

Darboux-type Barrier Certificates for Safety Verification of Nonlinear Hybrid Systems

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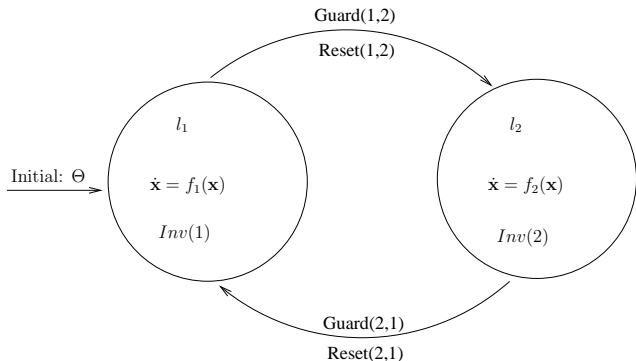
Joint work with Xia Zeng, Zhengfeng Yang, Xin Chen and Lilei Wang

Hybrid Systems

Hybrid System = Discrete Transitions + Continuous Evolutions

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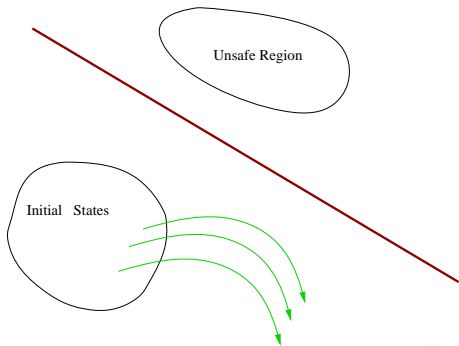


Safety Verification of Hybrid Systems

Given a hybrid system \mathbf{H} with:

- an initial region $\Theta \subseteq R^n$,
- an unsafe region $X_u \subseteq R^n$.

Problem: Verify whether all trajectories of \mathbf{H} that start at arbitrary $\mathbf{x}_0 \in \Theta$, can not enter the unsafe region X_u .



Verification approaches

- Reachability Analysis:

- Exact reachable set: Quantifier elimination.

[G. Lafferriere et al. '00, '01; A. Tiwari et al. '03]

- Approximate reachable set: ellipsoidal, polyhedra, support function, level set...

[A. Kurzanski and P. Varaiya '00; T. Dang et al. '11,'12,'13; C. Guernic and A. Girard '09; C.J. Tomlin '03; D. Henrion and M. Korda '14]

- Deductive Verification:

- Invariant-based method

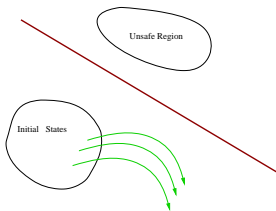
[A. Tiwari '08,'11; A. Platzer '09; S. Sankaranarayanan '08, '10; N. Zhan et al. '11; Z. Yang et al. '15]

- Barrier certificate method

[S. Prajna et al. '04,'06,'07; H. Kong et al. '13; L. Dai et al. '16]

Barrier Certificates for Safety Verification

Idea: construct a barrier between the safe and unsafe areas:

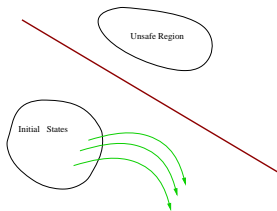


Challenges:

- How to define a new barrier certificate from different verification conditions
- How to compute barrier certificates **efficiently**

Barrier Certificates for Safety Verification

Idea: construct a barrier between the safe and unsafe areas:



Challenges:

- How to define a new barrier certificate from different verification conditions
- How to compute barrier certificates **efficiently**
- **This work:** Generate the new barrier certificate based on Darboux polynomial.

Darboux Polynomial

Definition (Lie Derivative)

For a vector field $F : \langle f_1, \dots, f_n \rangle$, the Lie derivative of a smooth function $p(\mathbf{x})$ is given by

$$\mathcal{L}_F(p) = (\nabla p) \cdot F = \sum_{i=1}^n \left(\frac{\partial p}{\partial x_i} \cdot f_i \right).$$

Definition (Darboux polynomial)

A polynomial $p \in \mathbb{R}[\mathbf{x}]$ is called a Darboux polynomial w.r.t F if and only if

$$\mathcal{L}_F(p) = c \cdot p, \quad c \in \mathbb{R}[\mathbf{x}].$$

$p(\mathbf{x})$ is known as a first integral if $c \equiv 0$.

