

Modeling, Control and Experimental Validation of a Novel Actuator Based on Shape Memory Alloys

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Abstract: Shape Memory Alloys (SMA) consist of a group of metallic materials that demonstrate the ability to return to some previously defined shape when subjected to the appropriate thermal procedure. The shape memory effect occurs due to a temperature and stress dependent shift in the materials crystalline structure between two different phases. Martensite, the low temperature phase, is relatively soft whereas Austenite, the high temperature phase, is relatively hard. The change that occurs within SMAs crystalline structure is not a thermodynamically reversible process and results in temperature hysteresis. The key feature of these materials is the ability to undergo large strains and subsequently recover these strains when a load is removed or the material is heated. Such property can be used to build silent and light actuators, similar to a mechanical muscular fiber. SMA actuators have several advantages in several engineering fields, mainly in robotics, replacing the conventional actuators like motors or solenoids. However, the good performance of the SMA actuator depends on a complex control and cooling systems, reducing the time constant and minimizing the effects of hysteresis. In the present paper, a novel cooling system is proposed, based on thermo-electric effect (Seebeck-Peltier effect). Such method has the advantage of reduced weight and requires a simpler control strategy compared to other forced cooling systems. A complete mathematical model of the actuator is derived, and an experimental prototype was implemented. Several experiments were used to validate the model and to identify all parameters. A robust and nonlinear controller, based on sliding-mode theory, was derived and implemented. Experiments were used to evaluate the actuator closed-loop performance, stability and robustness properties. The results showed that the proposed actuator presents, indeed, a very good dynamic response, compared to other actuators described in the literature.

Keywords: modeling, shape memory alloy, actuator, robotics, sliding mode control.

NOMENCLATURE

As, Af: initial and final temperature of austenite transformation
 A_{wire} : sectional area of the wire, m²
 c: damping coefficient, Ns/m
 C: conduction coefficient, W/°C/m.
 c_p : specific heat, J/Kg.K
 E: Young's Modulus, N/m²
 h: natural convection coefficient, W/m²°C/m
 i: electric current in the wire, A
 I: total inertia, kg
 J: moment of inertia of the pulley, kg.m²
 K: equivalent stiffness coefficient of the wire, N/m
 K_{SM} : sliding mode control gain
 m: mass per unity length, Kg/m
 m_L : mass of the load, kg

Ms, Mf: initial and final temperature of martensite transformation
 n: motion amplification factor
 R: electrical resistance per unity length, Ω/m
 $r_{1,r2}$: internal and external pulley radius, m
 T: SMA wire temperature, °C
 T_1, T_2 : traction, N
 T_p : temperature on the surface of the cooling element, °C
 T_{amb} : ambient temperature, °C
 x: load position, m

Greek Symbols

Δ =maximum wire elongation, m
 ε = deformation (strain) of the wire

ε_{my} = martensite maximum elastic deformation
 λ = sliding mode control parameter
 ξ = martensite fraction (0 to 100%)
 ξ_m = highest martensite fraction during cooling
 ξ_A = initial value of martensite fraction during cooling
 ϕ =boundary layer thickness
 σ = mechanical stress in the wire, N/m²
 ω = angular velocity of the pulley, rad/s

Subscripts

A relative to austenite
 M relative to martensite

INTRODUCTION

Shape Memory Alloys (SMAs) consist of a group of metallic materials that demonstrate the ability to return to some previously defined shape or size when subjected to the appropriate thermal procedure. The shape memory effect occurs due to a temperature and stress dependent shift in the materials crystalline structure between two different phases called Martensite and Austenite. Martensite, the low temperature phase, is relatively soft whereas Austenite, the high temperature phase, is relatively hard. The change that occurs within SMAs crystalline structure is not a thermodynamically reversible process and results in temperature hysteresis. SMAs have been used in a variety of actuation applications. The key feature of this material is its ability to undergo large seemingly strains and subsequently recover these strains when a load is removed or the material is heated. SMA actuators have several advantages such as excellent power to mass ratio, maintainability, reliability, and clean and silent actuation. The disadvantages are low

energy efficiency due to conversion of heat to mechanical energy, inaccurate motion control due to hysteresis, nonlinearities, parameter uncertainties, difficulty in measuring variables such as temperature and the slow response due to the thermal process evolved in the working principle.

