

# A Control Barrier Perspective on Episodic Learning via Projection-to-State Safety

**Andrew J. Taylor** Andrew Singletary Yisong Yue Aaron D. Ames

Computing and Mathematical Sciences  
California Institute of Technology

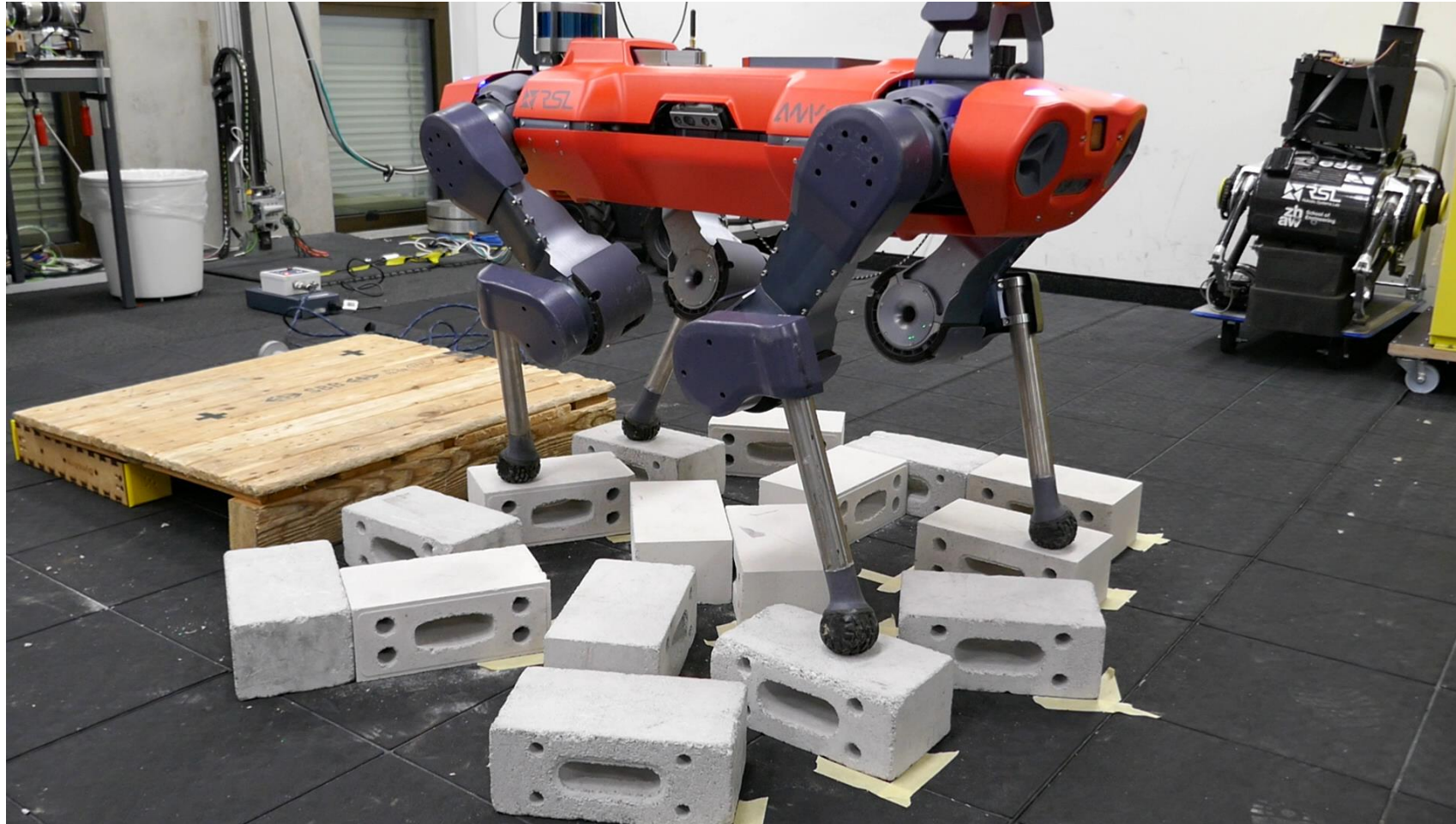
December 15<sup>th</sup>, 2020

**Control & Decision Conference (CDC) 2020**

# Control in the real world is hard

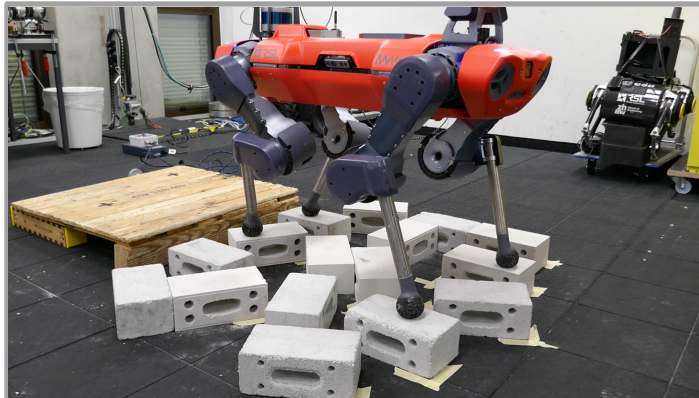


But: Pretty when it works...



[1] R. Grandia, **A. J. Taylor**, M. Hutter, A. D. Ames, Multi-Layered Safety for Legged Robotics via Control Barrier Functions and Model Predictive Control, 2020.

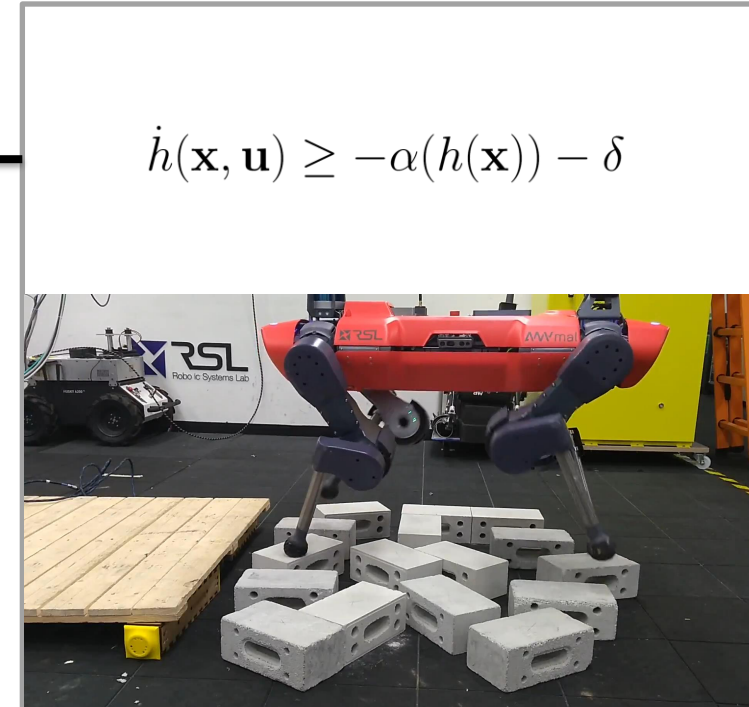
# Claim: Need to Bridge the Gap



$$\mathbf{k}(\mathbf{x}) = \operatorname{argmin}_{\mathbf{u} \in \mathbb{R}^m} \|\mathbf{u}\|_2^2$$
$$\text{s.t. } \dot{h}(\mathbf{x}, \mathbf{u}) \geq -\alpha(h(\mathbf{x}))$$

Theorems & Proofs

Bridge the  
Gap



Experimental Realization

- Framework for studying impact of disturbances in a projected environment via **Projection-to-State Safety (PSSf)**
- Apply PSSf to study how error in machine learning models estimating dynamics leads to degradation in safety guarantees
- Demonstration of PSSf guarantees on safety in simulation and experimentally
- Complement existing work utilizing stability

[2] **A. J. Taylor**, V. D. Dorobantu, et. al, Episodic Learning with Control Lyapunov Functions for Uncertain Robotic Systems, 2019.

[3] **A. J. Taylor**, V. D. Dorobantu, et. al, A Control Lyapunov Perspective on Episodic Learning via Projection to State Stability, 2019.

[4] **A. J. Taylor**, et. al, Learning for Safety-Critical Control with Control Barrier Functions, 2020.

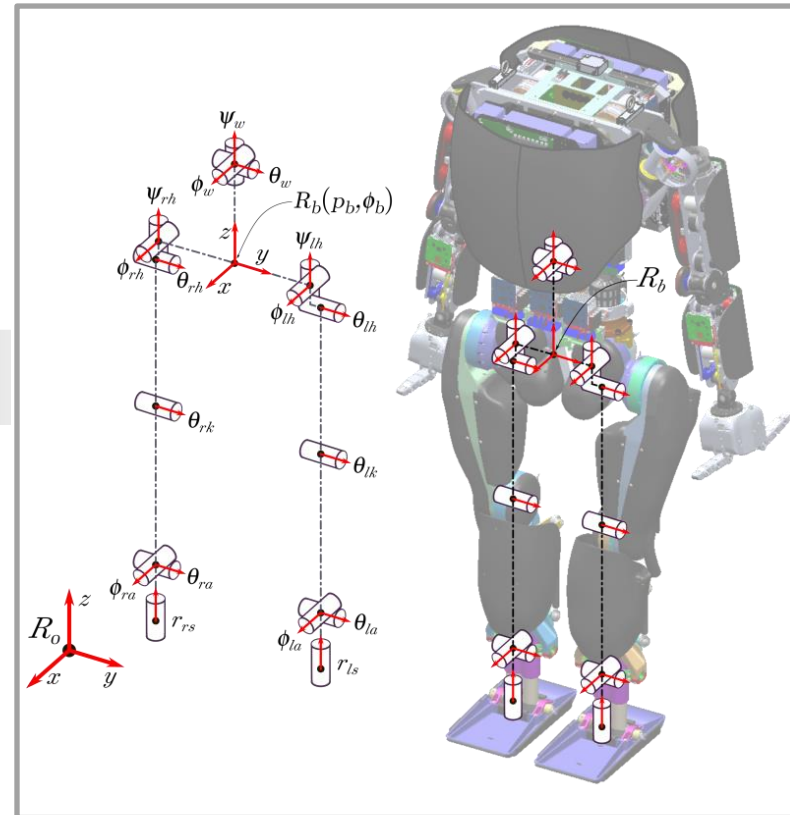
## Equations of Motion

$$\hat{\dot{\mathbf{x}}} = \hat{\mathbf{f}}(\mathbf{x}) + \hat{\mathbf{g}}(\mathbf{x})\mathbf{u}$$

$$\mathbf{x} \in \mathbb{R}^n \quad \mathbf{u} \in \mathbb{R}^m$$

$$\hat{\mathbf{f}} : \mathbb{R}^n \rightarrow \mathbb{R}^n \quad \hat{\mathbf{g}} : \mathbb{R}^n \rightarrow \mathbb{R}^{n \times m}$$

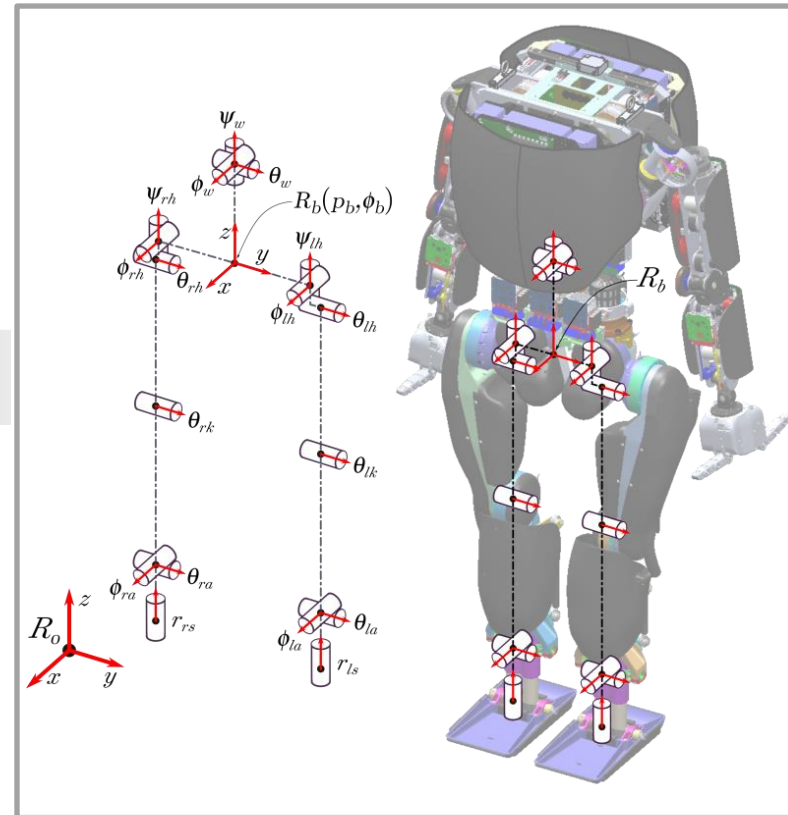
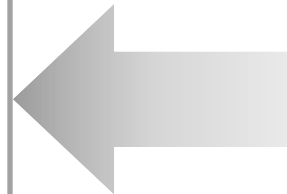
Mathematical Model



System Model

<b>Equations of Motion</b>
$\hat{\dot{\mathbf{x}}} = \hat{\mathbf{f}}(\mathbf{x}) + \hat{\mathbf{g}}(\mathbf{x})\mathbf{u}$
$\mathbf{x} \in \mathbb{R}^n \quad \mathbf{u} \in \mathbb{R}^m$
$\hat{\mathbf{f}} : \mathbb{R}^n \rightarrow \mathbb{R}^n \quad \hat{\mathbf{g}} : \mathbb{R}^n \rightarrow \mathbb{R}^{n \times m}$
<b>Assumptions</b>
$\hat{\mathbf{f}}, \hat{\mathbf{g}} \text{ locally Lipschitz continuous}$

