

# Guaranteed Nonlinear Model Predictive Control via Validated Simulation

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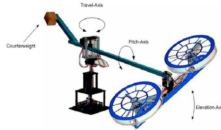
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# Context



## Scientific issues

- Need strong guarantees (critical systems)
- Unsafe and less reliable controllers

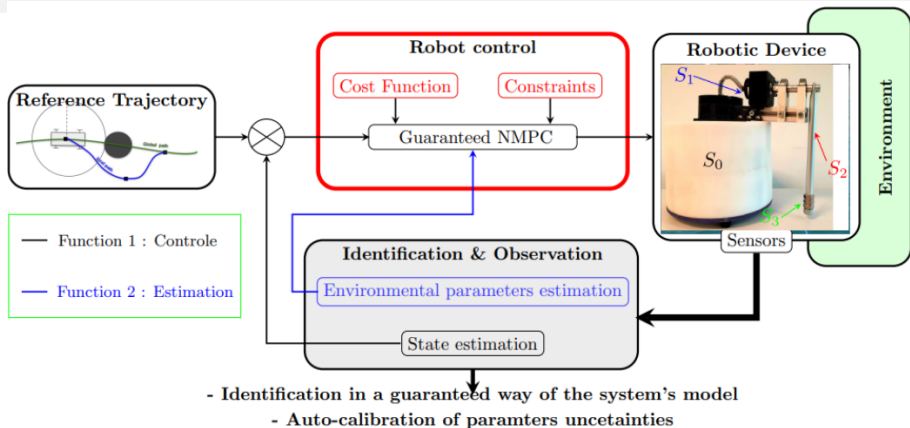
## Challenges

- Complex dynamics (nonlinear ODEs)
- Uncertain models and environment

## Scientific objectives of the presentation

- Estimation of dynamic behavior using interval arithmetic
- Synthesis of reliable and constrained controllers robust to uncertainties

# Main contributions

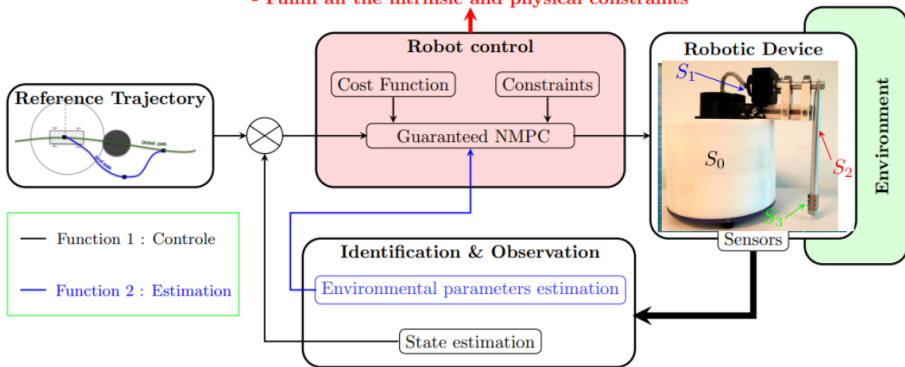


- **Addressed topics :**

- I. The accurate model requires a **guaranteed identification** handling all system modeling and design uncertainties

# Main contributions

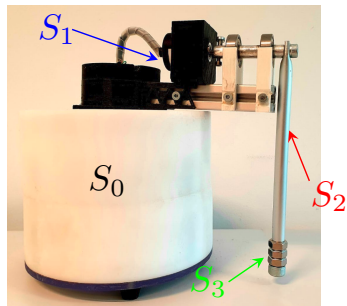
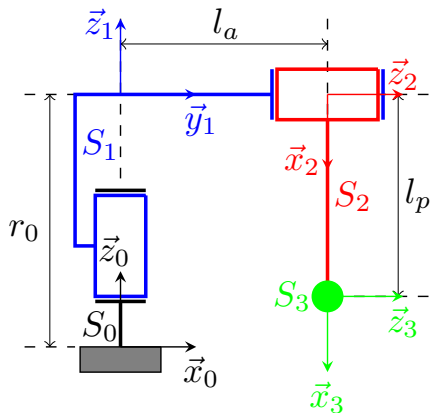
- Control in a guaranteed way
- Fulfill all the intrinsic and physical constraints



## • Addressed topics :

- I. The accurate model requires a **guaranteed identification** handling all system modeling and design uncertainties
- II. Synthesis of a **guaranteed and validated NMPC control** based on this well-identified dynamic model

