Construction of Control Lyapunov Functions for a Class of Nonlinear Systems

CAI Xiu-Shan[1] HAN Zheng-Zhi[2] WANG Xiao-Dong[1]

[1](*College of Information Science and Engineering, Zhejiang Normal University, Jinhua* 321004)

[2](*Department of Automation, Shanghai Jiaotong University, Shanghai* 200030)

(E-mail: xiushan@zjnu.cn)

Abstract The construction of control Lyapunov functions for a class of nonlinear systems is considered. We develop a method by which a control Lyapunov function for the feedback linearizable part can be constructed systematically via Lyapunov equation. Moreover, by a control Lyapunov function of the feedback linearizable part and a Lyapunov function of the zero dynamics, a control Lyapunov function for the overall nonlinear system is established.

Key words Nonlinear systems, control Lyapunov functions, semiglobal stabilization, zero dynamics.

1 Introduction

The seemingly obvious concept of a control Lyapunov function (CLF) introduced by Artstein[1] and Sontag[2] has made a tremendous impact on stabilization theory. It converts stability descriptions into tools for solving stabilization tasks. One way to stabilize a nonlinear system is to select a Lyapunov function $V(x)$ and then try to find a feedback control $u(x)$ that renders $\dot{V}(x,u(x))$ negative definite. With an arbitrary choice of $V(x)$ this attempt may fail, but if $V(x)$ is a CLF, there are many control laws that render $\dot{V}(x,u(x))$ negative definite, one of which is given by a formula due to Sontag[3]. The construction of a CLF is a hard problem, which has been solved for special classes of systems. For example, when the system is in the strict feedback form, CLFs can be constructed by backstepping[4]. For a linear system, we have obtained a universal formula to construct CLFs[5].

In this paper, the construction of control Lyapunov functions for a class of nonlinear systems is considered. For the feedback linearizable part, CLFs can be constructed by the method presented in [5]. Based on a CLF of the feedback linearizable part and a Lyapunov function of the zero dynamics, we present a method to obtain a CLF for the overall nonlinear system.

2 System description and preliminaries

Consider a nonlinear system described by

$$\dot{\boldsymbol{z}} = Q(\boldsymbol{z},\boldsymbol{x}) \tag{1a}$$

$$\dot{\boldsymbol{x}} = A\boldsymbol{x} + B[F(\boldsymbol{z},\boldsymbol{x}) + G(\boldsymbol{z},\boldsymbol{x})\boldsymbol{u}] \tag{1b}$$

$$\boldsymbol{y} = C\boldsymbol{x} \tag{1c}$$

where $\boldsymbol{x}\in R^r$, $\boldsymbol{z}\in R^{n-r}$ are the states, $\boldsymbol{u}\in R^m$ is the input, $\boldsymbol{y}\in R^l$ is the output. $Q(\boldsymbol{z},\boldsymbol{x}): R^n\to R^{n-r}$ is smooth. $f_i, g_{ij}: R^n\to R$, are assumed to be smooth with $f_i(0,0)=0, i=1,2,\cdots l$. $F(\boldsymbol{z},\boldsymbol{x}) = [\ f_1(\boldsymbol{z},\boldsymbol{x})\quad f_2(\boldsymbol{z},\boldsymbol{x})\quad\cdots\quad f_l(\boldsymbol{z},\boldsymbol{x})\ ]^{\mathrm{T}}$, $G(\boldsymbol{z},\boldsymbol{x}) = (g_{ij}(\boldsymbol{z},\boldsymbol{x}))_{l\times m}$ and $\mathrm{rank}(G(\boldsymbol{z},\boldsymbol{x})) = l$. $\{r_1, r_2,\cdots r_l\}$ is a vector relative degree of system (1), and $r_1+r_2+\cdots+r_l = r < n$. (1b) has the following cannonical form:

$$A=\mathrm{blockdiag}\{A_1,\cdots,A_l\},\quad A_i=\begin{bmatrix}0&1&\cdots&0\\ \vdots&\vdots&\ddots&\vdots\\ 0&0&\cdots&1\\ 0&0&\cdots&0\end{bmatrix},\quad B=\mathrm{blockdiag}\{B_1,\cdots,B_l\}$$

$$\boldsymbol{B}_i=\begin{bmatrix}0&\cdots&0&1\end{bmatrix}^{\mathrm{T}}_{1\times r_i},\qquad C=\mathrm{blockdiag}\{\boldsymbol{C}_1,\cdots,\boldsymbol{C}_l\},\qquad \boldsymbol{C}_i=\begin{bmatrix}1&0&\cdots&0\end{bmatrix}_{1\times r_i}.$$

