

On the Development of Generalized Hamiltonian Realizations

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Abstract

The generalized Hamiltonian realization problem is discussed in this paper. Three kinds of realizations are investigated. The first is the generalized Hamiltonian realization of a dynamic system. As an example, the excitation control system [4] is investigated. The feedback dissipative realization of controlled Hamiltonian systems is then considered. A necessary and sufficient condition for existence of this realization is obtained. Finally, the approximate realization is considered. A normal form result is implemented to provide certain computable conditions.

1 Introduction

In recent years, the problem of energy-based Lyapunov functions has been investigated by several authors [1-3],[5],[13]. The Lyapunov candidates are chosen from the Hamiltonian functions of generalized Hamiltonian systems. Here a new approach provides a method for solving stabilization problems for controlled Hamiltonian systems.

A generalized Hamiltonian dynamic system is proposed in [4], [6] as

$$\dot{x} = M(x) \nabla H, \quad x \in R^n \quad (1)$$

where $M(x)$ is an $n \times n$ matrix, called the *structure matrix*. H is the Hamiltonian function of the system. We also denote by $X_H = M(x) \nabla H$ the Hamiltonian vector field defined by H . A generalized controlled Hamiltonian system is defined as

$$\dot{x} = M(x) \nabla H + \sum_{i=1}^m M(x) \nabla G_i u_i, \quad x \in R^n \quad (2)$$

where G_i are Hamiltonian functions for input vector fields.

As proposed in [4], [6], we allow $M(x)$ to be an arbitrary matrix. Decompose $M(x) = J(x) + P(x)$, where $J(x)$ is

skew-symmetric and $P(x)$ is symmetric. Furthermore, we may decompose $P(x) = -R(x) + S(x)$, where both $R(x)$ and $S(x)$ are semi-positive definite and the ranks of $S(x)$ and $R(x)$ are the numbers of positive eigenvalues and the numbers of negative eigenvalues of $M(x)$ respectively. Then the decomposition is unique. Hence, we have

$$M(x) = J(x) - R(x) + S(x) \quad (3)$$

We call system (1) (or controlled system (2)) a dissipative system (controlled dissipative system respectively) if $S(x) = 0$. From [1-3] we can see that such systems are particularly important in stabilization analysis.

A key point in applying this new approach to a general control system is the need to express the system as a controlled Hamiltonian system. To the authors' knowledge, there is no systematic method of handling this problem. The purpose of this paper is to explore possible solutions to this problem.

2 Generalized Hamiltonian Realization

Definition 2.1. A dynamic system

$$\dot{x} = f(x), \quad x \in R^n \quad (4)$$

is said to have a Hamiltonian realization if there exists a suitable coordinate chart and a Hamiltonian function H such that equation (4) can be expressed as (1). A controlled dynamic system

$$\dot{x} = f(x) + \sum_{i=1}^m g_i(x) u_i, \quad x \in R^n \quad (5)$$

is said to have a Hamiltonian realization if there exists a suitable coordinate chart and Hamiltonian functions H, G_1, \dots, G_m such that equation (5) can be expressed as (2). If in a realization, the decomposition of $M(x)$ has $S(x) = 0$, it is called a dissipative realization (or controlled dissipative realization respectively).

Consider system (4). The most useful case is to convert it into (1) where M is constant. Denote $A_i = (\frac{\partial}{\partial x_i} f)^T$, $i = 1, \dots, n$ We have the following:

$$g = (0 \ 0 \ h)^T, \quad y = -\frac{c}{T_{d0}} \cos x_1 + \frac{cd}{T_{d0}e} x_3,$$

$$H(x) = -cx_3 \cos x_1 - ax_1 + \frac{cd}{2e} x_3^2 + \frac{1}{2} x_2^2$$

This is exactly the form used in [4]. According to Remark 3, the dissipative realization of the excitation control system (7) is unique (up to a constant coefficient).

