

## Issues in validation of pre-sliding friction models for ultra-high precision positioning

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Abstract:	Friction is one of the main disturbances in nanometric positioning. Recently it was shown that ultra-high precision positioning typically happens in the pre-sliding motion regime where friction is characterized by an elasto-plastic nonlinear hysteretic behavior with a marked stochastic variability. With the aim of providing the tools for the development of robust control typologies for ultra-high precision mechatronics devices, different pre-sliding friction models are thus considered in this work. The most relevant ones are hence experimentally validated, as well as compared in terms of the complexity of identifying their characteristic parameters and of simulating the factual dynamic response. It is hence shown that the Generalized Maxwell-slip model (GMS) can account for all the important pre-sliding frictional effects in nanometric positioning applications. A thorough sensitivity analysis of the parameters of the GMS model is therefore performed allowing to establish that three Maxwell-slip blocks are the minimum needed to approximate the behavior of the real precision positioning systems, six blocks allow representing excellently the real behavior, while the slower dynamics, which induces a difficult real-time implementation, with a very limited gain in terms of model accuracy, does not justify the usage of a larger number of elements.

# Issues in validation of pre-sliding friction models for ultra-high precision positioning

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## Abstract

Friction is one of the main disturbances in nanometric positioning. Recently it was shown that ultra-high precision positioning typically happens in the pre-sliding motion regime where friction is characterized by an elasto-plastic nonlinear hysteretic behavior with a marked stochastic variability. With the aim of providing the tools for the development of robust control typologies for ultra-high precision mechatronics devices, different pre-sliding friction models are thus considered in this work. The most relevant ones are hence experimentally validated, as well as compared in terms of the complexity of identifying their characteristic parameters and of simulating the factual dynamic response. It is hence shown that the Generalized Maxwell-slip model (GMS) can account for all the important pre-sliding frictional effects in nanometric positioning applications. A thorough sensitivity analysis of the parameters of the GMS model is therefore performed allowing to establish that three Maxwell-slip blocks are the minimum needed to approximate the behavior of the real precision positioning systems, six blocks allow representing excellently the real behavior, while the slower dynamics, which induces a difficult real-time

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8 implementation, with a very limited gain in terms of model accuracy, does not justify the usage of a larger  
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10 number of elements.

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13 **Keywords:** pre-sliding friction, identification of parameters, modelling, validation, sensitivity analysis,  
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15 precision engineering  
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## 18 **Introduction**

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21 Ultra-high precision positioning is considered a critical feature in developing  
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23 mechatronics devices for precision engineering applications as well as, increasingly, in  
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25 the micro- and nanotechnologies. Precision positioning is, in fact, nowadays broadly  
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27 used in scientific instrumentation, micro-electro-mechanical systems (MEMS),  
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29 precision machine tools, ICT, optical devices etc.<sup>1-3</sup>

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31 Sliding and rolling components, typically used in ultra-high precision mechatronics  
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33 devices – especially when the achievable travel ranges and load capacities of compliant  
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35 mechanisms are exceeded,<sup>4</sup> are characterized, however, by nonlinear frictional  
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37 disturbances that are inherently time-, position- and temperature-dependent with a  
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39 marked stochastic variability. Friction in these devices induces unwanted effects such as  
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41 tracking and steady-state errors, limit cycles, stick-slip jitters or large settling times. In  
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43 recent literature, these effects are commonly referred to two motion regimes: the sliding  
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45 and the pre-sliding regime, which can be described via different state-of-the-art friction  
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47 models.<sup>5-9</sup>  
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8 Especially relevant for nanometric positioning applications is in this frame pre-sliding  
9 motion. In fact, in a previous work it was shown that, even when the actuating part of  
10 the positioning device enters the sliding motion regime, due to the reduction ratios of  
11 the positioning device enters the sliding motion regime, due to the reduction ratios of  
12 the motion transfer mechanical elements, the downstream elements will still be in pre-  
13 sliding, where ultra-high precision positioning will certainly happen.<sup>7</sup> On the other  
14 hand, the conventional Stribeck friction model does not allow to address properly the  
15 frictional discontinuity at velocities approaching zero that, although being qualitatively  
16 repeatable, quantitatively depends on complex interactions between contacting surfaces.  
17 In prior art it was shown that this phenomenon is an elasto-plastic nonlinear effect with  
18 significant hysteretic contributions that can result in noteworthy displacements (up to  
19 hundreds of micrometers) for tangential forces whose magnitude is lower than static  
20 friction. This effect, today known as pre-sliding or micro-slip, is characterized with a  
21 spring-like behavior of variable stiffness with plasticity and energy dissipation.<sup>10-11</sup>  
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36 A holistic consideration of the main issues pertaining to pre-sliding friction is given in  
37 this work. The most relevant friction models used to describe and control the response  
38 of nanometric positioning devices in pre-sliding are hence considered and evaluated  
39 with the aim of establishing their critical features and their limits of applicability. In  
40 particular, an overview of the models available up to data to describe the pre-sliding  
41 behavior and their critical evaluation is given. The most relevant models are hence  
42 implemented as MATLAB/Simulink routines. The pre-sliding frictional behavior is  
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8 experimentally assessed next on a suitable experimental set-up to identify the  
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10 characteristic parameters of the considered models. This allows determining the models  
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12 that provide the most accurate behavioral approximation of pre-sliding motion, but also  
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14 to establish the level of difficulty in identifying their distinctive parameters. It is thus  
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16 shown that the Generalized Maxwell Slip (GMS) model can be efficiently used to  
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18 compensate frictional disturbances. Complementing the current state-of-the-art, where  
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20 the number of needed characteristic building blocks of the GMS model is generally  
21  
22 postulated a priori, in the final section of the work special emphasis is devoted to  
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24 establishing the minimal number of these blocks that allow fitting the experimental pre-  
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26 sliding behavior with the required degree of accuracy. This, in turn, allows establishing  
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28 the number of elements sufficiently small so that it does not inhibit the implementation  
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30 of the GMS model in real-time control systems, while limiting the respective  
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32 normalized Mean Square Error to less than 1 %. This rigorous approach contributes thus  
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34 significantly to the potential of achieving an effective real-time compensation of friction  
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36 in mechatronics devices aimed at nanometric positioning.  
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### 42 **Pre-sliding friction in ultra-high precision positioning systems**

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44 In nanometric mechatronics devices, and especially in point-to-point positioning when  
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46 the system approaches its steady state, the velocity of motion of the movable parts  
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48 decreases, while the actuating force becomes smaller than static friction. The system  
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8 thus enters the pre-sliding motion regime where, as noted, a substantial nonlinear  
9 displacement is observed and, as extensively shown in literature, frictional forces are a  
10 function of displacement rather than, as is the case in the sliding motion regime, a  
11 function of velocity.<sup>7, 11-14</sup> As shown in Figure 1, in pre-sliding a displacement profile  
12 with a changing direction of motion (Figure 1a) induces an elasto-plastic (albeit mainly  
13 plastic) hysteretic frictional disturbance characterized by the so called non-local  
14 memory effect (Figure 1b). The latter causes a frictional force vs. displacement  
15 dependence such that, at each displacement reversal, a closure of the inner hysteresis  
16 loop is obtained and the curve of the outer loop is followed again.<sup>11, 13</sup>

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28 The models based on the physics of the frictional behavior in the pre-sliding motion  
29 regime, which have to be related to the experimentally identified characteristic  
30 parameters of the studied phenomenon, are referred to as grey-box models.<sup>9, 15</sup> The  
31 grey-box pre-sliding friction models habitually used for control purposes are: Dahl's  
32 model,<sup>16</sup> Bouc-Wen's model,<sup>15</sup> the LuGre model,<sup>17-18</sup> the elasto-plastic model,<sup>19</sup> the  
33 Leuven model,<sup>13</sup> Hsieh's model,<sup>20</sup> the Generalized Maxwell-slip model<sup>6</sup> and the two  
34 state elasto-plastic friction model.<sup>12</sup>

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43 Dahl's model was the first one apt of representing the frictional effects in the pre-sliding  
44 and most of the subsequent models are based on it.<sup>7, 16</sup> This model, however, similarly  
45 to the broadly used Bouc-Wen's one,<sup>15</sup> does not allow to take into due consideration  
46 non-local memory<sup>21</sup> nor the stick-slip effect. The Lund-Grenoble (LuGre) model builds

