#### Modeling Control of Underactuated **Three-Dimensional** and **Overhead Crane Systems**

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Abstract: Overhead crane systems play a vital role in different factories to transport heavy loads. This paper provides an overview of recent developments in the modeling and control of three-dimensional overhead crane systems. It provides a categorized survey of the published work. Different control methodologies when applied to overhead crane are examined, outlined and assessed to aid for future work.

Keywords: Control, Modeling, Overhead Cranes, Underactuated systems.

# I. INTRODUCTION

Cranes systems are used all over the world. Cranes are usually employed at factories, shipyards, construction sites, warehouses to transport heavy loads. One type of cranes is the overhead cranes, illustrated in Figure 1. They usually run in cartesian coordinates and have three main parts: the trolley, the bridge and the payload. The trolley moves along the bridge whereas the bridge moves perpendicular to the trolley motion. A gantry crane is the type of overhead cranes in which the crane travels on a mobile base. Overhead cranes in industry have complex and nonlinear dynamics, are in general subject to not only parameter fluctuations but also unmodelled dynamics, actuator nonlinearities, and disturbances. This work focuses on modeling and control of underactuated three dimensional (3D) overhead crane system. A review of the system modeling and control is presented.



Figure 1: 3D Overhead Crane.

## **II. MODELING OF OVERHEAD CRANES**

Generally, there are two types of overhead crane models, the first type is two dimensional (2D) model [1-8], which is also called single-pendulum-type [9]. The 2D crane model is apparently nonlinear and has three states; trolley position, rope length and swing angle [7]. In general, during the operation, the rope length is fixed or slowly changing, hence, some studies [1-6, 8] assume the rope length is fixed, which reduces the number of states to two. In addition, if the swing angle is assumed to be small, a linearized model can be used to describe the system dynamics [1] On the other hand, the model accuracy and complexity can be increased by considering the friction between the moving parts [7], adding uncertainties to the system [8] or considering external disturbances [3].

The other type of overhead crane models is the 3D overhead crane or double-pendulum-type cranes [10]. In 1998, the general mathematical model of the 3D overhead crane is derived using Lagrangian equation [11]. The model is nonlinear and has five states; trolley position, bridge position, rope length and two swing angles. like 2D overhead cranes, assuming fixed rope length can simplify the model and reduce its states to four only [9, 12-20]. In other studies [11, 12, 18], the linearized model is obtained by assuming a fixed rope length and small swing angles for simplification. On the other hand, for a more accurate model, some investigations [10, 11, 21-23] considered the damping coefficients while others [10, 15, 18] considered the external disturbances like wind force to be added to the model. Unlike most of the studies, [13] takes the friction and air resistance into account in his model. Table 1 summarizes the findings of this section.

A typical dynamic model of the 3D crane system can be represented using the following equation [23]:

$$M(q)\ddot{q} + D\dot{q} + C(q,\dot{q})\dot{q} + G(q) = F$$
<sup>(1)</sup>

where  $q = [x, y, l, \theta_x, \theta_y]^T$  is the state vector, F = $[f_x, f_y, f_l, 0, 0]^T$  is the driving forces vector. The mass

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International Journal of Robotics and Automation Technology, 2019, Vol. 6 81

matrix M(q), the damping matrix D, the Coriolis and centrifugal matrix  $C(q, \dot{q})$  and the gravitational force vector G(q) are defined as follows:

Where  $D_x$ ,  $D_y$  and  $D_l$  are the viscous damping coefficients. The nonzero elements of M(q) are given by:

$$m_{11} = M_x + m$$
,  $m_{13} = m_{31} = m \sin\theta_x \cos\theta_y$ 

$$m_{22} = M_y + m$$
,  $m_{23} = m_{32} = m \sin \theta_x$ 

 $m_{33} = M_l + m$ ,  $m_{14} = m_{41} = ml \cos\theta_x \cos\theta_y$ 

$$m_{44} = ml^2 \cos^2 \theta_y, \quad m_{15} = m_{51} = -ml \sin \theta_x \sin \theta_y$$

