

Some insights on the practical control of hyperbolic systems

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Introduction: Hyperbolic systems

- Phenomena with **finite propagation speeds**: waves, balance laws, conservation laws.

$$\partial_{tt}w(t, x) - c^2\partial_{xx}w(t, x) = 0.$$

- Examples: mass, charge, energy, momentum
- Complex engineering problems: stabilization, observer design, parameter estimation.

Stringent operating, environmental and economical requirement

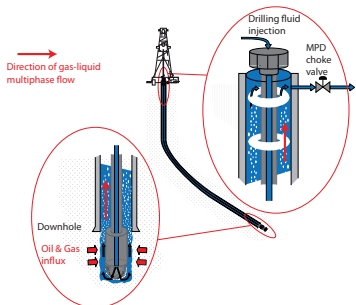
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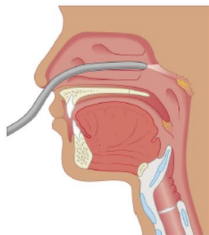
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Control and estimation of mechanical vibrations



Control of a micro-endoscope

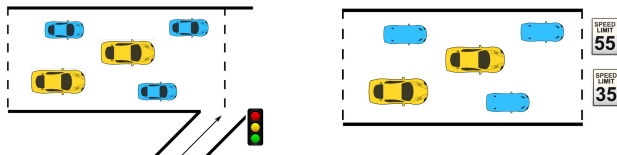
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Stringent operating, environmental and economical requirement



Traffic congestion control (avoid stop-and-go oscillations)

Objective

Develop a **systematic framework** for the **practical control** of hyperbolic systems

- Design of explicit control laws: **constructive methods.**
- Easily implementable strategies: **low computational burden.**
- Possible real implementation: **performance specifications.**

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Multiple theoretical approaches

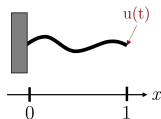
- Optimization controllers [Russel, Lions]
- Lyapunov-based controllers [Bastin, Coron, Prieur]
- Flatness-based methods [Meurer]
- **Backstepping controllers** [Krstic]

Breakthroughs but several practical **limitations.**

Toy problem: clamped string

Toy system: **clamped string** with indefinite in-domain damping and space-varying coefficients

→ towards generalization to more complex systems



$$\rho(x) \frac{\partial^2 w}{\partial t^2}(t, x) = \frac{\partial}{\partial x} \left(E(x) \frac{\partial w}{\partial x}(t, x) \right) - \kappa(x) \frac{\partial w}{\partial t}(t, x)$$

$\rho(x)$ mass density, $E(x)$ Young's modulus $\in C^1([0, 1])^+$, $\kappa(x) \in C^0([0, 1])$ in-domain damping.

Boundary conditions:

- No movement in $x = 0$: $\frac{\partial w}{\partial t}|_{x=0}(t) = 0$
- Torque control input in $x = 1$: $E(1) \frac{\partial w}{\partial x}|_{x=1}(t) = U(t)$

Initial conditions: $w(0, x) = w_0(x) \in C^1([0, 1])$.

Riemann coordinates: $u(t, x) = w_t(t, x) - \sqrt{\frac{E(x)}{\rho(x)}} w_x(t, x)$, $v(t, x) = w_t(t, x) + \sqrt{\frac{E(x)}{\rho(x)}} w_x(t, x)$

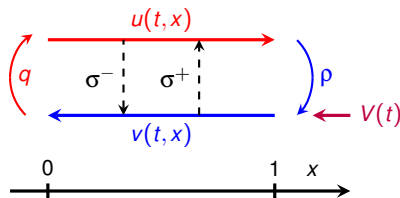
System under consideration

System of **scalar balance laws**: simple test case to present generic concepts

$$u_t(t, x) + \lambda(x)u_x(t, x) = \sigma^{++}(x)u(t, x) + \sigma^+(x)v(t, x),$$

$$v_t(t, x) - \mu(x)v_x(t, x) = \sigma^{--}(x)v(t, x) + \sigma^-(x)u(t, x),$$

$$u(t, 0) = qv(t, 0) \quad v(t, 1) = \rho u(t, 1) + V(t).$$



- Diagonal terms can be removed with exp. change of coordinates.
- Couplings \rightarrow instability.
- Distributed states and boundary control.

