

Offline Learning of Gain Maps Enables Online-Adaptive PDE Control

Miroslav Krstic

• AFOSR 2024 •

Project covers

1. Stabilization of **ensemble** PDEs (last year's presentation)
2. **Neural operators** for PDE control (today)
3. Control of **population** dynamics PDEs (next year)

Offline Learning of Gain Maps Enables Online-Adaptive PDE Control

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Pubs over the last 12 months

(on DeepONet-PDE backstepping)

- [1] L. Bhan, Y. Shi, and M. Krstic, "Neural operators for bypassing gain and control computations in PDE backstepping," *IEEE Transactions on Automatic Control*, vol. 69, pp. 5310-5325, 2024.
- [2] M. Krstic, L. Bhan, Y. Shi, "Neural operators of backstepping controller and observer gain functions for reaction-diffusion PDEs," *Automatica*, paper 111649, 2024.
- [3] J. Qi, J. Zhang, and M. Krstic, "Neural operators for PDE backstepping control of first-order hyperbolic PIDE with recycle and delay," *System & Control Letters*, paper 105714, 2024.
- [4] S.-S. Wang, M. Diagne, and M. Krstic, "Deep learning of delay-compensated backstepping for reaction-diffusion PDEs," *IEEE Transactions on Automatic Control*, under review.
- [5] M. Lamarque, L. Bhan, R. Vazquez, and M. Krstic, "Gain scheduling with a neural operator for a transport PDE with nonlinear recirculation," *IEEE Transactions on Automatic Control*, under review.
- [6] M. Lamarque, L. Bhan, Y.-Y. Shi, and M. Krstic, "Adaptive neural-operator backstepping control of a benchmark hyperbolic PDE," *Automatica*, under review.
- [7] S.-S. Wang, M. Diagne, and M. Krstic, "Backstepping neural operators for 2x2 hyperbolic PDEs," *Automatica*, under review.
- [8] L. Bhan, Y.-Y. Shi, and M. Krstic, "Adaptive control of reaction-diffusion PDEs via neural operator-approximated gain kernels," *Systems & Control Letters*, under review.

Pubs in this talk

- [1] L. Bhan, Y. Shi, and M. Krstic, "Neural operators for bypassing gain and control computations in PDE backstepping," *IEEE Transactions on Automatic Control*, vol. 69, pp. 5310-5325, 2024.
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ML use here

Encode the **map**

PDE model \mapsto PDE control gains

using ML, for existing (rigorous) model-based PDE control designs

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PDE model \mapsto PDE control gains

using ML, for existing (rigorous) model-based PDE control designs

Benefit: 1000× speedup of implementation. Certifications retained.

Deep **Neural Operators**

DeepONet universal approximation THEOREM

(Lu, Jin, Karniadakis, **2021**)

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Let \mathcal{S} be a **continuous operator**.

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For every $\epsilon > 0$, there exists a (deep) neural operator $\hat{\mathcal{S}}$ (dependent on ϵ) s.t.

$$\left| \mathcal{S}(\cdot) - \hat{\mathcal{S}}(\cdot) \right| < \epsilon$$

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(Lu, Jin, Karniadakis, 2021)

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$$\left| \mathcal{S}(\cdot) - \hat{\mathcal{S}}(\cdot) \right| < \epsilon$$

\forall input functions (\cdot) in a **compact** set of cont. functions.

Example of “nonlinear operator”

feedback: nonlin. mapping of
open-loop response $h(t)$ \mapsto *closed-loop* response

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feedback: nonlin. mapping of
open-loop response $h(t)$ \mapsto *closed-loop* response

We can find closed-loop response for EACH individual $h(t)$,
but can we find a “**once-and-for-all** formula” **for all** $h(t)$?

Sensitivity & *K*omplementary sensitivity operators

Sensitivity & Komplementary sensitivity operators

$$S: h \mapsto \mathcal{L}^{-1} \circ \frac{1}{1 - \mathcal{L}(h)}$$

Operator input h : plant impulse response function

Sensitivity & Komplementary sensitivity operators

$$\mathcal{S}: h \mapsto \mathcal{L}^{-1} \circ \frac{1}{1 - \mathcal{L}(h)}$$

Operator input h : plant impulse response function

Operator output:

- $\mathcal{S}(h)$ = closed-loop impulse response to *measurement disturbance*

Sensitivity & Komplementary sensitivity operators

$$\mathcal{S}: h \mapsto \mathcal{L}^{-1} \circ \frac{1}{1 - \mathcal{L}(h)}$$

$$\mathcal{K}: h \mapsto h - \mathcal{S}(h) = \mathcal{L}^{-1} \circ \frac{-\mathcal{L}(h)}{1 - \mathcal{L}(h)}$$

Operator input h : plant impulse response function

Operator output:

- $\mathcal{S}(h)$ = closed-loop impulse response to *measurement disturbance*
- $\mathcal{K}(h)$ = closed-loop impulse response to *command*

Sensitivity & Komplementary sensitivity operators

$$\mathcal{S}: h \mapsto \mathcal{L}^{-1} \circ \frac{1}{1 - \mathcal{L}(h)}$$

$$\mathcal{K}: h \mapsto h - \mathcal{S}(h) = \mathcal{L}^{-1} \circ \frac{-\mathcal{L}(h)}{1 - \mathcal{L}(h)}, \quad \boxed{\mathcal{K}^{-1} = \mathcal{K}} \text{ involution}$$

Are \mathcal{S} and \mathcal{K} **continuous** operators?

