

Nonlinear Adaptive Control
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Indian Institute of Technology, Bombay
Week 9
Lecture No: 53
Adaptive Backstepping via Control Lyapunov Function (CLF)

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Hello, everyone. Welcome to yet another session of our NPTEL on Nonlinear and Adaptive Control. I am Srikant Sukumar from Systems and Control, IIT Bombay. We are now pretty much close to ending the ninth week of lectures for this course, and I hope that all of you with me have learned several analysis and design techniques for designing algorithms that will fly autonomous systems such as what we see in our background.

What will be rather interesting and useful for me is to get feedback from all of you on the kind of applications that you envision using it or even start to use it. And I would really like to see some your test bed results, at least on how, or the kind of improvement that you could achieve using adaptive design methods.

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$\theta = 1 \tau(x, \theta)$

guarantees that (x, θ) are globally bounded and $x(t) \rightarrow 0$ as $t \rightarrow \infty$. Here, τ is the **timing function**.

Definition 2. Smooth function $V_a(x, \theta)$ positive definite in x for each θ is called an adaptive control Lyapunov function (ACLF) for (1.1) if $\exists \Gamma = \Gamma^T > 0$ such that for each $\theta \in \mathbb{R}^p$, $V_a(x, \theta)$ is a CLF for

$$\dot{x} = f(x) + F(x)(\theta + \Gamma \left(\frac{\partial V_a}{\partial \theta} \right)^T) + g(x)u \quad (1.2)$$

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So, what we were doing last time was essentially in this week 10 lecture notes and we had started looking at the notion of adaptive CLF, adaptive control Lyapunov functions.

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which implies

$$\inf_{u \in \mathbb{R}} \left\{ \frac{\partial V_a}{\partial x} [f(x) + F(x)(\theta + \Gamma \left(\frac{\partial V_a}{\partial \theta} \right)^T) + g(x)u] \right\} < 0 \quad \forall x \neq 0$$

$\frac{\partial V_a}{\partial \theta}$ is missing since $\frac{\partial V_a}{\partial \theta} \cdot \dot{\theta} = 0$

Theorem 1 (Equivalence of ACLF and CLF of modified system). The following statements are equivalent:

1. There exists (α, V_a, Γ) such that $\alpha(x, \theta)$ globally asymptotically stabilizes (1.2) at $x = 0$, $\forall \theta \in \mathbb{R}^p$ w.r.t the Lyapunov function $V_a(x, \theta)$.
2. There exists an ACLF $V_a(x, \theta)$ for (1.1). Moreover if an ACLF exists then (1.1) is globally adaptively asymptotically stabilizable.

Proof. 1 \Rightarrow 2 is obvious since (α, V_a, Γ) existence implies

$$V_a := \frac{\partial V_a}{\partial x} [f(x) + F(x)(\theta + \Gamma \left(\frac{\partial V_a}{\partial \theta} \right)^T) + g(x)\alpha(x, \theta)] \leq -W(x, \theta) < 0$$

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And we talked about the equivalence of the adaptive control Lyapunov function and the control Lyapunov function for the modified system. And finally, we also showed that if an adaptive CLF exists for a system of the form 1.1, then the system is globally adaptively asymptotically stabilizable, which means that I can design an adaptive controller for system 1.1, which ensures

that x and θ states remain bounded, and further that the x states converge to 0 as t goes to infinity.

So, that is rather nice. So, the power of ACLF is now, I hope, well understood. So, if one is able to construct an ACLF, then I mean, you already have sort of achieved a big goal because just by using this ACLF, you can now design a controller. And it is also very clear and evident in some sense.

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Given $V_a(x, \theta)$ there exists $\Gamma = \Gamma^T > 0$ and $\alpha(x, \theta)$ such that the following inequality holds

$$\frac{\partial V_a}{\partial x} [f(x) + F(x)(\theta + \Gamma \frac{\partial V_a}{\partial \theta})^T] + g(x)\alpha(x, \theta) \leq -W(x, \theta).$$

Consider the following Lyapunov function for (1.1)

$$V(x, \hat{\theta}) = V_a(x, \hat{\theta}) + \frac{1}{2} \hat{\theta}^T \Gamma^{-1} \hat{\theta}, \quad \dot{\hat{\theta}} = \theta - \hat{\theta}$$

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

$$= \frac{\partial V_a}{\partial x} [f(x) + F(x)(\hat{\theta} + \Gamma \frac{\partial V_a}{\partial \theta})^T] + g(x)\alpha(x, \hat{\theta}) + \frac{\partial V_a}{\partial x} [F(x)\hat{\theta} - F(x)\Gamma \frac{\partial V_a}{\partial \theta}]^T + \frac{\partial V_a}{\partial \theta} \Gamma \tau(x, \hat{\theta}) - \hat{\theta}^T \tau(x, \hat{\theta})$$

$$\leq -W(x, \hat{\theta}) + \hat{\theta}^T \left\{ \left(\frac{\partial V_a}{\partial x} F(x) \right)^T - \tau(x, \hat{\theta}) \right\} - \frac{\partial V_a}{\partial \theta} \Gamma \left\{ \left(\frac{\partial V_a}{\partial x} F(x) \right)^T - \tau(x, \hat{\theta}) \right\}$$

