

# Dynamic Positioning using Model Predictive Control with Short-Term Wave Prediction

Henning Øveraas\*, Håkon S. Halvorsen\*, Olav Landstad\*, Vidar Smines\*\*, Tor A. Johansen\*, *Senior Member, IEEE*

## Abstract

Remotely operated vehicle (ROV) operations are today typically supported by large designated vessels. New emerging concepts aims to streamline ROV operations by utilising unmanned surface vessels of a smaller size. Reduction in size may result in first-order wave induced motion being more significant. This motivates the use of dynamic positioning control using thrusters to actively compensate for first-order wave-driven horizontal-plane motion in order to maximise operability. This paper proposes a controller for dynamic positioning based on model predictive control and short-term wave motion prediction intended to actively compensate for first-order waves. By considering the full dynamic sea environment, the controller is able to dampen out some of the oscillatory motion caused by first-order waves. The controller is able reduce the average deviation from the set-point with up to 65% for a variety of sea conditions. The maximum distance error to the reference point is reduced by up to 65% depending on sea state. The dynamics of the thrusters is a limiting factor when counteracting first-order waves and fast thrusters are therefore crucial in achieving best possible positioning. The cost of the wave-compensated positioning is a more dynamic consumption of power.

## Index Terms

Marine operations, model predictive control, hydrodynamic modelling, wave prediction, dynamic positioning.

\*Center for Autonomous Marine Operations and Systems, Department of Engineering Cybernetics, Norwegian University of Science and Technology, Trondheim, Norway.

\*\*Kongsberg Maritime, Ålesund, Norway.

Manuscript received November 26, 2023; revised —

## I. INTRODUCTION

Dynamic positioning (DP) is defined as a vessel's capability to automatically maintain its position and heading exclusively by the means of its thrusters [1], [2]. DP systems on conventional vessels are designed to compensate primarily for the slowly time-varying forces due to wind, ocean current and second-order wave drift. They employ wave frequency filtering of the position and velocity measurements so that the DP feedback control does not compensate for first-order wave motions, [3], [4]. The main reasons for this is that it may not be necessary for many operations and that many thrusters do not have a sufficiently fast dynamical response. It would also increase fuel consumption, and fast power load variations cause excessive wear of the machinery system and the thrusters themselves.

Conventional DP control algorithms are commonly implemented as two modules. First there is a high-level control algorithm which determines the generalised force required to control position and heading. This control design problem has weak nonlinearities and the axes are decoupled, so three PID controllers is a state-of-the-art solution, [2]. The second module is a thrust allocation algorithm, where this generalised force vector is transformed into force commands to each individual thruster. The thruster dynamics are usually not explicitly considered in the high-level motion control algorithm. Effects such as saturation, asymmetric propellers and rate limitations are therefore not explicitly accounted for when the controller determines the required generalised force. If the thrusters cannot instantly produce the required force on the vessel, the controller will behave sub-optimally. Most commonly thrust allocation is done by solving an optimisation problem, [5]. Optimisation-based thrust allocation algorithms can incorporate physical and operational constraints, ie. saturation, rate limitations and forbidden sectors, in the optimisation problem. This can be handled sub-optimally using thrust allocation and power management functionality that can mitigate fast load variations and prevent blackout using thrust limitation, reduction, biasing and modulation, [6], [7], [8].

A more recent development in the field of dynamic positioning is the use of model predictive control (MPC), which relies on solving an optimal control problem using online numerical optimization. An early application of MPC for dynamic positioning was presented in [9], where a MPC was used for dynamic positioning of a semi-submersible platform in calm conditions. In [10] a tube-based MPC controller was implemented and tested with varying disturbances. In [11] the high level control and thrust allocation was integrated into a single MPC that was shown

53 to achieve improved performance in highly dynamic conditions where the thruster dynamics  
54 and constraints makes the integrated approach favourable. This results in the constraints being  
55 included in the motion control problem and the control force can therefore be made optimal  
56 with respect to the constraints.

57 Our research is motivated by emerging smaller vessel concepts. One example is offshore  
58 service vessels for inspection, maintenance and repair (IMR). Such vessels typically support  
59 remotely operated vehicle (ROV) operations where the surface vessel's DP capabilities are crucial  
60 in order to maintain the vessel in close proximity to the ROV. Some new vessel concepts are  
61 designed to be unmanned and much smaller in size than conventional IMR vessels. Then the  
62 first order wave-driven oscillatory motion may be large. This motivates the use of DP control  
63 to actively compensate also for first order wave driven horizontal motions in order to increase  
64 operability during certain operations such as launch and recovery of the ROV through the wave  
65 zone. Such operations take short periods of time such that wear on thrusters and machinery is  
66 not a concern. This paper's objective is to study DP systems that can compensate for first-order  
67 wave-driven horizontal vessel motions.

68 This is a problem that has not received much attention in the literature. The principal approach  
69 that has been proposed in the literature to reduce rapidly varying environmental forces is the  
70 use of acceleration feedback [12], [13]. The idea is that conventional DP based on position and  
71 velocity feedback will experience a delay in its response, since it takes some time before a  
72 force imbalance leads to a position or velocity error that the feedback controller compensates  
73 for. Acceleration feedback provides a more direct measurement of the force imbalance and  
74 can detect the effects of wave forces immediately. Acceleration feedback may be effective, but  
75 is limited by thruster dynamics that will lead to a lag in the acceleration feedback that may  
76 significantly deteriorate the performance. However, the mentioned controllers are not designed  
77 to explicitly account for limitations due to thruster dynamics, saturation, and limited availability  
78 of electrical power to the thrusters from diesel-electric power systems. Moreover, they do not  
79 exploit feed-forward control from wave disturbance predictions.

80 Wave prediction methods can be separated into two categories. Model-based methods, such  
81 as SWAN [14], makes models that mimic the physical world and makes predictions based on  
82 these models. Machine learning methods, [15], [16], aims to find patterns in data to fit a model  
83 and are shown to provide more accurate predictions on horizons shorter than 5 hours [17]. Wave  
84 predictions over time horizons as long as hours aims to predict the statistical characteristics

85 of waves, such as wave height and the wave period. While this is sufficient to describe the  
 86 general behaviour of the waves, it does not give an accurate prediction of individual waves.  
 87 The phase angle of the waves are often considered to be randomly distributed as the effect of  
 88 varying phase will cancel out over large time horizons. To accurately predict individual waves for  
 89 wave-compensating control, a much shorter time scale is needed. An accurate short-term wave  
 90 prediction with a horizon of less than 20 seconds can be achieved by using an auto-regressive  
 91 model trained on a separate data set [18]. Another approach is to use a model consisting of a  
 92 fixed number of harmonic component and use a predefined set of frequencies [19]. That way  
 93 the amplitudes and phases can be determined by a linear least-squares problem. This eliminates  
 94 the need of a separate data-set as the model parameters can be determined online.

95 In this paper we propose an integrated dynamic positioning control design that is intended  
 96 to compensate actively for first-order wave-induced motions. The novel idea is to predict the  
 97 wave-induced motion for a short period of time based on a novel adaptive estimator for the  
 98 wave-induced motions driven by measurements of vessel velocity. These real-time predictions  
 99 are used in an MPC to predict the short-term wave-induced motion disturbances, and optimally  
 100 compensate for them by considering dynamic models and limitations in the thruster system.

101 This paper is organised as follows: In section II the mathematical model used for prediction  
 102 in the controller is presented. Section III presents the prediction algorithm used to predict the  
 103 wave-induced motion on the vessel before the MPC problem formulation is presented in Section  
 104 IV. The proposed controller is tested in simulations and the results are presented in Section V.

## 105 II. VESSELS MODELLING

106 This section presents the model used in the controller for predicting the future behaviour of  
 107 the system. It is based on a horizontal-plane model from [2].

### 108 A. Kinematics

109 The vessel considered here is assumed to operate at a limited geographical area. The vessel  
 110 position can then be described relative to a North-East-Down (NED) reference frame fixed  
 111 to the ocean surface with its x-axis pointing North, y-axis pointing East and z-axis pointing  
 112 downwards. The origin of the reference frame is the DP setpoint. The vessel position and heading  
 113 in the reference frame is given by  $\eta = [x, y, \psi]^T \in \mathbb{R}^3$ , where  $x$  is the North-position,  $y$  is  
 114 the East-position and  $\psi$  is the heading of the vessel relative to North in the horizontal plane.

