is the blade radius,  $\rho$  is the air density,  $\beta$  is the pitch angle,  $C_p(\beta, \lambda)$  is the power coefficient, and the tip speed ratio (TSR)  $\lambda$  is defined as follows

$$\lambda = \frac{\omega_r R}{V} \quad (2)$$

where, the rotor speed is  $\omega_r$ .

The power coefficient  $C_p$  of the VSWT is a function of pitch angle  $\beta$  and TSR  $\lambda$ . In this paper, the  $C_p$  recalled from [35, 36] is expressed as follows

$$C_p(\beta, \lambda) = 0.22 \left( \frac{116}{\lambda_t} - 0.4\beta - 5 \right) e^{-\frac{12.5}{\lambda_t}} \quad (3)$$

where

$$\lambda_t = \frac{1}{\lambda + 0.08\beta} - \frac{0.035}{\beta^3 + 1} \quad (4)$$

Fig. 1 shows the configuration of a simplified model for VSWT. The state-space model of the VSWT [7, 8, 35] is expressed as

$$\dot{x} = f(x) + g(x)u = \begin{bmatrix} f_1(x) \\ f_2(x) \\ f_3(x) \end{bmatrix} + \begin{bmatrix} g_{11} \\ g_{21} \\ g_{31} \end{bmatrix} u \quad (5)$$

where

$$f(x) = \begin{bmatrix} f_1(x) \\ f_2(x) \\ f_3(x) \end{bmatrix} = \begin{bmatrix} l_{11} & l_{12} & l_{13} & l_{14} \\ l_{21} & l_{22} & l_{23} & l_{24} \\ l_{31} & l_{32} & l_{33} & l_{34} \end{bmatrix},$$

$$g_{11} = 0, \quad g_{21} = -\frac{1}{J_g}, \quad g_{31} = \frac{D_s}{N_g J_g},$$

$$l_{11} = -\frac{K_r}{J_r}, \quad l_{21} = 0, \quad l_{31} = K_s - \frac{D_s K_r}{J_r},$$

$$l_{12} = 0, \quad l_{22} = -\frac{K_g}{J_g}, \quad l_{32} = -\frac{1}{N_g} \left( K_s - \frac{D_s K_g}{J_g} \right),$$

$$l_{13} = -\frac{1}{J_r}, \quad l_{23} = \frac{1}{N_g J_g}, \quad l_{33} = -D_s \left( \frac{J_r + N_g^2 J_g}{N_g^2 J_g J_r} \right),$$

$$l_{14} = \frac{1}{J_r}, \quad l_{24} = 0, \quad l_{34} = \frac{D_s}{J_r},$$

$$x = [\omega_r \quad \omega_g \quad T_{1s}]^T, \quad y = \omega_r, \quad u = T_{em},$$

where,  $x \in R^3$ ,  $y \in R^1$  and  $u \in R^1$  are state vector, output vector and input vector, respectively;  $f(x)$  and  $g(x)$  are smooth vector fields.  $D_s$  is the stiffness of low-speed shaft,  $K_r$  is the external damping of rotor,  $K_g$  is the external

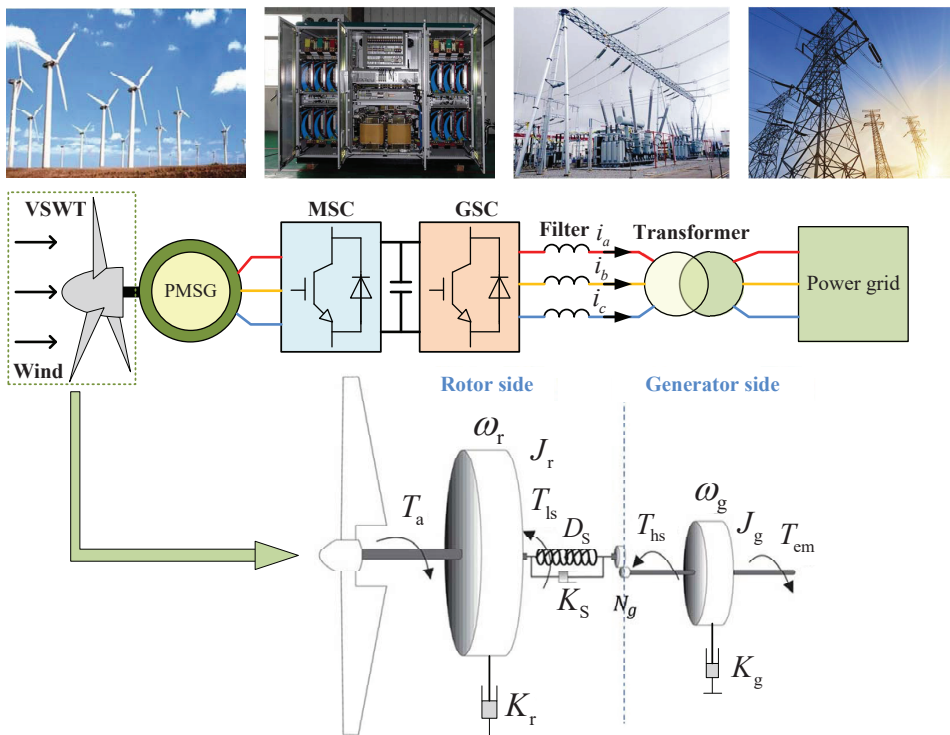


Figure 1: The configuration of a simplified model of VSWT.

damping of generator,  $J_g$  is the inertia of generator,  $K_s$  is the damping of low-speed shaft,  $\omega_g$  is the generator speed,  $J_r$  is the inertia of rotor,  $\omega_r$  is the rotor speed,  $N_g$  is the gearbox ratio,  $T_{em}$  is the generator torque, and  $T_{ls}$  is the low-speed shaft torque.

## 2.2. MPPT Control Strategy Based on OTSR

The objective of the VSWT is maximizing wind power capture when wind speed is between cut-in and rated wind speed, which can be realized by designing an MPPT controller [37]. An MPPT controller adopting OTSR strategy is employed to capture maximum power from time-varying wind. Therefore, it requires that the  $C_p(\beta, \lambda)$  should be kept at its maximum value  $C_{popt}$  at time-varying wind speed. When the  $\lambda$  reaches its optimal value  $\lambda_{opt}$  at a constant pitch angle  $\beta$ , the maximum value  $C_{popt}$  can be achieved. According to (2), when the ORS  $\omega_{ref}$  is tracked,  $\lambda_{opt}$  can be obtained.

$$\omega_{ref} = \frac{\lambda_{opt} V}{R} \quad (6)$$

It can be seen from Eq. (6) that, when  $\lambda_{opt}$  is constant, wind speed is linear with  $\omega_{ref}$ . In the wind farm, the wind speed is often measured by the anemometer at a certain point. However, considering the huge sweeping area of the large inertia WT, the equivalent wind speed acting on the WT cannot be simply replaced by the measured wind speed [36]. To obtain the equivalent wind speed, the Newton-Raphson method is employed to estimate wind speed in author's previous research work [23]. For more details, please refer to [23].

## 2.3. System Model With Generator Actuator Failure

Under normal operation of the VSWT, the maximum wind energy can be extracted by the MPPT controller based on OTSR control strategy. However, some failures are inevitable for WPSs operating in harsh environment, such as converter failure, blade failure, gearbox failure, actuator failure, etc [2, 7, 8]. Among them, wind turbine generator as the speed control actuator is one of the components that is most prone to failure. The failure of the generator actuator leads to the decrement of the efficiency for the generator actuator, and even safety problems[8]. The main reasons of the generator actuator failure are the increment of mechanical friction, looseness of the transmission link, failure of the drive motor, generator phase loss and so on[2, 7, 8]. When the generator actuator failure is considered, the relationship between the designed control input  $T_{em}$  and actual control input  $T_{ga}$  can be described as follows

$$T_{ga} = \rho(t)T_{em} + \delta_g(t) \quad (7)$$

where  $\rho(t)$  is the health indicator, which is a time-varying scalar function with a bounded range  $\rho(t) \in (0, 1]$ . 0 and 1 respectively indicate that the actuator is completely damaged and without failure [2, 7, 8, 33]. The disturbance torque  $\delta_g(t)$  may be caused by friction resistance moment of gear system, generator ripple current, rotor centroid offset and so on, which might be time-varying and immeasurable [7, 8].



### 3. AAFT-MPPTC Design for the VSWT

#### 3.1. Estimation of Perturbation Considering Generator Actuator Failure

For system (5) without considering generator actuator failure,  $T_{em}$  and  $\omega_r$  are chosen as the input and output, respectively. Define the tracking error  $e = \omega_r - \omega_r^*$ , then the second-order derivative of  $\ddot{e}$  is obtained as

$$\begin{aligned} \ddot{e} = & \frac{\dot{T}_r}{J_r} - \frac{(l_{34}J_r + K_r)}{J_r^2}T_r + \frac{(K_r^2 - l_{31}J_r)}{J_r^2}\omega_r - \frac{l_{32}}{J_r}\omega_g \\ & + \frac{(K_r - l_{33}J_r)}{J_r^2}T_{ls} + m(x)T_{em} - \ddot{\omega}_r^* \end{aligned} \quad (8)$$

where,  $m(x) = -\frac{B_{ls}}{N_g J_r J_g} \neq 0$  for all nominal operation points, and  $\omega_r^* = \omega_{ref}$ .

