

Transformation of Dynamic Systems Into a Cooperative Form to Exploit Advantages in Interval-based Controller Design

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Contents

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Why cooperativity?

To simplify

- computation of guaranteed state enclosures
- design of interval observers
- forecasting worst-case bounds for selected system outputs in predictive control
- identification of unknown parameters
- ...

Avoiding the use of general-purpose, set-valued solvers

Overestimation due to the wrapping effect may lead to (interval) bounds that are much wider than the actually reachable sets of states.

Consider the autonomous system

$$\dot{\mathbf{x}}(t) = \mathbf{f}(\mathbf{x}(t)) \quad , \quad \mathbf{x} \in \mathbb{R}^n$$

Criterion for cooperativity

Jacobian matrix

$$\mathbf{J} = \frac{\partial \mathbf{f}(\mathbf{x})}{\partial \mathbf{x}}$$

with all off-diagonal elements $J_{i,j}$, $i, j \in \{1, \dots, n\}$, $i \neq j$ strictly non-negative according to

$$J_{i,j} \geq 0 \quad , \quad i, j \in \{1, \dots, n\} \quad , \quad i \neq j$$

Consider the autonomous system

$$\dot{\mathbf{x}}(t) = \mathbf{f}(\mathbf{x}(t)) \quad , \quad \mathbf{x} \in \mathbb{R}^n$$

Positivity of the system

Guarantee that state trajectories $\mathbf{x}(t)$ starting in the positive orthant

$$\mathbb{R}_+^n = \{\mathbf{x} \in \mathbb{R}^n \mid x_i \geq 0 \quad \forall i \in \{1, \dots, n\}\}$$

stay in this positive orthant for all $t \geq 0$ because

$\dot{x}_i(t) = f_i(x_1, \dots, x_{i-1}, 0, x_{i+1}, \dots, x_n) \geq 0$ holds for all components $i \in \{1, \dots, n\}$ of the state vector as soon as the state x_i reaches the value $x_i = 0$

Interval representation of domain of reachable states

$$[\mathbf{x}] = [\mathbf{x}](t) = \begin{bmatrix} [\underline{x}_1(t) ; \bar{x}_1(t)] \\ \vdots \\ [\underline{x}_n(t) ; \bar{x}_n(t)] \end{bmatrix}$$

with the initial states

$$[\mathbf{x}_0] = [\mathbf{x}](0) = \begin{bmatrix} [\underline{x}_1(0) ; \bar{x}_1(0)] \\ \vdots \\ [\underline{x}_n(0) ; \bar{x}_n(0)] \end{bmatrix}$$

and the vector components $[x_i] = [\underline{x}_i ; \bar{x}_i]$, $i \in \{1, \dots, n\}$,

where $\inf([x_i]) = \underline{x}_i$ is the infimum

$\sup([x_i]) = \bar{x}_i$ is the supremum

Cooperative System Models Derived From First-Principle

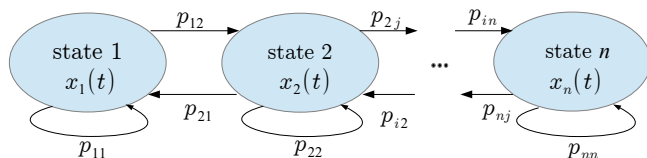


Figure: Graphical representation of a dynamic system.

Derivation of the ODEs

$$\dot{x}_i = - \sum_{j=1}^n p_{ij} x_i + \sum_{j=1, i \neq j}^n p_{ji} x_j$$

with $p_{ii} \in \mathbb{R}$, $p_{ij} \geq 0$ and $p_{ji} \geq 0$, $i \neq j$

Cooperative System Models Derived From First-Principle

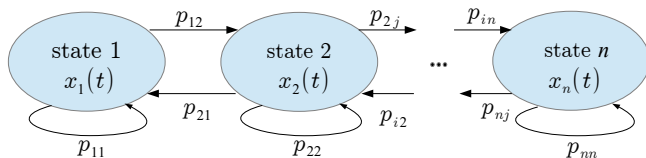


Figure: Graphical representation of a dynamic system.