Lipschitz constants

$$\begin{aligned}L_{\mathcal{S}} &= e^{2B} \\L_{\mathcal{K}} &= (1 + Be^B) e^B\end{aligned}$$

for all impulse response inputs $h(t)$ that are L_{∞} -bounded by B over finite time

$$\hat{\mathcal{S}} \approx \mathcal{S} \text{ and } \hat{\mathcal{K}} \approx \mathcal{K}$$

Theorem. For all $B > 0$ and $\epsilon > 0$, there exists a DeepONet $\hat{\mathcal{K}}$ satisfying

$$\left| \mathcal{K}(h)(t) - \hat{\mathcal{K}}(h)(t) \right| < \epsilon$$

for all $\|h\|_\infty \leq B$ and $t \in [0, T]$.

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for all $\|h\|_\infty \leq B$ and $t \in [0, T]$.

- $\hat{\mathcal{K}}$ produces approximate closed-loop impulse response
- for experimentally measured plant impulse response (even if plant is ∞ -dim.)

Outline

1. **Hyperbolic** PDE: operators on **fcns of one variable**
2. **Parabolic** PDE: operators on fcns of two variables

Outline

1. **Hyperbolic** PDE: operators on fcn^s of one variable
2. **Parabolic** PDE: operators on fcn^s of two variables
3. **Adaptive control** — unknown functional coefficients

Hyperbolic benchmark

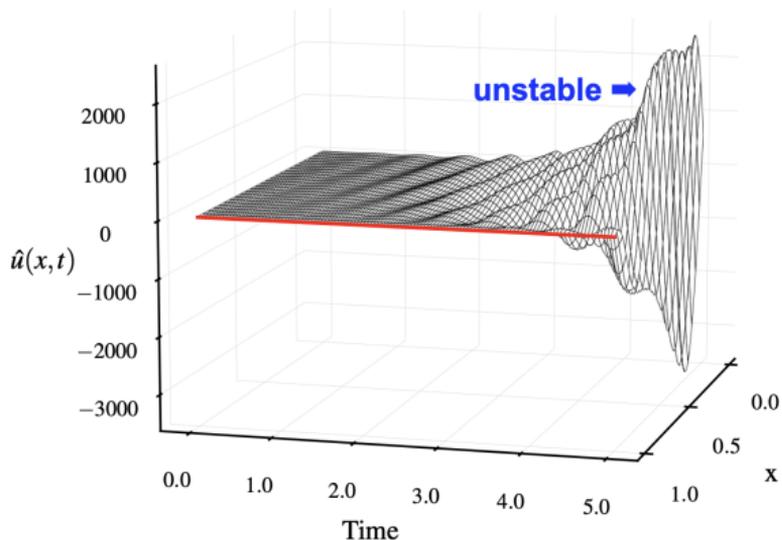
Hyperbolic PDE example: a pedagogical start

(mapping from/into fcn's of one variable)

Simplest unstable PDE:

$$u_t(x, t) = u_x(x, t) + \beta(x) u(0, t)$$

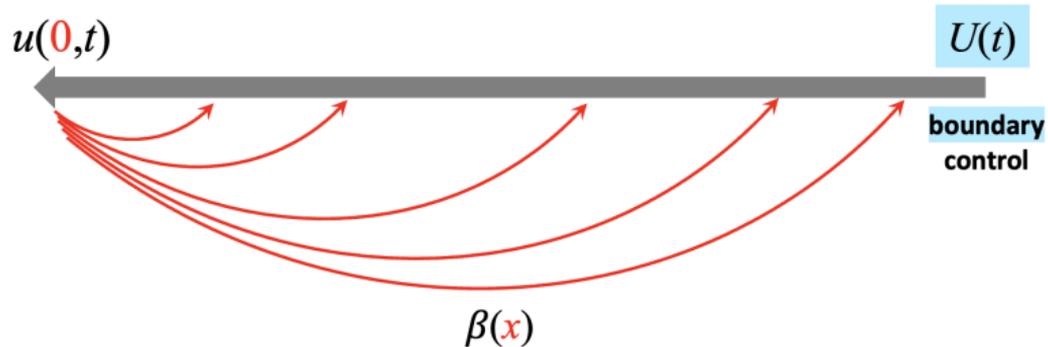
transport + recirculation = instability



Question #1 in *boundary* control:

$$u(1, t) = U(t)$$

boundary control



How to **UNLINK** domain-wide recirculation using only boundary actuation?