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8 upon Dahl's model allowing to incorporate also the stick-slip effect.<sup>17-18</sup> A further  
9 extension of pre-sliding modelling is the elasto-plastic friction model that does not,  
10 however, present meaningful improvements with respect to the LuGre model,<sup>12, 19</sup> while  
11 failing once more in capturing the stick-slip induced effects.<sup>22</sup> In the last two decades or  
12 so, the researchers turned thus their attention towards multi-state models, since these  
13 allow embodying hysteresis with non-local memory. The Leuven model was hence  
14 proposed as an extension of the LuGre one.<sup>13</sup> Although this model describes well non-  
15 local memory, it presents a discontinuity at the closure of the inner hysteresis loop and a  
16 troublesome definition of the transition from sticktion to sliding; the implementation of  
17 this model in real-time systems has also often proven to be computationally intensive.<sup>13</sup>  
18 Concurrently with the Leuven model, a comprehensive pre-sliding friction model,  
19 comprising a larger number of characteristic parameters, was proposed by Hsieh and  
20 Pan,<sup>20</sup> while subsequently the shortcomings of the Leuven model were addressed by the  
21 Generalized Maxwell-slip (GMS) model based on Maxwell-slip blocks. The GMS  
22 model seems in this regard advantageous since it takes into account all the characteristic  
23 pre-sliding frictional effects: the elasto-plastic nonlinear behavior with non-local  
24 memory and hysteresis as well as stick-slip.<sup>6-7, 23</sup> Finally, more recently a two-state  
25 elasto-plastic friction model was proposed;<sup>12</sup> this model, however, seems rather vague  
26 with respect to the modelling of non-local memory as well as computationally intensive  
27 and, in any case, the respective results do not show substantial improvements with  
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respect to the GMS model. The elasto-plastic model was thus not used in reported real-time friction compensation studies.

Based on the above review of the models developed with the aim of simulating and controlling the behavior of ultra-high precision positioning systems in pre-sliding, Dahl's, the LuGre, Hsieh's and the GMS models are considered in detail in the following sections of this work and implemented in the MATLAB/Simulink environment, consequently allowing their validation based on experimentally obtained data.

### *Dahl's model*

Dahl's model of the frictional disturbance in pre-sliding is based on a spring-like behavior at the interface of the surfaces in relative motion that, for somewhat larger displacements, exhibits plastic deformations. The friction force  $F_f$  can thus be expressed vs. the pre-sliding displacement  $x$  as:<sup>16</sup>

$$\frac{dF_f}{dt} = \frac{dF_f}{dx} \cdot \frac{dx}{dt} = \sigma_0 \left| 1 - \frac{F_f}{F_C} \cdot \operatorname{sgn} \left( \frac{dx}{dt} \right) \right|^n \cdot \operatorname{sgn} \left( 1 - \frac{F_f}{F_C} \cdot \operatorname{sgn} \left( \frac{dx}{dt} \right) \right) \cdot \frac{dx}{dt} \quad (1)$$

where  $\sigma_0$  is the stiffness of the asperities on the surfaces in relative motion at the beginning of the displacement (i.e. the slope of the force vs. deflection curve for  $F_f \sim 0$ ),  $F_C$  is the value of (Coulomb) friction when slipping begins,  $n$  is a parameter that influences the shape of the force vs. displacement curve, while  $t$  is time.

### *LuGre model*

In the LuGre friction model the contact asperities are represented as bristles whose average deformation is defined by a state variable  $z$ :<sup>17-18</sup>

$$\frac{dz}{dt} = \frac{dx}{dt} - z \cdot \frac{\sigma_0}{s(\dot{x})} \cdot \left| \frac{dx}{dt} \right| \quad (2)$$

where  $s(\dot{x})$  designates a velocity weakening curve commonly associated to the Stribeck effect at the transition between the pre-sliding and the sliding motion regimes. The friction force in pre-sliding is, in turn, defined as:<sup>17-18</sup>

$$F_f = \sigma_0 \cdot z + \sigma_p \cdot \frac{dz}{dt} \quad (3)$$

where  $\sigma_p$  is the viscous damping coefficient related to pre-sliding.

The parameters of Dahl's and the LuGre models are obtained according to the method described in literature<sup>14</sup> which is based on the minimization of the sum of squares of the relative errors between the measured and the modeled frictional behavior.

### *Hsieh's model*

Hsieh's model is made up by a nonlinear spring module and a plastic module (Figure 2). The nonlinear spring embraces hysteresis with memory and wipe-out effects and it is connected in parallel with a viscous damper  $C_v$  that takes into account energy dissipation. The plastic module, in turn, describes deformation effects and it encompasses creep and work hardening. Due to the serial connection of the two

modules, an external force  $F$  will result in a pre-sliding displacement  $x$ , given by the sum of the displacement of the nonlinear spring module  $x_s$  and of the deformation of the plastic module  $x_p$ , and an opposing pre-sliding friction force  $F_f$ .<sup>20</sup>

Depending on the direction of motion, the nonlinear spring module is defined as:<sup>20</sup>

$$F_f = \begin{cases} k_{1s}(x_s - x_r) + \frac{k_{2s}}{\beta}(1 - e^{-\beta|x_s - x_r|}) + \sigma_r + C_v \dot{x}_s, & \text{if } x_s \geq x_r \\ k_{1s}(x_s - x_r) + \frac{k_{2s}}{\beta}(e^{-\beta|x_s - x_r|} - 1) + \sigma_r + C_v \dot{x}_s, & \text{if } x_s < x_r \end{cases} \quad (4)$$

where  $k_{1s}$  and  $k_{2s}$  are stiffness coefficients,  $\beta$  is a positive scalar, while  $\sigma_r$  and  $x_r$  are, respectively, the force and the displacement at the reversal of the inner hysteresis loop (see points 2 and 3 in Figure 1b). The parameters  $k_{1s}$ ,  $k_{2s}$  and  $\beta$  are estimated from the experimentally obtained  $F_f$  vs.  $x$  curve as shown in Figure 3.

On the other hand, the plastic behavior with its work hardening  $x_h$  is described as:<sup>20</sup>

$$\dot{x}_h = \begin{cases} \rho \left[ \frac{|F_f^a|}{\psi} - x_h \right], & \text{if } \left( \frac{|F_f^a|}{\psi} \right) > x_h \\ 0, & \text{otherwise} \end{cases} \quad (5)$$

$$\dot{x}_p = \text{sgn}(F_f) \dot{x}_h \quad (6)$$

where  $a$  and  $\psi$  are positive constants related to work hardening, while  $\rho$  is a positive constant related to creep. The parameters  $\rho$  and  $\psi$  are estimated from experimental data, whereas  $a$  is found via a trial and error procedure.<sup>7, 20</sup>

### ***GMS model***

The GMS friction model is based on  $N$  massless Maxwell-slip blocks connected in parallel that have all the same input – velocity  $v$ , and one output – friction force  $F_i$  acting on the  $i$ -th block (Figure 4a). Two states of either hysteresis with non-local memory in pre-sliding (where  $v$  is the derivative of the already defined state variable  $z$ ) and slip with frictional lag, determine hence the behavior of each block. The latter depends on the stiffness  $k_i$  of each block and the force limit  $W_i$  when the block starts slipping. Sliding dynamics of each block can, in turn, be represented by the Coulomb slip law; if more accurate modeling is needed, this can be replaced by the well-known Stribeck effect, i.e., via the so-called velocity weakening effect  $s(v)$  bounded on the lower end by Coulomb friction. The parameters of the model can thus be determined by a piecewise approximation of the experimentally obtained friction force  $F_f$  vs. displacement  $x$  data. This is expressed mathematically as:<sup>6-7, 23-24</sup>

$$k_i = K_i - K_{i+1} \quad (7)$$

$$K_i = \frac{\Delta F_i}{\Delta D_i} = \frac{F_{i+1} - F_i}{D_{i+1} - D_i} \quad (8)$$

Here  $K_i$  is the comprehensive stiffness contribution of all the Maxwell-slip blocks that are still in the pre-sliding state in a determined region of the overall pre-sliding motion regime (Figure 4b), while the stiffness of the last slip block is defined as  $k_N = K_N$ . The relative weight of each Maxwell-slip block can therefore be expressed as:<sup>6-7, 23-24</sup>

$$\alpha_i = \frac{k_i \cdot D_i}{F_s} \quad (9)$$

where  $D_i$  is the maximum deflection of the  $i$ -th block before it starts slipping. Taking into consideration that the system will start sliding when the actuating force reaches the value of the breakaway (static friction) force  $F_s$ , equations (7-9) imply also that the sum of the frictional contributions  $\alpha_i$  adds up to 1.

