

**Nonlinear Adaptive Control**  
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**Week 8**  
**Lecture No: 45**

**Generalisation of Adaptive Integrator Backstepping Method (Part 1)**

Hello everyone, welcome to yet another session of our NPTEL on Non-Linear and Adaptive Control, I am Srikant Sukumar from Systems and Control, IIT, Bombay. So, we are into the 8th week of this course on non-linear adaptive control. And we are already looking at several algorithms, we have already looked at several algorithms, which will help us to control autonomously systems such as what we see in the background of a satellite orbiting the earth. We are also now able to design algorithms against uncertainties in such systems.

(Refer Slide Time: 1:06)

$$e(t)^T P B_m^T \Gamma \dot{L} r(t) = \underbrace{\left( \dot{L}^T \Gamma B_m^T P e(t) \right)^T}_{u} r(t) = \text{tr} \left( \dot{L}^T \Gamma B_m^T P e(t) r(t)^T \right)$$

Substituting in the  $\dot{V}$  equation, we have -

$$\dot{V} = -e(t)^T Q e(t) + 2 \text{tr} \left( \hat{K}^T \Gamma \left( \text{sgn}(L^*) B_m^T P e(t) x(t)^T - \dot{K} \right) \right) + 2 \text{tr} \left( \dot{L}^T \Gamma \left( -\text{sgn}(L^*) B_m^T P e(t) r(t)^T - \dot{L} \right) \right)$$

Now, choosing -

$$\begin{cases} \dot{K} = + \text{sgn}(L^*) B_m^T P e(t) x(t)^T \\ \dot{L} = - \text{sgn}(L^*) B_m^T P e(t) r(t)^T \end{cases} \quad (2.11)$$

Thus, we get -

$$\dot{V} = -e(t)^T Q e(t)$$

Since  $Q > 0$ ,  $\dot{V} \leq 0$  and hence the error signal can be shown to be asymptotically approaching zero by signal chasing. It can also be shown that the estimates  $\hat{K}$  and  $\hat{L}$  are bounded. Equations (2.6), (2.11) form the adaptive control law which guarantees model

12:53 PM Tue 17 May

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$$e(t)^T P B_m \Gamma \bar{L} r(t) = \underbrace{(\bar{L}^T \Gamma B_m^T P e(t))}_{u}^T r(t) = \text{tr}(\bar{L}^T \Gamma B_m^T P e(t) r(t)^T)$$

Substituting in the  $\dot{V}$  equation, we have -

$$\begin{aligned} \dot{V} = & -e(t)^T Q e(t) + 2\text{tr}(\hat{K}^T \Gamma (\text{sgn}(L^*) B_m^T P e(t) x(t)^T - \dot{\hat{K}})) \\ & + 2\text{tr}(\bar{L}^T \Gamma (-\text{sgn}(L^*) B_m^T P e(t) r(t)^T - \dot{\hat{L}})) \end{aligned}$$

Now, choosing -

$$\begin{cases} \dot{\hat{K}} = +\text{sgn}(L^*) B_m^T P e(t) x(t)^T \\ \dot{\hat{L}} = -\text{sgn}(L^*) B_m^T P e(t) r(t)^T \end{cases} \quad (2.11)$$

Thus, we get -

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NPTEL 12 of 12



12:53 PM Tue 17 May

Adaptive\_Control\_Week8

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$$\dot{e}(t) = A_m e(t) + \text{sgn}(L^*) B_m \Gamma (\hat{K} x(t) - \hat{L} r(t)) \quad (2.8)$$

Now, since  $A_m$  is Hurwitz, given a  $Q = Q^T > 0$ ,  $\exists P = P^T > 0$  satisfying the Lyapunov Equation -

$$A_m^T P + P A_m = -Q \quad (2.9)$$

2.2.3 Lyapunov function *Le use 8.2*

We choose our Lyapunov function to be -

*tr(M^T M) = tr(M M^T) = Frobenius norm*  
*tr(M) = \sum\_{i=1}^n m\_{ii}*  
*sum of diagonal elem. of tr(M^T M)*

$$V = e(t)^T P e(t) + \text{tr}(\hat{K}^T \Gamma \hat{K} + \bar{L}^T \Gamma \bar{L})$$

So,  $v(e, \hat{K}, \bar{L}) = 0 \Leftrightarrow e, \hat{K}, \bar{L} = 0$

$$\dot{V} = e(t)^T P \dot{e}(t) + \dot{e}(t)^T P e(t) + 2\text{tr}(\dot{\hat{K}}^T \Gamma \hat{K} + \dot{\bar{L}}^T \Gamma \bar{L})$$

$$= e(t)^T P (A_m e(t) + \text{sgn}(L^*) B_m \Gamma (\hat{K} x(t) - \hat{L} r(t)))$$

NPTEL 7 of 12



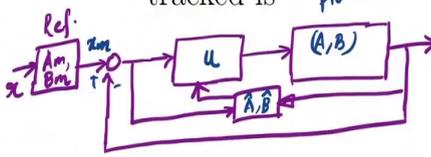
12:54 PM Tue 17 May

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where,  $A \in \mathbb{R}^{n \times n}$  and  $B \in \mathbb{R}^{n \times m}$  are unknown

tracked is - plant



$$\dot{x}_m(t) = A_m x_m(t) + B_m u(t)$$

where reference trajectory  $r(t)$  is bounded and smooth

$A_m$  and  $B_m$  are known and Hurwitz

Note: Here instead of tracking a reference signal, we are tracking a reference trajectory.

NPTEL 7 of 12



$$\dot{x}(t) = Ax(t) + B(-K^*x(t) + L^*r(t))$$

$$= (A - BK^*)x(t) + BL^*r(t)$$

$$= A_m \tilde{x}(t) + B_m r(t)$$

$$\tilde{x}_m = A_m \tilde{x}_m + B_m r$$

Now, defining -

we have -

$$\dot{e}(t) = \dot{x}(t) - \dot{x}_m(t)$$

$$= A_m x(t) + B_m r(t) - A_m x_m(t) - B_m r(t)$$

$$\dot{e}(t) = A_m e(t)$$

$\Rightarrow \forall \lambda \in \text{eigenvalues of } A_m, \exists P = P^T > 0, \exists \rho = \rho^T > 0$   
 $P A_m + A_m^T P = -\rho$  (Lyapunov eqn)

$\dot{e}(t) = A_m e(t)$   
 $\dot{V} = e^T P \dot{e} = e^T P A_m e = -e^T \rho e < 0$

which is a Hurwitz system, and so,  $e(t)$  goes to zero exponentially.