115 The velocity of the vessel is described relative to a separate body-fixed reference frame. This  
 116 reference frame has its origin at the centre of the ship. The x-axis is pointing towards the bow  
 117 of the ship, the y-axis is pointing directly towards starboard and the z-axis is pointing directly  
 118 downwards. The generalised velocity of the vessel in the body-fixed reference frame is given  
 119 by  $\nu = [u, v, r]^T \in \mathbb{R}^3$ , where  $u$  is the velocity along the x-axis,  $v$  is the velocity along the  
 120 y-axis and  $r$  is the angular velocity around the z-axis. The relationship between the velocity in  
 121 the body-fixed reference frame and the NED reference frame is given by

$$\dot{\eta} = \begin{bmatrix} \cos(\psi) & -\sin(\psi) & 0 \\ \sin(\psi) & \cos(\psi) & 0 \\ 0 & 0 & 1 \end{bmatrix} \nu \quad (1)$$

122 or on vector form

$$\dot{\eta} = \mathbf{R}(\psi)\nu. \quad (2)$$

### 123 *B. Vessel Dynamics*

124 The forces and torques (called generalised forces taken together) from several physical sources  
 125 act on the vessel. Most notably are environmental forces and hydrodynamic forces. Assuming  
 126 constant and irrotational ocean currents, the generalised velocities in 6 degree of freedom, here  
 127 denoted  $\nu^*$  as a result of a sum of external forces can be written

$$(\mathbf{M}_{RB} + \mathbf{M}_A(\infty))\dot{\nu}_r^* + (\mathbf{C}_{RB}(\nu_r^*) + \mathbf{C}_A(\nu_r^*))\nu_r^* + (\mathbf{B}(\infty) + \mathbf{B}_V(\infty))\nu_r^* + \mu_r^* + \mathbf{G}\eta^* = \tau_{wind} + \tau_{wave} + \tau \quad (3)$$

128 where  $\mathbf{M}_{RB} \in \mathbb{R}^{6 \times 6}$  is the rigid body inertia matrix,  $\mathbf{M}_\infty \in \mathbb{R}^{6 \times 6}$  is the added mass matrix at  
 129 infinite frequency,  $\mathbf{C}_{RB}(\nu_r^*) \in \mathbb{R}^{6 \times 6}$  and  $\mathbf{C}_A(\nu_r^*) \in \mathbb{R}^{6 \times 6}$  are the Coriolis and centripetal force  
 130 matrix due to inertia and added mass,  $\mathbf{B}(\infty) \in \mathbb{R}^{6 \times 6}$  and  $\mathbf{B}_V(\infty) \in \mathbb{R}^{6 \times 6}$  are the potential and  
 131 viscous damping matrix at infinite frequency,  $\mu_r^* \in \mathbb{R}^6$  is the fluid memory effects represented  
 132 with a set of impulse functions,  $\mathbf{G} \in \mathbb{R}^{6 \times 6}$  is the restoring force matrix and  $\tau \in \mathbb{R}^6$  are the wind,  
 133 waves and control forces. This model is a nonlinear time-domain model incorporating frequency  
 134 dependent hydrodynamic forces [2].

135 For the controller model we want to simplify the full 6 degree of freedom model shown in  
 136 Equation (3). A vessel operating in DP is assumed to have a low velocity and low rate of change  
 137 in yaw, therefore the Coriolis and centripetal effects can be neglected [20]. When reducing the  
 138 model to the 3 degrees of freedom surge, sway and yaw, the restoring forces will disappear.

139 Finally we apply the assumption that when applying the feedback control system to stabilize  
 140 the motions in surge, sway and yaw the natural frequencies will be close to zero [2]. We can  
 141 therefore replace the frequency dependent added mass and damping matrices  $\mathbf{M}_A(\omega)$ ,  $\mathbf{B}(\omega)$  and  
 142  $\mathbf{B}_V(\omega)$  with the constant matrices  $\mathbf{M}_A(0)$ ,  $\mathbf{B}(0)$  and  $\mathbf{B}_V(0)$ . This will remove the fluid memory  
 143 effects,  $\mu_r$  and we are left with the linear model

$$\mathbf{M}\dot{\nu}_r + \mathbf{D}\nu_r = \tau_{wind} + \tau_{wave} + \tau, \quad (4)$$

144 where  $\mathbf{M} = \mathbf{M}_{RB} + \mathbf{M}_A(0)$  and  $\mathbf{D} = \mathbf{B}(0) + \mathbf{B}_V(0)$

### 145 C. Thruster Modelling

146 An azimuth thruster located at  $r_i = [l_{xi}, l_{yi}, l_{zi}]^T$  in the body-fixed reference frame generating  
 147 a specific force  $f_i$  in the direction  $\alpha_i$  will produce a generalized force according to

$$\tau = \begin{bmatrix} \cos \alpha_i \\ \sin \alpha_i \\ l_{xi} \sin \alpha_i - l_{yi} \cos \alpha_i \end{bmatrix} T_i. \quad (5)$$

148 The number of thrusters is  $N_{th}$  such that the total generalised force  $\tau = \sum_{i=1}^{N_{th}}$  acting on the  
 149 vessel is given by

$$\tau = \mathbf{B}(\alpha)\mathbf{T} \quad (6)$$

150 where  $\mathbf{B}(\alpha) \in \mathbb{R}^{3 \times N_{th}}$  is the thruster configuration matrix and  $\mathbf{T} = [T_1, \dots, T_{N_{th}}]^T \in \mathbb{R}^{N_{th}}$  is the  
 151 thrust produced by each individual thruster.

152 A thruster can be modelled as an electrical motor driving a shaft with a propeller. The angular  
 153 acceleration of the shaft  $\dot{\omega}_m$  is determined by the sum of torques acting on it. Assuming the  
 154 shaft is rigid, this gives

$$I_{RB}\dot{\omega}_m = Q_m - Q_L. \quad (7)$$

155 where  $I_{RB} \in \mathbb{R}$  is the inertia of the shaft,  $Q_m \in \mathbb{R}$  is the torque from the electrical motor and  
 156  $Q_L \in \mathbb{R}$  is the load torque.

157 An object submerged in water will experience an additional force or torque due to the re-  
 158 quirement of accelerating the surrounding water when it moves. For the rotating shaft considered  
 159 here this will result in an additional torque proportional to the angular acceleration, called  
 160 *hydrodynamic added inertia* leading to a total inertia  $I$ .

161 The friction torque can be modelled as a combination of Coulomb friction and linear viscous  
 162 friction. The Coulomb friction is a constant torque for all angular velocities, while the linear  
 163 viscous friction torque increases linearly with angular velocity. The total friction torque can be  
 164 written

$$Q_f = k_1 \text{sign}(\omega_m) + k_2 \omega_m \quad (8)$$

165 where  $k_1$  and  $k_2$  are friction coefficients. The function  $\text{sign}(\omega_m)$  is not continuous at  $\omega_m = 0$ . To  
 166 get a continuous model suited for gradient-based optimization,  $\text{sign}(\omega_m)$  can be approximated  
 167 by a continuous function

$$\text{sign}(\omega_m) \approx \frac{2}{\pi} \arctan\left(\frac{\omega_m}{\epsilon}\right) \quad (9)$$

168 where  $\epsilon \in \mathbb{R}$  is a small positive number.

169 The torque exerted on the shaft by the propeller is highly nonlinear, and depends on factors  
 170 such as propeller shape, relative velocity of the water passing by the propeller and pressure  
 171 differences in the wake created by the hull. To simplify this dynamic relationship the open  
 172 water characteristics of the propeller can be used to find an expression for the torque and  
 173 thrust produced by the propeller. When using open water characteristics, interactions between  
 174 the propeller and the hull are neglected. The open water characteristics of the propeller can be  
 175 expressed as the thrust and torque coefficients [21]

$$K_T = T \frac{4\pi^2}{\rho \omega_m |\omega_m| D^4} \quad (10)$$

$$K_Q = Q \frac{4\pi^2}{\rho \omega_m |\omega_m| D^5} \quad (11)$$

176 where  $T$  is the thrust,  $\rho$  is the water density,  $D$  is the diameter of the propeller and  $Q$  is the  
 177 torque of the propeller.

178 The propeller is assumed to be asymmetric. An asymmetric propeller is less effective when  
 179 operating in reverse, thus it will have different thrust and torque coefficients in each direction.

180 The torque of the propeller can be written

$$Q_p = G_p \omega_m |\omega_m| \quad (12)$$

181 where

$$G_p = \begin{cases} K_{Q0} \frac{\rho D^5}{4\pi^2} & \omega_m \geq 0 \\ K_{Qr} \frac{\rho D^5}{4\pi^2} & \omega_m < 0 \end{cases} \quad (13)$$

182 The coefficients  $K_{Q_0}$  and  $K_{Q_r}$  are the torque coefficients for the forward direction and reverse  
183 direction respectively.

184 The thrust coefficient can be used to find an expression for the thrust generated by each  
185 thruster as a function of the angular velocity. This gives

$$T = K_p \omega_m |\omega_m| \quad (14)$$

186 where

$$K_p = \begin{cases} K_{T0} \frac{\rho D^4}{4\pi^2} & \omega_m \geq 0 \\ K_{Tr} \frac{\rho D^4}{4\pi^2} & \omega_m < 0 \end{cases} \quad (15)$$

187 Here  $K_{T0}$  and  $K_{Tr}$  are the thrust coefficients for the forward direction and reverse direction  
188 respectively.

189 The resulting thruster model is given by

$$I\dot{\omega}_m = Q_m - G_p \omega_m |\omega_m| - k_1 \frac{2}{\pi} \arctan\left(\frac{\omega_m}{\epsilon}\right) - k_2 \omega_m. \quad (16)$$

190 For a vessel with  $N_{th}$  thrusters, the thruster dynamics can be written om matrix form

$$\mathbf{I}\dot{\omega}_m = \mathbf{Q} - \mathbf{Q}_p - \mathbf{Q}_f \quad (17)$$

191 where  $\omega_m$  is a vector with the thruster angular velocities,  $\mathbf{I} = \text{diag}(I_1, I_2, \dots, I_{N_{th}})$  is total  
192 inertia,  $\mathbf{Q} = [Q_1, Q_2, \dots, Q_{N_{th}}]^T$  is the torque exerted on the shaft by the electrical motor,  
193  $\mathbf{Q}_p = [Q_{p1}, Q_{p2}, \dots, Q_{pN_{th}}]^T$  is the propeller torque and  $\mathbf{Q}_f = [Q_{f1}, Q_{f2}, \dots, Q_{fN_{th}}]^T$  is the  
194 friction torque. The thrust produced by the  $N_{th}$  thrusters is

$$\mathbf{T} = \mathbf{H}(\omega_m) \quad (18)$$

195 where  $\mathbf{H}(\omega_m) = [K_{p1}\omega_{m1}|\omega_{m1}|, \dots, K_{pN_{th}}\omega_{mN_{th}}|\omega_{mN_{th}}|]^T$ .