**Mathematical Model**



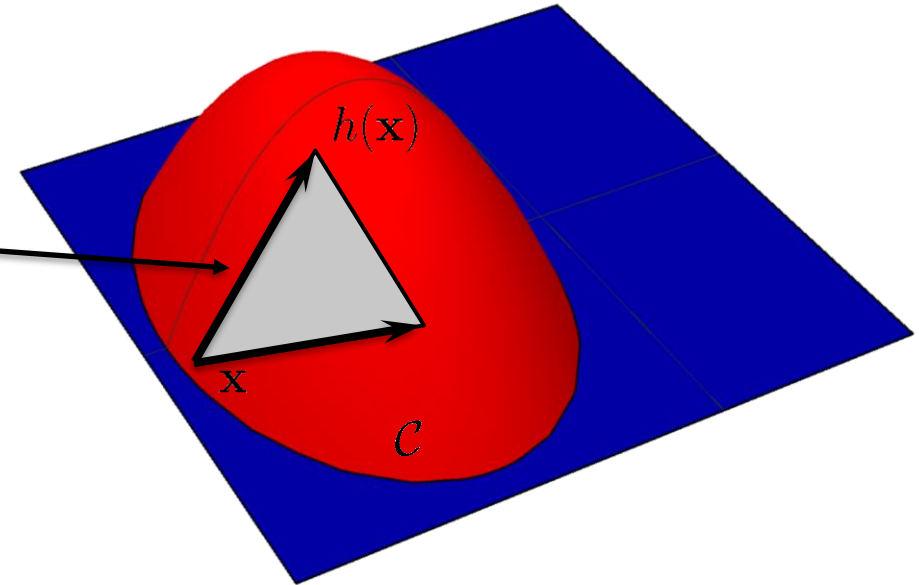
**System Model**

## Control Barrier Function

$$\mathcal{C} = \{\mathbf{x} \in \mathbb{R}^n \mid h(\mathbf{x}) \geq 0\}$$

$$\sup_{\mathbf{u} \in \mathbb{R}^m} \dot{h}(\mathbf{x}, \mathbf{u}) > -\alpha(h(\mathbf{x}))$$

$$\dot{h}(\mathbf{x}, \mathbf{u}) = \frac{\partial h}{\partial \mathbf{x}}(\mathbf{x})(\hat{\mathbf{f}}(\mathbf{x}) + \hat{\mathbf{g}}(\mathbf{x})\mathbf{u})$$





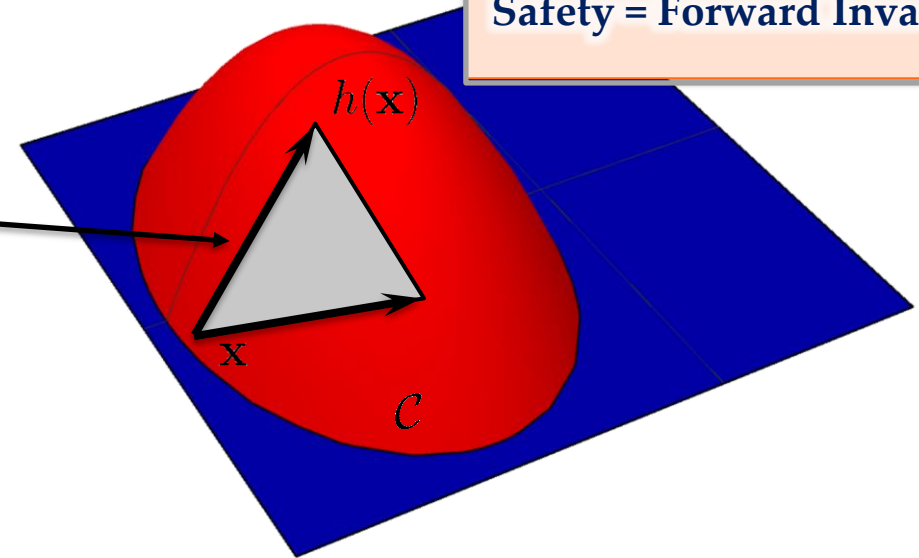
## Control Barrier Function

$$\mathcal{C} = \{\mathbf{x} \in \mathbb{R}^n \mid h(\mathbf{x}) \geq 0\}$$

$$\sup_{\mathbf{u} \in \mathbb{R}^m} \dot{h}(\mathbf{x}, \mathbf{u}) > -\alpha(h(\mathbf{x}))$$

$$\dot{h}(\mathbf{x}, \mathbf{u}) = \frac{\partial h}{\partial \mathbf{x}}(\mathbf{x})(\hat{\mathbf{f}}(\mathbf{x}) + \hat{\mathbf{g}}(\mathbf{x})\mathbf{u})$$

Safety = Forward Invariance



## Control Barrier Function

$$\mathcal{C} = \{\mathbf{x} \in \mathbb{R}^n \mid h(\mathbf{x}) \geq 0\}$$

$$\sup_{\mathbf{u} \in \mathbb{R}^m} \dot{h}(\mathbf{x}, \mathbf{u}) > -\alpha(h(\mathbf{x}))$$

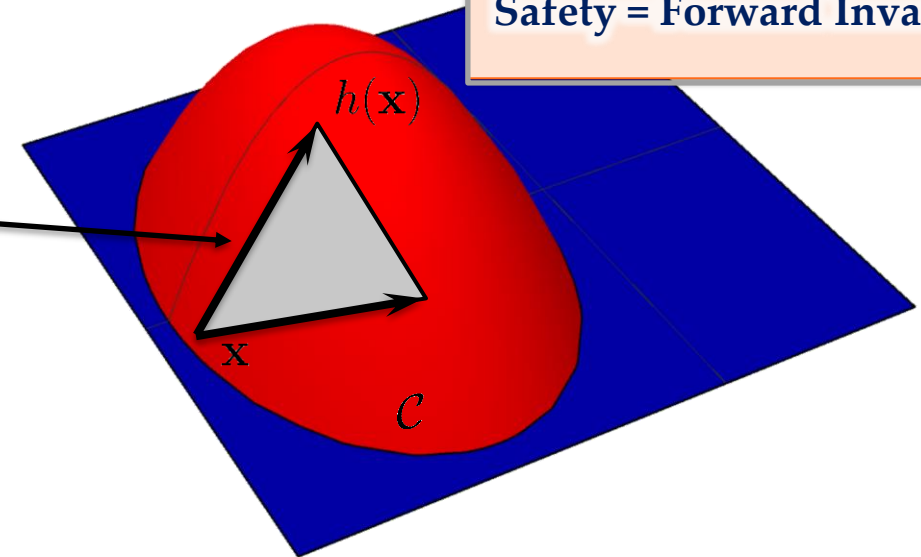
$$\dot{h}(\mathbf{x}, \mathbf{u}) = \frac{\partial h}{\partial \mathbf{x}}(\mathbf{x})(\hat{\mathbf{f}}(\mathbf{x}) + \hat{\mathbf{g}}(\mathbf{x})\mathbf{u})$$

## Feedback Controllers

[5] A. Ames, et al. Control barrier function based quadratic programs with application to adaptive cruise control, 2014.

[6] A. Ames, et al. Control barrier function based quadratic programs for safety critical systems, 2017.

Safety = Forward Invariance



## Control Barrier Function

$$\mathcal{C} = \{\mathbf{x} \in \mathbb{R}^n \mid h(\mathbf{x}) \geq 0\}$$

$$\sup_{\mathbf{u} \in \mathbb{R}^m} \dot{h}(\mathbf{x}, \mathbf{u}) > -\alpha(h(\mathbf{x}))$$

$$\dot{h}(\mathbf{x}, \mathbf{u}) = \frac{\partial h}{\partial \mathbf{x}}(\mathbf{x})(\hat{\mathbf{f}}(\mathbf{x}) + \hat{\mathbf{g}}(\mathbf{x})\mathbf{u})$$

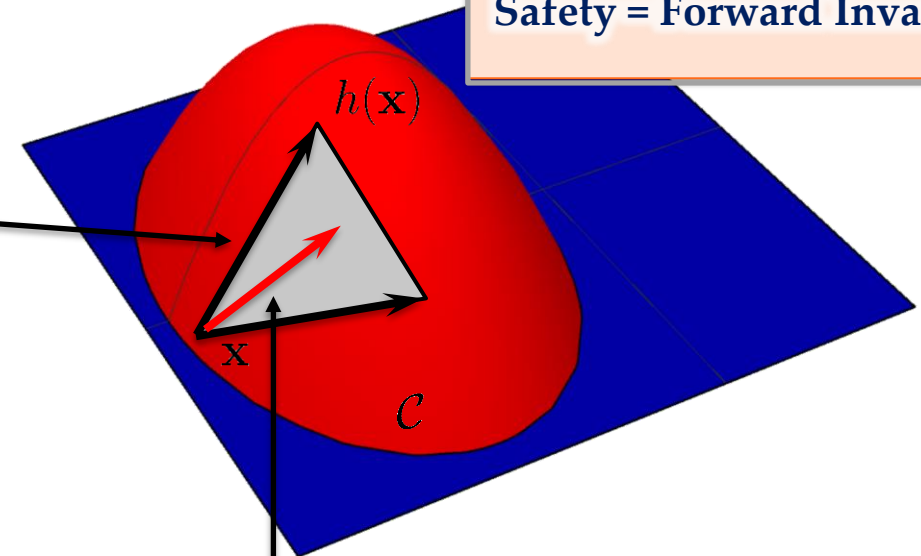
## Feedback Controllers

- [5] A. Ames, et al. Control barrier function based quadratic programs with application to adaptive cruise control, 2014.
- [6] A. Ames, et al. Control barrier function based quadratic programs for safety critical systems, 2017.

## CBF Quadratic Program<sup>[6]</sup>

$$\mathbf{k}(\mathbf{x}) = \underset{\mathbf{u} \in \mathbb{R}^m}{\operatorname{argmin}} \|\mathbf{u}\|_2^2$$
$$\text{s.t. } \dot{h}(\mathbf{x}, \mathbf{u}) \geq -\alpha(h(\mathbf{x}))$$

Safety = Forward Invariance



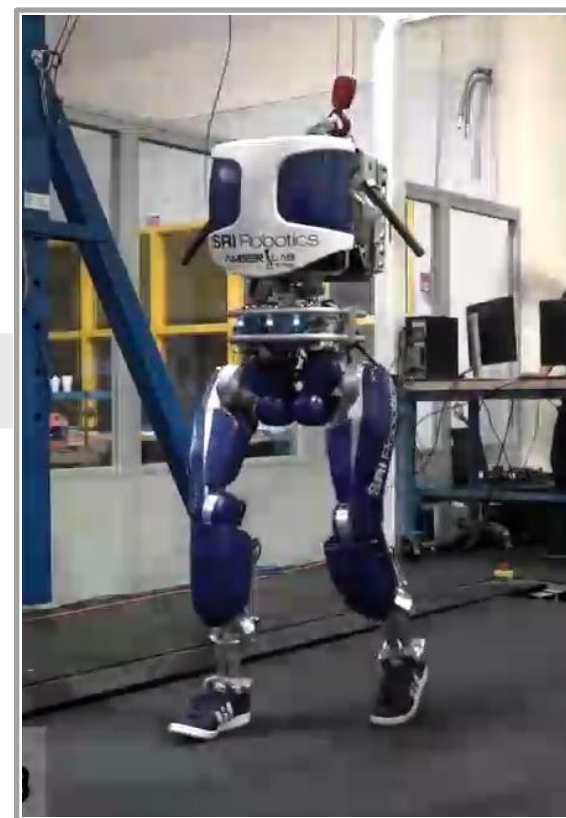
## Equations of Motion

$$\dot{\mathbf{x}} = \mathbf{f}(\mathbf{x}) + \mathbf{g}(\mathbf{x})\mathbf{u}$$

$$\mathbf{x} \in \mathbb{R}^n \quad \mathbf{u} \in \mathbb{R}^m$$

$$\mathbf{f} : \mathbb{R}^n \rightarrow \mathbb{R}^n \quad \mathbf{g} : \mathbb{R}^n \rightarrow \mathbb{R}^{n \times m}$$

True Dynamics



Physical Robot

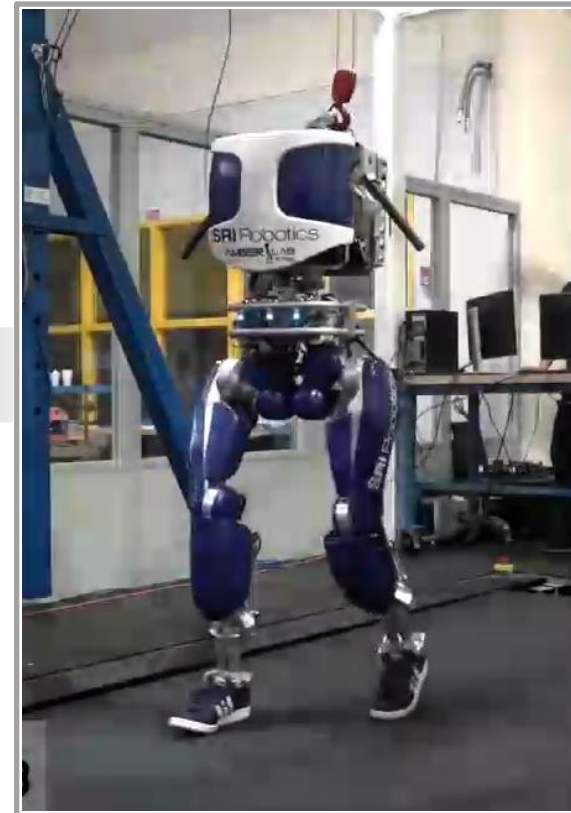
## Equations of Motion

$$\dot{\mathbf{x}} = \mathbf{f}(\mathbf{x}) + \mathbf{g}(\mathbf{x})\mathbf{u}$$
$$\mathbf{x} \in \mathbb{R}^n \quad \mathbf{u} \in \mathbb{R}^m$$
$$\mathbf{f} : \mathbb{R}^n \rightarrow \mathbb{R}^n \quad \mathbf{g} : \mathbb{R}^n \rightarrow \mathbb{R}^{n \times m}$$

