

# Control-oriented modelling - what is it?

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# Today's presentation

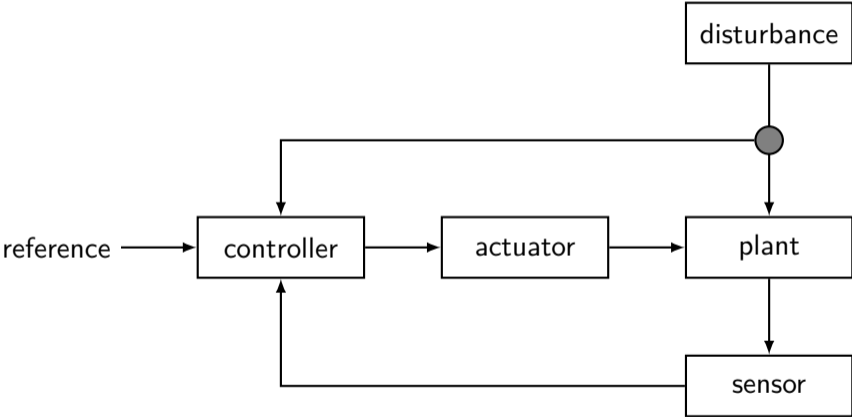
**aim:** what types of models can we use to operate a system,  
and how can we obtain them?

**path:**

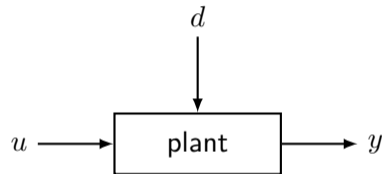
- ① what is control?
- ② what are control-oriented models?
- ③ how can we get control-oriented models from field measurements?

introducing today's ingredients

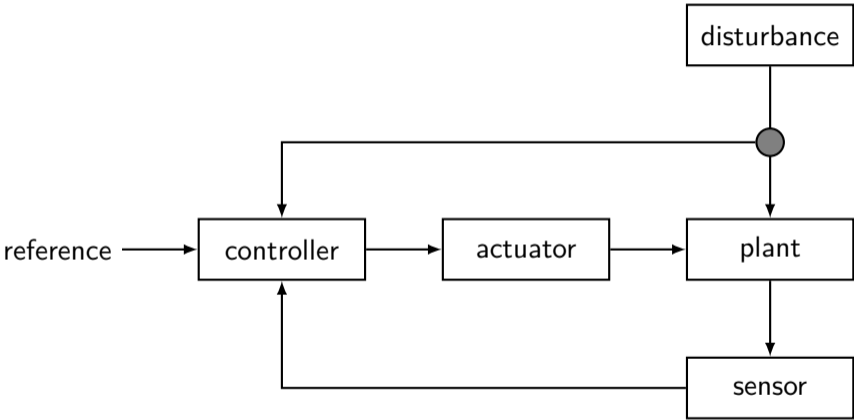
# Controller types - Feedforward-Feedback



What is a model?



# What is a control-oriented model?



## How do we represent a control-oriented model?

Definition of state space representation: *set of first-order differential equations among a finite set of inputs, outputs and state variables satisfying the **separation principle**, i.e., the future output depends only on the current state and the future input*

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Definition of state space representation: *set of first-order differential equations among a finite set of inputs, outputs and state variables satisfying the **separation principle**, i.e., the future output depends only on the current state and the future input*

Implication: the state summarizes the effect of past inputs on future output  
(*sort of a “memory” of the system*)



## State space representations - Example

Rechargeable flashlight:

- input  $u$  = on / off button
- state  $x$  = level of charge of the battery
- output  $y$  = how much light is emitted

## State space representations

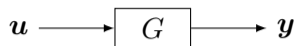
$$\dot{\mathbf{x}} = \mathbf{f}(\mathbf{x}, \mathbf{u}; \theta)$$

$$\mathbf{y} = \mathbf{g}(\mathbf{x}, \mathbf{u}; \theta)$$

$$\mathbf{x}(k+1) = \mathbf{f}(\mathbf{x}(k), \mathbf{u}(k); \theta)$$

$$\mathbf{y}(k) = \mathbf{g}(\mathbf{x}(k), \mathbf{u}(k); \theta)$$

## Definition: linear systems



### Definition (linearity)

$G(\cdot)$  is linear iff  $\forall \alpha_1, \alpha_2, \mathbf{u}_1, \mathbf{u}_2$

$$\mathbf{y} = G(\alpha_1 \mathbf{u}_1 + \alpha_2 \mathbf{u}_2) = \alpha_1 G(\mathbf{u}_1) + \alpha_2 G(\mathbf{u}_2) = \alpha_1 \mathbf{y}_1 + \alpha_2 \mathbf{y}_2$$