### 196 III. ENVIRONMENTAL FORCES AND SHORT-TERM WAVE MOTION PREDICTION

197 For the controller to be able to predict future disturbances due to environmental forces, a  
198 separate wave motion prediction algorithm is necessary. By using linear wave theory, a model  
199 of the wave-induced velocity due to regular waves can be derived. An advantage of linear wave  
200 theory is that a description of an irregular sea can be obtained by superimposing a number  
201 of regular waves, thus extending the model to account for irregular waves is straight-forward.  
202 Waves can be considered to consist of a high-frequency oscillating part and a slowly varying part  
203 (first- and second-order waves, respectively). The wave model presented here will be capable of



204 predicting both high-frequency oscillating wave forces and slowly varying wave forces. Forces  
 205 due to ocean currents and winds will be considered to be slowly varying forces too, such that  
 206 they can be lumped together with second-order wave forces in the model.

207 The model parameters can be estimated by minimising the squared error of the wave model  
 208 predictions and a set of measurements, as shown in Section III-E. This can be done online,  
 209 making the prediction adaptive to changes in the sea environment. This is contrary to most wave  
 210 prediction algorithms, which estimates the model parameters offline. The approach presented  
 211 here is chosen for its generality. It requires few parameters to be set and offers good flexibility.  
 212 The only requirement is knowledge about the vessel model and measurements of its velocity.  
 213 The algorithm is able to achieve sufficiently accurate predictions of induced forces due to  
 214 environmental conditions for 10 to 15 seconds [22].

#### 215 A. Wave Model

216 In linear wave theory an irregular wave can be approximated as a sum of regular waves with  
 217 different frequencies, phase and amplitudes [23]. The wave height of a short-crested wave is  
 218 given by

$$\zeta(t) = \sum_{i=1}^{N_h} \sum_{m=1}^M A(\omega_i, \theta_m) \sin(\omega_i t - k_i x \cos \theta_m - k_i y \sin \theta_m + \epsilon_i) \quad (19)$$

219 where  $N_h$  is the number regular wave components,  $M$  is the number of directions,  $A(\omega, \theta)$  is  
 220 the amplitude as a function of the wave frequency and wave direction,  $\omega$  is the wave frequency,  
 221  $k$  is the wave number,  $(x, y)$  denotes the position in the horizontal plane,  $\theta$  is the wave direction  
 222 and  $\epsilon$  is a random phase angle. If we assume the wave height is considered only at a fixed  
 223 geographical location, that is  $(x, y)$  is constant, the wave height simplifies to

$$\zeta(t) = \sum_{i=1}^{N_h} A_i \sin(\omega_i t + \epsilon_i). \quad (20)$$

224 This makes the model only valid for applications with constant or slowly varying position. High  
 225 frequency components tend to become insignificant [24], thus realistic waves can be represented  
 226 with a relatively small  $N_h$ .

227 The wave height model presented in Equation (20) assume the waves can be modelled  
 228 as a stationary random process. This means that for each frequency in Equation (20), the  
 229 corresponding amplitude and phase will be constant. This is a good assumption over a short

230 period of time, but in reality the model parameters will be varying with time due to nonlinear  
 231 wave interactions, tides and weather changes.

### 232 *B. Wave induced motion model*

233 With a linear description of the waves, both the velocity and acceleration of the waves are  
 234 linearly proportional to the height of the wave  $\zeta(t)$ . This also implies that the forces acting on  
 235 the vessel by the waves are linearly proportional to the wave height. Since the vessel dynamics  
 236 are linear there is a linear relationship between the velocity of the vessel and the forces acting  
 237 on it. Assuming for the moment that the wave-induced forces are the only forces acting on the  
 238 vessel, the wave-induced velocity can be written

$$\nu_w(t) = \sum_{i=1}^{N_h} \mathbf{A}_i |\mathbf{G}(j\omega_i)| \sin(\omega_i t + \angle \mathbf{G}(j\omega_i) + \epsilon_i) \quad (21)$$

239 where  $\nu_w \in \mathbb{R}^3$  is the component of the 3 DOF generalised velocity of the vessel that is the  
 240 result of the waves,  $\mathbf{G} \in \mathbb{R}^3$  is a vector of transfer functions relating the wave height to the  
 241 induced velocity and  $\mathbf{A}_i \in \mathbb{R}^3$ ,  $\omega_i \in \mathbb{R}^3$  and  $\epsilon_i \in \mathbb{R}^3$  are the model parameters. The parameters  
 242 of the model can be found by fitting it to data of the velocity, which is assumed to be measured  
 243 at all times. The velocity model is a smooth function and by taking the time derivative, a model  
 244 for acceleration can be found to be

$$\dot{\nu}_w(t) = \sum_{i=1}^{N_h} \mathbf{A}_i \omega_i |\mathbf{G}(j\omega_i)| \cos(\omega_i t + \angle \mathbf{G}(j\omega_i) + \epsilon_i). \quad (22)$$

245 The wave-induced force in surge, sway and yaw can then be obtained by using the vessel  
 246 dynamics

$$\tau_{wave}(t) = \mathbf{M}\dot{\nu}_w(t) + \mathbf{D}\nu_w(t), \quad (23)$$

247 where  $\mathbf{M}$  and  $\mathbf{D}$  are given in Equation (4).

### 248 *C. Ocean Current, Wind and Second-Order Wave Forces*

249 Forces due to steady-state ocean currents, wind and second-order wave-induced forces are not  
 250 included in the model above. For a short period of time we can assume the wind, second-order  
 251 waves and ocean current velocities are constant. The constant environmental velocities can then  
 252 be assumed to give a constant shift in velocities. Augmenting the model to account for this gives

$$\nu_{env}(t) = \mathbf{C} + \sum_{i=1}^{N_h} \mathbf{A}'_i \sin(\omega_i t + \phi_i) \quad (24)$$

253 where  $\mathbf{C} \in \mathbb{R}^3$  is a vector of constants. We have collected all constant terms such that for  
 254 a given frequency  $\omega_i$  we have  $\mathbf{A}'_i = \mathbf{A}_i |\mathbf{G}(j\omega_i)|$  and  $\phi_i = \angle \mathbf{G}(j\omega_i) + \epsilon_i$  that describes the  
 255 vessel's wave-induced motion. Note that  $\nu_{env}(t)$  now models the induced velocity due to all  
 256 environmental forces, not only waves. Equation (23) can then be generalized to

$$\tau_{env}(t) = \mathbf{M}\dot{\nu}_{env}(t) + \mathbf{D}\nu_{env}(t). \quad (25)$$

257 Wind forces might have components that are faster due to wind gusts and turbulence. These  
 258 forces might also be compensated for by the DP just as first order wave forces, and from a  
 259 practical point of view we can consider these dynamic wind effects within the same mathematical  
 260 framework and consider them part of  $\tau_{env}$  and  $\nu_{env}$ .

#### 261 *D. Wave Force Prediction Algorithm*

262 A prediction algorithm can now be made on the basis of the model derived above. Discretizing  
 263 the general model of induced velocity given in Equation (24) gives

$$\nu_{env,k} = \mathbf{C} + \sum_{i=1}^{N_h} \mathbf{A}'_i \sin(\omega_i \Delta T_{wf} k + \phi_i) \quad (26)$$

264 where  $\Delta T$  is the sampling interval and  $k$  is an integer representing the current time instance  
 265 such that  $t = \Delta T k$ . The model parameters are estimated with respect to a finite set of previous  
 266 measurements of the generalised velocity  $\nu(t)$ . Given the measurement  $\mathbf{y}_m = (u_m, v_m, r_m) \in \mathbb{R}^3$   
 267 of  $\nu(t)$  and a backwards estimation window of  $N_b$  samples, the data used to estimate the model  
 268 parameters are contained within the set

$$\Omega = \{\mathbf{y}_m \in \mathbb{R}^3 \mid m \in \mathbb{Z}, k - N_b \leq m < k\} \quad (27)$$

269 The time window of velocity measurements within  $\Omega$  is then  $T_b = N_b \Delta T$ . We let the model of  
 270 the velocity with parameters estimate with respect to the measurements in  $\Omega$  be denoted  $\hat{\nu}_{env,k}$ .  
 271 Furthermore, a prediction  $l$  steps into the future from time instance  $k$  based on the estimated  
 272 model  $\hat{\nu}_{env,k}$  can be denoted  $\hat{\nu}_{env,k+l|k}$ . This gives the following prediction algorithm

$$\hat{\nu}_{env,k+l|k} = \mathbf{C} + \sum_{i=1}^{N_h} \mathbf{A}'_i \sin(\omega_i \Delta T(k+l) + \phi_i). \quad (28)$$

273 The corresponding prediction of acceleration is given by

$$\hat{\nu}_{env,k+l|k} = \sum_{i=1}^{N_h} \mathbf{A}'_i \omega_i \cos(\omega_i \Delta T(k+l) + \phi_i). \quad (29)$$

274 With a prediction of both the velocity and acceleration, the induced forces due to environmental  
 275 disturbances in the horizontal plane can be predicted with

$$\hat{\tau}_{env,k+l|k} = \mathbf{M}\hat{\nu}_{env,k+l|k} + \mathbf{D}\hat{\nu}_{env,k+l|k}. \quad (30)$$

### 276 E. Estimation of Model Parameters

277 The model parameters can be found by minimising the least-squares criteria between the  
 278 model and the measurements in  $\Omega$ . Since the vessel model is decoupled in surge, sway and  
 279 yaw, a separate, but identical, optimisation problem can be solved for each degree of freedom.  
 280 Only the surge velocity will be considered here. The model for the induced velocity due to  
 281 environmental forces in surge is

$$\hat{u}_{env,k} = C + \sum_{i=1}^{N_h} A'_i \sin(\omega_i \Delta T k + \phi_i). \quad (31)$$

282 Minimising the sum of the squared error gives the following moving-window optimisation  
 283 problem

$$\underset{\Theta}{\text{minimise}} \quad \frac{1}{2} \sum_{m=k-N_b}^{k-1} (\hat{u}_{env,m}(\Theta) - u_m)^2 \quad (32)$$

284 where  $\Theta = [C, A'_1, \dots, A'_{N_h}, \omega_1, \dots, \omega_{N_h}, \phi_1, \dots, \phi_{N_h}]^T \in \mathbb{R}^{3 \times N_h + 1}$  is a vector of the model param-  
 285 eters to be estimated and  $u_m$  is the measurement of the surge velocity. The velocity model (31)  
 286 is nonlinear in both phase and frequency, which makes the optimisation problem nonlinear.