Outline of the presentation

- 1 An introduction to the backstepping approach
- 2 Design of robust control laws for hyperbolic systems
- 3 Development of easily parametrizable target systems.
- 4 Integration, approximation, and model reduction.

- Extension of finite-dimensional backstepping [Krstic et al.; 1995]
- Introduced for parabolic PDEs [Balogh, Krstic; 2002]
- Second-order hyperbolic PDEs [Krstic et al.; 2006]
- First-order hyperbolic PDEs [Krstic, Smyshlyaev; 2008]
- Systems of First-order hyperbolic PDEs [Vazquez; 2012], [Di Meglio et al.; 2013]

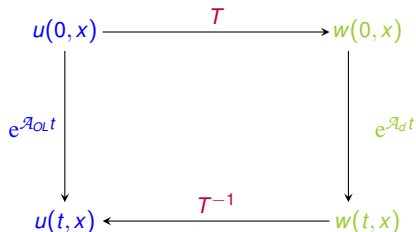
Backstepping methodology

Main idea Use an integral transform (classically Volterra transform of the *second kind*):

$$w(t, x) = u(t, x) - \int_0^x p(x, y) u(t, y) dy$$

to map the **original system** (to stabilize) to a stable **target system**.

→ Constructive design of control laws!



Limitations

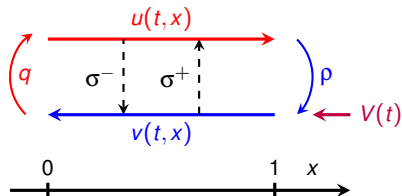
- Choice of an adequate target system
- Proof of existence and invertibility of an adequate transform
- Control effort, closed-loop properties and implementation

Example of two scalar equations: backstepping transformation

$$u_t(t, x) + \lambda u_x(t, x) = \sigma^+ v(t, x),$$

$$v_t(t, x) - \mu v_x(t, x) = \sigma^- u(t, x),$$

$$u(t, 0) = qv(t, 0) \quad v(t, 1) = \rho u(t, 1) + V(t).$$



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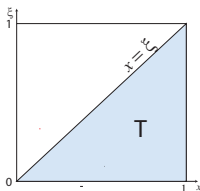
$$v_t(t, x) - \mu v_x(t, x) = \sigma^- u(t, x),$$

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- Map the original system to a *target system* for which the stability analysis is easier.
- Variable change: integral transformation.

Example: $\alpha(t, x) = u(t, x) - \int_0^x K^{uu}(x, \xi)u(t, \xi) + K^{uv}(x, \xi)v(t, \xi)d\xi$

$$\beta(t, x) = v(t, x) - \int_0^x K^{vu}(x, \xi)u(t, \xi) + K^{vv}(x, \xi)v(t, \xi)d\xi$$



Example of two scalar equations: backstepping transformation

$$\begin{aligned}u_t(t, x) + \lambda u_x(t, x) &= \sigma^+ v(t, x), \\v_t(t, x) - \mu v_x(t, x) &= \sigma^- u(t, x), \\u(t, 0) &= qv(t, 0) \quad v(t, 1) = \rho u(t, 1) + V(t).\end{aligned}$$

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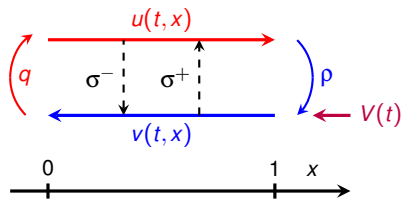
Difficulties:

- Find the target system.
- Existence of the kernel K (set of PDEs to be satisfied).