To operate quickly, the SMA must be cooled rapidly. Some researchers have proposed static methods, in which the SMA wires are continually cooled by means of an air stream (Tanaka and Yamada, 1991). In a similar way, Furuya and Shimada (1990) used a cooling system based on water immersion. In such case, cooling time was reduced in 10 times compared to a non-cooled wire. However, the power consumption of such actuator has increased by a factor of 20, since in the heating phase it is necessary much more power to compensate the heat that is lost by the cooling system.

Golbert and Russel (1995) used a mobile metallic heat sink and a complex mechanism guaranteed that the sink was only in contact to the wire being cooled, which minimizes the power consumption of the actuator and increases its dynamic behavior. Asada and Mascaro (2002) developed an actuator with a cooling system based on flowing water around the wire. A complex system guarantees that water flows only when wire must be cooled. The dynamic response of the actuator is expressively better, and the power consumption is also acceptable.

In order to increase the dynamic characteristics of SMA actuators, keeping a simple mechanical and electrical design, the present work proposes a novel cooling system based on thermoelectric effect (Seebeck-Peltier effect). A complete mathematical model of the actuator is derived and an experimental prototype is used to validate the model and identify all parameters. A sliding-mode control is also derived and some preliminarily results of its application in the experimental system are obtained and discussed.

EXPERIMENTAL SET-UP

An experimental prototype of the SMA actuator, cooled by a thermoelectric element, was built. It was used to validate the mathematical model and to evaluate the control algorithm. Figure 1 shows a simple scheme of the actuator. The thermoelectric tablet is assembled in a heat sink and a small blower is also used to dissipate the heat. The SMA wire is attached to the structure, by means of an electric connector C_1 . The other end of the wire is attached to the intern pulley (radius $r_1=0.45\text{cm}$). A 40g load is supported by a wire connected to the external pulley ($r_2=4.5\text{cm}$). The length of the SMA wire is 15cm, and its typical 4.0% deformation is amplified by a factor $n = r_2/r_1 \cong 10$. So, it is expected a 6cm elevation of the load, which is equivalent to a 76° pulley rotation. Such rotation is measured by a potentiometer directly attached to the pulley axis.

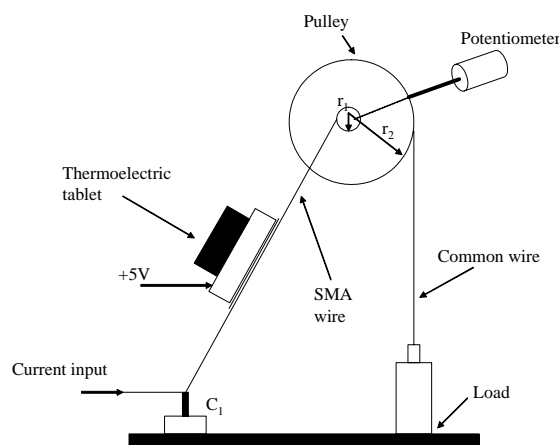
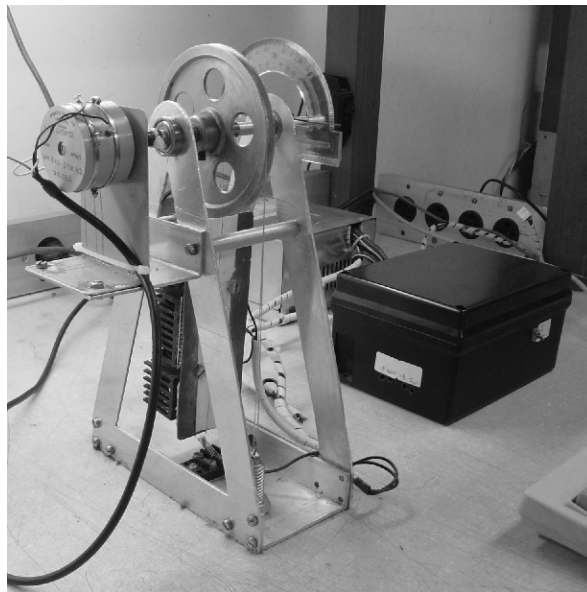


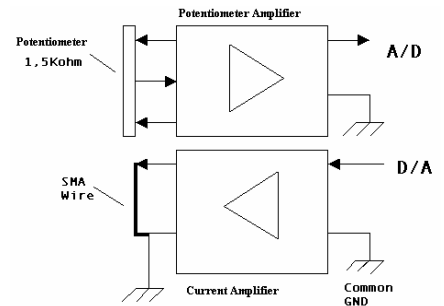
Figure 1. Diagram of the SMA actuator

Figure 2a shows a picture of the actuator. The signal conditioning module is shown in Figure 2b. It is composed by a constant current amplifier that supplies up to 1A the electric current to heat the SMA wire and by a voltage amplifier/filter connected to the potentiometer. The module is connected to a computer (Pentium 100MHz) by mean of a 10bits AD/DA board. The thermoelectric tablet is constantly powered by a 5V tension.