State-space representation

$$\dot{\mathbf{x}} = \begin{bmatrix} -\sum_{j=1}^n p_{1j} & p_{21} & \cdots & p_{n1} \\ p_{12} & -\sum_{j=1}^n p_{2j} & \cdots & p_{n2} \\ \vdots & \vdots & \ddots & \vdots \\ p_{1n} & p_{2n} & \cdots & -\sum_{j=1}^n p_{nj} \end{bmatrix} \mathbf{x},$$

Reformulation into a quasi-linear state-space representation

$$\dot{\mathbf{x}} = \mathbf{f}(\mathbf{x}, \mathbf{u})$$

For linear systems the state equations are equivalent to

$$\dot{\mathbf{x}} = \mathbf{A} \cdot \mathbf{x} + \mathbf{B} \cdot \mathbf{u}$$

and for non-linear formulations a quasi-linear form (by factoring out selected state variables) is obtained

$$\dot{\mathbf{x}} = \mathbf{A}(\mathbf{x}) \cdot \mathbf{x} + \mathbf{B}(\mathbf{x}) \cdot \mathbf{u}$$

Cooperativity

Here, \mathbf{A} or $\mathbf{A}(\mathbf{x})$ is supposed to be Metzler and Hurwitz for asymptotically stable systems

Preparations for the transformation

$\mathbf{x} = \mathbf{x}_s = \mathbf{0}$ desired operating state

$\mathbf{u} = \mathbf{u}_s = \mathbf{0}$ without loss of generality for the steady-state input

with the feedback controller according to

$$\mathbf{u} = -\mathbf{K}\mathbf{x} \quad \text{or} \quad \mathbf{u} = -\mathbf{K}(\mathbf{x}) \cdot \mathbf{x}$$

leading to

$$\dot{\mathbf{x}} = (\mathbf{A}(\mathbf{x}) - \mathbf{B}(\mathbf{x}) \cdot \mathbf{K}(\mathbf{x})) \cdot \mathbf{x} = \mathbf{A}_C(\mathbf{x}) \cdot \mathbf{x}$$

General transformation

$$\mathbf{z}(t) = \Theta^{-1} \mathbf{x}(t) \quad \text{with} \quad \dot{\mathbf{z}}(t) = \mathbf{N} \cdot \mathbf{z}(t)$$

For general applications without diagonally dominant system matrices, the transformation consists of

$$\tilde{\mathbf{z}}(t) = \tilde{\mathbf{T}}^{-1} \mathbf{x}(t)$$

to get a diagonally dominant system matrix and

$$\mathbf{z}(t) = \mathbf{T}^{-1} \tilde{\mathbf{z}}(t) = \mathbf{T}^{-1} \cdot \tilde{\mathbf{T}}^{-1} \mathbf{x}(t) = (\tilde{\mathbf{T}} \cdot \mathbf{T})^{-1} \mathbf{x}(t)$$

to ensure a Metzler structure, resulting in the overall transformation matrix $\Theta = \tilde{\mathbf{T}} \cdot \mathbf{T}$

Structure of the transformation matrix

Θ may be a **time-invariant** or **time-varying** matrix according to the following distinction

Systems With Purely Real Eigenvalues

Preliminary

$$\mathbf{Z}_a - \Delta \leq \mathbf{Z} := \mathbf{A}_C \leq \mathbf{Z}_a + \Delta$$

with Δ , which consists of the (symmetric) worst-case bounds of all entries in $[\mathbf{A}]_C$ and $\mathbf{Z}_a = \mathbf{Z}_a^T$ as a symmetric midpoint matrix and

$$\mathbf{R} = \mu \mathbf{E}_n - \mathbf{\Gamma}$$

as Metzler matrix, which has the same eigenvalues as \mathbf{Z}_a with

- $\mu \in \mathbb{R}$ constant
- $\mathbf{\Gamma} \in \mathbb{R}^{n \times n}$ diagonal matrix
- $\mathbf{E}_n \in \mathbb{R}^{n \times n}$ matrix with all elements equal to 1 and
- $\mathbf{\Gamma} = \rho \mathbf{I}_n$ with $\rho > \mu$ and the identity matrix \mathbf{I} of order n