4 Feedback Dissipative Realization

The dissipative form of Hamiltonian systems is important for using port-controlled stability analysis. We consider a general Hamiltonian system as

$$\begin{cases} \dot{x} = M \nabla H + g(x)u = (J - R + S) \nabla H + g(x)u \\ y = g^T \nabla H \end{cases} \quad (13)$$

where J is skew symmetric and R and S are symmetric and positive semi-definite.

The following is an example of a general Hamiltonian system.

Example 4.1. [8] The Rotational/Translational Actuator (RTAC) system can be expressed, via the coordinate transformation introduced in [9], as

$$\begin{cases} \dot{x}_1 = x_2 \\ \dot{x}_2 = -x_1 + \epsilon \sin x_3 \\ \dot{x}_3 = x_4 \\ \dot{x}_4 = u \end{cases} \quad (14)$$

where $0 < \epsilon < 1$. Choosing a nominal output $y = x_4$ and the Hamiltonian function as

$$H = \frac{1}{2}(x_1^2 + x_2^2 + \sin^2(x_3) + x_4^2) + \epsilon x_1 \sin x_3$$

then the system (14) can be expressed as the following generalized controlled Hamiltonian system

$$\begin{cases} \dot{x} = M \nabla H + g(x)u = \begin{pmatrix} 0 & 1 & 0 & 0 \\ -1 & 0 & 0 & 0 \\ 0 & 0 & 0 & 1 \\ 0 & 0 & 0 & 0 \end{pmatrix} \\ \times \begin{pmatrix} x_1 - \epsilon \sin x_3 \\ x_2 \\ (\epsilon x_1 + \sin x_3) \cos x_3 \\ x_4 \end{pmatrix} + \begin{pmatrix} 0 \\ 0 \\ 0 \\ 1 \end{pmatrix} u \\ y = g^T \nabla H = x_4 \end{cases} \quad (15)$$

□ To use the stabilization method proposed in [3], we have to convert such generalized controlled Hamiltonian systems into dissipative type systems. We consider the following state feedback control

$$u = K(x) \nabla H + v \quad (16)$$

We say that system (13) has a *feedback dissipative realization* if there exists a control as given in (16) such that the feedback system (15) is a dissipative Hamiltonian system. Then we have

Proposition 4.2. *System (13) has a dissipative type realization (around an equilibrium point x_0), iff there exists an $m \times n$ matrix $K(x)$, such that the following matrix is negative semi-definite (locally).*

$$g(x)K(x) + K^T(x)g^T(x) + (M + M^T) \leq 0 \quad (17)$$

Proof. Because the symmetric part of $M + gK$ is negative semi-definite. □

We are particularly interested in the case when both M and $g = (g_1 \ \cdots \ g_m)$ are constant. In this case we seek a particular output feedback control of the form

$$u = K \nabla H + v$$

where K is a constant matrix.

Let $P = \frac{1}{2}(M + M^T)$, then we have the following corollary.

Corollary 4.3. *System (13) with constant M and g has a dissipative type realization if there exists an $m \times n$ matrix K such that the following matrix is negative semi-definite :*

$$gK + K^T g^T + P \leq 0 \quad (18)$$

Note that we can decompose $P = -R + S$, with positive semi-definite R and S . Assuming $\text{span}\{\text{col}(S)\} \subset \text{span}\{\text{col}(g)\}$, it is easy to find K which satisfies (18). In fact, if $S = g\alpha$ we can simply choose $K = -\alpha$.

Example 4.4. Recall Example 4.1. It is easy to see that a solution of (18) is $K = (0 \ 0 \ 1 \ 0)$. Hence the RTAC system (15) has a feedback dissipative realization. □

5 Approximate Hamiltonian Realizations

When a precise Hamiltonian realization does not exist for a dynamic system but it may be approximated by a Hamiltonian system up to certain degree. Such an approximation may be enough for stability analysis. This approach allows a coordinate change and so provides more freedom to manipulate systems.