A Matlab/Simulink software was used to acquire and process the data from the potentiometer, and to send the command to the current that must be imposed to the SMA wire. Such software is flexible, and several control algorithms can be easily implemented. Furthermore, all graphical and mathematical tools provided by Matlab/Simulink can be used. The interface with AD/DA board was developed by means of a low-level code included in the software. Figure 3 shows a picture of the whole system.



(a)



(b)

Figure 2. (a) Picture of the actuator ; (b) Picture and diagram of the signal conditioning module



Figure 3. SMA actuator and controlling computer

MATHEMATICAL MODEL

The model developed in the present work is based on the formulations proposed by Ikuta, Tsukamoto and Hirose (1991); Grant, Hayward and Lu (1997); Ashrafiuon and Elahinia (2002) and Hoder, Vasina and Solc (2003). It is composed by a thermal model, a phase transformation model and a description of the mechanical properties and dynamics of the system (Figure 4).

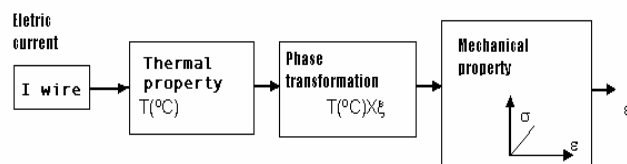


Figure 4. SMA actuator model

The main variables used in the model are:

i – electric current in the SMA wire (A)

T – SMA wire temperature (°C)

ξ - martensite fraction (0 a 100%)

σ - mechanical stress in the SMA wire (N/m²)

ε - deformation (strain) of the SMA wire ($\Delta L/L$)

Thermal model

Thermal model was base on the system shown in Figure 5, in which the SMA wire touches the thermoelectric element. The temperature of the element is considered to be constant, equal to 15°C.

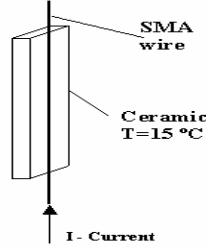


Figure 5 SMA wire and cooling element

Considering several simplification hypothesis (Grand, Hayward and Lu, 1997), the thermal model can be written as (thermomechanical coupling is also not included since the deformation rate of the SMA wire is small, and such effect becomes important for fast or highly oscillatory deformations):

$$m \cdot c_p \cdot \frac{dT}{dt} = i^2 \cdot R - h \cdot A \cdot (T - T_{amb}) - C \cdot (T - T_p) \quad (1)$$

In the previous equation, T_p is the temperature on the surface of the cooling element (15°C), T_{amb} is the ambient temperature (considered to be 20°C), h is the natural convection coefficient per unity length of SMA wire (in W/m²°C/m) and C is the conduction coefficient per unity length (in W/°C/m). Furthermore, technical specifications of the SMA wire Flexinol FLX 00870, 0.008'', 70°C) are given by (Dynalloy, 2005):

m - mass per unity length ($2 \cdot 10^{-4}$ Kg/m)

c_p - specific heat (837 J/Kg.K)

R - electrical resistance per unity length (32Ω/m)

A - external area per unity length ($6.28 \cdot 10^{-4}$ m²/m)

d -diameter ($2 \cdot 10^{-4}$ m)

The parameters h and C are very difficult to estimate, since they depend on several variables. A rough estimation of such parameters, based on the theory exposed in Incropera and Witt (1998), are $C = 0.4$ W/°C/m and $h = 6.55$ W/m²°C/m. In the sequel, an identification procedure will be used to obtain values closer to the real ones.