From Isidori[6], if an affine nonlinear system

$$\begin{cases}\dot{\boldsymbol{x}} = f(\boldsymbol{x}) + g(\boldsymbol{x})\boldsymbol{u}\\ \boldsymbol{y} = h(\boldsymbol{x})\end{cases} \tag{2}$$

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has relative degree $r < n$ for any $\boldsymbol{x} \in R^n$, and the distribution $G = \text{span}(g(\boldsymbol{x}))$ is involutive, then there exists a global diffeomorphism on R^n that transforms system (2) into system (1).

The dynamics of

$$\dot{\boldsymbol{z}} = Q(\boldsymbol{z}, 0) \tag{3}$$

is said to be the zero dynamics of system (1).

Assume M is an analytic $n-$dimensional manifold. Let $V : M \to R^+$ be a differential function. V is said to be positive definite on M if $V(\boldsymbol{x}) > 0$, $\boldsymbol{x} \in M - \{0\}$ and $V(\boldsymbol{0}) = 0$; V is said to be proper if $V(\boldsymbol{x}) \to \infty$ as $\|\boldsymbol{x}\| \to \infty$.

Definition 1. If there exists a differential, proper and positive definite function $V : M \to R^+$ such that

$$\inf_{\boldsymbol{u}} (L_{\boldsymbol{f}} V(\boldsymbol{x}) + L_g V(\boldsymbol{x})\boldsymbol{u}) < 0 \tag{4}$$

for each $\boldsymbol{x} \in M - \{0\}$, then $V(\boldsymbol{x})$ is said to be a control Lyapunov function (CLF) for system (2) on M.

Assumption 1. For system (3), there exists an open set $\Lambda \subset R^{n-r}$, a nonnegative real number $h > 1$, and a differential function $U : \Lambda \to R^+$ such that the set $\{\boldsymbol{z} : U(\boldsymbol{z}) \leqslant h+1\}$ is a compact subset of Λ, and we have

$$\dot{U}(\boldsymbol{z}) \leqslant -\phi_1(\boldsymbol{z}) \tag{5}$$

where $\phi_1(\boldsymbol{z})$ is continuous on Λ and positive definite on the set $\{\boldsymbol{z} : U(\boldsymbol{z}) \leqslant h+1\}$.

Lemma[7]**.** Let E be a compact set in a product space $R^m \times R^n$, and denote by E_z and E_x its respective projections (*i.e.*, $E \subset E_{\boldsymbol{z}} \times E_{\boldsymbol{x}}$). Let $\chi(\boldsymbol{z})$ be a continuous real function on E_z which is positive definite on the projection of the set $\{(\boldsymbol{z}, \boldsymbol{x}) : \boldsymbol{x} = 0\} \cap E$. Let $\psi(\boldsymbol{x})$ be a continuous real function on $E_{\boldsymbol{x}}$ which is positive definite on $E_{\boldsymbol{x}}/\{0\}$. Let $\xi(\boldsymbol{z}, \boldsymbol{x})$ be a continuous real function on E which satisfies $\xi(\boldsymbol{z}, \boldsymbol{x}) = 0$ for any $(\boldsymbol{z}, \boldsymbol{x}) \in \{(\boldsymbol{z}, \boldsymbol{x}) : \boldsymbol{x} = 0\} \cap E$. let κ be a function of class-K_∞. There exists a positive real number K_* such that for all $K \geqslant K_*$,

$$-\chi(\boldsymbol{z}) - \kappa(K)\psi(\boldsymbol{x}) + \xi(\boldsymbol{z}, \boldsymbol{x}) < 0, \forall (\boldsymbol{z}, \boldsymbol{x}) \in E \tag{6}$$