The state of each block is hence determined based on the following conditions:<sup>6-7, 23-24</sup>

- if  $|F_i(v)| < |W_i(v)|$  the  $i$ -th block sticks:

$$\frac{dF_i}{dt} = k_i \cdot v \quad (10)$$

- otherwise the  $i$ -th block slips:

$$\frac{dF_i}{dt} = \text{sgn}(v) \cdot C \cdot \left( \alpha_i - \frac{F_i}{s(v)} \right) \quad (11)$$

Here the constant positive number  $C$  is the attraction parameter associated to frictional lag that is relevant in the characterization of the transition from pre-sliding to sliding.<sup>6</sup>

In a previous work it was shown that a change of  $C$  in a large range of values has no major impact on system's response.<sup>7</sup> This finding is substantiated by the fact that in nanometric positioning precision and accuracy are far more important than positioning velocity and acceleration, i.e., that generally there are no sudden dynamic and/or periodic effects that would induce frictional lag.<sup>6,23</sup>

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8 The total pre-sliding friction force  $F_f$  in the GMS model can thus finally be calculated as  
9 the sum of the contributions of the frictional forces of all the Maxwell-slip blocks:<sup>6-7, 23-</sup>  
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$$F_f = \sum_{i=1}^N F_i(t) \quad (12)$$

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17 Due to its comprehensiveness and simplicity, in literature it is found that the GMS  
18 model is often appropriate for real-time control purposes.<sup>7, 23-24</sup>  
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23 The provided report on the main features of Dahl's, the LuGre, Hsieh's and the GMS  
24 models allows identifying next their characteristic parameters on an elaborated  
25 experimental set-up devised for this purpose, and hence to compare the obtained  
26 measured responses to the ones simulated in MATLAB/Simulink.  
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### 33 **Experimental set-up**

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35 An experimental set-up, whose main foreseen application is the handling and assembly  
36 of microparts, is used in this work. It comprises three translational and one rotational  
37 axis; the characterization of the frictional phenomena is thoroughly analyzed in this  
38 work on the  $x_a$  translational axis with a 30 N movable weight attached to it (Figure 5).  
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43 As detailed in Table 1, this axis is driven via a DC actuator-gearhead assembly  
44 connected via a coupling to a ball-screw supported on ball bearings. The rotation of the  
45 actuator is transferred into the translation of a stage guided on linear guideways. The  
46 feedback is, in turn, attained by using an incremental encoder coupled with an  
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8 interpolation unit, while the control system is based on a National Instruments  
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10 architecture available at our premises, i.e. the Field-Programmable Gate Array (FPGA)  
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12 hardware and the LabVIEW software. Environmental disturbances are minimized by  
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14 mounting the system on an anti-vibration optical bench. The thus obtained mechatronics  
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16 system is characterized by multiple frictional sources and motion regimes but, as stated,  
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18 due to the reduction ratios of the gearhead and the ball-screw, its nanometric  
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20 positioning will certainly happen when the sliding parts of the device are in pre-sliding.<sup>7</sup>  
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22 The pre-sliding frictional behavior of the linear guideways is thus thoroughly  
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24 characterized next by identifying experimentally off-line the respective friction  
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26 parameters. This behavior is hence measured in quasi-static conditions by ramping the  
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28 tangential force applied to the stage via a micro-tensile machine with a load resolution  
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30 of 10 mN and, to observe the loops induced at motion reversal, reducing again the  
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32 magnitude of the force. Considering that nanometric displacements can be observed  
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34 even after extended periods of time, the load is increased when the system comes to an  
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36 almost complete rest,<sup>7</sup> and transmitted to the stage via a carbon-based fiber. To avoid  
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38 consistently the kinematic influences on the observed frictional phenomena, the rate of  
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40 the stepwise application of the load is slow. As visible in Figure 5, the resulting  
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42 displacements of the stage are measured via a Michelson-type laser Doppler  
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44 interferometric system. To capture the variability of pre-sliding friction, more than 50  
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46 experiments are hence performed.<sup>7</sup>  
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8 The typical nonlinear elasto-plastic pre-sliding behavior with non-local memory is thus  
9 experimentally confirmed (typical data are shown in Figures 6 and 7). What is more,  
10 when performing motion reversal, i.e., when the tangential forces are reduced and  
11 increased again, it is established that the elastic component of the overall pre-sliding  
12 behavior is rather small, while the slope (i.e. stiffness) of the elastic component is  
13 almost constant irrespective of the point where the inner loop is initiated. The  
14 considered high-precision positioning device is hence characterized by breakaway  
15 forces of up to  $\sim 0.9$  N and displacements of up to 30-40  $\mu\text{m}$ , which confirms once more  
16 that ultra-high precision positioning will certainly happen in the pre-sliding motion  
17 regime.  
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21 Based on the characteristic features of the considered pre-sliding friction models and the  
22 respective procedures of identifying their main parameters outlined above, the  
23 experiments allow obtaining the parameters of Dahl's, the LuGre and Hsieh's friction  
24 models as reported in Table 2. On the other hand, the experimentally determined  
25 parameters of the GMS model, where in a first instance six Maxwell-slip blocks are  
26 considered (see below), are reported in Table 3.  
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30 The behavior of the considered nanometric positioning system obtained via these pre-  
31 sliding friction models, implemented as MATLAB/Simulink routines complemented  
32 with the experimentally determined characteristic values, can therefore be finally  
33 simulated and compared to the experimental data of the considered ultra-high precision  
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8 device (Figure 6). It can thus be seen that, as supposed, neither Dahl's nor the LuGre  
9 model allow capturing the non-local memory effects. On the other hand, the pre-sliding  
10 behavior attained by using Hsieh's and the GMS models match excellently experimental  
11 data, especially considering that the in repetitive measurements the data is characterized  
12 by a dispersion of up to  $\pm 15\%$  (not shown in Figure 6 for clarity reasons). What is  
13 more, although Hsieh's model gives results closely matching the experimental ones, the  
14 determination of its numerous parameters proves to be cumbersome, while they are  
15 physically hard to interpret. In fact, instead of estimating all parameters together as in  
16 the case of the GMS model,<sup>6-7</sup> the motion corresponding to the characteristics of each of  
17 the modules of Hsieh's model must be isolated and the associated parameters are  
18 estimated separately. As shown in recent literature, the formulation of Hsieh's model  
19 itself is, moreover, challenging to incorporate into real-time control systems.<sup>7, 25</sup> On the  
20 other hand, the GMS model not only provides results closely approximating the  
21 experimental ones, but is relatively simple to implement.<sup>7</sup> What is more, while Hsieh's  
22 model incorporates pre-sliding friction only, when the motion of the considered  
23 positioning device extends also to the sliding regime, the GMS model can be used to  
24 simulate the overall behavior in both regimes with a smooth transition between the  
25 description of the respective frictional disturbances.<sup>7</sup>

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47 Considering all these aspects, the GMS friction model is thoroughly analyzed in the  
48 next section with the aim of determining the minimal number of Maxwell-slip blocks  
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8 needed to efficiently simulate the factual pre-sliding behavior of the ultra-high precision  
9 positioning device, while allowing its simple implementation in real-time control.  
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### 13 **Validation of the GMS model**