Answer: **PDE backstepping design**

Answer: PDE backstepping design

Backstepping operator, transforms $u(\mathbf{x}, t)$ to $w(\mathbf{x}, t)$:

$$w = \mathcal{S}(\beta) * u$$

$$\text{inverse: } u = w - \beta * w$$

Answer: PDE backstepping design

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boundary control (t suppressed)

$$U = \mathcal{K}(\beta) * u|_{x=1}$$

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target system (transport PDE/delay)

$$\begin{aligned} w_t &= w_x + \cancel{\beta(x)u(0, t)} && \text{(recirculation gone!)} \\ w(1, t) &= \mathbf{0} \end{aligned}$$

Adaptive Control for Unknown Functional Coefficients

offline-online learning

combined

DeepONet with **online** parameter estimation

$\beta(x)$ = **unknown** function

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DeepONet with **online** parameter estimation

$\beta(x)$ = **unknown** function

$\hat{\beta}(x, t)$ = **online-updated estimate**, with projection to guarantee $\|\hat{\beta}(\cdot, t)\|_\infty \leq B, \forall t \geq 0$

exact kernel	$\mathcal{K}(\beta)$
exact estimated kernel	$\mathcal{K}(\hat{\beta})$
approximate estimated kernel (adaptive kernel)	$\hat{\mathcal{K}}(\hat{\beta})$

Adaptive Controller

$$U(t) = \int_0^1 \hat{\mathcal{K}}(\hat{\beta})(1-y, t) u(y, t) dy$$

Update law

(ensemble/ ∞ -dim nonlinear ODE)

$$\frac{\partial}{\partial t} \hat{\beta}(x, t) = \underbrace{\frac{\gamma}{1 + \|\mathbf{w}(t)\|_c^2}}_{\text{normalization}} \underbrace{\left[e^{cx} \mathbf{w}(x, t) - \int_x^1 e^{cy} \hat{\mathcal{K}}(\hat{\beta})(y - x, t) \mathbf{w}(y, t) dy \right]}_{\text{regressor}} \underbrace{u(0, t)}_{\text{regulation error}}$$

Update law

(ensemble/ ∞ -dim nonlinear ODE)

$$\frac{\partial}{\partial t} \hat{\beta}(x, t) = \underbrace{\frac{\gamma}{1 + \|\mathbf{w}(t)\|_c^2}}_{\text{normalization}} \underbrace{\left[e^{cx} w(x, t) - \int_x^1 e^{cy} \hat{\mathcal{K}}(\hat{\beta})(y - x, t) w(y, t) dy \right]}_{\text{regressor}} \underbrace{u(0, t)}_{\text{regulation error}}$$

where

$$w(x, t) = u(x, t) - \int_0^x \hat{\mathcal{K}}(\hat{\beta})(x - y, t) u(y, t) dy$$
$$\|\mathbf{w}(t)\|_c^2 = \int_0^1 e^{cx} w^2(x, t) dx$$

Global stabilization & pointwise-in-space regulation

Theorem.

$\exists R, \rho > 0$ s.t.

$$\Gamma(t) \leq R \left(e^{\rho \Gamma(0)} - 1 \right) \quad \forall t \geq 0$$

$$\Gamma(t) = \int_0^1 \left[u^2(x, t) + \left(\beta(x) - \hat{\beta}(x, t) \right)^2 \right] dx$$

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and

$$\lim_{t \rightarrow \infty} u(x, t) = 0 \quad \forall x \in [0, 1]$$

Global stabilization & pointwise-in-space regulation

Theorem. For all systems with $\|\beta\|_\infty \leq B$ and

- all operators $\hat{\mathcal{K}}$ trained for any $\epsilon \in \left(0, \mathcal{O}\left(\frac{1}{1+B}\right)\right)$

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Theorem. For all systems with $\|\beta\|_\infty \leq B$ and

- all operators $\hat{\mathcal{K}}$ trained for any $\epsilon \in \left(0, \mathcal{O}\left(\frac{1}{1+B}\right)\right)$
- all adaptation gains $\gamma \in \left(0, \mathcal{O}\left(\frac{1}{1+B}\right)\right)$

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Proof of Theorem



Perturbed target system

with $w(1, t) = 0$

$$w_t = w_x$$

$$- \left[\left(1 - \hat{\beta}^* \right) \left(\mathcal{K} \left(\hat{\beta} \right) - \hat{\mathcal{K}} \left(\hat{\beta} \right) \right) \right] w(0, t)$$

gain approximation error

$$+ \left[\left(1 - \hat{k}^* \right) \left(\beta - \hat{\beta} \right) \right] w(0, t)$$

parameter estimation error

$$- \left[\left(1 - \mathcal{K} \circ \hat{\mathcal{K}} \left(\hat{\beta} \right)^* \right) \partial_t \left(\hat{\mathcal{K}} \left(\hat{\beta} \right) \right)^* w \right]$$

parameter update rate perturbation

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parameter **update rate** perturbation

Proof

Key inequality (for handling update rate perturbation)

$$\left\| \partial_t \left(\hat{\mathcal{K}} \left(\hat{\beta} \right) \right) \right\| \leq \epsilon + M(B) \left\| \partial_t \hat{\beta} \right\|$$

Ensured by operator definition and training.

