## EE 419/519: Industrial Control Systems

Lecture 7: Observability and Dynamic Feedback

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# **Topic Outline**

#### Observability

- Observability Definition
- Unobservable Subspace
- Luenberger Observer
- Detectability
- Dynamic Feedback

#### State Feedback Controller

• We will now consider a more complete LTI state space model:

$$\dot{x} = Ax + Bu, \quad x \in \mathbb{R}^n, \ u \in \mathbb{R}^m$$
  
 $y = Cx, \qquad y \in \mathbb{R}^p$ 

- If the system is **controllable**, then a state feedback u = Kx can asymptotically stabilize the system (we can place the closed loop eigenvalues freely)
- What if we cannot measure/obtain all of the states x?

### **Dynamic Feedback Controller**

• We will now consider a more complete LTI state space model:

$$\dot{x} = Ax + Bu, \quad x \in \mathbb{R}^n, \ u \in \mathbb{R}^m$$
  
 $y = Cx, \qquad y \in \mathbb{R}^p$ 

- If the system is **controllable**, then a state feedback u = Kx can asymptotically stabilize the system (we can place the closed loop eigenvalues freely)
- Can we develop an "observer" to obtain an estimate of x, defined as  $\hat{x}$ ?
- When is this possible?

### **Observability Definition**

• Without loss of generality, let's consider a system without inputs

$$\dot{x} = Ax, \quad x \in \mathbb{R}^n,$$
  
 $y = Cx, \quad y \in \mathbb{R}^p$   $x(0) = x_0$ 

- **Definition:** The pair (C, A) is **observable** for any  $t \in [0, T]$  where  $T < \infty$ , we can find x(0) from y(t)
- Main idea: If x(0) can be obtained, then we can **reconstruct** the states x(t) for any  $t \in [0, T]$  using only the outputs y(t)

### Observability Definition (cont'd)

• Without loss of generality, let's consider a system without inputs

$$\dot{x} = Ax, \quad x \in \mathbb{R}^n,$$
  
 $y = Cx, \quad y \in \mathbb{R}^p$   $x(0) = x_0$ 

- **Definition:** The pair (C, A) is **observable** for any  $t \in [0, T]$  where  $T < \infty$ , we can find x(0) from y(t)
- How can we obtain x(0)? We can differentiate the output (n-1) times (Cayley Hamilton):

### **Observability Matrix**

• Without loss of generality, let's consider a system without inputs

$$\dot{x} = Ax, \quad x \in \mathbb{R}^n,$$
 $y = Cx, \quad y \in \mathbb{R}^p$ 
 $x(0) = x_0$ 

- **Definition:** The pair (C, A) is **observable** for any  $t \in [0, T]$  where  $T < \infty$ , we can find x(0) from y(t)
- The pair (C, A) is **observable** if and only if the observability matrix has full rank:

$$\operatorname{rank} \{\mathcal{O}\} = \operatorname{rank} \left\{ \begin{pmatrix} C \\ CA \\ \vdots \\ CA^{n-1} \end{pmatrix} \right\} = n$$

## Observability Matrix – Unobservable Subspace

• Without loss of generality, let's consider a system without inputs

$$\dot{x} = Ax, \quad x \in \mathbb{R}^n,$$
  
 $y = Cx, \quad y \in \mathbb{R}^p$   $x(0) = x_0$ 

• The **unobservable subspace** is given by:

$$\mathcal{N}\left\{\mathcal{O}\right\} = \mathcal{N}\left\{ egin{pmatrix} C \\ CA \\ \vdots \\ CA^{n-1} \end{pmatrix} 
ight\}$$

- The unobservable subspace is the **largest** A-invariant subspace contained in the  $\mathcal{N}\{C\}$
- The rank  $\{\mathcal{O}\}$  + dim  $\{\mathcal{N}\{\mathcal{O}\}\}$  = n (rank-nullity theorem)