Note. We have moved from unknowns  $A$  and  $B$  to  $K^*$  and  $L^*$ . This is similar to

So,

$$\dot{V}(e, \tilde{x}, \tilde{L}) = 0 \Leftrightarrow e, \tilde{x}, \tilde{L} = 0$$

$$\dot{V} = e(t)^T P \dot{e}(t) + \dot{e}(t)^T P e(t) + 2 \text{tr}(\dot{K}^T \Gamma \tilde{K} + \dot{L}^T \Gamma \tilde{L})$$

$$= e(t)^T P (A_m e(t) + \text{sgn}(L^*) B_m \Gamma (\tilde{K} x(t) - \tilde{L} r(t)))$$

$$+ (A_m e(t) + \text{sgn}(L^*) B_m \Gamma (\tilde{K} x(t) - \tilde{L} r(t)))^T P e(t) - 2 \text{tr}(\tilde{K}^T \Gamma \dot{K} + \tilde{L}^T \Gamma \dot{L})$$

$$= -e(t)^T Q e(t) + 2 \text{sgn}(L^*) e(t)^T P B_m \Gamma (\tilde{K} x(t) - \tilde{L} r(t)) - 2 \text{tr}(\tilde{K}^T \Gamma \dot{K} + \tilde{L}^T \Gamma \dot{L})$$

Using the property of 2 vectors  $u$  and  $v$  -

$u, v \in \mathbb{R}^k$   
 $u^T v = \text{tr}(uv^T)$   
 $\text{tr}(uv^T) = \text{tr}(v^T u)$   
 $\text{tr}(u^T v) = \text{tr}(v^T u)$

So, what we were doing until last time is basically completing the proof for model reference adaptive control. So, model reference adaptive control was a paradigm for adaptive control of linear systems, which is a very very popular, and very very well-known, and very well cited and even used sort of set of methods in adaptive control.

And the basic difference from what we have been doing before this is that, here we actually track a state that comes out of a reference model than just a reference signal. So, I believe the picture looked somewhat like this. So, that is the big difference here that you have a reference model instead of just a reference state and everything else is sort of similar in terms of the analysis the big difference that we saw was that we had unknowns which were actually matrices.

So, we started with A star and sorry A and B being unknowns and then of course we moved it to sort of redesigned it. So, that the unknowns became these K star and L star which were still matrices. And because we were dealing with matrices and matrix unknowns, we also learned a rather novel way of designing Lyapunov candidate functions for matrix states or matrix unknowns.

So, here the parameter error term instead of just being a quadratic or a square of the vector norm is in fact a kind of a matrix Frobenius norm weighted matrix Frobenius norm and it is defined in terms of the trace function. So, this is was the big difference and in order to sort of complete the proof, we also needed to use some very very interesting and useful trace properties.

So, this is something that I hope all of you will remember always because these are very very useful in manipulating any kind of Lyapunov candidates or any in any other context if you see trace functions then it is very very useful to manipulate these trace functions and we can use these equalities in order to do that all.

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$$\dot{V} = -e(t)^T Q e(t) + 2\text{tr} \left( \tilde{K}^T \Gamma \left( \text{sgn}(L^*) B_m^T P e(t) x(t)^T - \dot{\tilde{K}} \right) \right) + 2\text{tr} \left( \tilde{L}^T \Gamma \left( -\text{sgn}(L^*) B_m^T P e(t) r(t)^T - \dot{\tilde{L}} \right) \right)$$

Now, choosing -

$$\begin{cases} \dot{\tilde{K}} = +\text{sgn}(L^*) B_m^T P e(t) x(t)^T \\ \dot{\tilde{L}} = -\text{sgn}(L^*) B_m^T P e(t) r(t)^T \end{cases} \quad (2.11)$$

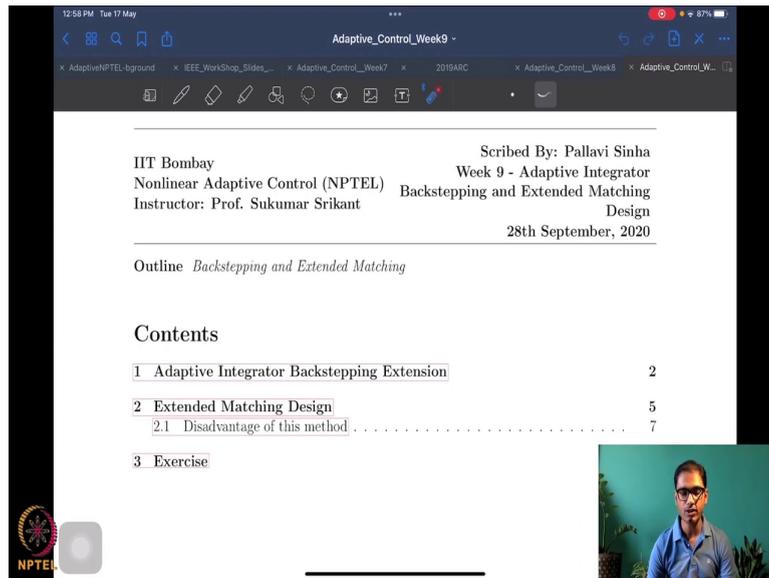
Thus, we get -

$$\dot{V} = -e(t)^T Q e(t) \quad (2.12)$$

Since  $Q > 0, \dot{V} \leq 0$  and hence the error signal can be shown to be asymptotically approaching zero by signal chasing. It can also be shown that the estimates  $\tilde{K}$  and  $\tilde{L}$  are bounded.

Equations (2.6), (2.11) form the adaptive control law which guarantees model tracking.

$$\frac{d}{dt} (e, \tilde{K}, \tilde{L}) = \left( \begin{array}{c} \dots \\ \dots \\ \dots \end{array} \right)$$



And of course then we designed our update law as usual it was still a certainty equivalence adaptation. So, all was as usual other than these particular features. So, now we are sort of ready to move into the next week's lectures. Again please do not get confused the sort of classification of the week is also in a sense to provide homeworks and just to organize material, as and when we do complete the material for a particular week we will move on to what we call next week lectures.

So, although we are in week number 8, we are already going to start looking at week 9 lectures. So, I really hope that this does not cause any confusion should be pretty straightforward this is just for us to you know organize the homeworks in a proper way. So, this week 9 is titled adaptive integrator backstepping and extended matching design.

So, we will do a couple of things in this set of lectures the first is, we sort of generalize this adaptive integrator backstepping that we did a couple of weeks ago. So, not the week number 8 but week number 7 lectures, in week number 7 lectures we saw integrator backstepping for the first time, we also saw how to do a backstepping design for the unmatched case.

So, what we will do here is to generalize that idea. And then we look at a different method of doing adaptive integrator backstepping. So, that we do not have to resort to over parameterization. So, that is the agenda for week 9 lecture notes. So, let us continue.

(Refer Slide Time: 5:40)

12:58 PM Tue 17 May

Adaptive\_Control\_Week9

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NPTEL

2 of 8

lecture 8/5

# 1 Adaptive Integrator Backstepping Extension

For the given system

$$\dot{x} = f(x) + F(x)\theta + g(x)u$$

with  $x \in \mathbb{R}^n$  being the states of the system,  $\theta \in \mathbb{R}^p$  is the unknown parameter,  $u \in \mathbb{R}^m$  is the control input.  $F, f$  are assumed to be sufficiently smooth.