Proof

Lyapunov functional

$$V(t) = \ln \left(1 + \|\mathbf{w}(t)\|_c^2 \right) + \frac{1}{\gamma} \left\| \beta - \hat{\beta}(t) \right\|^2$$

Parabolic PDEs

(advancing to operators btw fcns of **two** variables)

$$u_t(x, t) = u_{xx}(x, t) + \lambda(x)u(x, t)$$

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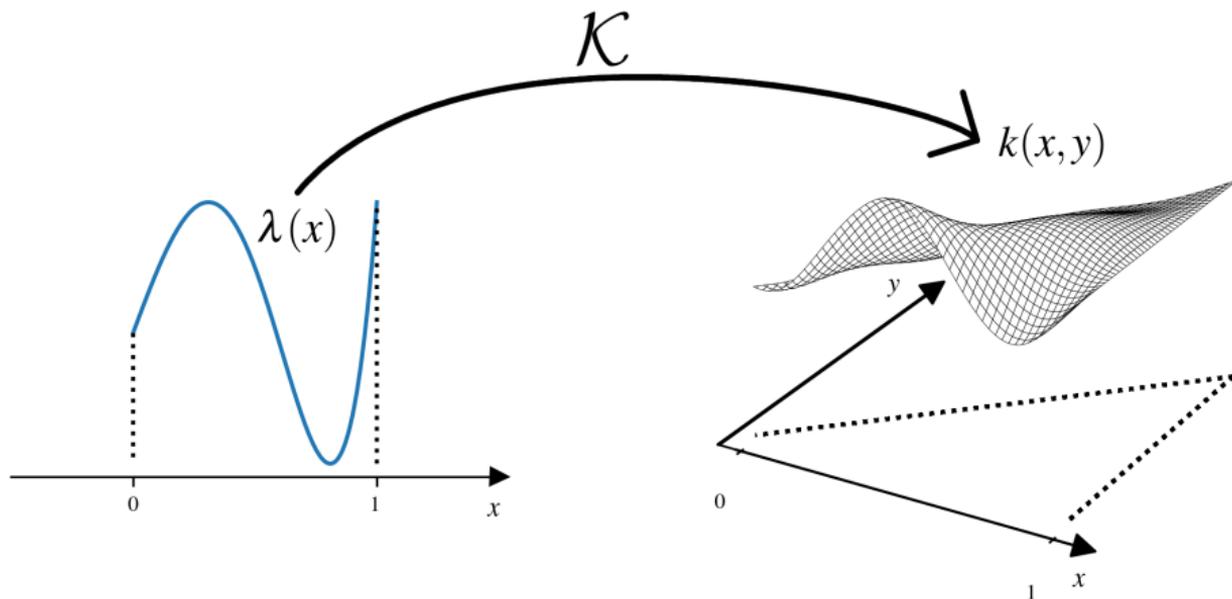
Bkst transform

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

Kernel PDE:

$$k_{xx}(x, y) - k_{yy}(x, y) = \lambda(y) k(x, y)$$

Bkst gain operator:



Adaptive Control of Parabolic PDEs

Adaptive Control with DeepONet implementation

$\lambda(x)$ = *unknown function*

$\hat{\lambda}(x, t)$ = *online-updated estimate*

Adaptive Control with DeepONet implementation

$\lambda(x)$ = *unknown function*

$\hat{\lambda}(x, t)$ = *online-updated estimate*

$$U(t) = \int_0^1 \hat{\mathcal{K}}(\hat{\lambda})(1, y, t) u(y, t) dy$$

$\hat{\mathcal{K}}(\hat{\lambda})$ takes *~ 1 millisecond* to re-evaluate at each timestep in real time on an old laptop

Update law

$$\frac{\partial}{\partial t} \hat{\lambda}(x, t) = \underbrace{\frac{\gamma}{1 + \|\mathbf{w}(t)\|^2}}_{\text{normalization}} \underbrace{\left[\mathbf{w}(x, t) - \int_x^1 \hat{\mathcal{K}}(\hat{\lambda})(y, x, t) \mathbf{w}(y, t) dy \right]}_{\text{regressor}} \underbrace{u(x, t)}_{\text{regulation error}}$$