Definition 5.1. *System (4) with $f(0) = 0$ is said to have a k -th order approximate realization if there exists a coordinate $z = z(x)$ with $z(0) = 0$ such that under z system (4) becomes*

$$\dot{z} = M \nabla H + r(z) \quad (19)$$

where M is constant, $\text{deg}(H) \leq k + 1$ and $r(z) = 0(\|z\|^{k+1})$. $\text{deg}(H)$ is the degree of the lowest degree

non-vanishing terms of the Taylor expansion of H . If $M = J - R$ with skew symmetric J and symmetric $R \geq 0$, (19) is called a k -th order approximate dissipative realization.

We have the following stability result:

Proposition 5.2. *Assume system (4) has an approximate dissipative realization (19), $r(z) \in \text{Span}\{R\}$, and 0 is a local minimum point of $H(x)$. Then system (4) is stable at 0. **Proof.** First we claim that the condition $r(z) \in \text{Span}\{R\}$ is a coordinate-independent condition. It is not difficult to show that under a coordinate change $z = z(x)$, with the Jacobian matrix J_z we have*

$$r(z) = J_z r(x(z)); \quad R(z) = J_z R J_z^T(x(z))$$

The claim follows.

Next, choosing H as the Lyapunov function and denoting $r(z) = R\xi(z)$, then we have

$$\frac{d}{dt} H|_{(19)} = -dHR(\nabla H + \xi)$$

According to the order of ξ , it is easy to see that $\frac{d}{dt} H|_{(19)} \leq 0$ locally. \square

Remark. *It is obvious that the condition $r(z) \in \text{Span}\{R\}$ can be relaxed by $r(z) = r_1(z) + r_2(z)$, where*

$$r_1(z) \in \text{Span}\{R\}, \quad L_{r_2} H(z) \leq 0 \quad (20)$$

Consider system (4) again and assume $f(0) = 0$ and denote the Jacobian of f at zero by L . Let the vector field $X = Lx$ and for any vector field Y denote $ad_L Y = ad_X Y$. Denote by P^k the set of vector fields in R^n with k -th degree homogeneous components. Then 1. P^k is a linear vector space over R . 2. Let $L \in P^1$ be a given vector field. Then the Lie derivative $ad_L : P^k \rightarrow P^k$ is a linear mapping.

Now fix $Lx \in P^1$. According to the above, the range of the mapping $ad_L : P^k \rightarrow P^k$ is a subspace of P^k . Thus we can decompose P^k as

$$P^k = ad_L(P^k) \oplus S^k$$

where S^k is a complement of $ad_L(P^k)$. Note that S^k is not unique. The following theorem provides a normal form expression for the system (4).

Theorem 5.3.[10] *Consider system (4) with $f(0) = 0$. Let $L = J_f(0)x$, where $J_f(0)$ is the Jacobian matrix of f at zero. Then there exists a local diffeomorphism $x = x(z)$ around zero, such that (4) can be locally expressed as*

$$\dot{z} = s^{(1)}(z) + s^{(2)}(z) + \cdots + s^{(r)}(z) + R_r(z), \quad (21)$$

where

$$s^{(1)}(z) = J_f(0)z; \quad s^{(i)}(z) \in S^i; \quad i = 2, \dots, r; \\ R_r(z) = 0(\|z\|^{r+1})$$

(21) is called a normal form of (4). An algorithm was proposed in [11].

Denote the coefficient matrix in (6) by A and its approximation up to the k -th degree by A^k . That is, $A = A^k + 0(\|x\|^{k+1})$, with $\text{deg}(A^k) = k$. Then consider the following equation:

$$A^k \begin{pmatrix} X_1 \\ \vdots \\ X_n \end{pmatrix} = 0, \quad X_i \in R^n, \quad i = 1, \dots, n \quad (22)$$

The following proposition is straightforward.

Proposition 5.4. *Assume (22) has a constant solution X , which defines the matrix N given by*

$$N = \text{col}(X_1^T, X_2^T, \dots, X_n^T)$$

non-singular. Then system (4) can be expressed as

$$\dot{x} = M \nabla H + 0(\|x\|^{k+2}), \quad \text{deg}(H) = k + 2 \quad (23)$$

where $M = N^{-1}$. If (22) doesn't have a non-zero constant solution for $k = 0$, then a Hamiltonian (or an approximate Hamiltonian) realization doesn't exist. Thus we assume there exists a largest k such that the solution exists.