287 The optimisation problem can be solved as it is stated now, but the rate of convergence can be  
 288 improved by introducing constraints. The constraints can be determined on the basis of physical  
 289 properties of the wave, ie. unrealistically high amplitudes can be excluded:

$$0 \leq A_i \leq A_{max}, \quad i \in [1, N_h] \quad (33)$$

$$-\pi \leq \phi_i \leq \pi, \quad i \in [1, N_h] \quad (34)$$

$$\omega_{min} \leq \omega_i \leq \omega_{max}, \quad i \in [1, N_h] \quad (35)$$

290 The optimization problem is in this paper solved at each sampling instant using a nonlinear  
 291 least-squares numerical optimization algorithm, but we note that it can alternatively be solved  
 292 asymptotically with lower computational complexity using a recursive nonlinear least-squares  
 293 algorithm, [25].

## 294 *F. Dependency Between Wave Prediction and Thrusters*

295 When deriving the model of induced velocity due to environmental forces, it was assumed  
 296 that the only forces acting on the vessel was the environmental forces. This assumption does not  
 297 hold true in DP, as the thrusters will act on the vessel with a force  $\tau$ . To relax the assumption of  
 298 no thruster forces, the effect of the thrusters on the vessel must be removed from the prediction  
 299 algorithm.

300 The vessel model is linear under the assumption of low velocity, thus using the principle of  
 301 superposition the velocity of the ship can be split into two components: the velocity induced  
 302 by the thrusters and the velocity induced by the environmental forces wind, waves and ocean  
 303 current. As shown in the previous section the vessel velocity is modelled

$$\mathbf{M}\dot{\nu} + \mathbf{D}\nu = \tau + \tau_{env} \quad (36)$$

304 The total velocity  $\nu$  can be separated into the two components  $\nu = \nu_t + \nu_{env}$  where  $\nu_t$  is the  
 305 velocity of the vessel due to thruster-induced forces and  $\nu_{env}$  is the velocity due to environmental  
 306 forces acting on the vessel. This gives

$$\mathbf{M}\dot{\nu}_t + \mathbf{D}\nu_t = \tau \quad (37a)$$

$$\mathbf{M}\dot{\nu}_{env} + \mathbf{D}\nu_{env} = \tau_{env}. \quad (37b)$$

307 The generalised force  $\tau$  is modelled with the thrust allocation matrix given in Equation (6) and  
 308 the thruster model given in Equation (17) and (18). The generalised forces  $\tau$  due to the thrusters  
 309 can therefore be considered known at all times. The thruster-induced velocity  $\nu_t$  can then be  
 310 found by solving the differential equation (37a). As  $\nu$  is measured by the sensors of the vessel,  
 311  $\nu_{env}$  is given by

$$\nu_{env} = \nu - \nu_t \quad (38)$$

312 This isolates the velocity component due to environmental forces and the model parameters can  
 313 be estimated based on this velocity. This will cancel out the effect of the thrusters when the  
 314 model parameters are estimated.

#### IV. MPC FORMULATION

315

316 The continuous-time MPC problem formulation is presented here.

$$J^* = \min_{Q, \dot{\alpha}} \int_0^T \|\eta - \eta_{ref}\|_{Q_\eta}^2 + \|\nu\|_{Q_\nu}^2 + \|Q\|_{R_Q}^2 + \|\dot{\alpha}\|_{R_{\dot{\alpha}}}^2 dt \quad (39a)$$

$$\text{s.t.} \quad \text{Initial conditions on } \eta, \nu, \omega_m, \alpha, Q \quad (39b)$$

$$\dot{\eta} = \mathbf{R}(\psi)\nu \quad (39c)$$

$$\mathbf{M}\dot{\nu} + \mathbf{D}\nu = \tau + \tau_{env} \quad (39d)$$

$$\mathbf{I}\dot{\omega}_m = \mathbf{Q} - \mathbf{Q}_p - \mathbf{Q}_f \quad (39e)$$

$$\tau = \mathbf{B}(\alpha)\mathbf{T} \quad (39f)$$

$$\mathbf{T} = \mathbf{H}(\omega_m) \quad (39g)$$

$$Q_{min} \leq Q_i \leq Q_{max}, \quad i \in \{1, N_{th}\} \quad (39h)$$

$$\alpha_{min} \leq \alpha_i \leq \alpha_{max}, \quad i \in \{1, N_{th}\} \quad (39i)$$

$$\left| \dot{Q}_i \right| \leq \dot{Q}_{max}, \quad i \in \{1, N_{th}\} \quad (39j)$$

$$|\dot{\alpha}_i| \leq \dot{\alpha}_{max}, \quad i \in \{1, N_{th}\} \quad (39k)$$

317 where  $\eta_{ref}$  is the DP's reference point for position and heading.

318 The objective function (39a) consists of quadratic penalty terms on deviations in position,  
 319 velocity and the use of the control variables. Minimising the position error will control the vessel  
 320 towards the setpoint while minimising the velocity error will give a damping effect. Penalising  
 321 the control variables will avoid unnecessary use of the thrusters. Non-quadratic penalty terms  
 322 for minimising the power consumption can be added, but this is not considered here.

323 The constraints in (39b) represents the initial conditions given by the current state and control  
 324 variables.

325 The control variables control the torque of each thruster. For generality, it is assumed that  
 326 azimuth thrusters are used, so direction of the thruster in the horizontal plane may also be  
 327 controlled. The thrusters will have physical limitations and not all possible control trajectories  
 328 are feasible for the dynamic system. The thruster can be limited to rotate in a given sector. This  
 329 can be of both physical and operational considerations. A constraint on the angle of rotation  
 330 is included in (39i). If the thruster is not rotating, ie. a tunnel thruster, the direction will be

331 fixed. The rate at which a rotating thruster can rotate about its own axis will be limited, thus a  
 332 constraint on the rate of change of the thruster direction is necessary. This is included in (39k).

333 The thrusters will also be limited by how much torque can be produced by the electrical  
 334 motor. This will limit the angular velocity of the propeller and thereby the thrust produced.  
 335 This limitation is included in constraint (39h). Thrusters are typically not symmetric, that is  
 336 they are less effective when operating in reverse. This is included in the thruster model in  
 337 the controller and therefore accounted for. An asymmetric propeller results in different torque  
 338 limitations depending on the direction of the propeller. This must be reflected in constraint (39h).

339 The thrusters are often limited in how fast the torque can increase. A fast increase in torque  
 340 will result in a large variation in the power demand, potentially resulting in a blackout. Rate  
 341 limitations on the thruster torque are included to prevent this. This is included in constraint (39j).

342 The constraints (39c) and (39d) are the kinematics and dynamics of the vessel. The constraint  
 343 (39e) represents the dynamics of  $N_{th}$  thrusters. The thrust configuration matrix in (39f) shows  
 344 the relationship between the generalised force vector on the vessel and the individual thruster  
 345 forces while the constraint represented in (39g) gives the specific force of each thruster as a  
 346 function of the angular velocity of its propeller.

347 The vector  $\tau_{env}$  in (39d) contains the generalised environmental forces acting on the vessel. The  
 348 value of the environmental forces at the current time can be obtained with various sensors, but the  
 349 future value cannot be known. This is one of the major limitations with applications of predictive  
 350 control in dynamic and stochastic environments. Traditionally the environmental disturbances are  
 351 estimated at the current time and considered to be constant over the prediction horizon. Here we  
 352 will consider a more dynamic approach where a prediction of the environmental disturbances  
 353 is obtained using the prediction algorithm described in Section III.

354 The prediction algorithm is included in the controller by replacing  $\tau_{env}$  with  $\hat{\tau}_{env,k+l|k}$  where

$$\hat{\tau}_{env,k+l|k} = \mathbf{M}\hat{\dot{\nu}}_{env,k+l|k} + \mathbf{D}\hat{\nu}_{env,k+l|k} \quad (40)$$

$$\hat{\nu}_{env,k+l|k} = \mathbf{C} + \sum_{i=1}^{N_h} \mathbf{A}'_i \sin(\omega_i \Delta T_{wf}(k+l) + \phi_i) \quad (41)$$

$$\hat{\dot{\nu}}_{env,k+l|k} = \sum_{i=1}^{N_h} \mathbf{A}'_i \omega_i \cos(\omega_i \Delta T_{wf}(k+l) + \phi_i) \quad (42)$$

357 where the wave-induced motion parameters  $\Theta$  are estimated at each sampling instant as described  
 358 in Section III-E. The constant term in the model will predict constant and slowly varying

359 disturbances. This has a similar effect as integral action in a conventional PID controller. It  
360 is therefore not necessary to include dedicated states in the controller to get integral effect.