where

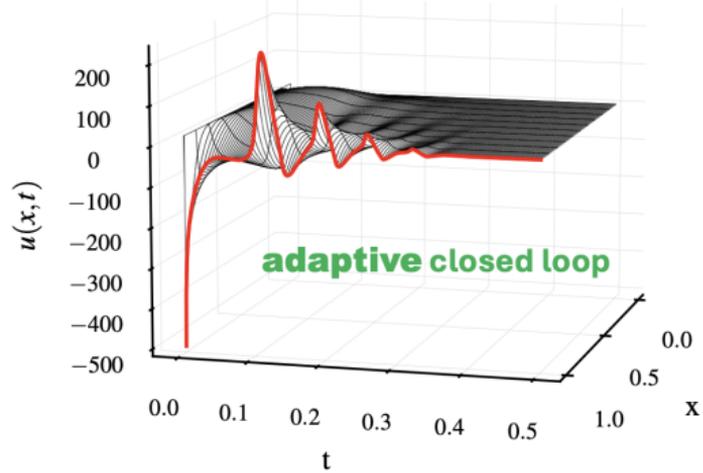
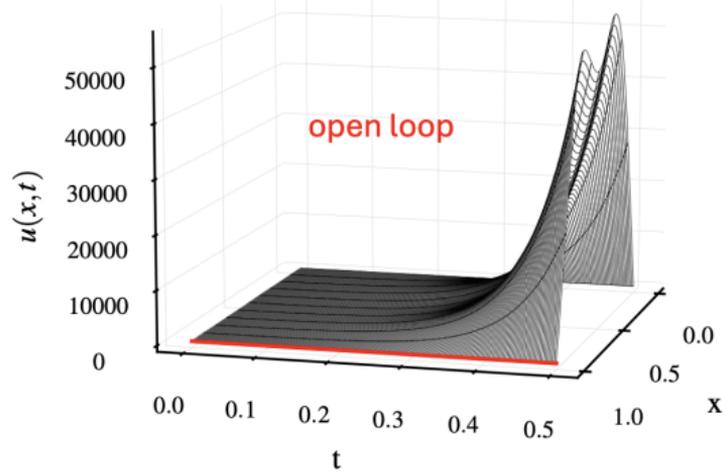
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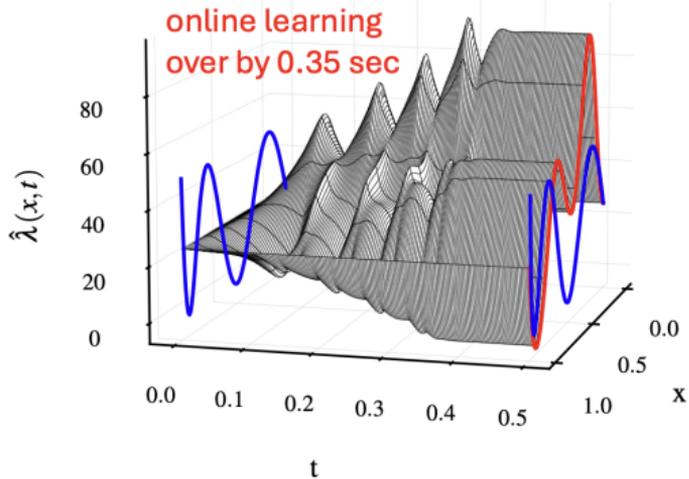
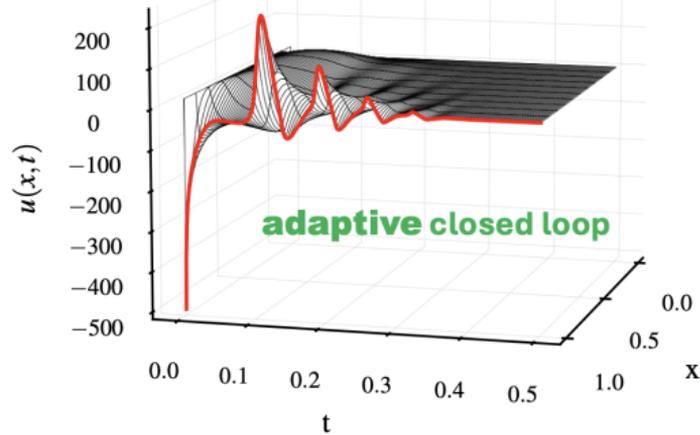
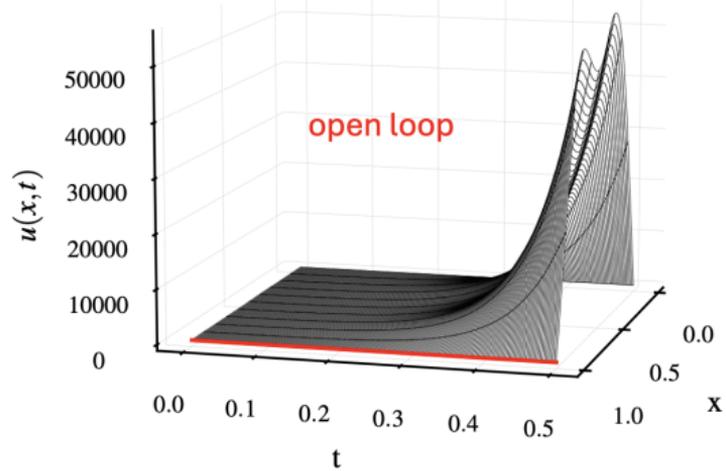
Update law