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16 Although in literature it is suggested that four Maxwell-slip elements could be sufficient  
17 to provide a good correspondence of the modelled behavior with experimental pre-  
18 sliding data, a validation of this statement is generally not provided.<sup>6</sup> What is more,  
19 even though in some prior art it is affirmed that a higher number of Maxwell-slip blocks  
20 does not significantly improve the results, whereas it bears an additional computational  
21 burden,<sup>24</sup> a structured and methodologically rigorous analysis of how the number of the  
22 slip blocks in the GMS model affects the accuracy of the obtained results is not  
23 provided. To complement thus the current state-of-the-art, a detailed analysis of this  
24 issue is performed. The frictional force vs. displacement pre-sliding data obtained  
25 experimentally, is thus used as previously explained to calculate the characteristics  
26 parameters for a varying number of Maxwell-slip blocks and reported in Table 3. By  
27 using this data, the model implemented in MATLAB is used to simulate the GMS-  
28 related responses. The results of the comparison of the hence obtained pre-sliding  
29 behavior, as function of the number of the slip blocks, to the average experimental data,  
30 are depicted in Figure 7 where once more the large variability of experimental data in  
31 repetitive measurements is confirmed.  
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From the data shown in Figure 7a it can be inferred that indeed at least four Maxwell-slip blocks do approximate well the measurements, although a larger number of blocks (cf. Figure 7b) allows an even better matching of the experimental data. In fact, a sufficient number of blocks is needed especially to capture well the large and highly variable slope of the pre-sliding behavior for small actuating forces. Since, however, a larger number of blocks implies a marked increase of the computational complexity,<sup>24</sup> and thus an increased difficulty in implementing the GMS model in real-time control systems, a particularized quantification of the number of required blocks is needed. To objectively quantify how well the modelled response for the considered number of Maxwell-slip blocks fits the experimentally determined pre-sliding behavior, the normalized Mean Square Error (*MSE*) statistics indicator is hence chosen:<sup>9</sup>

$$MSE(\hat{F}_f) = \frac{100}{N_s \cdot \sigma_{F_f}^2} \sum_{i_s=1}^{N_s} (F_f(i_s) - \hat{F}_f(i_s))^2 \quad (13)$$

where  $\sigma_{F_f}^2$  is the measured force variance (deviation of the measurements with respect to their mean value),  $F_f$  is the vector of the measured frictional forces and  $\hat{F}_f$  is the vector of frictional forces estimated by using the GMS model on  $N_s$  samples, while  $i_s$  represents the sample index. The constant 100 serves to obtain percent values of the relative discrepancy.

The thus obtained normalized *MSE* percentage values versus the number of the considered Maxwell-slip blocks  $N$  are shown in Figure 8. The data shown in Figures 7

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8 and 8 allow establishing clearly that the results attained by using the GMS model with  
9 two blocks are unsatisfactory; two slip blocks can therefore be reputed insufficient to  
10 model and compensate the effective frictional disturbances and hence also inappropriate  
11 to validate the efficiency of other friction model, as incautiously done in recent  
12 literature.<sup>12</sup> Already when three Maxwell-slip blocks are used, the obtained GMS results  
13 fall within the dispersion of the experimental pre-sliding data. In fact, while the  
14 stochastic component of the measurements is up to 15 %, the normalized MSE value,  
15 i.e., the error between the modelled and the factual data, is ~ 14 %. When, as often  
16 suggested in literature,<sup>6, 24</sup> four GMS slip blocks are used, the MSE is still ~ 3 %. In the  
17 case when six Maxwell-slip blocks are used, as was done in the validation of the GMS  
18 friction model in Figure 6, the normalized MSE is below 1 %, i.e., the model  
19 approximates excellently the behavior of the considered mechatronics device while still  
20 allowing a relatively straight-forward implementation in real-time control systems. On  
21 the other hand, using more than six Maxwell-slip blocks does not improve significantly  
22 the quality of the obtained results (while for 6 blocks the MSE is 0,5 %, for 7 blocks it  
23 decreases merely to 0,1 %), while unnecessarily complicating the determination of the  
24 characteristic parameters and the implementation of the GMS model in real-time control  
25 systems.

## Conclusions and outlook

Different friction models are validated in this work by identifying their characteristic parameters and comparing the resulting simulated pre-sliding behavior with experimental data attained on a nanometric positioning device. It is hence established that only Hsieh's and the GMS model allow efficiently predicting all the relevant frictional phenomena characteristic for the pre-sliding motion regime where ultra-high precision positioning certainly happens. However, Hsieh's model is qualitative and it comprises a large number of characteristic parameters with different physical foundation that are hard to identify. What is more, its implementation in real-time control systems, especially if based on disturbance observers, can be difficult due to the large computational load.<sup>25</sup> Also, while the GMS model can be easily extended to incorporate the sliding behavior without the need for a switching function, Hsieh's model is able to deal with pre-sliding friction only.

The structured sensitivity analysis of the relative errors depending on the number of characteristic blocks of the GMS friction model is thus methodologically conducted in this work, allowing to establish that three blocks are the minimum needed to approximate the behavior of the factual precision positioning systems, while six blocks allow representing excellently the real behavior, without influencing significantly the possibility to implement the GMS model in real-time control. The rigorous approach adopted in this work creates thus the preconditions for the development of adaptive

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8 control algorithms aimed at an efficient real-time compensation of the stochastic  
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10 variability of pre-sliding frictional disturbances. In future work, refined control  
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12 typologies, coupled with identification procedures and metrics suitable to discriminate  
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14 on-line the influence of frictional parameters, will thus be considered. In this frame, a  
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16 Koopman-based model predictive control (MPC) will be applied, since this approach  
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18 allows “lifting” the nonlinear dynamics of the considered device into a higher  
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20 dimensional space where its behavior can be predicted by a linear system; the  
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22 computational complexity of the thus obtained controller should thus be comparable to  
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24 that of MPCs for linear dynamic systems of the same size.<sup>26</sup> The resulting positioning  
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26 performances will be evaluated numerically and compared to the actual experimental  
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28 response of the herein considered ultra-high precision mechatronics device.  
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### 33 **Acknowledgements**

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### 41 **Declaration of conflicting interests**

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44 The authors declare no potential conflicts of interest with respect to the research, authorship and/or  
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46 publication of this article.  
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### Figure captions

**Figure 1.** Pre-sliding behavior: motion profile (a) and corresponding frictional response (b).

**Figure 2.** Schematic representation of Hsieh's model.

**Figure 3.** Determination of the nonlinear spring parameters of Hsieh's model.

**Figure 4.** GMS model: scheme (a) and approximation of the experimental  $F_f$  vs.  $x$  curve.

**Figure 5.** Considered ultra-high precision positioning system.

**Figure 6.** Comparison of the experimental and modeled responses for different friction models: Dahl's (a), the LuGre (b), Hsieh's (c) and the GMS (d) model.

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**Figure 8.** Dependence of the normalized MSE on the number of considered Maxwell-slip blocks.

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**Table captions**

**Table 1.** Main components of the experimental system.

**Table 2.** Experimentally determined parameters of Dahl's, the LuGre and Hsieh's models.

**Table 3.** Parameters of the GMS model vs. number of considered slip blocks.

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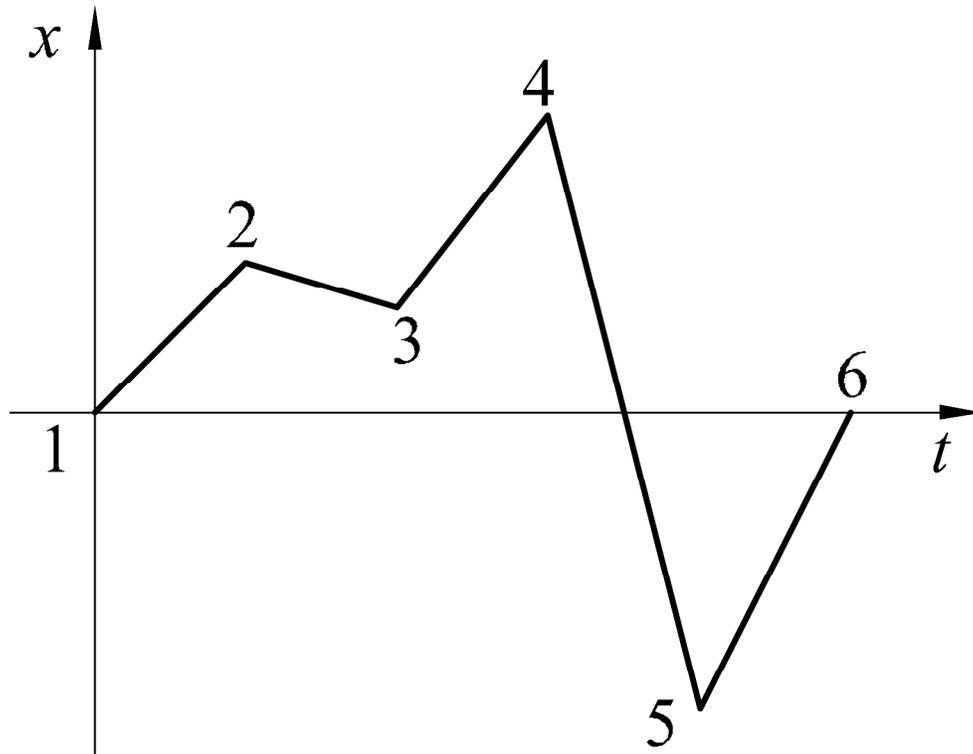


Figure 1. Pre-sliding behavior: motion profile (a) and corresponding frictional response (b).