Assume system (4) has a $(k-1)$ -th order approximate Hamiltonian realization. Correspondingly, (23) can be written as

$$\dot{x} = M \nabla H + 0(\|x\|^k) = M \nabla H + q_k + 0(\|x\|^{k+1}) \quad (24)$$

where $\text{deg}(H) \leq k$, $\text{deg}(q_k) = 0(\|x\|^k)$. Denote $\dim(P^k) - \dim(ad_L(P^k)) = t$, where L is the Jacobian of $f(x)$ at zero. We want to find a k -th order approximation from (24). Since further discussion involves a coordinate change, we use $\nabla_x H$ for ∇H to emphasize the gradient is taken with respect to x etc. We have the following:

Proposition 5.5. *Assume there exist t homogeneous polynomials H_1, \dots, H_t of degree $k + 1$ such that*

$$ad_L(P^k) + \text{Span}\{M \nabla_x H_1, \dots, M \nabla_x H_t\} = P^k$$

Then system (24) has a k -th order approximate Hamiltonian realization. **Proof.** We can find a vector field $T(x) \in P^k$ such that

$$q(x) = ad_L(T(x)) + c_1 M \nabla_x H_1 + \cdots + c_t M \nabla_x H_t$$

Then we make a coordinate transformation

$$x = z + T(z), \quad J_z = (I + \frac{\partial T}{\partial x})^{-1} = I - J_T + 0(\|z\|^{2k})$$

One sees easily that the coordinate transformation does not affect the terms of degree less than k . That is, the term $M \nabla H$ in (24) remains unchanged. To be precise, since

$$\begin{aligned} \nabla_x H(x) &= J_z \nabla_z H(x(z)) = (I - J_T + 0(\|z\|^{2k})) \times \\ &\nabla_z H(z) (I - J_T^T + 0(\|z\|^{2k})) = \nabla_z H(z) + 0(\|z\|^{2k}) \end{aligned}$$

then

$$M \nabla_x H(x) = M \nabla_z H(z) + 0(\|z\|^{2k}) \quad (25)$$

Also the new k -th degree term

$$\tilde{q}(z) \in \text{Span}\{M \nabla_x H_1, \dots, M \nabla_x H_t\}$$

and it can be expressed as

$$\tilde{q}(z) = c_1 M \nabla_z H_1(z) + \nabla_z H_t(z) + 0(\|z\|^{2k}) \quad (26)$$

Substituting (25) and (26) into (24), the conclusion follows. \square

The following corollary is from the proof of Proposition 5.5.

Corollary 5.6. *Assume there exist t homogeneous polynomials H_1, \dots, H_t of degree $k+1$ and a homogeneous vector field $T(x) \in P^k$ such that*

$$q(x) = \text{ad}_L T(x) + c_1 M \nabla_x H_1 + \dots + c_t M \nabla_x H_t$$

Then system (24) has a k -th approximate Hamiltonian realization as

$$\dot{z} = M \nabla_z (H(z) + c_1 H_1(z) + \dots + c_t H_t(z)) + 0(\|z\|^{k+1}) \quad (27)$$

where $x = z + T(z)$. In fact, this result can be expressed in a more elegant form. Let $d_k = \dim(P^k)$. Then [11]

$$d_k = \dim(P^k) = \frac{n(n+k-1)!}{k!(n-1)!}$$

The following lemma is a consequence of the results.

Lemma 5.7. *Let $X \in P^k$, $N \in GL(n, R)$. Then $\Phi_N : P^k \rightarrow P^k$, defined as $X \mapsto NX$, is a group representation [12] of $GL(n, R)$ to $GL(d_k, R)$. Moreover,*

$$\Phi_n = N \otimes I_{s_k} \quad (28)$$

where

$$s_k = \frac{d_k}{n} = \frac{(n+k-1)!}{k!(n-1)!}$$

Denote by Q_k the linear space of k -th degree homogeneous polynomials. It is easy to see that $\dim(Q_k) = s_k$. Then the gradient $\nabla : Q_{k+1} \rightarrow P^k$ is a linear mapping. So $\nabla Q_{k+1} \subset P^k$ is a subspace. Using Lemma 5.7, it is easy to verify the following result. **Proposition 5.8.** *System (24) has a k -th order approximate Hamiltonian realization, with the same M , iff*