361 The continuous problem formulation given in (39) must be discretised in order to be im-  
362 plemented by a digital computer. A direct approach is used where the continuous problem is  
363 approximated by discretising it and then solved as a nonlinear optimisation problem. The fourth  
364 order Runge-Kutta numerical integration method is then used to do a forward simulation of  
365 the dynamic system, transforming the dynamics to a set of equality constraints. This approach  
366 is called direct multiple shooting, where both the state variables and the control variables are  
367 variables to be optimised. That means the controller will give out both optimal control trajectories  
368 and optimal state trajectories. Both the state trajectories and control trajectories can then be used  
369 as an initial guess of the variables in the next iteration of the controller.

## 370 V. SIMULATION RESULT

371 Simulations are run to evaluate the performance of the proposed MPC. The proposed MPC  
372 with wave prediction, referred to as MPC-WP, is compared to a MPC baseline controller without  
373 wave prediction, similar to the one presented in [11]. The vessel controlled is 24m long and  
374 has a mass of  $1.53 \times 10^5$ kg. The vessel is equipped with two azimuth thrusters, based on [26],  
375 placed along the centre line fore and aft. The thrusters are rated at 160 kW and can produce a  
376 thrust of 37 kN. The maximum azimuth turning rate is set to  $30^\circ/s$  and the thruster is limited to  
377 rotate in a sector of  $\pm 90^\circ$ . The thruster torque, which is controlled by the MPC, has a ramp-up  
378 time of 2 seconds. The simulator is implemented in Matlab/Simulink using the Marine Systems  
379 Simulator (MSS) toolbox [27]. The dynamics of the vessel are simulated using the nonlinear  
380 dynamics presented in Equation (3), where the frequency dependent added mass and damping  
381 are computed using WAMIT [28]. The controllers are implemented using CasADi with the solver  
382 IPOPT [29], [30]. The waves are generated using the JONSWAP wave spectrum with the peak-  
383 shaping parameter  $\gamma = 3.3$  and 10 directional components in all cases. The prediction horizon  
384 of the controllers are set to 15 seconds and the discretization interval is set to 0.25 seconds.  
385 When wave prediction is used, the wave model is set up with 3 harmonic components and the  
386 length of the moving window is set to 15 seconds. Initially the performance of the controllers  
387 is validated by running three different scenarios with increasingly challenging conditions. To  
388 evaluate the contribution of the wave prediction integrated in the controller over time, a Monte



389 Carlo (MC) simulation is run for three different sea states and the performance evaluated by  
 390 computing the position mean error

$$ME = \frac{1}{M} \sum_{i=1}^M (x_{pos,i} - x_{ref}), \quad (43)$$

391 the root mean square error (RMSE) of the positioning in the horizontal plane

$$RMSE = \sqrt{\frac{1}{M} \sum_{i=1}^M (x_{pos,i} - x_{ref})^2}, \quad (44)$$

392 the maximum absolute error (MAE) in the horizontal plane

$$MAE = \max \{|x_{pos,i} - x_{ref}|\}, \quad i \in [1, M], \quad (45)$$

393 and the normalized net force deviation

$$NNFD = \sqrt{\frac{\sum_{i=1}^M (\tau_{waves,i} + \tau_{control,i})^2}{\sum_{i=1}^M \tau_{waves,i}^2}}. \quad (46)$$

#### 394 A. Simulation Scenarios

395 Initially, three simulation scenarios are run in order to validate the performance of the con-  
 396 trollers. For the two first scenarios no waves are present, thus the two controllers are identical  
 397 as the wave prediction will not be active. A prediction of the constant disturbances is included  
 398 in order to provide integral action for the controllers. The purpose of these two scenarios is to  
 399 validate and illustrate the basic control performance without waves. For the third scenario, waves  
 400 are included and thus the two controllers differ. For all scenarios the thrusters are initialized in  
 401 it default position, pointing towards the stern of the vessel, and with zero angular velocity of  
 402 the propellers. The reference position and heading are set to zero. Each of the three scenarios  
 403 are described in Table I.

404 *1) First scenario:* The first simulations show the controller correcting for a starting position  
 405 away from the reference position. The vessel is successfully controlled to its reference within  
 406 about 40 seconds. A small weight is placed on the use of thrust to ensure the thrusters are turned  
 407 off as the vessel reaches the reference point. As there is no cost on the direction of the azimuth  
 408 thrusters, only on the rate of change, the thrusters will not rotate back to its default position.

Scenario	Start position	Current (Speed / Direction)	Waves (Significant wave height / Peak period / Direction)
1	$[2 \ 0 \ 20^\circ]^T$	0 m/s / $0^\circ$	0m / 0s / $0^\circ$
2	$[2 \ 0 \ 20^\circ]^T$	0.3 m/s / $15^\circ$	0m / 0s / $0^\circ$
3	$[2 \ 0 \ 20^\circ]^T$	0.3 m/s / $15^\circ$	5m / 12s / $0^\circ$

TABLE I

## SIMULATION SCENARIOS

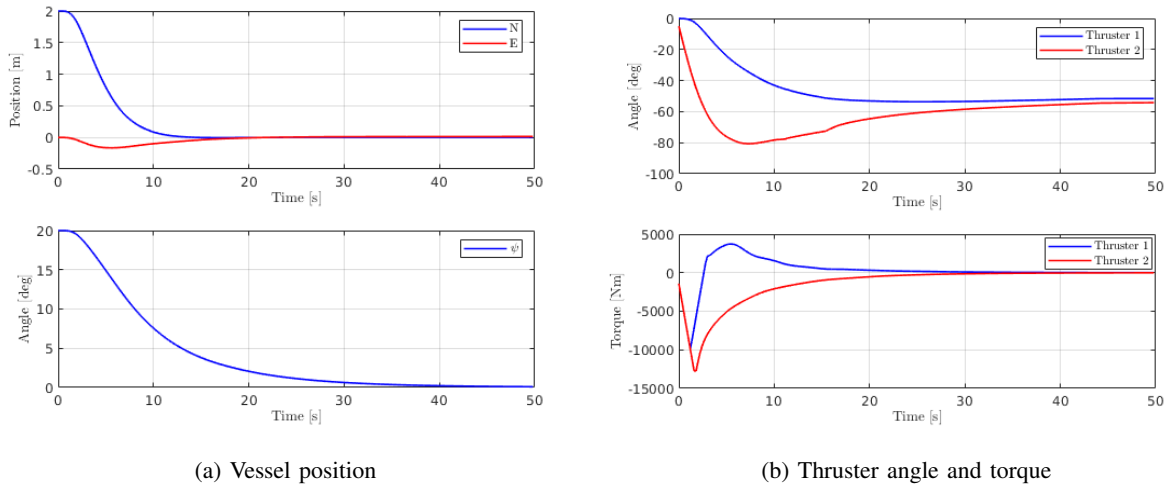


Fig. 1. Vessel position and thruster controls for the first scenario.

409 2) *Second scenario*: The second simulations show the same scenario as presented before with  
 410 the only difference of added current. The controller is successful in reaching the reference within  
 411 about 50 seconds. The current introduces a constant disturbance and the thrusters converge to  
 412 a constant angular velocity and direction in order to counteract this. The integral action in the  
 413 controllers is successful in compensating for the constant disturbance as the position converge  
 414 to its reference.

415 3) *Third scenario*: In the third scenario waves are included as well, thus the controllers will  
 416 differ. Figure 3 show the vessel position and controls for the two controllers. Both controllers  
 417 are successful in counteracting the current and maintain its mean position at the reference point,  
 418 however, they differ significantly in their ability to counteract first order waves. The MPC with  
 419 wave prediction is far better at removing wave induced oscillations in the position and heading.  
 420 Figure 4 shows the force exerted on the vessel by the waves and thrusters as well as the sum  
 421 of these two forces for both controllers. Initially they perform identically as the wave prediction

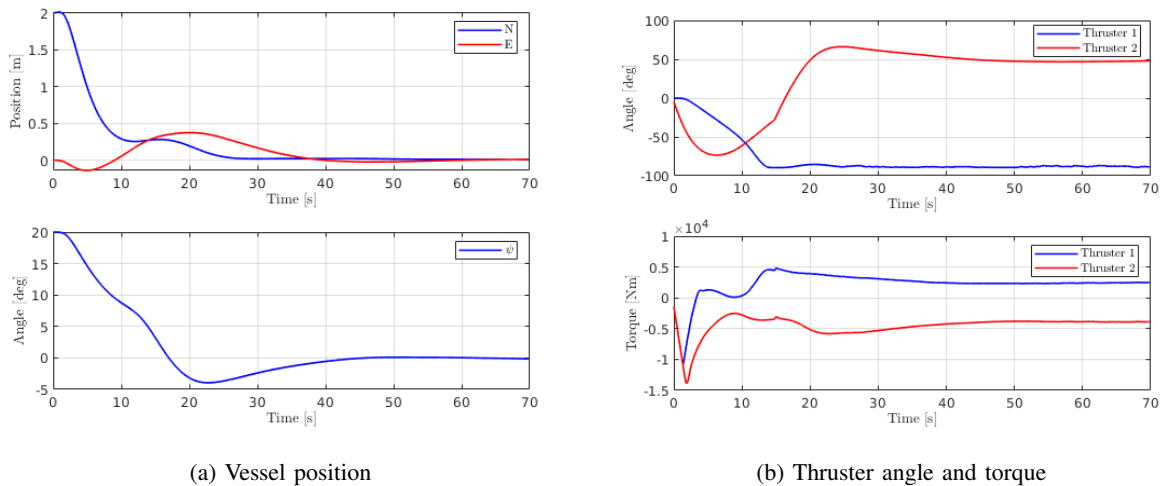


Fig. 2. Vessel position and thruster controls for the second scenario.