 $m_{55} = ml^2$ ,  $m_{25} = m_{52} = ml \cos\theta_y$ 

The nonzero elements of  $C(q, \dot{q})$  are given by:

$$c_{13} = m \cos\theta_x \cos\theta_y \,\dot{\theta}_x - m \cos\theta_x \cos\theta_y \,\dot{\theta}_y$$
$$c_{14} = m \cos\theta_x \cos\theta_y \,\dot{l} - ml \,\sin\theta_x \,\cos\theta_y \,\dot{\theta}_x$$
$$- ml \cos\theta_x \sin\theta_y \,\dot{\theta}_y$$

$$c_{15} = -m \sin\theta_x \sin\theta_y \dot{l} - ml \cos\theta_x \sin\theta_y \dot{\theta}_x - ml \sin\theta_x \cos\theta_y \dot{\theta}_y$$

$$c_{23} = m \cos \theta_y \dot{\theta_y}, \ c_{25} = -m \cos \theta_y \dot{l} - m l \sin \theta_y \dot{\theta_y}$$

$$c_{34} = -ml \cos^2 \theta_y \dot{\theta_x}, \ c_{35} = -ml \dot{\theta_y}$$

$$c_{43} = ml \cos^2 \theta_y \, \dot{\theta}_x, \ c_{44}$$
  
= ml \cos^2 \theta\_y \cdot \lefta - ml^2 \sin \theta\_y \cos \theta\_y \cdot \theta\_y \cdot \theta\_y \cos \theta\_y \cdot \theta\_y \

$$c_{45} = -ml^2 \sin\theta_y \cos\theta_y \dot{\theta_x}, \ c_{53} = -ml\dot{\theta_y}$$

 $c_{54} = ml^2 cos\theta_v \sin\theta_v \dot{\theta_x}, \ c_{55} = ml\dot{l}$ 

The nonzero elements of G(q) are given by:

$$g_{3} = -mg \cos\theta_{x} \cos\theta_{y}, \quad g_{4} = mgl \sin\theta_{x} \cos\theta_{y}, \quad g_{5}$$
$$= mgl \cos\theta_{x} \sin\theta_{y}$$

Where  $M_x$  is mass traveling along *X*-axis,  $M_y$  is the mas traversing along *X*-axis, and  $M_l$  is the mas

moving along the hoisting cable, m is the payload mass and g is the gravitational acceleration.

# **IIII. CONTROL OF OVERHEAD CRANES**

Controlling a crane system can be challenging due to its structure. The number of actuators in the crane system is less than the number of states to be controlled [24]. These types of systems are called under-actuated systems. The actuated and unactuated states in the crane model are usually separated using state transformation before designing the controller. The dynamic model in equation 1 can be separated and into two equations:

$$M_{11}(q)\ddot{q_{a}} + M_{12}(q)\ddot{q_{u}} + C_{11}(q,\dot{q})\dot{q_{a}} + C_{12}(q,\dot{q})\dot{q_{u}} + G_{1}(q) = \tau_{1}$$

$$M_{21}(q)\ddot{q_{u}} + M_{22}(q)\ddot{q_{u}} + C_{22}(q,\dot{q})\dot{q_{u}} + C_{22}(q,\dot{q})\dot{q_{$$

$$M_{21}(q)q_a + M_{22}(q)q_u + C_{21}(q,q)q_a + C_{22}(q,q)q_u + G_2(q) = 0$$
(3)

Where  $M_{11}(q) \in \mathbb{R}^{3 \times 3}$ ,  $M_{12}(q) \in \mathbb{R}^{3 \times 2}$ ,  $M_{21}(q) \in \mathbb{R}^{2 \times 3}$  and  $M_{22}(q) \in \mathbb{R}^{2 \times 2}$  are sub-matrices of M(q).  $C_{11}(q,\dot{q}) \in \mathbb{R}^{3 \times 3}$ ,  $C_{12}(q,\dot{q}) \in \mathbb{R}^{3 \times 2}$ ,  $C_{21}(q,\dot{q}) \in \mathbb{R}^{2 \times 3}$  and  $C_{22}(q,\dot{q}) \in \mathbb{R}^{2 \times 2}$  are sub-matrices of  $C(q,\dot{q})$ .  $G_1(q) \in \mathbb{R}^{3 \times 1}$  and  $G_2(q) \in \mathbb{R}^{2 \times 1}$  are sub-matrices of G(q).