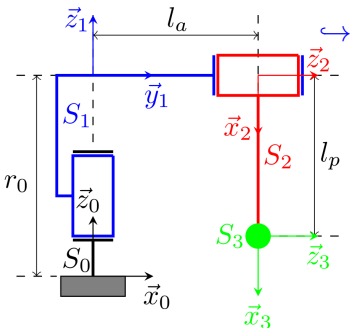
# Preliminary Experimental Device



# Outline

- 1 Part I : Guaranteed Dynamic Parameters Identification
- 2 Part II : Reliable NMPC via Validated Simulation
- 3 Conclusion and Future Works

# Recall of the Dynamic Modeling



The dynamics of the robot is given by the nonlinear equation

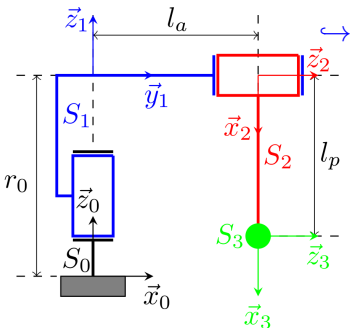
$$\Gamma = M\ddot{q} + B(q, \dot{q}) + Q(q),$$

$$M(q) = \begin{bmatrix} \mu_1 \sin(q_2)^2 + \mu_2 & \mu_3 \cos(q_2) \\ \mu_3 \cos(q_2) & \mu_4 \end{bmatrix},$$

$$\Gamma = \begin{bmatrix} \tau - f_{v1} \dot{q}_1 \\ -f_{v2} \dot{q}_2 \end{bmatrix}, \quad Q(q) = \begin{bmatrix} 0 \\ \mu_g \sin(q_2) \end{bmatrix},$$

$$B(q, \dot{q}) = \begin{bmatrix} -\mu_3 \sin(q_2) \dot{q}_2^2 + 2\mu_1 \cos(q_2) \sin(q_2) \dot{q}_1 \dot{q}_2 \\ -\mu_1 \cos(q_2) \sin(q_2) \dot{q}_1^2 \end{bmatrix},$$

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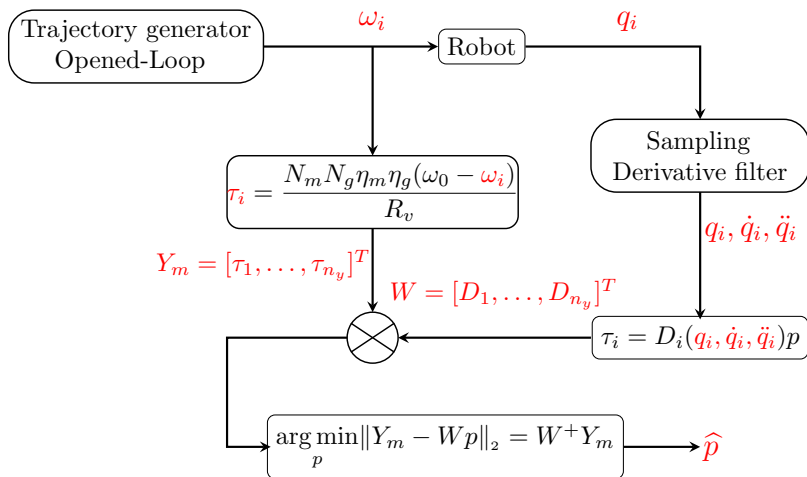
↪ This inverse dynamic model can simply be written as,

$$y_m = f(q, \dot{q}, \ddot{q}, p),$$

$$p = [\mu_1, \mu_2, \mu_3, \mu_4, \mu_g, f_{v1}, f_{v2}] \in \mathbb{R}^{n_p=7}$$



# (1) Identification with Classical Least Square Method (LSMI)



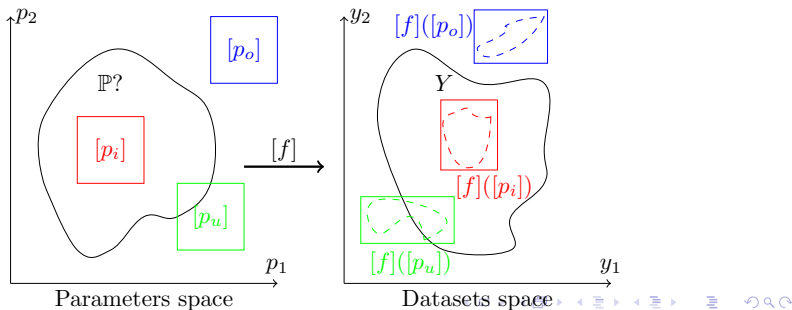
## (2) Guaranteed Identification with bounded-error framework

### Identification based on Interval Analysis and Set-Inversion tools

- Interval analysis yields methods to compute intervals in place of real numbers.
- Enclosing uncertainties coming from the system modeling and manufacturing.
- SIVIA algorithm is used to find the set of all possible viscous friction coefficients.