### Decomposition w.r.t. Unobservable Subspace

• Let's consider a general state space model:

$$\dot{x} = Ax + Bu, \quad x \in \mathbb{R}^n, \ u \in \mathbb{R}^m$$
  
 $y = Cx, \qquad y \in \mathbb{R}^p$ 

- Assume the dim  $\{\mathcal{N} \{\mathcal{O}\}\} p \geq 1$  (the system is unobservable) and define a basis for  $\mathcal{N} \{\mathcal{O}\} = \operatorname{span} \{v_1, \dots, v_p\}$
- Find a complementary subspace for  $\mathbb{R}^n = \mathcal{N} \{\mathcal{O}\} \oplus \mathcal{W}$
- What is the system structure w.r.t. basis given by  $T = \underbrace{(v_1 \cdots v_p)}_{\mathcal{N}\{\mathcal{O}\}} \underbrace{w_1 \cdots w_{n-p}}_{\mathcal{W}}$

### Decomposition w.r.t. Unobservable Subspace

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- What is the system structure w.r.t. basis given by  $T = \underbrace{(v_1 \cdots v_p)}_{\mathcal{N}\{\mathcal{O}\}} \underbrace{w_1 \cdots w_{n-p}}_{\mathcal{W}}$
- The system is transformed (x = Tz):

$$\begin{pmatrix} \dot{z}_1 \\ \dot{z}_2 \end{pmatrix} = \begin{pmatrix} \tilde{A}_{11} & \tilde{A}_{12} \\ 0 & \tilde{A}_{22} \end{pmatrix} \begin{pmatrix} z_1 \\ z_2 \end{pmatrix} + \begin{pmatrix} \tilde{B}_1 \\ \tilde{B}_2 \end{pmatrix} u, \qquad y = \begin{pmatrix} 0 & \tilde{C}_2 \end{pmatrix} \begin{pmatrix} z_1 \\ z_2 \end{pmatrix}$$

- The pair  $(\tilde{A}_{22}, \tilde{C}_2)$  is **observable**
- The state  $z_1$  / modes given by  $\tilde{A}_{11}$  are unobservable!
- The system is **detectable** if  $\forall \lambda \in \sigma(\tilde{A}_{11})$  the  $\text{Re}\{\lambda\} < 0$

## **Duality**

• Let's consider a general state space model:

$$\dot{x} = Ax + Bu, \quad x \in \mathbb{R}^n, \ u \in \mathbb{R}^m$$
  
 $y = Cx, \qquad y \in \mathbb{R}^p$ 

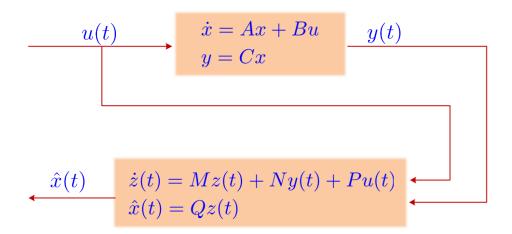
- The controllability and observability matrices are related  $\mathcal{O}\left(C,\ A\right)=\mathcal{W}\left(A^{T},\ C^{T}\right)^{T}$
- We can investigate observability of (C, A) by studying controllability of  $(A^T, C^T)$
- (C, A) is observable if rank  $\{W(A^T, C^T)\} = n$
- We can use this for observer design!

#### **Observer Definition**

• Let's consider a general state space model:

$$\dot{x} = Ax + Bu, \quad x \in \mathbb{R}^n, \ u \in \mathbb{R}^m$$
  
 $y = Cx, \qquad y \in \mathbb{R}^p$ 

• **Definition:** A state observer is a (dynamical) system that provides an estimate,  $\hat{x}(t)$ , of the internal state, x(t), of a real system using only the inputs, u(t), and the outputs, y(t).



- When can we design an observer? What should M, N, P, Q be?
- What are the dynamics of the error  $e(t) = x(t) \hat{x}(t)$ ? (Goal:  $e(t) \to 0$ )

## Luenberger Observer

• Let's consider a general state space model:

$$\dot{x} = Ax + Bu, \quad x \in \mathbb{R}^n, \ u \in \mathbb{R}^m$$
  
 $y = Cx, \qquad y \in \mathbb{R}^p$ 

• We will consider the following Luenberger observer:

$$\dot{z} = Az + Bu + L(y - Cz), \quad \hat{x} = z$$

• What are the error dynamics e(t) = x - z?