422 need 15 seconds of recorded data to start its prediction. After about 20 seconds, Figure 4 shows  
 423 that the force produced by the thruster for the MPC with wave prediction reaches a similar  
 424 amplitude as the wave force with a phase offset off  $180^\circ$ , canceling out most of the wave  
 425 induced forces as shown by the net force. This does not happen for the baseline controller. In  
 426 fact, the baseline controller amplifies the wave induced force and end up with a larger wave  
 427 induced position error. It shows that wave compensation without an accurate wave prediction  
 428 can lead to worse performance.

429 The effect of the thruster constraints appears to clearly effect the baseline controllers ability to  
 430 control the position. The rate of change of torque for the baseline controller is saturated through  
 431 the entire scenario, as seen in Figure 3d, while for the MPC with wave prediction the rate of  
 432 change is mostly saturated only at the beginning before the wave prediction is active, seen in  
 433 Figure 3b. As a result, the MPC with wave prediction have a energy usage of only 73% of the  
 434 energy the MPC baseline controller uses while still achieving a better position accuracy.

435 How the controller makes use of the wave prediction is demonstrated in Figure 5, showing  
 436 the optimal north-position trajectory and the optimal torque control trajectory for one thruster as  
 437 computed by the MPC at 62 seconds into the simulation. The wave prediction algorithm derives  
 438 the predicted force using the prediction of the vessel velocity, seen in Figure 6. For the MPC  
 439 with wave prediction the optimal state and control trajectories are then computed considering the  
 440 waves. As seen in Figure 5a, the optimal state trajectory over the prediction horizon is similar

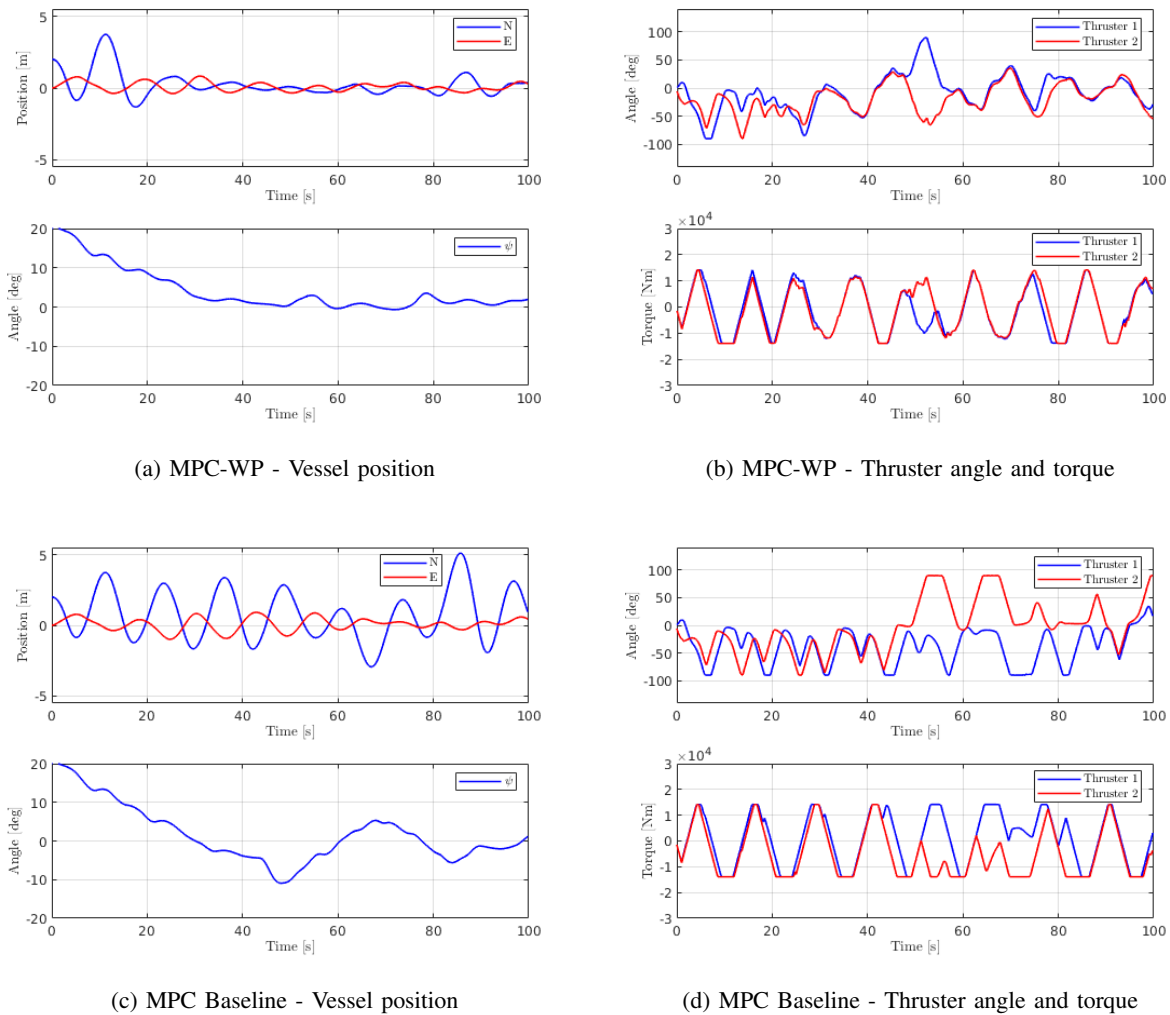


Fig. 3. Vessel positions and thruster controls for both controllers in the third scenario.

441 to the true trajectory the vessel end up taking. This is not the case for the MPC without wave  
 442 prediction, as demonstrated in Figure 5b, where the optimal state trajectory computed by the  
 443 controller is very different from the trajectory it ended up taking. The wave prediction contributes  
 444 to reducing the modelling errors in the controller.

### 445 B. Monte Carlo Simulations

446 The scenarios presented above show a potential benefit of using MPC with prediction with  
 447 respect to minimizing deviation from the reference point as well as minimizing energy usage.  
 448 These benefits are dependent on the accuracy of the wave prediction and its ability to correctly  
 449 predict future wave disturbances based on the previous wave excitation of the vessel. As waves

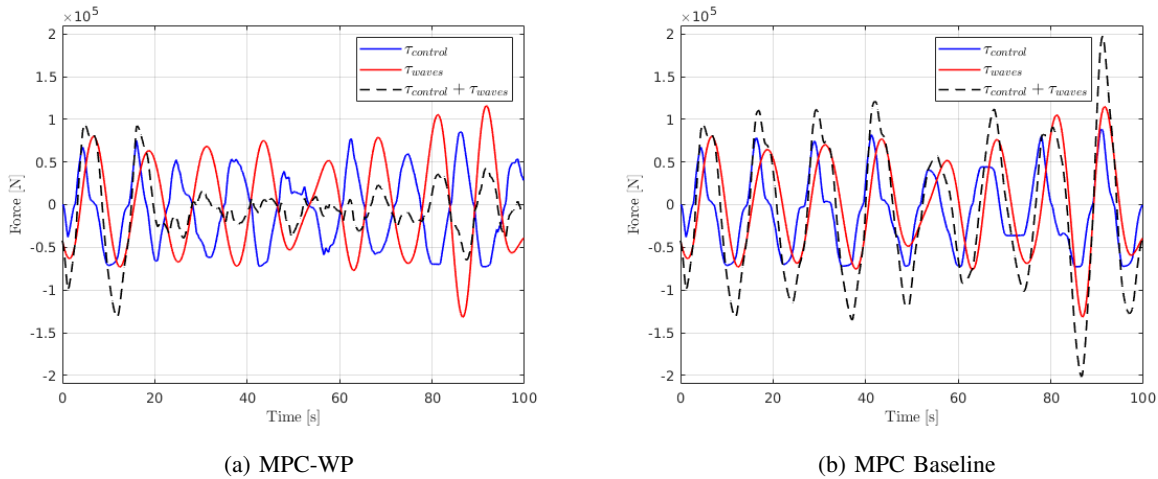


Fig. 4. Control forces (blue), environmental forces (red) and the sum of the forces (black) for the simulation in scenario 3.

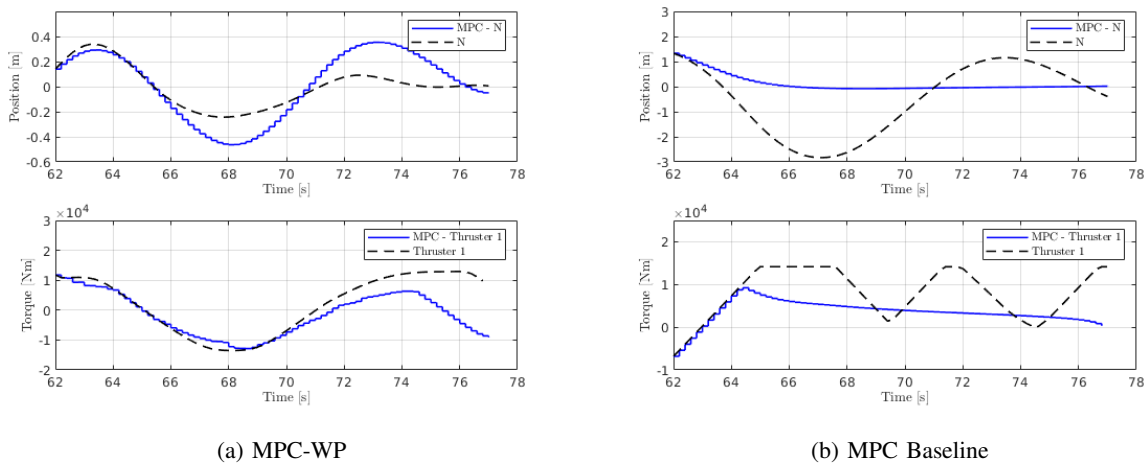


Fig. 5. Vessel North position and torque for thruster one as simulated over the prediction horizon in the controller 62 seconds into scenario 3 (blue) and the true position and torque for the future 15 seconds (black).