Assumption

If

$$\text{eig}(\mathbf{R}) = \text{eig}(\mathbf{Z}_a)$$

there exists an orthogonal matrix $\mathbf{S} \in \mathbb{R}^{n \times n}$ such that $\mathbf{S}^T \mathbf{Z} \mathbf{S}$ or $\Theta^T \mathbf{Z} \Theta$, respectively, is Metzler provided that

$$\mu > n \|\Delta\|_{\max} ,$$

where $\|\Delta\|_{\max}$ denotes the maximum absolute value of Δ

Assumption

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$$\mu > n \|\Delta\|_{\max},$$

where $\|\Delta\|_{\max}$ denotes the maximum absolute value of Δ

Aim

Computationally feasible optimization problem formulated with LMI constraints to find a suitable transformation matrix \mathbf{S}

Choosing a diagonal matrix \mathbf{Z}_a

If the system is

- 1 diagonally dominant: \mathbf{Z}_a represents the diagonal entries of the original system matrix
- 2 not diagonally dominant: \mathbf{Z}_a is a diagonal matrix with the asymptotically stable, real eigenvalues of $\text{mid}\{[\mathbf{A}]_C\}$, which is determined by a new matrix

$$\hat{\mathbf{A}}_C = \tilde{\mathbf{T}}^{-1} \mathbf{A}_C \tilde{\mathbf{T}}$$

such that the element-wise defined interval midpoint matrix $\text{mid}\{[\mathbf{A}]_C\}$ is transformed into a diagonal structure (except for numerical round-off errors). If $\text{mid}\{[\mathbf{A}]_C\}$ possesses n linearly independent real-valued eigenvectors, their floating-point approximation is used to define the matrix $\tilde{\mathbf{T}}$.

Choosing Δ

$$\delta = \max(|[\mathbf{A}]_C - \mathbf{Z}_a|) \quad \text{or} \quad \delta = \max\left(|[\hat{\mathbf{A}}]_C - \mathbf{Z}_a|\right)$$

with $\Delta = \delta \cdot \mathbf{E}_n$

Further specifications

$$\mu^* = n \|\Delta\|_{\max}$$

marks the lower bound for μ and

$$\mathbf{R} = \mathbf{S}^T \mathbf{Z}_a \mathbf{S} \quad \text{and} \quad \mathbf{S}^T \mathbf{S} = \mathbf{I}$$

need to be satisfied

Reformulation Into an Optimization Problem

Orthogonality of \mathbf{S}

$$-\mathbf{R} + \mathbf{S}^T \mathbf{Z}_a \mathbf{S} \succ \mathbf{0} \quad \text{and} \quad \mathbf{I} - \mathbf{S}^T \mathbf{S} \succ \mathbf{0}$$

is converted by application of the Schur complement formula according to

$$\begin{bmatrix} -\mathbf{R} & \mathbf{S}^T \\ \mathbf{S} & -\mathbf{Z}_a^{-1} \end{bmatrix} \succ \mathbf{0} \quad \text{and} \quad \begin{bmatrix} \mathbf{I} & \mathbf{S}^T \\ \mathbf{S} & \mathbf{I} \end{bmatrix} \succ \mathbf{0}$$