#### **Luenberger Observer Conditions**

• Let's consider a general state space model:

$$\dot{x} = Ax + Bu, \quad x \in \mathbb{R}^n, \ u \in \mathbb{R}^m$$
  
 $y = Cx, \qquad y \in \mathbb{R}^p$ 

• We will consider the following Luenberger observer:

$$\dot{z} = Az + Bu + L(y - Cz) 
\hat{x} = z$$

$$\dot{z} = (A - LC)z + Bu + Ly 
\hat{x} = z$$

- The error dynamics are given by  $\dot{e} = (A LC)e$ 
  - The error will converge to zero,  $e(t) \to 0$  or  $\hat{x} \to x$ , iff  $\forall \lambda \in \sigma(A-LC)$  the Re  $\{\lambda\} < 0$
  - The eigenvalues or  $\sigma(A-LC)$  is freely assignable (by L) iff (C, A) is observable
  - By duality, we can use a similar procedure as state feedback design to obtain L:

```
1 %% Obtain feedback matrix using place
2 L = place(A', C', lam_des)';
```

• Let's consider the following circuit:

$$\begin{pmatrix} x_1 \\ x_2 \end{pmatrix} = \begin{pmatrix} -\frac{r_1}{L_1} & \frac{-1}{L_1} \\ \frac{1}{C} & -\frac{1}{r_2C} \end{pmatrix} \begin{pmatrix} x_1 \\ x_2 \end{pmatrix} + \begin{pmatrix} \frac{1}{L_1} \\ 0 \end{pmatrix} u$$

$$y = \begin{pmatrix} 1 & 0 \end{pmatrix} \begin{pmatrix} x_1 \\ x_2 \end{pmatrix}$$

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- Assume that we can only measure the inductor current  $x_1$  and  $r_1 = 1$  m $\Omega$ ,  $L_1 = 10$  mH,  $C_1 = 10$  mF, and  $r_2 = 1$   $\Omega$
- We would like to build an observer to estimate the capacitor voltage
- Is the system observable?

$$\mathcal{O} = \begin{pmatrix} C \\ CA \end{pmatrix} = \begin{pmatrix} 1 & 0 \\ -0.1 & -100 \end{pmatrix} \Rightarrow \operatorname{Rank}(\mathcal{O}) = 2$$
 System is observable!

• Let's consider the following circuit:

dowing circuit:
$$\begin{pmatrix} x_1 \\ x_2 \end{pmatrix} = \begin{pmatrix} -\frac{r_1}{L_1} & \frac{-1}{L_1} \\ \frac{1}{C} & -\frac{1}{r_2C} \end{pmatrix} \begin{pmatrix} x_1 \\ x_2 \end{pmatrix} + \begin{pmatrix} \frac{1}{L_1} \\ 0 \end{pmatrix} u$$

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- Assume that we can only measure the inductor current  $x_1$  and  $r_1=1$  m $\Omega$ ,  $L_1=10$  mH,  $C_1=10$  mF, and  $r_2=1$   $\Omega$
- Build a Luenberger observer with eigenvalues at  $\{-1000, -900\}$ 
  - -A, B, C are known, we need to design L!
  - -L = place(A', C', [-1000, -900])'

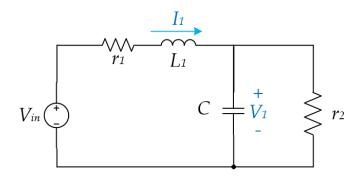
$$\dot{z} = (A - LC)z + Bu + Ly$$
 $\hat{x} = z$ 

$$L = \begin{pmatrix} 1799.9 \\ -7100 \end{pmatrix}$$
 $\sigma(A - LC) = \{-1000, -900\}$ 

• Let's consider the following circuit:

$$\begin{pmatrix} x_1 \\ x_2 \end{pmatrix} = \begin{pmatrix} -\frac{r_1}{L_1} & \frac{-1}{L_1} \\ \frac{1}{C} & -\frac{1}{r_2C} \end{pmatrix} \begin{pmatrix} x_1 \\ x_2 \end{pmatrix} + \begin{pmatrix} \frac{1}{L_1} \\ 0 \end{pmatrix} u$$
$$y = \begin{pmatrix} 1 & 0 \end{pmatrix} \begin{pmatrix} x_1 \\ x_2 \end{pmatrix}$$

• How does the observer work?