We can choose $\tau(x, \hat{\theta}) = \left(\frac{\partial V_a}{\partial x} F(x) \right)^T$ so as to obtain

Handwritten notes: $\hat{\theta}^T \Gamma^{-1} \dot{\hat{\theta}} = -\hat{\theta}^T \Gamma^{-1} \hat{\theta} = -\tau^T$

Handwritten notes: $F(x)\hat{\theta} - F(x)\Gamma \frac{\partial V_a}{\partial \theta}$

Handwritten notes: $\hat{\theta} + \Gamma \frac{\partial V_a}{\partial \theta}$

Handwritten notes: \rightarrow certainly -ve definite in $\hat{\theta}$

$$\dot{V}(x, \hat{\theta}) \leq -W(x, \hat{\theta}) \leq 0$$

Now, we can use La Salle's Invariance principle or signal chasing arguments to show that x and $\hat{\theta}$ will remain bounded and $x(t) \rightarrow 0$ as $t \rightarrow \infty$ since $W(x, \hat{\theta})$ is positive definite in $\hat{\theta}$.

Handwritten notes: $\hat{\theta}^T \Gamma^{-1} \dot{\hat{\theta}} = -\hat{\theta}^T \Gamma^{-1} \hat{\theta} = -\tau^T$

Handwritten notes: $F(x)\hat{\theta} - F(x)\Gamma \frac{\partial V_a}{\partial \theta}$

Handwritten notes: $\hat{\theta} + \Gamma \frac{\partial V_a}{\partial \theta}$

Handwritten notes: \rightarrow certainly -ve definite in $\hat{\theta}$

The alpha, the control that the feedback law, alpha in this case is obtained just by, you can simply use like a Artstein-Sontag formula to get an alpha, a stabilizing controller. And the tuning function tau is obtained using this expression. In fact, there is a clear expression for what would be the tuning function.

So, so this is the cool thing. I mean, the expression for the tuning function is clearly known. The expression for alpha can be obtained by an Artstein-Sontag type universal formula. I mean, of course, you can do all of this intuitively, might be even better, easier analysis wise. But even if you do not, you can almost automate it. You can have a computer compute these symbolically and simply implement it. So, having a adaptive control Lyapunov function for a system or for a class of systems is a rather powerful tool.

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2 Adaptive backstepping via CLF

Theorem 2 (Global adaptive asymptotic stabilizability of an integrator). If

$$\dot{x} = f(x) + F(x)\theta + g(x) \quad x \in \mathbb{R}^n, \theta \in \mathbb{R}^p, u \in \mathbb{R} \quad (2.1)$$

is globally adaptively asymptotically stabilizable with $\alpha \in C^1$, then so is

$$\begin{aligned} \dot{x} &= f(x) + F(x)\theta + g(x) \\ \dot{\xi} &= u. \end{aligned} \quad (2.2)$$

System (2.2) is the integrator version of (2.1), i.e., an integrator has been added to (2.1)

Proof. (2.1) is adaptively asymptotically stabilizable implies there exists $(\alpha, V_\alpha, \Gamma)$

$$\frac{\partial V_\alpha}{\partial x} [f(x) + F(x)(\theta + \Gamma(\frac{\partial V_\alpha}{\partial \theta})\Gamma) + g(x)\alpha] \leq -W(x, \theta)$$

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$$\dot{\xi} = u. \quad (2.2)$$

System (2.2) is the integrator version of (2.1), i.e., an integrator has been added to (2.1).

Proof. (2.1) is adaptively asymptotically stabilizable implies there exists (α, V_a, Γ) such that

$$\frac{\partial V_a}{\partial x} [f(x) + F(x)\theta + g(x)\alpha] \leq -W(x, \theta)$$

For system (2.2), we consider

$$V_1(x, \xi, \theta) = V_a(x, \theta) + \frac{1}{2}(\xi - \alpha(x, \theta))^2$$

$$= V_a(x, \theta) + \frac{1}{2}z^2$$

where, $z = \xi - \alpha(x, \theta)$. We want to show V_1 is an ACLF for (2.2), i.e.,

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is globally **adaptively** asymptotically stabilizable with $\alpha \in C^1$, then so is

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Proof. (2.1) is adaptively asymptotically stabilizable implies there exists (α, V_a, Γ) such that

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For system (2.2), we consider

$$V_1(x, \xi, \theta) = V_a(x, \theta) + \frac{1}{2}(\xi - \alpha(x, \theta))^2$$




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$\frac{\partial V_a}{\partial x} [f(x) + F(x)(\theta + \Gamma(\frac{\partial V_a}{\partial \theta})^T) + g(x)\alpha] \leq -W(x, \theta)$ Given $V_a(x, \theta)$ is an ACLF for (2.1)

For system (2.2), we consider

$$V_1(x, \xi, \theta) = V_a(x, \theta) + \frac{1}{2}(\xi - \alpha(x, \theta))^2$$

$$= V_a(x, \theta) + \frac{1}{2}z^2$$

where, $z = \xi - \alpha(x, \theta)$. We want to show V_1 is an ACLF for (2.2), i.e.,

$$\frac{\partial V_1}{\partial x} [f(x) + F(x)(\theta + \Gamma(\frac{\partial V_1}{\partial \theta})^T) + g(x)\xi] + \frac{\partial V_1}{\partial \xi} \alpha_1 \leq -W(x, \theta) - z^2 \quad (2.3)$$

will demonstrate this inequality

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Now what, we want to do is to move on to the backstepping version of things because what does backstepping mean? It means that I add some integrator layers and I can still apply the same method. So, the adaptive integrator backstepping was essentially meant that I can design a controller for the first stage but then if there is an integrator layer then I can just move this controller to the second stage using a smart construction of a Lyapunov function.