## Methods

- Adaptive Control [7]
- System Identification [8]
- Machine Learning [9]
- High-gain control [10]

## True Dynamics



## Physical Robot

[7] M. Krstic, et al., Nonlinear Adaptive Control Design  
[8] L. Ljung, System Identification  
[9] J. Kober, et al., Reinforcement learning in robotics: A survey  
[10] A. Ilchmann, et al., High-gain control without identification: a survey

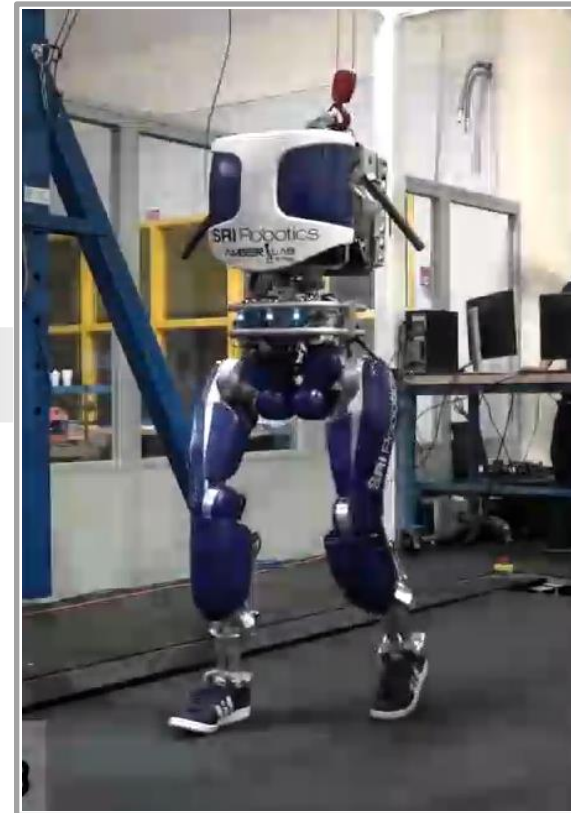
## Equations of Motion

$$\dot{\mathbf{x}} = \mathbf{f}(\mathbf{x}) + \mathbf{g}(\mathbf{x})\mathbf{u}$$
$$\mathbf{x} \in \mathbb{R}^n \quad \mathbf{u} \in \mathbb{R}^m$$
$$\mathbf{f} : \mathbb{R}^n \rightarrow \mathbb{R}^n \quad \mathbf{g} : \mathbb{R}^n \rightarrow \mathbb{R}^{n \times m}$$

## Methods

- Adaptive Control
- System Identification
- Machine Learning
- High-gain control

True Dynamics



Physical Robot

## Equations of Motion

$$\begin{aligned}\dot{\mathbf{x}} &= \mathbf{f}(\mathbf{x}) + \mathbf{g}(\mathbf{x})\mathbf{u} \\ \mathbf{x} &\in \mathbb{R}^n \quad \mathbf{u} \in \mathbb{R}^m \\ \mathbf{f} : \mathbb{R}^n &\rightarrow \mathbb{R}^n \quad \mathbf{g} : \mathbb{R}^n \rightarrow \mathbb{R}^{n \times m}\end{aligned}$$

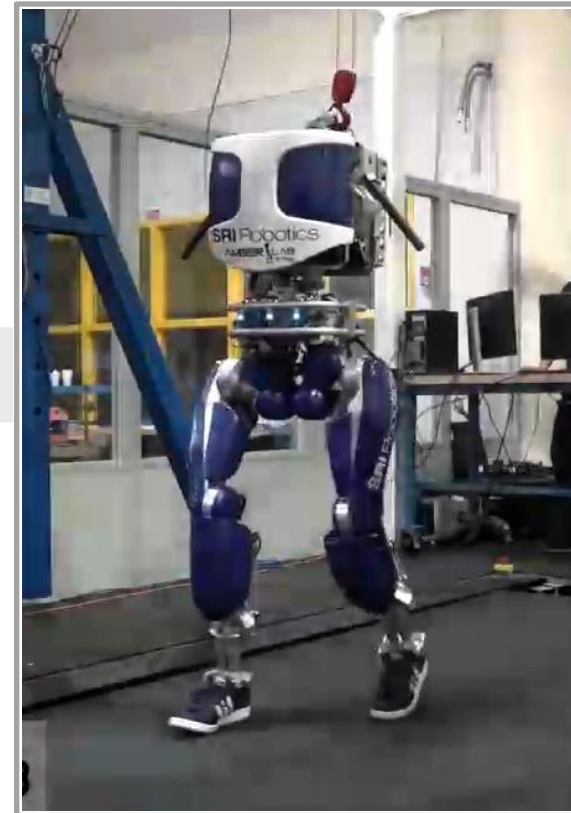
## Assumptions<sup>[4]</sup>

$\mathbf{f}$ ,  $\mathbf{g}$  locally Lipschitz continuous

$$\inf_{\mathbf{u} \in \mathbb{R}^m} \dot{h}(\mathbf{x}, \mathbf{u}) \geq -\alpha(h(\mathbf{x}))$$

$$\dot{h}(\mathbf{x}, \mathbf{u}) = \frac{\partial h}{\partial \mathbf{x}}(\mathbf{x})(\mathbf{f}(\mathbf{x}) + \mathbf{g}(\mathbf{x})\mathbf{u})$$

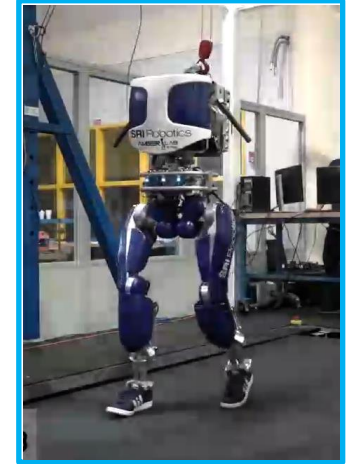
## True Dynamics



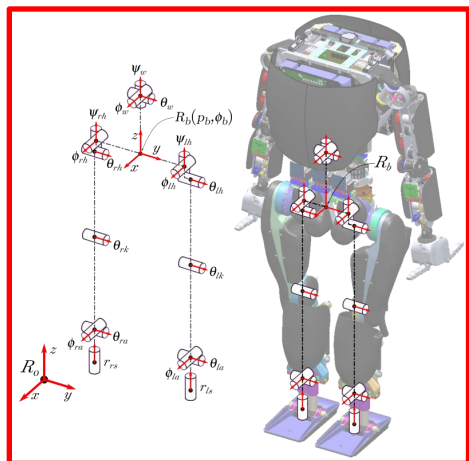
Physical Robot

[4] A. J. Taylor, A. Singletary, Y. Yue, A. D. Ames, Learning for Safety-Critical Control with Control Barrier Functions, 2020.

$$\dot{\mathbf{x}} = \mathbf{f}(\mathbf{x}) + \mathbf{g}(\mathbf{x})\mathbf{u}$$



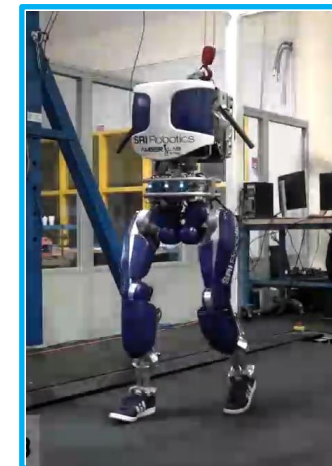


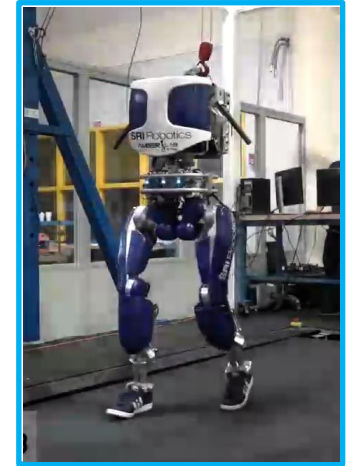
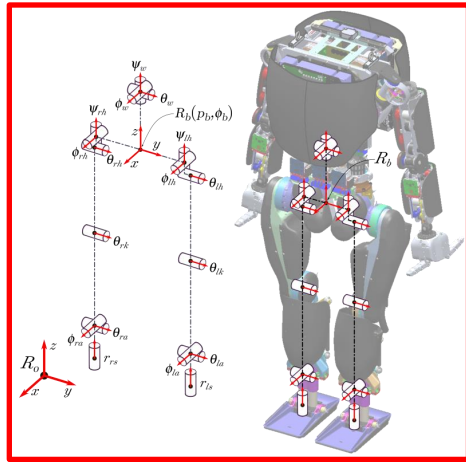


$$\dot{\mathbf{x}} = \mathbf{f}(\mathbf{x}) + \mathbf{g}(\mathbf{x})\mathbf{u}$$



$$\pm (\hat{\mathbf{f}}(\mathbf{x}) + \hat{\mathbf{g}}(\mathbf{x})\mathbf{u})$$

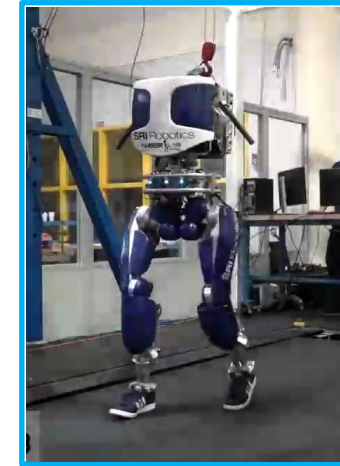
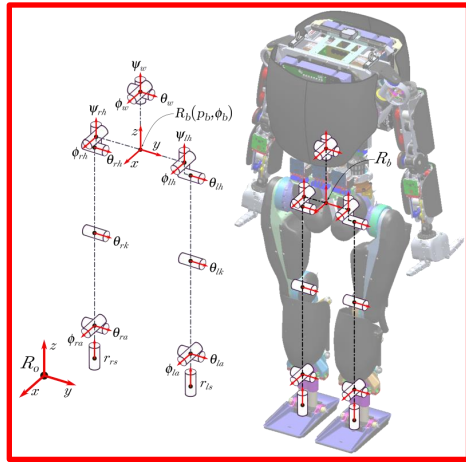




$$\dot{\mathbf{x}} = \mathbf{f}(\mathbf{x}) + \mathbf{g}(\mathbf{x})\mathbf{u}$$

$$\pm (\hat{\mathbf{f}}(\mathbf{x}) + \hat{\mathbf{g}}(\mathbf{x})\mathbf{u})$$

$$\dot{\mathbf{x}} = \hat{\mathbf{f}}(\mathbf{x}) + \hat{\mathbf{g}}(\mathbf{x})\mathbf{u} + \underbrace{(\mathbf{g}(\mathbf{x}) - \hat{\mathbf{g}}(\mathbf{x}))\mathbf{u}}_{\mathbf{A}(\mathbf{x})} + \underbrace{\mathbf{f}(\mathbf{x}) - \hat{\mathbf{f}}(\mathbf{x})}_{\mathbf{b}(\mathbf{x})}$$

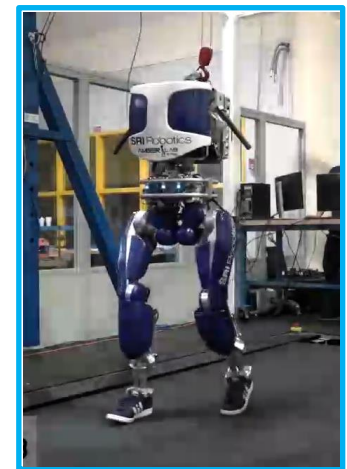
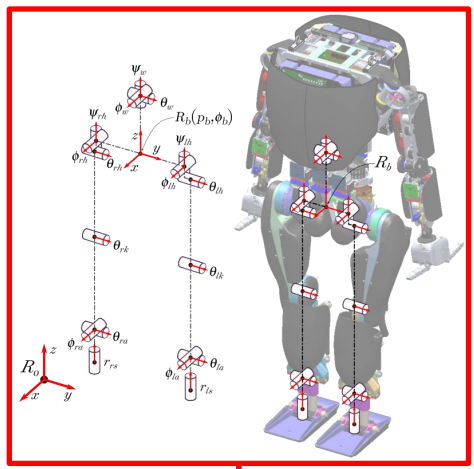


$$\dot{\mathbf{x}} = \mathbf{f}(\mathbf{x}) + \mathbf{g}(\mathbf{x})\mathbf{u}$$

$$\pm (\hat{\mathbf{f}}(\mathbf{x}) + \hat{\mathbf{g}}(\mathbf{x})\mathbf{u})$$

$$\dot{\mathbf{x}} = \hat{\mathbf{f}}(\mathbf{x}) + \hat{\mathbf{g}}(\mathbf{x})\mathbf{u} + \underbrace{(\mathbf{g}(\mathbf{x}) - \hat{\mathbf{g}}(\mathbf{x}))\mathbf{u}}_{\mathbf{A}(\mathbf{x})} + \underbrace{\mathbf{f}(\mathbf{x}) - \hat{\mathbf{f}}(\mathbf{x})}_{\mathbf{b}(\mathbf{x})}$$