Reformulation Into an Optimization Problem

Known specifications to other variables

$$\mathbf{R} = \bar{\mu}\mathbf{E}_n - \mathbf{\Gamma} , \quad \bar{\mu} > \mu$$

where the LMI constraints

$$\mathbf{\Gamma} \succ \mathbf{0} \quad \text{and} \quad \mathbf{R}^T \mathbf{Q} + \mathbf{Q} \mathbf{R} \prec \mathbf{0}$$

with $\mathbf{Q} \succ \mathbf{0}$ (Hurwitz stability of \mathbf{R})

Overall cost function

$$J = \text{tr}(\mathbf{\Gamma}) + \text{tr}(\mathbf{Z}_a \mathbf{S} - \check{\mathbf{S}} \mathbf{R}) - \kappa \cdot \text{tr}(\check{\mathbf{S}}^T \mathbf{S} - \mathbf{I})$$

with the problem-dependent parameter $\kappa > 0$ and the solution of the last successful evaluation of the LMI-constrained optimization task $\check{\mathbf{S}}$

Systems With Purely Conjugate-Complex Eigenvalues

Preliminaries

- Generally only time-varying transformations possible (exception are exactly known systems)
- Uncertainty is mapped into the position of the eigenvalues

Systems With Purely Conjugate-Complex Eigenvalues

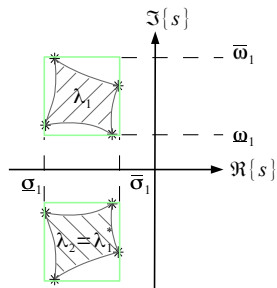


Figure: Possible positions of conjugate-complex eigenvalues.

Interval hull

$$[\sigma_i] = [\underline{\sigma}_i; \bar{\sigma}_i] \text{ and } [\omega_i] = [\underline{\omega}_i; \bar{\omega}_i]$$

Note

The presented approach is only valid for disjoint eigenvalue domains

Transformation matrix

The number of considered eigenvalues is reduced to

$$\tilde{n} = \frac{n}{2}$$

for a system with n states, because of conjugate-complex pairs

$$\tilde{\mathbf{T}} = \left[\tilde{\mathbf{T}}_1, \dots, \tilde{\mathbf{T}}_{\tilde{n}} \right], \text{ where } \tilde{\mathbf{T}}_j = [\Re\{\mathbf{v}_j\}, \Im\{\mathbf{v}_j\}]$$

with $j \in \{1, \dots, \tilde{n}\}$

Transformed system

Results in the real-valued Jordan canonical form

$$\tilde{\mathbf{A}} = \text{blkdiag} \left(\tilde{\mathbf{A}}_1, \dots, \tilde{\mathbf{A}}_{\tilde{n}} \right) \quad \text{with} \quad \tilde{\mathbf{A}}_j = \begin{bmatrix} [\sigma_j] & [\omega_j] \\ -[\omega_j] & [\sigma_j] \end{bmatrix}.$$

The time-variant transformation is done by

$$\mathbf{z} = \mathbf{T}^{-1}(t) \cdot \tilde{\mathbf{z}} \quad \text{with}$$

$$\mathbf{T}^{-1}(t) = \text{blkdiag} \left(\mathbf{T}_1^{-1}(t), \dots, \mathbf{T}_{\tilde{n}}^{-1}(t) \right) = \mathbf{T}^T(t)$$

and the orthogonal blocks

$$\mathbf{T}_j = \begin{bmatrix} \cos([\omega_j]t) & \sin([\omega_j]t) \\ -\sin([\omega_j]t) & \cos([\omega_j]t) \end{bmatrix}$$

for $j \in \{1, \dots, \tilde{n}\}$

Resulting state-space representation of the system

$$\begin{aligned}\dot{\mathbf{z}} &= \dot{\mathbf{T}}^T(t) \cdot \tilde{\mathbf{z}} + \mathbf{T}^T(t) \cdot \dot{\tilde{\mathbf{z}}} \\ &= \left[\left[\frac{d\mathbf{T}^T(t)}{dt} + \mathbf{T}^T(t)\tilde{\mathbf{A}} \right] \mathbf{T}(t) \right] \mathbf{z} = \mathbf{N} \cdot \mathbf{z}\end{aligned}$$