Phase Transformation

During heating, occurs the transformation between Martensite (M) to Austenite (A), and during the cooling phase, the opposite transformation occurs. Basic equations that model such transformations, as a function of temperature, are given below (Ikuta, Tsukamoto and Hirose, 1991):

$$\xi = \frac{\xi_m}{1 + \exp\left[\frac{6.2}{Af - As} \left(T - \frac{As + Af}{2}\right)\right]} \quad (\text{heating});$$

$$\xi = \frac{1 - \xi_A}{1 + \exp\left[\frac{6.2}{Mf - Ms} \left(T - \frac{Ms + Mf}{2}\right)\right]} + \xi_A \quad (\text{cooling}) \quad (2)$$

where As and Af are the initial and final temperature of austenite transformation respectively; Ms and Mf are the initial and final temperature of martensite transformation respectively, ξ_m is the highest martensite fraction during cooling and ξ_A is the initial value of martensite fraction during cooling. Typical values are $As = 68^\circ\text{C}$, $Af = 78^\circ\text{C}$, $Ms = 52^\circ\text{C}$ and $Mf = 42^\circ\text{C}$ (Dynalloy, 2005). However, such values may present variations up to $\pm 15^\circ\text{C}$, and an identification procedure will

be applied to evaluate the correct values for the wire used in the experimental actuator. A plot of the phase transformation is showed below, and the hysteresis gets evident (Holder; Solc and Vasina, 2003),

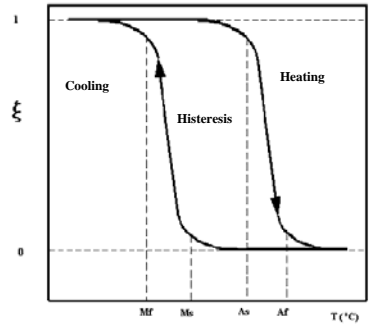


Figure 6 Phase transformation plot

Mechanical properties and dynamics

Mechanical properties of shape memory alloys are obtained by means of a multiple layer model. The austenite phase is characterized by an elastic behavior. The martensite phase presents a behavior that seems to be plastic, deformed by a small stress (Ikuta, Tsukamoto and Hirose, 1991). So, for $\xi=0$ (full austenite), the stress-strain relation is given by:

$$\sigma_A = E_A \cdot \varepsilon \quad (3)$$

where σ_A is the mechanical stress in the austenite portion of the alloy and E_A is the austenite Young's Modulus. In the other way, when $\xi = 1$ (full martensite), the stress-strain relation is given by:

$$\begin{aligned} \sigma_m &= E_m \cdot \varepsilon \quad \text{if } |\varepsilon| \leq |\varepsilon_{my}| \\ \sigma_m &= E_m \cdot \varepsilon_{my} \quad \text{if } |\varepsilon| > |\varepsilon_{my}| \end{aligned} \quad (4)$$

where E_m is the martensite Young's Modulus, ε_{my} is the martensite maximum elastic deformation, σ_m is the maximum stress in the martensite. The martensite mechanical behavior is illustrated in the figure below:

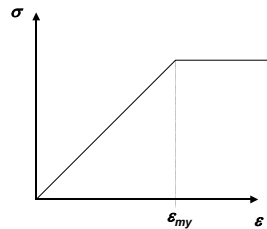
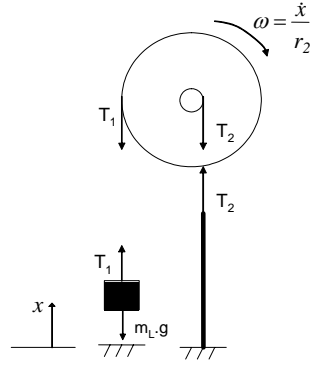


Figure 6 Martensite mechanical behavior

Considering then the case with $0 < \xi < 1$, the stress-strain relation is given by:

$$\sigma = \xi \cdot \sigma_M + (1 - \xi) \cdot \sigma_A \Rightarrow \begin{cases} \varepsilon = \frac{\sigma}{\xi \cdot E_M + (1 - \xi) \cdot E_A} & \text{for } |\varepsilon| \leq |\varepsilon_{my}| \\ \varepsilon = \frac{\sigma - \xi \cdot E_M \cdot \varepsilon_{my}}{(1 - \xi) \cdot E_A} & \text{for } |\varepsilon| > |\varepsilon_{my}| \end{cases} \quad (5)$$

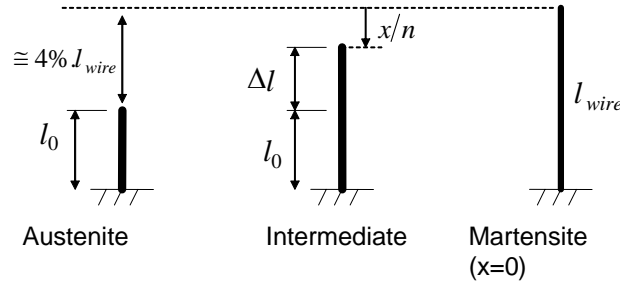
The dynamics of the actuator is now considered. A simplified diagram of the actuator and the main forces are shown in the figure below, where the coordinate x represents the position of the load:


Figure 7 Diagram of the actuator and main forces

The traction T_1 holds the load, T_2 is the traction acting on the SMA wire and ω is the angular velocity of the pulley. So, being J the moment of inertia of the pulley and m_L the mass of the load, using the basic laws of Mechanics one obtains:

$$-T_1 r_2 + T_2 r_1 = J \cdot \frac{\ddot{x}}{r_2} \quad ; \quad -m_L g + T_1 = m_L \cdot \ddot{x} \quad (6)$$

Traction T_2 may be estimated using a linear spring analogy. Figure 8 shows the wire in three possible states. In the austenite phase, the “spring” presents its initial length l_0 . In the martensite phase, the wire reaches its maximum length l_{wire} , that correspond to the situation in which the load position is $x=0$. The difference between l_0 and l_{wire} is approximately 4% of the l_{wire} . In an intermediate phase, the “spring” elongation Δl is given by $4\% l_{wire} - x/n$.


Figure 8 Spring analogy

So, the traction is given by $T_2 = K \cdot \Delta l = K \cdot (0,04 l_{wire} - x/n)$, where K is the equivalent stiffness coefficient of the wire. Including a damping term, the equation of motion of the actuator becomes:

$$\left(\frac{J}{r_2^2} + m_L \right) \ddot{x} + c \cdot \dot{x} + \frac{K}{n^2} \cdot x = -m_L g + (0,04 l_{wire} K) / n \quad (7)$$

The stiffness coefficient K may be evaluated using (5). Assuming elastic behavior, being A_{wire} the sectional area of the wire, one obtains:

$$\sigma = [\xi \cdot E_M + (1 - \xi) \cdot E_A] \cdot \varepsilon \quad \text{or} \quad \frac{T_2}{A_{wire}} = [\xi \cdot E_M + (1 - \xi) \cdot E_A] \cdot \frac{\Delta l}{l_0} \quad (8)$$

Finally, considering that martensite stress will be higher than its elastic limit, it may be assumed that it will present a full plastic behavior, with a very small stiffness. So, E_M may be excluded from (8), resulting the approximation:

$$K = [(1 - \xi) \cdot E_A] \cdot \frac{A_{wire}}{l_0} \quad (9)$$

Parameter Identification

Thermal parameters C and h , as well as the transformation temperatures (M_s , M_f , A_s and A_f) must be accurately evaluated using a proper experimental procedure. A ramp excitation was induced in the wire, inducing a displacement of the load, as shown in Figure 9.

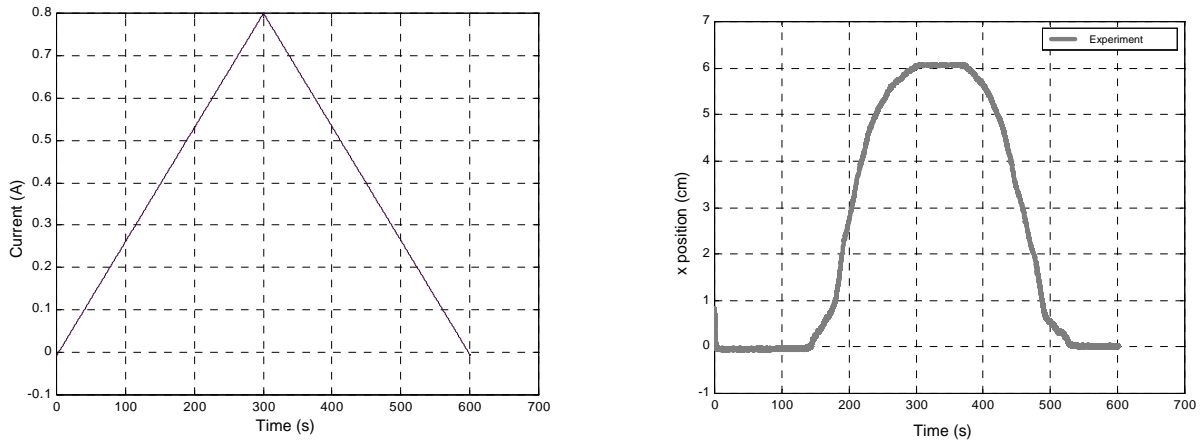


Figure 9 (left) Current ramp excitation; (right) Position of the load

Using an optimization algorithm based on Quadratic Sequential Programming (SQP), the model parameters were adjusted in order to make the model to recover the measured position accurately. The following parameters were obtained: $C=0.255 \text{ W/}^\circ\text{C/m}$, $h=7 \text{ W/m}^2\text{C/m}$, $M_s = 66^\circ\text{C}$, $M_f = 34^\circ\text{C}$, $A_s = 53^\circ\text{C}$, $A_f = 93^\circ\text{C}$. The comparison between the measured position and that obtained by the model simulation is given in Figure 10. A good accuracy of the model could be assured.