Learn the residual dynamics



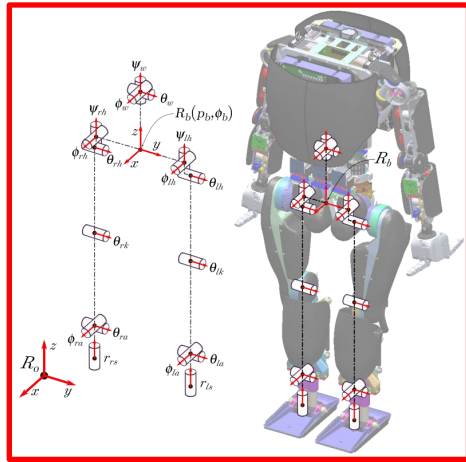
$$\dot{\mathbf{x}} = \mathbf{f}(\mathbf{x}) + \mathbf{g}(\mathbf{x})\mathbf{u}$$

$$\pm (\hat{\mathbf{f}}(\mathbf{x}) + \hat{\mathbf{g}}(\mathbf{x})\mathbf{u})$$

$$\dot{\mathbf{x}} = \hat{\mathbf{f}}(\mathbf{x}) + \hat{\mathbf{g}}(\mathbf{x})\mathbf{u} + \underbrace{(\mathbf{g}(\mathbf{x}) - \hat{\mathbf{g}}(\mathbf{x}))\mathbf{u}}_{\mathbf{A}(\mathbf{x})} + \underbrace{\mathbf{f}(\mathbf{x}) - \hat{\mathbf{f}}(\mathbf{x})}_{\mathbf{b}(\mathbf{x})}$$

$$\pm (\hat{\mathbf{b}}(\mathbf{x}) + \hat{\mathbf{A}}(\mathbf{x})\mathbf{u})$$

Learn the residual dynamics



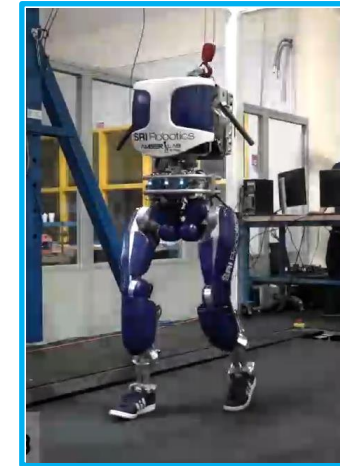
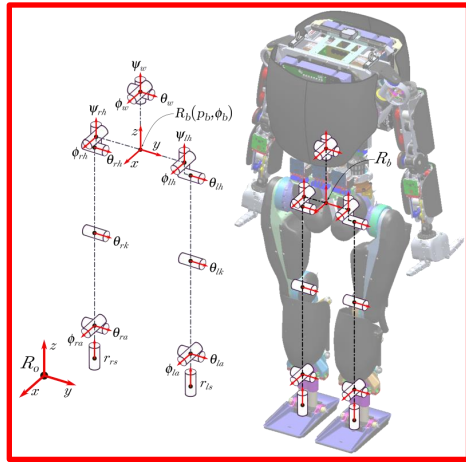
$$\dot{\mathbf{x}} = \mathbf{f}(\mathbf{x}) + \mathbf{g}(\mathbf{x})\mathbf{u}$$

$$\pm (\hat{\mathbf{f}}(\mathbf{x}) + \hat{\mathbf{g}}(\mathbf{x})\mathbf{u})$$

$$\dot{\mathbf{x}} = \hat{\mathbf{f}}(\mathbf{x}) + \hat{\mathbf{g}}(\mathbf{x})\mathbf{u} + \underbrace{(\mathbf{g}(\mathbf{x}) - \hat{\mathbf{g}}(\mathbf{x}))\mathbf{u}}_{\mathbf{A}(\mathbf{x})} + \underbrace{\mathbf{f}(\mathbf{x}) - \hat{\mathbf{f}}(\mathbf{x})}_{\mathbf{b}(\mathbf{x})}$$

$$\pm (\hat{\mathbf{b}}(\mathbf{x}) + \hat{\mathbf{A}}(\mathbf{x})\mathbf{u})$$

$$\dot{\mathbf{x}} = \hat{\mathbf{f}}(\mathbf{x}) + \hat{\mathbf{b}}(\mathbf{x}) + (\hat{\mathbf{g}}(\mathbf{x}) + \hat{\mathbf{A}}(\mathbf{x}))\mathbf{u} + (\mathbf{A}(\mathbf{x}) - \hat{\mathbf{A}}(\mathbf{x}))\mathbf{u} + \mathbf{b}(\mathbf{x}) - \hat{\mathbf{b}}(\mathbf{x})$$



$$\dot{\mathbf{x}} = \mathbf{f}(\mathbf{x}) + \mathbf{g}(\mathbf{x})\mathbf{u}$$

$$\pm (\hat{\mathbf{f}}(\mathbf{x}) + \hat{\mathbf{g}}(\mathbf{x})\mathbf{u})$$

$$\dot{\mathbf{x}} = \hat{\mathbf{f}}(\mathbf{x}) + \hat{\mathbf{g}}(\mathbf{x})\mathbf{u} + \underbrace{(\mathbf{g}(\mathbf{x}) - \hat{\mathbf{g}}(\mathbf{x}))\mathbf{u}}_{\mathbf{A}(\mathbf{x})} + \underbrace{\mathbf{f}(\mathbf{x}) - \hat{\mathbf{f}}(\mathbf{x})}_{\mathbf{b}(\mathbf{x})}$$

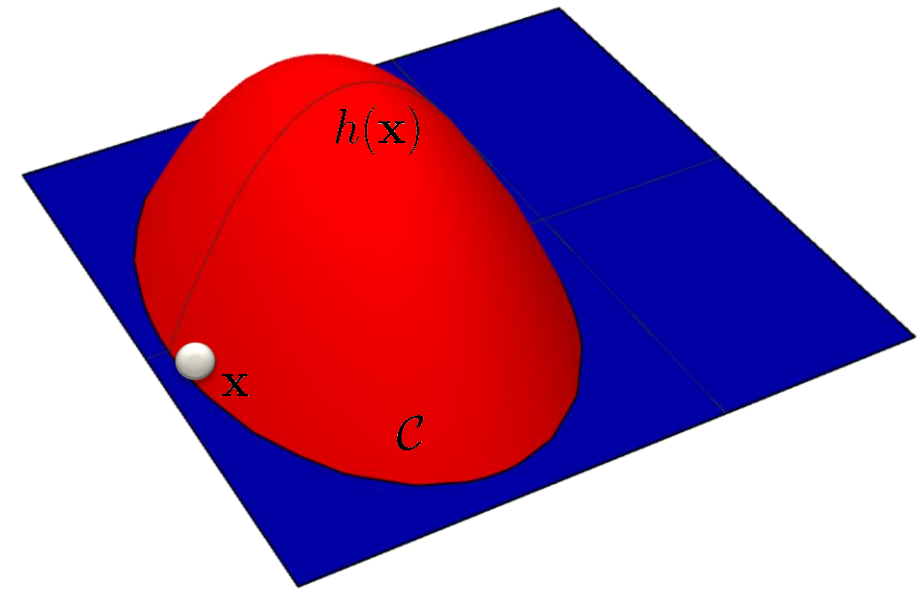
$$\pm (\hat{\mathbf{b}}(\mathbf{x}) + \hat{\mathbf{A}}(\mathbf{x})\mathbf{u})$$

$$\dot{\mathbf{x}} = \hat{\mathbf{f}}(\mathbf{x}) + \hat{\mathbf{b}}(\mathbf{x}) + (\hat{\mathbf{g}}(\mathbf{x}) + \hat{\mathbf{A}}(\mathbf{x}))\mathbf{u} + (\mathbf{A}(\mathbf{x}) - \hat{\mathbf{A}}(\mathbf{x}))\mathbf{u} + \mathbf{b}(\mathbf{x}) - \hat{\mathbf{b}}(\mathbf{x})$$

$$\mathbf{d} = (\mathbf{A}(\mathbf{x}) - \hat{\mathbf{A}}(\mathbf{x}))\mathbf{u} + \mathbf{b}(\mathbf{x}) - \hat{\mathbf{b}}(\mathbf{x})$$

## Input-to-State Safety (ISSf)<sup>[9]</sup>

$$\mathcal{C}_d \triangleq \{\mathbf{x} \in \mathbb{R}^n : h(\mathbf{x}) + \gamma(\|\mathbf{d}\|_\infty) \geq 0\}$$

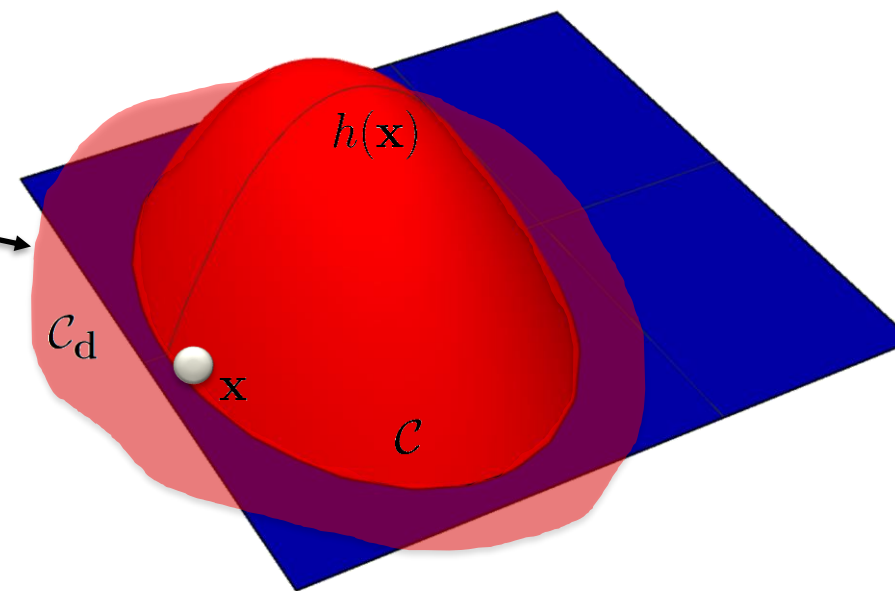


[11] S. Kolathaya, A. Ames, Input to State Safety with Control barrier functions, 2018.

## Input-to-State Safety (ISSf)<sup>[9]</sup>

$$\mathcal{C}_d \triangleq \{\mathbf{x} \in \mathbb{R}^n : h(\mathbf{x}) + \gamma(\|\mathbf{d}\|_\infty) \geq 0\}$$

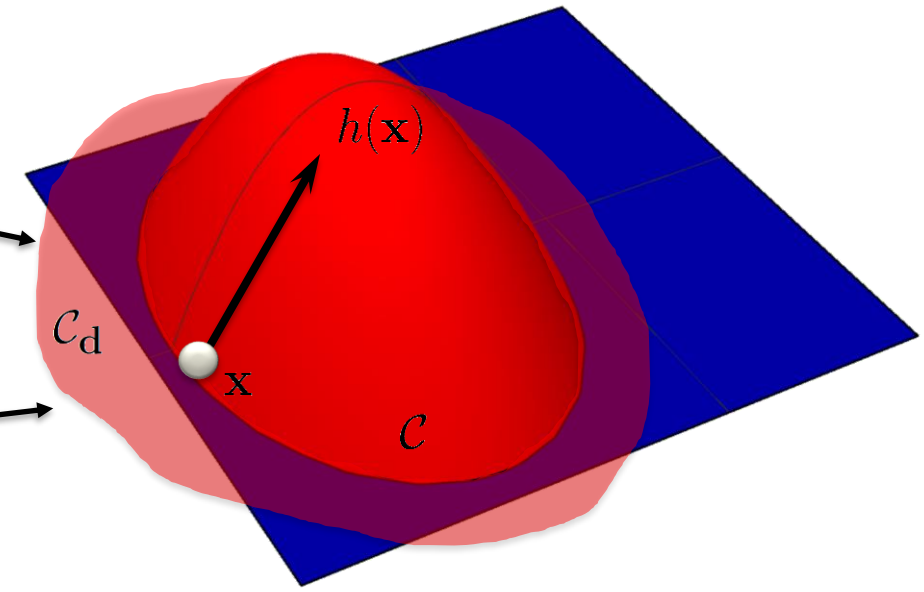
$$\mathcal{C} \subset \mathcal{C}_d$$



[11] S. Kolathaya, A. Ames, Input to State Safety with Control barrier functions, 2018.