### Hypothesis

Uncertainties and errors are bounded with known prior bounds



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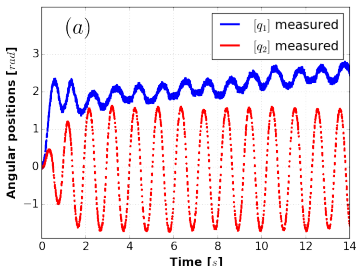
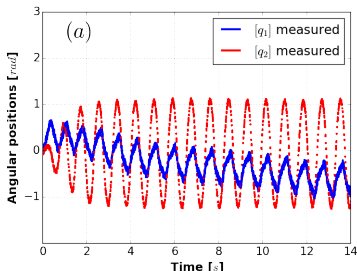
$$\mathbb{P}_i = \left\{ \begin{array}{l} \mathbf{p} \in [\mathbf{p}] \mid \exists q(i) \in [\mathbf{q}](i), \exists \dot{q}(i) \in [\dot{\mathbf{q}}](i), \exists \ddot{q}(i) \in [\ddot{\mathbf{q}}](i) \\ \text{s.t. } f(q(i), \dot{q}(i), \ddot{q}(i), \mathbf{p}) \in [\mathbf{y}](i) \end{array} \right\}$$

### A set of feasible dynamic parameters

$$\hat{\mathbb{P}} = \bigcap_{i=1}^n \mathbb{P}_i = f^{-1}([\mathbf{Y}]) \cap [\mathbf{p}]$$

## Experiments

To allow high accurate identification, **two data acquisition were recorded (#1 and #2)**, with **significant dynamics**, at the sampling period of 16ms.

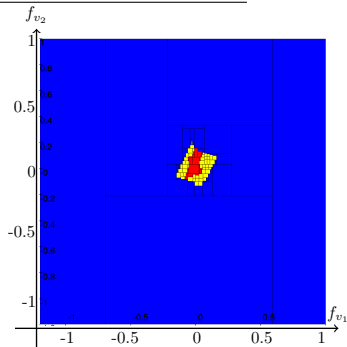
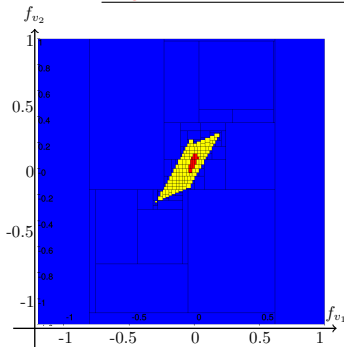


Symbol	Values with #1	Values with #2	CAD Values
$\mu_1$ [kg.m <sup>2</sup> ]	$1.04082e^{-3}$	$1.06171e^{-3}$	$1.18152e^{-3}$
$\mu_2$ [kg.m <sup>2</sup> ]	$2.56211e^{-3}$	$2.37309e^{-3}$	$2.55064e^{-3}$
$\mu_3$ [kg.m <sup>2</sup> ]	$8.21e^{-4}$	$8.29e^{-4}$	$7.59e^{-4}$
$\mu_4$ [kg.m <sup>2</sup> ]	$1.31781e^{-3}$	$1.19171e^{-3}$	$1.18152e^{-3}$
$\mu_g$ [kg.m <sup>2</sup> .s <sup>-2</sup> ]	$7.4175e^{-2}$	$7.2591e^{-2}$	$7.3575e^{-2}$
$f_{v1}$ [N.m.s]	$8.13e^{-2}$	$7.02e^{-2}$	—
$f_{v2}$ [N.m.s]	$6.42e^{-4}$	$5.93e^{-4}$	—