In this paper, the generator actuator failure (7) is considered. Then, the value of  $T_{em}$  in (8) should be  $T_{ga} = \rho(t)T_{em} + \delta_g(t)$ . Hence, (8) should be as follows

$$\begin{aligned} \ddot{e} = & \frac{\dot{T}_r}{J_r} - \frac{(l_{34}J_r + K_r)}{J_r^2}T_r + \frac{(K_r^2 - l_{31}J_r)}{J_r^2}\omega_r - \frac{l_{32}}{J_r}\omega_g \\ & + \frac{(K_r - l_{33}J_r)}{J_r^2}T_{ls} + m(x)[\rho(t)T_{em} + \delta_g(t)] - \ddot{\omega}_r^* \end{aligned} \quad (9)$$

It can also expressed as

$$\begin{aligned} \ddot{e} = & \frac{\dot{T}_r}{J_r} - \frac{(l_{34}J_r + K_r)}{J_r^2}T_r + \frac{(K_r^2 - l_{31}J_r)}{J_r^2}\omega_r - \frac{l_{32}}{J_r}\omega_g + \frac{(K_r - l_{33}J_r)}{J_r^2}T_{ls} \\ & + m(x)[(\rho(t) - 1)T_{em} + \delta_g(t)] + (m(x) - m_0)T_{em} + m_0T_{em} - \ddot{\omega}_r^* \end{aligned} \quad (10)$$

The perturbation term including all system nonlinearities, uncertainties and disturbances (including generator actuator failure and disturbance torque) in (10) is defined as

$$\begin{aligned} \Psi = & \frac{\dot{T}_r}{J_r} - \frac{(l_{34}J_r + K_r)}{J_r^2}T_r + \frac{(K_r^2 - l_{31}J_r)}{J_r^2}\omega_r - \frac{l_{32}}{J_r}\omega_g + \frac{(K_r - l_{33}J_r)}{J_r^2}T_{ls} \\ & + m(x)[(\rho(t) - 1)T_{em} + \delta_g(t)] + (m(x) - m_0)T_{em} \end{aligned} \quad (11)$$

where, the constant control gain  $m_0 = -\frac{B_{ls0}}{N_g J_{r0} J_{g0}}$ .  $B_{ls0}$ ,  $J_{r0}$  and  $J_{g0}$  are the nominal values of  $B_{ls}$ ,  $J_r$  and  $J_g$ , respectively. Then, rewrite system (10) as

$$\ddot{e} = \Psi + m_0T_{em} - \ddot{\omega}_r^* \quad (12)$$

When the output  $\omega_r$  is known, the states and perturbation of system can be estimated by a designed high-gain observer (HGO) proposed in [38].

$$\begin{cases} \dot{\hat{\omega}}_r = \hat{\omega}_r + h_1(\omega_r - \hat{\omega}_r) \\ \dot{\hat{\Psi}} = \hat{\Psi} + h_2(\omega_r - \hat{\omega}_r) + m_0T_{em} \\ \dot{\hat{\Psi}} = h_3(\omega_r - \hat{\omega}_r), \end{cases} \quad (13)$$

where,  $\hat{\omega}_r$ ,  $\hat{\omega}_r$  and  $\hat{\Psi}$  are the estimations of  $\omega_r$ ,  $\dot{\omega}_r$  and  $\Psi$ , respectively.  $h_i$ ,  $i = 1, 2, 3$  is the observer gain, which is designed as

$$h_i = \frac{\xi_i}{\epsilon^i} \quad (14)$$

where,  $\epsilon$  is within (0,1). The parameters  $\xi_i$  are selected to make the roots of

$$s^3 + \xi_1 s^2 + \xi_2 s + \xi_3 = 0 \quad (15)$$

are on the open left-half complex plane.

### 3.2. Design of AAFT-MPPTC

When the actual perturbation  $\Psi$  is compensated by the perturbation estimation  $\hat{\Psi}$ , the control input  $T_{em}$  is expressed as follows

$$T_{em} = m_0^{-1}(-\hat{\Psi} + v) \quad (16)$$

where,  $v$  is defined as

$$v = \ddot{\omega}_r^* + k_p(\omega_r^* - \omega_r) + k_i(\dot{\omega}_r^* - \hat{\omega}_r) \quad (17)$$

Then, the final control law represented by generator inertia, rotor inertia, low-speed shaft stiffness and rotor speed, is given as follows

$$T_{em} = -\frac{J_{r0}J_{g0}N_g}{B_{ls0}} [k_p(\omega_r^* - \omega_r) + k_i(\dot{\omega}_r^* - \hat{\omega}_r) + \ddot{\omega}_r^* - \hat{\Psi}] \quad (18)$$

Note that only nominal parameter values of  $J_{r0}$ ,  $J_{g0}$  and  $B_{ls0}$ , and measurement of  $\omega_r$  are required in the controller design.

The principle of proposed AAFT-MPPTC for the VSWT system has been clearly illustrated through a block diagram shown in Fig. 2.

### 3.3. Stability Analysis of VSWT Closed-Loop System

The stability of closed-loop VSWT system with the proposed AAFT-MPPTC is proved as follows.

Firstly, to obtain the tracking error and estimation error systems, the estimation errors are defined as  $\zeta_1 = \omega_r - \hat{\omega}_r$ ,  $\zeta_2 = \dot{\omega}_r - \hat{\omega}_r$  and  $\zeta_3 = \Psi - \hat{\Psi}$ . The following estimation error system can be obtained by combining (13) and (14).

$$\dot{\zeta}_i = G_i \zeta_i + \varrho_i \quad (19)$$

where

$$\zeta_i = \begin{bmatrix} \zeta_1 \\ \zeta_2 \\ \zeta_3 \end{bmatrix}, \quad \varrho_i = \begin{bmatrix} 0 \\ 0 \\ \Psi \end{bmatrix}, \quad (20)$$

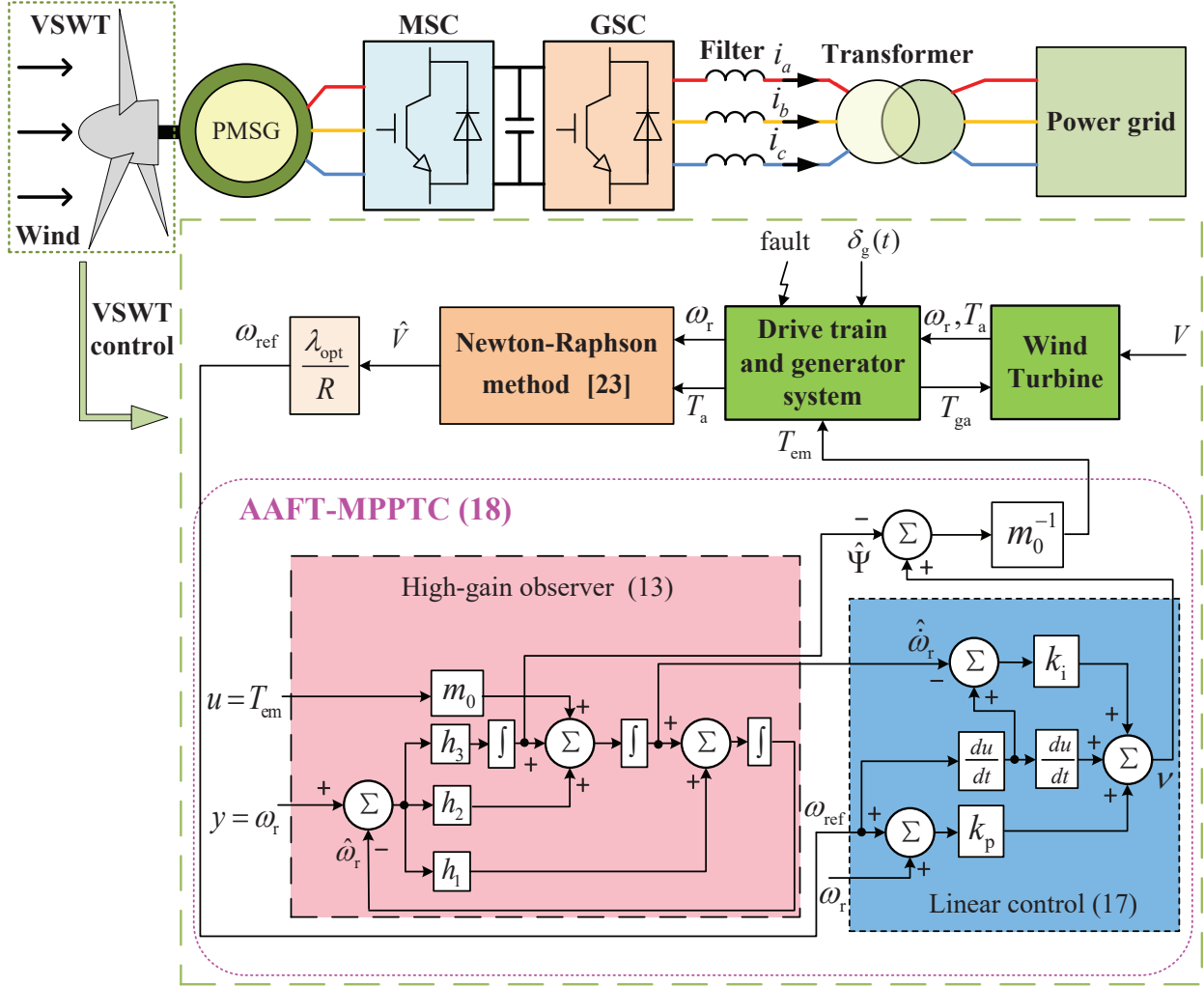


Figure 2: The AAFT-MPPTC control scheme for VSWT system

$$G_i = \begin{bmatrix} -h_1 & 1 & 0 \\ -h_2 & 0 & 1 \\ -h_3 & 0 & 0 \end{bmatrix} \quad (21)$$

Define the tracking errors as  $\varepsilon_1 = \omega_r^* - \omega_r$  and  $\varepsilon_2 = \dot{\omega}_r^* - \dot{\omega}_r$ . Meanwhile, it can be obtained from (12), (16) and (17) that

$$\dot{\varepsilon}_2 = -[k_p(\varepsilon_1 + \zeta_1) + k_i(\varepsilon_2 + \zeta_2) + \zeta_3] \quad (22)$$

Consequently, the tracking error system can be represented as

$$\dot{\varepsilon}_i = \beta_i \varepsilon_i + \vartheta_i \quad (23)$$

where

$$\varepsilon_i = \begin{bmatrix} \varepsilon_1 \\ \varepsilon_2 \end{bmatrix}, \quad \vartheta_i = \begin{bmatrix} 0 \\ -\xi \end{bmatrix}, \quad (24)$$

$$\beta_i = \begin{bmatrix} 0 & 1 \\ -k_p & -k_i \end{bmatrix} \quad (25)$$

with  $\alpha = k_p \zeta_1 + k_i \zeta_2 + \zeta_3$  being the lumped estimation error.