3 Main results

Consider system (1b). Divide A_i and B_i into their block forms as follows:

$$A_i = \begin{bmatrix} A_{i-1} & A_{i2} \\ 0 & 0 \end{bmatrix}, \text{ where } A_{i-1} = \begin{bmatrix} 0 & 1 & \cdots & 0 \\ \vdots & \vdots & \ddots & \vdots \\ 0 & 0 & \cdots & 1 \\ 0 & 0 & \cdots & 0 \end{bmatrix}, \boldsymbol{A}_{i2} = \begin{bmatrix} 0 \\ \vdots \\ 0 \\ 1 \end{bmatrix}, \boldsymbol{B}_i = \begin{bmatrix} 0 \\ \vdots \\ 0 \\ 1 \end{bmatrix}.$$

Assume $\beta_{i1}, \beta_{i2}, \cdots, \beta_{i,r_{i-1}}$ are the coefficients of a Hurwitz polynomial

$$\lambda^{r_i-1} + \beta_{i,r_i-1}\lambda^{r_i-2} + \cdots + \beta_{i2}\lambda + \beta_{i1} \tag{7}$$

Let $p_{i3} > 0$, $\boldsymbol{P}_{i2} \in R^{r_i-1}$, $\boldsymbol{p}_{i3}^{-1}\boldsymbol{P}_{i2}^{\mathrm{T}} = \begin{bmatrix} \beta_{i1} & \beta_{i2} & \cdots & \beta_{i,r_i-1} \end{bmatrix}$. Then

$$A_{i-1} - \boldsymbol{A}_{i2}\boldsymbol{p}_{i3}^{-1}\boldsymbol{P}_{i2}^{\mathrm{T}} = \begin{bmatrix} 0 & 1 & \cdots & 0 \\ \vdots & \vdots & \ddots & \vdots \\ 0 & 0 & \cdots & 1 \\ -\beta_{i1} & -\beta_{i2} & \cdots & -\beta_{i,r_i-1} \end{bmatrix}$$

is a Hurwitz matrix. Thus Lyapunov equation

$$S_{r_i-1}(A_{i-1} - \boldsymbol{A}_{i2}\boldsymbol{p}_{i3}^{-1}\boldsymbol{P}_{i2}^{\mathrm{T}}) + (A_{i-1} - \boldsymbol{A}_{i2}\boldsymbol{p}_{i3}^{-1}\boldsymbol{P}_{i2}^{\mathrm{T}})^{\mathrm{T}} S_{r_i-1} = -KF_i \tag{8}$$

has a unique positive definite solution S_{r_i-1} for an arbitrary positive definite matrix F_i and $K > 0$. Let $P_{r_i-1} = S_{r_i-1} + p_{i3}^{-1}P_{i2}P_{i2}^{\mathrm{T}}$. For $i = 1, 2 \cdots l$, then each P_{r_i-1} is positive definite.

Since $\det \begin{bmatrix} P_{r_i-1} & \boldsymbol{P}_{i2} \\ \boldsymbol{P}_{i2}^{\mathrm{T}} & p_{i3} \end{bmatrix} = p_{i3}\det[P_{r_i-1} - p_{i3}^{-1}\boldsymbol{P}_{i2}\boldsymbol{P}_{i2}^{\mathrm{T}}] = p_{i3}\det[S_{r_i-1}] > 0$, $P_i = \begin{bmatrix} P_{r_i-1} & \boldsymbol{P}_{i2} \\ \boldsymbol{P}_{i2}^{\mathrm{T}} & p_{i3} \end{bmatrix}$ is positive definite provided that P_{r_i-1} is positive definite.

Use block matrix to express x^{T}, that is,

$$\boldsymbol{x}^{\mathrm{T}} = \begin{bmatrix} \boldsymbol{x}_1^{\mathrm{T}} & \boldsymbol{x}_2^{\mathrm{T}} & \cdots & \boldsymbol{x}_l^{\mathrm{T}} \end{bmatrix}, \boldsymbol{x}_i^{\mathrm{T}} = \begin{bmatrix} \boldsymbol{x}_{i,r_i-1}^{\mathrm{T}} & x_{i,r_i} \end{bmatrix}, \boldsymbol{x}_{i,r_i-1}^{\mathrm{T}} = \begin{bmatrix} x_{i1} & x_{i2} & \cdots & x_{i,r_i-1} \end{bmatrix}, i = 1, 2 \cdots l.$$

Denote $P = \text{blockdiag}\ \{P_1, \cdots, P_l\}$, and

$$V(\boldsymbol{x}) = \boldsymbol{x}^{\mathrm{T}} P \boldsymbol{x} \tag{9}$$

Let

$$\dot{\boldsymbol{x}} = A\boldsymbol{x} + B\boldsymbol{v} \tag{10}$$

Theorem 1. $V(\boldsymbol{x}) = \boldsymbol{x}^{\mathrm{T}} P \boldsymbol{x}$ is a CLF for system (10) on R^r.