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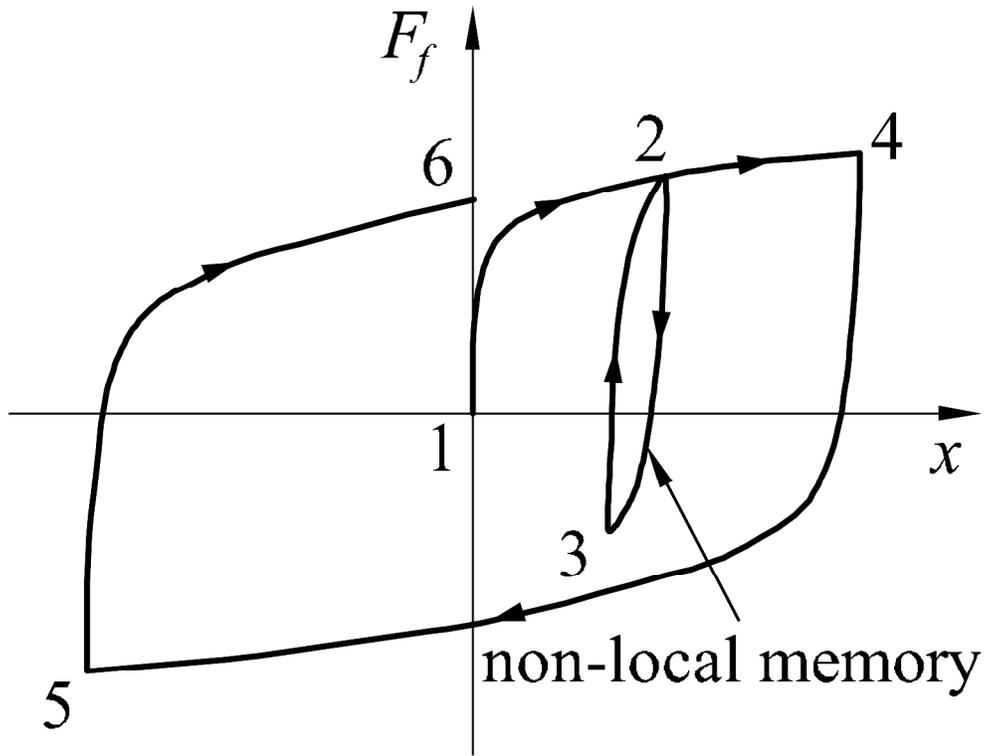
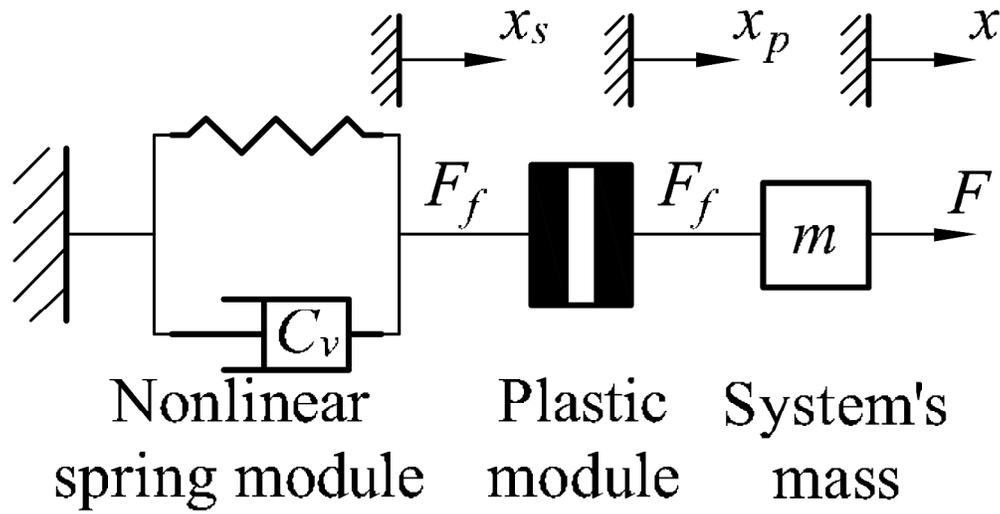


Figure 1. Pre-sliding behavior: motion profile (a) and corresponding frictional response (b).

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24 Figure 2. Schematic representation of Hsieh's model.

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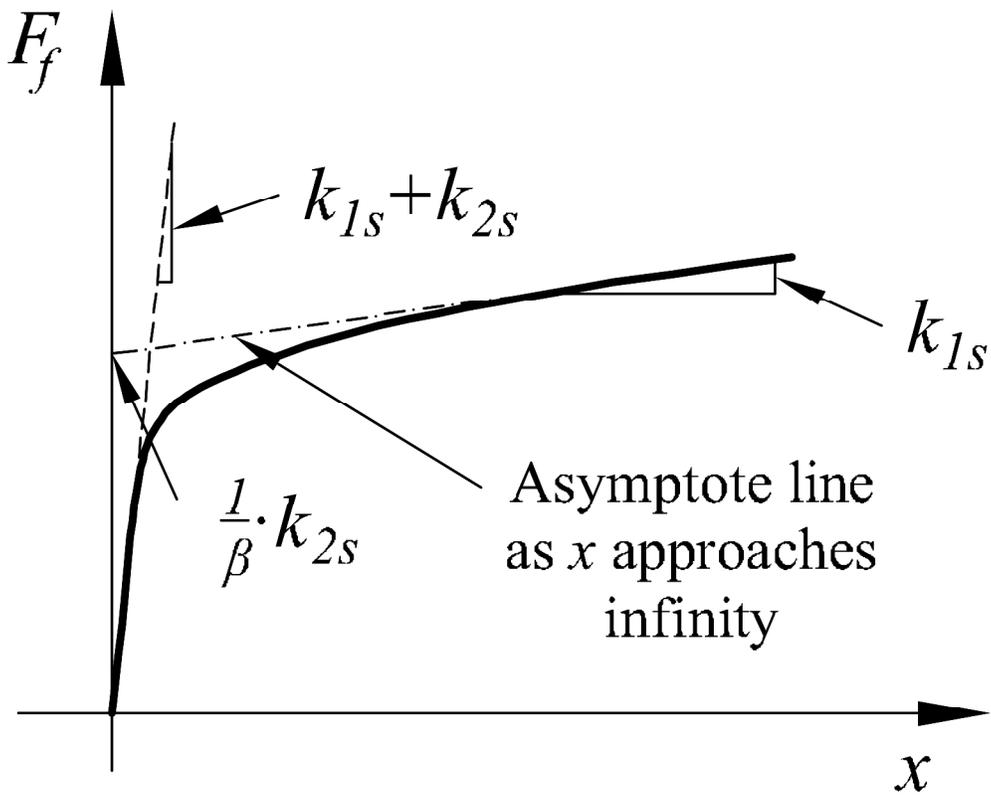
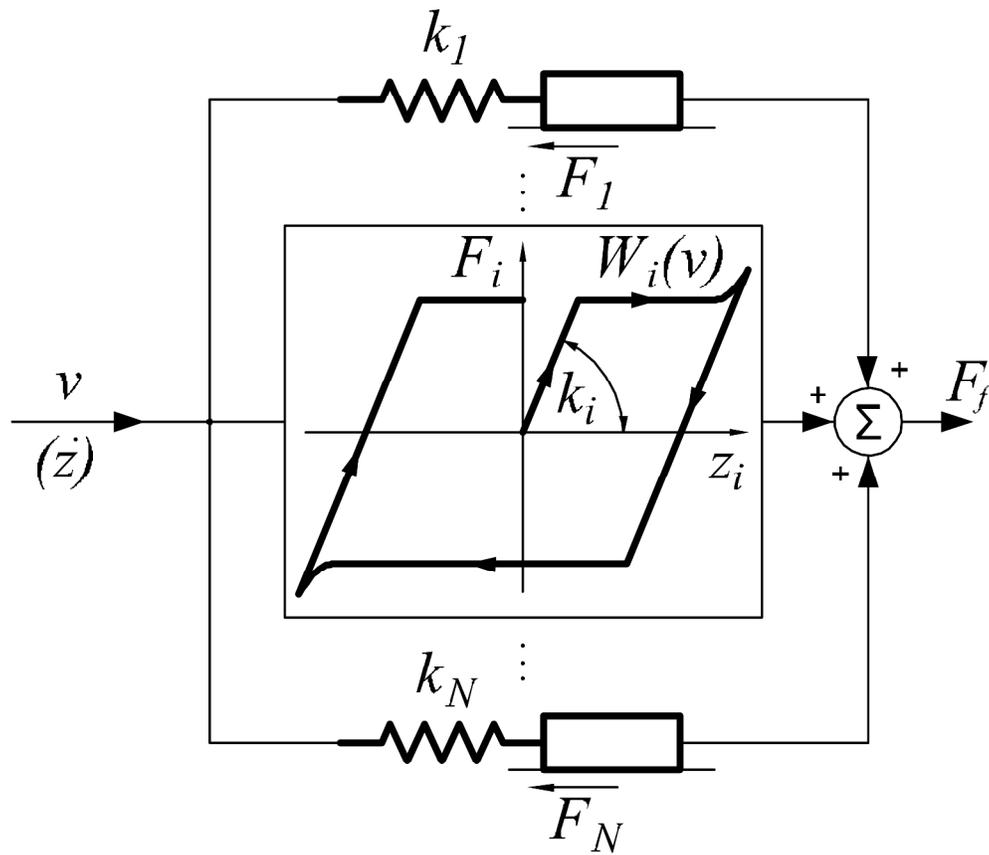