Equation (3) is rearranged as follows:

$$\ddot{q_u} = -M_{22}^{-1}(q)[M_{21}(q)\ddot{q_a} + C_{21}(q,\dot{q})\dot{q_a} + C_{22}(q,\ddot{q})\dot{q_u} + G_2(q)]$$
(4)

By substituting (4) into (2), the actuated states of the system  $q_a$  can be acquired by solving:

$$\overline{M}_{1}(q)\ddot{q} + \overline{C}_{11}(q,\dot{q})\dot{q}_{a} + \overline{C}_{12}(q,\dot{q})\dot{q}_{u} + \overline{G}_{1}(q) = \tau$$
(5)

Where

$$\overline{M}_{1}(q) = M_{11}(q) - M_{12}(q)M_{22}^{-1}(q)M_{21}(q)$$

$$\overline{C}_{11}(q,\dot{q}) = C_{11}(q,\dot{q}) - M_{12}(q)M_{22}^{-1}(q)c_{21}(q,\dot{q})$$

$$\overline{C}_{12}(q,\dot{q}) = C_{12}(q,\dot{q}) - M_{12}(q)M_{22}^{-1}(q)c_{22}(q,\dot{q})$$

$$\overline{G}_{1}(q) = G_{1}(q) - M_{12}(q)M_{22}^{-1}(q)G_{2}(q)$$

Similarly, the unactuated states of the system  $q_u$  can be acquired by solving:

$$\bar{M}_{2}(q)\ddot{q} + \bar{C}_{21}(q,\dot{q})\dot{q}_{a} + \bar{C}_{22}(q,\dot{q})\dot{q}_{u} + \bar{G}_{2}(q) = \bar{H}\tau \quad (6)$$
Where

$$\begin{split} \overline{M}_{2}(q) &= M_{22}(q) - M_{21}(q)M_{11}^{-1}(q)M_{12}(q) \\ \overline{C}_{21}(q,\dot{q}) &= C_{21}(q,\dot{q}) - M_{21}(q)M_{11}^{-1}(q)c_{11}(q,\dot{q}) \\ \overline{C}_{22}(q,\dot{q}) &= C_{22}(q,\dot{q}) - M_{21}(q)M_{11}^{-1}(q)c_{12}(q,\dot{q}) \\ \overline{G}_{2}(q) &= G_{2}(q) - M_{21}(q)M_{11}^{-1}(q)G_{1}(q) \\ \overline{H} &= M_{21}(q)M_{11}^{-1}(q) \end{split}$$

There are two general types of control methods utilized to control overhead cranes: open-loop control

and closed-loop control. Open-loop control is divided into two general methods, optimal trajectory planning and command shaping. [25, 26] used optimal trajectory planning to control 2D crane system. [27] employed genetic-algorithms-based optimal trajectory planning while [28] used sliding-mode anti-swing trajectory control and [29] utilized linear programing for motion planning of a 2D crane system. Trajectory planning is offline and requires a prior knowledge of the desired trajectory and initial conditions of the system. The other open loop control technique is input shaping or command shaping. Command shaping is an online technique unlike trajectory planning. In [30, 31], linear input shaping is used to control a crane while [32] used nonlinear input shaping. This technique can also be combined with other techniques, e.g., particle-swarm-based input shaping is used to control nonlinear 3D overhead crane [33]. Input shaping has the advantage of dramatically reducing payload oscillations induced by crane motion. However, because input shapers are located at the feed-forward channel, a special design is needed to compensate for any error in the model. Table 2 illustrates some relevant references for open-loop crane control.

Table 2: Open-Loop Control of Overhead System

Open-loop Method	References
Trajectory planning	[25, 26, 27, 29]
Command Shaping	[1, 30, 31, 32, 33]

The other type of control strategies is closed-loop control. Different closed-loop control methods are used to control overhead crane systems. Linear control uses linearized model to design the crane controller [11, 34]. Since the crane model has high nonlinearities, the linearized model is sometimes not accurate enough to provide information about position and swing angles of the load. Another disadvantage of linear control methods is that they have sensitivity to any change in the model e.g., the cable length, because they are design to control the system at a single cable length. Moreover, the presence of uncertain nonlinear factors like the wind, and moving parts frictions would also reduce the performance of linear crane control methods. Another control method is called partial feedback linearization [19, 22, 35]. The partial feedback linearization method simplifies the control problem, i.e., they are always employed in crane control as an initial simplification step [24].