Here also, we do something similar. Extended matching was slightly different, of course, because we did not actually declare a Lyapunov function for the first stage separately. We directly looked at a constructing, we directly constructed a Lyapunov function for the second stage. So, that is why that is a little bit different, and this is a little bit different.

However, the point being that you can, you can do Backstepping. And that is what we want to do. We want to do adaptive backstepping via CLF starting this session. So, I am going to mark this as lecture 9.5. This is where we are. And so, so what is this? So, you are saying that you, if you have a system again which is looking like the system 1.1 where x is the state in R^n , θ is the parameter in R^p and the control is still a scalar control, the system is said to be globally adaptively asymptotically stabilizable.

I am sorry, if this system is globally adaptively asymptotically stabilizable, then the claim is that the system with the integrator is also globally adaptively asymptotically stabilizable. So, so anyway, so, so that is what we will, of course, prove or try to prove. So, so that is the idea. So, the system 2.2 as you can see is essentially an integrated version.

So, the control is replaced by the state x_i and then there is a $\dot{x}_i = u$. So, it is essentially the standard backstepping form that you are used to seeing. There is nothing new here in this structure. So, this is what we want to prove that if I am given that this is globally adaptively asymptotically stabilizable, then I want to claim that this is also globally adaptively asymptotically stabilizable.

So, let us look at the proof. So, if you know that system 2.1 is in fact globally adaptively asymptotically stabilizable, then that there exists a feedback $u = -\alpha$ and a γ , positive definite, such that this sort of a relation holds. This is essentially the ACLF relationship, essentially the ACLF type relationship.

Now, what do we do? We use our backstepping idea. We know that α cannot directly be applied because x_i is not actually a control but x_i is in fact a new state. So, we try to do the next best thing. We try to make x_i to chase α . So, we make x_i to chase α . And how do we do that? We add a quadratic term in the Lyapunov candidate.

So, so we consider this V_1 or a candidate function V_1 , which is essentially the same V_a . Notice again, that V_1 , although I talked about adaptive, I am not really putting $\hat{\theta}$ anywhere. I did not really put $\hat{\theta}$ anywhere. This α , though I have not specified it, α is just $x_{\hat{\theta}}$. So, what we are going to try to prove is that given V_a is ACLF for 2.1, we claim that $V_1(x_i, \hat{\theta})$ is an ACLF for 2.2. That is, it.

We are not going to worry about, because what do? We know we know that once I have an ACLF, I can design controllers and adaptive laws and all that jazz. Yes, I do not worry about unknown θ right now. I just worry about finding an ACLF. Now, because the system is globally adaptively asymptotically stabilizable, existence of a V_a is guaranteed, guaranteed, that is what it means.

We already said that, that if you have an ACLF, I mean if the system is globally adapted asymptotically stabilizable, means the existence of such a V_a function. So, this is guaranteed. So, what we are claiming is that from this V_a , I can construct this V_1 which is just a standard backstepping construction, because what do I do?

I take the V_1 and then I add to it the backstepping error term, a quadratic in the backstepping error term. This is just ξ minus α_1 , that is defined as z . And this is just half z squared amplitude. And we essentially claim that V_2 is in fact an ACLF for this new system. So, how do we do that?

We just try to compute the ACLF inequality. So, what is this ACLF inequality? We want, we essentially have this. Let us see. We essentially will show this. So, that is what, let us be careful. We will demonstrate this inequality. And how do I demonstrate this inequality? I am just going to take V_2 and, and take its derivative along this. V_2 is a function of x , ξ and θ . So, all I am going to do is I am going to take the derivative of V_2 along these equations 2.2, because this is what, not along 2.2 but the modified version of 2.2, let us be careful here.

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where $\xi = u - \alpha_1$. The left hand side of (2.3) is now written as

$$\begin{aligned} & \left(\frac{\partial V_2}{\partial x} - z \frac{\partial \alpha_1}{\partial x} \right) [f(x) + F(x)(\theta + \Gamma \left(\frac{\partial V_1}{\partial \theta} - z \frac{\partial \alpha_1}{\partial \theta} \right)^\top) + g(x)z + g(x)\alpha_1] + z\alpha_1 \\ &= \frac{\partial V_2}{\partial x} [f(x) + F(x)(\theta + \Gamma \left(\frac{\partial V_1}{\partial \theta} \right)^\top) + g(x)\alpha_1] - \frac{\partial V_2}{\partial x} [F(x)\Gamma \left(z \frac{\partial \alpha_1}{\partial \theta} \right)^\top + g(x)z] \\ & \quad - z \frac{\partial \alpha_1}{\partial x} [f(x) + F(x)(\theta + \Gamma \left(\frac{\partial V_1}{\partial \theta} \right)^\top) + g(x)\alpha_1] + z\alpha_1 \\ & \leq -W(x, \theta) - z \left[\left(\frac{\partial V_2}{\partial x} \right) F(x)\Gamma \left(\frac{\partial \alpha_1}{\partial \theta} \right)^\top - \left(\frac{\partial V_2}{\partial x} \right) g(x) \right. \\ & \quad \left. - \frac{\partial \alpha_1}{\partial x} (f(x) + F(x)(\theta + \Gamma \left(\frac{\partial V_1}{\partial \theta} \right)^\top) + g(x)\alpha_1) \right] \end{aligned}$$