Figure 3. Determination of the nonlinear spring parameters of Hsieh's model.

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35 Figure 4. GMS model: scheme (a) and approximation of the experimental  $F_f$  vs.  $x$  curve.

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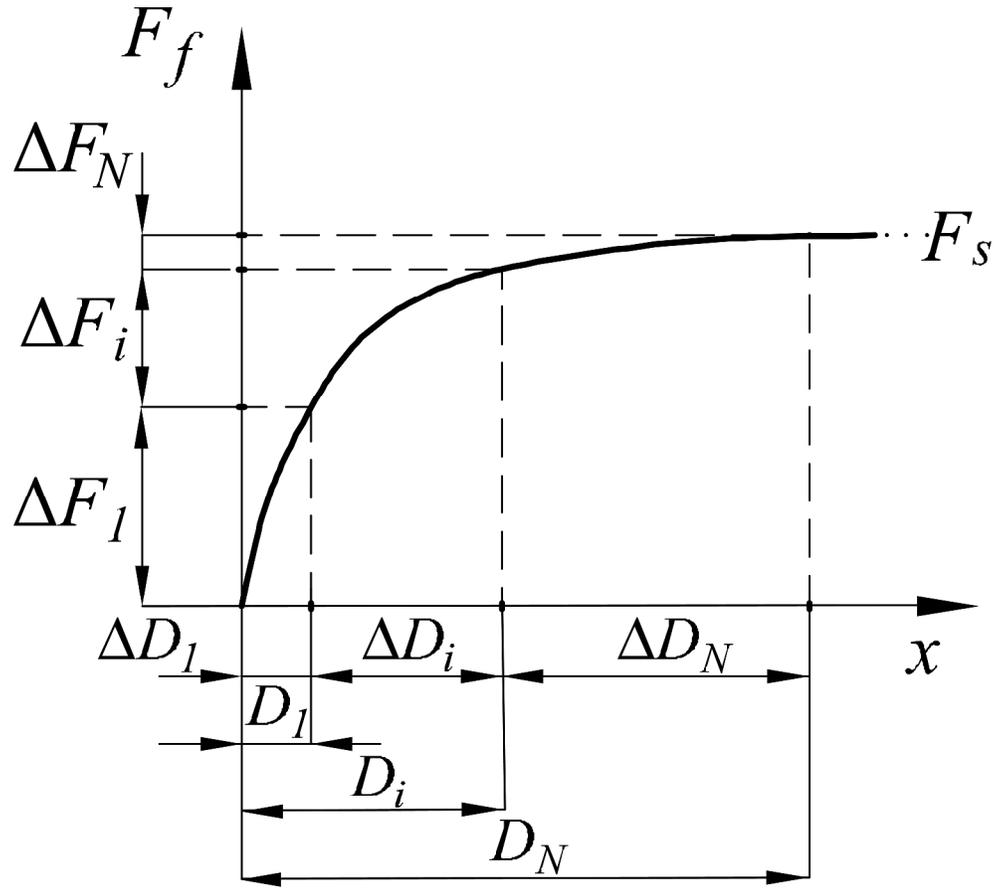


Figure 4. GMS model: scheme (a) and approximation of the experimental  $F_f$  vs.  $x$  curve.

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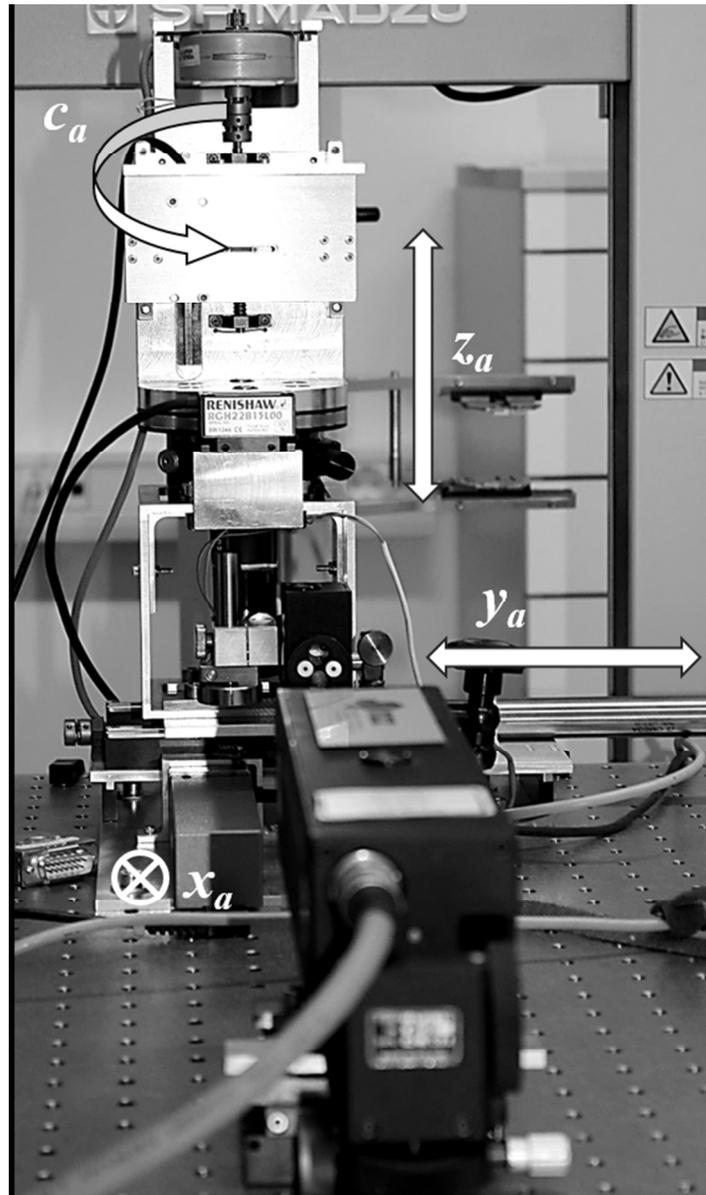


Figure 5. Considered ultra-high precision positioning system.

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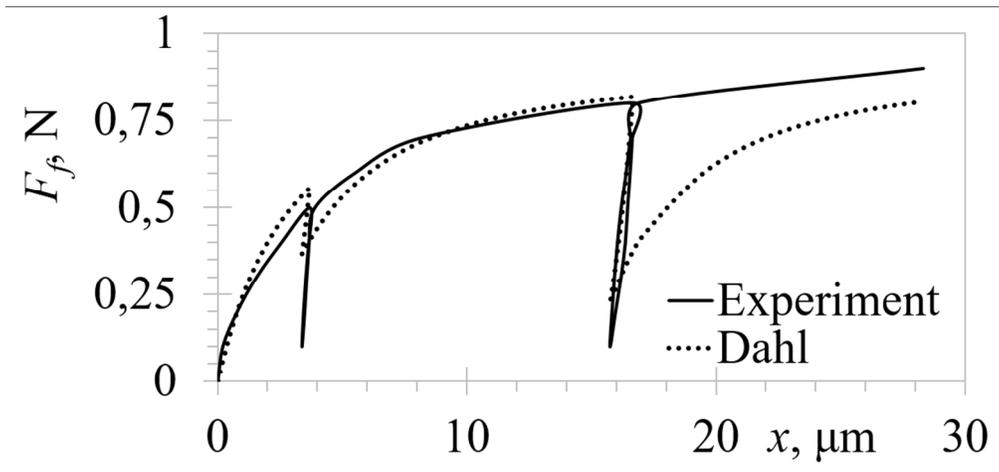


Figure 6. Comparison of the experimental and modeled responses for different friction models: Dahl's (a), the LuGre (b), Hsieh's (c) and the GMS (d) model.