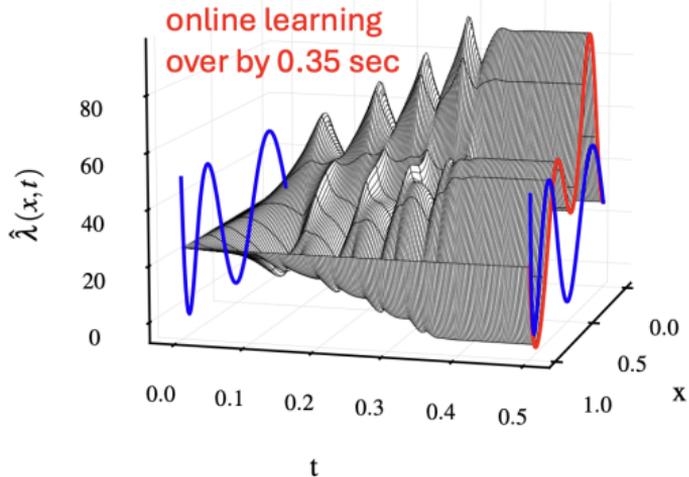
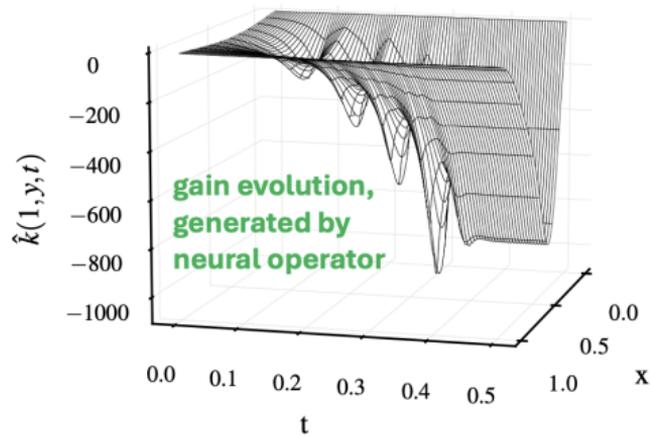
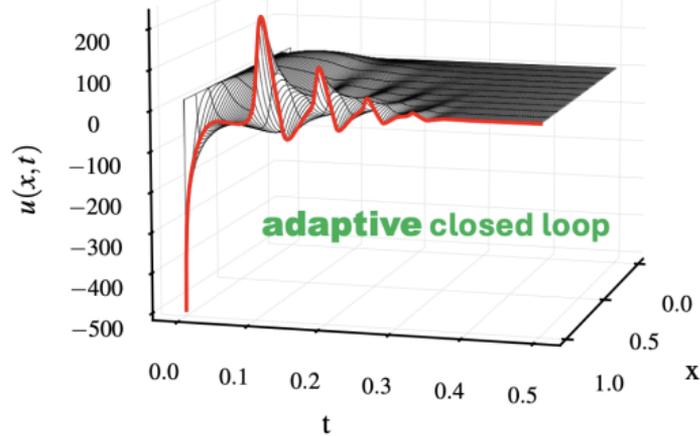
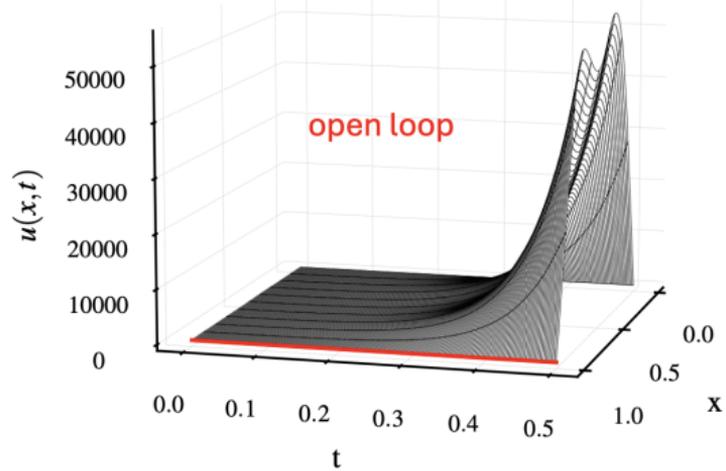
$$\frac{\partial}{\partial t} \hat{\lambda}(x, t) = \underbrace{\frac{\gamma}{1 + \|\mathbf{w}(t)\|^2}}_{\text{normalization}} \underbrace{\left[\mathbf{w}(x, t) - \int_x^1 \hat{\mathcal{K}}(\hat{\lambda})(y, x, t) \mathbf{w}(y, t) dy \right]}_{\text{regressor}} \underbrace{u(x, t)}_{\text{regulation error}}$$

where

$$\mathbf{w}(x, t) = u(x, t) - \int_0^x \hat{\mathcal{K}}(\hat{\lambda})(x, y, t) u(y, t) dy$$