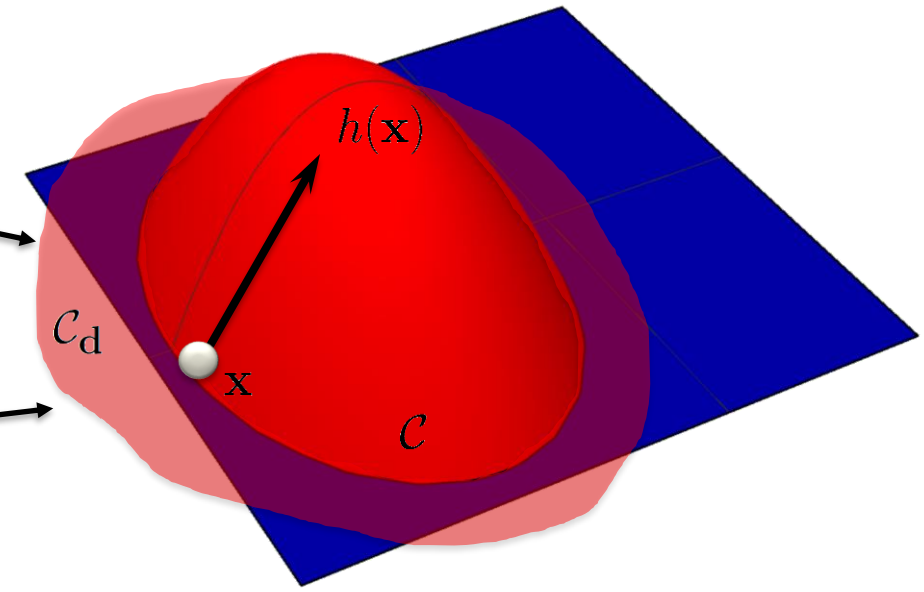


<b>Input-to-State Safety (ISSf)<sup>[9]</sup></b>
$\mathcal{C}_d \triangleq \{\mathbf{x} \in \mathbb{R}^n : h(\mathbf{x}) + \gamma(\ \mathbf{d}\ _\infty) \geq 0\}$ $\mathcal{C} \subset \mathcal{C}_d$
<b>ISSf-CBF</b>
$\sup_{\mathbf{u} \in \mathbb{R}^m} \dot{h}(\mathbf{x}, \mathbf{u}, \mathbf{d}) > -\alpha(h(\mathbf{x})) - \iota(\ \mathbf{d}\ )$



[11] S. Kolathaya, A. Ames, Input to State Safety with Control barrier functions, 2018.

<b>Input-to-State Safety (ISSf)<sup>[9]</sup></b>
$\mathcal{C}_d \triangleq \{\mathbf{x} \in \mathbb{R}^n : h(\mathbf{x}) + \gamma(\ \mathbf{d}\ _\infty) \geq 0\}$ $\mathcal{C} \subset \mathcal{C}_d$
<b>ISSf-CBF</b>
$\sup_{\mathbf{u} \in \mathbb{R}^m} \dot{h}(\mathbf{x}, \mathbf{u}, \mathbf{d}) > -\alpha(h(\mathbf{x})) - \iota(\ \mathbf{d}\ )$

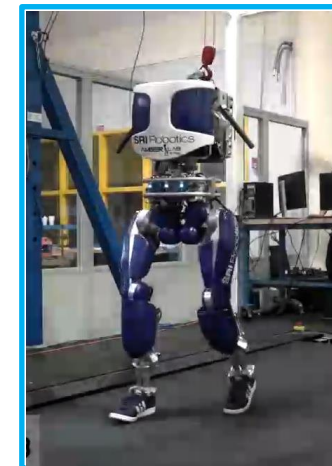
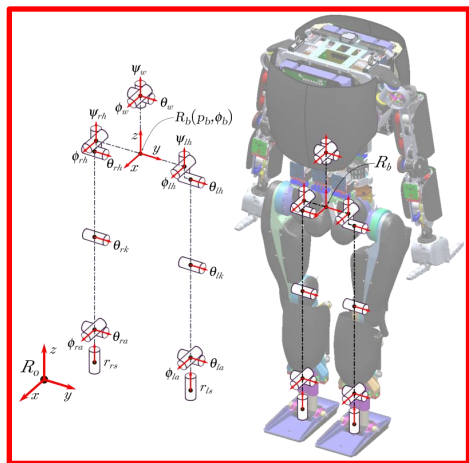


ISSf-CBF → ISSf

[11] S. Kolathaya, A. Ames, Input to State Safety with Control barrier functions, 2018.

# CBF Derivative Learning

Learn the residual dynamics



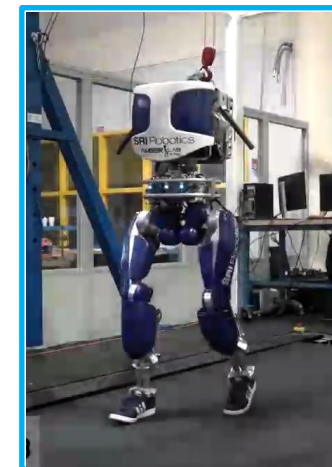
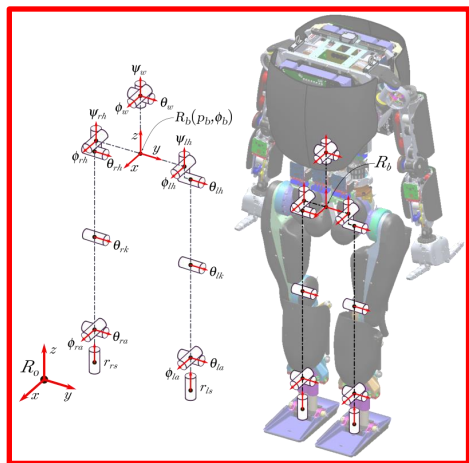
$$\dot{\mathbf{x}} = \mathbf{f}(\mathbf{x}) + \mathbf{g}(\mathbf{x})\mathbf{u}$$

$$\pm (\hat{\mathbf{f}}(\mathbf{x}) + \hat{\mathbf{g}}(\mathbf{x})\mathbf{u})$$

$$\dot{\mathbf{x}} = \hat{\mathbf{f}}(\mathbf{x}) + \hat{\mathbf{g}}(\mathbf{x})\mathbf{u} + \underbrace{(\mathbf{g}(\mathbf{x}) - \hat{\mathbf{g}}(\mathbf{x}))\mathbf{u}}_{\mathbf{A}(\mathbf{x})} + \underbrace{\mathbf{f}(\mathbf{x}) - \hat{\mathbf{f}}(\mathbf{x})}_{\mathbf{b}(\mathbf{x})}$$

# CBF Derivative Learning

Learn the residual dynamics



$$\dot{\mathbf{x}} = \mathbf{f}(\mathbf{x}) + \mathbf{g}(\mathbf{x})\mathbf{u}$$

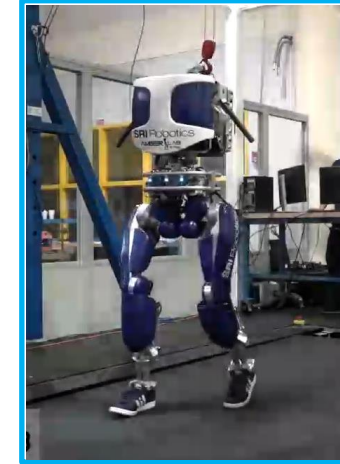
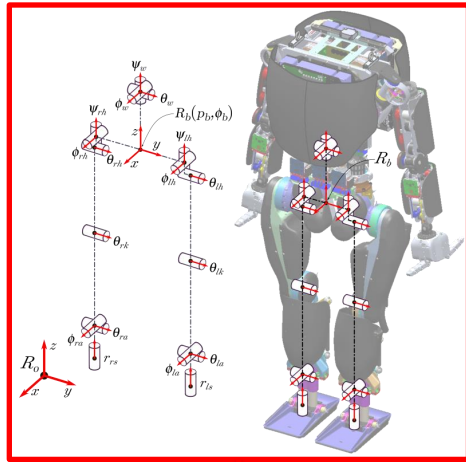
$$\pm (\hat{\mathbf{f}}(\mathbf{x}) + \hat{\mathbf{g}}(\mathbf{x})\mathbf{u})$$

$$\dot{\mathbf{x}} = \hat{\mathbf{f}}(\mathbf{x}) + \hat{\mathbf{g}}(\mathbf{x})\mathbf{u} + \underbrace{(\mathbf{g}(\mathbf{x}) - \hat{\mathbf{g}}(\mathbf{x}))\mathbf{u}}_{\mathbf{A}(\mathbf{x})} + \underbrace{\mathbf{f}(\mathbf{x}) - \hat{\mathbf{f}}(\mathbf{x})}_{\mathbf{b}(\mathbf{x})}$$

$$\dot{h}(\mathbf{x}, \mathbf{u}) = \underbrace{\frac{\partial h}{\partial \mathbf{x}}(\mathbf{x}) (\hat{\mathbf{f}}(\mathbf{x}) + \hat{\mathbf{g}}(\mathbf{x})\mathbf{u})}_{\hat{h}(\mathbf{x}, \mathbf{u})} + \underbrace{\frac{\partial h}{\partial \mathbf{x}}(\mathbf{x})\mathbf{A}(\mathbf{x})\mathbf{u}}_{\mathbf{a}(\mathbf{x})^\top} + \underbrace{\frac{\partial h}{\partial \mathbf{x}}(\mathbf{x})\mathbf{b}(\mathbf{x})}_{\mathbf{b}(\mathbf{x})}$$

# CBF Derivative Learning

Learn the residual CBF dynamics



$$\dot{\mathbf{x}} = \mathbf{f}(\mathbf{x}) + \mathbf{g}(\mathbf{x})\mathbf{u}$$

$$\pm (\hat{\mathbf{f}}(\mathbf{x}) + \hat{\mathbf{g}}(\mathbf{x})\mathbf{u})$$

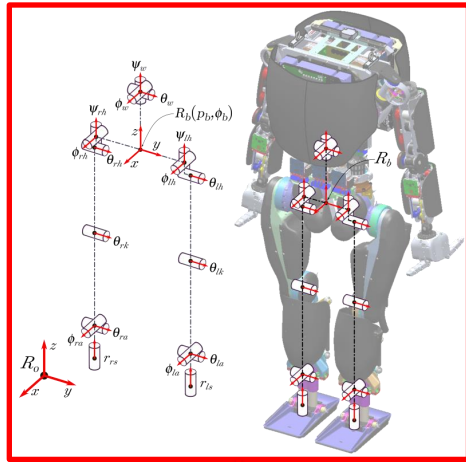
$$\dot{\mathbf{x}} = \hat{\mathbf{f}}(\mathbf{x}) + \hat{\mathbf{g}}(\mathbf{x})\mathbf{u} + \underbrace{(\mathbf{g}(\mathbf{x}) - \hat{\mathbf{g}}(\mathbf{x}))\mathbf{u}}_{\mathbf{A}(\mathbf{x})} + \underbrace{\mathbf{f}(\mathbf{x}) - \hat{\mathbf{f}}(\mathbf{x})}_{\mathbf{b}(\mathbf{x})}$$

$$\dot{h}(\mathbf{x}, \mathbf{u}) = \underbrace{\frac{\partial h}{\partial \mathbf{x}}(\mathbf{x}) (\hat{\mathbf{f}}(\mathbf{x}) + \hat{\mathbf{g}}(\mathbf{x})\mathbf{u})}_{\hat{h}(\mathbf{x}, \mathbf{u})} + \underbrace{\frac{\partial h}{\partial \mathbf{x}}(\mathbf{x})\mathbf{A}(\mathbf{x})\mathbf{u}}_{\mathbf{a}(\mathbf{x})^\top} + \underbrace{\frac{\partial h}{\partial \mathbf{x}}(\mathbf{x})\mathbf{b}(\mathbf{x})}_{\mathbf{b}(\mathbf{x})}$$

$$\pm (\hat{\mathbf{b}}(\mathbf{x}) + \hat{\mathbf{a}}(\mathbf{x})^\top \mathbf{u})$$

# CBF Derivative Learning

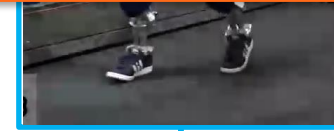
Learn the residual CBF dynamics



$$\dot{\mathbf{x}} = \mathbf{f}(\mathbf{x}) + \mathbf{g}(\mathbf{x})\mathbf{u}$$

$$\delta = (\mathbf{a}(\mathbf{x}) - \hat{\mathbf{a}}(\mathbf{x}))^\top \mathbf{u} + b(\mathbf{x}) - \hat{b}(\mathbf{x})$$

How do we quantify the impact of this disturbance in a projected environment?



$$\pm (\hat{\mathbf{f}}(\mathbf{x}) + \hat{\mathbf{g}}(\mathbf{x})\mathbf{u})$$

$$\dot{\mathbf{x}} = \hat{\mathbf{f}}(\mathbf{x}) + \hat{\mathbf{g}}(\mathbf{x})\mathbf{u} + \underbrace{(\mathbf{g}(\mathbf{x}) - \hat{\mathbf{g}}(\mathbf{x}))\mathbf{u}}_{\mathbf{A}(\mathbf{x})} + \underbrace{\mathbf{f}(\mathbf{x}) - \hat{\mathbf{f}}(\mathbf{x})}_{\mathbf{b}(\mathbf{x})}$$