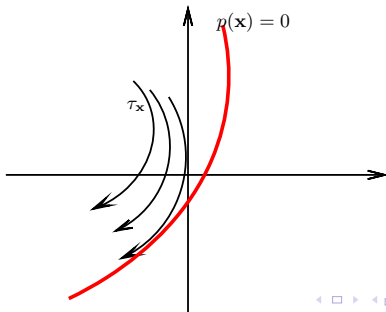
Darboux Polynomial

Key Property

$$\mathcal{L}_F(p) = c \cdot p$$



$$p(\mathbf{x}_0) \geq 0 \Rightarrow p(\mathbf{x}(t)) \geq 0, \quad t > 0$$



Define Darboux-type Barrier Certificates

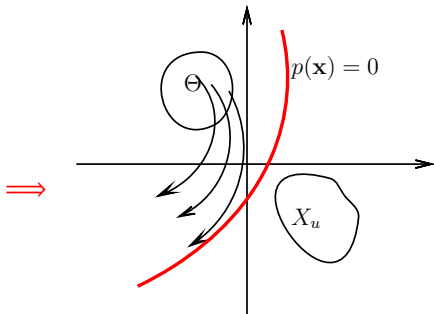
Given a continuous system S with the unsafe region X_u , the barrier certificate of S is a function $p(\mathbf{x})$ satisfying

- ◇ $p(\mathbf{x})$ is a Darboux polyn.
- ◇ $\Theta \models p(\mathbf{x}) \geq 0$
- ◇ $X_u \models p(\mathbf{x}) < 0$

Define Darboux-type Barrier Certificates

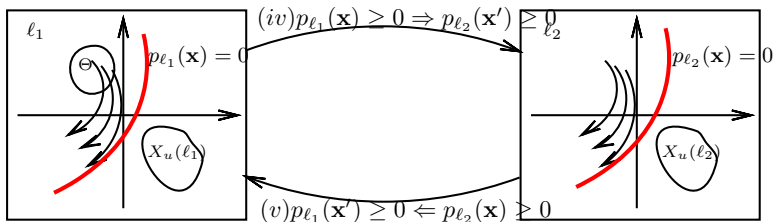
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Define Darboux-type Barrier Certificates

Given a hybrid system H with an unsafe region $X_u(\ell)$, the barrier certificate of H is a set of functions $\{p_\ell(\mathbf{x})\}$, which satisfying



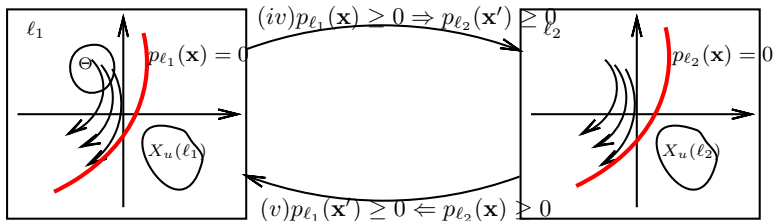
$$(i) p_{\ell_1}(\mathbf{x}) \geq 0, \forall \mathbf{x} \in \Theta$$

$$(ii) p_{\ell_1}(\mathbf{x}) < 0, \forall \mathbf{x} \in X_u(\ell_1)$$

$$(iii) p_{\ell_2}(\mathbf{x}) < 0, \forall \mathbf{x} \in X_u(\ell_2)$$

Define Darboux-type Barrier Certificates

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$$(ii) p_{\ell_1}(\mathbf{x}) < 0, \forall \mathbf{x} \in X_u(\ell_1)$$

$$(iv) p_{\ell_1}(\mathbf{x}) \geq 0 \Rightarrow p_{\ell_2}(\mathbf{x}') \geq 0 \xrightarrow{\text{relax}} \exists \lambda_{\ell_1, \ell_2} \geq 0 : p_{\ell_2}(\mathbf{x}') - \lambda_{\ell_1, \ell_2} p_{\ell_1}(\mathbf{x}) \geq 0$$

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Safety Verification of Continuous Systems

- ◇ $p(\mathbf{x})$ is a Darboux polyn.
- ◇ $\Theta \models p(\mathbf{x}) \geq 0$
- ◇ $X_u \models p(\mathbf{x}) < 0$



find $p(\mathbf{x}), c(\mathbf{x}) \in \mathbb{R}[\mathbf{x}]$,
 s.t. $\mathcal{L}_F(p(\mathbf{x})) = c(\mathbf{x})p(\mathbf{x})$,
 $p(\mathbf{x}) \geq 0, \quad \forall \mathbf{x} \in \Theta$,
 $p(\mathbf{x}) < 0, \quad \forall \mathbf{x} \in X_u$.

