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LINEARIZATION BY COMPLETELY GENERALIZED INPUT-OUTPUT INJECTION¹

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The problem addressed in this paper is the linearization of nonlinear systems by generalized input-output (I/O) injection. The I/O injection (called *completely generalized I/O injection*) depends on a finite number of time derivatives of input and output functions. The practical goal is the observer synthesis with linear error dynamics. The method is based on the I/O differential equation structure. Thus, the problem is solved as a realization one. A necessary and sufficient condition is proposed through a constructive algorithm and is based on the exterior differentiation.

1. INTRODUCTION

The problem addressed in this paper is the linearization of a nonlinear system by a generalized state coordinate transformation (cf. [5]), and *completely generalized I/O injection* (i. e. function of a finite number of input and output time derivatives, cf. [6, 15]). Its solution plays a key role in the synthesis of nonlinear observers [1, 2, 8, 16, 17]. The final goal is to build an observer, which has exact linear error dynamics, converges and is stable.

The linearization by I/O injection has been mainly tackled with geometric tools [9, 11, 12, 18] and algebraic tools [6, 7, 10, 13], and used in also some practical applications [3, 14, 17]. Since about ten years ago, and specially in [17], time derivatives are used in the observer synthesis for bilinear systems with an application to biological systems. In [8], it is stated as a problem of resolution of partial differential equations and solved only for 2 and 3 dimensional systems. In [16], only first order time derivatives are dealt with an algebraic method while [15] considers only input time derivatives. This paper is motivated by some recent results, where it is used numerical differentiation for observer synthesis (cf. [4]). Since the observability property assumption asked in [4], numerical differentiation is used to compute the necessary time derivatives of inputs and outputs, the state being derived with a static map. The main shortcoming is the high sensitivity to measurement noise (especially whether the derivatives are computed within a short sampling period).

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In this paper, necessary and sufficient conditions (NSC) are given for the linearization of MIMO nonlinear systems by a generalized state coordinate transformation and *completely generalized I/O injection*. The fully constructive conditions of the existence of a solution are stated in terms of exterior differential systems. The method is based on the study of the structure of the I/O differential equations, and then the problem stated as a realization problem. Our practical goal is to build a Luenberger-like observer, which has stable linear error dynamics.

This frame has been already used [6, 15]. In [6], a NSC is given for linearization by state coordinate transformation and I/O injection. In [15], linearization by a generalized I/O injection with only input time derivatives for MIMO systems is studied. This paper is a generalization of these results. The main problem for the generalization to MIMO case is that I/O differential equations associated to the output functions could be linearly dependent. The characterization of these output functions plays a key role in the solution of MIMO case.

2. PROBLEM STATEMENT

Let us consider the nonlinear system

$$\begin{aligned}\dot{x} &= f(x, u), \\ y &= h(x),\end{aligned}\tag{1}$$

where $x \in \mathbb{R}^n$ is the state, $u \in \mathbb{R}^m$ is the input, $y \in \mathbb{R}^p$ is the output; f and h are meromorphic functions of their arguments.

In the sequel, nonlinear systems considered here are supposed to be *generically observable* [15] and will be called *observable*.

Example. The following nonlinear system

$$\begin{aligned}\dot{x}_1 &= x_2^2 u, \\ \dot{x}_2 &= f(x, u), \quad y = x_1,\end{aligned}\tag{2}$$

is observable (generically) with a *singular* set in $(x_2 = 0, u = 0)$.

Moreover, the k order time derivative of y (resp. u) is denoted $y^{(k)}$ (resp. $u^{(k)}$). The system (1) is supposed to be under its I/O representation. Denoting k_i the observability index of the output y_i (cf. [9]). One gets a system of p I/O differential equations given by $(1 \leq i \leq p)$

$$y_i^{(k_i)} = P_i(y_1, \dots, y_1^{(k_1-1)}, \dots, y_p, \dots, y_p^{(k_p-1)}, \bar{u}).\tag{3}$$

where $\bar{u} := (u, u^{(1)}, \dots, u^{(k_1-1)})$ and $\sum_{i=1}^p k_i = n$ with $k_1 \geq k_2 \geq \dots \geq k_p$.