## Definition: nonlinear systems

*anything that is not linear*

## Linear vs. nonlinear state-space systems

$$\dot{\mathbf{x}} = A\mathbf{x} + B\mathbf{u}$$

$$\mathbf{y} = C\mathbf{x} + D\mathbf{u}$$

$$\dot{\mathbf{x}} = \mathbf{f}(\mathbf{x}, \mathbf{u}; \theta)$$

$$\mathbf{y} = \mathbf{g}(\mathbf{x}, \mathbf{u}; \theta)$$

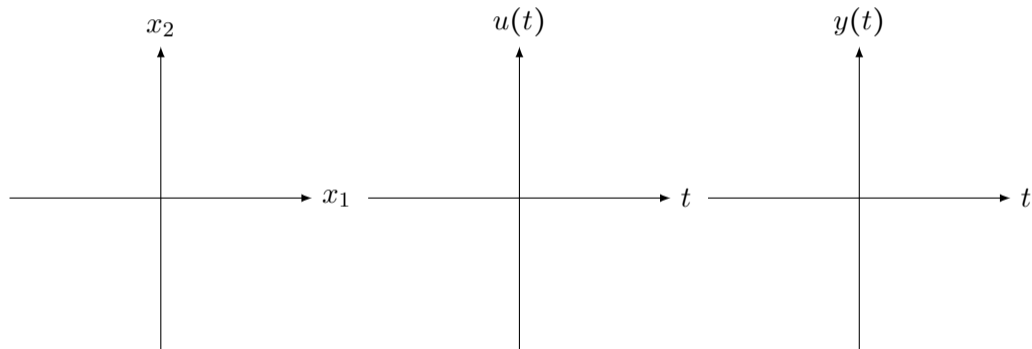
how can we do control?

## Control with linear models (LQR)

$$\begin{cases} \dot{\mathbf{x}} &= A\mathbf{x} + Bu \\ y &= C\mathbf{x} \end{cases}$$

Idea:  $J(y, u) = \rho \|y\|_2^2 + \|u\|_2^2$

$$\|\chi\|_2^2 := \int_0^{+\infty} \chi^2(t) dt$$



# Control with linear models (LQR) - fundamental result

under the simplifying assumption that the systems that we consider are fully controllable

## Theorem

*If*

$$\begin{cases} \dot{\mathbf{x}} &= A\mathbf{x} + B\mathbf{u} \\ \mathbf{y} &= C\mathbf{x} \end{cases} \quad J(\mathbf{y}, \mathbf{u}) = \rho \|\mathbf{y}\|_2^2 + \|\mathbf{u}\|_2^2$$

*then*

$$\arg \min_{\mathbf{u} \in \mathbb{R}_u} J(\mathbf{y}, \mathbf{u}) = -K\mathbf{x}$$

*for an opportune  $K$ .*



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*then*

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*for an opportune  $K$ .*

How can we find  $K$ ? Follow the classical algorithms

## Control with linear models – from LQR to MPC

What if:

$$\arg \min_{u \in \mathcal{U}, y \in \mathcal{Y}} J(y, u) = \rho \|y\|_2^2 + \|u\|_2^2 \quad \text{s.t.} \begin{cases} \dot{\mathbf{x}} &= A\mathbf{x} + Bu \\ y &= C\mathbf{x} \end{cases} ?$$

## Control with nonlinear models (NL-MPC)

$$\begin{aligned} & \arg \min_u J(y, u) \\ \text{s.t.} \quad & \begin{cases} \dot{\mathbf{x}} = f(\mathbf{x}, u, \theta) \\ y = g(\mathbf{x}, u, \theta) \end{cases} \\ & u \in \mathcal{U} \\ & y \in \mathcal{Y} \end{aligned}$$

## Main messages up to now

we need a control-oriented

$$\dot{\mathbf{x}} = f(\mathbf{x}, u, \theta)$$

$$y = g(\mathbf{x}, u, \theta)$$

and we need to have a good guess for  $f(\cdot)$ ,  $g(\cdot)$ , and  $\theta$

how do we create a control-oriented model?