PERTURBED target system



$$w_t(x, t) = w_x(x, t)$$

$$-2 \frac{d}{dt} \left(\mathcal{K}(\hat{\lambda})(x, x, t) - \hat{\mathcal{K}}(\hat{\lambda})(x, x, t) \right) u(x, t)$$

$$- \int_0^x \left(\partial_{xx} - \partial_{yy} - \hat{\lambda}(y, t) \right) \left(\mathcal{K}(\hat{\lambda})(x, y, t) - \hat{\mathcal{K}}(\hat{\lambda})(x, y, t) \right) u(y, t) dy$$

gain approximation error

$$+ \left(\lambda(x) - \hat{\lambda}(x, t) \right) u(x, t) - \int_0^x \left(\lambda(y) - \hat{\lambda}(y, t) \right) \hat{\mathcal{K}}(\hat{\lambda})(x, y, t) u(y, t) dy$$

param. estim. error

$$- \int_0^x \partial_t \left(\hat{\mathcal{K}}(\hat{\lambda}) \right) (x, y, t) u(y, t) dy$$

param. update rate perturbation

Global stabilization & pointwise-in-space regulation

Theorem. $\exists R, \rho > 0$ s.t.

$$\Gamma(t) \leq R \left(e^{\rho \Gamma(0)} - 1 \right) \quad \forall t \geq 0$$

$$\Gamma(t) = \int_0^1 \left[u^2(x, t) + \left(\lambda(x) - \hat{\lambda}(x, t) \right)^2 \right] dx$$

and

$$\lim_{t \rightarrow \infty} u(x, t) = 0 \quad \forall x \in [0, 1]$$

Recap

- **Speedup** in producing PDE gains $\sim 1000\times$
- **Training** price? **Minutes**.
- **Enabled:** adaptive control of PDEs with **unknown parameters**

Future?

Generalizations to:

- 2D, 3D
- coupled + ensemble PDEs
- **applications**

NEXT TOPIC — *Population Dynamics*

“Aging” predator-prey:

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“Aging” predator-prey:

$$\frac{\partial x_1(a, t)}{\partial t} = -\frac{\partial x_1(a, t)}{\partial a} - \left(\int_0^A g_1(\alpha) x_2(\alpha, t) d\alpha + u(t) \right) x_1(a, t) \quad \text{predator } \underline{\text{kills}} \text{ prey}$$
$$\frac{\partial x_2(a, t)}{\partial t} = -\frac{\partial x_2(a, t)}{\partial a} - \left(\frac{1}{\int_0^A g_2(\alpha) x_1(\alpha, t) d\alpha} + u(t) \right) x_2(a, t) \quad \text{prey } \underline{\text{nourishes}} \text{ predator}$$

NEXT TOPIC — *Population Dynamics*

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$$\frac{\partial x_2(a, t)}{\partial t} = -\frac{\partial x_2(a, t)}{\partial a} - \left(\frac{1}{\int_0^A g_2(\alpha) x_1(\alpha, t) d\alpha} + u(t) \right) x_2(a, t) \quad \text{prey nourishes predator}$$

Birth boundary conditions:

$$x_1(0, t) = \int_0^A k_1(a) x_1(a, t) da$$
$$x_2(0, t) = \int_0^A k_2(a) x_2(a, t) da$$

NEXT TOPIC — *Population Dynamics*

“Aging” predator-prey:

$$\frac{\partial x_1(a, t)}{\partial t} = -\frac{\partial x_1(a, t)}{\partial a} - \left(\int_0^A g_1(\alpha) x_2(\alpha, t) d\alpha + u(t) \right) x_1(a, t) \quad \text{predator kills prey}$$
$$\frac{\partial x_2(a, t)}{\partial t} = -\frac{\partial x_2(a, t)}{\partial a} - \left(\frac{1}{\int_0^A g_2(\alpha) x_1(\alpha, t) d\alpha} + u(t) \right) x_2(a, t) \quad \text{prey nourishes predator}$$

Birth boundary conditions:

$$x_1(0, t) = \int_0^A k_1(a) x_1(a, t) da$$
$$x_2(0, t) = \int_0^A k_2(a) x_2(a, t) da$$

ecology • epidemiology • opinion dynamics • amortization of assets (in DoD)

NEXT TOPIC — *Population Dynamics*

“Aging” predator-prey:

$$\frac{\partial x_1(a, t)}{\partial t} = -\frac{\partial x_1(a, t)}{\partial a} - \left(\int_0^A g_1(\alpha) x_2(\alpha, t) d\alpha + u(t) \right) x_1(a, t) \quad \text{predator kills prey}$$
$$\frac{\partial x_2(a, t)}{\partial t} = -\frac{\partial x_2(a, t)}{\partial a} - \left(\frac{1}{\int_0^A g_2(\alpha) x_1(\alpha, t) d\alpha} + u(t) \right) x_2(a, t) \quad \text{prey nourishes predator}$$