The problem can be stated as a realization one and it consists in testing if the nonlinear system (1) is locally equivalent to a linear system up to a completely generalized I/O injection. The former system is assumed to be composed by p

blocks as follows ($1 \leq i \leq p$):

$$\begin{aligned}
 \dot{\zeta}_{i1} &= \zeta_{i2} \\
 \dot{\zeta}_{i2} &= \zeta_{i3} \\
 &\dots \\
 \dot{\zeta}_{is_i} &= \zeta_{is_i+1} \\
 \dot{\zeta}_{is_i+1} &= \zeta_{is_i+2} + \varphi_{is_i+1}(\bar{y}^{(0)}, \dots, \bar{y}^{(s_i)}, u, \dots, u^{(q_i)}) \\
 \dot{\zeta}_{is_i+2} &= \zeta_{is_i+3} + \varphi_{is_i+2}(\bar{y}^{(0)}, \dots, \bar{y}^{(s_i)}, u, \dots, u^{(q_i)}) \\
 &\dots \\
 \dot{\zeta}_{ik_i-1} &= \zeta_{ik_i} + \varphi_{ik_i-1}(\bar{y}^{(0)}, \dots, \bar{y}^{(s_i)}, u, \dots, u^{(q_i)}) \\
 \dot{\zeta}_{ik_i} &= \varphi_{ik_i}(\bar{y}^{(0)}, \dots, \bar{y}^{(s_i)}, u, \dots, u^{(q_i)}) \\
 y_i &= \zeta_{i1}
 \end{aligned} \tag{4}$$

where:

- s_i is the higher time derivative order of the outputs in the generalized I/O injection terms,
- q_i is the higher time derivative order of the input in the generalized I/O injection terms,
- $\bar{y}^{(r)}$ is composed by the r -order time derivatives of outputs, which have an observability index greater than $r - 1$.

Remark 1.

- Obviously $k_i > s_i$.
- The I/O differential equation associated to each block (4) can be written as follows:

$$y_i^{(k_i)} = \sum_{j=s_i+1}^{k_i} \varphi_{ij}^{(k_i-j)}. \tag{5}$$

The synthesis of an observer with linear error dynamics for (4) is then an easy task. For

$$\dot{\zeta} = A\zeta + \varphi(\bar{y}, \bar{y}^{(1)}, \dots, \bar{y}^{(s)}, u, u^{(1)}, \dots, u^{(q)}) \tag{6}$$

where A and C are dual of Brunovsky form, an observer closed to the Luenberger one exists

$$\dot{\tilde{\zeta}} = A\tilde{\zeta} + \varphi(\bar{y}, \bar{y}^{(1)}, \dots, \bar{y}^{(s)}, u, u^{(1)}, \dots, u^{(q)}) + LC(\tilde{\zeta} - \zeta). \tag{7}$$

The choice of the eigenvalues of $(A+LC)$ allows to have an arbitrarily fast estimation error decay.

Preliminaries

The method described in this paper is based on a structural study of the system I/O differential equations. The next Lemma is helpful to verify the integrability and independency of some I/O functions in order to proof the main result. This Lemma is based on the Poincaré’s Lemma.

Definition 1. Let us use the variables $a \in \mathbb{R}^\lambda$ (resp. $b \in \mathbb{R}^\rho$) where a_1, \dots, a_λ (resp. b_1, \dots, b_ρ) are linearly independent. Moreover, let us define $K(a, b)$ as the set of meromorphic functions.

Lemma 1. (Poincaré) The differential form $\omega \in \text{Span}_{K(a,b)} \{da_1, \dots, da_\lambda, db_1, \dots, db_\rho\}$ ($a \in \mathbb{R}^\lambda$ and $b \in \mathbb{R}^\rho$) is locally exact if and only if, $d\omega = 0$.

A modified version of this Lemma follows

Lemma 2. Let us consider a differential form $\omega \in \text{Span}_{K(a,b)} \{da_1, \dots, da_\lambda\}$ ($a \in \mathbb{R}^\lambda$ and $b \in \mathbb{R}^\rho$). There exists locally a function $\eta(a, b)$ such that

$$\sum_{i=1}^{\lambda} \frac{\partial \eta}{\partial a_i} \cdot da_i = \omega,$$

if and only if $d\omega \wedge db_1 \wedge \dots \wedge db_\rho = 0$.