## Yet another way of categorizing models

**white box:** get structure from physics, get parameters from datasheets

**grey box:** get structure from physics, get parameters using system identification

**black box:** get both structure and parameters using system identification

## The simplest non-white model: ARX

$$y(t) + a_1 y(t-1) + \dots + a_{n_a} y(t-n_a) = b_1 u(t-1) + \dots + b_{n_b} u(t-n_b) + e(t)$$

$$\theta = [a_1, \dots, a_{n_a}, b_1, \dots, b_{n_b}]^T \quad e(t) \sim \mathcal{N}(0, \sigma^2)$$

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Notation:

- $A(q) = 1 + a_1 q^{-1} + \dots + a_{n_a} q^{-n_a}$
- $B(q) = b_1 q^{-1} + \dots + b_{n_b} q^{-n_b}$

$$\implies A(q)y(t) = B(q)u(t) + e(t)$$



## Why “ARX”?

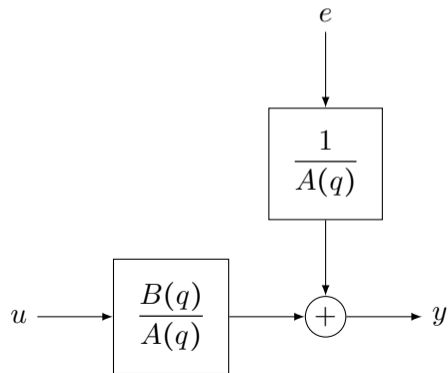
$$A(q)y(t) = B(q)u(t) + e(t)$$

**AR:**  $A(q)y(t)$  (*autoregressive*)

**X:**  $B(q)u(t)$  (*exogenous*)

## ARX models - block schematic representation

$$A(q)y(t) = B(q)u(t) + e(t) \quad \Longrightarrow \quad y(t) = \frac{B(q)}{A(q)}u(t) + \frac{1}{A(q)}e(t) \quad \Longrightarrow$$



## Towards more complex models: ARMAX

$$y(t) + a_1 y(t-1) + \dots + a_{n_a} y(t-n_a) = b_1 u(t-1) + \dots + b_{n_b} u(t-n_b) + e(t) + c_1 e(t-1) + \dots + c_{n_c} e(t-n_c)$$

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$$\implies A(q)y(t) = B(q)u(t) + C(q)e(t)$$

## Why “ARMAX”? (name)

$$A(q)y(t) = B(q)u(t) + C(q)e(t)$$

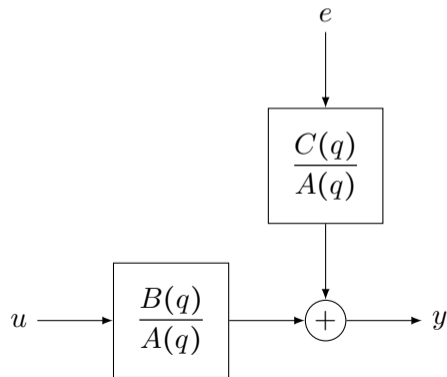
**AR:**  $A(q)y(t)$  (*autoregressive*)

**MA:**  $C(q)e(t)$  (*moving-average*)

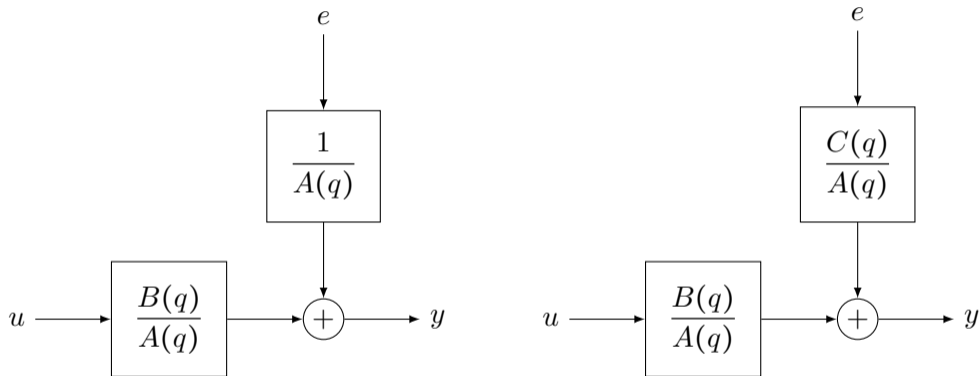
**X:**  $B(q)u(t)$  (*exogenous*)

## ARMAX models - block schematic representation

$$A(q)y(t) = B(q)u(t) + C(q)e(t) \quad \Longrightarrow \quad y(t) = \frac{B(q)}{A(q)}u(t) + \frac{C(q)}{A(q)}e(t) \quad \Longrightarrow$$