Assume that there exists an adaptive controller,

$$u = \alpha(x, \hat{\theta})$$
$$\dot{\hat{\theta}} = \Gamma(x, \hat{\theta})$$


12:58 PM Tue 17 May

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# 2 Backstepping: Parameter Unmatched with Control

Consider the double integrator (of different type) system dynamics given as follows:

$$\dot{x}_1 = x_2 + \theta f(x_1) \tag{2.1}$$
$$\dot{x}_2 = u \tag{2.2}$$

if  $f(0) \neq 0$  then  $(x_1, x_2) = (0, 0)$  not an equilibrium.

where,  $x_1, x_2, u \in \mathbb{R}$  and  $f: \mathbb{R} \rightarrow \mathbb{R}$ . In this case, the parameter is unmatched with control (different from the previous case) i.e., the unknown parameter does not appear in the same dynamics as the control.

Objective is to drive  $x_1 \rightarrow 0$  and  $x_2 \rightarrow 0$  stabilization.

## 2.1 Known Parameter Case



12:59 PM Tue 17 May

Adaptive\_Control\_Week7

which from the Lyapunov theorems proves that  $x_1 \rightarrow 0$  and  $x_2 \rightarrow x_{2d}$ . Now,  $x_{2d} = -k_1 x_1 - \hat{\theta} f(x_1)$  and from the facts that  $x_1 \rightarrow 0$  and  $f(0) = 0$ , we have that  $x_{2d}$  and hence  $x_2 \rightarrow 0$ .

o This completes the proof.

## 2.2 Unknown Parameter Case

First Control:

$$x_{2d} = -k_1 x_1 - \hat{\theta} f(x_1)$$

if  $x_2 = x_{2d}$

$$\dot{x}_1 = -k_1 x_1 - \hat{\theta} f(x_1), \quad \dot{\theta} = \theta - \hat{\theta}$$

*Handwritten note:  $\hat{x}_1 = x_2 + \theta f(x_1) \rightarrow$  pseudo-control.*

Srikant Sukumar 6



12:59 PM Tue 17 May

Adaptive\_Control\_Week7

### Lyapunov Function:

$$V_1 = \frac{1}{2} x_1^2 + \frac{1}{2\gamma} \hat{\theta}^2, \quad \gamma > 0$$

$$\dot{V}_1 = x_1 \dot{x}_1 - \frac{1}{\gamma} \hat{\theta} \dot{\theta}$$

$$= x_1 (-k_1 x_1 + \hat{\theta} f(x_1)) - \frac{1}{\gamma} \hat{\theta} \dot{\theta}$$

$$= -k_1 x_1^2 + \hat{\theta} (x_1 f(x_1) - \frac{\dot{\theta}}{\gamma})$$

### First Update:

$$\dot{\theta} = \gamma x_1 f(x_1)$$

$$\Rightarrow \dot{V}_1 = -k_1 x_1^2 \leq 0$$

*Handwritten notes: Assuming  $x_2 = 0$ ; exactly negative definite in the marked case.*

7 of 9

### Lyapunov Function:

Srikant Sukumar



12:59 PM Tue 17 May

Adaptive\_Control\_Week7

$$V_2 = \frac{1}{2} (x_2 - x_{2d})^2$$

$$\dot{V}_2 = (x_2 - x_{2d})(\dot{x}_2 - \dot{x}_{2d})$$

Want to Choose  $\dot{x}_2 = u = \dot{x}_{2d} - k_2(x_2 - x_{2d})$

$$\dot{x}_{2d} = -k_1 \dot{x}_1 - \gamma x_1 f^2(x_1) - \hat{\theta} \dot{f}(x_1)$$

$$= -k_1(x_2 + \theta f(x_1)) - \gamma x_1 f^2(x_1) - \hat{\theta} \dot{f}(x_1)$$

$$= -(k_1 + \theta \frac{\partial f}{\partial x_1}) x_1 - \gamma x_1 f^2(x_1) - \hat{\theta} \dot{f}(x_1)$$

$$= -(k_1 + \theta \frac{\partial f}{\partial x_1})(x_2 + \theta f(x_1)) - \gamma x_1 f^2(x_1)$$

*Handwritten notes: Try with  $\hat{\theta}$  in  $u$  and  $V_2 = V_1 + V_2$ ; control  $u$  is not implementable; solve with estimate of CE;  $\hat{\theta}$  cannot be specified; use  $\hat{\theta}$  already specified!*

Srikant Sukumar 7



Overall Lyapunov Function:

$$V_1 = \frac{1}{2}x_1^2 + \frac{1}{2\gamma}\hat{\theta}^2$$

$$V_2 = \frac{1}{2}(x_2 - x_{2d})^2 + \frac{1}{2\sigma}\tilde{\mu}^2$$

$\frac{1}{2\sigma}\tilde{\mu}^2$  in  $V_2$  corresponds to the overestimation term.

*overparameterization*

$$\dot{\hat{\theta}} = -\dot{\theta} = \gamma x_1 f(x_1)$$

$$\dot{x}_1 = x_2 + \theta f(x_1)$$

$$\dot{x}_2 = u$$

$$x_{2d} = -k_1 x_1 - \dot{\theta} f(x_1)$$

$$u = \dot{x}_{2d} - k_2(x_2 - x_{2d})$$

$$= \ddot{x}_{2d} + \dot{\mu} f(x_1) - k_2(x_2 - x_{2d})$$

$$\dot{V} = x_1 x_2 + x_1 \theta f(x_1) - \frac{1}{\gamma} \dot{\theta} x_1 f(x_1) + (x_2 - x_{2d})(u - \dot{x}_{2d}) - \frac{1}{\sigma} \tilde{\mu} \dot{\mu}$$

$$\frac{\partial \dot{V}}{\partial \hat{\theta}} = -\tilde{\theta} x_1 f(x_1)$$


with  $x \in \mathbb{R}^n$  being the states of the system,  $\theta \in \mathbb{R}^k$  is the unknown parameter,  $u \in \mathbb{R}$  is the control input.  $f, g$  are assumed to be sufficiently smooth.

Assume that there exists an adaptive controller,

$$u = \alpha(x, \hat{\theta})$$

$$\dot{\hat{\theta}} = \Gamma(x, \hat{\theta})$$

and a smooth  $V: \mathbb{R}^n \times \mathbb{R}^k \rightarrow \mathbb{R}$  which is radially unbounded in  $(x, \hat{\theta})$  such that

$$\dot{V} = \frac{\partial V}{\partial x}(x, \hat{\theta})[f(x) + F(x)\theta + g(x)\alpha(x, \hat{\theta})] + \frac{\partial V}{\partial \hat{\theta}}(x, \hat{\theta})\Gamma(x, \hat{\theta}) \leq -W(x, \hat{\theta}) \leq 0$$

Then, if we add an integrator ( $u$  is replaced by another state  $\xi \in \mathbb{R}^m$ )

$$\dot{x} = f(x) + F(x)\theta + g(x)\xi$$


$$= -k_1 x_1^2 + \tilde{\theta}(x_1 f(x_1) - \frac{\dot{\hat{\theta}}}{\gamma})$$