Objective: Move the in-domain coupling terms at the actuated boundary.

$$u_t(t, x) + \lambda u_x(t, x) = \sigma^+ v(t, x),$$

$$v_t(t, x) - \mu v_x(t, x) = \sigma^- u(t, x).$$



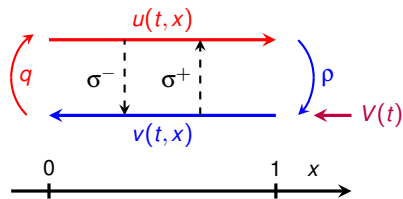
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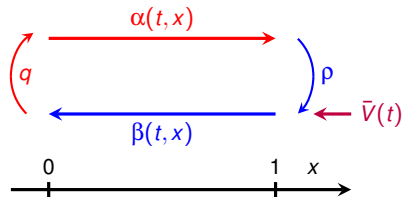
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$$\alpha_t(t, x) + \lambda \alpha_x(t, x) = 0,$$
$$\beta_t(t, x) - \mu \beta_x(t, x) = 0.$$



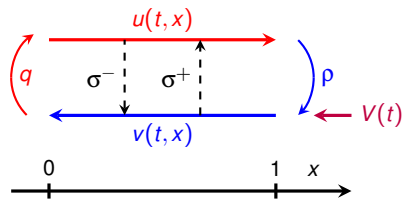
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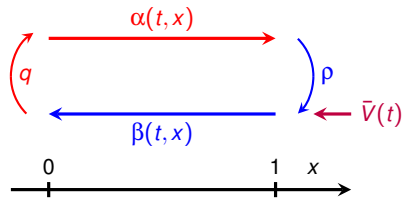
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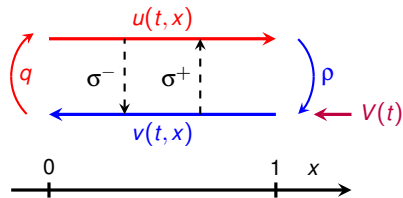


$$\alpha(t, 0) = q\beta(t, 0)$$
$$\beta(t, 1) = \rho\alpha(t, 1) + V(t)$$
$$- \int_0^1 N^\alpha(\xi)\alpha(t, \xi) + N^\beta(\xi)\beta(t, \xi) d\xi.$$

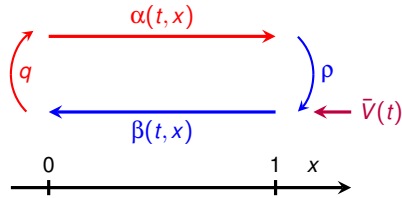
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$$u(t, 0) = qv(t, 0)$$
$$v(t, 1) = \rho u(t, 1) + V(t)$$



$$\alpha(t, 0) = q\beta(t, 0)$$
$$\beta(t, 1) = \rho\alpha(t, 1) + \bar{V}(t)$$
$$- \int_0^1 N^\alpha(\xi)\alpha(t, \xi) + N^\beta(\xi)\beta(t, \xi) d\xi.$$

Natural control law

$$\bar{V}(t) = -\rho\alpha(t, 1) + \int_0^1 \left(N^\alpha(\xi)\alpha(t, \xi) + N^\beta(\xi)\beta(t, \xi) \right) d\xi.$$

$$\beta(t, x) = v(t, x) - \int_0^x K^{vu}(x, \xi)u(t, \xi) + K^{vv}(x, \xi)v(t, \xi)d\xi.$$

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We have: $v_t - \mu v_x = \sigma^- u$

We want: $\beta_t - \mu \beta_x = 0$

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Differentiation w.r.t space

$$\begin{aligned} -\mu\beta_x(t, x) &= -\mu v_x(t, x) + \mu K^{vu}(x, x)u(t, x) + \mu K^{vv}(x, x)v(t, x) \\ &\quad + \int_0^x \mu K_x^{vu}(x, \xi)u(t, \xi) + \mu K_x^{vv}(x, \xi)v(t, \xi)d\xi \end{aligned}$$

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Differentiation w.r.t time

$$\begin{aligned} \beta_t(t, x) &= v_t(t, x) - \int_0^x -K^{vu}(x, \xi)\lambda u_x(t, \xi) + K^{vv}(x, \xi)\mu v_x(x, \xi) \\ &\quad - \int_0^x K^{vu}(x, \xi)\sigma^+ v(t, \xi) + K^{vv}(x, \xi)\sigma^- u(t, \xi)d\xi \end{aligned}$$

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Integration by parts + use of B.Cs.

$$\beta(t, x) = v(t, x) - \int_0^x K^{vu}(x, \xi) u(t, \xi) + K^{vv}(x, \xi) v(t, \xi) d\xi.$$