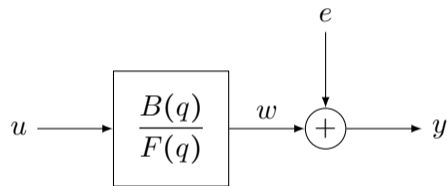


## Limitations of ARX and ARMAX models



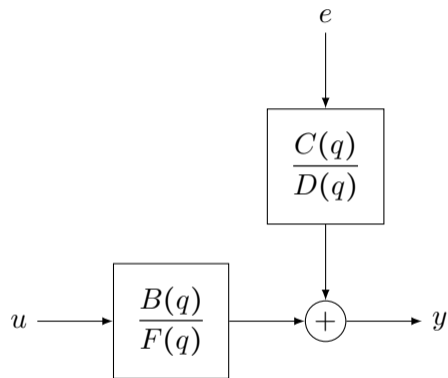
$A(q)$  = denominator for both transfer functions  
(kind of limiting)

Output Error (OE) = simplest digression from ARX and ARMAX

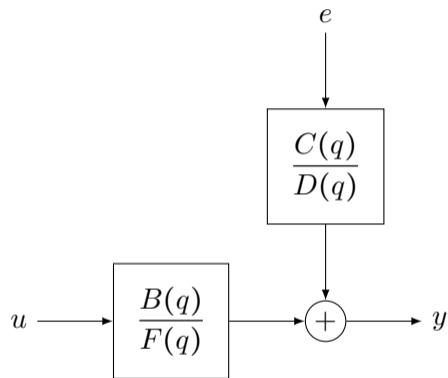




Box-Jenkins (BJ) = more sophisticated digression from ARX and ARMAX



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*very general, often impractical*

*(more general models  $\implies$  more difficult estimation process)*

## So: how do we actually create a control-oriented model?

Typical strategy:

- 1 collect data
- 2 try to identify a linear model (ARX, ARMAX, ...)
- 3 see if it has good predictive capabilities
- 4 if so, do a linear controller
- 5 if not, try nonlinear identification and nonlinear control

how do we identify a system from the data?  
*(linear or nonlinear, in the next few slides it doesn't matter)*

# Preliminary step: Least-Squares

i.e., the simplest strategy for estimating parameters from collected data

Assumptions:

data generation model:  $y_t = f(u_t; \theta) + v_t$

dataset:  $\mathcal{D} = \{(u_t, y_t)\}_{t=1, \dots, N}$

hypothesis space:  $\theta \in \Theta$

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hypothesis space:  $\theta \in \Theta$

Problem: *find  $\theta$  that “best explains”  $\mathcal{D}$*

## Least-squares: geometrical interpretation

$$\begin{bmatrix} y_1 \\ \vdots \\ y_N \end{bmatrix}$$

$$\begin{bmatrix} u_1 \\ \vdots \\ u_N \end{bmatrix}$$

$$\begin{bmatrix} f(u_1; \theta) \\ \vdots \\ f(u_N; \theta) \end{bmatrix}$$

## Least-squares: mathematical formulation

$$y_t = f(u_t; \theta) + v_t$$

$$\mathcal{D} = \{(u_t, y_t)\}_{t=1, \dots, N}$$

$$\hat{\theta} = \arg \min_{\theta \in \Theta} \left\| \begin{bmatrix} y_1 \\ \vdots \\ y_N \end{bmatrix} - \begin{bmatrix} f(u_1; \theta) \\ \vdots \\ f(u_N; \theta) \end{bmatrix} \right\|^2$$



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## Least-squares example: regression line

$$y_t = \theta_1 + \theta_2 u_t + v_t \quad \mathcal{D} = \{(u_t, y_t)_t\} = \{(1, 1), (2, 2), (3, 1)\} \quad \theta \in \mathbb{R}^2$$

$$\hat{\theta} = \arg \min_{\theta_1, \theta_2 \in \mathbb{R}} \left( (1 - \theta_1 - \theta_2)^2 + (2 - \theta_1 - 2\theta_2)^2 + (1 - \theta_1 - 3\theta_2)^2 \right)$$

## Main messages from the last few slides

- ARX, ARMAX, OE, BJ are simple control-oriented models
- doing system identification means estimating their parameters
- “estimation” actually means “optimization”

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- ARX, ARMAX, OE, BJ are simple control-oriented models
- doing system identification means estimating their parameters
- “estimation” actually means “optimization”