206x95mm (150 x 150 DPI)

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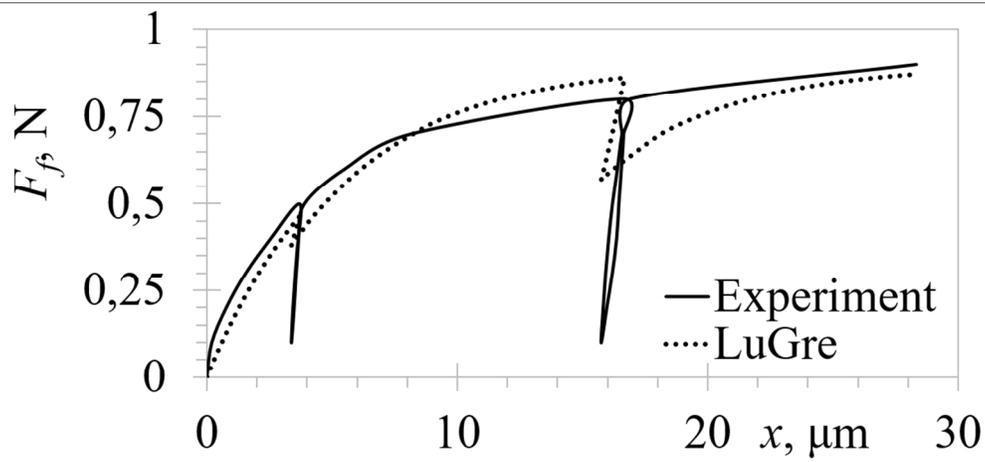


Figure 6. Comparison of the experimental and modeled responses for different friction models: Dahl's (a), the LuGre (b), Hsieh's (c) and the GMS (d) model.

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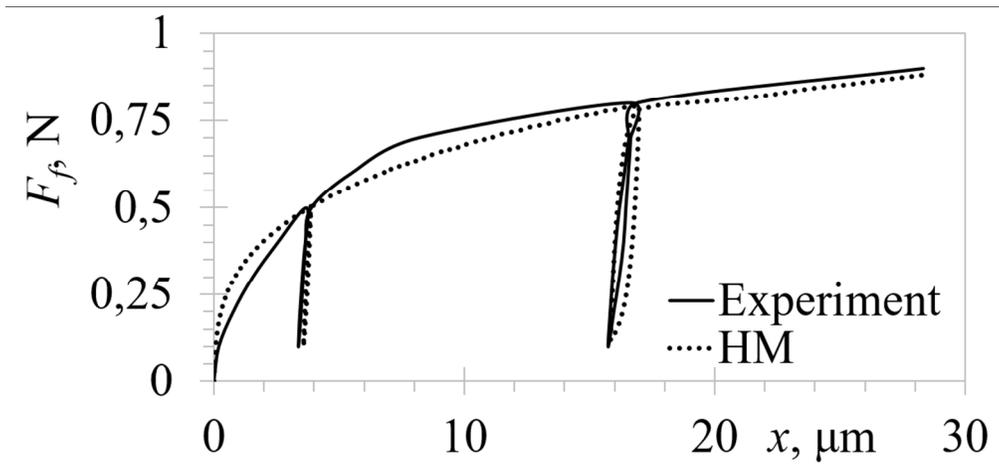


Figure 6. Comparison of the experimental and modeled responses for different friction models: Dahl's (a), the LuGre (b), Hsieh's (c) and the GMS (d) model.

206x95mm (150 x 150 DPI)

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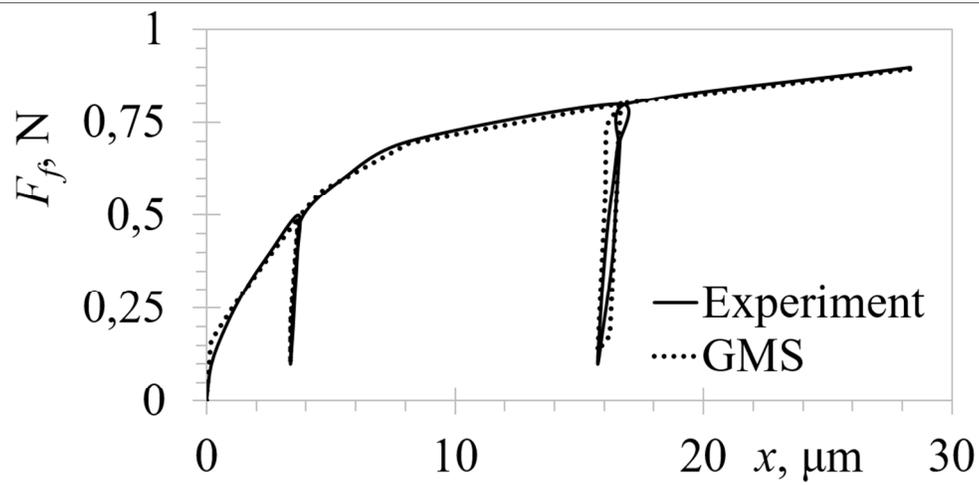


Figure 6. Comparison of the experimental and modeled responses for different friction models: Dahl's (a), the LuGre (b), Hsieh's (c) and the GMS (d) model.

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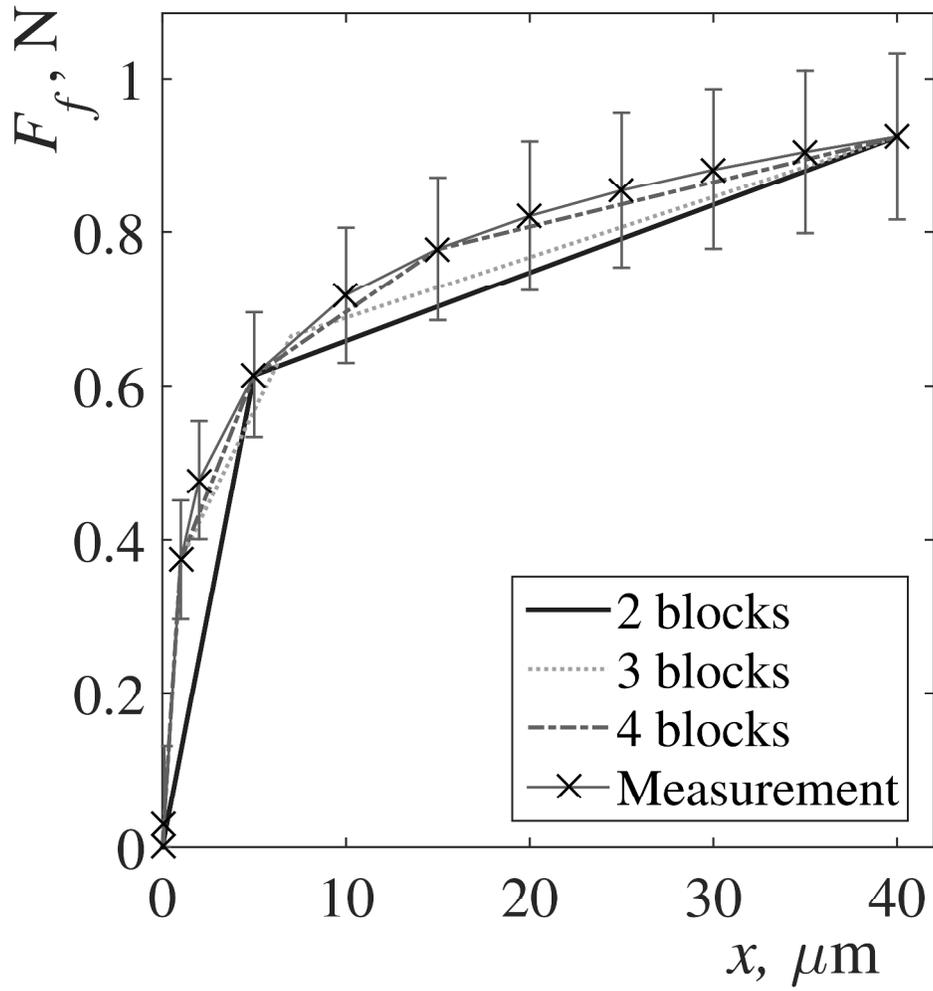


Figure 7. GMS responses for a varying number of Maxwell-slip blocks compared to experimental data: 2, 3 and 4 blocks (a) and 6 and 10 blocks (b).