Identification results by LSMI method

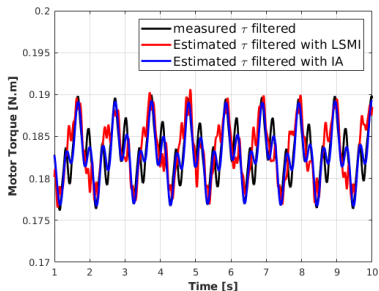
# Experiments

Symbol	Mean value	Uncertainty
$\mu_1 [kg.m^2]$	$1.09468e^{-3}$	$\pm 12\%$
$\mu_2 [kg.m^2]$	$2.49528e^{-3}$	$\pm 12\%$
$\mu_3 [kg.m^2]$	$8.03e^{-4}$	$\pm 10\%$
$\mu_4 [kg.m^2]$	$1.23035e^{-3}$	$\pm 12\%$
$\mu_g [kg.m^2.s^{-2}]$	$7.3447e^{-2}$	$\pm 15\%$



$$[f_{v1}] \times [f_{v2}] = [0.043012, 0.13002] \times [0.000454, 0.001174]$$

## Results Validation - via Cross-Validation



↪ The RMSE is around **6.4% with LSMI** against **2.6% with IA method**, which indicates a reliable fit and a good coherence when the variables uncertainties are accounted.

$$\text{RMSE} = \sqrt{\frac{1}{n} \sum_{i=1}^n (\tau_i - \hat{\tau}_i)^2}$$

## Results Validation - via Dynlbex Library

→ Consider an IVP for nonlinear ODEs, over the time interval  $[0, T]$

$$\begin{cases} \dot{x}(t) = \mathbf{f}(t, x(t), u(t), \mathbf{p}) \\ x_0 \in [\mathbf{x}_0] \subseteq \mathbb{R}^4 \\ u_0 \in [\mathbf{u}_0] \subseteq \mathbb{R} \end{cases}$$

This IVP (Cauchy problem) has a unique solution  $x(t; x_0; u_0)$  if  $\mathbf{f} : \mathbb{R}^n \rightarrow \mathbb{R}^n$  is Lipschitz in  $x$  and  $u$ , but for our purpose we suppose  $\mathbf{f}$  smooth enough, i.e., of class  $C^k$

### Purpose

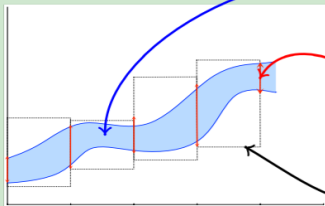
Solve in a guaranteed way ODEs from sets of initial values and bounded parameters

## Results Validation - via Dynlbex Library

### Goal of validated numerical integration (Dynlbex solver)

- Compute a sequence of time instants :  $t_0 = 0 < t_1 < \dots < t_n = T$
- Compute a sequence of values :  $[x_0], \dots, [x_n]$  such that  $\forall i \in [0, n], x(t_i; x_0; u_0) \in [x_i]$
- and a sequence  $[\tilde{x}_0], \dots, [\tilde{x}_{n-1}]$  such that  $\forall i \in [0, n-1], x(t; x_0; u_0) \in [\tilde{x}_i], \forall t \in [t_i, t_{i+1}]$

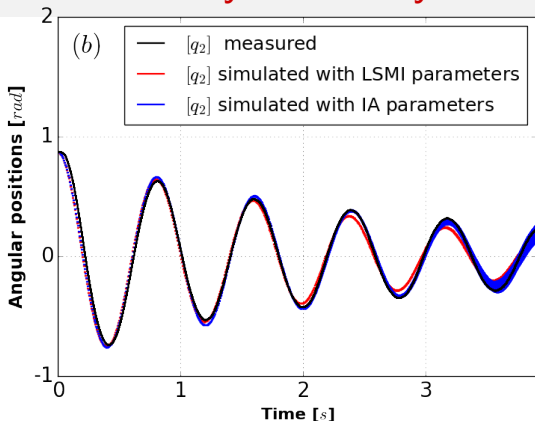
### Example



- Exact solution of  $\dot{x} = f(x)$  with  $x(0) \in \mathcal{X}$ .
- Safe approximation at discrete time instants.
- Safe approximation between time instants.