*how do we identify ARX, ARMAX, OE, BJ, and all the rest?*

parametric estimation as a predictors tuning problem

## Parameter estimation methods

Assumption:

$\mathcal{M} =$  selected model structure, e.g.,  $\left\{ \begin{array}{l} \text{ARX} \\ \text{ARMAX} \\ \text{OE} \\ \dots \end{array} \right.$

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*main idea: a control-oriented model is as good as it can predict observed data*

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*main idea: a control-oriented model is as good as it can predict observed data*

In the linear case:

$$y(t) = G(q; \theta)u(t) + H(q; \theta)e(t)$$

↓

$$\hat{y}(t|t-1; \theta) = [H^{-1}(q; \theta)G(q; \theta)]u(t) + [1 - H^{-1}(q; \theta)]y(t)$$



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*main idea: a control-oriented model is as good as it can predict observed data*

In the linear case:

$$y(t) = G(q; \theta)u(t) + H(q; \theta)e(t)$$

$\Downarrow$

$$\widehat{y}(t|t-1; \theta) = [H^{-1}(q; \theta)G(q; \theta)]u(t) + [1 - H^{-1}(q; \theta)]y(t)$$

$\implies$  in general, best  $\theta^*$  = that  $\theta$  that "minimizes"  $y(t) - \widehat{y}(t|t-1; \theta)$

# Prediction error methods in a nutshell

(and with some simplifications)

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PEM:  $\widehat{\theta} = \arg \min_{\theta \in \Theta} V(\theta, \mathcal{D})$

# PEM vs. machine learning

Special focus of PEM =

- minimize prediction errors
- consider dynamics and effects of feedback loops

## PEM in practice through examples: identifying ARMAX models

$$A(q; \theta)y(t) = B(q; \theta)u(t) + C(q; \theta)e(t)$$

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how shall we implement it numerically?



# PEM in practice through examples: identifying ARMAX models

through opportune rewritings:

$$\underbrace{\begin{bmatrix} 1 & & & & & \\ \vdots & \ddots & & & & \\ c_n & & \ddots & & & \\ & \ddots & & \ddots & & \\ & & c_n & \cdots & & 1 \end{bmatrix}}{=: \underline{C}} \underbrace{\begin{bmatrix} \varepsilon(1; \theta) \\ \vdots \\ \varepsilon(N; \theta) \end{bmatrix}}{=: \underline{\varepsilon}} = \underbrace{\begin{bmatrix} 1 & & & & & \\ \vdots & \ddots & & & & \\ a_n & & \ddots & & & \\ & \ddots & & \ddots & & \\ & & a_n & \cdots & & 1 \end{bmatrix}}{=: \underline{A}} \underbrace{\begin{bmatrix} y(1) \\ \vdots \\ y(N) \end{bmatrix}}{=: \underline{y}} - \underbrace{\begin{bmatrix} 0 & & & & & \\ \vdots & \ddots & & & & \\ b_n & & \ddots & & & \\ & \ddots & & \ddots & & \\ & & b_n & \cdots & & 0 \end{bmatrix}}{=: \underline{B}} \underbrace{\begin{bmatrix} u(1) \\ \vdots \\ u(N) \end{bmatrix}}{=: \underline{u}}$$

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$$\implies \underline{\varepsilon} = \underline{C}^{-1} \underline{A} \underline{y} - \underline{C}^{-1} \underline{B} \underline{u}$$

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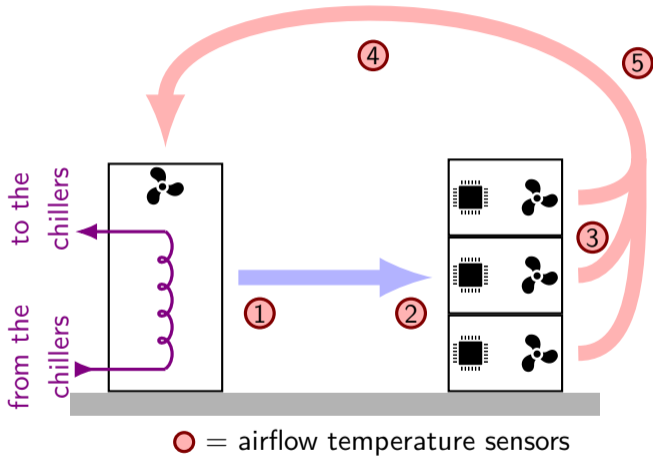
$$\implies \arg \min_{\substack{a_1, \dots, a_{n_a} \\ b_1, \dots, b_{n_b} \\ c_1, \dots, c_{n_c}}} V(\underline{C}^{-1} \underline{A} \underline{y} - \underline{C}^{-1} \underline{B} \underline{u})$$