Remark. From now on, take the set of meromorphic functions $K(a, b)$ as $\mathcal{K}(x, (u, \dot{u}, \dots, u^{(w)}))$.

3. MAIN RESULT

3.1. Preliminary example

Let us consider the system

$$\begin{aligned} \dot{x}_1 &= x_1 - x_2, & y_1 &= x_1, \\ \dot{x}_2 &= -x_3 + (x_2 - x_1) \cdot x_4 - (x_1 - x_2)^2, \\ \dot{x}_3 &= -x_1 + x_2 - x_3 + (x_1 - x_2 - 2)(x_1 - x_2)^2, \\ \dot{x}_4 &= x_1, & y_2 &= x_4. \end{aligned} \tag{8}$$

The output y_1 (resp. y_2) has an observability index k_1 (resp. k_2) equal to 3 (resp. 1). The I/O differential equations are described by

$$\begin{aligned} y_1^{(3)} &= y_1^{(2)} \cdot (y_1 + 2y_1^{(1)}) + y_1^{(1)} \cdot (y_2 + y_1^{(1)2}), \\ y_2^{(1)} &= y_1. \end{aligned} \tag{9}$$

By using [15], it is proved that it does not exist a state transformation such that system (8) is locally equivalent to a linear system modulo an output injection (without time derivatives of output). Consider now the following system in the particular form (4)

$$\begin{aligned}
 \dot{\zeta}_{11} &= \zeta_{12}, & y_1 &= \zeta_{11}, \\
 \dot{\zeta}_{12} &= \zeta_{13} + \varphi_{12}(y_1, y_1^{(1)}, y_2), \\
 \dot{\zeta}_{13} &= \varphi_{13}(y_1, y_1^{(1)}, y_2), \\
 \dot{\zeta}_{21} &= \varphi_{21}(y_1, y_2), & y_2 &= \zeta_{21},
 \end{aligned}
 \tag{10}$$

with $s_1 = 1 (< k_1)$ and $s_2 = 0 (< k_2)$. If system (8) is locally equivalent to (10), then equations (9) have to have the form (5)

$$y_1^{(3)} = \varphi_{12}^{(1)} + \varphi_{13}, \quad y_2^{(1)} = \varphi_{21},$$

Then, the functions $\varphi_{12}, \varphi_{13}, \varphi_{21}$ have to verify

$$\begin{aligned}
 \frac{\partial \varphi_{12}}{\partial y_1^{(1)}} y_1^{(2)} + \frac{\partial \varphi_{12}}{\partial y_1} y_1^{(1)} + \frac{\partial \varphi_{12}}{\partial y_2} y_2^{(1)} + \varphi_{13} &= y_1^{(2)} (y_1 + 2y_1^{(1)}) + y_1^{(1)} (y_2 + y_1^{(1)2}) \\
 \varphi_{21} &= y_1.
 \end{aligned}$$

Note that these two equations are not independent: the first equation depends on $y_2^{(1)}$. Then, the differential equation $y_1^{(3)}$ is a function of $(y_1, \dot{y}_1, y_1^{(2)}, y_2, \dot{y}_2)$ but \dot{y}_2 is a known function given by the second equation of (9). $y_1^{(3)}$ is then a function only of $(y_1, \dot{y}_1, y_1^{(2)}, y_2)$. A solution is

$$\begin{aligned}
 \varphi_{12} &= y_1^{(1)} \cdot (y_1^{(1)} + y_1), & \varphi_{13} &= y_1^{(1)} \cdot (y_1^{(1)2} - y_1^{(1)} + y_2), \\
 \varphi_{21} &= y_1.
 \end{aligned}$$

3.2. Necessary and sufficient condition

The main result is obtained using the exterior differential system theory, and gives the linearizing generalized state coordinate transformation, whether it exists. Non-linear system (1) is supposed to be observable and previously transformed in the p I/O differential equations (after state elimination).