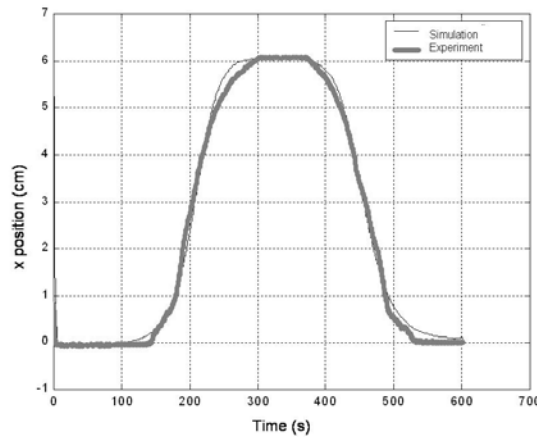


Figure 10 Comparison between simulation and experimental results

CONTROL SYSTEM DESIGN

In order to apply the sliding mode control to the SMA actuator, the model previously developed must be adapted, following the formulation exposed in Slotine and Li (1991). After some algebraic manipulation using (1) and (2), the dynamics of phase transformation can be written as:

$$\dot{\xi} = f(\xi) + b(\xi).u \quad (10)$$

with:

$$f(\xi) = \frac{-a}{\xi_0 mc_p} (\xi_0 (\xi - k) - (\xi - k)^2) \left(hAT_{amb} + cT_p - (hA + c) \left(\frac{1}{a} \ln \left(\frac{\xi_0}{\xi - k} - 1 \right) + b \right) \right)$$

$$b(\xi) = \frac{-a}{\xi_0 mc_p} (\xi_0 (\xi - k) - (\xi - k)^2) R \quad ; \quad u = I^2 \quad \text{and} \quad \begin{cases} a = \frac{6.2}{A_f - A_s}; b = \frac{A_s + A_f}{2}; \xi_0 = \xi_M; k = 0 \text{ if } \dot{T} > 0 \\ a = \frac{6.2}{M_s - M_f}; b = \frac{M_s + M_f}{2}; \xi_0 = 1 - \xi_A; k = \xi_A \text{ if } \dot{T} < 0 \end{cases}$$

Using (1) and (9), the dynamics of the motion can also be written as:

$$I\ddot{x} + c\dot{x} + \frac{K_0(1-\xi)}{n^2}x = -m_L g + \frac{K_0(1-\xi)}{n}\Delta \quad (11)$$

with $I = (J/r_2^2 + m_L)$; $K_0 = E_A A_{wire}/l_0$ and $\Delta = 0.04l_{wire}$. In equations (10) and (11), the variable x is measured, but the variable ξ must be estimated. This may be done considering a quasi-static approximation to (11), making $\dot{x} = \ddot{x} = 0$, that results:

$$\hat{\xi} = 1 - \frac{m_L g}{K_0 \left(\frac{\Delta}{n} - \frac{x}{n^2} \right)} \quad (12)$$

Differentiating (11), and using (10), one obtains the SMA model adequate to apply sliding mode control, as proposed by Slotine and Li (1991):

$$\ddot{\mathbf{x}} = \mathbf{f}(\mathbf{x}) + \mathbf{b}(\mathbf{x})u \quad (13)$$

$$\text{with } \mathbf{x} = (\xi \quad x \quad \dot{x} \quad \ddot{x})^T, \mathbf{f}(\mathbf{x}) = \frac{-c}{I}\ddot{x} - \frac{K_0(1-\xi)}{In^2}\dot{x} + \left(\frac{K_0 x}{In^2} - \frac{K_0 \Delta}{In} \right) f(\xi) \text{ and } \mathbf{b}(\mathbf{x}) = \left(\frac{K_0 x}{In^2} - \frac{K_0 \Delta}{In} \right) b(\xi).$$