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Differentiation w.r.t space

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Differentiation w.r to space

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$$\begin{aligned}
0 &= \beta_t(t, x) - \mu\beta_x(t, x) \\
&= (\sigma^{-+} + \lambda K^{vu}(x, x) + \mu K^{vu}(x, x))u(t, x) + (\lambda K^{vu}(x, 0)q - \mu K^{vv}(x, 0))v(t, 0) \\
&\quad - \int_0^x (\lambda K_\xi^{vu}(x, \xi) - \mu K_x^{vu}(x, \xi) + K^{vv}(x, \xi)\sigma^-)u(t, \xi)d\xi \\
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 \end{aligned}$$

$$\left\{ \begin{array}{l}
 \mu K_\xi^{vv}(x, \xi) + \mu K_x^{vv}(x, \xi) = -K^{vu}(x, \xi)\sigma^-, \\
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 \lambda K^{vu}(x, 0)q = \mu K^{vv}(x, 0), \quad K^{vu}(x, x) = \frac{\sigma^-}{\lambda + \mu}
 \end{array} \right.$$

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 \lambda K_\xi^{vu}(x, \xi) - \mu K_x^{vu}(x, \xi) = -K^{vv}(x, \xi)\sigma^-, \\
 \lambda K^{vu}(x, 0)q = \mu K^{vv}(x, 0), \quad K^{vu}(x, x) = \frac{\sigma^-}{\lambda + \mu}
 \end{array} \right.$$

- Integral equations + successive approximations \rightarrow **Well-posedness**.
- Invertibility of the Volterra transformation.

Finite-time stabilization?

$$\alpha_t(t, x) + \lambda \alpha_x(t, x) = 0, \quad \beta_t(t, x) - \mu \beta_x(t, x) = 0,$$

$$\alpha(t, 0) = q\beta(t, 0),$$

$$\beta(t, 1) = \rho\alpha(t, 1) - \int_0^1 \left(N^\alpha(\xi)\alpha(t, \xi) + N^\beta(\xi)\beta(t, \xi) \right) d\xi + V(t).$$

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$$V(t) = -\rho\alpha(t, 1) + \int_0^1 \left(N^\alpha(\xi)\alpha(t, \xi) + N^\beta(\xi)\beta(t, \xi) \right) d\xi$$

$$\beta(t, x) = \beta\left(t - \frac{1-x}{\mu}, 1\right) = 0, \quad \alpha(t, x) = \alpha\left(t - \frac{x}{\lambda}, 0\right) = q\beta\left(t - \frac{x}{\lambda}, 0\right) = 0,$$

The system is finite-time stable!

Finite-time stabilization?

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$$V(t) = -\rho\alpha(t, 1) + \int_0^1 \left(N^\alpha(\xi)\alpha(t, \xi) + N^\beta(\xi)\beta(t, \xi) \right) d\xi$$

What if we add a delay?

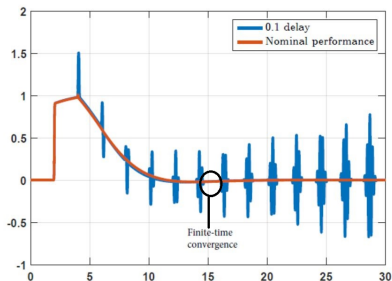
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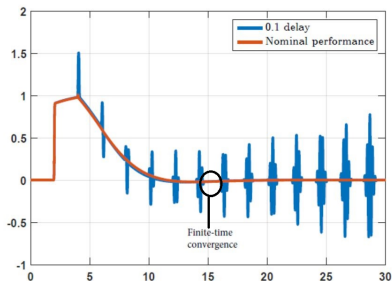
Finite-time stabilization?

$$\alpha_t(t, x) + \lambda \alpha_x(t, x) = 0, \quad \beta_t(t, x) - \mu \beta_x(t, x) = 0,$$

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Finite time convergence: performance \gg robustness.