Theorem 2. $V(\boldsymbol{x}) = \boldsymbol{x}^{\mathrm{T}} P \boldsymbol{x}$ is a CLF for system (1b) on R^r.

Proofs of these Theorems are similar to that of Theorem 1 given in [5], so they are omitted.

In order to give Theorem 3, for any given $c > 0$, denote $S_1 = \{\boldsymbol{x} : V(\boldsymbol{x}) < c+1\} \times \{\boldsymbol{z} : U(\boldsymbol{z}) < h+1\}$. Define the function

$$W(\boldsymbol{z}, \boldsymbol{x}) = \frac{hU(\boldsymbol{z})}{h+1-U(\boldsymbol{z})} + \frac{cV(\boldsymbol{x})}{c+1-V(\boldsymbol{x})} \tag{11}$$

Then $W(\boldsymbol{z}, \boldsymbol{x}) : S_1 \to R^+$ is proper on S_1.

Theorem 3. If system (1) satisfies Assumption 1, then $W(\boldsymbol{z}, \boldsymbol{x}) : S_1 \to R^+$ is a CLF for system (1) on $S = \{(\boldsymbol{z}, \boldsymbol{x}) : W(\boldsymbol{z}, \boldsymbol{x}) \leqslant c^2 + h^2 + 1\}$.

Proof. Assume $W(\boldsymbol{z}, \boldsymbol{x}) \leqslant c^2 + h^2 + 1$. This implies

$$V(\boldsymbol{x}) \leqslant (c+1)\frac{c^2+h^2+1}{c^2+h^2+1+c}, U(\boldsymbol{z}) \leqslant (h+1)\frac{c^2+h^2+1}{c^2+h^2+1+h} \tag{12}$$

From (12), we get, when $W(\boldsymbol{z}, \boldsymbol{x}) \leqslant c^2 + h^2 + 1$,

$$\frac{c}{c+1} \leqslant \frac{c(c+1)}{(c+1-V)^2} \leqslant \frac{(c^2+h^2+1+c)^2}{c(c+1)} \tag{13}$$

$$\frac{h}{h+1} \leqslant \frac{h(h+1)}{(h+1-U)^2} \leqslant \frac{(c^2+h^2+1+h)^2}{h(h+1)} \tag{14}$$

By (12) and Assumption (1), the set S is compact. Also, from (12) the projections of S satisfy

$$S_{\boldsymbol{x}} \subset \{\boldsymbol{x} : V(\boldsymbol{x}) < c+1\}, S_{\boldsymbol{z}} \subset \{\boldsymbol{z} : U(\boldsymbol{z}) < h+1\} \tag{15}$$

Let $f(\boldsymbol{z}, \boldsymbol{x}) = \begin{bmatrix} Q(\boldsymbol{z}, \boldsymbol{x}) \\ A\boldsymbol{x} + BF(\boldsymbol{z}, \boldsymbol{x}) \end{bmatrix}, g(\boldsymbol{z}, \boldsymbol{x}) = \begin{bmatrix} 0 \\ BG(\boldsymbol{z}, \boldsymbol{x}) \end{bmatrix}$. Then we have

$$L_f W(\boldsymbol{z}, \boldsymbol{x}) = \frac{h(h+1)}{(h+1-U(\boldsymbol{z}))^2}\frac{\partial U}{\partial \boldsymbol{z}} Q(\boldsymbol{z}, \boldsymbol{x}) + \frac{c(c+1)}{(c+1-V(\boldsymbol{x}))^2}\frac{\partial V}{\partial x}(A\boldsymbol{x} + BF(\boldsymbol{z}, \boldsymbol{x})) \tag{16}$$

$$L_g W(\boldsymbol{z}, \boldsymbol{x}) = \frac{c(c+1)}{(c+1-V(\boldsymbol{x}))^2}\frac{\partial V}{\partial \boldsymbol{x}}(BG(\boldsymbol{z}, \boldsymbol{x})) \tag{17}$$