First Update:

$$\dot{\hat{\theta}} = \gamma x_1 f(x_1)$$

$$\Rightarrow \dot{V}_1 = -k_1 x_1^2 \leq 0$$

*exactly negative definite in the marked case*

Lyapunov Function:

$$V_2 = \frac{1}{2}(x_2 - x_{2d})^2$$

$$\dot{V}_2 = (x_2 - x_{2d})(\dot{x}_2 - \dot{x}_{2d})$$

Want to choose  $\dot{x}_2 = u = \dot{x}_{2d} - k_2(x_2 - x_{2d})$

$$\dot{x}_{2d} = -k_1 \dot{x}_1 - \gamma x_1 f^2(x_1) - \dot{\theta} f(x_1)$$

$$= -k_1(x_2 + \theta f(x_1)) - \gamma x_1 f^2(x_1) - \dot{\theta} f(x_1)$$


So, let us suppose that for this system. So, now suppose we are since we are generalizing. So, we are essentially taking vector states and all that. So, well I mean to be honest let me mark this first before we start. So, this is actually lecture 8.3, this is lecture 8.3. So, we will recall is this week 7, I mean I am going to go here to week 7, we had a system like this, where we learned how to do backstepping for unmatched parameters.

And we know how we did it we started with the first system then assume that there is an unknown parameter. So, the desired quantity was designed with a  $\theta$  cap and then we of course had a Lyapunov candidate design but then when we went to the second Lyapunov function and we tried to choose a control there was a problem because the control is not implementable due to the presence of this  $\theta$  here.

So, control contains an  $x_2$  desired dot which can which brings up a  $\theta$  which is not implementable. So, obviously we do not want to use a  $\theta$  hat again because we already have specified an update law and we cannot do it, it will create an error in the analysis. So, instead of  $\theta$  hat we put in a new estimate  $\mu$  hat. So, we put in a new estimate  $\mu$  hat for the same quantity  $\theta$ , we have two estimates  $\theta$  hat and  $\mu$  hat.

And so with that we declare this new variable as  $x_2$  hat  $x_2$  desired hat dot instead of  $x_2$  desired dot and then we continue this analysis with this new  $\mu$  hat and then of course you have a candidate Lyapunov function, which also contains a  $\mu$  tilde on top of the  $\theta$  tilde. So, essentially because we have two parameters well two estimates for the same parameter, we have two terms corresponding to the parameter errors.

So, there are two different parameter errors. So, that essentially was what we were doing I mean we then specify  $\mu$  dot and all that in the standard way if you do not remember please go back and revise what we sort of did in this lecture. So, what we want to do today at least in the beginning is that we want to look at a generalization of this then the states are not scalar states because most in most problems more often than not your state should be vectors.

So, it does not make any sense to just restrict ourselves to scalar states. And doing this will also give you a very fair idea that the analysis methods do not change significantly, when you have a vector state instead of a scalar state. So, it is not like things become too complicated. So, that is rather nice.

So, I this is another thing that I want all of you to get used to because suppose I think of any robotic application say a two arm manipulator or think a quad rotor quadrotor has six degrees

of freedom. So, three rotational and three translational. So, corresponding to that there are 12 states because three position states three linear translational velocity states three angular position states three angular velocity states. So, there are 12 states. So, it is vectors.

So, we describe the equations in terms of vector equations. Similarly, for a two joint manipulator for a two joint manipulator. So, you can think of the shoulder in elbow if I have a two joint manipulator. So, the shoulder has two states corresponding to the shoulder angle and the shoulder angular velocity and the elbow has two states corresponding to the elbow angle and elbow angular velocity. So, therefore this is again a vector.

So, it does not make sense always to look at scalar states because we might end up having vector states more often than not more often than not. So, that is the purpose two things, one you want to generalize to vector steps and of course this particular method to vector states and second we also want to sort of get a feel for how to deal with vectors in Lyapunov analysis because in many cases the states are going to be vectors and you will see they are not significantly different.

Now that we have this preamble. So, suppose we have this system  $\dot{x}$  is  $f(x)$  which is like a drift plus  $f(x, \theta)$  which is the term containing the unknown parameter plus  $g(x)u$ . Now the states are in some  $\mathbb{R}^n$  the unknown is in some vector  $\mathbb{R}^p$  is a vector  $\mathbb{R}^p$ . So,  $p$  dimensional vector state is  $n$  dimension and you can find the corresponding dimensions of  $f$  and  $f$  and all that and  $g$  and the control input  $u$  is assumed to be an  $m$  dimensional vector.

So, there are three different dimensions the states are  $n$  dimensional,  $\theta$  is  $p$  dimensional,  $u$  is  $m$  dimension and of course the  $f$  and small  $f$  and whatever and also  $g$  actually also  $g$  are assumed to be sufficiently smooth and have all the nice properties. So, that you know we can take differentials if we want and so on and so forth.

So, suppose for this system there exists an adaptive controller that is what is an adaptive controller there are two pieces to an adaptive control first is a control law  $u$  specification for what the actuator has to generate and this depends on  $x$  and an estimate of the state  $\hat{\theta}$  and further there is an update law for  $\hat{\theta}$  that is a  $\dot{\hat{\theta}}$  which again depends on the state and  $\hat{\theta}$  possibly.

So, this is what constitutes an adaptive controller two pieces, a control law  $u$  and a parameter update law  $\hat{\theta}$ . So, suppose that there exists such an adaptive controller for this system

and a smooth  $V$  function that is a which is essentially Lyapunov function smooth  $V$  which takes the state and the parameters, it is readily unbounded in  $x$  and  $\theta$ .

Such that if I take  $\dot{V}$ , so what is this this quantity is just, this quantity is just  $\dot{V}$  this quantity is just  $\dot{V}$  I am just taking because  $V$  is a function of  $x$  and  $\theta$ . So, first I take partial with respect to  $x$  then I multiply it with  $\dot{x}$  because  $\dot{x}$  now contains the control this gets substituted here. So, this is the closed loop system this gets substituted here.

So,  $\frac{\partial V}{\partial x} f x + \frac{\partial V}{\partial \theta} \dot{\theta}$  plus  $F x \theta + g x \alpha$ . So, this is  $\frac{\partial V}{\partial x} \dot{x} + \frac{\partial V}{\partial \theta} \dot{\theta}$ . So, let us see we have to be careful here, we have to define let us see let me see if we have done this correctly. I think I think this is this should be actually, this should be  $\dot{\theta}$  this is not  $\hat{\theta}$  but a  $\dot{\theta}$  it does not matter because I mean we usually are defining  $\dot{\theta}$  using  $\hat{\theta}$ .

So,  $\dot{\theta}$  is defined as  $\theta - \hat{\theta}$  typically. So,  $\dot{\theta}$  is equal to minus  $\hat{\theta}$  because  $\theta$  is assumed to be a constant. So, basically this does not change anything I mean if you, I mean it just change the sign but that is important because that is the sign used here. So, this is  $\dot{\theta}$  not  $\hat{\theta}$ .