So, the control action $u = i^2$ is given by:

$$u = \frac{1}{\hat{\mathbf{b}}(\mathbf{x})} \left(-\hat{\mathbf{f}}(\mathbf{x}) + \ddot{x}_d - 2\lambda\dot{\tilde{x}} - \lambda^2\tilde{x} \right) - K_{SM} \text{sat}(s/\phi) \quad (14)$$

with $s = \ddot{\tilde{x}} + 2\lambda\dot{\tilde{x}} + \lambda^2\tilde{x}$. $\hat{\mathbf{f}}(\mathbf{x})$ and $\hat{\mathbf{b}}(\mathbf{x})$ are the best estimates of the functions in model (13), considering the approximate values for the parameters and the estimate of the variable ξ given in (12). x_d is the desired position of the actuator load (set-point), λ is a positive constant related to the cut-off frequency of the closed-loop system, ϕ is the boundary layer thickness to avoid control chattering and K_{SM} is a control gain related to the modeling and parameter estimation errors.

A detailed description of the control design may be found in Slotine and Li (1991).

EXPERIMENTAL RESULTS

The control logic previously developed was applied to the experimental prototype, and the performance of the closed loop system could be evaluated. Figure 11 shows a reference step of 2cm applied at $t=10$ s. Control parameters are $\lambda=10$; $\phi=0.05$ and $K_{SM}=0.75$. The 5% settling time obtained is 1.05s, and the maximum overshoot is 11%.

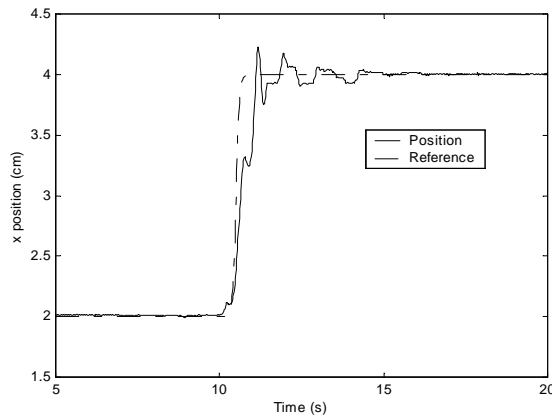


Figure 11 Step response of the SMA actuator

The s variable, used in the sliding mode control, is shown in Figure 12. It can be noticed that it is kept inside the boundary layer, except during the change in the set-point. Control current is also shown in Figure 12, and it can be seen the switching behavior.

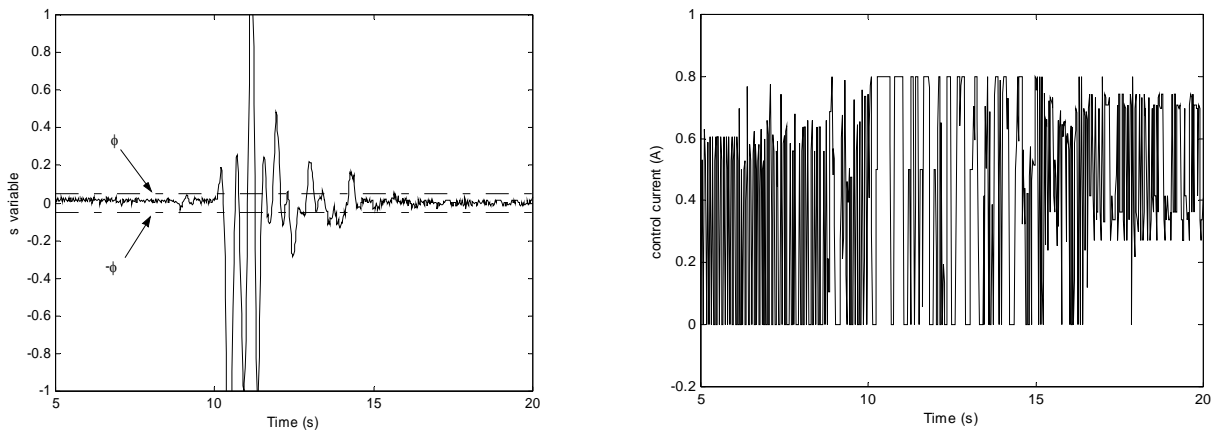


Figure 12 Step response of the SMA actuator. (Left) s variable and the boundary layer; (Right) Control action

In order to illustrate the influence of control parameters on the closed-loop performance, Figure 13 shows the same step response, considering a new value for λ parameter ($\lambda=13$). Such parameter is related to the closed loop cut-off frequency, and the system gets faster with higher values of λ . In fact, the 5% settling time is reduced to 0.3s, but the overshoot has increased to 13.5% and the response becomes more oscillatory. Such trade-off must be considered during the adjustment of control parameters.