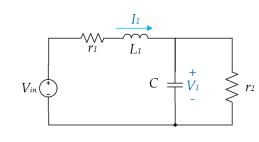


$$\dot{z} = (A - LC)z + Bu + Ly$$

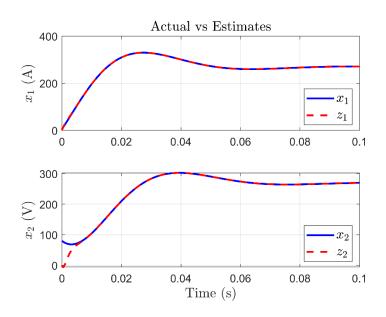
$$\hat{x} = z$$

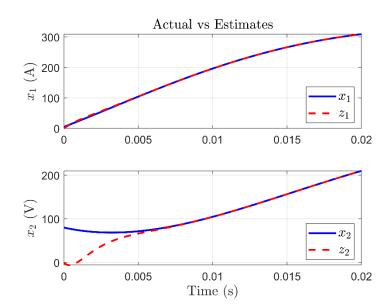
• Let's consider the following circuit:

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$$y = \begin{pmatrix} 1 & 0 \end{pmatrix} \begin{pmatrix} x_1 \\ x_2 \end{pmatrix}$$



• Simulation results with u = 270 V and  $i_1(0) = 5 \text{ A}$  and  $v_1(0) = 80 \text{ V}$ 





#### **Unobservable Systems**

- Let's consider a general state space model:  $\dot{x} = Ax + Bu$ , y = Cx
- What if the pair (C, A) is not observable?
- There exists a basis matrix  $T = \underbrace{(v_1 \cdots v_p)}_{\mathcal{N}\{\mathcal{O}\}} \underbrace{w_1 \cdots w_{n-p}}_{\mathcal{W}}$  such that the system can be transformed to:

$$\begin{pmatrix} \dot{\tilde{x}}_1 \\ \dot{\tilde{x}}_2 \end{pmatrix} = \begin{pmatrix} \tilde{A}_{11} & \tilde{A}_{12} \\ 0 & \tilde{A}_{22} \end{pmatrix} \begin{pmatrix} \tilde{x}_1 \\ \tilde{x}_2 \end{pmatrix} + \begin{pmatrix} \tilde{B}_1 \\ \tilde{B}_2 \end{pmatrix} u, \qquad y = \begin{pmatrix} 0 & \tilde{C}_2 \end{pmatrix} \begin{pmatrix} \tilde{x}_1 \\ \tilde{x}_2 \end{pmatrix}$$

• Design a Luenberger for the system in the new basis

#### **Unobservable Systems**

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• A Luenberger observer with feedback matrix  $\tilde{L} = \begin{pmatrix} \tilde{L}_1 \\ \tilde{L}_2 \end{pmatrix}$  is of the form:

$$\begin{pmatrix} \dot{\tilde{z}}_1 \\ \dot{\tilde{z}}_2 \end{pmatrix} = \begin{pmatrix} \tilde{A}_{11} & \tilde{A}_{12} - \tilde{L}_1 \tilde{C}_2 \\ 0 & \tilde{A}_{22} - \tilde{L}_2 \tilde{C}_2 \end{pmatrix} \begin{pmatrix} \tilde{z}_1 \\ \tilde{z}_2 \end{pmatrix} + \begin{pmatrix} \tilde{B}_1 \\ \tilde{B}_2 \end{pmatrix} u + \begin{pmatrix} \tilde{L}_1 \\ \tilde{L}_2 \end{pmatrix} y$$

- Assume  $\tilde{L}_2$  chosen such that  $\sigma(\tilde{A}_{22} \tilde{L}_2\tilde{C}_2)$  have negative real part
- $-\dot{e}(t) = (A LC)e \quad \Rightarrow \quad \sigma(A LC) = \sigma(\tilde{A} \tilde{L}\tilde{C}) = \sigma(\tilde{A}_{11}) \cup \sigma(\tilde{A}_{22} \tilde{L}_2\tilde{C}_2)$
- The error  $e(t) \to 0$  iff  $\sigma(\tilde{A}_{11})$  have negative real part (system is detectable)
- We can compute  $L = T\tilde{L}$ ,  $\tilde{L}_1$  can be anything, e.g.  $\tilde{L}_1 = 0$