So, it is the derivative of the parameter error but remember the side cannot depend on  $\theta$  because  $\theta$  is unknown we keep that in mind but then this  $\dot{\theta}$  is just minus  $\hat{\theta}$ . So, if you know  $\dot{\theta}$  you know minus  $\hat{\theta}$  also. So, this is just the derivative of  $V$  along the closed loop trajectories.

So,  $V$  is a function of  $x$  and  $\theta$ . So, partial of  $V$  with respect to  $x$  times  $\dot{x}$  and partial of  $V$  with respect to  $\theta$  times  $\dot{\theta}$  and the assumption is that for this correspond, for this particular  $V$ ,  $\dot{V}$  along the system trajectories is less than equal to minus  $W x \theta$  which is a negative semi definite function. So, minus of  $W$  is negative semi definite.

So, this is the assumption. So, this is the assumption we start with this kind of a system and we have an adaptive controller and a corresponding  $V$ . And the corresponding  $V$  such that  $\dot{V}$  turns out to be less than equal to a negative definite function. So, that is the idea then we go on to add an integrator but before we do that I wanted to compare this with our sorry, our system here.

If you look at this guy the first piece where you have this system just look at this, just look at this system and if you think of  $x^2$  as the control just like we did in backstepping if you think

of  $x_2$  as the control then you do have this control law which contains the  $\hat{\theta}$  and an update law with the corresponding  $V$  such that  $\dot{V}$  is negative semi-definite. So, we exactly have this.

So, what is the situation then we our first system was is of the form this in fact I have written it here. Where this is actually the control and this is the control law which is a function of  $x_1$  and  $\hat{\theta}$  and of course there is an update law, which is  $\dot{\hat{\theta}}$  there is a  $V$  function which is this and  $\dot{V}$  equals or less than equals minus  $W$  would also depend on  $\hat{\theta}$  but the point is it is negative semi-definite. The key point to remember is that it is negative semi-definite.

So, we exactly have the same setup already available for the scalar state case, scalar state scalar control case. So, we are exactly generalizing that setup we are exactly generalizing that particular setup. So, we assume that we have now a vector system we have an adaptive controller for this vector system such that there also exists a smooth  $V$  such that  $\dot{V}$  is negative semi definite.

So, now if we add an integrator which is essentially what is been done here, if you look at this we think of this as the control but actually you have an additional state  $x_2$  dot is u essentially we have an integrator. So, that is what we say now if we add an integrator. So, the control here.

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and a smooth  $V : \mathbb{R}^n \times \mathbb{R}^p \rightarrow \mathbb{R}$  which is radially unbounded in  $(x, \hat{\theta})$  such that

$$\dot{V} = \frac{\partial V}{\partial x}(x, \hat{\theta})[f(x) + F(x)\hat{\theta} + g(x)\alpha(x, \hat{\theta})] + \frac{\partial V}{\partial \hat{\theta}}(x, \hat{\theta})\Gamma(x, \hat{\theta}) \leq -W(x, \hat{\theta}) \leq 0$$

Then, if we add an integrator ( $u$  is replaced by another state  $\xi \in \mathbb{R}^m$ )

$$\begin{aligned} \dot{x} &= f(x) + F(x)\hat{\theta} + g(x)\xi \\ \dot{\xi} &= u \end{aligned}$$

then the following Lyapunov function allows for computing an adaptive controller that guarantees closed loop signals remain bounded and regulation of  $W(x, \hat{\theta}), (\xi - \alpha(x, \hat{\theta})) \rightarrow 0$  as

Srikant Sukumar                      2                      Adapti

1:12 PM Tue 17 May Adaptive\_Control\_Week7

$\Rightarrow \dot{V} < 0 \quad \forall k_1, k_2 > \frac{1}{2}$

*GUAS, GES*

which from the Lyapunov theorems proves that  $x_1 \rightarrow 0$  and  $x_2 \rightarrow x_{2d}$ . Now,  $x_{2d} = -k_2 x_1 - \dot{\theta} f(x_1)$  and from the facts that  $x_1 \rightarrow 0$  and  $f(0) = 0$ , we have that  $x_{2d}$  and hence  $x_2 \rightarrow 0$ .

This completes the proof.

**2.2 Unknown Parameter Case**

First Control:

$\tilde{x}_1 = \frac{x_2 + \theta f(x_1)}{u}$  *pseudo-control*

$x_{2d} = -k_1 x_1 - \hat{\theta} f(x_1)$

if  $x_2 = x_{2d}$

$\dot{x}_1 = -k_1 x_1 - \tilde{\theta} f(x_1), \quad \tilde{\theta} = \theta - \hat{\theta}$



Srikant Sukumar

1:12 PM Tue 17 May Adaptive\_Control\_Week7

$\dot{\hat{\theta}} = \gamma x_1 f(x_1)$

$\Rightarrow \dot{V}_1 = -k_1 x_1^2 \leq 0$

*exactly in the numerator*

$-w(x_1, \hat{\theta})$

Lyapunov Function:

$V_2 = \frac{1}{2}(x_2 - x_{2d})^2$

$\dot{V}_2 = (x_2 - x_{2d})(\dot{x}_2 - \dot{x}_{2d})$

Choose  $\dot{x}_2 = u = \dot{x}_{2d} - k_2(x_2 - x_{2d})$

$\dot{x}_{2d} = -k_1 \dot{x}_1 - \gamma x_1 f^2(x_1) - \dot{\hat{\theta}} f(x_1)$

$\dot{x}_{2d} = -k_1(x_2 + \theta f(x_1)) - \gamma x_1 f^2(x_1) - \dot{\hat{\theta}} f(x_1)$

$= -(k_1 + \hat{\theta} \frac{\partial f}{\partial x_1}) \dot{x}_1 - \gamma x_1 f^2(x_1)$

$= -(k_1 + \hat{\theta} \frac{\partial f}{\partial x_1})(x_2 + \theta f(x_1)) - \gamma x_1 f^2(x_1)$

*control is NOT available: replace with CE*



1:12 PM Tue 17 May Adaptive\_Control\_Week9

Assume that there exists an adaptive controller,

$u = \alpha(x, \hat{\theta})$

$\dot{\hat{\theta}} = \Gamma(x, \hat{\theta})$

$\tilde{\theta} = \theta - \hat{\theta}$

$\dot{\tilde{\theta}} = -\dot{\hat{\theta}}$

and a smooth  $V : \mathbb{R}^n \times \mathbb{R}^p \rightarrow \mathbb{R}$  which is radially unbounded in  $(x, \tilde{\theta})$  such that

$\dot{V} = \frac{\partial V}{\partial x}(x, \tilde{\theta})[f(x) + F(x)\theta + g(x)\alpha(x, \hat{\theta})] + \frac{\partial V}{\partial \tilde{\theta}}(x, \tilde{\theta})\Gamma(x, \hat{\theta}) \leq -W(x, \tilde{\theta}) \leq 0$

Then, if we add an integrator ( $u$  is replaced by another state  $\xi \in \mathbb{R}^m$ )

$\dot{x} = f(x) + F(x)\theta + g(x)\xi$

$\dot{\xi} = u$

then the following Lyapunov function allows for computing an adaptive controller



1:16 PM Tue 17 May

Adaptive\_Control\_Week9

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Systems & Control

$t \rightarrow \infty.$

$$\bar{V}(x, \xi, \hat{\theta}, \bar{\theta}) = V(x, \hat{\theta}) + \frac{1}{2} \|\xi - \alpha(x, \hat{\theta})\|^2 + \frac{1}{2} (\theta - \bar{\theta})^T S^{-1} (\theta - \bar{\theta}) \quad S = S^T > 0$$

where  $\xi = \xi - \alpha(x, \hat{\theta})$  is the backstepping error variable and  $\hat{\theta}, \bar{\theta}$  (overestimation also known as overparametrization in vector case) are both estimates of  $\theta$  as the scalar case.