Birth boundary conditions:

$$x_1(0, t) = \int_0^A k_1(a) x_1(a, t) da$$
$$x_2(0, t) = \int_0^A k_2(a) x_2(a, t) da$$

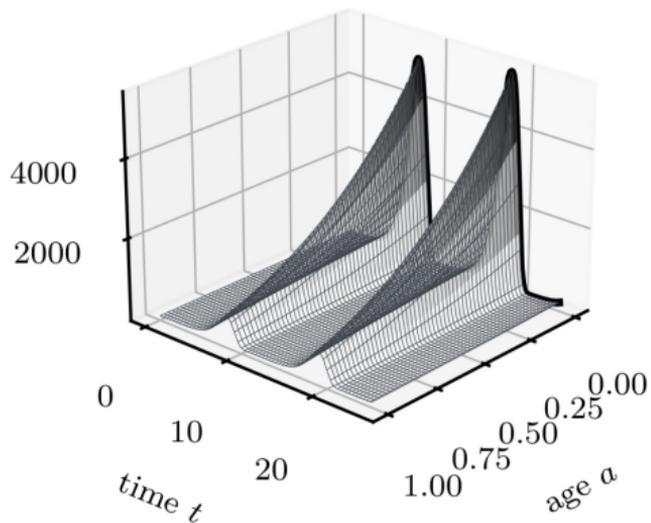
ecology • epidemiology • opinion dynamics • amortization of assets (in DoD)

Hard: common input

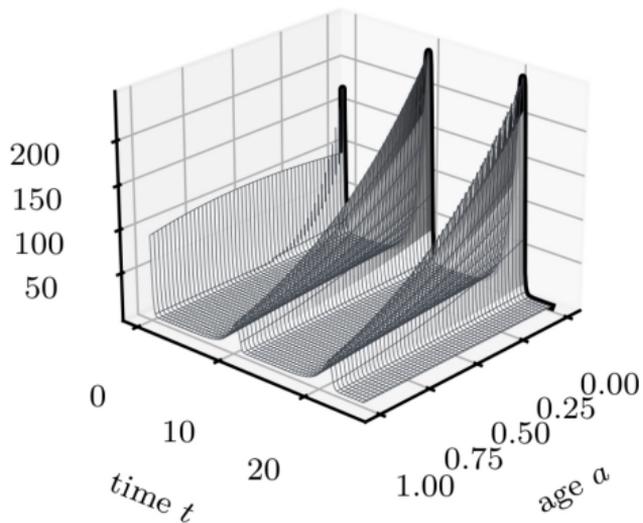
Open loop — Oscillation

(an order of magnitude)

Prey Density $x_1(a, t)$



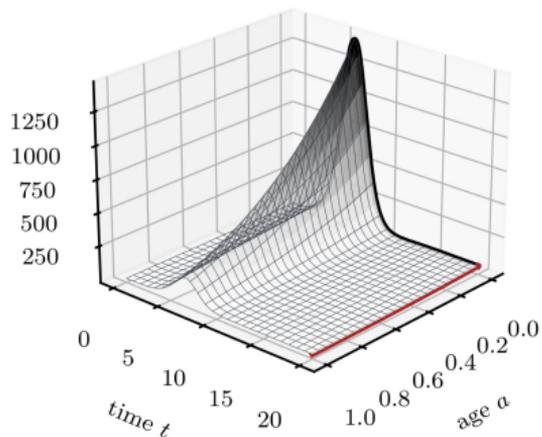
Predator Density $x_2(a, t)$



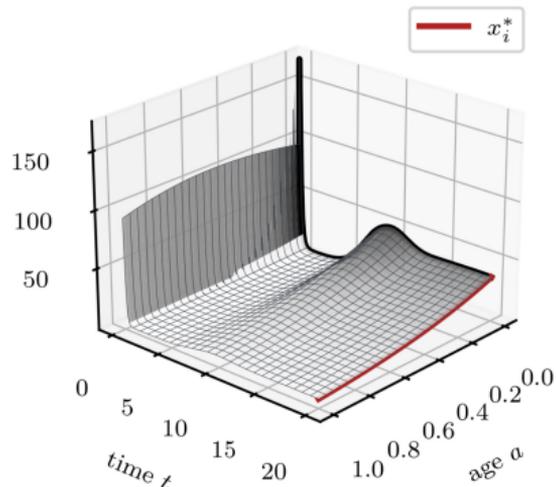
Closed loop — **Settle** to setpoint

(overpopulation transient necessitated by **control positivity** constraint)

Prey Density $x_1(a, t)$



Predator Density $x_2(a, t)$



Dilution $u(t)$