## Main message from the last few slides

- identifying different model structures  $\implies$  implementing different optimization schemes

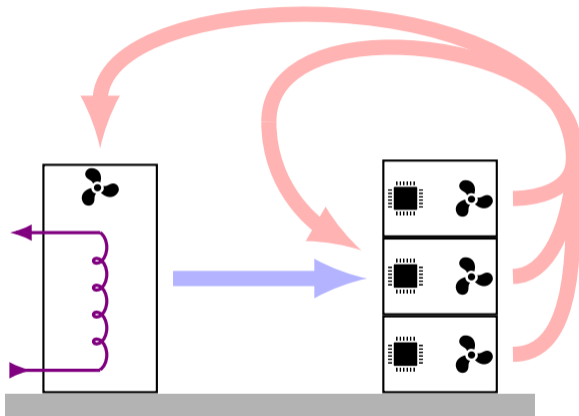
a practical example:  
modelling air flow overprovisioning / underprovisioning

# The ideal air flows distribution



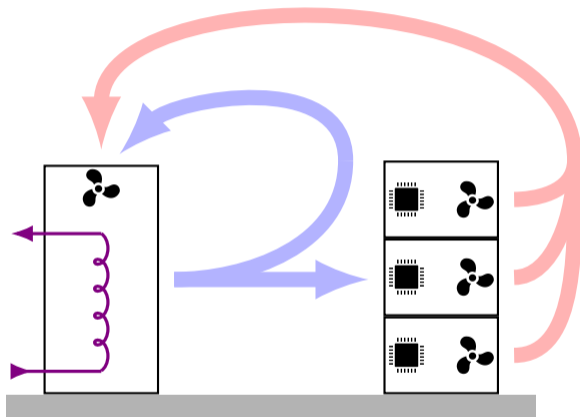
(notation: ideal provisioning =  $\Omega_i$ )

# What do we mean with underprovisioning?



(notation: underprovisioning =  $\Omega_u$ )

## What do we mean with overprovisioning?



(notation: overprovisioning =  $\Omega_o$ )



# Generalizations

**ideal provisioning** := ventilation system working as planned

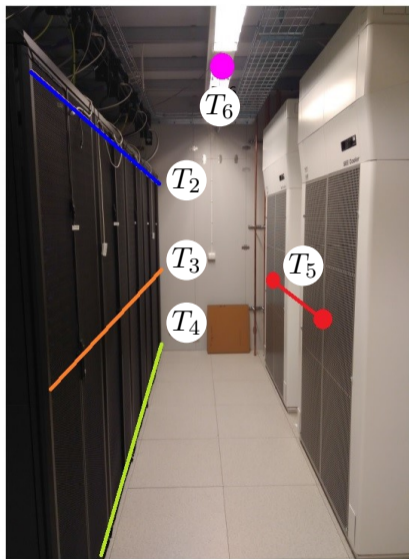
**underprovisioning** := servers receive warmer-than-ideal coolants

**overprovisioning** := cooling systems receive colder-than-ideal air intakes

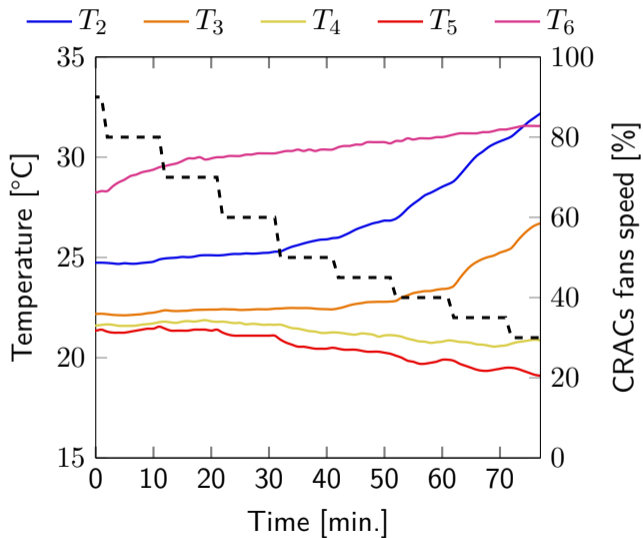
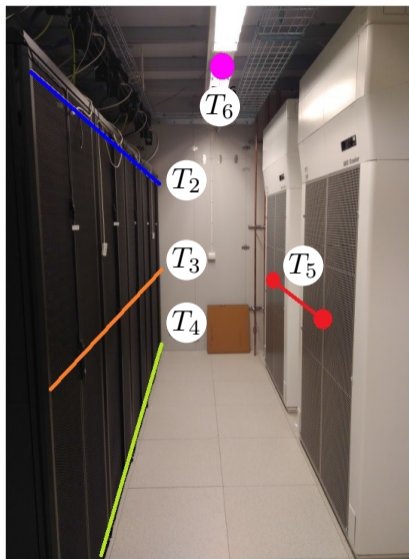
## Towards data-driven modelling: which evidence is available?