Regarding the structure of \mathbf{N}

Symbolic simplifications in terms of the exact values ω_j^*

$$\mathbf{N} = \text{blkdiag}(\sigma_1 \mathbf{I}, \dots, \sigma_{\tilde{n}} \mathbf{I}) \quad , \quad \mathbf{I} = \begin{bmatrix} 1 & 0 \\ 0 & 1 \end{bmatrix}$$

Resulting state-space representation of the system

$$\begin{aligned}\dot{\mathbf{z}} &= \dot{\mathbf{T}}^T(t) \cdot \tilde{\mathbf{z}} + \mathbf{T}^T(t) \cdot \dot{\tilde{\mathbf{z}}} \\ &= \left[\left[\frac{d\mathbf{T}^T(t)}{dt} + \mathbf{T}^T(t)\tilde{\mathbf{A}} \right] \mathbf{T}(t) \right] \mathbf{z} = \mathbf{N} \cdot \mathbf{z}\end{aligned}$$

Asymptotic stability

Since \mathbf{N} depends on the system's eigenvalues, Hurwitz stability is guaranteed for $\bar{\sigma}_j < 0$. Extrema of the conjugate-complex eigenvalues are obtained by building the hull over their real and imaginary parts

$$\begin{aligned}[\sigma_j] &= [\min(\sigma_j); \max(\sigma_j)] , \\ [\omega_j] &= [\min(\omega_j); \max(\omega_j)] .\end{aligned}$$

System With Purely Real Eigenvalues

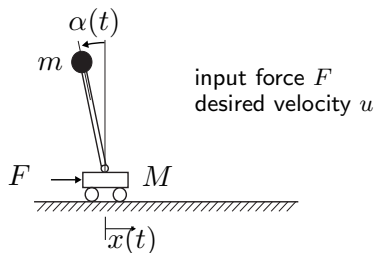


Figure: Control of an inverted pendulum on a moving carriage.

Nonlinear differential equations

$$ma^2 \cdot \ddot{\alpha} - ma \cdot \cos(\alpha) \cdot \ddot{x} - mga \cdot \sin(\alpha) = 0,$$
$$(M + m) \cdot \ddot{x} - ma \cdot \cos(\alpha) \cdot \ddot{\alpha} + ma \cdot \sin(\alpha) \cdot \dot{\alpha} = F$$

Quasi-linear state-space representation

Introducing an underlying velocity control with u as the desired carriage velocity

$$T_1 \cdot \ddot{x} + \dot{x} = u$$
$$\dot{\mathbf{x}} = \begin{bmatrix} 0 & 0 & 1 & 0 \\ 0 & 0 & 0 & 1 \\ \frac{g \cdot \text{si}(\alpha)}{a} & 0 & 0 & -\frac{\cos(\alpha)}{T_1 a} \\ 0 & 0 & 0 & -\frac{1}{T_1} \end{bmatrix} \mathbf{x} + \begin{bmatrix} 0 \\ 0 \\ \frac{\cos(\alpha)}{T_1 a} \\ \frac{1}{T_1} \end{bmatrix} u$$
$$y = [-a \cdot \text{si}(\alpha) \quad 1 \quad 0 \quad 0] \mathbf{x}, \quad \text{si}(\alpha) = \frac{\sin(\alpha)}{\alpha}$$

with the state vector $\mathbf{x} = [\alpha \quad x \quad \dot{\alpha} \quad \dot{x}]^T$ and the system input u