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$$\alpha_t(t, x) + \lambda \alpha_x(t, x) = 0 \rightarrow \text{Transport equation}$$

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Difference equation satisfied by $\beta(t, 1)$

For all $t > \frac{1}{\lambda} + \frac{1}{\mu} = \tau$, we have

$$\beta(t, 1) = \rho q \beta(t - \tau, 1) - \int_0^\tau N(\xi) \beta(t - \xi, 1) d\xi + V(t)$$

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Closed-loop system:

$$\beta(t, 1) = \rho q \beta(t - \tau, 1) - \rho q \beta(t - \tau - \delta, 1) - \int_0^\tau N(\xi) (\beta(t - \xi, 1) - \beta(t - \delta - \xi, 1)) d\xi.$$

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⇒ Problem if $|\rho q| \geq \frac{1}{2}$

Solution: renounce to finite-time stabilization

$$V(t) = -\tilde{\rho} q \beta(t - \tau, 1) + \int_0^1 N(\xi) \beta(t - \xi, 1) d\xi$$

Delay-robustness under the NSC $|\tilde{\rho}| < \frac{1 - |\rho q|}{|q|}$.

$$\beta(t, 1) = \rho q \beta(t - \tau, 1) - \int_0^\tau N(\xi) \beta(t - \xi, 1) d\xi$$

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Open loop analysis

If the open loop transfer function has an infinite number of poles in the RHP, the system cannot be delay-robustly stabilized.

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Open loop analysis

If the open loop transfer function has an infinite number of poles in the RHP, the system cannot be delay-robustly stabilized.

Open-loop characteristic equation:

$$D(s) = \underbrace{1 - \rho q e^{-\tau s}}_{F(s)} + \underbrace{\int_0^\tau N(\xi) e^{-\xi s} d\xi}_{H(s)} = 0$$

Open-loop analysis: $V(t) \equiv 0$

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If $|\rho q| > 1$: F has an infinite number of zeros in the RHP and H is proper. Thus D has an infinite number of zeros in the RHP

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\Rightarrow Delay-robust stabilization is impossible if $|\rho q| > 1$.

Delay-robust control law

$$V(t) = -\tilde{\rho}u(t, 1) + \int_0^1 (K_{\tilde{\rho}}^{vu}(1, \xi)u(t, \xi) + K_{\tilde{\rho}}^{vv}(1, \xi)v(t, \xi)) d\xi$$

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Three different situations: trade-off performance/robustness

- If $|\rho q| \geq 1 \rightarrow$ delay-robust stabilization is impossible.
- If $1 > |\rho q| \geq \frac{1}{2} \rightarrow$ renounce to finite-time stabilization
- If $\frac{1}{2} > |\rho q| \rightarrow$ finite-time stabilization is possible.

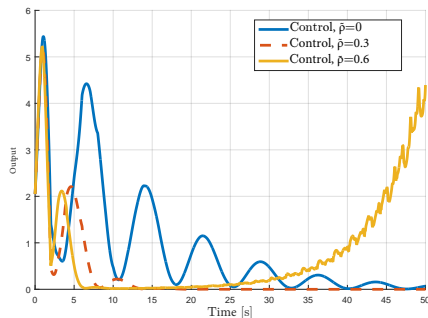
Delay-robust state feedback

Delay-robust control law

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Measurement: $y(t) = u(t, 1)$.

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- Delay acting on the measurement.

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- Delay acting on the actuation.
- Delay acting on the measurement.
- Uncertainties on the transport velocities.
- Uncertainties on the coupling terms.
- Neglected dynamics...

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- Backstepping method to design stabilizing control laws and **dual state-observers**.
- The **robustness** can be proved using the time-delay representation.
- Introduction of simple **degrees of freedom** in the design.
- **Trade-offs** performance-robustness, disturbance rejection-noise sensitivity.

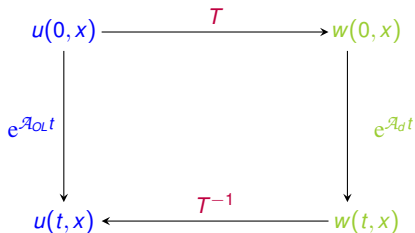
Backstepping methodology

Main idea Use an integral transform (classically Volterra transform of the *second kind*):

$$w(t, x) = u(t, x) - \int_0^x p(x, y) u(t, y) dy$$

to map the **original system** (to stabilize) to a stable **target system**.