Transform the stability analysis of the VSWT closed-loop control system into globally uniformly ultimately bounded.

**Theorem 1.** The proposed AAFT-MPPTC system of VSWT (18) is considered. When the actual perturbation  $\Psi$  (11) satisfies

$$\|\Psi\| \leq \theta_1 \quad (26)$$

then the tracking error system (23) and estimation error system (19) are, i.e.,

$$\|\zeta_i(t)\| \leq 2\theta_1 \|Q_1\|, \|\varepsilon_i(t)\| \leq 4\theta_1 \|K_i\| \|Q_1\| \|Q_2\|, \forall t \geq T \quad (27)$$

where  $Q_i$ ,  $i = 1, 2$  are the feasible solutions of Riccati equations  $G_i^T Q_1 + Q_1 G_i = -I$  and  $\beta_i^T Q_2 + Q_2 \beta_i = -I$ , respectively; and  $\|K_i\|$  is a constant related to  $k_p$  and  $k_i$ .

**Proof.** The following Lyapunov function is considered for estimation error system (19),

$$V_{i1}(\zeta_i) = \zeta_i^T Q_1 \zeta_i \quad (28)$$

The SPO gains used in (13) are determined by satisfying the requirement of (15). Calculate the derivative of  $P_{i1}(\zeta_i)$  along (19) solution and use (26) to yield

$$\begin{aligned} \dot{P}_{i1}(\zeta_i) &= \zeta_i^T (G_i^T Q_1 + Q_1 G_i) \zeta_i + \varrho_i^T Q_1 \zeta_i + \zeta_i^T Q_1 \varrho_i \\ &\leq -\|\zeta_i\|^2 + 2\|\zeta_i\| \cdot \|\varrho_i\| \cdot \|Q_1\| \\ &\leq -\|\zeta_i\|(\|\zeta_i\| - 2\theta_1 \|Q_1\|) \end{aligned} \quad (29)$$

Then, when  $\|\zeta_i\| \geq 2\theta_1 \|Q_1\|$ ,  $\dot{P}_{i1}(\zeta_i) \leq 0$ . Therefore, it exists  $T_1 > 0$ , which can lead to

$$\|\zeta_i(t)\| \leq \theta_2 = 2\theta_1 \|Q_1\|, \forall t \geq T_1 \quad (30)$$

In (23),  $\|\varpi_i\| \leq \|K_i\| \theta_2$  with  $\|K_i\|$  based on  $\|\zeta_i(t)\| \leq \theta_2$  can be found. The Lyapunov function  $P_{i2}(\varepsilon_i) = \varepsilon_i^T Q_2 \varepsilon_i$  is considered. Similarly, it can be proved that there is an instant,  $T_1$ ,

$$\|\varepsilon_i(t)\| \leq 2\|K_i\| \theta_2 \|Q_2\| \leq 4\theta_1 \|K_i\| \|Q_1\| \|Q_2\|, \forall t \geq \bar{T}_1 \quad (31)$$

Using (30) and (31) and setting  $T = \max\{T_1, \bar{T}_1\}$  lead to (27).

In addition, if  $\Psi$  and its derivative are locally Lipschitz in their arguments, it can ensure the exponential convergence of closed-loop tracking error and estimation error [39].

$$\lim_{t \rightarrow \infty} \zeta_i(t) = 0 \quad \text{and} \quad \lim_{t \rightarrow \infty} \varepsilon_i(t) = 0 \quad (32)$$

When the state  $\omega_r$  and its derivatives are stable under the AAFT-MPPTC, it is proved that the error system converges to zero in (32). It ensures that the extended states defined in (11) including parameter uncertainties and unknown disturbances caused by disturbance torque and generator actuator failure can be tracked by the estimated perturbations, and the control input in (16) can be compensated.

Table 1: Parameters of the VSWT in simulation studies

Parameters	Values	Units
Blade radius $R$	21.65	m
Air density $\rho$	1.29	kg/m <sup>3</sup>
Optimal blade tip ratio $\lambda_{\text{opt}}$	6.325	
Maximum power coefficient $C_{\text{pmax}}$	0.4382	
Inertia of rotor $J_r$	325,000	kg.m <sup>2</sup>
Inertia of generator $J_g$	34.4	kg.m <sup>2</sup>
Damping of low-speed shaft $K_s$	9,500	N.m/rad/s
Stiffness of low-speed shaft $D_s$	269,100	N.m/rad
External damping of rotor $K_r$	27.36	N.m/rad/s
External damping of generator $K_g$	0.2	N.m/rad/s
Gearbox ratio $N_g$	43.165	

Table 2: Parameters of AAFT-MPPTC scheme in simulation studies

Parameters of the AAFT-MPPTC (18)	
Gains of observer (13)	$\xi_1 = 2.7 \times 10^2, \xi_2 = 2.43 \times 10^4,$ $\xi_3 = 7.29 \times 10^5, \epsilon = 0.02$
Gains of linear controller (17)	$k_p = 25, k_i = 10$

#### 4. Simulation Studies

To verify the performance of proposed AAFT-MPPTC, the PI, MPPT mentioned in [35] and NSSF-MPPT proposed in [35] are employed for comparisons. The specifications of the VSWT are listed in Table 1 [7, 35]. In addition, the parameters of the proposed AAFT-MPPTC are designed based on pole-placement, as shown in Table 2. The advantages of AAFT-MPPTC are verified by simulation tests under four different scenarios: time-varying wind speed,

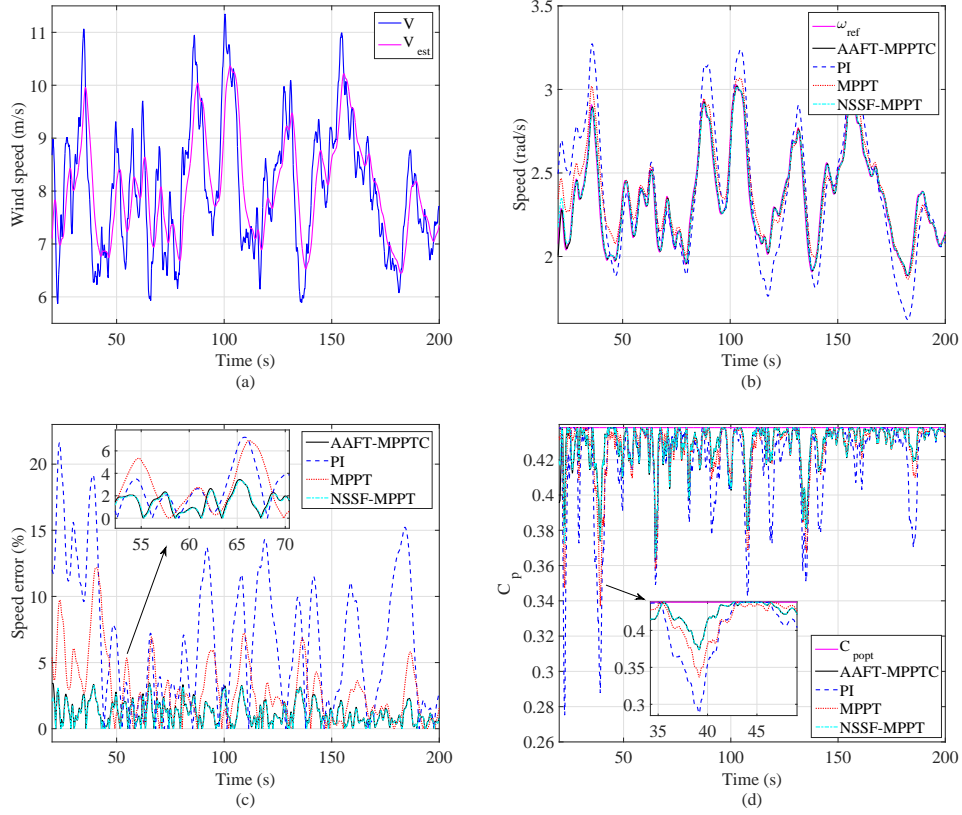


Figure 3: Response curves under time-varying wind speed. (a) Wind speed  $V$ ; (b) rotor speed  $\omega_r$ ; (c) relative error of  $\omega_r$ ; (d) power coefficient  $C_p$ .

parameter uncertainties, generator actuator failure at constant wind speed, and simultaneous existence of generator actuator failure and disturbance torque at constant wind speed. In this paper, simulation tests are conducted by Matlab/Simulink.