# **Topic Outline**

#### Observability

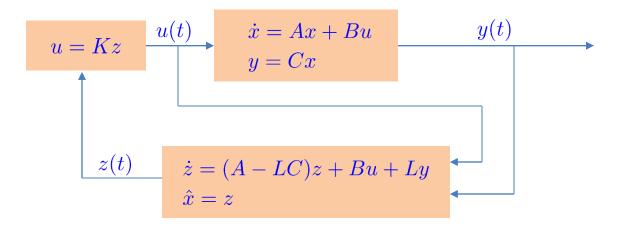
- Observability Definition
- Unobservable Subspace
- Luenberger Observer
- Detectability
- Dynamic Feedback

#### **Motivation**

• We will now consider a more complete LTI state space model:

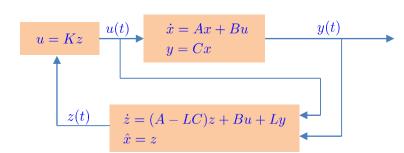
$$\dot{x} = Ax + Bu, \quad x \in \mathbb{R}^n, \ u \in \mathbb{R}^m$$
  
 $y = Cx, \qquad y \in \mathbb{R}^p$ 

- Goal: design a controller such that the closed loop system is asymptotically stable
- Approach: combine state observer with state feedback



## **Closed Loop Analysis**

- We will now consider a more complete LTI state space model:  $\dot{x} = Ax + Bu$ , y = Cx
- Goal: design a controller such that the closed loop system is asymptotically stable
- The observer is of the form:  $\dot{z} = (A LC)z + Bu + Ly$
- What are the closed loop system dynamics?

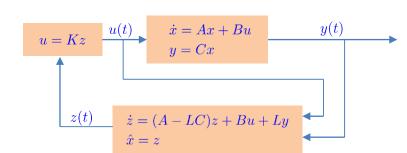


## Closed Loop Analysis (cont'd)

- We will now consider a more complete LTI state space model:  $\dot{x} = Ax + Bu$ , y = Cx
- Goal: design a controller such that the closed loop system is asymptotically stable
- The observer is of the form:  $\dot{z} = (A LC)z + Bu + Ly$
- The closed loop system is of the form:

$$\begin{pmatrix} \dot{x} \\ \dot{z} \end{pmatrix} = \begin{pmatrix} A & BK \\ LC & A - LC + BK \end{pmatrix} \begin{pmatrix} x \\ z \end{pmatrix} \implies \dot{x}_{cl} = A_{cl} x_{cl}$$

- The closed loop system is asymp. stable iff  $\forall \lambda \in \sigma(A_c l)$ , Re  $\{\lambda\}$  < 0
- What are the closed loop eigenvalues, i.e.  $\sigma(A_{cl})$ ?



## Closed Loop Analysis – New Basis

- We will now consider a more complete LTI state space model:  $\dot{x} = Ax + Bu$ , y = Cx
- The observer is of the form:  $\dot{z} = (A LC)z + Bu + Ly$
- The closed loop system is of the form:

$$\begin{pmatrix} \dot{x} \\ \dot{z} \end{pmatrix} = \begin{pmatrix} A & BK \\ LC & A - LC + BK \end{pmatrix} \begin{pmatrix} x \\ z \end{pmatrix} \Rightarrow \dot{x}_{cl} = A_{cl} x_{cl}$$

• What are the closed loop eigenvalues, i.e.  $\sigma(A_{cl})$ ?

## Separation Principle

- We will now consider a more complete LTI state space model:  $\dot{x} = Ax + Bu$ , y = Cx
- The observer is of the form:  $\dot{z} = (A LC)z + Bu + Ly$
- The closed loop system is of the form:

$$\begin{pmatrix} \dot{x} \\ \dot{z} \end{pmatrix} = \begin{pmatrix} A & BK \\ LC & A - LC + BK \end{pmatrix} \begin{pmatrix} x \\ z \end{pmatrix} \implies \dot{x}_{cl} = A_{cl} x_{cl}$$

• Analyzing the system in a basis defined by  $\begin{pmatrix} x \\ z \end{pmatrix} = \begin{pmatrix} I & 0 \\ I & -I \end{pmatrix} \begin{pmatrix} x \\ e \end{pmatrix}$ :