Let $\boldsymbol{X}_{r-l}^{\mathrm{T}} = \begin{bmatrix} \boldsymbol{X}_{1,r_1-1}^{\mathrm{T}} & \boldsymbol{X}_{2,r_2-1}^{\mathrm{T}} & \cdots & \boldsymbol{X}_{l,r_l-1}^{\mathrm{T}} \end{bmatrix}$, $F = \text{block diag} \begin{bmatrix} F_1 & F_2 & \cdots & F_l \end{bmatrix}$.

By Theorem 1, when $\dfrac{\partial V(\boldsymbol{x})}{\partial x} B = 0$, we have

$$\boldsymbol{x}^{\mathrm{T}}(PA + A^{\mathrm{T}} P)\boldsymbol{x} = -K\boldsymbol{X}_{r-l}^{\mathrm{T}} F \boldsymbol{X}_{r-l} \tag{18}$$

Since $\text{rank}(G(\boldsymbol{z}, \boldsymbol{x})) = l$, by (17) we have

$$L_g W(\boldsymbol{z}, \boldsymbol{x}) = 0 \Rightarrow \frac{\partial V}{\partial \boldsymbol{x}} B = 0 \tag{19}$$

By (14),(16), and (18), we get, when $L_g W(\boldsymbol{z}, \boldsymbol{x}) = 0, \boldsymbol{x} \neq 0$,

$$\begin{aligned} L_f W(\boldsymbol{z}, \boldsymbol{x}) =& \frac{h(h+1)}{(h+1-U(\boldsymbol{z}))^2}\frac{\partial U}{\partial \boldsymbol{z}} Q(\boldsymbol{z}, \boldsymbol{x}) + \frac{c(c+1)}{(c+1-V(\boldsymbol{x}))^2}\boldsymbol{x}^{\mathrm{T}}(PA + A^{\mathrm{T}} P)\boldsymbol{x} = \\ & \frac{h(h+1)}{(h+1-U(\boldsymbol{z}))^2}\frac{\partial U}{\partial \boldsymbol{z}} Q(\boldsymbol{z}, \boldsymbol{x}) - K\frac{c(c+1)}{(c+1-V(\boldsymbol{x}))^2}\boldsymbol{X}_{r-l}^{\mathrm{T}} F \boldsymbol{X}_{r-l} \end{aligned} \tag{20}$$

In view of (11), (12) and Assumption 1, then

$$L_fW(\boldsymbol{z},\boldsymbol{x})\leqslant -\frac{Kc}{c+1}\boldsymbol{X}_{r-l}^{\mathrm{T}}F\boldsymbol{X}_{r-l}+\frac{(c^2+h^2+1+h)^2}{h(h+1)}|\frac{\partial U(\boldsymbol{z})}{\partial \boldsymbol{z}}(Q(\boldsymbol{z},\boldsymbol{x})-Q(\boldsymbol{z},\boldsymbol{0}))|-\frac{h(h+1)}{(h+1-U(\boldsymbol{z}))^2}\phi_1(\boldsymbol{z}) \tag{21}$$

Let us define

$$\chi(\boldsymbol{z})=\frac{h(h+1)}{2(h+1-U(\boldsymbol{z}))^2}\phi_1(\boldsymbol{z}),\quad \psi(\boldsymbol{x})=\frac{Kc}{2(c+1)}\boldsymbol{X}_{r-l}^{\mathrm{T}}F\boldsymbol{X}_{r-l}$$
$$\kappa=K,\quad \xi(\boldsymbol{z},\boldsymbol{x})=\frac{(c^2+h^2+1+h)^2}{h(h+1)}|\frac{\partial U(\boldsymbol{z})}{\partial \boldsymbol{z}}(Q(\boldsymbol{z},\boldsymbol{x})-Q(\boldsymbol{z},\boldsymbol{0}))| \tag{22}$$