Proof. Dynamics in  $(x, z)$

$$\dot{x} = f(x) + F(x)\theta + g(x)(z + \alpha(x, \hat{\theta}))$$

$$\dot{z} = u - \frac{\partial \alpha}{\partial x} [f(x) + F(x)\theta + g(x)(z + \alpha(x, \hat{\theta}))] - \frac{\partial \alpha}{\partial \theta} \Gamma(x, \hat{\theta})$$

$$\dot{\bar{V}} = \frac{\partial V}{\partial x} [f(x) + F(x)\theta + g(x)(z + \alpha(x, \hat{\theta}))] + \frac{\partial V}{\partial \theta} \Gamma(x, \hat{\theta}) + z^T [u - \frac{\partial \alpha}{\partial x} [f(x) + F(x)\theta + g(x)(z + \alpha(x, \hat{\theta}))] - \frac{\partial \alpha}{\partial \theta} \Gamma(x, \hat{\theta})] - (\theta - \bar{\theta})^T \Gamma^{-1} \dot{\bar{\theta}}$$




1:13 PM Tue 17 May

Adaptive\_Control\_Week7

AdaptiveNPTEL-bground x IEEE\_WorkShop\_Slides\_Lavret... x Adaptive\_Control\_Week7 x 2019ARC x Adaptive\_Control\_Week9

where  $\mu = \mu - \hat{\mu}$ . Notice there is one parameter and two estimates of that parameter (overparametrization).

Overall Lyapunov Function:

$$V_1 = \frac{1}{2} x_1^2 + \frac{1}{2\gamma} \bar{\theta}^2$$

$$V_2 = \frac{1}{2} (x_2 - x_{2d})^2 + \frac{1}{2\sigma} \hat{\mu}^2$$

$\frac{1}{2\sigma} \hat{\mu}^2$  in  $V_2$  corresponds to the overestimation term.

overparametrization.

$$\dot{\bar{\theta}} = -\dot{\theta} = \sigma x_1 f(x_1)$$

$$\dot{x}_1 = x_2 + \theta f(x_1)$$

$$\dot{x}_2 = u - k_1 x_1 - \hat{\theta} f(x_1)$$

$$\dot{x}_{2d} = -k_2 x_2 + k_2 x_1$$

$$u = \dot{x}_{2d} - k_2 x_2$$

$$\frac{\partial \bar{\theta}}{\partial x} = -\hat{\theta} x_1 f'(x_1)$$


6 of 9




So, the structure is slightly more general of course but still we do the same thing if we add an integrator that is the control is replaced by this psi and then the psi dot is u. So, the control is at the next level. Then what do we do? So, this is where the integrator backstepping was used earlier and we want to of course generalize it to this vector case.

So, one thing should be evident that this psi is also in  $\mathbb{R}^m$  it has to be the same dimension as the control because otherwise this is not a feasible situation. So, if psi is a different dimension then there can be problems. So, we assume that psi is the same dimension as the u. So, then the claim is that we can still construct a Lyapunov function, which allows us to compute an adaptive controller which is going to guarantee closed loop signals remain bounded and also that somehow the backstepping error and W go to 0 as t goes to infinity.

Because this is the best we can do anyway but even in the scalar case, we prove that  $W$  goes to 0. What was  $W$ ? In this case  $W$  is this. So, we prove  $x_1$  goes to 0 that is the best we can do. And of course we also prove that the backstepping error goes to 0. So, we prove these two things that is what we want even in this scalar case.

So, that is what we claim here also, we want to claim here at least that this  $W$  goes to 0 and the backstepping error which is  $\psi$  minus the because the  $\psi$  is the state now and cannot always be made exactly equal to  $\alpha$  but in steady state it can be. So,  $\psi$  has to follow  $\alpha$  and that is the backstepping error and that is also going to be driven to be 0.

So, what is this magical Lyapunov function nothing very magical to be honest. So, we call this  $V$  bar now and it has several states it has  $x$  and  $\psi$ , which are now the new states, it has the earlier parameter error  $\theta$  tilde and it has the new parameter error new parameter  $\theta$  bar. Remember then we use a  $\mu$  here of course we used a  $\mu$  let us see here we used a  $\mu$  the  $\mu$  hat. So, here we are using  $\theta$  bar just a difference in notation. So, it is a function of four quantities now  $x$  which was always there,  $\theta$  tilde which is already there for the one state system, and now we have  $\psi$  and  $\theta$  bar corresponding to the integrator, and the new over parameterization.

How do we construct it? Take the same  $V$  which was just a function of  $x$  and  $\theta$  hat then we add a backstepping error term standard then we add a term corresponding to the new parameter error. So,  $\theta$  bar is a new parameter estimate. So, I just add a term corresponding to that, now notice that because this is a vector I have taken care that this is written as a norm.

So, this is written as a norm this is no longer just square of  $\psi$  minus  $\alpha$ , it is in fact norm squared of  $\psi$  minus  $\alpha$  and it is very standard to use the Euclidean norm or the two norms. So, this is denoted as  $z$  of course like is mentioned here. So, this term is actually one half  $z^T z$  and this is the Euclidean norm squared and similarly I construct a very similar looking term for the  $\theta$  minus  $\theta$  bar that is a new parameter error also just that I add an adaptation gain I always add an adaptation gain this is the adaptation gain.

So, let me see unfortunately we have used the same  $\gamma$  here this is not the same let us be clear on that this is like, let me call it an  $S$  inverse. So,  $S$  is some constant positive definite matrix. So, this is not the same as that  $\gamma$  that  $\gamma$  was the this  $\gamma$  is actually the update law for the parameter  $\theta$  hat. This is the different parameter, different matrix  $S$  and this  $S$  is simply like you all know is the adaptation gain it actually controls how fast or slow your adaptation will happen.

So, now that we have this sort of a new kind of Lyapunov function for this integrator system with vector states. So, therefore we have norms appearing here we have transposes appearing here all we are going to of course take the derivative I mean our claim is that this is a good Lyapunov function, this is our claim. Now of course we want to verify this claim. So, let us see let us see.