$$q(x) \in \text{ad}_L(P_k) + \Phi_N(\nabla Q_{k+1}) \quad (29)$$

Example 5.9. Consider the following system

$$\begin{cases} \dot{x}_1 = \sin(x_2) + 2(1 - \cos(x_1)) \\ \dot{x}_2 = -x_1 + x_2 \log(1 + x_1 + x_2) \end{cases} \quad (30)$$

Express it in approximate form as

$$\begin{aligned} \begin{pmatrix} \dot{x}_1 \\ \dot{x}_2 \end{pmatrix} &= \begin{pmatrix} x_2 \\ -x_1 \end{pmatrix} + \begin{pmatrix} x_1^2 \\ x_1 x_2 + x_2^2 \end{pmatrix} \\ &- \begin{pmatrix} \frac{1}{6} x_2^3 \\ \frac{1}{2} x_1^3 + x_1^2 x_2 + \frac{1}{2} x_1 x_2^2 \end{pmatrix} + 0(\|x\|^4) \end{aligned} \quad (31)$$

It is easy to determine that the largest k for the k -th approximated equation of (6) to have a solution is $k = 2$, when the equation can be obtained by comparing the coefficients of different terms as

$$\begin{pmatrix} 1 & 0 & 0 & 1 \\ 0 & 1 & -2 & 0 \\ 0 & 2 & 0 & -1 \end{pmatrix} \begin{pmatrix} n_{11} \\ n_{12} \\ n_{21} \\ n_{22} \end{pmatrix} = 0 \quad (32)$$

The only non-zero solution (up to a constant coefficient) is

$$N = \begin{pmatrix} n_{11} & n_{12} \\ n_{21} & n_{22} \end{pmatrix} = \begin{pmatrix} -4 & 2 \\ 1 & 4 \end{pmatrix}$$

Then we have

$$M = N^{-1} = -\frac{1}{18} \begin{pmatrix} 4 & -2 \\ -1 & -4 \end{pmatrix} \quad (33)$$

Then the system (30) can be expressed as

$$\begin{aligned} \begin{pmatrix} \dot{x}_1 \\ \dot{x}_2 \end{pmatrix} &:= M \nabla H + q_3 + R = -\frac{1}{18} \begin{pmatrix} 4 & -2 \\ -1 & -4 \end{pmatrix} \nabla H \\ &- \begin{pmatrix} \frac{1}{6} x_2^3 \\ \frac{1}{2} x_1^3 + x_1^2 x_2 + \frac{1}{2} x_1 x_2^2 \end{pmatrix} + 0(\|x\|^4) \end{aligned} \quad (34)$$

where

$$H = -x_1^2 - 4x_1 x_2 + \frac{1}{2} x_2^2 - \frac{4}{3} x_1^3 + x_1^2 x_2 + 2x_1 x_2^2 + \frac{4}{3} x_2^3$$

Next, we consider $\text{ad}_L P^3$, with $Lx = J_f(0)x =$

$$\begin{pmatrix} 0 & 1 \\ -1 & 0 \end{pmatrix} x. \text{ Set a basis } e_1, \dots, e_8 \text{ of } P^3 \text{ as}$$

$$\begin{pmatrix} x_1^3 \\ 0 \end{pmatrix} \quad \begin{pmatrix} x_1^2 x_2 \\ 0 \end{pmatrix} \quad \begin{pmatrix} x_1 x_2^2 \\ 0 \end{pmatrix} \quad \begin{pmatrix} x_2^3 \\ 0 \end{pmatrix} \\ \begin{pmatrix} 0 \\ x_1^3 \end{pmatrix} \quad \begin{pmatrix} 0 \\ x_1^2 x_2 \end{pmatrix} \quad \begin{pmatrix} 0 \\ x_1 x_2^2 \end{pmatrix} \quad \begin{pmatrix} 0 \\ x_2^3 \end{pmatrix}$$