From Assumption 1, $\chi(\boldsymbol{z})$ is continuous on $S_{\boldsymbol{z}}$ and positive definite on the projection of the set $\{(\boldsymbol{z},\boldsymbol{x}):\boldsymbol{x}=\boldsymbol{0}\}\cap S$. Since $x_{ir_i}=-\boldsymbol{X}_{i,r_i-1}^{\mathrm{T}}P_{i2}p_{i3}^{-1}, i=1,2\cdots l$, $\psi(\boldsymbol{x})$ is positive definite on $S_{\boldsymbol{x}}/\{0\}$. From (22), it follows that $\psi(\boldsymbol{x})$ is continuous on S_x, and $\xi(\boldsymbol{z},\boldsymbol{x})=0$, for any $(\boldsymbol{z},\boldsymbol{x})\in\{(\boldsymbol{z},\boldsymbol{x}):\boldsymbol{x}=\boldsymbol{0}\}\cap S$. This demonstrates that the conditions of Lemma are satisfied. It follows that there exists a positive real number K_* such that for all $K\geqslant K_*$,

$$\xi(\boldsymbol{z},\boldsymbol{x})<\chi(\boldsymbol{z})+K\psi(\boldsymbol{x}),\forall(\boldsymbol{z},\boldsymbol{x})\in S \tag{23}$$

From (20)∼(22), we get, when $L_gW(\boldsymbol{z},\boldsymbol{x})=0,\boldsymbol{x}\neq 0$,

$$L_fW(\boldsymbol{z},\boldsymbol{x})\leqslant -\frac{Kc}{2(c+1)}\boldsymbol{X}_{r-l}^{\mathrm{T}}F\boldsymbol{X}_{r-l}-\frac{h(h+1)}{2(h+1-U(\boldsymbol{z}))^2}\phi_1(\boldsymbol{z}) \tag{24}$$

Let $\phi(\boldsymbol{z},\boldsymbol{x})=\dfrac{Kc}{2(c+1)}\boldsymbol{X}_{r-l}^{\mathrm{T}}F\boldsymbol{X}_{r-l}+\dfrac{h(h+1)}{2(h+1-U(\boldsymbol{z}))^2}\phi_1(\boldsymbol{z})$. From (24), when $L_gW(\boldsymbol{z},\boldsymbol{x})=0,\boldsymbol{x}\neq 0$, $L_{\boldsymbol{f}}W(\boldsymbol{z},\boldsymbol{x})\leqslant-\phi(\boldsymbol{z},\boldsymbol{x})$. From (22) and (23), we have $\phi(\boldsymbol{z},\boldsymbol{x})$ is continuous on S_1, positive definite on S.

On the other hand, from Assumption 1, when $L_gW(\boldsymbol{z},\boldsymbol{x})=0,\boldsymbol{x}=0,\boldsymbol{z}\neq\boldsymbol{0}$, $L_{\boldsymbol{f}}W(\boldsymbol{z},\boldsymbol{x})=\dfrac{h(h+1)}{(h+1-U(\boldsymbol{z}))^2}\dfrac{\partial U}{\partial \boldsymbol{z}}Q(\boldsymbol{z},0)\leqslant-\dfrac{h}{h+1}\phi_1(\boldsymbol{z})$. In conclusion, $L_{\boldsymbol{f}}W(\boldsymbol{z},\boldsymbol{x})<0$, for $L_gW(\boldsymbol{z},\boldsymbol{x})=0,(\boldsymbol{z},\boldsymbol{x})\neq 0$. Thus $W(\boldsymbol{z},\boldsymbol{x})$ is a CLF for system (1) on S.

4 Conclusion

The construction of control Lyapunov functions for a class of nonlinear systems is considered. We develop a method by which a control Lyapunov function for the feedback linearizable part can be constructed systematically *via* Lyapunov equation. Moreover, by a control Lyapunov function of the feedback linearizable part and a Lyapunov function of the zero dynamics, a control Lyapunov function for the overall nonlinear system is established.

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CAI Xiu-Shan Received her Ph. D. degree from Shanghai Jiaotong University in 2005. She is an associate professor at Zhejiang Normal University. Her research interests include nonlinear control and its applications.

HAN Zheng-Zhi Professor at Department of Automation, Shanghai Jiaotong University. His research interests include robotics, computer vision, and nonlinear control and its applications.

WANG Xiao-Dong Professor at Zhejiang Normal University. His research interests include robotics, computer vision, and nonlinear control and its applications.