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1:19 PM Tue 17 May

Adaptive\_Control\_Week9

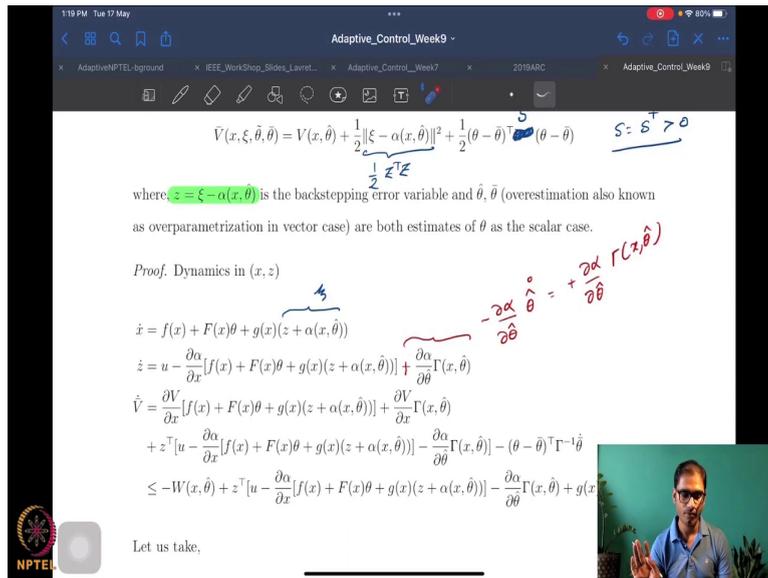
$$\tilde{V}(x, \xi, \hat{\theta}, \bar{\theta}) = V(x, \hat{\theta}) + \frac{1}{2} \|\xi - \alpha(x, \hat{\theta})\|^2 + \frac{1}{2} (\theta - \bar{\theta})^T S (\theta - \bar{\theta}) \quad S = S^T > 0$$

where  $\xi = \xi - \alpha(x, \hat{\theta})$  is the backstepping error variable and  $\hat{\theta}, \bar{\theta}$  (overestimation also known as overparametrization in vector case) are both estimates of  $\theta$  as the scalar case.

Proof. Dynamics in  $(x, z)$

$$\begin{aligned} \dot{x} &= f(x) + F(x)\theta + g(x)(z + \alpha(x, \hat{\theta})) \\ \dot{z} &= u - \frac{\partial \alpha}{\partial x} [f(x) + F(x)\theta + g(x)(z + \alpha(x, \hat{\theta}))] + \frac{\partial \alpha}{\partial \theta} \Gamma(x, \hat{\theta}) \\ \dot{V} &= \frac{\partial V}{\partial x} [f(x) + F(x)\theta + g(x)(z + \alpha(x, \hat{\theta}))] + \frac{\partial V}{\partial x} \Gamma(x, \hat{\theta}) \\ &\quad + z^T [u - \frac{\partial \alpha}{\partial x} [f(x) + F(x)\theta + g(x)(z + \alpha(x, \hat{\theta}))] - \frac{\partial \alpha}{\partial \theta} \Gamma(x, \hat{\theta}) - (\theta - \bar{\theta})^T \Gamma^{-1} \dot{\hat{\theta}}] \\ &\leq -W(x, \hat{\theta}) + z^T [u - \frac{\partial \alpha}{\partial x} [f(x) + F(x)\theta + g(x)(z + \alpha(x, \hat{\theta}))] - \frac{\partial \alpha}{\partial \theta} \Gamma(x, \hat{\theta}) + g(x) \end{aligned}$$

Let us take,



1:23 PM Tue 17 May

Adaptive\_Control\_Week9

where  $\xi = \xi - \alpha(x, \hat{\theta})$  is the backstepping error variable and  $\hat{\theta}, \bar{\theta}$  (overestimation as overparametrization in vector case) are both estimates of  $\theta$  as the scalar case.

Proof. Dynamics in  $(x, z)$

$$\begin{aligned} \dot{x} &= f(x) + F(x)\theta + g(x)(z + \alpha(x, \hat{\theta})) \\ \dot{z} &= u - \frac{\partial \alpha}{\partial x} [f(x) + F(x)\theta + g(x)(z + \alpha(x, \hat{\theta}))] + \frac{\partial \alpha}{\partial \theta} \Gamma(x, \hat{\theta}) \\ \dot{V} &= \frac{\partial V}{\partial x} [f(x) + F(x)\theta + g(x)(z + \alpha(x, \hat{\theta}))] + \frac{\partial V}{\partial x} \Gamma(x, \hat{\theta}) \\ &\quad + z^T [u - \frac{\partial \alpha}{\partial x} [f(x) + F(x)\theta + g(x)(z + \alpha(x, \hat{\theta}))] - \frac{\partial \alpha}{\partial \theta} \Gamma(x, \hat{\theta})] \\ &\leq -W(x, \hat{\theta}) + z^T [u - \frac{\partial \alpha}{\partial x} [f(x) + F(x)\theta + g(x)(z + \alpha(x, \hat{\theta}))] \end{aligned}$$

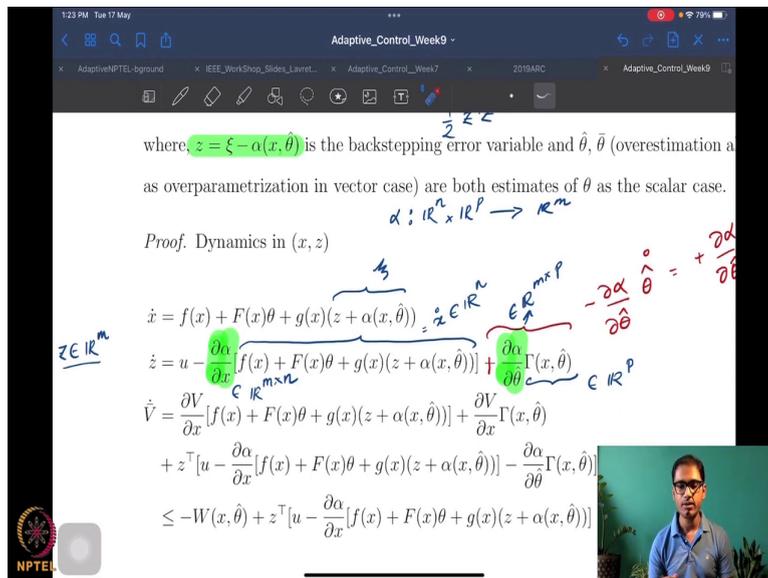
$\alpha: \mathbb{R}^n \times \mathbb{R}^p \rightarrow \mathbb{R}^m$

$z \in \mathbb{R}^m$

$\Gamma \in \mathbb{R}^{m \times p}$

$\frac{\partial \alpha}{\partial \theta} \in \mathbb{R}^{m \times p}$

$\frac{\partial \alpha}{\partial \theta} \dot{\hat{\theta}} = + \frac{\partial \alpha}{\partial \theta} \Gamma(x, \hat{\theta})$



Assume that there exists an adaptive controller,

$$u = \alpha(x, \hat{\theta})$$

$$\dot{\hat{\theta}} = \Gamma(x, \hat{\theta})$$

and a smooth  $V : \mathbb{R}^n \times \mathbb{R}^p \rightarrow \mathbb{R}$  which is radially unbounded in  $(x, \hat{\theta})$  such that

$$\dot{V} = \frac{\partial V}{\partial x}(x, \hat{\theta})[f(x) + F(x)\hat{\theta} + g(x)\alpha(x, \hat{\theta})] + \frac{\partial V}{\partial \hat{\theta}}(x, \hat{\theta})\Gamma(x, \hat{\theta}) \leq -W(x, \hat{\theta}) \leq 0$$