Controlled system for $[\alpha] = [51.4^\circ; 51.7^\circ]$

$\mathbf{A}_C(\alpha) =$

$$\begin{bmatrix} 0 & 0 & 1 & 0 \\ 0 & 0 & 0 & 1 \\ a_{31}(\alpha) - k_1 b_3(\alpha) & -k_2 b_3(\alpha) & -k_3 b_3(\alpha) & a_{34}(\alpha) - k_4 b_3(\alpha) \\ -k_1 b_4 & -k_2 b_4 & -k_3 b_4 & a_{44} - k_4 b_4 \end{bmatrix}$$

$$[a]_{31} = [-1.25; -1.23] \cdot 10^3$$

$$[a]_{32} = [12.81; 12.91]$$

$$[a]_{33} = [-2.55; -2.52] \cdot 10^2$$

$$[a]_{34} = [1.07; 1.09] \cdot 10^2$$

$$[a]_{41} = [-4.13; -4.12] \cdot 10^2$$

$$[a]_{42} = [4.13; 4.14]$$

$$[a]_{43} = [-81.49; -81.48]$$

$$[a]_{44} = [34.70; 34.71]$$

Transformation matrix

$$\Theta = \mathbf{VS} = \begin{bmatrix} -0.016 & -0.170 & -0.016 & 0.155 \\ 0.998 & 0.694 & -0.104 & -0.462 \\ 0.056 & 0.309 & 1.095 & -0.012 \\ 0.283 & -0.253 & -0.504 & 0.740 \end{bmatrix}$$

Transformed system

$$\mathbf{N} = \tilde{\mathbf{A}}_C \in 1 \cdot 10^2 \begin{bmatrix} [a]_{11} & [a]_{12} & [a]_{13} & [a]_{14} \\ [a]_{21} & [a]_{22} & [a]_{23} & [a]_{24} \\ [a]_{31} & [a]_{32} & [a]_{33} & [a]_{34} \\ [a]_{41} & [a]_{42} & [a]_{43} & [a]_{44} \end{bmatrix} \quad \text{with}$$

$$[a]_{11} = [-2.124; -2.100] \quad [a]_{12} = [0.143; 0.175]$$

$$[a]_{21} = [0.152; 0.166] \quad [a]_{22} = [-0.057; -0.038]$$

$$[a]_{31} = [0.064; 0.067] \quad [a]_{32} = [0.001; 0.005]$$

$$[a]_{41} = [0.026; 0.038] \quad [a]_{42} = [0.001; 0.018]$$

$$[a]_{13} = [0.061; 0.070] \quad [a]_{14} = [0.016; 0.047]$$

$$[a]_{23} = [0.000; 0.006] \quad [a]_{24} = [0.000; 0.018]$$

$$[a]_{33} = [-0.010; -0.008] \quad [a]_{34} = [0.000; 0.004]$$

$$[a]_{43} = [0.000; 0.005] \quad [a]_{44} = [-0.024; -0.008]$$

System With Purely Conjugate-Complex Eigenvalues

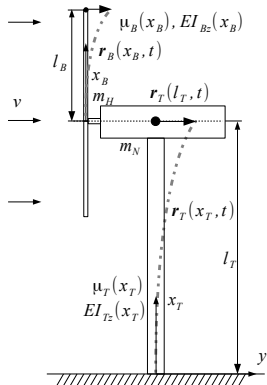


Figure: Mechanical model of the wind turbine with an elastic tower.

Ordinary differential equations

$$\begin{bmatrix} \dot{\mathbf{x}} \\ \ddot{\mathbf{x}} \end{bmatrix} = \begin{bmatrix} \mathbf{0} & \mathbf{I} \\ -\mathbf{M}_{TB}^{-1} \mathbf{K}_{TB} & -\mathbf{M}_{TB}^{-1} (\mathbf{D}_{TB} + \mathbf{h}_{TB} \mathbf{k}_T^T) \end{bmatrix} \begin{bmatrix} \mathbf{x} \\ \dot{\mathbf{x}} \end{bmatrix}$$

with **uncertainties** in \mathbf{M}_{TB} , \mathbf{D}_{TB} and \mathbf{K}_{TB} due to their dependency on ω_R , k_{dT} and k_{dB}