Computing Darboux polynomial

Let $p(\mathbf{x}) = \mathbf{p}^T \cdot T_p(\mathbf{x})$, $c(\mathbf{x}) = \mathbf{c}^T \cdot T_c(\mathbf{x})$,

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find \mathbf{p}, \mathbf{c}
 s.t. $F(\mathbf{p}, \mathbf{c}) = 0$,
 $p(\mathbf{x}, \mathbf{p}) \geq 0, \quad \forall \mathbf{x} \in \Theta$,
 $p(\mathbf{x}, \mathbf{p}) < 0, \quad \forall \mathbf{x} \in X_u$.

where $F(\mathbf{p}, \mathbf{c}) = [\mathbf{p}^T \cdot M_1 \cdot \mathbf{c} = 0, \dots, \mathbf{p}^T \cdot M_k \cdot \mathbf{c}]^T$, M_i is a **numeric** matrix.

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$F(\mathbf{p}, \mathbf{c}) = 0 \rightarrow$ a quadratic system

$p(\mathbf{x}, \mathbf{p}) \geq 0, \quad \forall \mathbf{x} \in \Theta$
 $p(\mathbf{x}, \mathbf{p}) < 0, \quad \forall \mathbf{x} \in X_u \rightarrow$ universal quantifier constraints

- **Challenge:** solving semi-algebraic systems with parameters is hard!

Computing Darboux polynomial

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- **Challenge:** solving semi-algebraic systems with parameters is hard!
- **Our aim:** reduce computational complexity!

Computing Darboux polynomial

Example 1: Consider the following continuous system

$$\begin{bmatrix} \dot{x}_1 \\ \dot{x}_2 \end{bmatrix} = \begin{bmatrix} -x_1 + 2x_1^2x_2 \\ -x_2 \end{bmatrix},$$

Initial set: $\Theta = \{\mathbf{x} \in \mathbb{R}^2 : 1 \leq x_1 \leq 2 \wedge -2 \leq x_2 \leq -1\}$.

Unsafe region: $X_u = \{\mathbf{x} \in \mathbb{R}^2 : 1 \leq x_1 \leq 2 \wedge 1 \leq x_2 \leq 2\}$.

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Let $p = p_1x_1 + p_2x_2 + p_3$, and

$$c = c_1x_1^2 + c_2x_1x_2 + c_3x_2^2 + c_4x_1 + c_5x_2 + c_6.$$

find \mathbf{p}, \mathbf{c}

$$\text{s.t. } F(\mathbf{p}, \mathbf{c}) = 0,$$

$$p(\mathbf{x}, \mathbf{p}) \geq 0, \quad \forall \mathbf{x} \in \Theta,$$

$$p(\mathbf{x}, \mathbf{p}) < 0, \quad \forall \mathbf{x} \in X_u.$$

$$\left. \vphantom{\begin{matrix} \text{find } \mathbf{p}, \mathbf{c} \\ \text{s.t. } F(\mathbf{p}, \mathbf{c}) = 0, \\ p(\mathbf{x}, \mathbf{p}) \geq 0, \quad \forall \mathbf{x} \in \Theta, \\ p(\mathbf{x}, \mathbf{p}) < 0, \quad \forall \mathbf{x} \in X_u. \end{matrix}} \right\}, \quad \text{where } F = \begin{bmatrix} 2p_1 - c_1p_2 - c_2p_1 \\ -c_2p_3 - c_4p_2 - c_5p_1 \\ \vdots \\ -p_2 - c_5p_3 - c_6p_2 \end{bmatrix}$$

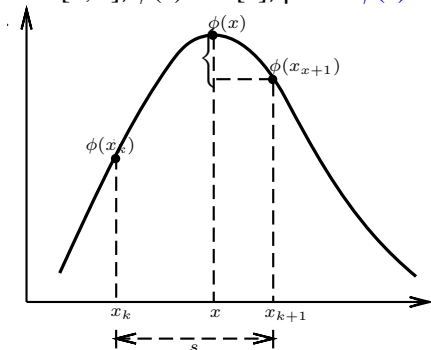
The optimization problem for computing Darboux-type barrier certificate:

$$\# \text{ var}=9, \quad \# \text{ eq}=11, \quad \# \text{ ctr}=2$$

Computing Darboux polynomial

Our idea: Sampling based universal quantifier elimination

Example: Given $\Omega = [a, b]$, $\phi(x) \in \mathbb{R}[x]$, prove $\phi(x) \geq 0 \forall x \in \Omega$.