We choose,

$$\alpha_1 = -z + \left(\frac{\partial V_2}{\partial x} \right) \{ F(x)\Gamma \left(\frac{\partial \alpha_1}{\partial \theta} \right)^\top + g(x) \} + \frac{\partial \alpha_1}{\partial x} [f(x) + F(x)(\theta + \Gamma \left(\frac{\partial V_1}{\partial \theta} \right)^\top) + g(x)\alpha_1]$$

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$$\begin{aligned}
 &= \frac{\partial V_1}{\partial x} [f(x) + F(x)(\theta + \Gamma(\frac{\partial V_1}{\partial \theta})^\top) + g(x)\alpha] - \frac{\partial V_1}{\partial x} [F(x)\Gamma(\frac{\partial \alpha}{\partial \theta})^\top + g(x)\xi] \\
 &\quad - \frac{\partial \alpha}{\partial x} [f(x) + F(x)(\theta + \Gamma(\frac{\partial V_1}{\partial \theta})^\top) + g(x)\xi] + \alpha_1 \\
 &\leq -W(x, \theta) + z [\alpha_1 - (\frac{\partial V_1}{\partial x})^\top F(x) \Gamma(\frac{\partial \alpha}{\partial \theta})^\top - (\frac{\partial V_1}{\partial x})^\top g(x) \xi] \\
 &\quad - \frac{\partial \alpha}{\partial x} [f(x) + F(x)(\theta + \Gamma(\frac{\partial V_1}{\partial \theta})^\top) + g(x)\xi]
 \end{aligned}$$

We choose,

$$\alpha_1 = -z + (\frac{\partial V_1}{\partial x})^\top \{F(x)\Gamma(\frac{\partial \alpha}{\partial \theta})^\top + g(x)\xi\} + \frac{\partial \alpha}{\partial x} [f(x) + F(x)(\theta + \Gamma(\frac{\partial V_1}{\partial \theta})^\top) + g(x)\xi]$$

and finally obtain

$$\dot{V}_1 \leq -W(x, \theta) - z^2.$$




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$$\begin{aligned}
 &\leq -W(x, \theta) + z [\alpha_1 - (\frac{\partial V_1}{\partial x})^\top F(x) \Gamma(\frac{\partial \alpha}{\partial \theta})^\top - (\frac{\partial V_1}{\partial x})^\top g(x) \xi] \\
 &\quad - \frac{\partial \alpha}{\partial x} [f(x) + F(x)(\theta + \Gamma(\frac{\partial V_1}{\partial \theta})^\top) + g(x)\xi]
 \end{aligned}$$

We choose,

$$\alpha_1 = -z + (\frac{\partial V_1}{\partial x})^\top \{F(x)\Gamma(\frac{\partial \alpha}{\partial \theta})^\top + g(x)\xi\} + \frac{\partial \alpha}{\partial x} [f(x) + F(x)(\theta + \Gamma(\frac{\partial V_1}{\partial \theta})^\top) + g(x)\xi]$$

and finally obtain

$$\dot{V}_1 \leq -W(x, \theta) - z^2 < 0 \quad \forall \theta \text{ in } (\underline{\theta}, \bar{\theta})$$

So, V_1 is an ACLF for (2.2) since it is a CLF for the modified system (1.2). It follows that (2.2) is globally adaptively asymptotically stabilizable.





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Proof. (2.1) is adaptively asymptotically stabilizable implies there exists (α, V_a, Γ) such that

$$\frac{\partial V_a}{\partial x} [f(x) + F(x)(\theta + \Gamma(\frac{\partial V_a}{\partial \theta})^\top) + g(x)\alpha] \leq -W(x, \theta)$$

Given $V_a(x, \theta)$ is an ACLF for (2.1)

For system (2.2), we consider

$$V_1(x, \xi, \theta) = V_a(x, \theta) + \frac{1}{2}(\xi - \alpha(x, \theta))^2$$

$$= V_a(x, \theta) + \frac{1}{2}z^2$$

where, $z = \xi - \alpha(x, \theta)$. We want to show V_1 is an ACLF for (2.2), i.e.,

will derive this inequality

$$\frac{\partial V_1}{\partial x} [f(x) + F(x)(\theta + \Gamma(\frac{\partial V_1}{\partial \theta})^\top) + g(x)\xi] + \frac{\partial V_1}{\partial \xi} \alpha_1 \leq -W(x, \theta) - z^2$$

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is globally **adaptively** asymptotically stabilizable with $\alpha \in C^1$, then so is

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

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

$\frac{d}{dt} \begin{pmatrix} x \\ \xi \end{pmatrix} = \begin{pmatrix} f(x) + g(x)\xi \\ 0 \end{pmatrix} + \begin{pmatrix} 0 \\ 1 \end{pmatrix} u$ (2.2)

System (2.2) is the integrator version of (2.1), i.e., an integrator has been added to (2.1).