Parameter domains

$$[\omega_R] = [0.7; 1.4] \text{ s}^{-1}$$

$$[k_{dT}] = [2.5; 3.5] \cdot 10^{-2} \text{ N} \cdot \text{s/m}$$

$$[k_{dB}] = [0.5; 1.5] \cdot 10^{-2} \text{ N} \cdot \text{s/m}$$

Transformation

$$[\mathbf{N}] = \text{diag}([\sigma_1], [\sigma_1], [\sigma_3], [\sigma_3])$$

with

$$[\sigma_1] = [-0.105; -0.016]$$

$$[\omega_1] = [3.893; 5.310]$$

$$[\sigma_3] = [-0.068; -0.040]$$

$$[\omega_3] = [1.875; 1.908]$$

Transformation of the initial conditions

$$\tilde{\mathbf{T}} = [v_1^{\mathfrak{R}}, v_1^{\mathfrak{S}}, v_3^{\mathfrak{R}}, v_3^{\mathfrak{S}}]$$

$$[\mathbf{x}](0) = \begin{bmatrix} [1.25; 1.5] \\ [0.25; 0.5] \\ [0] \\ [0] \end{bmatrix} \xrightarrow{\tilde{\mathbf{T}}} [\mathbf{z}](0) = \begin{bmatrix} [-0.761; 0.335] \\ [-9.792; 1.608] \\ [-0.297; 0.619] \\ [2.609; 5.474] \end{bmatrix}$$

System with real and complex eigenvalues

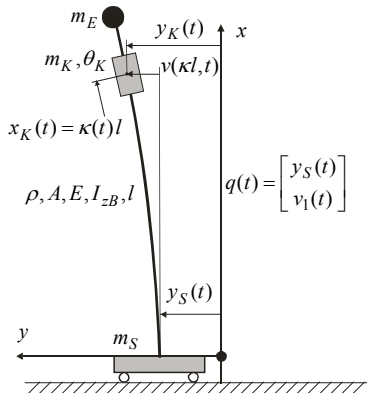


Figure: Mechanical model of the stacker crane.

Ordinary differential equations

$$\mathbf{M}\ddot{\mathbf{q}} + \mathbf{D}\dot{\mathbf{q}} + \mathbf{K}\mathbf{q} = \mathbf{h} \cdot [F_{SM} - F_{SR}(\dot{y}_S)]$$

with **uncertainties** in \mathbf{M} and \mathbf{K} due to their dependency on κ , a dimensionless Parameter to consider the varying vertical position of the payload x_K

$$\kappa = \frac{x_K}{l}$$

Parameter domains

$$[\kappa] = [0.45; 0.54] \text{ m}$$

Transformation

$$[\mathbf{N}] = \text{diag}([\sigma_1], [\sigma_2], [\sigma_2], [\sigma_4], [\sigma_5], [\sigma_5])$$

with

$$[\sigma_1] = [-601.4; -560.1]$$

$$[\sigma_2] = [-27.4; -25.7]$$

$$[\omega_2] = [125.9; 127.5]$$

$$[\sigma_4] = [-7.5; -6.8]$$

$$[\sigma_5] = [-20.2; -17.5]$$

$$[\omega_5] = [19.8; 22.5]$$

Conclusions

- Using advantages of cooperative systems
 - ▶ avoiding the wrapping effect
 - ▶ simulating lower and upper bounds individually
 - ▶ reflecting the characteristics of exactly known systems
- purely real eigenvalues: LMI approach to satisfy given requirements
- complex eigenvalues: symbolically proven solution

Conclusions

- Using advantages of cooperative systems
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- purely real eigenvalues: LMI approach to satisfy given requirements
- complex eigenvalues: symbolically proven solution

Outlook

- Optimization of the line-search procedure for the parameter μ
- Performance improvement for higher-dimensional applications
- Extensions to systems with real and conjugate-complex eigenvalues as well as multiple eigenvalues in a joint approach combining both presented procedures

Thank you for your attention!