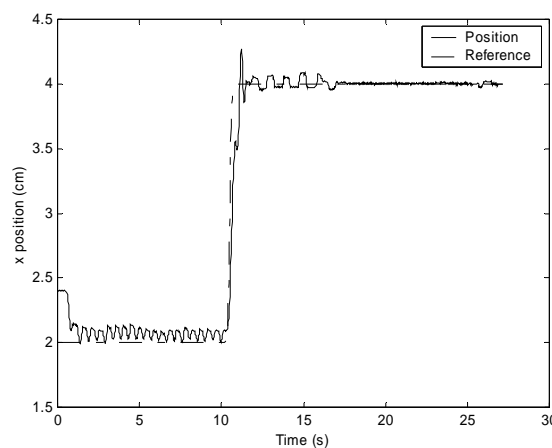


Figure 13 Step response of the SMA actuator ($\lambda=13$)

The response to a 1cm step reference is shown in Figure 14. It can be seen that the closed loop performance is still acceptable, but it is worse than for the 2cm step (Figure 11). The non-linear properties of the system explain such differences.

Finally, a harmonic set-point was applied to the actuator, with amplitude of 1cm and periods of 20s and 5s (Figure 15). An oscillatory behavior was verified, and such problem is still being investigated. It can be seen that, despite the oscillation around the set-point, the system follows the reference with good accuracy.

CONCLUSIONS

A novel SMA actuator was proposed, using the thermoelectric effect for cooling the SMA wire. An experimental prototype was built, and a mathematical model was developed. The model parameters were adjusted by means of an experimental identification procedure. The validated model was then used to design a sliding mode controller. Such controller is able to deal with model and parameter uncertainties, and also with non-linear effects. Closed-loop preliminary results obtained in the experimental set-up showed that the proposed actuator presents a good dynamic response.

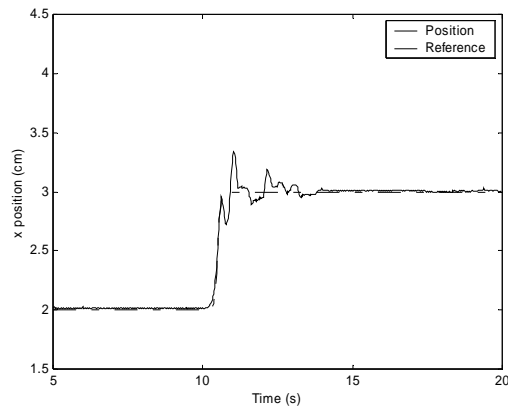


Figure 14 Step response of the SMA actuator (1cm step)

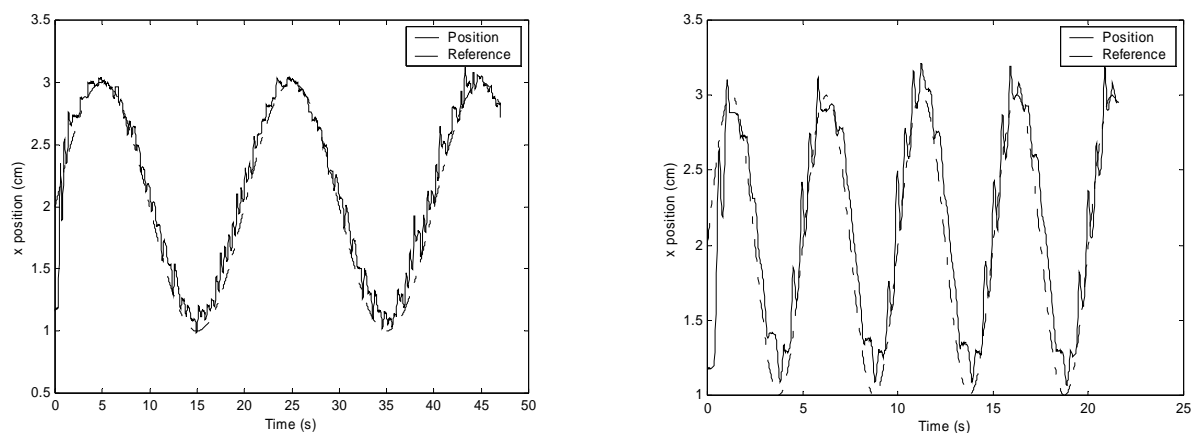


Figure 15 Harmonic set-point response of the SMA actuator (1cm amplitude). (Left) 20s period; (Right) 5s period

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