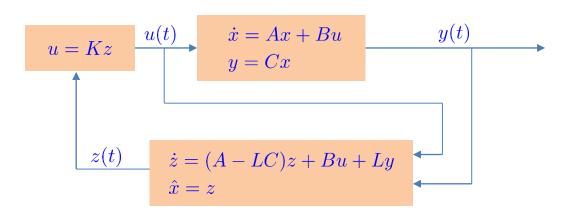
$$\begin{pmatrix} \dot{x} \\ \dot{e} \end{pmatrix} = \begin{pmatrix} A + BK & -BK \\ 0 & A - LC \end{pmatrix} \begin{pmatrix} x \\ e \end{pmatrix} \quad \Rightarrow \quad \dot{\tilde{x}}_{cl} = \tilde{A}_{cl}\tilde{x}_{cl}$$

- We can see the closed loop eigenvalues are  $\sigma(A_{cl}) = \sigma(\tilde{A}_{cl}) = \sigma(A + BK) \cup \sigma(A LC)$ 
  - We can simply design the observer and state feedback separately!
  - This is known as the **Separation Principle**

## Separation Principle – Design

- We will now consider a more complete LTI state space model:  $\dot{x} = Ax + Bu$ , y = Cx
- The observer is of the form:  $\dot{z} = (A LC)z + Bu + Ly$
- The controller is of the form: u = Kz
- The closed loop eigenvalues are  $\sigma(A_{cl}) = \sigma(\tilde{A}_{cl}) = \sigma(A + BK) \cup \sigma(A LC)$
- What location of the poles give us good performance?
  - Several ways to approach this
  - One technique is for the observer eigenvalues to be much faster (less than) the controller eigenvalues:

$$\lambda_{obs} \ll \lambda_{ctr}$$
 for all  $\lambda_{obs} \in \sigma(A - LC)$ ,  $\lambda_{ctr} \in \sigma(A + BK)$ 

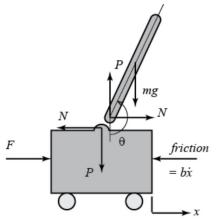


#### **Inverted Pendulum Example**

• Let's consider an inverted pendulum pushed by a cart, the **linearized dynamics** are as follows:

$$\begin{pmatrix} \dot{x} \\ \dot{v} \\ \dot{\phi} \\ \dot{\omega} \end{pmatrix} = \begin{pmatrix} 0 & 1 & 0 & 0 \\ 0 & \frac{-(I+ml^2)b}{I(M+m)+Mml^2} & \frac{m^2gl^2}{I(M+m)+Mml^2} & 0 \\ 0 & 0 & 0 & 1 \\ 0 & \frac{-mlb}{I(M+m)+Mml^2} & \frac{mgl(M+m)}{I(M+m)+Mml^2} & 0 \end{pmatrix} \begin{pmatrix} x \\ v \\ \phi \\ \omega \end{pmatrix} + \begin{pmatrix} 0 \\ \frac{I+ml^2}{I(M+m)+Mml^2} \\ 0 \\ \frac{ml}{I(M+m)+Mml^2} \end{pmatrix} u$$

$$y = \begin{pmatrix} x \\ \phi \end{pmatrix} = \begin{pmatrix} 1 & 0 & 0 & 0 \\ 0 & 0 & 1 & 0 \end{pmatrix} \begin{pmatrix} x \\ v \\ \phi \\ \omega \end{pmatrix}$$



M (cart mass)	$0.5~\mathrm{kg}$
b (cart friction)	$0.1~\mathrm{N/m/s}$
I (pendulum inertia)	0.006  kgm2

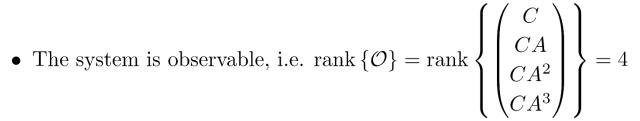
	m (pendulum mass)	$0.2 \mathrm{\ kg}$
	m (pendulum mass) $l$ (pend. length to center)	$0.3 \mathrm{m}$
ı		

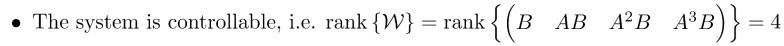
### Inverted Pendulum Example – Obs. And Controllability