Proof. (2.1) is adaptively asymptotically stabilizable implies there exists (α, V_a, Γ) such that

$$\frac{\partial V_a}{\partial x} [f(x) + F(x)(\theta + \Gamma(\frac{\partial V_a}{\partial \theta})^\top) + g(x)\alpha] \leq -W(x, \theta)$$

Given $V_a(x, \theta)$ is an ACLF for (2.1)

For system (2.2), we consider

$$V_1(x, \xi, \theta) = V_a(x, \theta) + \frac{1}{2}(\xi - \alpha(x, \theta))^2$$

$$= V_a(x, \theta) + \frac{1}{2}z^2$$

we claim $V_1(x, \xi, \theta)$ is an ACLF for (2.2)



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For system (2.2), we consider

$$V_1(x, \xi, \theta) = V_a(x, \theta) + \frac{1}{2}(\xi - \alpha(x, \theta))^2$$

$$= V_a(x, \theta) + \frac{1}{2}z^2$$

where, $z = \xi - \alpha(x, \theta)$. We want to show V_1 is an ACLF for (2.2), i.e.,

we claim $V_1(x, \xi, \theta)$ is an ACLF for (2.2).

will demonstrate this inequality.

$$\frac{\partial V_1}{\partial x} [f(x) + F(x)(\theta + \Gamma(\frac{\partial V_1}{\partial \theta})^T) + g(x)\xi] + \frac{\partial V_1}{\partial \xi} \alpha_1 \leq -W(x, \theta) - z^2 \quad (2.3)$$

$$\left[\frac{\partial V_1}{\partial x} \quad \frac{\partial V_1}{\partial \xi} \right] \left[\begin{pmatrix} f(x) + g(x)\xi \\ 0 \end{pmatrix} + \begin{pmatrix} F(x) \\ 0 \end{pmatrix} \left[\theta + \Gamma \left(\frac{\partial V_1}{\partial \theta} \right)^T \right] + \begin{pmatrix} 0 \\ 1 \end{pmatrix} \alpha_1 \right]$$

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$$V_1(x, \xi, \theta) = V_a(x, \theta) + \frac{1}{2}(\xi - \alpha(x, \theta))^2$$

$$= V_a(x, \theta) + \frac{1}{2}z^2$$

where, $z = \xi - \alpha(x, \theta)$. We want to show V_1 is an ACLF for (2.2), i.e.,

will demonstrate this inequality.

$$\frac{\partial V_1}{\partial x} [f(x) + F(x)(\theta + \Gamma(\frac{\partial V_1}{\partial \theta})^T) + g(x)\xi] + \frac{\partial V_1}{\partial \xi} \alpha_1 \leq -W(x, \theta) - z^2$$

$$\left[\frac{\partial V_1}{\partial x} \quad \frac{\partial V_1}{\partial \xi} \right] \left[\begin{pmatrix} f(x) + g(x)\xi \\ 0 \end{pmatrix} + \begin{pmatrix} F(x) \\ 0 \end{pmatrix} \left[\theta + \Gamma \left(\frac{\partial V_1}{\partial \theta} \right)^T \right] + \begin{pmatrix} 0 \\ 1 \end{pmatrix} \alpha_1 \right]$$

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The image shows a presentation slide titled "Adaptive_Control_Week10" with handwritten notes in red ink. The slide contains the following text and equations:

Given $V_0(x, \theta)$
 ACLF for (2.1)

we claim
 $V_1(x, \xi, \theta)$ is an
 ACLF for (2.2)

$$\frac{\partial V_0}{\partial x} [f(x) + F(x)(\theta + \Gamma \left(\frac{\partial V_0}{\partial \theta}\right)^T) + g(x)\alpha] \leq -W(x, \theta)$$

For system (2.2), we consider

$$V_1(x, \xi, \theta) = V_0(x, \theta) + \frac{1}{2}(\xi - \alpha(x, \theta))^2$$

$$= V_0(x, \theta) + \frac{1}{2}z^2$$

where, $z = \xi - \alpha(x, \theta)$. We want to show V_1 is an ACLF for (2.2), i.e.,

$$\frac{\partial V_1}{\partial x} [f(x) + F(x)(\theta + \Gamma \left(\frac{\partial V_1}{\partial \theta}\right)^T) + g(x)\xi] + \frac{\partial V_1}{\partial \xi} \alpha_1 \leq -W(x, \theta) - z^2 \quad (2.3)$$

Handwritten notes include:

- $\frac{\partial V_1}{\partial z} = \frac{\partial V_0}{\partial z} - z \frac{\partial \alpha}{\partial z}$
- $\frac{\partial V_1}{\partial \xi} = z$
- $\frac{\partial V_1}{\partial \theta} = \frac{\partial V_0}{\partial \theta} - z \frac{\partial \alpha}{\partial \theta}$
- "will demand this integral"
- A matrix expression: $\begin{bmatrix} \frac{\partial V_1}{\partial z} & \frac{\partial V_1}{\partial \xi} \end{bmatrix} \begin{bmatrix} f(x) + g(x)\xi \\ 0 \end{bmatrix} + \begin{bmatrix} F(x) \\ 0 \end{bmatrix} \left[\theta + \Gamma \left(\frac{\partial V_1}{\partial \theta} \right)^T \right] + \begin{bmatrix} 0 \\ 1 \end{bmatrix} \alpha_1$

At the bottom left is the NPTEL logo and the name "Srikant Sukumar". At the bottom right is a video feed of a man in a red shirt.