450 are stochastic, a Monte Carlo (MC) simulation is performed to evaluate the robustness. Three  
 451 different sea states are defined based on statistical data from the North sea [23], summarized in  
 452 Table II. The waves are headed from south to north for all simulations. In addition, a current of  
 453 0.3 m/s and with direction  $15^\circ$  is added. For each sea state 40 simulations of 350 seconds with  
 454 randomly generate waves are run where the initial 50 seconds are removed to account for the  
 455 settling time of the wave prediction algorithm. The results are displayed in Table III, IV and V.

456 On average both controllers are able to keep the reference position with reasonable accuracy,  
 457 shown in the small mean errors. The controllers are able to counteract the constant disturbance

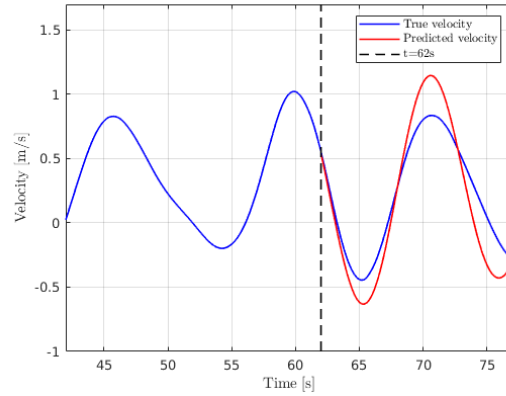


Fig. 6. Predicted and true velocity at 62 seconds into the simulation in scenario 3.

Sea state	Significant wave height	Peak wave period	Wave direction
Slight	1m	6s	0°
Moderate	3m	9s	0°
High	5m	12s	0°

TABLE II

SEA STATES PARAMETERS USING THE JONSWAP SPECTRUM.

MPC with wave prediction	North	East	Yaw
Avg. mean error	0.011m	0.003m	-0.207°
Avg. RMS error	0.364m	0.249m	1.326°
Avg. max error	1.260m	0.770m	4.510°
Avg. NNFD	46.7%	83.9%	248.7%
MPC without wave prediction	North	East	Yaw
Avg. mean error	-0.095m	0.115m	-0.227°
Avg. RMS error	1.044m	0.356m	1.967°
Avg. max error	3.450m	1.070m	6.190°
Avg. NNFD	128.6%	111.0%	297.4%

TABLE III

MONTE CARLO STATISTICS FOR HIGH SEA STATE.

458 from the current. When it comes to cancel out wave motion and stay as close to the reference point  
 459 over time the controller with wave prediction significantly outperform the MPC baseline. The  
 460 average RMS along the north-axis is reduced with 65.6%, 59.6% and 12.7% for high, moderate

MPC with wave prediction	North	East	Yaw
Avg. mean error	0.001m	-0.019m	-0.368°
Avg. RMS error	0.245m	0.180m	1.315°
Avg. max error	0.880m	0.580m	4.310°
Avg. NNFD	55.0%	89.9%	163.7%
MPC without wave prediction	North	East	Yaw
Avg. mean error	-0.129m	0.059m	-0.117°
Avg. RMS error	0.594m	0.240m	1.550°
Avg. max error	1.940m	0.740m	5.740°
Avg. NNFD	120.3%	108.6%	162.2%

TABLE IV

MONTE CARLO STATISTICS FOR MODERATE SEA STATE.

MPC with wave prediction	North	East	Yaw
Avg. mean error	-0.032m	-0.016m	-0.042°
Avg. RMS error	0.104m	0.065m	0.990°
Avg. max error	0.380m	0.220m	3.420°
Avg. NNFD	80.6%	94.4%	126.8%
MPC without wave prediction	North	East	Yaw
Avg. NNFD	83.5%	93.6%	125.2%
Avg. mean error	0.002m	0.049m	-0.111°
Avg. RMS error	0.130m	0.081m	0.397°
Avg. max error	0.440m	0.210m	1.290°
Avg. NNFD	114.2%	103.5%	92.8%

TABLE V

MONTE CARLO STATISTICS FOR SLIGHT SEA STATE.

461 and slight sea respectively. Along the east-axis the reductions are 30.8%, 27.2%, 14.5%. There  
 462 is also a significant reduction in the absolute maximum deviation from the reference point, with  
 463 a reduction as large as 64.1% and 28.7 % along the north- and east-axis for high sea.

464 The NNFD measures the ratio in RMS between the net external force, that is the sum of the  
 465 control force and wave forces, and the wave force alone. As the controller will work to cancel  
 466 out wave forces, the NNFD shows how well the controller is able to reduce first order motion.  
 467 An example of this is shown in Figure 4 where it can be seen how the net force is significantly  
 468 closer to zero than the environmental force for the MPC with wave prediction. The average  
 469 NNFD shows that the MPC with wave prediction is indeed able to reduce the force acting on

470 the vessel for all sea state. The NNFD is reduced to approximately 50% for high and moderate  
471 sea and to approximately 80% for slight sea. The MPC baseline controller on the other hand  
472 will increase the sum of the external force. In other words the wave motion will be amplified.

### 473 *C. Discussion*

474 The performance of model-based controllers will naturally depend on the the performance of  
475 the model. The simulations shown in the previous section demonstrates a significant increase in  
476 accuracy of the DP controller by improving the internal model of the MPC. Regardless of the  
477 the desire to counteract first order motion or not, having a model in the MPC that more closely  
478 reflect the true dynamics of the vessel will improve the optimally of the controller. In the work  
479 demonstrated here the wave prediction clearly improves the controllers ability to counteract first  
480 order waves without compromising its ability to act on slowly varying or constant disturbances.  
481 By utilizing its control in a more optimal way, e.g., increase the thruster angular velocity ahead  
482 of the next wave, the controller improves the position accuracy at the cost of less energy. The  
483 MPC baseline controller is successful in acting on the constant disturbance due to current, as  
484 has already been demonstrated [11], but fails to act on the disturbance due to first order waves.  
485 In fact it is seen in the simulations that the MPC baseline controller will amplify the first order  
486 motion. The MPC baseline controller is, similar to more conventional controllers, only able to act  
487 on wave induced errors that are observed through the vessel state. Given the constraints on the  
488 thrusters and the inertia of the vessel, correcting for a error will take some time as the thrusters  
489 will have to rotate and increase or decrease its angular velocity. The high frequency of the waves  
490 make the delay significant and results in the thrusters amplifying the wave motion as the force  
491 of the waves oscillates as fast as the thruster force can, as seen in Figure 4. The MPC with wave  
492 prediction reduces this delay by using the prediction of future waves. In Figure 5 it is shown  
493 how MPC with wave prediction correctly predict the arrival of next wave and therefore computes  
494 an optimal control trajectory in order to counteract its predicted induced motion. The controller  
495 then has more time to increase or decrease thrust. The dynamics of the thruster is therefore an  
496 important factor in how well the vessel can counteract first order wave motion. Faster thrusters  
497 are likely to further improve the results. However, fast changes in thruster velocity will create  
498 larger variations in the onboard electrical load, which again can effect other onboard equipment.  
499 Excessive variations in the thruster load can in worst case trigger a blackout onboard where the  
500 generators are not able to keep up with the high variation in the electrical load. This is here



501 accounted for by the rate limitation on the torque delivered to the thrusters. Even though the  
 502 MPC with wave prediction require less energy than the MPC baseline controller, the energy  
 503 usage is higher than for a more conventional DP controller where PIDs are used in combination  
 504 with wave filtering techniques [22].

505 The tuning of the weights of the baseline controller has to reflect the increased modelling  
 506 error and was here set to be less aggressive compared to the MPC with wave prediction.

507 The feasibility of the controller is guaranteed with slack variables so that the controller always  
 508 provides a control action. It is known that recursively feasible MPC is in general stable, if the  
 509 prediction horizon is sufficiently large, [31]. In our application, the prediction horizon is 15  
 510 seconds, which corresponds approximately to the closed-loop response time of the controller as  
 511 seen in Figures 1 and 2. It is evident from the theoretical considerations that in this case the  
 512 neglected tail of the infinite horizon cost-to-go is small, which implies that the conditions for  
 513 stability are met, which is further verified through simulations.

Sea state	MPC-WP simulation time for 350 seconds	MPC Baseline simulation time for 350 seconds
Slight	621.3s	434.4s
Moderate	631.6s	422.2s
High	623.6s	365.8s

TABLE VI

TIME REQUIRED TO SIMULATE 350 SECONDS WITH THE MPC CONTROLLERS FOR ALL THREE SEA STATES.