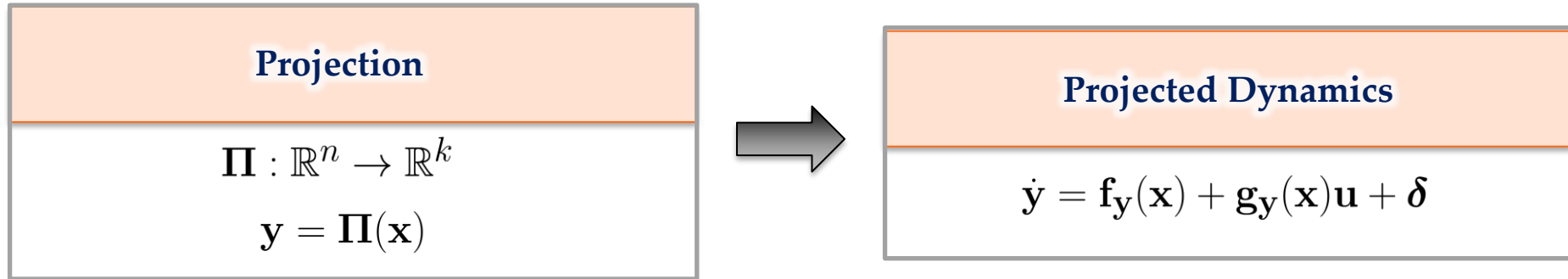
$$\dot{h}(\mathbf{x}, \mathbf{u}) = \underbrace{\frac{\partial h}{\partial \mathbf{x}}(\mathbf{x}) (\hat{\mathbf{f}}(\mathbf{x}) + \hat{\mathbf{g}}(\mathbf{x})\mathbf{u})}_{\hat{h}(\mathbf{x}, \mathbf{u})} + \underbrace{\frac{\partial h}{\partial \mathbf{x}}(\mathbf{x}) \mathbf{A}(\mathbf{x}) \mathbf{u}}_{\mathbf{a}(\mathbf{x})^\top} + \underbrace{\frac{\partial h}{\partial \mathbf{x}}(\mathbf{x}) \mathbf{b}(\mathbf{x})}_{b(\mathbf{x})}$$

$$\pm (\hat{b}(\mathbf{x}) + \hat{\mathbf{a}}(\mathbf{x})^\top \mathbf{u})$$

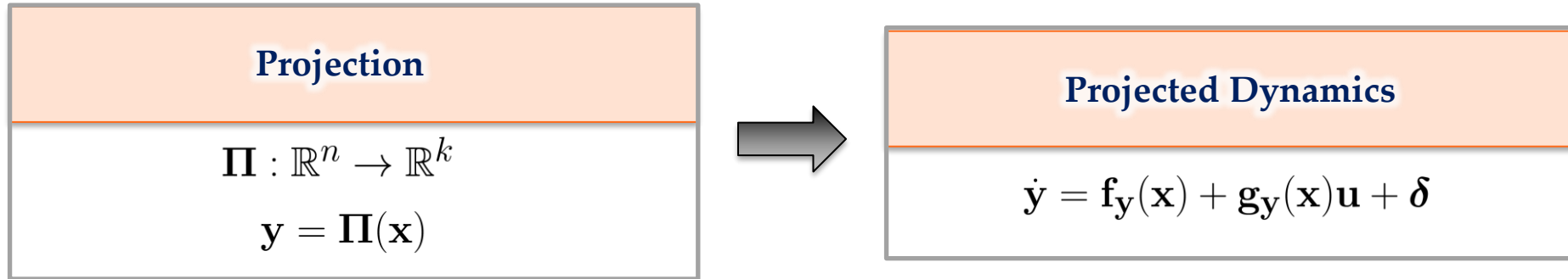
## Projection

$$\Pi : \mathbb{R}^n \rightarrow \mathbb{R}^k$$

$$\mathbf{y} = \Pi(\mathbf{x})$$

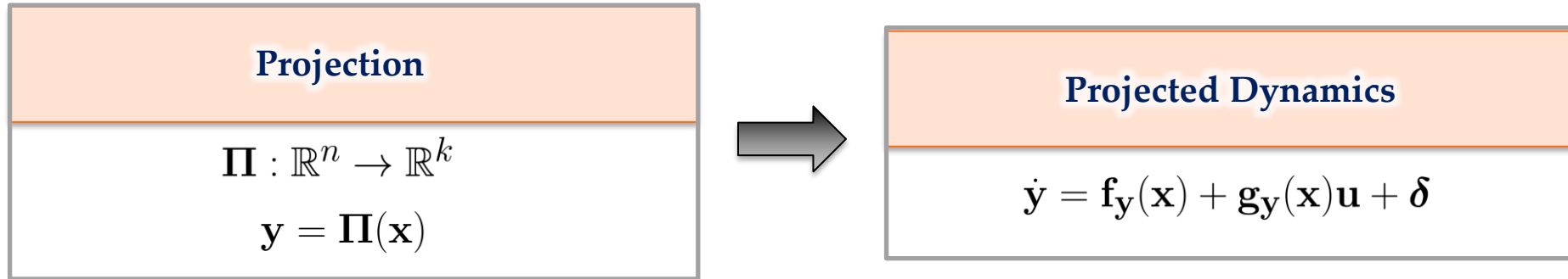






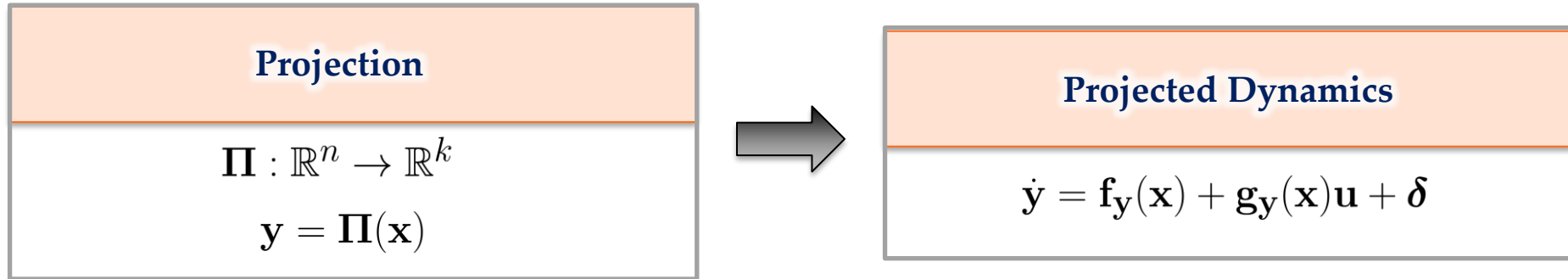
**Definition 6** (*Projection-to-State Safety*). The closed-loop system (8) is *projection-to-state safe* (PSSf) on  $\mathcal{C}$  with respect to the projection  $\Pi$  and projected disturbances  $\boldsymbol{\delta}$  if there exists  $\bar{\delta} > 0$  and  $\gamma \in \mathcal{K}_\infty$  such that the set  $\mathcal{C}_\delta \supset \mathcal{C}$ ,

$$\mathcal{C}_\delta \triangleq \{\mathbf{x} \in \mathbb{R}^n : h(\mathbf{x}) + \gamma(\|\boldsymbol{\delta}\|_\infty) \geq 0\},$$
$$\partial\mathcal{C}_\delta \triangleq \{\mathbf{x} \in \mathbb{R}^n : h(\mathbf{x}) + \gamma(\|\boldsymbol{\delta}\|_\infty) = 0\},$$
$$\text{Int}(\mathcal{C}_\delta) \triangleq \{\mathbf{x} \in \mathbb{R}^n : h(\mathbf{x}) + \gamma(\|\boldsymbol{\delta}\|_\infty) > 0\},$$



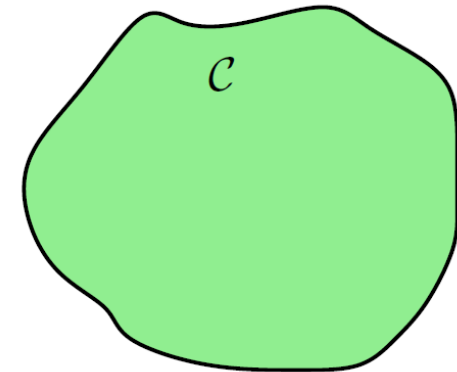
**Definition 6** (*Projection-to-State Safety*). The closed-loop system (8) is *projection-to-state safe* (PSSf) on  $\mathcal{C}$  with respect to the projection  $\Pi$  and projected disturbances  $\delta$  if there exists  $\bar{\delta} > 0$  and  $\gamma \in \mathcal{K}_\infty$  such that the set  $\mathcal{C}_\delta \supset \mathcal{C}$ ,

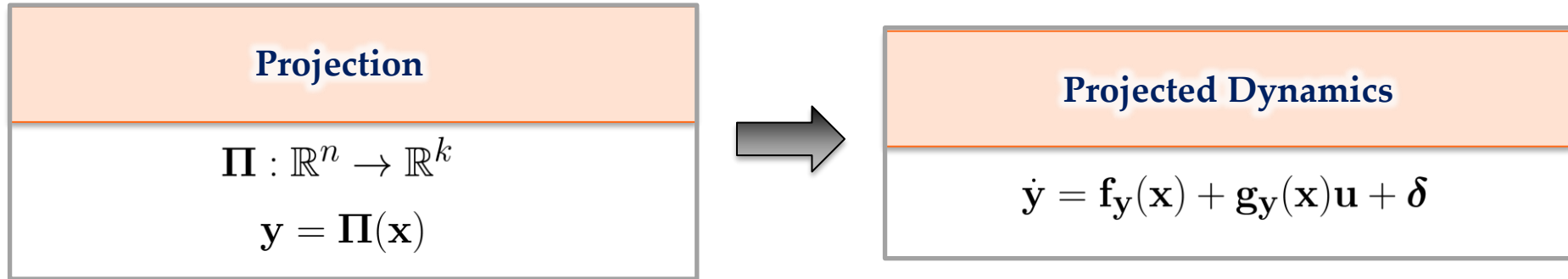
$$\begin{aligned}\mathcal{C}_\delta &\triangleq \{\mathbf{x} \in \mathbb{R}^n : h(\mathbf{x}) + \gamma(\|\delta\|_\infty) \geq 0\}, \\ \partial\mathcal{C}_\delta &\triangleq \{\mathbf{x} \in \mathbb{R}^n : h(\mathbf{x}) + \gamma(\|\delta\|_\infty) = 0\}, \\ \text{Int}(\mathcal{C}_\delta) &\triangleq \{\mathbf{x} \in \mathbb{R}^n : h(\mathbf{x}) + \gamma(\|\delta\|_\infty) > 0\},\end{aligned}$$



**Definition 6** (*Projection-to-State Safety*). The closed-loop system (8) is *projection-to-state safe* (PSSf) on  $\mathcal{C}$  with respect to the projection  $\Pi$  and projected disturbances  $\delta$  if there exists  $\bar{\delta} > 0$  and  $\gamma \in \mathcal{K}_\infty$  such that the set  $\mathcal{C}_\delta \supset \mathcal{C}$ ,

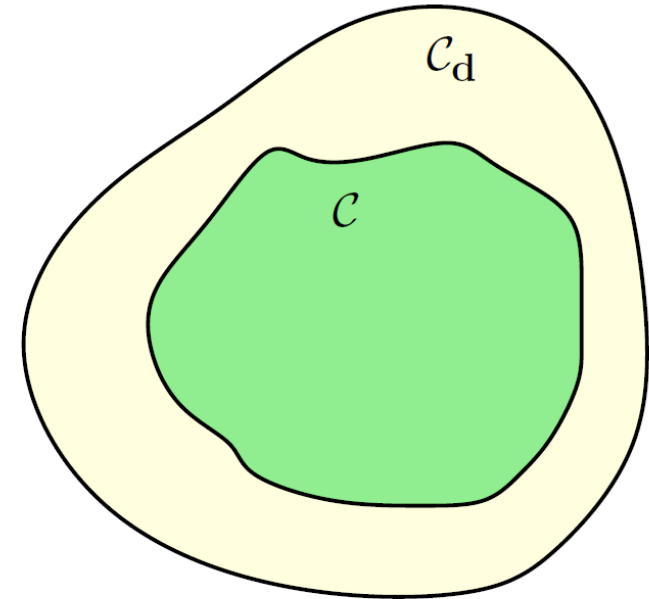
$$\mathcal{C}_\delta \triangleq \{\mathbf{x} \in \mathbb{R}^n : h(\mathbf{x}) + \gamma(\|\delta\|_\infty) \geq 0\},$$
$$\partial\mathcal{C}_\delta \triangleq \{\mathbf{x} \in \mathbb{R}^n : h(\mathbf{x}) + \gamma(\|\delta\|_\infty) = 0\},$$
$$\text{Int}(\mathcal{C}_\delta) \triangleq \{\mathbf{x} \in \mathbb{R}^n : h(\mathbf{x}) + \gamma(\|\delta\|_\infty) > 0\},$$

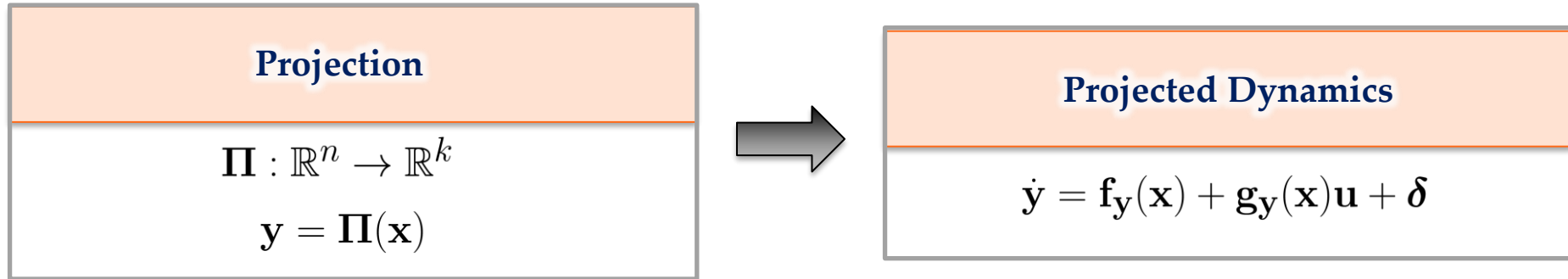




**Definition 6** (*Projection-to-State Safety*). The closed-loop system (8) is *projection-to-state safe* (PSSf) on  $\mathcal{C}$  with respect to the projection  $\Pi$  and projected disturbances  $\delta$  if there exists  $\bar{\delta} > 0$  and  $\gamma \in \mathcal{K}_\infty$  such that the set  $\mathcal{C}_\delta \supset \mathcal{C}$ ,