G.I.O.I.d. Algorithm

- (A1) For $i := 1$ to p , set $\varphi_{is_i} := 0$ and (from (3)) $P_i^{s_i} := P_i$.
- (A2) $s_i := 0$ (to be increased up to $k_i - 1$ if necessary)
- (A3) $q_i := 0$ (to be increased up to $k_i - 1$ if necessary)
- (A4) For $k := s_i + 1$ to k_i , set

$$P_i^k := P_i^{k-1} - [\varphi_{ik-1}]^{(k, -k+1)}. \tag{11}$$

Let d_i^k (resp. p_{s_i}) denote the number of outputs whose the observability index is greater than $(k_i - k + s_i)$ (resp. $s_i - 1$). The differential form ω_i^k is defined as (with \wedge as the exterior product)

$$\omega_i^k := \sum_{j=1}^{d_i^k} \frac{\partial P_i^k}{\partial y_j^{(k_i-k+s_i)}} dy_j^{(s_i)} + \sum_{j=1}^m \frac{\partial P_i^k}{\partial u_j^{(k_i-k+q_i)}} du_j^{(q_i)} \tag{12}$$

and

$$\wedge dy^{[s_i]} := \begin{cases} \wedge d\bar{y} \wedge \dots \wedge d\bar{y}^{(s_i-1)} \wedge dy_{d_i^k+1}^{(s_i)} \wedge \dots \wedge dy_{p_{s_i}}^{(s_i)} & \text{for } d_i^k < p_{s_i}, \\ \wedge d\bar{y} \wedge d\bar{y}^{(1)} \wedge \dots \wedge d\bar{y}^{(s_i-1)} \wedge 1, & \text{for } d_i^k = p_{s_i}. \end{cases} \tag{13}$$

$$\wedge du^{[q_i]} := \begin{cases} \wedge 1 & \text{for } q_i = 0, \\ \wedge du \wedge d\dot{u} \wedge \dots \wedge du^{(q_i-1)}, & \text{otherwise.} \end{cases} \tag{14}$$

- If $d\omega_i^k \wedge dy^{[s_i]} \wedge du^{[q_i]} = 0$, the function φ_{ik} is a solution of

$$\sum_{j=1}^{d_i^k} \frac{\partial \varphi_{ik}}{\partial y_j^{(s_i)}} dy_j^{(s_i)} + \sum_{j=1}^m \frac{\partial \varphi_{ik}}{\partial u_j^{(q_i)}} du_j^{(q_i)} = \omega_i^k, \quad \text{for } k < k_i, \tag{15}$$

$$\varphi_{ik_i} = P_i^{k_i}, \quad \text{for } k = k_i. \text{ (last step).}$$

Return to A4.

- If $d\omega_i^k \wedge dy^{[s_i]} \wedge du^{[q_i]} \neq 0$, the algorithm stops. System described by the I/O differential equation (3) is not linearizable for both values s_i and q_i . Return (whether $k < k_i$, otherwise algorithm stops) to A3, A2 successively.

A necessary and sufficient condition for the existence of the linearizing transformation $\zeta = \phi(x, u, \dot{u}, \dots, u^{(q-1)})$ is given by the following Theorem.

Theorem 1. Nonlinear system (1) described by (3) is locally equivalent to (4) if and only if

$$d\omega_i^k \wedge dy^{[s_i]} \wedge du^{[q_i]} = 0, \tag{16}$$

where $1 \leq i \leq p$, $s_i + 1 \leq k \leq k_i$ and $\omega_i^k, \wedge dy^{[s_i]}$, and $\wedge du^{[q_i]}$ as in the former algorithm.

Whether conditions of Theorem 1 hold, the generalized state transformation $\zeta = \phi(x, u, \dots, u^{(q-1)})$ steers system (1) into system (4). This transformation can be obtained for each block associated to the output y_i , ($1 \leq i \leq p$), from system (4) as

follows

$$\begin{aligned}
 \zeta_{i1} &= h_i(x), \zeta_{i2} = h_i^{(1)}, \dots \\
 \zeta_{is_i+1} &= h_i^{(s_i)} \\
 \zeta_{is_i+2} &= h_i^{(s_i+1)} - \varphi_{is_i+1}(\bar{y}^{(0)}, \dots, \bar{y}^{(s_i)}, u, \dots, u^{(q_i)}) \\
 \zeta_{is_i+3} &= h_i^{(s_i+2)} - \varphi_{is_i+1}^{(1)}(\cdot) - \varphi_{is_i+2}(\cdot) \\
 &\dots \\
 \zeta_{ik_i} &= h_i^{(k_i-1)} - \varphi_{is_i+1}^{(k_i-(s_i+1))} - \varphi_{is_i+2}^{(k_i-(s_i+2))} - \dots - \varphi_{ik_i}.
 \end{aligned} \tag{17}$$