514 A challenge with the MPC approach is the additional computational complexity as a result  
 515 of solving the nonlinear optimization problem for each time step. For the MPC with wave  
 516 prediction the second nonlinear optimization problem for finding the model coefficient of the  
 517 wave model must also be solved. Both problems must be solved online in order to get an optimal  
 518 control trajectory and thus strict requirements are imposed in a real-time implementation. They  
 519 can, however, be solved in parallel e.g. on different processing units. The simulation in this  
 520 study was carried out using MATLAB on a desktop computer and the average required time  
 521 simulating 350 seconds are shown in Table VI. As the table show, it requires almost two seconds  
 522 to simulate one second for the MPC with wave prediction. However, as the implementation can  
 523 be tuned for embedded real-time implementation as described in [32], a real-time implementation  
 524 is considered feasible. Nonlinear MPC of similar complexity has previously been shown to run

525 in real time on a single board computer onboard a fixed wing Unmanned Aerial Vehicle [33] at  
526 much higher update/sampling rates than considered here.

527

## VI. CONCLUSION

528 Short-term wave motion prediction combined with model predictive control provides a sig-  
529 nificant improvement to the positioning of a vessel subjected to wave force disturbances. The  
530 controller is able to dampen out some of the zero-mean oscillatory motion caused by first-order  
531 wave forces while at the same time counteract slowly varying disturbances. This results in the  
532 root mean square error in the position to being reduced with up to 65% compared to controllers  
533 where waves are considered unmodelled disturbances. The maximum error is reduced with up  
534 to 60% and the root mean square of the wave forces acting on the vessel is reduced with up to  
535 approximately 50%, depending on the sea state. The wave prediction integrated into the controller  
536 reduce the modelling errors and thus the control trajectories computed are closer to optimal. The  
537 dynamics of the thruster system as well as the availability of power is a limiting factor in  
538 counteracting first-order waves as the controller will require the thrusters to act dynamically.  
539 When the wave frequency increases, the thrusters must be highly dynamic in order to generate  
540 the necessary force fast enough.

541

## ACKNOWLEDGMENT

542 The research is part of the Kongsberg Maritime University Technology Center (UTC) at  
543 NTNU, Trondheim. This work was supported by the Research Council of Norway, Kongsberg  
544 Martime, Reach Subsea, and DOF Subsea through the ROV Revolution project numbers 296262  
545 and 310166, and the Research Council of Norway, Equinor and DNV GL through the Centre  
546 for Autonomous Marine Operations and Systems, project number 223254. Thanks to Reza  
547 Firoozkoohi at Sintef Ocean and the team in Kongsberg Maritime for making the hydrodynamic  
548 models available.

549

## REFERENCES

- 550 [1] “Rules for classification of ships,” DNV GL Std. Part 6 Chapter 3. [Online]. Available:  
551 <https://rules.dnvgl.com/docs/pdf/DNVGL/RU-SHIP/2019-10/DNVGL-RU-SHIP-Pt6Ch3.pdf>  
552 [2] T. Fossen, *Handbook of Marine Craft Hydrodynamics and Motion Control*. Wiley, 2011.  
553 [3] S. Sælid, N. Jenssen, and J. Balchen, “Design and analysis of a dynamic positioning system based on kalman filtering and  
554 optimal control,” *IEEE Transactions on Automatic Control*, vol. 28, no. 3, pp. 331–339, 1983.

- 555 [4] P. Fung and M. Grumble, “Dynamic ship positioning using a self-tuning kalman filter,” *IEEE Transactions on Automatic*  
556 *Control*, vol. 28, no. 3, pp. 339–350, 1983.
- 557 [5] T. A. Johansen and T. I. Fossen, “Control allocation—a survey,” *Automatica*, vol. 49, no. 5, pp. 1087 – 1103, 2013.
- 558 [6] A. Veksler, T. A. Johansen, R. Skjetne, and E. Mathiesen, “Thrust allocation with dynamic power consumption modulation  
559 for diesel-electric ships,” *IEEE Transactions on Control Systems Technology*, vol. 24, pp. 578–593, 2016.
- 560 [7] D. Radan, A. J. Sørensen, A. K. Ådnanes, and T. A. Johansen, “Reducing power load fluctuations on ships using power  
561 redistribution control,” *SNAME Journal of Marine Technology*, vol. 45, p. 162–174, 2008.
- 562 [8] E. Mathisen, B. Realfsen, and M. Breivik, “Methods for reducing frequency and voltage variations on DP vessels,” 2012.
- 563 [9] H. Chen, L. Wan, F. Wang, and G. Zhang, “Model predictive controller design for the dynamic positioning system of a  
564 semi-submersible platform,” *Journal of Marine Science and Application*, vol. 11, 09 2012.
- 565 [10] A. A. do Nascimento, H. R. Feyzmahdavian, M. Johansson, W. Garcia-Gabin, and K. Tervo, “Tube-based model predictive  
566 control for dynamic positioning of marine vessels,” *IFAC-PapersOnLine*, vol. 52, no. 21, pp. 33 – 38, 2019, 12th IFAC  
567 Conference on Control Applications in Marine Systems, Robotics, and Vehicles CAMS 2019.
- 568 [11] A. Veksler, T. Johansen, F. Borrelli, and B. Realfsen, “Dynamic positioning with model predictive control,” *IEEE*  
569 *Transactions on Control Systems Technology*, vol. 24, pp. 1–14, 2016.
- 570 [12] K.-P. Lindegaard, Ph.D. dissertation, Norwegian University of Science and Technology, Trondheim, 2002.
- 571 [13] Ø. K. Kjerstad and R. Skjetne, “Disturbance rejection by acceleration feedforward for marine surface vessels,” *IEEE*  
572 *Access*, vol. 4, pp. 2656–2669, 2016.
- 573 [14] N. Booij, R. C. Ris, and L. H. Holthuijsen, “A third-generation wave model for coastal regions: 1. model description and  
574 validation,” *Journal of Geophysical Research: Oceans*, vol. 104, no. C4, pp. 7649–7666, 1999.
- 575 [15] M. Deo and C. Sridhar Naidu, “Real time wave forecasting using neural networks,” *Ocean Engineering*, vol. 26, no. 3,  
576 pp. 191 – 203, 1998.
- 577 [16] S. Mandal and N. Prabakaran, “Ocean wave forecasting using recurrent neural networks,” *Ocean Engineering*, vol. 33,  
578 no. 10, pp. 1401 – 1410, 2006.
- 579 [17] G. Reikard and W. E. Rogers, “Forecasting ocean waves: Comparing a physics-based model with statistical models,”  
580 *Coastal Engineering*, vol. 58, no. 5, pp. 409 – 416, 2011.
- 581 [18] F. Fusco and J. V. Ringwood, “Short-term wave forecasting for real-time control of wave energy converters,” *IEEE*  
582 *Transactions on Sustainable Energy*, vol. 1, no. 2, pp. 99–106, 2010.
- 583 [19] F. Fusco and J. Ringwood, “Short-term wave forecasting with ar models in real-time optimal control of wave energy  
584 converters,” in *IEEE International Symposium on Industrial Electronics*, 2010, pp. 2475–2480.
- 585 [20] T. I. Fossen and Ø. N. Smogeli, “Nonlinear Time-Domain Strip Theory Formulation for Low-Speed Manoeuvring and  
586 Station-Keeping,” *Modeling, Identification and Control*, vol. 25, no. 4, pp. 201–221, 2004.
- 587 [21] H. Woud and D. Stapersma, *Design of Propulsion and Electric Power Generation Systems*, ser. IMarEST publications.  
588 IMarEST, Institute of Marine Engineering, Science and Technology, 2002.
- 589 [22] H. Øveraas, “Dynamic positioning using model predictive control with short-term wave motion prediction,” Master’s thesis,  
590 Norwegian University of Science and Technology (NTNU), Department of Engineering Cybernetics, June 2020.
- 591 [23] O. Faltinsen, *Sea loads on ships and offshore structures*. Cambridge University Press, 1990.
- 592 [24] *Guide to Wave Analysis and Forecasting*. Secretariat of the World Meteorological Organization, 1998.
- 593 [25] A. H. Jazwinski, *Stochastic Processes and Filtering Theory*. Academic Press, San Diego, CA, 1970.
- 594 [26] L. Pivano, T. Johansen, and O. Smogeli, “A four-quadrant thrust controller for marine propellers with loss estimation and  
595 anti-spin: Theory and experiments,” *Marine Technology*, vol. 46, pp. 229–242, 10 2009.

- 596 [27] T. I. Fossen and T. Perez, “Marine systems simulator (MSS),” 2004. [Online]. Available:  
597 <https://github.com/cybergalactic/MSS>
- 598 [28] WAMIT, “User manual,” Available at [https://www.wamit.com/manualupdate/v74\\_manual.pdf](https://www.wamit.com/manualupdate/v74_manual.pdf) (2022/08/31).
- 599 [29] J. A. E. Andersson, J. Gillis, G. Horn, J. B. Rawlings, and M. Diehl, “CasADi – A software framework for nonlinear  
600 optimization and optimal control,” *Mathematical Programming Computation*, vol. 11, no. 1, pp. 1–36, 2019.
- 601 [30] A. Wächter and L. Biegler, “On the implementation of an interior-point filter line-search algorithm for large-scale nonlinear  
602 programming,” *Mathematical programming*, vol. 106, pp. 25–57, 03 2006.
- 603 [31] L. Grüne and J. Pannek, *Nonlinear model predictive control*. Springer-Verlag, 2017.
- 604 [32] T. A. Johansen, “Toward dependable embedded model predictive control,” *IEEE Systems Journal*, vol. 11, pp. 1208–1219,  
605 2017.
- 606 [33] D. Reinhardt and T. A. Johansen, “Control of fixed-wing uav attitude and speed based on embedded nonlinear model  
607 predictive control,” *IFAC-PapersOnLine*, vol. 54, no. 6, pp. 91–98, 2021, 7th IFAC Conference on Nonlinear Model  
608 Predictive Control NMPC 2021. [Online]. Available: <https://www.sciencedirect.com/science/article/pii/S2405896321013045>