→ Constructive design of control laws!



Limitations

- Choice of an adequate target system
- **Proof of existence and invertibility of an adequate transform**
- Control effort, closed-loop properties

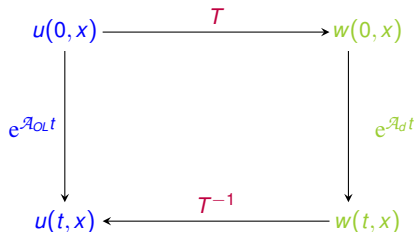
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- **Choice of an adequate target system**
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What is a "good" target system?

- Should at least be **exponentially stable!**
- If too **simple**: impossible to reach. If too **complex**: analysis is difficult

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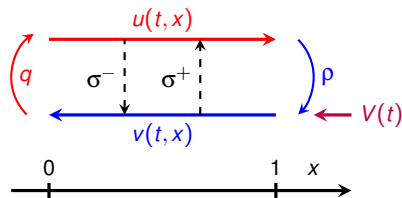
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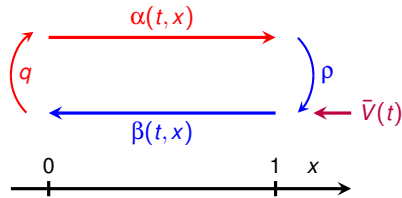
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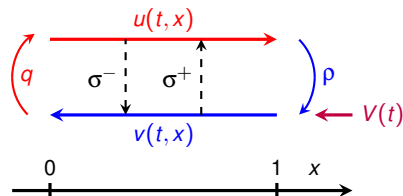
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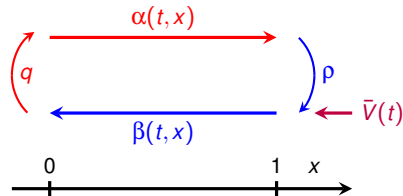
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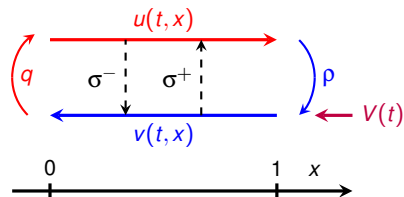
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- Simple target system (no in-domain couplings).
- We may have removed stabilizing terms.

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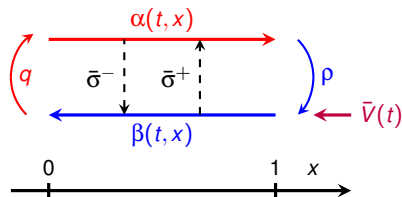
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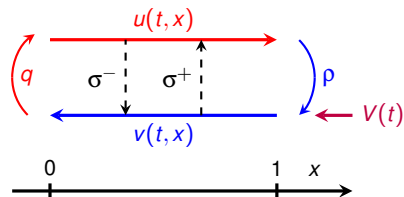


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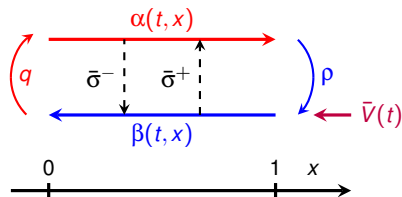
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- In-domain couplings.
- Smaller control effort?

What is a "good" target system?

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Introduce d.o.f in the design to obtain a class of easily parametrizable target system?

- Context: Interaction of physical systems with environment \leftrightarrow power flow through ports.
- Takes advantage of **physical properties** (passivity, dissipativity) of systems.
- Could be useful to introduce good target systems candidates.

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- Takes advantage of **physical properties** (passivity, dissipativity) of systems.
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Idea: combining PHS and backstepping

Take advantage of both methodologies to design boundary feedback laws:

- Use the Port-Hamiltonian framework to determine target systems with **physical meaning**
- Use the backstepping methodology to **map** the original system to the target system

Control objective

Design the control law $V(t)$ s.t closed-loop system is equivalent to a target system with **specified properties**.