## Results Validation - via Dynlbex Library

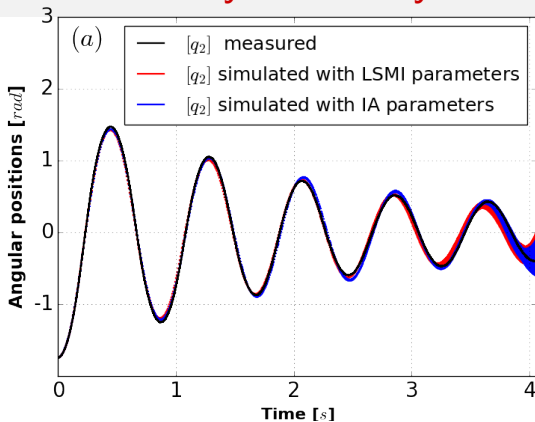


$$[\mathbf{X}_0] = \underbrace{[0^\circ, 0^\circ]}_{[x_1]} \times \underbrace{[0, 0]}_{[x_2]} \times \underbrace{[46^\circ, 50^\circ]}_{[x_3]} \times \underbrace{[0, 0]}_{[x_4]} \quad \text{and} \quad [\mathbf{U}_0] = [0.15Nm, 0.18Nm]$$

$$\text{Coverage ratio} = \frac{N_q}{N_t} \times 100$$

Scenario	(b)
With IA method	61%
With LSMI method	34%

## Results Validation - via Dynlbex Library



$$[\mathbf{X}_0] = \underbrace{[0^\circ, 0^\circ]}_{[x_{10}]} \times \underbrace{[0, 0]}_{[x_{20}]} \times \underbrace{[-98^\circ, -100^\circ]}_{[x_{30}]} \times \underbrace{[0, 0]}_{[x_{40}]} \quad \text{and} \quad [\mathbf{U}_0] = [0Nm, 0Nm]$$

$$\text{Coverage ratio} = \frac{N_q}{N_t} \times 100$$

Scenario	(a)
With IA method	51%
With LSMI method	38%

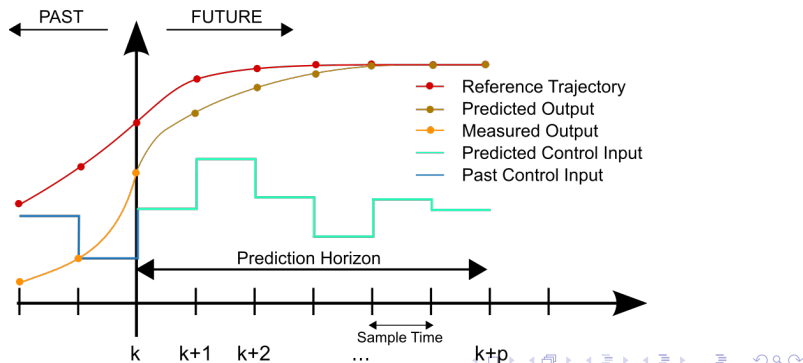
# Outline

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# General Concept of NMPC Control

Starting from measurements at time  $t$  :

- 1 Prediction over an horizon  $T_p = N_p \times T_c$  ( $N_p$  the number of pre-computed inputs and  $T_c$  the control sampling time)
- 2 Computation of optimal inputs  $U = \{u_1, \dots, u_{N_p}\}$
- 3 Only the first input  $u_1$  is injected into the system
- 4  $t = t + T_p$  (sliding) and goto 1



# Optimization Cost Function

The mathematical formulation is :

$$\text{Find } \hat{u}(\cdot) = \underset{u(\cdot)}{\operatorname{argmin}} J(x(t), u(\cdot))$$

Subject to :

$$\begin{aligned} \dot{x}(t) &= \mathbf{f}(t, x(t), u(t)) \\ u(t) &\in \mathbb{U}, \quad \forall t \geq 0 \\ x(t) &\in \mathbb{X}, \quad \forall t \geq 0 \end{aligned}$$

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The continuous cost function can be derived as,

$$J(x(t), u(\cdot)) = \int_t^{t+T_p} F(x(\tau), u(\tau)) d\tau$$

$F$  is in general a quadratic function such that :

$$F(x, u) = (x - x_r)^T \mathbf{Q} (x - x_r) + u^T \mathbf{R} u$$

## Guaranteed numerical integration : Runge-Kutta methods

↪ Consider an IVP for nonlinear ODEs, over the time interval  $[0, T]$

$$\begin{cases} \dot{x}_t = \mathbf{f}(t, x_t, u, [\mathbf{p}]) \\ x_0 \in [\mathbf{x}_0] \subseteq \mathbb{IR}^4 \\ u \in [\mathbf{u}] \subseteq \mathbb{IR} \end{cases}$$