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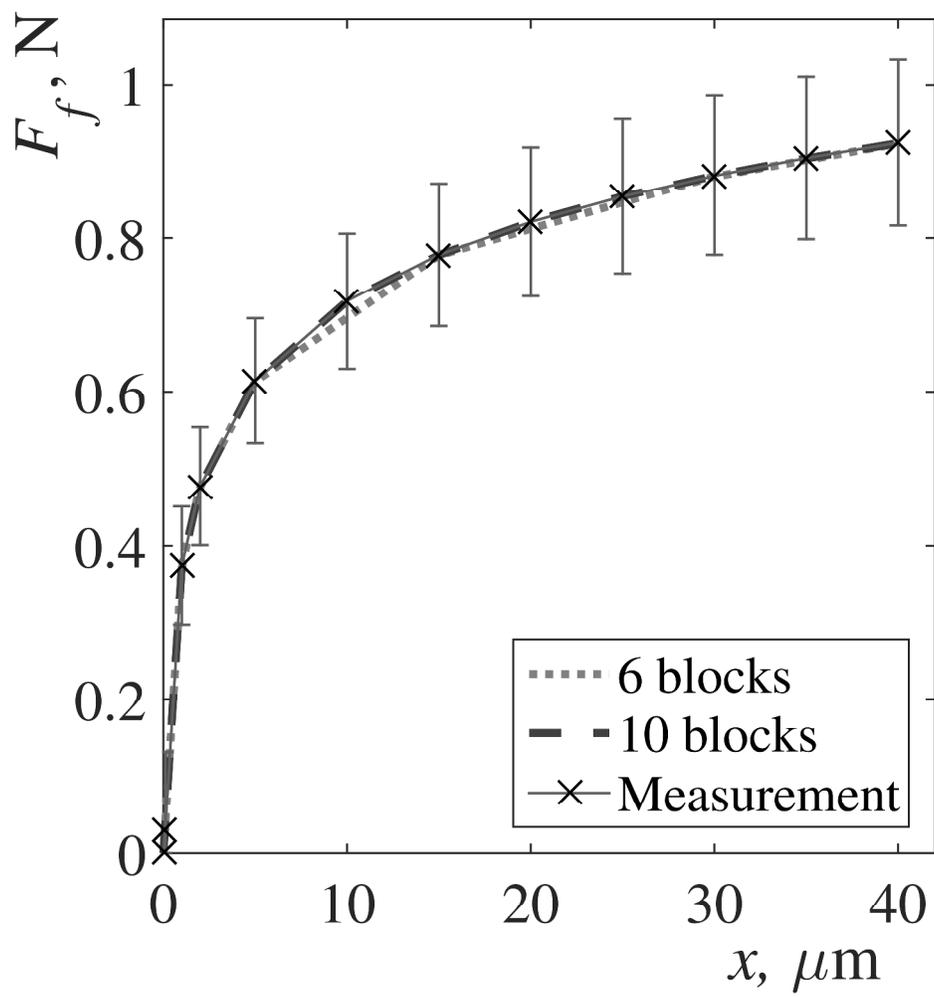


Figure 7. GMS responses for a varying number of Maxwell-slip blocks compared to experimental data: 2, 3 and 4 blocks (a) and 6 and 10 blocks (b).

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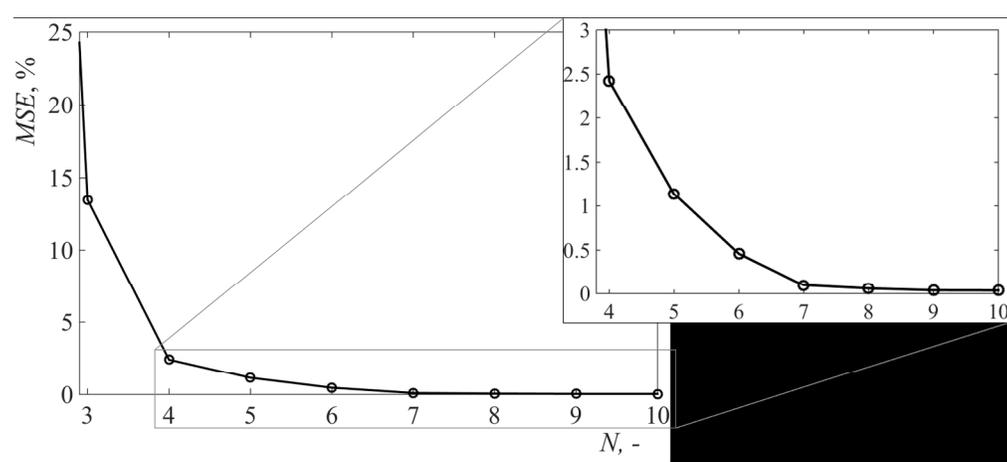


Figure 8. Dependence of the normalized MSE on the number of considered Maxwell-slip blocks.

427x190mm (150 x 150 DPI)

**Table 1.** Main components of the experimental system.

Actuator	Coupling	Ball screw and bearings	Guideways	Feedback sensor		Control system
				Encoder	Interp. unit	
Faulhaber M 1724 006 SR	Misumi MCGS1	SKF SH6x2R supported on 2 SKF 618/4 ball bearings	Schneeberger Minirail MN7	Heidenhain MT 60k linear incr. encoder (10 $\mu$ m period)	Heidenhain EXE 102 (100-fold interp.)	NI PXI-1050 w/ PXI-8196 controller, PXI 6221 DAQ and PXI-7833R FPGA module

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**Table 2.** Experimentally determined parameters of Dahl’s, the LuGre and Hsieh’s models.

	Dahl		LuGre		Hsieh
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$F_C$ , N	0.9	$\sigma_p$ , N/m	4416	$k_{2s}$ , N/m	2026400
$n$ , -	1.6	$F_C$ , N	0.9	$C_v$ , -	5000
		$F_s$ , N	0.9	$\beta$ , -	3216500
				$\rho$ , -	500
				$\psi$ , -	31200
				$a$ , -	3.22

**Table 3.** Parameters of the GMS pre-sliding model vs. number of considered slip blocks.

# of blocks	<i>i</i> -th block's <i>k</i> (N/m) and $\alpha$										
	1	2	3	4	5	6	7	8	9	10	
2	$k_i$	113948	8870								
	$\alpha_i$	0.616	0.384								
3	$k_i$	325379	40535	7886							
	$\alpha_i$	0.352	0.307	0.341							
4	$k_i$	313728	43670	10545	5858						
	$\alpha_i$	0.339	0.236	0.171	0.253						
5	$k_i$	270313	57886	29198	10545	5858					
	$\alpha_i$	0.292	0.125	0.158	0.171	0.253					
6	$k_i$	270313	57886	29198	9503	2604	4295				
	$\alpha_i$	0.292	0.125	0.158	0.154	0.084	0.186				
7	$k_i$	270313	57886	24903	10349	4295	1759	4295			
	$\alpha_i$	0.292	0.125	0.135	0.112	0.093	0.057	0.186			
8	$k_i$	270313	57886	24903	8590	3517	1927	1985	4678		
	$\alpha_i$	0.292	0.125	0.135	0.093	0.057	0.042	0.054	0.202		
9	$k_i$	270313	57886	24903	8590	3517	1927	1219	1149	4295	
	$\alpha_i$	0.292	0.125	0.135	0.093	0.057	0.042	0.033	0.037	0.186	
10	$k_i$	270313	57886	24903	8590	3517	1927	1219	841	616	3987
	$\alpha_i$	0.292	0.125	0.135	0.093	0.057	0.042	0.033	0.027	0.023	0.173