Backstepping method is a method developed for designing controls for stabilizing a type of nonlinear dynamical systems with a special structure. These systems consist of subsystems in which the output from one subsystem can work as a stabilizing control for the subsequent subsystem. [36] used backstepping to control a crane with a flexible cable. The backstepping technique is widely integrated with other control methods, such as backstepping sliding mode control [37, 38], adaptive backstepping control [9]. Indeed, it employed Lyapunov function as the aim of designing to sustain the stability.

Another issue in crane control is the uncertainty of the model e.g., friction nonlinearity, external disturbances like wind, flexibility of the cables etc. [2, 9, 39, 40] used adaptation laws to estimate unknown system parameters. Then, they utilized estimated values to control the crane. A combination of adaptive techniques with sliding mode and neural networks are utilized to control uncertain overhead crane [41]. An adaptive sliding-mode is used to control 2D crane with high-speed hoisting motion [42]. On the other hand, [8, 43] used robust linear quadratic regulator (LQR) on overhead crane system to overcome uncertainties in the model. [44] utilized a real-time robust technique for crane control. [45] introduced а а gain scheduling-based robust controller scheme for a crane with fluctuating parameters. In [46], a wave-based robust control is employed to control a crane with flexible cable. Robust control methods are suitable if the model has small uncertainties. On the other hand, for a wide range of parameter variation, adaptive control has a better performance, but it is sensitive to unstructured uncertainty [24]. Table 3 shows some relevant references for adaptive crane control.

Crane Type	Cable Length	References	
2D Crane	Fixed	[2, 51]	
	Varying	[42]	
3D Crane	Fixed	[9, 39]	
	Varying	[10, 40, 41, 48]	

Table 3: Adaptive Control of Overhead Crane System

Model predictive control (MPC) is one of the advanced control methods that has been employed in the process crane control. [3, 12, 47]. The disadvantage of MPC control is that it highly depends on the model of the system and that MPC has no guaranteed stability [24].

Sliding mode control is widely used in crane systems. There are two types of sliding mode controls used in the recent studies of crane control. One type is to design a special siding mode control for cranes. The other type is to use sliding mode with another control strategy in order to improve performance of the systems for example [41, 48] used neural networksbase adaptive hierarchical sliding mode control, partial feedback and sliding mode [35], adaptive fuzzy sliding-mode [49], sliding mode and Luenberger-type observer [23], sliding-mode-control-based robust finite-time [20] and backstepping aggregated sliding-mode [37].

Intelligent control is a class of control methods that use different intelligent computing algorithms, such as particle swarm optimization (PSO), neural networks, fuzzy logic, etc. [21] used fuzzy-logic based on the crane model and the control rules of experienced crane operators to control the crane. Fuzzy-logic can be used along with other control strategies like PID [50]. while others [49, 51] used adaptive fuzzy sliding-mode control. Other intelligent algorithms are also used in crane systems, like PSO with input shaping [33, 52], PSO-based robust [8], neural networks along with adaptive sliding mode control [48]. A combination of intelligent techniques is also used for crane control, e.g., neural-based fuzzy logic sliding mode control [8] and genetic algorithm-based two-stage fuzzy control [53]. Table 4 shows main techniques for 2D crane control while Table 5 shows main techniques for 3D crane control.

Table 4:	Control of 2D	Overhead	Crane S	ystem
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Cable Length	Cable Length	References
Fixed	Adaptive	[2, 51]
	Sliding mode	[4, 51]
	Intelligent control	[4, 8, 51, 53]
Varying	Adaptive	[42]
	Sliding mode	[7, 28, 42]
	Intelligent control	[27]

Table 5: Control of 3D Overhead Crane System

Cable Length	Cable Length	References
Fixed	Adaptive	[9, 20]
	Sliding mode	[9, 20]
	Intelligent control	[14]
Varying	Adaptive	[10, 40, 41, 48]
	Sliding mode	[23, 35, 37, 38, 41, 48]
	Intelligent control	[21, 38, 41, 48, 52]

### **IV. CONCLUSIONS**

In this paper, we presented classified results pertaining to dynamic modeling and control design of three-dimensional overhead crane and double-pendulum-type systems. We focused on the developed methods for open-loop control as well as adaptive control.

## ACKNOWLEDGEMENT

This research work is supported by the deanship of scientific research (DSR) at KFUPM through distinguished professorship award research project no. **IN 161065**.

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Received on 07-12-2019

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Accepted on 26-12-2019

Published on 31-12-2019

DOI: https://doi.org/10.31875/2409-9694.2019.06.10

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