- A **standard numerical integration method** computes a sequence of values  $(t_j, x_j)_{j \in \mathbb{N}}$  approximating the solution of the ODE such that  $x_{j+1} \approx \mathbf{f}(t_j, x_j, u)$
- s-stage Runge-Kutta methods is defined by the following recurrence ( $h$  : time-step) :

$$k_i = \mathbf{f}(t_0 + c_i h, x_j + h \sum_{k=1}^s a_{ik} k_k, u) \qquad x_{j+1} = x_j + h \sum_{k=1}^s b_k k_k$$

The coefficient  $c_i$ ,  $a_{ik}$  and  $b_k$  characterize the Runge-Kutta methods and their are usually synthesized in a *Butcher tableau*

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- The purpose of a **validated** or **guaranteed numerical integration method** is to compute the sequence of boxes  $(t_j, [\mathbf{x}_j])_{j \in \mathbb{N}}$  such that  $[\mathbf{x}_{j+1}] \supseteq [\mathbf{f}](t_j, [\mathbf{x}_j], [\mathbf{u}])$   
 ⇒ **Dynlbex library is developed for this purpose**



## Validated NMPC - Global Approach

- Based on two stages :
  - Filtering and branching** : uses the **validated simulation methods** to compute the  $N_p$  guaranteed inputs  $\mathbf{U} = [\mathbf{u}_1] \times [\mathbf{u}_2] \times \dots \times [\mathbf{u}_{N_p}]$  ensuring **state variables constraints** ( $x_i \in [\mathbf{x}_i]$ ) and **convergence to the reference set** ( $x_i \rightarrow [\mathbf{x}_r]$ ) (Dynlbex)
  - Interval optimization** : from safe input boxes, the optimization stage aims to compute the **sub-optimal input interval** that minimizes as much as we can the formulated interval cost-function

```

Require :  $[\mathbf{x}_r], [\mathbf{x}_0], N_p, T_p, T_c, T_f;$ 
while  $t \leq T_f$  do
  acquire ( $[\mathbf{x}_t]$ );
   $\mathbf{U} = \text{Filtering}([\mathbf{U}], [\mathbf{x}_t], [\mathbf{x}_r], T_c);$ 
   $\hat{\mathbf{u}}_1 = \text{Optimization}([\mathbf{U}], [\mathbf{x}_t], [\mathbf{x}_r]);$ 
  send( $\hat{\mathbf{u}}_1$ );
   $t = t + T_c;$ 
end
  
```

# (1) Filtering and branching

## Main algorithm

### ■ Inputs

- ▶ the initial conditions interval  $[\mathbf{x}_0]$
- ▶ the set-point interval  $[\mathbf{x}_r]$
- ▶ NMPC parameters  $N_p, T_c, T_p$
- ▶ Simulation time  $T_f$
- ▶ input bounds, i.e.,  $\forall k, u_{\min} \leq u_k \leq u_{\max}$
- ▶ state bounds, i.e.,  $\forall t, x_{\min} \leq x_t \leq x_{\max}$
- ▶ initial control box (actuator's bounds)  $[\mathbf{U}] = [\mathbf{u}_1] \times \dots \times [\mathbf{u}_{N_p}]$

### ■ The main steps are (in a loop) :

- ① **validated simulation** of the IVP-ODE to compute the new state domain over the sampling time  $T_c$ ,  $[\mathbf{x}_{t+T_c}] = [\mathbf{f}](t, [\mathbf{x}_t], [\mathbf{u}_k])$
- ② if  $[\mathbf{x}_{t+T_c}] \subseteq [\mathbf{x}_r]$ , so  $k = k + 1$ ,  $[\mathbf{x}_t] = [\mathbf{x}_{t+T_c}]$ ,  $t = t + T_c$  and goto 1
- ③ else successive bisections of the input interval  $[\mathbf{u}_k]$  to minimize its width
- ④ Re-starting **validated simulation**, one side of bisected intervals is kept by considering these criteria :
  - (i) a branch leading to unsafe state is removed (i.e.,  $[\mathbf{x}_{t+T_c}] \not\subseteq [x_{\min}, x_{\max}]$ )
  - (ii) a branch leading to a state far from the reference interval  $[\mathbf{x}_r]$  is eliminated
  - (iii) a branch leading to the opposite "ways" is avoided (sensitivity analysis)
- ⑤  $k = k + 1$ ,  $[\mathbf{x}_t] = [\mathbf{x}_{t+T_c}]$ ,  $t = t + T_c$  and goto 1