#### 4.1. Scenario I: Time-Varying Wind Speed

##### 4.1.1. Comparisons of PI, MPPT, NSSF-MPPT and AAFt-MPPTC

The response curves of VSWT to time-varying wind speed are shown in Figs. 3-8. In Fig. 3 (a), although the estimation error exists, the actual wind speed with high turbulence can still be well estimated. Figs. 3 (b) and (c) show that both the AAFt-MPPTC and NSSF-MPPT obtain better tracking performances of the rotor speed  $\omega_r$  than the PI and NSSF-MPPT controllers, and the worst tracking performances are obtained by the PI. It is because that the global optimal performance can be provided by the NSSF-MPPT and AAFt-MPPTC under time-varying operation points, which cannot be provided by the PI designed based on one operation point. It is worth noting that the NSSF-MPPT requires full state measurements and detailed system model. When the rotor speed  $\omega_r$  cannot track its optimal reference  $\omega_{ref}$  well, the maximum power coefficient  $C_{popt}$  cannot be ensured, as shown in Fig. 3 (d). In Fig. 4, the

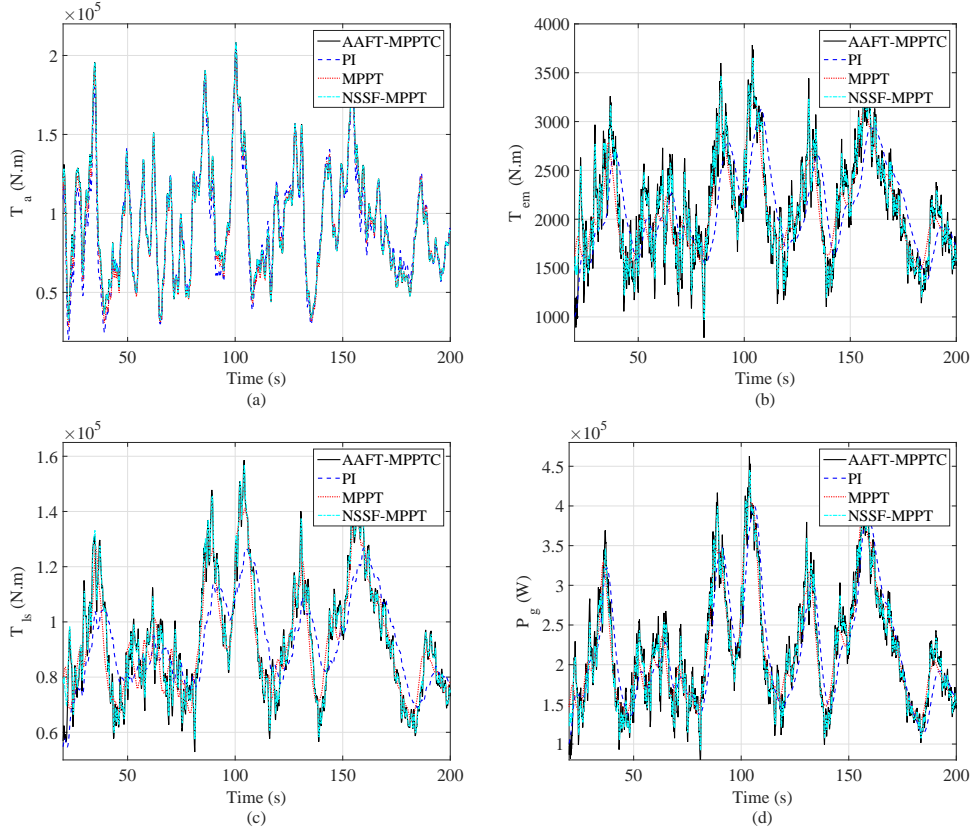


Figure 4: Response curves under time-varying wind speed. (a) Aerodynamic torque  $T_a$ ; (b) generator torque  $T_{em}$ ; (c) low-speed shaft torque  $T_{ls}$ ; (d) generator power  $P_g$ .

responses of aerodynamic torque  $T_r$ , generator torque  $T_{em}$ , low-speed shaft torque  $T_{ls}$  and generator power  $P_g$  have been given.

The comparison between the actual perturbation  $\Psi$  and its estimated value is shown in Fig. 5. Although there is estimation error, it provides satisfactory estimation performances in most cases, as shown in Fig. 5(b). The estimation error is generated under the rapidly changing disturbance, because the observer needs a certain time for estimation. It can be found from Fig. 6 that, both the NSSF-MPPT and AAFT-MPPTC achieve much better control performance than PI and MPPT in terms of the integral of the time multiplied by the absolute error (ITAE) and maximum regulation error (MRE).

#### 4.1.2. Comparisons of Controllers Based on Different Observers

For the comparisons of controllers based on different observers, NAC based on sliding-mode perturbation observer (SMPO-NAC) in [39] and active disturbance rejection control based MPPT (ADRC-MPPT) [40] are employed to compare with the proposed AAFT-MPPTC in this subsection. Fig. 7 shows that the SMPO-NAC, ADRC-MPPT and AAFT-MPPTC almost achieve the same dynamic performances. Meanwhile, the similar control performances in

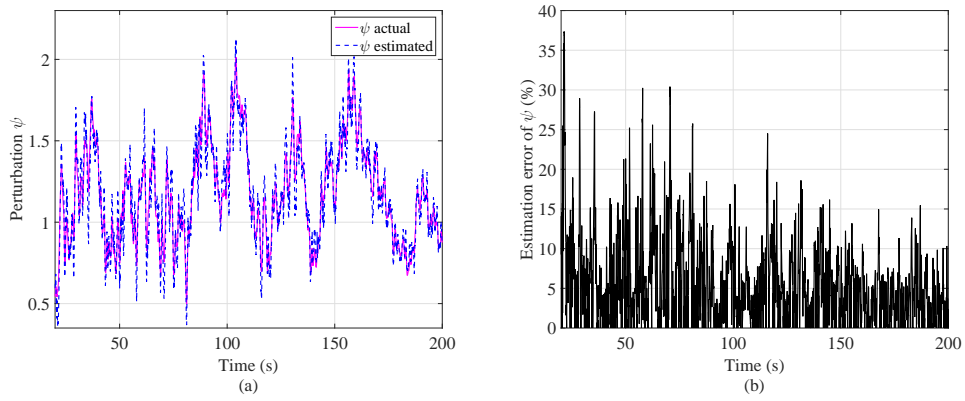


Figure 5: Perturbation estimation. (a) Perturbation  $\Psi$ ; (b) relative error of  $\Psi$ .

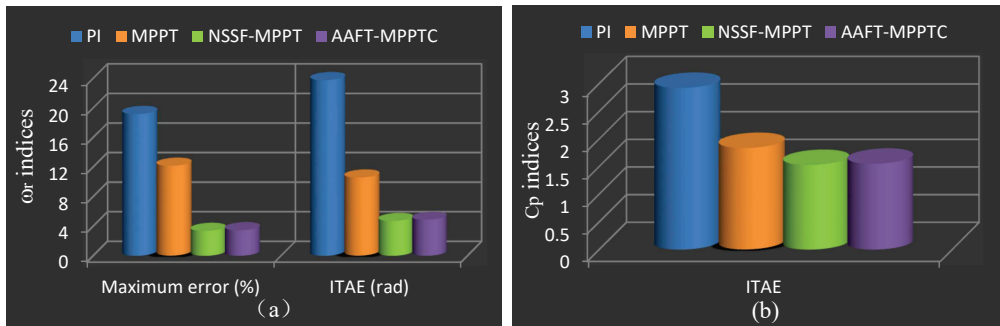


Figure 6: Comparisons of performance indices in MRE and ITAE at time-varying wind speed. (a)  $\omega_r$ ; (b)  $C_p$ .



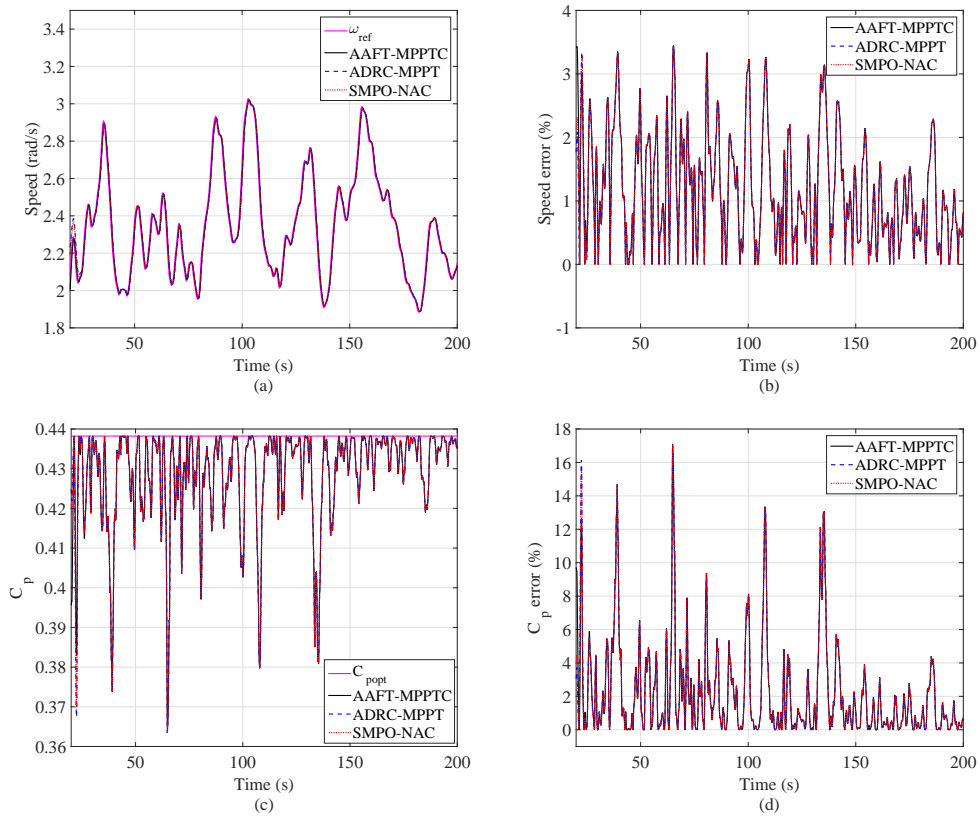


Figure 7: Responses curves of observer based controllers at time-varying wind speed. (a) Rotor speed  $\omega_r$ ; (b) relative error of  $\omega_r$ ; (c) power coefficient  $C_p$ ; (d) relative error of  $C_p$ .