So, we have assumed that \dot{x} is u is some α_1 . So, now, oh I am sorry, so what is the left-hand side? The left-hand side is essentially the \dot{V} for the modified system. So, that is $\frac{\partial V_1}{\partial x}$ times $f(x)$ plus $\frac{\partial V_1}{\partial x}$ times $F(x)\theta$ plus this guy plus $g(x)\xi$. And $\frac{\partial V_1}{\partial \xi}$ times α_1 which is α_1 . So, that is it. Now, let me verify if this is correct. Correct. So, this is $\frac{\partial V_1}{\partial x}$ times the modified \dot{x} , if you may, the modified \dot{x} , if you may. And $\frac{\partial V_1}{\partial \xi}$ times the current. So, this is what should be the case, I believe. This is what should be the case, I believe.

The modification is basically $\theta + \Gamma \left(\frac{\partial V_1}{\partial \theta}\right)^T$. It is now $\frac{\partial V_1}{\partial \theta}$ times $\theta + \Gamma \left(\frac{\partial V_1}{\partial \theta}\right)^T$. Is this quite correct, is what I am wondering. So, if I write this system out carefully I want to write it a little bit more carefully, \dot{x} is, and the drift term is $f(x)$ plus $g(x)\xi$ and 0 plus the parameter term is $F(x)\theta$ plus the control term is $0 \cdot 1 \cdot u$.

So, for this system if I want, so this is my sort of this F' , and this is F' , and this is sort of my, sorry, this is not quite right. Sort of my g' . So, what I will have is everything remains the same but this gets modified. So, technically, this should be, so this should be, if I was to write this carefully, I have to be a little bit careful. I am sorry.

And this may not, so this is, this should be $\frac{\partial V_1}{\partial x}$ times $f(x)$ plus $g(x)\xi$ plus $F(x)\theta$ plus $\Gamma \left(\frac{\partial V_1}{\partial \theta}\right)^T$ plus $0 \cdot 1 \cdot \alpha_1$. And this should be multiplied not by just $\frac{\partial V_1}{\partial x}$ but by $\frac{\partial V_1}{\partial x}$ and $\frac{\partial V_1}{\partial \xi}$. So, is this correct is what I am thinking.

Yes, this is what it should be because if you look at, I am just trying to make sure this is precise. I think it will come out to be the same expression, but I want to make sure this is the correct expression. So, what do I do, how do I get the modified system? I just take the original system and just in the term connected to the parameter, I make this change. And so then everything is multiplied by the $\partial V / \partial x$.

Now, in this case there are two states that V_1 depends on, x and x_i . Therefore, there has to be, I apologize, therefore, there has to be $\partial V_1 / \partial x$ and $\partial V_1 / \partial x_i$. Correct. And the states, again the term in the theta is just modified everything else remains exactly the same, everything else remains exactly the same. So, I really hope you can all see this.

And this essentially, I believe boils down to exactly this guy, because this will give me $\partial V_1 / \partial x = f x + g x_i + \partial V_1$. So, yeah, yeah, essentially this, from here I, will get this. So, essentially, the same thing. Just that, this is how it is been obtained. So, this term has been obtained using this kind of calculation. I hope this much is clear. I wanted to make this more precise here.

So, so, basically, we want to show that this is an ACLF. So, now we evaluate the left-hand side more carefully. So, how do we do this? So, again, so this is a correct expression, this is correct. I was just not sure if, if all the terms are correct so I just wanted to write the original expression.

So, if you look at the left-hand side, what I can do is I can write partial of V_1 with respect to x and partial of V_1 with respect to x_i in terms of the components using this expression right here. And that is what we do. So, del, so if you look at this expression here, from here you can write $\partial V_1 / \partial x$ is basically $\partial V / \partial x$. And is there anything else? Yeah, minus, sorry, plus z times, or actually minus z times $\partial \alpha / \partial x$.

And similarly, $\partial V_1 / \partial x_i$ is equal to z times del, no $\partial V_1 / \partial x_i$ is just z , is just z . I think that is correct. So, this I can substitute for here. So, this is $\partial V_1 / \partial x$. And this is $\partial V_1 / \partial x_i$. This is $\partial V_1 / \partial x$. So, that is what we do. And this is also $\partial V_1 / \partial x$ right here. Sorry, this is $\partial V_1 / \partial \theta$, I believe. So, we also have $\partial V_1 / \partial \theta$ in the expression here.

So, $\partial V_1 / \partial \theta$ is equal to what? $\partial V / \partial \theta - z \partial \alpha / \partial \theta$. Very similar. So, this expression and this are very similar. And $\partial V_1 / \partial x_i$ is just z . So, all of this is just

computed from this expression. And so, then we substitute all of that here. Once we make this substitution, we again know that some relation on ΔV on $V a$, and so we write that out.