## (2) Interval Optimization

- NMPC needs to evaluate the integral of the interval cost function expressed from safe computed control box and state intervals at each prediction horizon  $N_p$
- Using rectangle rule, we can write :

$$\begin{aligned}
 J(y, u) &= \int_t^{t+T_p} \left[ (x(\tau) - x_r)^T \mathbf{Q} (x(\tau) - x_r) + u(\tau)^T \mathbf{R} u(\tau) \right] d\tau \\
 &= \sum_{k=1}^{N_p} \int_{t+(i-1)T_c}^{t+iT_c} \left[ (x(\tau) - x_r)^T \mathbf{Q} (x(\tau) - x_r) \right] d\tau + T_c \sum_{i=1}^{N_p} \left[ u_k^T \mathbf{R} u_k \right] \\
 &\in T_c \sum_{k=1}^{N_p} [\tilde{x}_k]^T \mathbf{Q} [\tilde{x}_k] + T_c \sum_{k=1}^{N_p} [u_k]^T \mathbf{R} [u_k] \\
 &\leq ub \left\{ T_c \sum_{k=1}^{N_p} \left[ [\tilde{x}_k]^T \mathbf{Q} [\tilde{x}_k] + [u_k]^T \mathbf{R} [u_k] \right] \right\}
 \end{aligned}$$

## (2) Interval Optimization

Main algorithm of the optimization procedure :

```

Require :  $[\mathbf{x}_r], [\mathbf{x}_1], \dots, [\mathbf{x}_{N_p}], [\mathbf{u}_1], \dots, [\mathbf{u}_{N_p}], Tol;$ 
while  $w([\mathbf{u}_1]) \geq Tol$  do
   $[\mathbf{U}]_{left} = [\mathbf{u}_1]_l \times [\mathbf{u}_2] \times \dots \times [\mathbf{u}_{N_p}];$ 
   $[\mathbf{U}]_{right} = [\mathbf{u}_1]_r \times [\mathbf{u}_2] \times \dots \times [\mathbf{u}_{N_p}];$ 
  if  $J([\mathbf{X}], [\mathbf{U}]_{left}) \geq J([\mathbf{X}], [\mathbf{U}]_{right})$  then
     $[\mathbf{U}] = [\mathbf{U}]_{right};$ 
  else
     $[\mathbf{U}] = [\mathbf{U}]_{left};$ 
  end
end
 $\hat{u}_1 = \min[lb([\mathbf{u}_1]), ub([\mathbf{u}_1])];$ 
send  $(\hat{u}_1);$ 

```

Sub-optimal solution

But robust to uncertainties!

# Experiments results of the Validated NMPC

## Inverted pendulum constraints and NMPC parameters

- Parameters for NMPC :

$$N_p = 10, T_c = 0.01, T_p = 0.1 \text{ and } T_f = 0.4$$

- State and Input constraints :

$$\forall t : \begin{aligned} x_1(t) &\in [-\pi, \pi] \\ x_2(t) &\in [-40, 40] \\ x_3(t) &\in [-\pi, \pi] \\ x_4(t) &\in [-50, 50] \\ u &\in [-8.1, 8.1] \end{aligned}$$

- Goal :

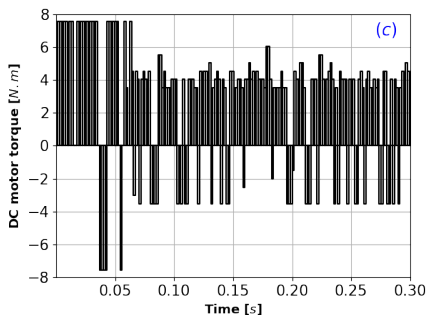
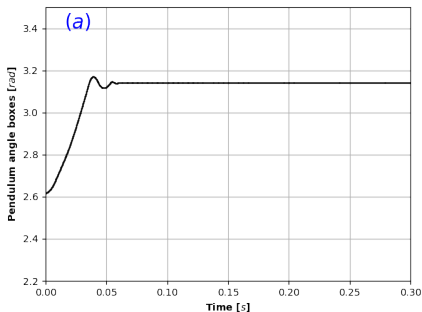
$$q_2 \in [\pi - 0.1, \pi + 0.1]$$

- Weighing matrices :

$$\mathbf{R} = 0.5 \quad \text{and} \quad \mathbf{Q} = \text{diag}[1000, 1000, 1000, 1000]$$