Remark 3. Theorem 1 generalizes the results of [15]. In order to find this former result, consider $s_i = 0$ in (13) (i.e. no output time derivatives are allowed in the I/O injection). Then $p_{s_i} := p$ (the number of outputs) and equation (13) becomes

$$\wedge dy := \begin{cases} \wedge dy_{d_i^k+1} \wedge \dots \wedge dy_p, & \text{for } d_i^k < p, \\ \wedge 1, & \text{for } d_i^k = p. \end{cases} \tag{18}$$

as in [15].

Proof of Theorem 1.

Sufficiency. Suppose that condition of Theorem 1 is verified. Then, there exists a function such that

$$\begin{aligned}
 \sum_{j=1}^{d_i^k} \frac{\partial \varphi_{ik}}{\partial y_j^{(s_i)}} dy_j^{(s_i)} + \sum_{j=1}^m \frac{\partial \varphi_{ik}}{\partial u_j^{(q_i)}} du_j^{(q_i)} &= \omega_i^k, & \text{for } k < k_i, \\
 \varphi_{ik_i} &= P_i^{k_i}, & \text{for } k = k_i.
 \end{aligned} \tag{19}$$

It is then possible at the end of the algorithm, to derive from (17), the generalized state diffeomorphism, which transforms (1) into (4).

At each step, one gets $\varphi_{ik}(\bar{y}, \dots, \bar{y}^{(s_i)}, u, \dots, u^{(q_i)})$ for each block associated to an output variable of system (1) and from (17), dynamics of state variables of system (4) are known. From (5) one has that the $(k_i - s_i)$ th dynamic depends on the last $(k_i - s_i - 1)$ th's one. Thus, the whole coordinate transformation is well characterized. System (4) is then fully known: system (1) is then locally equivalent to the system (4) by a generalized state coordinate transformation (17). Sufficiency of Theorem 1 is proved.

Necessity. Suppose that the generalized state coordinate transformation (17), which transforms (1) into (4), exists. Then the equation (5) is verified to both systems and for all the y_i functions. Applying the G.I.O.I.d. Algorithm, one gets:

$$\begin{aligned}
 \text{Suppose that } i = 1 \text{ and } k = s_1 + 1, P_1^{s_1} &:= y_1^{(k_1)}, \varphi_{1s_1} := 0 \\
 P_1^{s_1} &= \varphi_{11}^{(k_1-s_1-1)} + \varphi_{12}^{(k_1-s_1-2)} + \dots + \varphi_{1k_1-s_1}
 \end{aligned}$$

Only the $(k_1 - 1)$ th time derivatives of output functions that have an observability index larger to $(k_i - (s_1 + 1) + s_1) := (k_1 - 1)$ are independent of the lower-order time

derivatives, because the other time derivatives of output functions can be written as function on both I/O functions and their time derivatives with a smaller degree (see equation (3)). Note that all the generalized I/O functions of degree $(k_1 - 1)$ are obtained from the $\varphi_{11}^{(k_1 - s_1 - 1)}$ function. In $d_1^{s_1 + 1}$, one gets then the number of outputs that have an observability index greater than $(k_1 - (s_1 + 1) + s_1) = (k_1 - 1)$. Since the output function time derivative independency, and Lemma 2, there exists locally a function φ_{1s_1+1} such that a differential form (ω) can be written as follows

$$\omega_1^k = \sum_{j=1}^{d_1^{s_1+1}} \frac{\partial \varphi_{1s_1+1}}{\partial y_j^{(s_1)}} dy_j^{(s_1)} + \sum_{j=1}^m \frac{\partial \varphi_{1s_1+1}}{\partial u_j^{(q_1)}} du_j^{(q_1)}.$$

Thus, (16) trivially holds for $k = s_1 + 1$. The next steps follow the same lines for $k = s_1 + 2$ to k_1 . Necessity is then proved for the first step, and by the same way for the following steps. □

4. EXAMPLE

Consider system (8) and the output y_1 ($i = 1$) (with $k_1 = 3$). Set $s_1 = 0$, $\varphi_{10} := 0$ and $P_1^0 := P_1$. First one checks if there is a solution without output time derivatives in the output injection in the block associated to y_1 .