So, we know that $\Delta V a = \Delta x + f x, f x \theta + \gamma \Delta V a = \Delta \theta^T$ so I, I will tell you which terms we take. We take this guy along with this, this and this term, and this $g x$ times x_i is written as $g x$ times z plus $g x$ times α . So, we take this term. So, all of that goes here. And then we are left with these terms, the $\Delta V a = \Delta x$ along with this guy, this guy and this guy, that goes here.

Then I am left with the entire $\Delta z a = \Delta x$ terms, that is here. And this term is just taken as it is. This term is taken as it is. And now, what do I know? By our ACLF result I know that this quantity is of course minus $W x \theta$. And then I have, again taking z common with this, I have $\alpha 1$ minus all of this mess. So, I, so you can see that, the good thing you can see is that all the other terms contain z in it.

Apart from this guy in red, apart from this guy, everything else, there is a z here in the end, there is a z here in the end, there is a z here in the beginning and there is a z here. So, I can take the z common in all the other terms. That is what I do. And I get this big expression. So, now if I choose my $\alpha 1$ to cancel all of this, because, again, remember as of now we are not talking about θ being unknown or anything like that. θ is completely known.

So, we can use θ . So, everything is known. So, I cancel all this mess which is what is all of this. And then I introduce a good term in the z . And once I can do that, I know that I am left with $V 1 \dot{z}$ is minus $W x \theta$ minus z^2 . Which means what? This also turns out to be negative definite for all θ in x, z .

So, this is a ACLF because it is a CLF because if you got the derivative to be negative definite, it means that $V 1$ is a CLF for the modified system by choosing an appropriate $\alpha 1$, of course. So, if you could choose a one $\alpha 1$, you, you, when you take an infimum over all possible u , that is again smaller than, necessarily smaller than this, or necessarily not larger than this, at least, and therefore you have that $V 1$ is a CLF for this modified system. And if you, $V 1$ is a CLF for the modified system, it means its an ACLF for the original system.

Again, what was the original system? Original system was this guy. So, that is pretty great. We have essentially been able to prove that if the original, if the system 2.1 was globally adaptively asymptotically stabilizable, then so is this guy. Why? Because from the ACLF for this system 2.1, I could construct an ACLF for system 2.2 just by modifying the control, alpha 1 and choosing V 1 in a smart way from V a. And that is, that is great, that is essentially what you want. So, this is what you need in typical backstepping adaptive control also. So, just that we are, we now have a different sort of expression.

(Refer Slide Time: 24:11)

Adaptive control law (Integrator)

$$u = \alpha_1(x, \xi, \hat{\theta})$$

$$\tau = \begin{pmatrix} \frac{\partial V_1}{\partial(x, \xi)} \\ 0 \end{pmatrix}^\top = \left(\frac{\partial V_1}{\partial x} F \right)^\top = \left\{ \left(\frac{\partial V_a}{\partial x} - z \frac{\partial \alpha}{\partial x} \right) F \right\}^\top$$

Check out extensions to set-point regulation and tracking in [1] (Section 4.2-4.3).

References

[1] M. Krstic, I. Kanellakopoulos, and P. V. Kokotovic, *Nonlinear and Adaptive Control Design*, 1st ed., ser. Adaptive and Learning Systems for Signal Processing, Communications and Control Series. Wiley-Interscience, 1995.

$$V(x, \hat{\theta}) = V_a(x, \hat{\theta}) + \frac{1}{2} \hat{\theta}^\top \Gamma^{-1} \hat{\theta}, \quad \dot{\hat{\theta}} = \hat{\theta} - \hat{\theta}$$

$$\dot{V}(x, \hat{\theta}) = \frac{\partial V_a}{\partial x} [f(x) + F(x)\hat{\theta} + g(x)\alpha(x, \hat{\theta})] + \frac{\partial V_a}{\partial \theta} \Gamma \tau(x, \hat{\theta}) - \hat{\theta}^\top \tau(x, \hat{\theta})$$

$$= \frac{\partial V_a}{\partial x} [f(x) + F(x)(\hat{\theta} + \Gamma \left(\frac{\partial V_a}{\partial \theta} \right)^\top) + g(x)\alpha(x, \hat{\theta})] + \frac{\partial V_a}{\partial x} [F(x)\hat{\theta} - F(x)\Gamma \left(\frac{\partial V_a}{\partial \theta} \right)^\top] + \left(\frac{\partial V_a}{\partial \theta} \right) \Gamma \tau(x, \hat{\theta}) - \hat{\theta}^\top \tau(x, \hat{\theta})$$

$$\leq -W(x, \hat{\theta}) + \hat{\theta}^\top \left\{ \left(\frac{\partial V_a}{\partial x} F(x) \right)^\top - \tau(x, \hat{\theta}) \right\} + \left(\frac{\partial V_a}{\partial \theta} \right) \Gamma \left\{ \left(\frac{\partial V_a}{\partial x} F(x) \right)^\top - \tau(x, \hat{\theta}) \right\}$$

We can choose $\tau(x, \hat{\theta}) = \left(\frac{\partial V_a}{\partial x} F(x) \right)^\top$ so as to obtain

$$\dot{V}(x, \hat{\theta}) \leq -W(x, \hat{\theta}) \leq 0$$

Now, we can use La Salle's Invariance principle or signal chasing arguments to show that $x(t)$ will remain bounded and $x(t) \rightarrow 0$ as $t \rightarrow \infty$ since $W(x, \hat{\theta})$ is positive definite in $\hat{\theta}$.