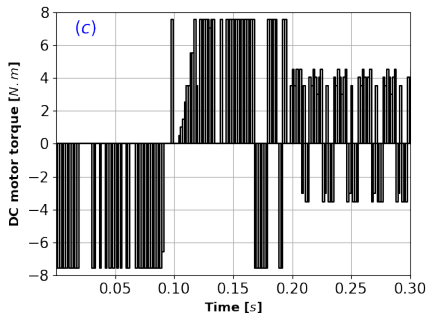
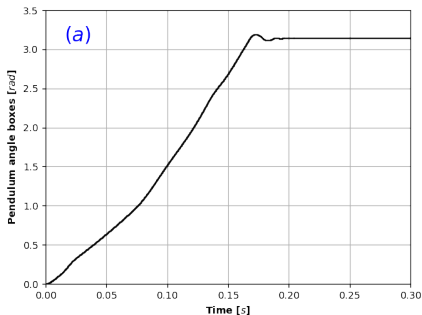
# Experiments results of the Validated NMPC

Validated NMPC results starting from  $[\mathbf{x}_{3_0}] = [149^\circ, 151^\circ]$



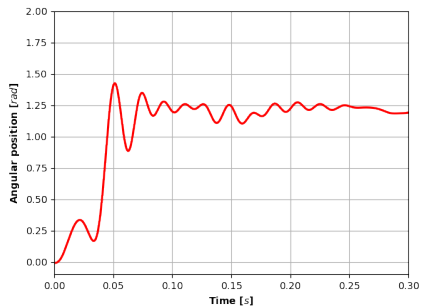
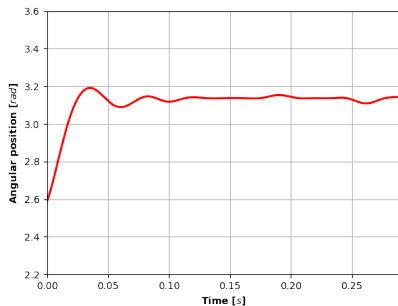
# Experiments results of the Validated NMPC

Validated NMPC results starting from  $[\mathbf{x}_{3_0}] = [0^\circ, 4^\circ]$



# Experiments results of the Validated NMPC

Experimental validation using real inverted pendulum



## Advantages of the proposed validated NMPC

☺ Robust to uncertainties ☺ Constraints satisfaction ☺ Optimal controller

## Drawbacks

☹ Huge computation time (real-time problem)



# Outline

- 1 Part I : Guaranteed Dynamic Parameters Identification
- 2 Part II : Reliable NMPC via Validated Simulation
- 3 Conclusion and Future Works**

# Conclusion and Outlook

## Summary

- **Contributions in topic I : Guaranteed identification**
  - Guaranteed identification of dynamic parameters with interval analysis and set-inversion tools
  - Validated numerical integration (Dynlbex) to compute tight enclosures of state variables
- **Contributions in topic II : Guaranteed NMPC**
  - New formulation of a guaranteed NMPC strategy via validated simulation
  - Robust to uncertainties with constraints satisfaction

# Conclusion and Outlook

## Summary

### • Contributions in topic I : Guaranteed identification

- Guaranteed identification of dynamic parameters with interval analysis and set-inversion tools
- Validated numerical integration (Dynlbex) to compute tight enclosures of state variables

### • Contributions in topic II : Guaranteed NMPC

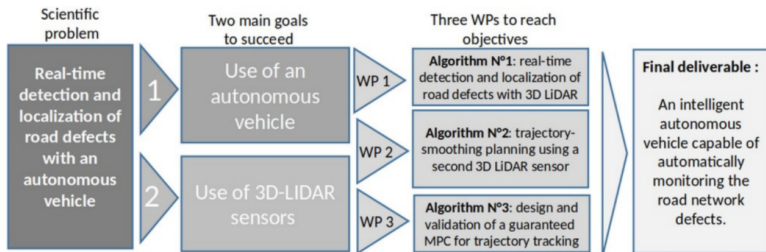
- New formulation of a guaranteed NMPC strategy via validated simulation
- Robust to uncertainties with constraints satisfaction

## Future Works

- Real-time improvements (efficient onboard-GPU, distributed computing and relaxation methods )
- Projection of all our algorithms on a complex systems (e.g., underwater robot)
- On-line estimation and self-calibration of the environment parameters via Interval Arithmetic (i.e., aerodynamics coefficients)

# Projet ANR JCJC - AutoROAD (submitted)

## Autonomous RObotic System for Detection AAnd Location of Pavement Defects : Application to Road Network State Evaluation



## References

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# Thank you for your attention 😊

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