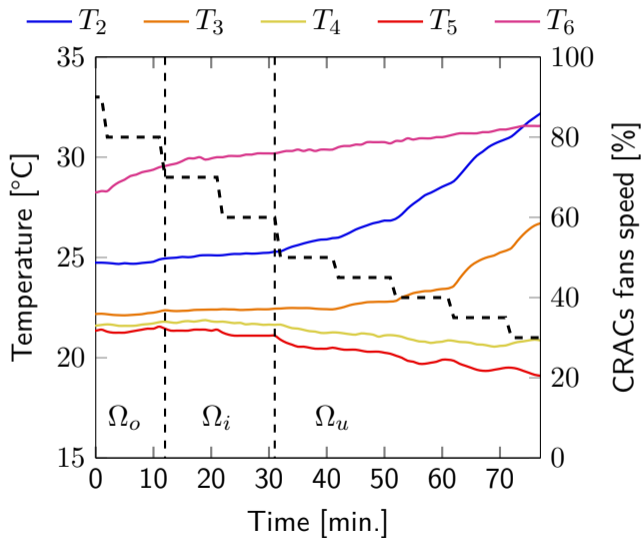
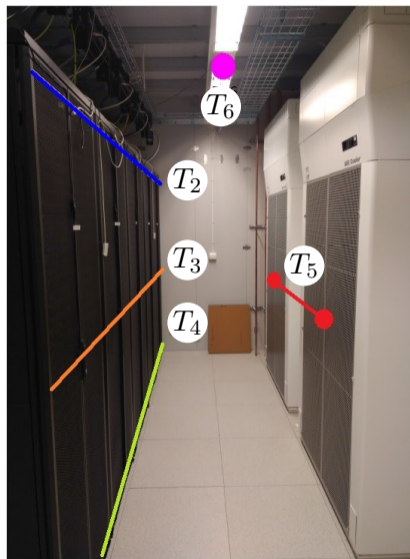
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Choices:

- 3 Linear Time Invariant (LTI) models (*one for each provisioning region*)
- 2 alternative choices for the models configuration:
  - Single Input Single Output (SISO)
  - Multi Input Single Output (MISO)

## Choice of the inputs and outputs

- SISO:  $\left\{ \begin{array}{l} \text{input: CRACs fans speed} \\ \text{output: } T_2 \text{ (topmost servers' air inlets temperature)} \end{array} \right.$



## Choice of the inputs and outputs

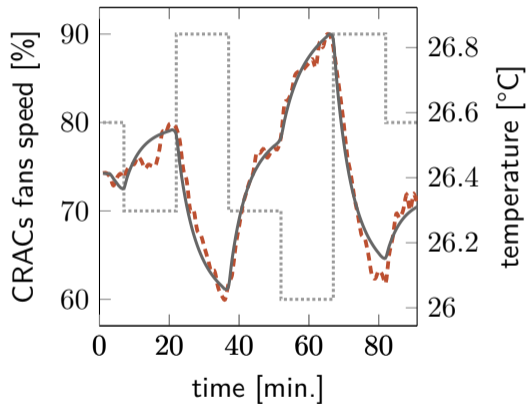
- SISO:  $\left\{ \begin{array}{l} \text{input: CRACs fans speed} \\ \text{output: } T_2 \text{ (topmost servers' air inlets temperature)} \end{array} \right.$
- MISO:  $\left\{ \begin{array}{l} \text{inputs: CRACs fans speed, } T_6, T_r \\ \text{output: } T_2 \text{ (topmost servers' air inlets temperature)} \end{array} \right.$

with

- $T_6$  = air temperature on the roof
- $T_r = \frac{T_{\text{in}} + T_{\text{out}}}{2}$
- $T_{\text{in}}$  = temperature of the CRAC inlet refrigerant
- $T_{\text{out}}$  = temperature of the CRAC outlet refrigerant