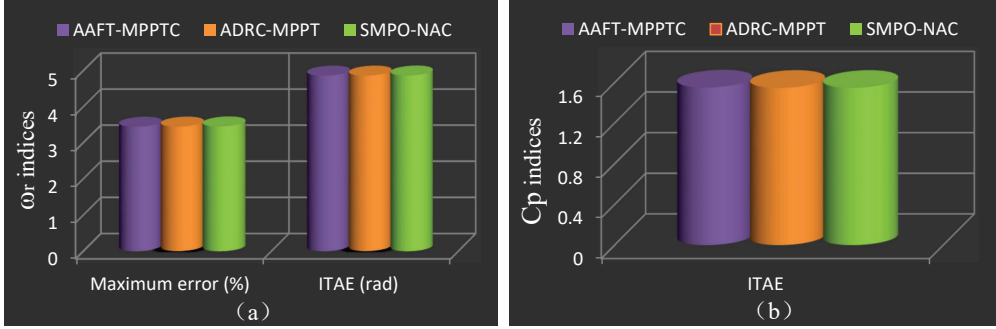


Figure 8: Comparisons of control performance indices in MRE and ITAE at time-varying wind speed. (a)  $\omega_r$ ; (b)  $C_p$ .

terms of the ITAE and MRE can be provided by these three controllers based on different observers, as shown in Fig. 8. Among them, the AAFT-MPPTC is simple in stability analysis, gain tuning and structure.

#### 4.2. Scenario II: Parameter Uncertainties

With the change of operation time and environment, it is difficult for a VSWT to keep the system parameters consistent with their nominal values. Therefore, the influence of system parameter uncertainties on the control system needs to be tested. Due to page limit, only the simulation case of rotor inertia  $J_r$  mismatch is tested in this subsection, which varies from 0.8 p.u. to 1.2 p.u.. The wind speed employed in this test case is the same as that depicted in Fig. 3(a).

It can be found from Fig. 9(a) that, comparing with the PI and MPPT controllers, both the AAFT-MPPTC and NSSF-MPPT have much smaller variations in the maximum error of the rotor speed  $\omega_r$  under the change of  $J_r$ . The variation of the maximum error for the rotor speed  $\omega_r$  under the NSSF-MPPT is more obvious than that obtained under the AAFT-MPPTC. In Fig. 9(b), the change of  $J_r$  hardly affects the maximum error of the rotor speed  $\omega_r$  under the observer-based controllers. It means the control performance can be affected by the parameter variations under the PI, MPPT and NSSF-MPPT. The AAFT-MPPTC can provide higher robustness against parameter uncertainties than the PI, MPPT and NSSF-MPPT.

#### 4.3. Scenario III: Generator Actuator Failure at Constant Wind Speed

In this test scenario, the VSWT operates at a constant wind speed 8 m/s for 100 s with two operation stages. In the first stage, the VSWT operates for 40 s without failure or disturbance torque, then the health indicator of the generator actuator suddenly reduces from 1 to 0.6 in the second stage, which can be expressed as

$$\rho(t) = \begin{cases} 1, & 0 \leq t < 40 \\ 0.6, & t \geq 40 \end{cases} \quad (33)$$

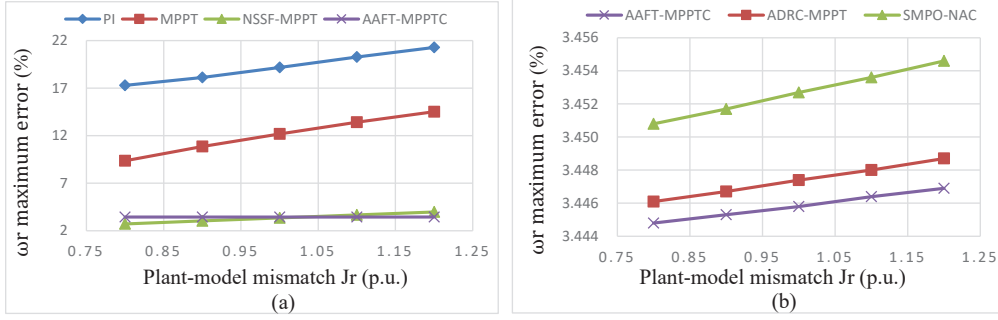


Figure 9: Comparisons of performance indices in MRE under rotor inertia variation.

#### 4.3.1. Comparisons of PI, MPPT, NSSF-MPPT and AAFT-MPPTC

It can be seen from Figs. 10 and 11 that, all of the four controllers can achieve satisfactory performances in the first stage. However, the performances of the PI, MPPT and NSSF-MPPT all significantly degrade in the second stage except the AAFT-MPPTC. Not only that, the rotor speed  $\omega_r$  exists steady state errors under both the NSSF-MPPT and MPPT, as shown in Figs. 10(a) and (b). It means that the steady-state error will not be eliminated if the generator actuator failure is not resolved. During the VSWT operation, the NSSF-MPPT controller cannot recognize the generator actuator failure without FDI technologies. Hence, the health indicator of the generator actuator  $\rho(t)$  in (10) is considered to be 1, which leads to the steady state error of the rotor speed  $\omega_r$  under the NSSF-MPPT control. In the MPPT controller design, the generator torque  $T_{em}$  is closely related to the generator speed  $\omega_g$ , which is given by (16) in [35]. Hence, the control performance of MPPT controller may deteriorate if the information of generator torque is inaccurate, such as unknown generator actuator failure. Compared with the NSSF-MPPT and MPPT, although the PI has tracking error of the rotor speed  $\omega_r$ , the steady state of the  $\omega_r$  can be recovered in approximately 60 s. According to (6), when the  $\omega_r$  has a deviation with its optimal reference, the optimal TSR cannot be achieved. Therefore, the  $C_p$  cannot reach its maximum value, as shown in Figs. 10(b) and (c). The maximum and smallest errors of the  $C_p$  are obtained by the MPPT and AAFT-MPPTC controllers, respectively.

It can be seen from Fig. 11 that, the PI, MPPT and NSSF-MPPT all cannot always keep consistent responses of the  $T_a$ ,  $T_{em}$ ,  $P_a$  and  $P_g$  under generator actuator failure. The proposed AAFT-MPPTC can always provide satisfactory performance. Although the generator actuator failure occurs, the perturbation caused by the generator actuator failure can be compensated in real-time by estimated perturbation, as shown in Fig. 12. Hence, the response of the generator torque  $T_{em}$  is almost unaffected by the generator actuator failure. Because the change of health indication is set as step change in this test case, it is difficult for the designed observer to provide accurate estimation of the actual perturbation immediately. Therefore, there is a large estimation error at the moment of occurring generator actuator failure, but the error will be quickly eliminated, as shown in Fig. 12.

The performances of the PI, MPPT, NSSF-MPPT and AAFT-MPPTC controllers represented by the ITAE and MRE of  $\omega_r$  are shown in Fig. 13. The results show that the proposed AAFT-MPPTC is most insensitive to the

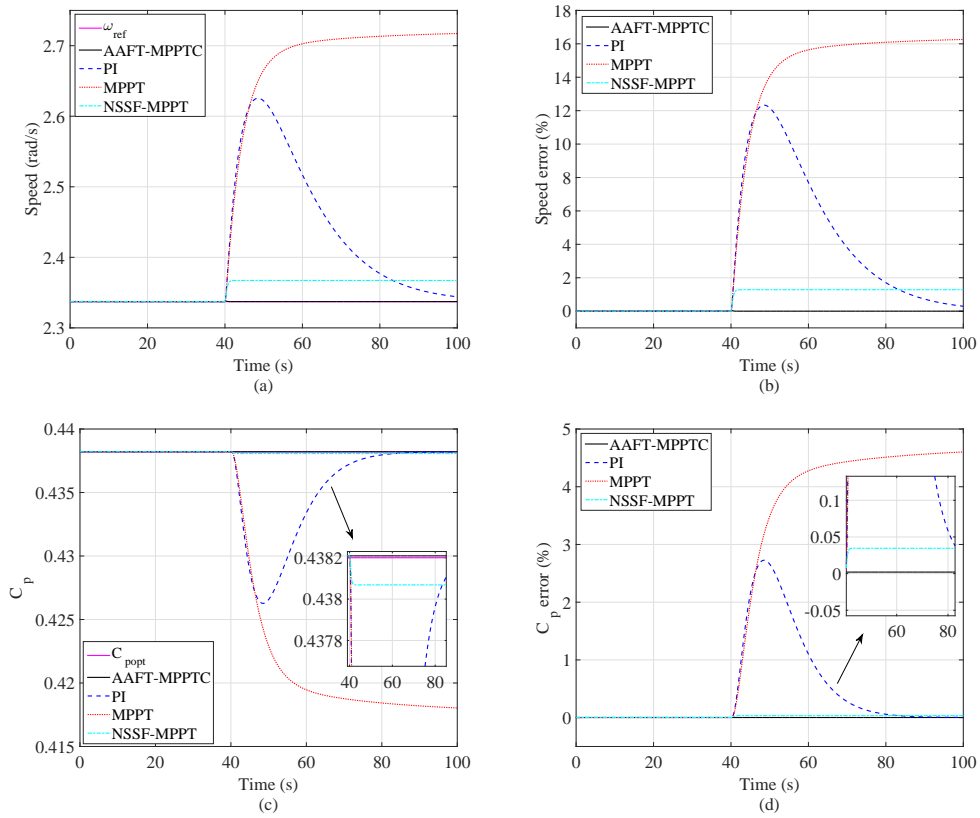


Figure 10: Response curves under generator actuator failure. (a) Rotor speed  $\omega_r$ ; (b) relative error of  $\omega_r$ ; (c) power coefficient  $C_p$ ; (d) relative error of  $C_p$ .