- For all $x \in \Omega$, $|\phi(x) - \phi(x_k)| \leq \frac{1}{2}ns\eta \triangleq \delta$, $\eta = \sup_{x \in \Omega} \|\nabla\phi(x)\|_{\infty}$.
- $\phi(x) \geq 0, \forall x \in \Omega \xrightarrow{\text{relax}} \phi(x_i) \geq \delta, \forall x_i \in \chi, \chi = \{x_1, x_2, \dots, x_m\}$.
- $s \rightarrow 0 \Rightarrow \delta \rightarrow 0$.
- $\phi(x) \geq 0, \forall x \in \Omega \xrightarrow{\text{approx}} \phi(x_i) \geq 0, \forall x_i \in \chi$ (with small s).

Computing Darboux polynomial

$$\left. \begin{array}{l} \text{find } \mathbf{p}, \mathbf{c} \\ \text{s.t. } F(\mathbf{p}, \mathbf{c}) = \mathbf{0}, \\ \quad p(\mathbf{x}, \mathbf{p}) \geq 0, \quad \forall \mathbf{x} \in \Theta, \\ \quad p(\mathbf{x}, \mathbf{p}) < 0, \quad \forall \mathbf{x} \in X_u. \end{array} \right\}$$

↓ approximate

$$\left. \begin{array}{l} \text{find } \mathbf{p}, \mathbf{c} \\ \text{s.t. } F(\mathbf{p}, \mathbf{c}) = \mathbf{0}, \\ \quad p(\mathbf{x}_{1,i}, \mathbf{p}) \geq b_{1,i}, \quad \forall \mathbf{x}_{1,i} \in \chi_1, \\ \quad p(\mathbf{x}_{2,i}, \mathbf{p}) \leq b_{2,i}, \quad \forall \mathbf{x}_{2,i} \in \chi_2. \end{array} \right\}$$

Computing Darboux polynomial

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[c.f. interior point method, trust-region method...]

Computing Darboux polynomial

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Challenge: The solutions highly depend on the initial values!

Computing Darboux polynomial

Example 1 (cont.)

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where $\mathbf{p} = (p_1, p_2, p_3)^T$, $\mathbf{c} = (c_1, c_2, \dots, c_6)^T$, and $A \in \mathbb{R}^{18 \times 3}$.

Computing Darboux polynomial

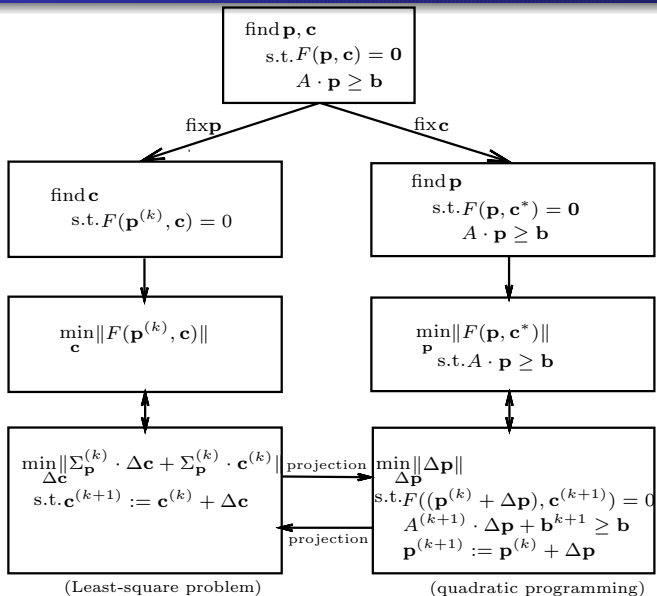
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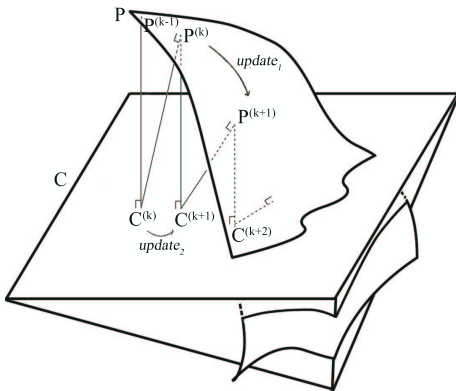
where $\mathbf{p} = (p_1, p_2, p_3)^T$, $\mathbf{c} = (c_1, c_2, \dots, c_6)^T$, and $A \in \mathbb{R}^{18 \times 3}$.

- Select the initial solution \mathbf{p}^0 from the set $[-5, 5]^3$. Call the Matlab Command **fmincon** based on interior-point algorithm.
- After **5000** trials by choosing \mathbf{p}^0 randomly, **fmincon** can not yield any feasible solution.