Step 0. $k = 1$. From (11), $P_1^1 := P_1^0 - [\varphi_{10}]^{(3)} = P_1^0$.

By definition d_1^1 (resp. $p_{s_1} := p_0$) is equal to 1 (resp. 2).

The differential ω_1^1 is derived from (12) as $\omega_1^1 := (y_1 + 2y_1^{(1)}) dy_1$.

From (13), $d\omega_1^1 \wedge dy_2 \neq 0$. Theorem condition does not hold. Then, a state coordinate transformation steering system (8) into (10) with $s_1 = 0$ does not exist.

Set $s_1 = 1$, $P_1^1 := P_1$ and $\varphi_{11} := 0$.

Step 1. $k = 2$. From (11), $P_1^2 := P_1^1 - [\varphi_{11}]^{(2)} = P_1^1$.

By definition d_1^2 (resp. p_1) is equal to 1 (resp. 2).

From (12), one gets as $\omega_1^2 := (y_1 + 2y_1^{(1)}) dy_1^{(1)}$.

From (13), $d\omega_1^2 \wedge dy_1 \wedge dy_2 \wedge dy_2^{(1)} = 0$, Theorem condition holds and from (15) a solution reads as

$$\varphi_{12} := y_1 \cdot y_1^{(1)} + y_1^{(1)2}.$$

Step 2. $k = 3$. From (11), $P_1^3 := P_1^2 - [\varphi_{12}]^{(1)} = y_1^{(1)} \cdot (y_1^{(1)2} - y_1^{(1)} + y_2)$.

By definition, one gets $d_1^3 = 1$, $p_1 = 2$.

From (12), one gets $\omega_1^3 := (3y_1^{(1)2} - 2y_1^{(1)} + y_2) dy_1^{(1)}$.

From (13), $d\omega_1^3 \wedge dy_1 \wedge dy_2 \wedge dy_2^{(1)} = 0$, and then Theorem condition is satisfied.

From (15) a solution reads as

$$\varphi_{13} := y_1^{(1)3} + y_1^{(1)} \cdot y_2 - y_1^{(1)2}.$$

The algorithm converges for the output y_1 .

Applying the algorithm, in a similar way, a solution reads for the output y_2 as $\varphi_{21} = y_1$.

System (8) is then locally equivalent to:

$$\begin{aligned}\dot{\zeta}_{11} &= \zeta_{12}, & y_1 &= \zeta_{11}, \\ \dot{\zeta}_{12} &= \zeta_{13} + y_1^{(1)} \cdot (y_1^{(1)} + y_2), \\ \dot{\zeta}_{13} &= y_1^{(1)} \cdot (y_1^{(1)2} - y_1^{(1)} + y_2), \\ \dot{\zeta}_{21} &= y_1, & y_2 &= \zeta_{21}.\end{aligned}\tag{20}$$

where the state coordinate transformation defined by (17) follows:

$$\begin{aligned}\zeta_{11} &= x_1, \\ \zeta_{12} &= x_1 - x_2, \\ \zeta_{13} &= x_1 - x_2 + x_3, \\ \zeta_{21} &= x_4.\end{aligned}\tag{21}$$

5. CONCLUSIONS

A constructive Necessary and Sufficient Condition was obtained for the problem of linearization of nonlinear systems by generalized state coordinate transformation and generalized I/O injection for MIMO system case. The results are based on the computation of some differential one-forms and integrability conditions and is motivated by some recent results [4]. A practical goal of this result is the nonlinear observer synthesis with linear error dynamics, depending on both time derivatives of I/O functions if necessary.

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