A straightforward computation shows that

$$\begin{aligned} V_1 &= \text{ad}_L e_1 = 3e_2 + e_5 \\ V_2 &= \text{ad}_L e_2 = -e_1 + 2e_3 + e_6 \\ V_3 &= \text{ad}_L e_3 = -2e_2 + e_4 + e_7 \\ V_4 &= \text{ad}_L e_4 = -3e_3 + e_8 \\ V_5 &= \text{ad}_L e_5 = -e_1 + 3e_6 \\ V_6 &= \text{ad}_L e_6 = -e_2 - e_5 + 2e_7 \\ V_7 &= \text{ad}_L e_7 = -e_3 - 2e_6 + e_8 \\ V_8 &= \text{ad}_L e_8 = -e_4 - 3e_7 \end{aligned}$$

Moreover, the $rank(V_1 V_2 V_3 V_4 V_5 V_6 V_7 V_8) = 6$ and the first 6 vectors are linearly independent.

Simply choose $H_1 = \frac{1}{4}x_1^4$ and $H_2 = \frac{1}{4}x_2^4$. (In general, we have to find a solution of (28), which produces a set of linear equations.) From (33), we have

$$\begin{aligned} M \nabla H_1 &= -\frac{1}{18} \begin{pmatrix} 4x_1^3 \\ -x_1^3 \end{pmatrix} = -\frac{2}{9}e_1 + \frac{1}{18}e_5 \\ M \nabla H_2 &= -\frac{1}{18} \begin{pmatrix} -2x_2^3 \\ -4x_2^3 \end{pmatrix} = \frac{1}{9}e_4 + \frac{2}{9}e_8 \end{aligned}$$

It is easy to verify that $V_1, V_2, V_3, V_4, V_5, V_6$, and $M \nabla H_1, M \nabla H_2$ are linearly independent. Then we can express q_3 as a linear combination by solving a linear equation. The numerical solution is $b_1 = -0.75; b_2 = -3.5; b_3 = -1.333333; b_4 = -2.333333; b_5 = 0.833333; b_6 = 0.416667$; and $c_1 = 12; c_2 = 10.5$. Now we can choose new coordinates z by

$$\begin{aligned} x &= z + T(z) = z + \sum_{i=1}^6 b_i e_i = z + \\ &\begin{pmatrix} -0.75z_1^3 - 3.5z_1^2z_2^2 - 1.333333z_1z_2^2 - 2.333333z_2^3 \\ 0.833333z_1^3 + 0.416667z_1^2z_2 \end{pmatrix} \end{aligned}$$

Using Corollary 5.6, system (34) can be further expressed as

$$\begin{pmatrix} \dot{z}_1 \\ \dot{z}_2 \end{pmatrix} = -\frac{1}{18} \begin{pmatrix} 4 & -2 \\ -1 & -4 \end{pmatrix} \nabla H + O(\|z\|^4) \quad (35)$$

where $H = -z_1^2 - 4z_1z_2 + \frac{1}{2}z_2^2 - \frac{4}{3}z_1^3 + z_1^2z_2 + 2z_1z_2^2 + \frac{4}{3}z_2^3 + 3z_1^4 + \frac{10.5}{4}z_2^4$. \square

6 Conclusion

Three different realization problems were considered in this paper. The first involved transforming an affine (control) system to a generalized Hamiltonian (control) system. A set of linear algebraic equations were provided. A sufficient condition to obtain the realization is that these equations have a constant solution and the matrix N constructed by the solution elements is nonsingular. The excitation control system in power systems was investigated. It was proved that the dissipative realization obtained in [4] is the unique solution. The second problem considered when a generalized controlled Hamiltonian system has a feedback dissipative realization. A necessary and sufficient condition was presented. It was also shown that the RTAC system [8] has a feedback dissipative realization. Finally, an approximate realization was considered. The normal form algorithm was used to develop the realization. The constructive proof provides an algorithm to construct an approximate realization.

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