LS-QP Alternating Projection



LS-QP alternating projection method



P : the manifold defined by $F(\mathbf{p}, \mathbf{c}) = 0$.

C : the polyhedron defined by $A \cdot \mathbf{p} \geq \mathbf{b}$.

Example 2

Consider the polynomial system

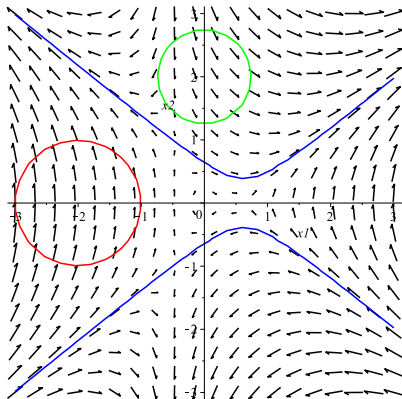
$$\begin{bmatrix} \dot{x}_1 \\ \dot{x}_2 \end{bmatrix} = \begin{bmatrix} x_2 + 2x_1x_2 \\ -x_1 + 2x_1^2 - x_2^2 \end{bmatrix},$$

- Initial set: $\Theta = \{\mathbf{x} \in \mathbb{R}^2 : x_1^2 + (x_2 - 2)^2 \leq \frac{9}{16}\}$.
- Unsafe region: $X_u = \{\mathbf{x} \in \mathbb{R}^2 : (x_1 + 2)^2 + x_2^2 - 1\}$.

Example 2 (cont.)

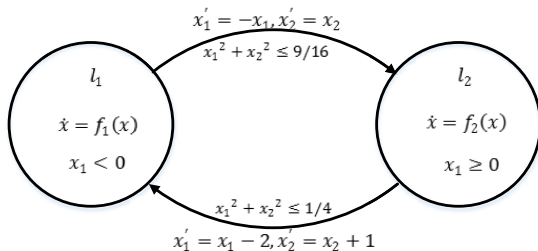
By applying our suggested method, we can obtain the following Darboux-type barrier certificate:

$$p(\mathbf{x}) = 1 - 2x_1 + \frac{8}{5}x_1^2 - \frac{12}{5}x_2^2.$$



Example 3

Consider the the following hybrid system:



where

$$f_1(\mathbf{x}) = \begin{bmatrix} -x_1 + x_1 x_2 \\ -x_2 \end{bmatrix}, \quad f_2(\mathbf{x}) = \begin{bmatrix} -x_1 + 2x_1^2 x_2 \\ -x_2 \end{bmatrix}$$

Initial state: $\Theta = \{(x_1, x_2) \in \mathbb{R}^2 : (x_1 + 2)^2 + (x_2 - 2)^2 \leq 0.25\}$.

Unsafe area: $X_u(l_2) = \{(x_1, x_2) \in \mathbb{R}^2 : (x_1 - 2)^2 + (x_2 - 2)^2 \leq 0.25\}$.

Example 3 (cont.)

By applying our method, we can obtain Darboux-type barrier certificates at locations ℓ_1 and ℓ_2 :

$$p_{\ell_1}(\mathbf{x}) = 0.7332 x_2,$$

$$p_{\ell_2}(\mathbf{x}) = -0.2711 x_1 x_2 + 0.2711,$$

which can verify the safety of the system.

Experiments: Algorithm Performance on Benchmarks

ID	n	deg	LMI		BMI		LS-QP	
			deg(B)	$T(s)$	deg(B)	$T(s)$	deg(p)	$T(s)$
1	2	2	Fail	—	2	0.8744	2	0.650
2	3	2	Fail	—	Fail	—	1	0.485
3	3	2	1	0.3751	1	1.1039	1	0.515
4	2	2	Fail	—	Fail	—	1	0.364
5	3	2	Fail	-	2	5.0523	2	1.633
6	2	2	Fail	—	Fail	—	1	0.315
7	2	2	2	0.2816	2	1.1407	1	0.371
8	2	2	Fail	—	2	1.9511	2	0.923
9	2	3	4	0.4623	2	1.0011	Fail	—
10	4	2	Fail	—	2	10.8846	1	7.050
11	6	2	2	27.2306	2	65.3519	1	14.06

Summary

Summary:

- Construct the Darboux-type barrier certificates for safety verification of hybrid systems
- Present an LS-QP alternating projection method to compute the Darboux-type barrier certificates.

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Future Work:

- Deal with non-polynomial hybrid systems ($\sin, \cos, \exp, \ln, \dots$).

Thank you!