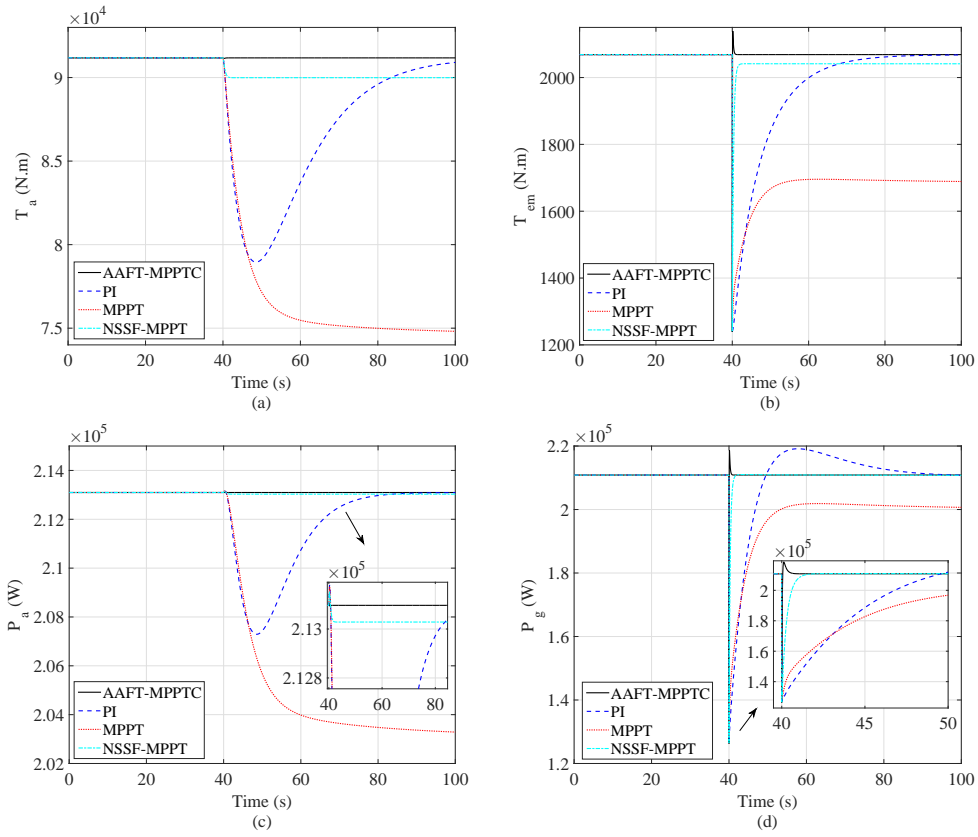


Figure 11: Response curves under generator actuator failure. (a) Aerodynamic torque  $T_a$ ; (b) generator torque  $T_{em}$ ; (c) aerodynamic power  $P_a$ ; (d) generator power  $P_g$ .

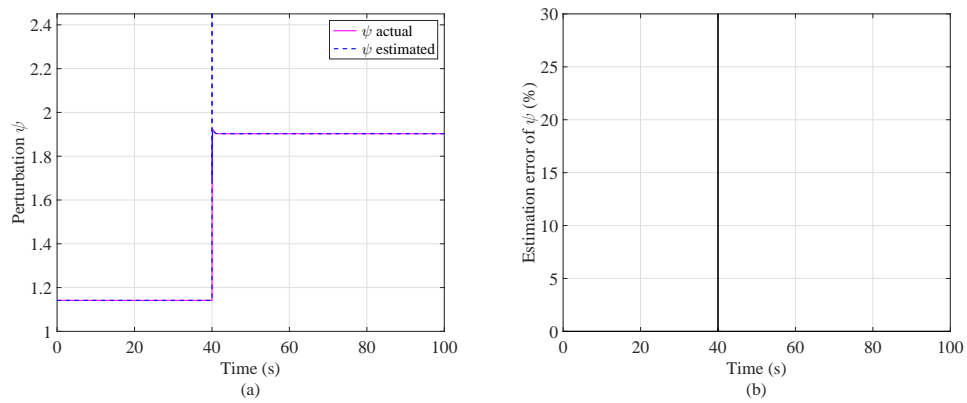


Figure 12: Perturbation estimation. (a) Perturbation  $\Psi$ ; (b) relative error of  $\Psi$ .

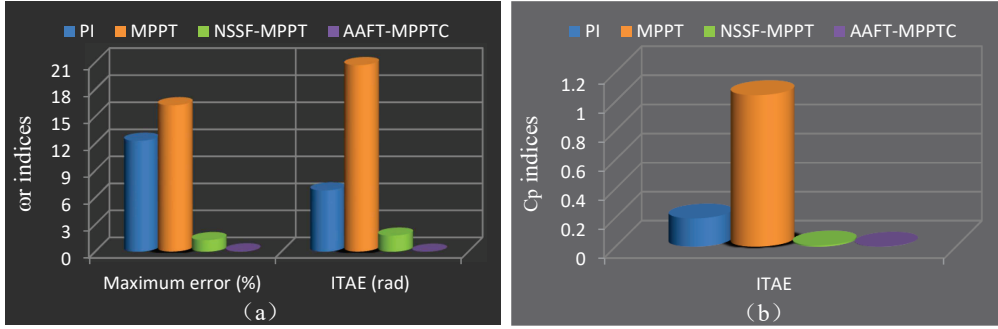


Figure 13: Comparisons of performance indices in MRE and ITAE under generator actuator failure. (a)  $\omega_r$ ; (b)  $C_p$ .

generator actuator failure.

#### 4.3.2. Comparisons of Controllers Based on Different Observers

The comparisons of control performance among the AAFT-MPPTC, ADRC-MPPT and SMPO-NAC under generator actuator failure are shown in Fig. 14. All these three controllers provide high robustness against generator actuator failure. The AAFT-MPPTC achieves a little better tracking performance than the other two controllers. In Fig. 15, it can be found that the AAFT-MPPTC provides the highest robustness against generator actuator failure among these three controllers.

#### 4.4. Scenario IV: Generator Actuator Failure and Disturbance Torque at Constant Wind Speed

To further verify the effectiveness of the proposed AAFT-MPPTC method, both the disturbance torque and generator actuator failure are considered in this test scenario. The wind speed maintains at 8 m/s for 100 s. The disturbance torque  $\delta_g(t)$  and health indicator  $\rho(t)$  are shown in Figs. 16(a) and (b), respectively.

##### 4.4.1. Comparisons of PI, MPPT, NSSF-MPPT and AAFT-MPPTC

In the first 60 s of simulation test, only the disturbance torque  $\delta_g(t)$  is applied. The rotor speed  $\omega_r$  is with big deviation from its optimal reference  $\omega_{ref}$  under both the PI and MPPT controllers, as shown in Figs. 16(c) and (d). It is because that the PI controller designed based on one operation point cannot provide consistent response under the varying operation points caused by the disturbance torque  $\delta_g(t)$ . In the MPPT controller design, the disturbance has not been considered. The disturbance torque  $\delta_g(t)$  affects the tracking performance of  $\omega_r$ . Comparing with the PI and MPPT controllers, the NSSF-MPPT controller provides much smaller tracking error, but the steady state error exists. Note that the disturbance torque  $\delta_g(t)$  is unknown in the NSSF-MPPT controller, which is considered to be 0 N.m. Hence, the NSSF-MPPT controller cannot provide consistent performance when the disturbance torque  $\delta_g(t)$  occurs.

When both the generator actuator fault and disturbance torque  $\delta_g(t)$  are applied (from 60 s to 70 s), the PI, MPPT and NSSF-MPPT controllers all provide increased tracking errors of the rotor speed  $\omega_r$ , as shown in Figs. 16(c) and

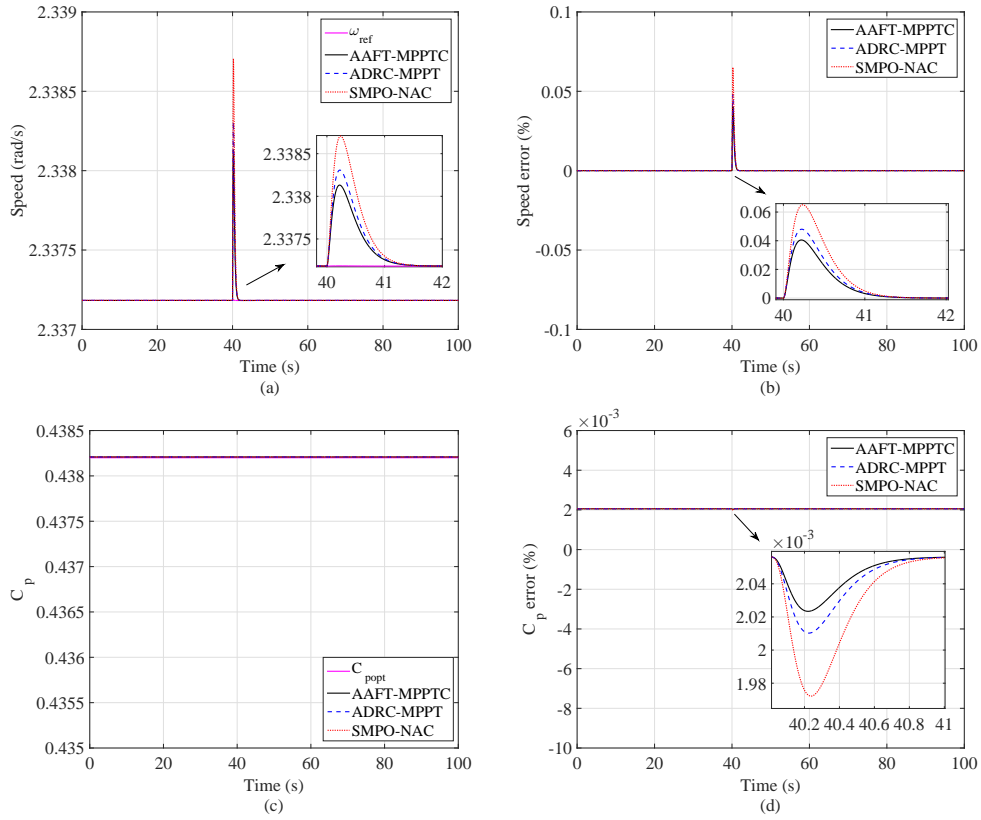


Figure 14: Response curves of observer based controllers under generator actuator failure. (a) Rotor speed  $\omega_r$ ; (b) relative error of  $\omega_r$ ; (c) power coefficient  $C_p$ ; (d) relative error of  $C_p$ .