PHS formulation of clamped string

System equations:

$$\left\{ \begin{array}{l} \rho(x) \frac{\partial^2 w}{\partial t^2}(t, x) = \frac{\partial}{\partial x} \left(E(x) \frac{\partial w}{\partial x}(t, x) \right) - \kappa(x) \frac{\partial w}{\partial t}(t, x), \\ \frac{\partial w}{\partial t} |_{x=0}(t) = 0, \quad E(1) \frac{\partial w}{\partial x} |_{x=1}(t) = U(t), \end{array} \right.$$

Energy state variables:

$$\left\{ \begin{array}{ll} X_1(x, t) = \frac{\partial w}{\partial x}(x, t) & : \text{strain} \\ X_2(x, t) = \rho(x) \frac{\partial w}{\partial t}(x, t) & : \text{momentum density} \end{array} \right.$$

Port-Hamiltonian System

$$\frac{\partial}{\partial t} \begin{pmatrix} X_1 \\ X_2 \end{pmatrix} = \begin{pmatrix} 0 & \frac{\partial}{\partial x} \left(\frac{1}{\rho(x)} \cdot \right) \\ \frac{\partial}{\partial x} (E(x) \cdot) & -c(x) \end{pmatrix} \begin{pmatrix} X_1 \\ X_2 \end{pmatrix} \Leftrightarrow \frac{\partial X}{\partial t} = P_1 \frac{\partial}{\partial x} (\mathcal{H}(x)X) + G_0 (\mathcal{H}(x)X)$$

with *Hamiltonian density* $\mathcal{H}(x) = \begin{pmatrix} E(x) & 0 \\ 0 & \frac{1}{\rho(x)} \end{pmatrix}$, $c(x) = \frac{\kappa(x)}{\rho(x)}$, $P_1 = \begin{pmatrix} 0 & 1 \\ 1 & 0 \end{pmatrix}$, $G_0 = \begin{pmatrix} 0 & 0 \\ 0 & -c(x)\rho(x) \end{pmatrix}$.

System energy: $\mathcal{E}(t) = \frac{1}{2} \int_0^1 (E(x)X_1(t, x)^2 + \rho^{-1}(x)X_2(t, x)^2) dx$.

Exchange through the actuated boundary in OL: $\frac{d\mathcal{E}}{dt}(t) = - \int_0^1 \left(\kappa(x) \left(\frac{X_2(t, x)}{\rho(x)} \right)^2 \right) dx$.

Control objective

Change of internal power through actuation at the boundary $x = 1$:

- $\kappa > 0$: OL system **stable** \mapsto fasten stabilization;
 - else \mapsto stabilize the string dynamics
- } impose a specific decay rate to \mathcal{E} , using *distributed damping assignment*

Control Objective

Design control law $U(t)$ s.t dynamics of X equivalent to the dynamics of $\bar{X} = (\bar{X}_1, \bar{X}_2)$ satisfying

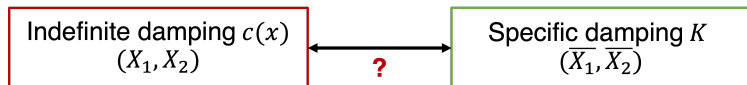
$$\frac{\partial}{\partial t} \begin{pmatrix} \bar{X}_1 \\ \bar{X}_2 \end{pmatrix} = \begin{pmatrix} 0 & \frac{\partial}{\partial x} \left(\frac{1}{\rho(x)} \cdot \right) \\ \frac{\partial}{\partial x} (E(x) \cdot) & -K \end{pmatrix} \begin{pmatrix} \bar{X}_1 \\ \bar{X}_2 \end{pmatrix},$$

Class of target systems parametrized by K

In CL, energy decreases $\propto K$:

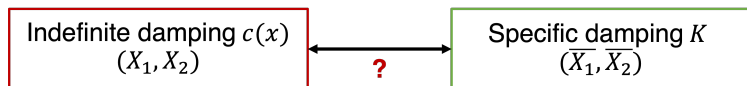
$$\frac{d\bar{\mathcal{E}}}{dt} = -K \int_0^1 \left(\frac{\bar{X}_2(x, t)}{\rho(x)} \right)^2 dx.$$

Overall objective: Determine an invertible transform \mathcal{T} mapping initial PHS to target system.