Then, if we add an integrator ( $u$  is replaced by another state  $\xi \in \mathbb{R}^m$ )

$$\dot{x} = f(x) + F(x)\hat{\theta} + g(x)\xi$$

$$\dot{\xi} = u$$

then the following Lyapunov function allows for computing an adaptive controller

So, the dynamics first we want to do the first thing we want to do is write the dynamics in the new variables, which is  $x$  and  $z$  now because we introduce the backstepping variable it is not  $x$  and  $\psi$  but it is a  $x$  and  $z$ . So, we just do that. So, first. So,  $\dot{x}$  is  $f(x) + F(x)\hat{\theta} + g(x)u$  and  $u$  can be written as, what I am sorry this is not  $u$ , this is in fact I am sorry, this is my bad, it is not  $u$  but this is  $\psi$ . So, this is what is the dynamics.

So, and  $\psi$  can be written as  $z + \alpha$  that is what I do and what is  $\dot{z}$   $\dot{z}$  is just the derivative of this which is  $\dot{\psi}$  which is  $u$  and then minus  $\dot{\alpha}$  then I have minus of  $\dot{\alpha}$ . So, all of this is minus of  $\dot{\alpha}$   $\alpha$  is a function of two variables  $x$  and  $\hat{\theta}$ . So, first I take the derivative with respect to  $x$ . So,  $\frac{\partial \alpha}{\partial x} \dot{x}$  and  $\dot{x}$  is just plugged from here.

So, this guy is right here and then minus  $\frac{\partial \alpha}{\partial \hat{\theta}} \dot{\hat{\theta}}$  times  $\dot{\hat{\theta}}$ . So, what is  $\dot{\hat{\theta}}$ . So, this where we have to be careful. So, this is actually now let me be careful here this term should be minus  $\frac{\partial \alpha}{\partial \hat{\theta}} \dot{\hat{\theta}}$  remember  $\alpha$  cannot depend on  $\tilde{\theta}$  and because it is was the first stage control it can depend only on  $\hat{\theta}$  because  $\tilde{\theta}$  is unknown.

So, and remember from the previous derivation  $\dot{\hat{\theta}}$  is actually equal to minus  $\tilde{\theta}$  dot. So, it is equal to minus  $\dot{\tilde{\theta}}$ . So, I have to be careful it is actually going to be equal to plus  $\frac{\partial \alpha}{\partial \hat{\theta}} \dot{\tilde{\theta}}$   $\tilde{\theta}$  there is a plus sign and not a minus sign. So, I need to be careful here this is actually going to be a plus sign this is actually going to be a plus sign I hope that is clear.

So, what have I done I have simply written the dynamics it is just a lot of bookkeeping again I have simply written the dynamics in terms of the new variables  $x$  and  $z$  this is exactly what I was doing for the scalar case also. All I am doing here is being a little bit more careful because I have vectors that are involved and that is it. So, here I have  $\dot{x}$  which was  $f(x) + g(x)\psi$  and  $\psi$  is just replaced in terms of the backstepping error variable as  $z + \alpha$ , then I have  $\dot{z}$  which is  $\dot{\psi} - \dot{\alpha}$ .

So, when I say dot it is a derivative with respect to time. So, I take  $\dot{\psi}$  which is  $u - \dot{\alpha}$ . So, there are two terms  $\frac{\partial \alpha}{\partial x} \dot{x} - \frac{\partial \alpha}{\partial \theta} \dot{\theta}$ . So, there are two terms and then the first term is therefore  $\frac{\partial \alpha}{\partial x} \dot{x}$  and  $\dot{x}$  which is substituted from here and then I have  $\frac{\partial \alpha}{\partial \theta} \dot{\theta}$  which brings in a negative  $\gamma$ .

So, this becomes a positive. So, I have fixed this sign. So, when I write it in this form again remember that what is the dimension of  $z$ . So, it is important that we remember also said, so  $x$  is in  $\mathbb{R}^n$ . So,  $\dot{x}$  belongs or well I will write it here. So,  $\dot{x}$  is in  $\mathbb{R}^n$  of course I do not need to write it but  $z$  is the same dimension as the control. So, it is in  $\mathbb{R}^m$ . So, this is  $\mathbb{R}^m$  now what is the dimension of this quantity? This is  $\mathbb{R}^n$ .

So, if I look at thing in the bracket this is simply  $\dot{x}$ . So, this is equal to  $\dot{x}$  and this of course belongs to  $\mathbb{R}^n$  I need to be careful here. Now so what is the dimension of  $\frac{\partial \alpha}{\partial x}$ , therefore what does what has to be the dimension of  $\frac{\partial \alpha}{\partial x}$ , it has to be let us... has to be  $\mathbb{R}^m \times \mathbb{R}^n$  to be consistent with this expression because the right hand side has to be  $\mathbb{R}^n$ . And this is in  $\mathbb{R}^n$ , therefore this has to be an  $m \times n$  matrix.

Now how does this happen similarly, similarly before we go on,  $\gamma$  here is from  $\dot{\theta}$  or  $\theta$  whatever and  $\theta$  was in  $\mathbb{R}^p$ ,  $\mathbb{R}^p$ . There are  $p$  unknown parameters. Therefore, this guy has to belong to  $\mathbb{R}^m \times \mathbb{R}^p$ . So, how does this happen? So, look at what is  $\alpha$ ,  $\alpha$  is a function of  $x$  and  $\theta$  what do I know about dimension of  $\alpha$  I know that  $\alpha$  if I may write it carefully  $\alpha$  is in fact a map from  $x$  states.

So,  $\mathbb{R}^n$  and  $p$  states which is  $\mathbb{R}^p$ . So, that is  $\theta$  states to what it is the same dimension as  $\psi$ . So, it is  $\mathbb{R}^m$ . So, now if I take partial of  $\alpha$  with respect to only these states, it is obvious that it will give I will get  $m \times n$  matrix when I take partial of an  $m$  vector with respect to only  $n$  of the states I will get an  $m \times n$  matrix similarly if I take the partial of  $m$  vector with respect to  $p$  states then I will get  $m \times p$  matrix. So, this is all consistent.

So, just keep this in mind that all these partials are now Jacobians, what we call Jacobians and they are all matrices. So, what is it that we did today, we sort of started to generalize the adaptive integrator backstepping that we looked in looked at in week number 7 to the vector case. And we are sort of trying to understand the differences when there is the vector case. So, the norms appear the transposes appear and then there is the Jacobian and all these notions.

So, we have to do very careful bookkeeping but as of now I hope you have seen that the methods are not in distinctly different just because the states become vectors or something like that. So, of course we continue working on this generalization of adaptive integrator backstepping to the vector case in the subsequent session also. So, this is where we stop and see you again next time. Thanks.