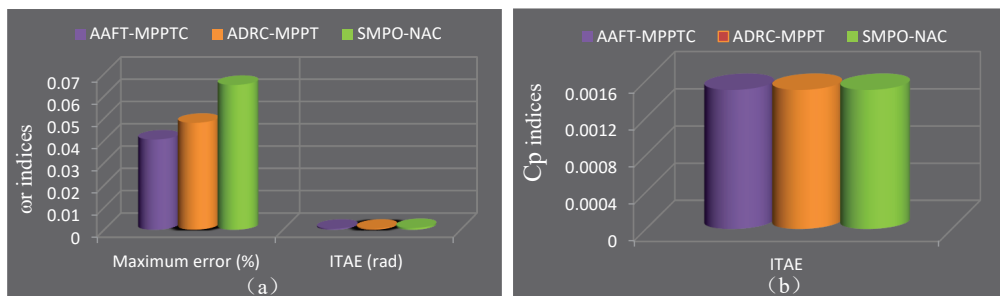


Figure 15: Comparisons of performance indices in MRE and ITAE under generator actuator failure. (a)  $\omega_r$ ; (b)  $C_p$ .

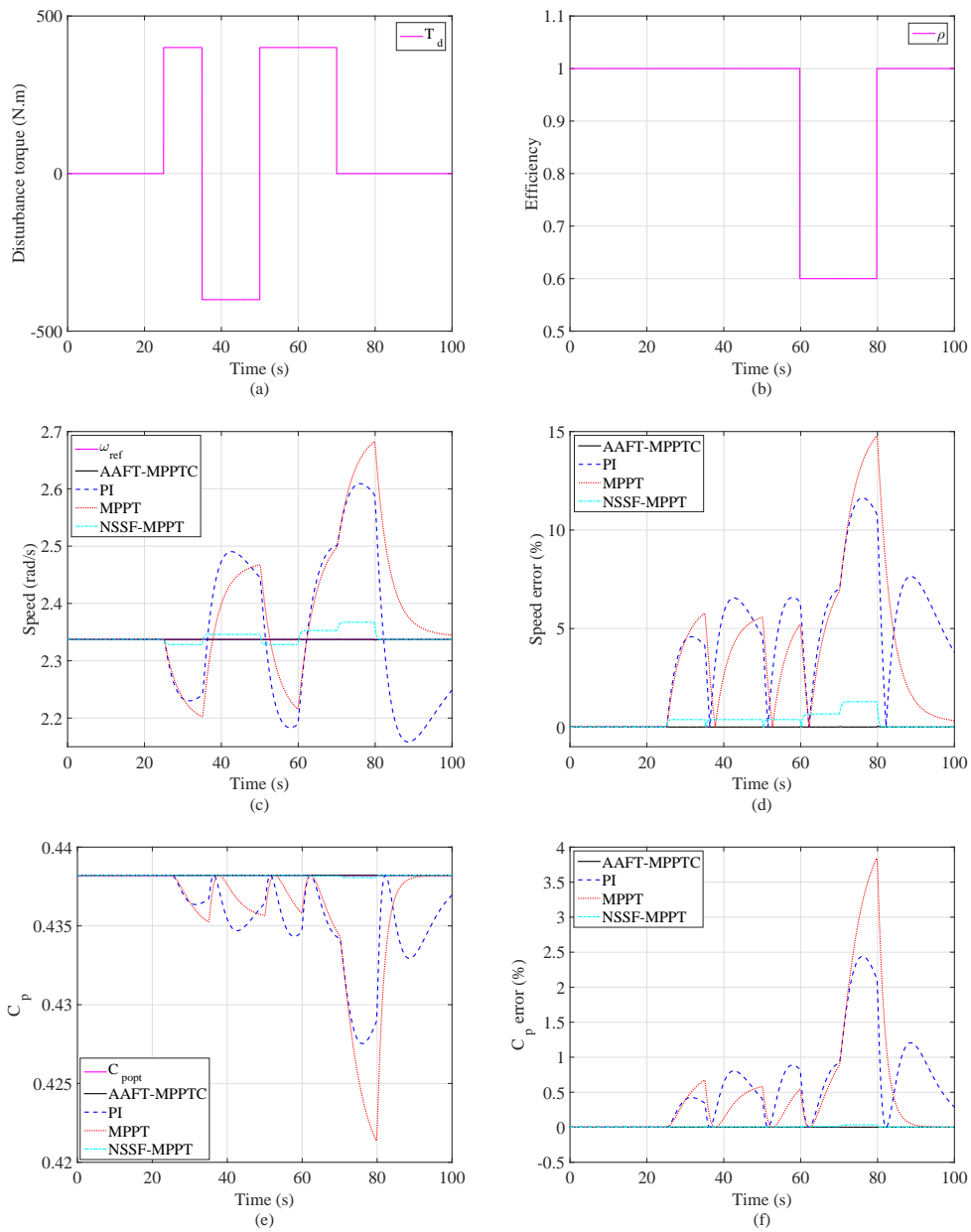


Figure 16: Response curves under generator actuator fault and disturbance torque. (a) Health indicator  $\rho(t)$ ; (b) disturbance torque  $\delta_g(t)$ ; (c) rotor speed  $\omega_r$ ; (d) relative error of  $\omega_r$ ; (e) power coefficient  $C_p$ ; (f) relative error of  $C_p$ .



(d). From 70 s to 80 s, only generator actuator failure is considered in the simulation test. Figs. 16(c) and (d) show that the tracking error of the rotor speed  $\omega_r$  is further increased under the PI, MPPT and NSSF-MPPT control. The dynamic performance is still affected by the generator actuator failure. In the last 20 s of simulation test, the VSWT recovers to normal operation. The rotor speed  $\omega_r$  immediately reaches its optimal reference  $\omega_{ref}$  under the NSSF-MPPT control. However, both the PI and MPPT need more than 20 s for recovering to its optimal reference. Note that among these four controllers, the AAFT-MPPTC always provides satisfactory performance with much smaller tracking error, which is almost unaffected by the disturbance torque  $\delta_g(t)$  and generator actuator failure.

The power coefficient  $C_p$  deviates from its maximum value  $C_{popt}$  due to the tracking error of the  $\omega_r$ , as shown in Figs. 16 (e) and (f). It can be found from Fig. 17(a) that compared with the PI and MPPT controllers, the dynamic response of the  $T_a$  under the NSSF-MPPT control is less affected by the generator actuator failure and disturbance torque  $\delta_g(t)$ . The PI, MPPT and NSSF-MPPT controllers all lack the real-time compensation technology of the AAFT-MPPTC for the perturbation caused by the generator actuator failure and disturbance torque  $\delta_g(t)$ , which leads to the failure of the generator torque  $T_{em}$  to maintain a consistent dynamic response, as shown in Fig. 17(b). The responses of the  $T_{ls}$  and  $P_g$  have shown in Figs. 17(c) and (d), respectively. The consistent dynamic responses of the system can be obtained by the proposed AAFT-MPPTC, which is inseparable from the satisfactory estimated performance provided by the designed observer. The perturbation caused by the generator actuator failure and disturbance torque  $\delta_g(t)$  can be well estimated by the designed observer, except for the moment of step change, as shown in Fig. 18.

Fig. 19 shows the performances of the PI, MPPT, NSSF-MPPT and AAFT-MPPTC control methods through ITAE and MRE of  $\omega_r$ . The proposed AAFT-MPPTC provides the highest robustness against the disturbance torque and generator actuator failure.

#### 4.4.2. Comparisons of Controllers Based on Different Observers

The comparisons of control performance among the SMPO-NAC, ADRC-MPPT and AAFT-MPPTC under the disturbance torque and generator actuator failure are shown in Fig. 20. These three controllers provide similar performance with quite small tracking error of rotor speed  $\omega_r$ . Hence, the  $C_p$  is always around its maximum value  $C_{popt}$ . Among these three controllers, the AAFT-MPPTC is with smallest tracking error of the rotor speed  $\omega_r$  and most insensitive to the disturbance torque and generator actuator failure, as shown in Figs. 20 and 21.