Control strategy

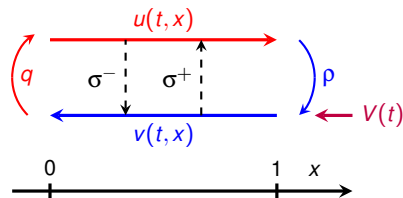
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- Expression in the Riemann coordinates + Backstepping transformation

$$u_t(t, x) + \lambda u_x(t, x) = \sigma^+ v(t, x),$$

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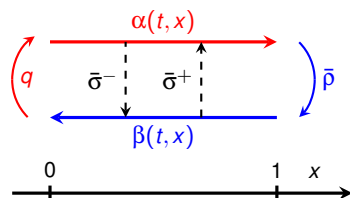


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$$\alpha(t, 0) = q\beta(t, 0)$$

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Backstepping transformations

Main idea

Use an invertible Volterra integral transform to replace in-domain coupling terms $\sigma^\pm(x)$ by *adequate* terms $\bar{\sigma}^\pm(x)$.

Volterra transform of the second kind

$$\begin{pmatrix} \alpha(t, x) \\ \beta(t, x) \end{pmatrix} = \begin{pmatrix} u(t, x) \\ v(t, x) \end{pmatrix} - \int_0^x \mathcal{K}(x, y) \begin{pmatrix} u(t, y) \\ v(t, y) \end{pmatrix} dy$$

Kernel $\mathcal{K} = \begin{pmatrix} K^{++} & K^{+-} \\ K^{-+} & K^{--} \end{pmatrix}$ uniquely defined (kernel equations).

Control input

Control input $V(t)$ directly follows from the backstepping methodology

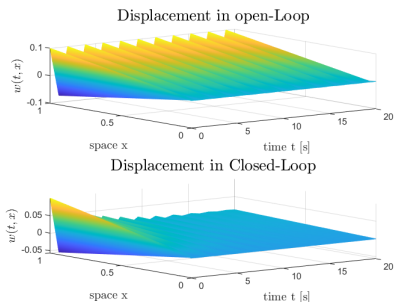
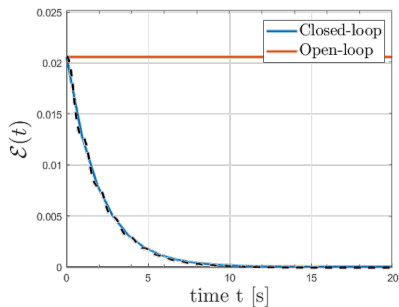
$$\begin{aligned} V(t) = (\bar{\rho} - \rho)u(t, 1) + \int_0^1 & (K^{-+}(1, y) - \bar{\rho}K^{++}(1, y))u(t, y) \\ & + (K^{--}(1, y) - \bar{\rho}K^{+-}(1, y))v(t, y)dy. \end{aligned}$$

We obtain $U(t)$ for the initial system.

Simulation results

$$\begin{cases} \rho(x) \frac{\partial^2 w}{\partial t^2}(t, x) = \frac{\partial}{\partial x} \left(E(x) \frac{\partial w}{\partial x}(t, x) \right), \\ \frac{\partial w}{\partial t} \Big|_{x=0}(t) = 0, \quad E(1) \frac{\partial w}{\partial x} \Big|_{x=1}(t) = U(t), \end{cases}$$

Constant coefficients $\rho = 936 \text{kg.m}^{-3}$, $E = 4.14 \text{GPa}$.



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 - ▶ **Toolbox** analogous to what exists for finite-dimensional systems.

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- Advantages compared to simple PID controllers?

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Backstepping controller: $V(t) = \int_0^1 K(y)u(t, y) + L(1, y)v(t, y)dy.$

- **Computational effort** related to the numerical implementation.

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- **Late-lumping** controllers: guarantees of convergence? Advantages compared to early-lumping strategies?

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- Is the PDE system with approximated control input still stable?

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- Approximations schemes: Galerkin approximation, machine-learning (DeepONet)
→ recent publications, comparisons on test-case studies, no general results.

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- ▶ Volterra change of coordinates → **target system** with a simpler structure.
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- ▶ Necessary to obtain Lyapunov function for general hyperbolic system or TDS representation.

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● Benchmark and experimental validation.