The screenshot shows a presentation slide with the following content:

- Equation: $\frac{\partial V_1}{\partial x} [f(x) + F(x)(\theta + \Gamma(\frac{\partial V_1}{\partial \theta})^T) + g(x)\alpha] \leq -W(x, \theta)$
- Text: "Given $V_1(x, \theta)$ is an ACLF for (2.1)"
- Text: "we claim $V_1(x, \xi, \theta)$ is an ACLF for (2.2)"
- Equation: $V_1(x, \xi, \theta) = V_0(x, \theta) + \frac{1}{2}(\xi - \alpha(x, \theta))^2 = V_0(x, \theta) + \frac{1}{2}z^2$
- Equation: $\frac{\partial V_1}{\partial z} = \frac{\partial V_0}{\partial z} - z = \frac{\partial \alpha}{\partial z}$
- Equation: $\frac{\partial V_1}{\partial \xi} = z$
- Equation: $\frac{\partial V_1}{\partial \theta} = \frac{\partial V_0}{\partial \theta} - z \frac{\partial \alpha}{\partial \theta}$
- Text: "where $z = \xi - \alpha(x, \theta)$. We want to show V_1 is an ACLF for (2.2), i.e.,
- Equation: $\frac{\partial V_1}{\partial x} [f(x) + F(x)(\theta + \Gamma(\frac{\partial V_1}{\partial \theta})^T) + g(x)\xi] + \frac{\partial V_1}{\partial \xi} \alpha_1 \leq -W(x, \theta) - z^2$ (2.3)
- Equation: $\begin{bmatrix} \frac{\partial V_1}{\partial z} \\ \frac{\partial V_1}{\partial \xi} \end{bmatrix} \begin{bmatrix} f(x) + g(x)\alpha \\ 0 \end{bmatrix} + \begin{bmatrix} F(x) \\ 0 \end{bmatrix} \theta + \Gamma \begin{bmatrix} \frac{\partial V_1}{\partial \theta} \\ \frac{\partial V_1}{\partial \theta} \end{bmatrix}^T + \begin{bmatrix} 0 \\ 1 \end{bmatrix} \alpha_1$
- Text: "will be doing this integral" (with arrows pointing to the derivative terms)
- Text: "Srikant Sukumar" (bottom left)
- Text: "Adapti" (bottom right)
- Video inset: A man in a red shirt speaking.

Now, what would be the control law. The control law is alpha 1, we just computed it, complicated. And what would be the tuning function? Now, this is interesting. The tuning function is, has a proper expression because we already have an expression for the tuning function. It is the partial of the ACLF times f. f is the term multiplying the unknown in the dynamics. In this case, term multiplying the unknown in the dynamics is this guy, and the ACLF is this guy.

So, what do you have for the tuning function? It is partial of V 1 with respect to both states, which is basically, this is the same as saying times F 0 term multiplying the unknown. And if you actually compute this, the second term goes to nothing. So, I will just have del V 1 del x F, and again I can expand del V 1 in this form. So, this is essentially my tuning function for this integrator system.

So, so if you want to look at extension to again set point regulation and tracking problems you have to look at the K. K. K. book. And this is the reference, section 4.2 and 4.3. So, this is essentially the tuning function design method. What we want to do is of course we want to look at some examples also in the subsequent sessions, that is the idea. So, let us, we will do that.

But, but just to summarize, what we did in this session is that we had started, we had already looked at ACLF ideas in the last session. In this session, we essentially wanted to look at the extension of the ACLF idea to backstepping, that is when I add an integrator layer. Then, how do you apply the ACLF idea is what we wanted to look at, and we did.

We actually proved that if you have an adaptive CLF for the original system, then if you add an integrator you can construct an adaptive CLF for the integrator system using the original ACLF itself. And we also showed how this is an ACLF by slightly modifying the feedback law. And of course, we can then construct a nice tuning function which will help us construct the parameter estimator also.

So, what we intend to do in the subsequent session is to take up the same example, if you remember we had taken up an example for an unmatched case, and we solved it using the adaptive integrator backstepping and also the extended matching method. Now, we want to solve the same problem using the tuning function method also. And so that is what we will do.

Of course, we will try to get the ACLF motivation from the earlier examples and so on and so forth. But yeah, essentially, we will, that is sort of the problem we want to work out. And because it is a vector problem, we are again hopeful that well, we can do a good job. So, that is what we will try. And we will try to solve that particular problem in the vector context, and we will try to design a tuning function based adaptive control law, and try to compare it with our other two case control adaptive control laws. So, I hope all of you will join me again in the next session, and I hope you enjoyed whatever we discussed today. So, these are one of the more advanced methods of adaptive control, and rather useful methods also. So, this is where we stop. Thank you.