## 5. Conclusions

In this paper, an AAFT-MPPTC controller without employing FDI technologies has been proposed to provide high dynamic performance for a two-mass model based WT and high robustness against generator actuator failure, parameter uncertainties and disturbance torque. In the proposed control strategy, to compensate the perturbations caused by disturbance torque, parameter uncertainties, unknown nonlinearities and generator actuator failure, an H-GO has been designed to estimate the real perturbation in real-time. After the compensation, the VSWT system is fully linearized with few system state measurements by adopting a linear output feedback control law. In addition,

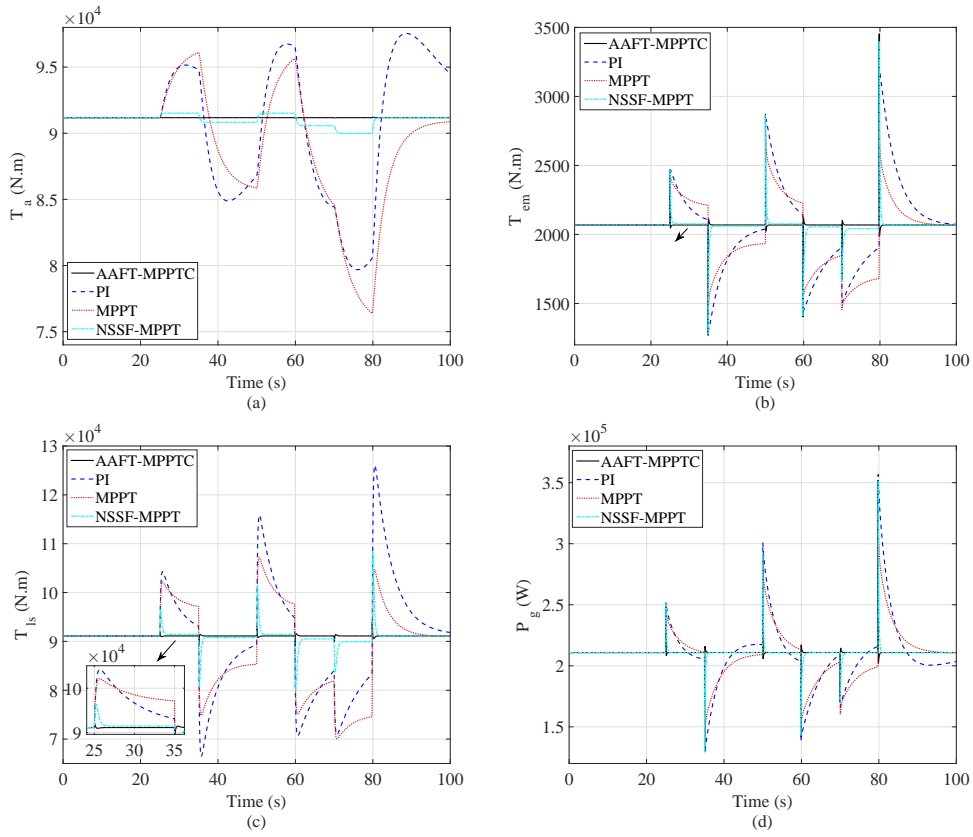


Figure 17: Response curves under generator actuator failure and disturbance torque. (a) Aerodynamic torque  $T_a$ ; (b) generator torque  $T_{em}$ ; (c) low-speed shaft torque  $T_{ls}$ ; (d) generator power  $P_g$ .

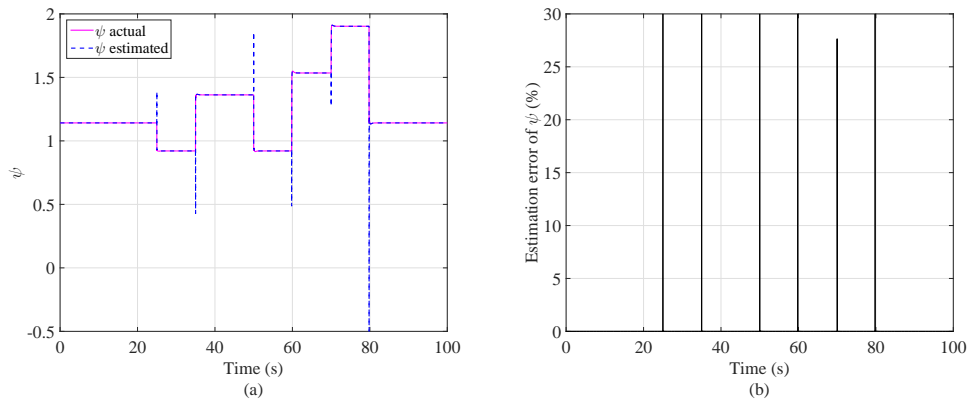


Figure 18: Perturbation estimation. (a) Perturbation  $\Psi$ ; (b) relative error of  $\Psi$ .

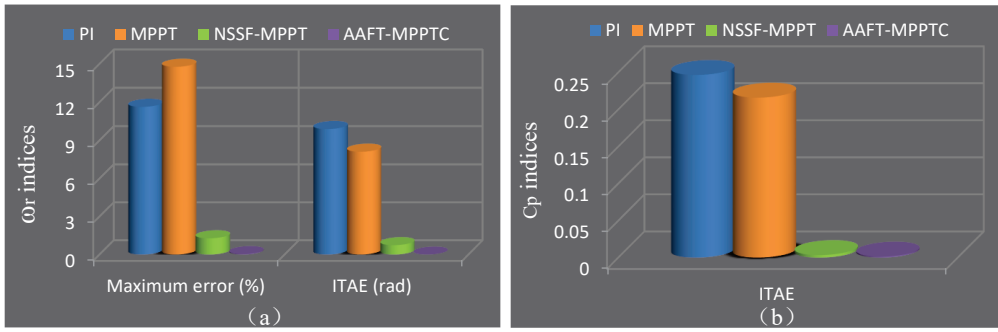


Figure 19: Comparisons of performance indices in MRE and ITAE under generator actuator failure and disturbance torque. (a)  $\omega_r$ ; (b)  $C_p$ .

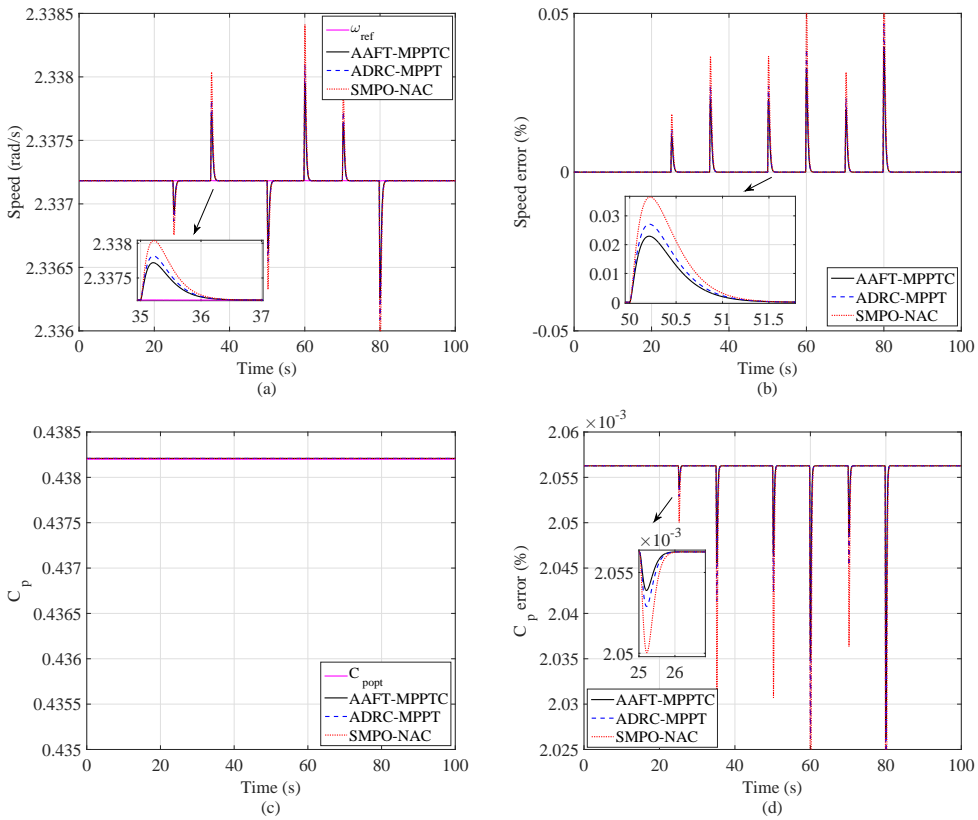


Figure 20: Response curves of observer based controllers under generator actuator failure and disturbance torque. (a) Rotor speed  $\omega_r$ ; (b) relative error of  $\omega_r$ ; (c) power coefficient  $C_p$ ; (d) relative error of  $C_p$

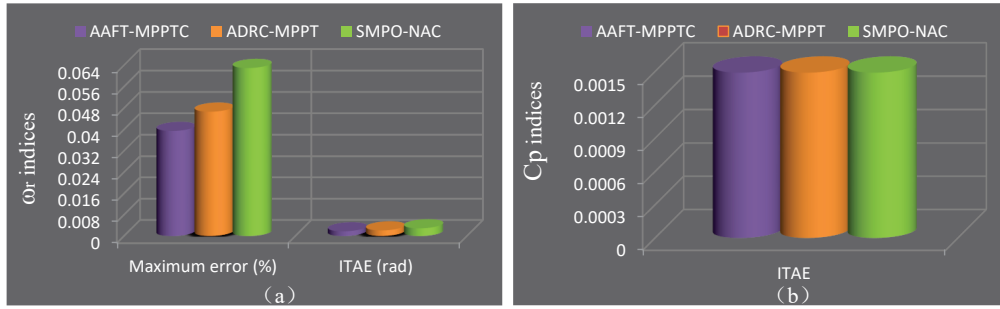


Figure 21: Comparisons of performance indices in MRE and ITAE under generator actuator failure and disturbance torque. (a)  $\omega_r$ ; (b)  $C_p$ .

the Newton-Rafson iterative method has been employed for wind speed estimation. Compared with the PI designed based on one operation point, and MPPT relying on the strict nonlinear relationship between the generator torque  $T_{em}$  and generator speed  $\omega_g$ , and without considering the dynamic aspect of the wind and VSWT, the AAFT-MPPTC provides global optimal performance at time-varying wind speed. Especially, the AAFT-MPPTC achieves much better dynamic performances than these two controllers under the parameter uncertainties, generator actuator failure and disturbance torque. Although the NSSF-MPPT designed based on full state measurements and accurate system parameters achieves similar performance with the AAFT-MPPTC at time-varying wind speed, whose control performance is affected under parameter uncertainties, generator actuator failure and disturbance torque. Among these four controllers, the proposed AAFT-MPPTC always provides best dynamic performance and ensures highest robustness against parameter uncertainties, generator actuator failure and disturbance torque.

Further studies will focus on carrying the experimental test of the proposed method on a hardware prototype and investigating its potential to deal with MPPT control and asymmetrical voltage sags of the whole WPS.

## Acknowledgements

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