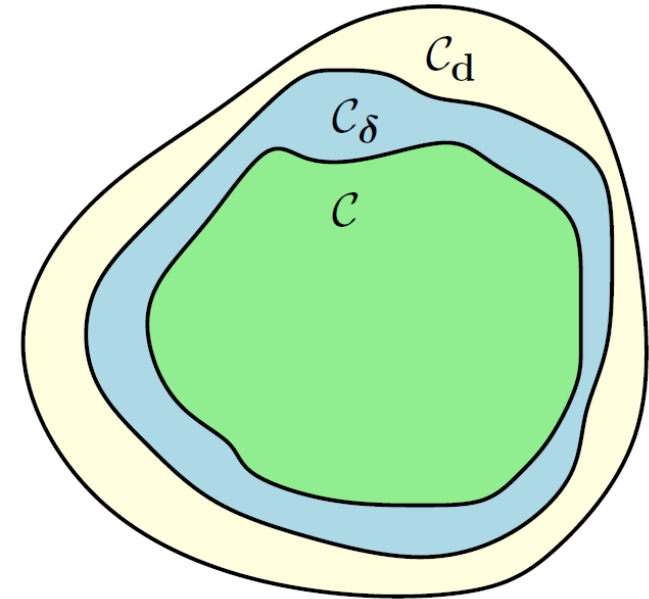
$$\mathcal{C}_\delta \triangleq \{\mathbf{x} \in \mathbb{R}^n : h(\mathbf{x}) + \gamma(\|\delta\|_\infty) \geq 0\},$$
$$\partial\mathcal{C}_\delta \triangleq \{\mathbf{x} \in \mathbb{R}^n : h(\mathbf{x}) + \gamma(\|\delta\|_\infty) = 0\},$$
$$\text{Int}(\mathcal{C}_\delta) \triangleq \{\mathbf{x} \in \mathbb{R}^n : h(\mathbf{x}) + \gamma(\|\delta\|_\infty) > 0\},$$





**Definition 6** (*Projection-to-State Safety*). The closed-loop system (8) is *projection-to-state safe* (PSSf) on  $\mathcal{C}$  with respect to the projection  $\Pi$  and projected disturbances  $\delta$  if there exists  $\bar{\delta} > 0$  and  $\gamma \in \mathcal{K}_\infty$  such that the set  $\mathcal{C}_\delta \supset \mathcal{C}$ ,

$$\begin{aligned}\mathcal{C}_\delta &\triangleq \{\mathbf{x} \in \mathbb{R}^n : h(\mathbf{x}) + \gamma(\|\delta\|_\infty) \geq 0\}, \\ \partial\mathcal{C}_\delta &\triangleq \{\mathbf{x} \in \mathbb{R}^n : h(\mathbf{x}) + \gamma(\|\delta\|_\infty) = 0\}, \\ \text{Int}(\mathcal{C}_\delta) &\triangleq \{\mathbf{x} \in \mathbb{R}^n : h(\mathbf{x}) + \gamma(\|\delta\|_\infty) > 0\},\end{aligned}$$



## Compatible Projection

**Definition 7** (*Compatible Projection*). A function  $h_{\mathbf{\Pi}} : \mathbb{R}^k \rightarrow \mathbb{R}$  is said to be a *compatible projection* for the function  $h : \mathbb{R}^n \rightarrow \mathbb{R}$  with respect to the projection  $\mathbf{\Pi} : \mathbb{R}^n \rightarrow \mathbb{R}^k$  if there exists  $\underline{\sigma}, \bar{\sigma} \in \mathcal{K}_{\infty, e}$  such that for all  $\mathbf{x} \in \mathbb{R}^n$ :

$$\underline{\sigma}(h(\mathbf{x})) \leq h_{\mathbf{\Pi}}(\mathbf{\Pi}(\mathbf{x})) \leq \bar{\sigma}(h(\mathbf{x})).$$

## Compatible Projection

**Definition 7** (*Compatible Projection*). A function  $h_{\Pi} : \mathbb{R}^k \rightarrow \mathbb{R}$  is said to be a *compatible projection* for the function  $h : \mathbb{R}^n \rightarrow \mathbb{R}$  with respect to the projection  $\Pi : \mathbb{R}^n \rightarrow \mathbb{R}^k$  if there exists  $\underline{\sigma}, \bar{\sigma} \in \mathcal{K}_{\infty, e}$  such that for all  $\mathbf{x} \in \mathbb{R}^n$ :

$$\underline{\sigma}(h(\mathbf{x})) \leq h_{\Pi}(\Pi(\mathbf{x})) \leq \bar{\sigma}(h(\mathbf{x})).$$

[3] **A. J. Taylor**, V. D. Dorobantu, et al., A Control Lyapunov Perspective on Episodic Learning via Projection to State Stability, 2019.

## Compatible Projection

**Definition 7** (*Compatible Projection*). A function  $h_{\mathbf{\Pi}} : \mathbb{R}^k \rightarrow \mathbb{R}$  is said to be a *compatible projection* for the function  $h : \mathbb{R}^n \rightarrow \mathbb{R}$  with respect to the projection  $\mathbf{\Pi} : \mathbb{R}^n \rightarrow \mathbb{R}^k$  if there exists  $\underline{\sigma}, \bar{\sigma} \in \mathcal{K}_{\infty, e}$  such that for all  $\mathbf{x} \in \mathbb{R}^n$ :

$$\underline{\sigma}(h(\mathbf{x})) \leq h_{\mathbf{\Pi}}(\mathbf{\Pi}(\mathbf{x})) \leq \bar{\sigma}(h(\mathbf{x})).$$

[3] **A. J. Taylor**, V. D. Dorobantu, et al., A Control Lyapunov Perspective on Episodic Learning via Projection to State Stability, 2019.

## Projected Safe Set

$$\mathcal{C}_{\mathbf{\Pi}} \triangleq \{\mathbf{y} \in \mathbb{R}^k : h_{\mathbf{\Pi}}(\mathbf{y}) \geq 0\}$$

$$\partial\mathcal{C}_{\mathbf{\Pi}} \triangleq \{\mathbf{y} \in \mathbb{R}^k : h_{\mathbf{\Pi}}(\mathbf{y}) = 0\}$$

$$\text{Int}(\mathcal{C}_{\mathbf{\Pi}}) \triangleq \{\mathbf{y} \in \mathbb{R}^k : h_{\mathbf{\Pi}}(\mathbf{y}) > 0\}$$

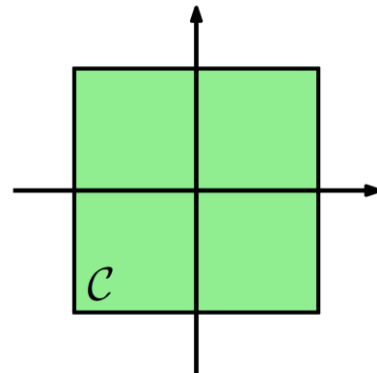


## Compatible Projection

**Definition 7 (Compatible Projection).** A function  $h_{\Pi} : \mathbb{R}^k \rightarrow \mathbb{R}$  is said to be a *compatible projection* for the function  $h : \mathbb{R}^n \rightarrow \mathbb{R}$  with respect to the projection  $\Pi : \mathbb{R}^n \rightarrow \mathbb{R}^k$  if there exists  $\underline{\sigma}, \bar{\sigma} \in \mathcal{K}_{\infty, e}$  such that for all  $\mathbf{x} \in \mathbb{R}^n$ :

$$\underline{\sigma}(h(\mathbf{x})) \leq h_{\Pi}(\Pi(\mathbf{x})) \leq \bar{\sigma}(h(\mathbf{x})).$$

[3] **A. J. Taylor**, V. D. Dorobantu, et al., A Control Lyapunov Perspective on Episodic Learning via Projection to State Stability, 2019.



## Projected Safe Set

$$\mathcal{C}_{\Pi} \triangleq \{\mathbf{y} \in \mathbb{R}^k : h_{\Pi}(\mathbf{y}) \geq 0\}$$

$$\partial\mathcal{C}_{\Pi} \triangleq \{\mathbf{y} \in \mathbb{R}^k : h_{\Pi}(\mathbf{y}) = 0\}$$

$$\text{Int}(\mathcal{C}_{\Pi}) \triangleq \{\mathbf{y} \in \mathbb{R}^k : h_{\Pi}(\mathbf{y}) > 0\}$$

## Compatible Projection

**Definition 7 (Compatible Projection).** A function  $h_{\Pi} : \mathbb{R}^k \rightarrow \mathbb{R}$  is said to be a *compatible projection* for the function  $h : \mathbb{R}^n \rightarrow \mathbb{R}$  with respect to the projection  $\Pi : \mathbb{R}^n \rightarrow \mathbb{R}^k$  if there exists  $\underline{\sigma}, \bar{\sigma} \in \mathcal{K}_{\infty, e}$  such that for all  $\mathbf{x} \in \mathbb{R}^n$ :

$$\underline{\sigma}(h(\mathbf{x})) \leq h_{\Pi}(\Pi(\mathbf{x})) \leq \bar{\sigma}(h(\mathbf{x})).$$

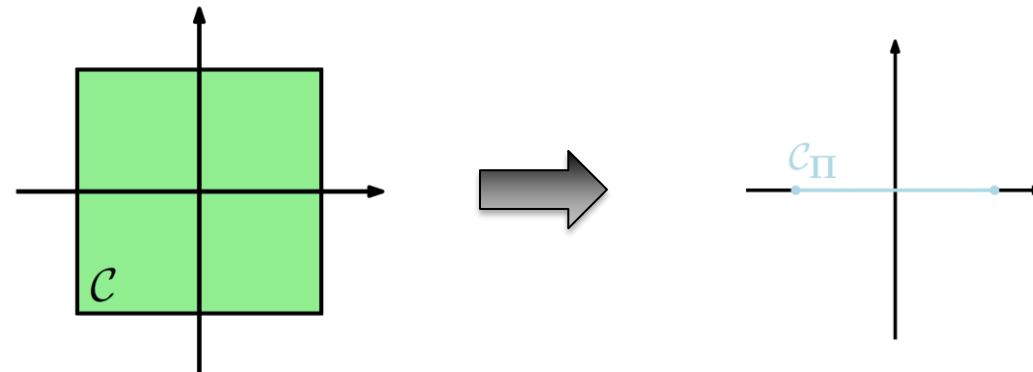
## Projected Safe Set

$$\mathcal{C}_{\Pi} \triangleq \{\mathbf{y} \in \mathbb{R}^k : h_{\Pi}(\mathbf{y}) \geq 0\}$$

$$\partial\mathcal{C}_{\Pi} \triangleq \{\mathbf{y} \in \mathbb{R}^k : h_{\Pi}(\mathbf{y}) = 0\}$$

$$\text{Int}(\mathcal{C}_{\Pi}) \triangleq \{\mathbf{y} \in \mathbb{R}^k : h_{\Pi}(\mathbf{y}) > 0\}$$

[3] A. J. Taylor, V. D. Dorobantu, et al., A Control Lyapunov Perspective on Episodic Learning via Projection to State Stability, 2019.



## Projection ISSf to PSSf

$$\dot{\mathbf{x}} = \mathbf{f}(\mathbf{x}) + \mathbf{g}(\mathbf{x})\mathbf{u} \quad (\star)$$
$$\mathcal{C} \triangleq \{\mathbf{x} \in \mathbb{R}^n : h(\mathbf{x}) \geq 0\}$$

## Projection ISSf to PSSf

$$\dot{\mathbf{x}} = \mathbf{f}(\mathbf{x}) + \mathbf{g}(\mathbf{x})\mathbf{u} \quad (\star)$$

$$\mathcal{C} \triangleq \{\mathbf{x} \in \mathbb{R}^n : h(\mathbf{x}) \geq 0\}$$

$$\text{Projection } \mathbf{\Pi} : \mathbb{R}^n \rightarrow \mathbb{R}^k$$

$$\text{Compatible Projection } h_{\mathbf{\Pi}} : \mathbb{R}^k \rightarrow \mathbb{R}$$

## Projection ISSf to PSSf

$$\dot{\mathbf{x}} = \mathbf{f}(\mathbf{x}) + \mathbf{g}(\mathbf{x})\mathbf{u} \quad (\star)$$

$$\mathcal{C} \triangleq \{\mathbf{x} \in \mathbb{R}^n : h(\mathbf{x}) \geq 0\}$$

$$\text{Projection } \mathbf{\Pi} : \mathbb{R}^n \rightarrow \mathbb{R}^k$$

$$\text{Compatible Projection } h_{\mathbf{\Pi}} : \mathbb{R}^k \rightarrow \mathbb{R}$$

$$\mathcal{C}_{\mathbf{\Pi}} \triangleq \{\mathbf{y} \in \mathbb{R}^k : h_{\mathbf{\Pi}}(\mathbf{y}) \geq 0\}$$

$$\dot{\mathbf{y}} = \mathbf{f}_{\mathbf{y}}(\mathbf{x}) + \mathbf{g}_{\mathbf{y}}(\mathbf{x})\mathbf{u} + \boldsymbol{\delta} \quad (\star\star)$$

## Projection ISSf to PSSf

$$\dot{\mathbf{x}} = \mathbf{f}(\mathbf{x}) + \mathbf{g}(\mathbf{x})\mathbf{u} \quad (*)$$

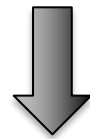
$$\mathcal{C} \triangleq \{\mathbf{x} \in \mathbb{R}^n : h(\mathbf{x}) \geq 0\}$$

$$\text{Projection } \mathbf{\Pi} : \mathbb{R}^n \rightarrow \mathbb{R}^k$$

$$\text{Compatible Projection } h_{\mathbf{\Pi}} : \mathbb{R}^k \rightarrow \mathbb{R}$$

$$\mathcal{C}_{\mathbf{\Pi}} \triangleq \{\mathbf{y} \in \mathbb{R}^k : h_{\mathbf{\Pi}}(\mathbf{y}) \geq 0\}$$

$$\dot{\mathbf{y}} = \mathbf{f}_{\mathbf{y}}(\mathbf{x}) + \mathbf{g}_{\mathbf{y}}(\mathbf{x})\mathbf{u} + \boldsymbol{\delta} \quad (**)$$