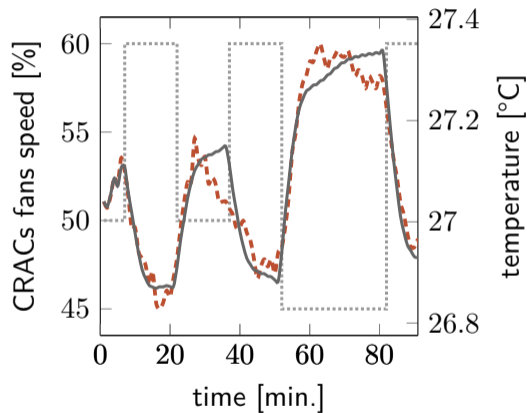
# Results - capabilities of the SISO model to simulate a validation dataset

overprovisioning



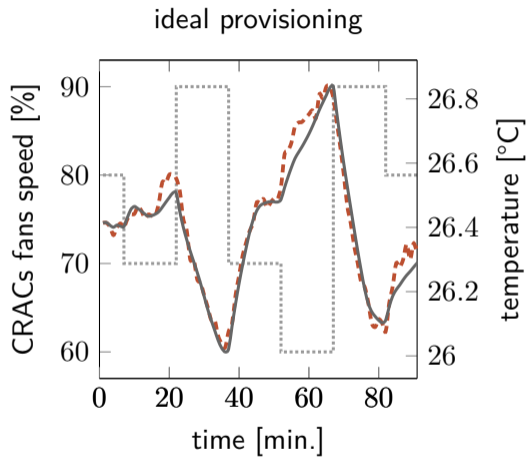
---  $T_2$     —  $\hat{T}_2$     ..... fans

ideal provisioning

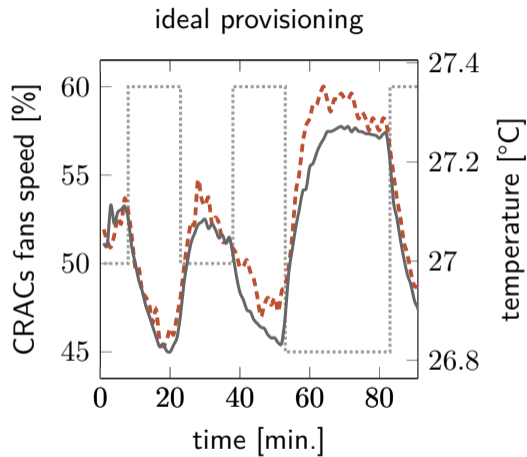


---  $T_2$     —  $\hat{T}_2$     ..... fans

# Results - capabilities of the MISO model to simulate a validation dataset



---  $T_2$     —  $\hat{T}_2$     ..... fans



---  $T_2$     —  $\hat{T}_2$     ..... fans

## Quantitative results

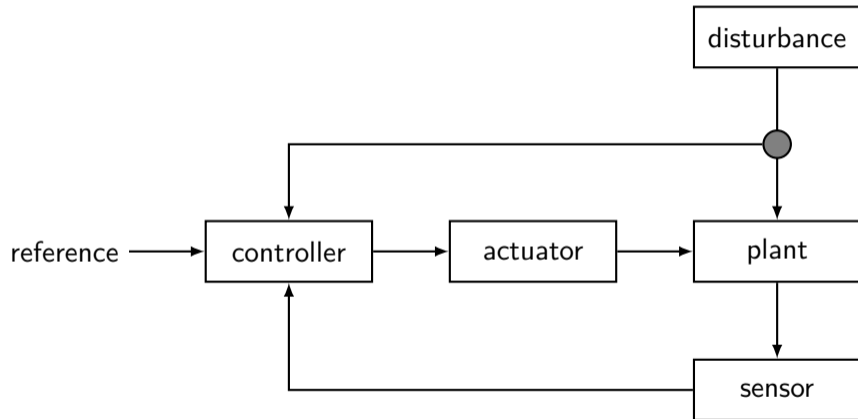
<b>Provisioning region</b>	<b>Model type</b>	<b>Type</b>	<b>Order</b>	<b>Fit</b>
over	SISO	BJ	[3322]	81 %
	MISO	ARX	[2222]	83 %
ideal	SISO	BJ	[2255]	75 %
	MISO	ARX	[3333]	69 %
under	SISO	BJ	[2255]	85 %
	MISO	ARX	[3333]	88 %

Ok, we got some models. So?

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$\implies$  possibilities for better airflow control

# Conclusions



# Control-oriented modelling - what is it?

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October 2018