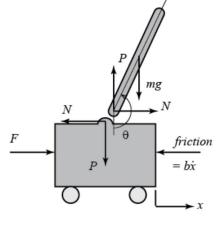
• Let's consider an inverted pendulum pushed by a cart, the **linearized dynamics** are as follows:

$$\begin{pmatrix} \dot{x} \\ \dot{v} \\ \dot{\phi} \\ \dot{\omega} \end{pmatrix} = \begin{pmatrix} 0 & 1 & 0 & 0 \\ 0 & -0.1818 & 2.6727 & 0 \\ 0 & 0 & 0 & 1 \\ 0 & -0.4545 & 31.182 & 0 \end{pmatrix} \begin{pmatrix} x \\ v \\ \phi \\ \omega \end{pmatrix} + \begin{pmatrix} 0 \\ 1.8182 \\ 0 \\ 4.5455 \end{pmatrix} u$$

$$y = \begin{pmatrix} x \\ \phi \end{pmatrix} = \begin{pmatrix} 1 & 0 & 0 & 0 \\ 0 & 0 & 1 & 0 \end{pmatrix} \begin{pmatrix} x \\ v \\ \phi \\ \omega \end{pmatrix}$$

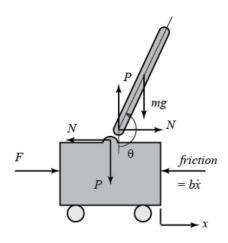






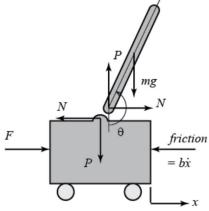
# Inverted Pendulum Example – Controller Design

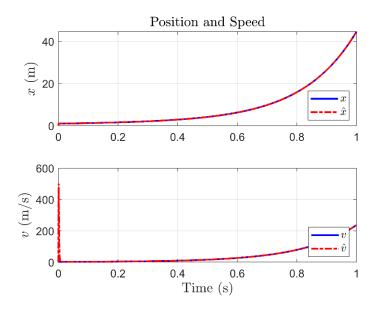
- Let's consider an inverted pendulum pushed by a cart
- The controller is composed of an observer and a regulator:

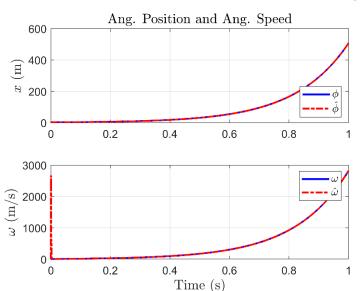


## Inverted Pendulum Example – Open Loop Results

- Let's consider an inverted pendulum pushed by a cart
- The controller is composed of an observer and a regulator:

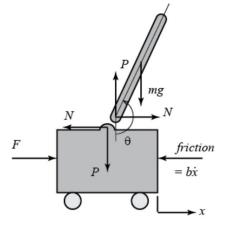


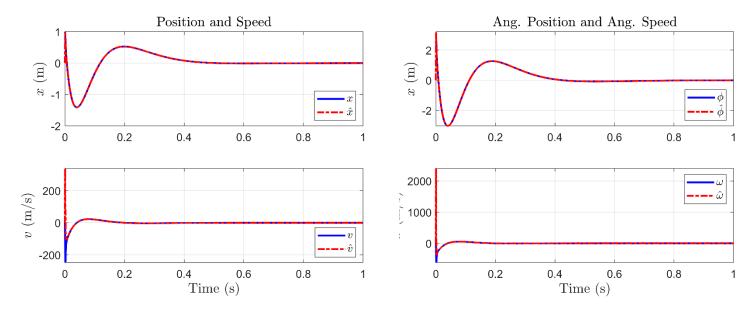




## Inverted Pendulum Example – Closed Loop Results

- Let's consider an inverted pendulum pushed by a cart
- The controller is composed of an observer and a regulator:





#### **Summary**

- We have discussed state feedback design for state space systems with the goal of asymptotically stabilizing a system (controllability and stabilizability)
- When the states are not available for measurement, we can develop a state estimator/observer (observability and detectability)
- We can then combine the observer and controller to develop a dynamic feedback for asymptotic stabilization
- By the **separation principle** the observer and controller can be designed separately