$h_{\mathbf{\Pi}}$  ISSf-CBF for  $(**)$  on  $\mathcal{C}_{\mathbf{\Pi}}$   $\implies$   $(*)$  PSSf on  $\mathcal{C}$

## Projection ISSf to PSSf

$$\dot{\mathbf{x}} = \mathbf{f}(\mathbf{x}) + \mathbf{g}(\mathbf{x})\mathbf{u} \quad (*)$$

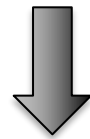
$$\mathcal{C} \triangleq \{\mathbf{x} \in \mathbb{R}^n : h(\mathbf{x}) \geq 0\}$$

$$\text{Projection } \Pi : \mathbb{R}^n \rightarrow \mathbb{R}^k$$

$$\text{Compatible Projection } h_{\Pi} : \mathbb{R}^k \rightarrow \mathbb{R}$$

$$\mathcal{C}_{\Pi} \triangleq \{\mathbf{y} \in \mathbb{R}^k : h_{\Pi}(\mathbf{y}) \geq 0\}$$

$$\dot{\mathbf{y}} = \mathbf{f}_{\mathbf{y}}(\mathbf{x}) + \mathbf{g}_{\mathbf{y}}(\mathbf{x})\mathbf{u} + \delta \quad (**)$$



$h_{\Pi}$  ISSf-CBF for  $(**)$  on  $\mathcal{C}_{\Pi} \implies (*)$  PSSf on  $\mathcal{C}$

## CBF to PSSf

CBF  $h$

View  $h$  as a Projection

$$y = h(\mathbf{x})$$

$$\dot{y} = f_y(\mathbf{x}) + \mathbf{g}_y(\mathbf{x})\mathbf{u} + \delta$$

**Projection ISSf to PSSf**

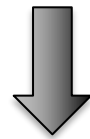
$$\dot{\mathbf{x}} = \mathbf{f}(\mathbf{x}) + \mathbf{g}(\mathbf{x})\mathbf{u} \quad (*)$$

$$\mathcal{C} \triangleq \{\mathbf{x} \in \mathbb{R}^n : h(\mathbf{x}) \geq 0\}$$

Projection  $\Pi : \mathbb{R}^n \rightarrow \mathbb{R}^k$

Compatible Projection  $h_{\Pi} : \mathbb{R}^k \rightarrow \mathbb{R}$

$$\mathcal{C}_{\Pi} \triangleq \{\mathbf{y} \in \mathbb{R}^k : h_{\Pi}(\mathbf{y}) \geq 0\}$$

$$\dot{\mathbf{y}} = \mathbf{f}_{\mathbf{y}}(\mathbf{x}) + \mathbf{g}_{\mathbf{y}}(\mathbf{x})\mathbf{u} + \delta \quad (**)$$


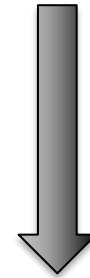
$h_{\Pi}$  ISSf-CBF for  $(**)$  on  $\mathcal{C}_{\Pi} \implies (*)$  PSSf on  $\mathcal{C}$

**CBF to PSSf**

CBF  $h$

View  $h$  as a Projection

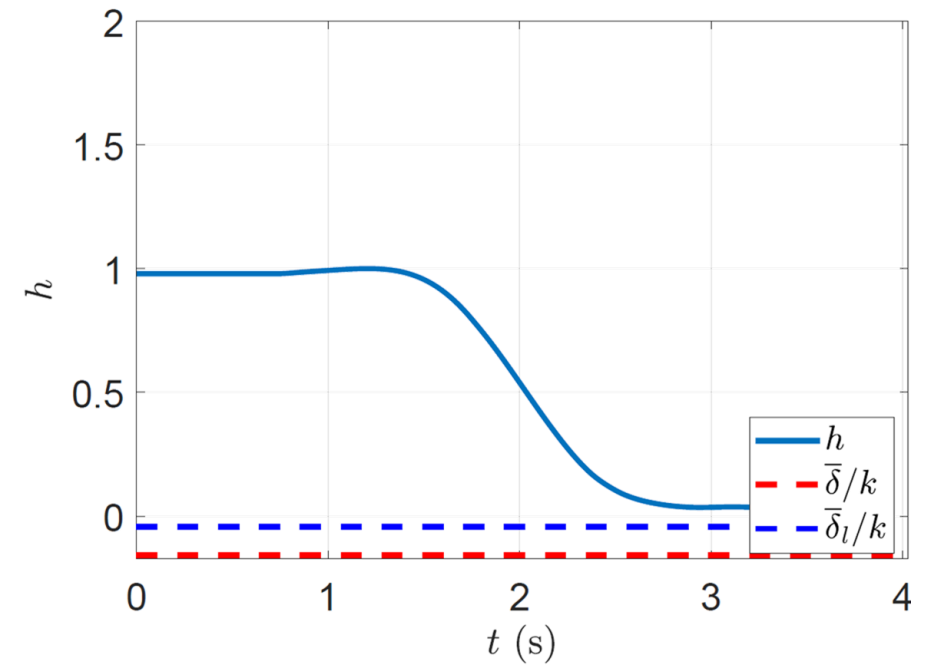
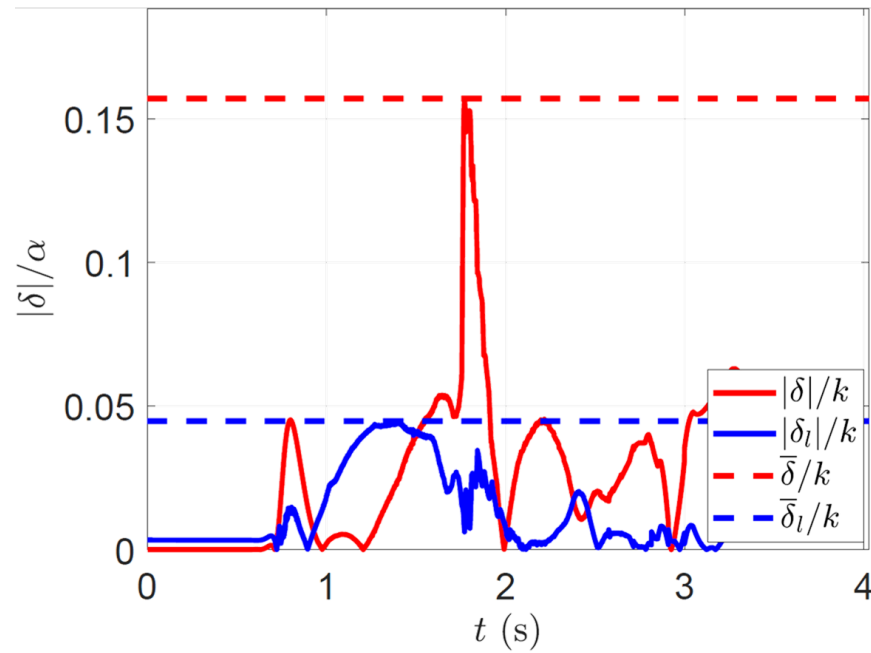
$$y = h(\mathbf{x})$$

$$\dot{y} = f_y(\mathbf{x}) + \mathbf{g}_y(\mathbf{x})\mathbf{u} + \delta$$


**PSSf with respect to**

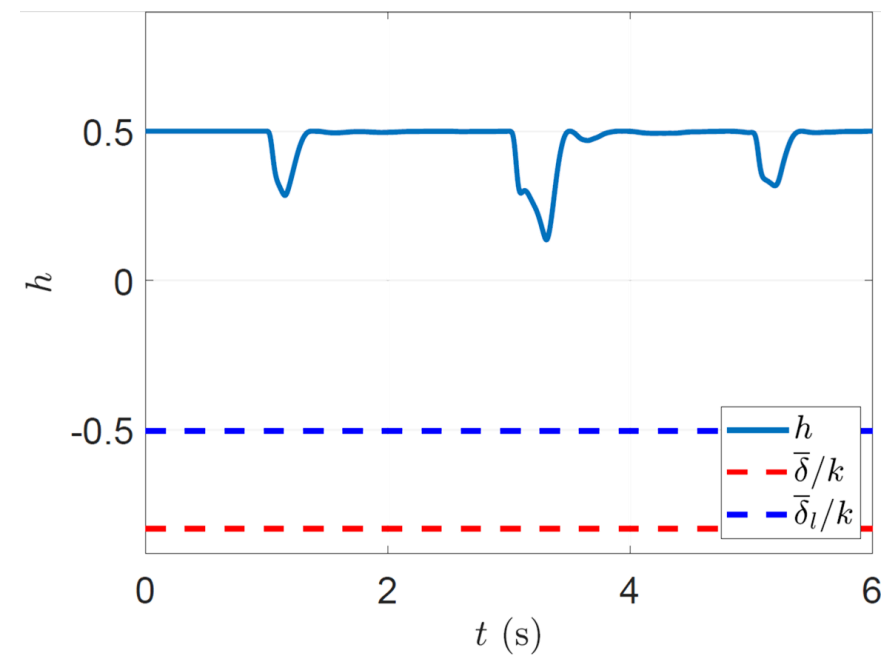
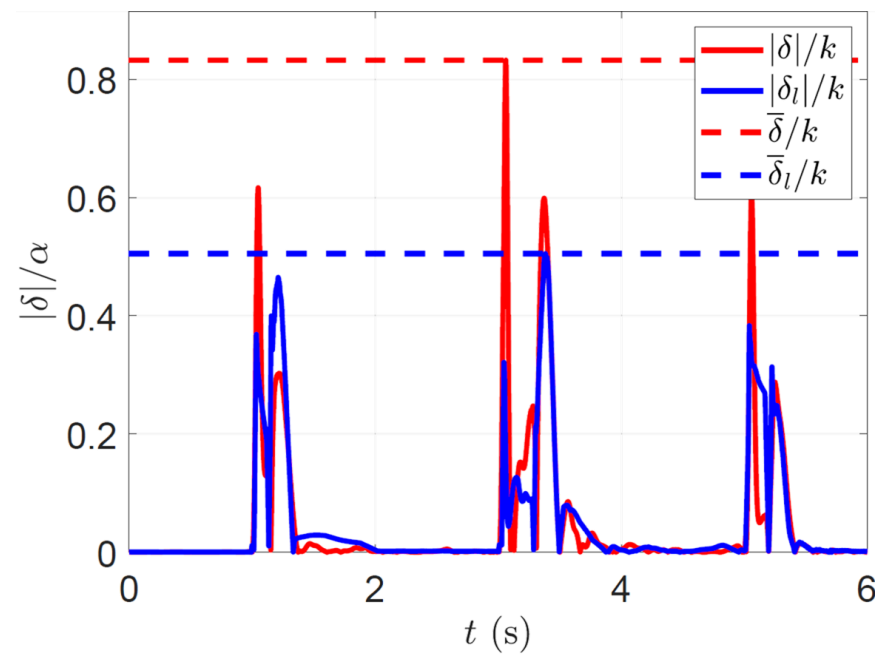
$$\delta = (\mathbf{a}(\mathbf{x}) - \hat{\mathbf{a}}(\mathbf{x}))^{\top} \mathbf{u} + b(\mathbf{x}) - \hat{b}(\mathbf{x})$$



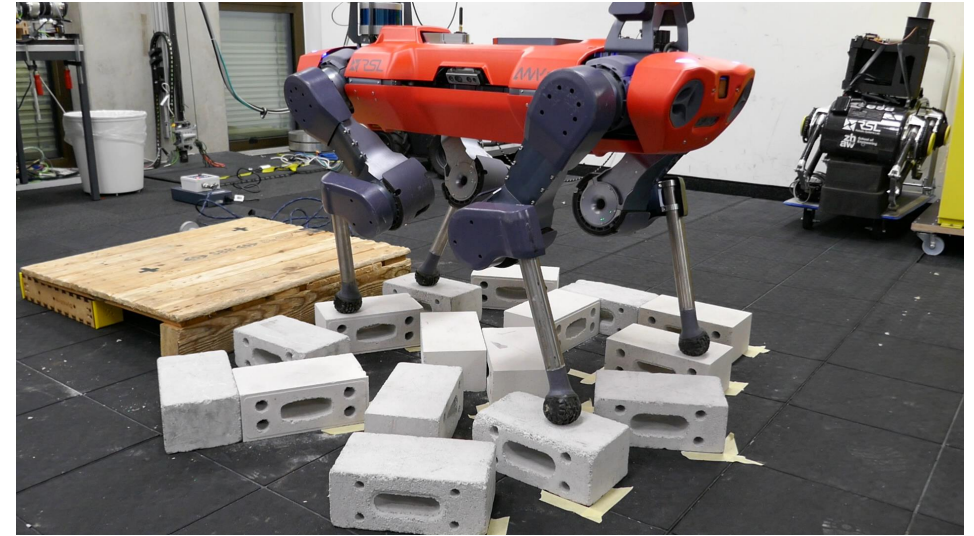




# Experimental Validation



- **Projection-to-State Safety** offers alternative approach for studying safety with projected disturbances
- Apply PSSf to study how machine learning error degrades safety guarantees
- PSSf behavior validated in simulation and experimentally



**Thank You!**

**A Control Barrier Perspective on Episodic  
Learning via Projection to State Safety**

Andrew J. Taylor   Andrew Singletary   Yisong Yue   Aaron D. Ames