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Fritz Colonius, Marco Spadini

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UNIQUENESS OF LOCAL CONTROL SETS

FRITZ COLONIUS and MARCO SPADINI

ABSTRACT. The local controllability behavior near an equilibrium is discussed. If the Jacobian of the linearized system is hyperbolic, uniqueness of local control sets is established.

1. INTRODUCTION

Local controllability properties have been studied for a long time in control theory. In this paper we concentrate on controllability properties near an equilibrium point x_0 corresponding to a constant control value u_0 . We assume that the linearized control system given by the Jacobians at (x_0, u_0) is controllable. Thus the nonlinear system is locally controllable near the equilibrium. This also holds if control constraints $u(t) \in U$ are present and $u_0 \in \text{int } U$. Thus the equilibrium is in the interior of a maximum subset of complete controllability, i.e., a control set, which, naturally, depends on the control range. However, it turns out that already in this apparently simple situation the controllability behavior can be very complicated: in Example 2.2 below, the number of control sets near the equilibrium point tends to infinity as the control ranges decrease. The underlying philosophy of the approach taken here is that hyperbolicity assumptions (i.e., the absence of purely imaginary eigenvalues) should exclude this and instead yield “simple” behavior, just as in the theory of dynamical systems the hyperbolicity implies the structural stability. Here we say that a “simple” behavior occurs if there exists a neighborhood V of the equilibrium such that for all sufficiently small control ranges, the control set around the equilibrium is the unique control set in V . The main result of this paper shows that the hyperbolicity of the Jacobian with respect to x does, in fact, guarantee the local uniqueness of the subset of complete controllability; due to the local nature of the problem, we have to consider local control sets which are defined as locally maximum subsets of complete controllability.

The analogy with the role of hyperbolicity in dynamical systems can be made more precise if one considers control systems $\dot{x} = f(x, u)$ as dynamical systems or control flows, where the set \mathcal{U} of admissible control functions u is considered as a part of the state and the dynamics on \mathcal{U} are given

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by the time-shift (cf. [4] for a systematic exposition). Then the control sets are characterized via maximum limit sets as time tends to infinity (i.e., topologically transitive subsets of the control flow). Thus our result shows that locally around a hyperbolic equilibrium x_0 of the nominal system (i.e., $\dot{x} = f(x, u_0)$) all small control ranges yield a unique maximum limit set. Naturally, our controllability assumption for the linearized system implies that the eigenvalues can be shifted by a feedback. In particular, hyperbolicity can be achieved; see Remark 2.1 for a discussion in our context.

A similar relation of controllability to hyperbolicity was observed by Grünvogel [7] in an opposite case: for singular points, i.e., equilibria which remain fixed for all controls, the existence of control sets is connected with the Lyapunov spectrum of the linearized system (which, in this case, is a bilinear control system). Here hyperbolicity excludes the existence of control sets near the equilibrium, which is a one-point control set. The present paper is an analogue of results of Grünvogel in the regular situation. The importance of hyperbolicity assumptions in this context is emphasized by the results of [1] showing that hyperbolic control sets depend continuously in the Hausdorff metric on parameters. Related work on controllability behavior near equilibria is performed for one-dimensional systems in [3].

Section 2 recalls some basic facts on control sets. For perturbed linear systems, Secs. 3 and 4 give conditions which guarantee global uniqueness of control sets; most of the results presented in these two sections have been obtained in [5]. However, in the present paper we provide new revised proofs since more precise estimates are needed for Sec. 5, where we prove the uniqueness of local control sets for nonlinear systems near an equilibrium.

Notation 1.1. In addition to the functional space $L^\infty(\mathbb{R}, \mathbb{R}^d)$ with norm $\|\cdot\|_\infty$, we consider the Sobolev space $W^{1,\infty}(\mathbb{R}, \mathbb{R}^d)$ endowed with the norm $\|x\|_{W^{1,\infty}} = \|x\|_\infty + \|\dot{x}\|_\infty$. Moreover, given $T > 0$, we consider the corresponding (Banach) subspaces of T -periodic functions $L_T^\infty(\mathbb{R}^d)$ and $W_T^{1,\infty}(\mathbb{R}^d)$, respectively.

2. PRELIMINARIES

In this section, we introduce some notions and prove preliminary results on control sets.

Consider the system

$$\dot{x}(t) = f(x(t), u(t)), \quad u \in \mathcal{U}, \quad (1)$$

where \mathcal{U} denotes the set of all piecewise continuous functions taking values in the compact subset U of \mathbb{R}^m and $f : \mathbb{R}^d \times \mathbb{R}^m \rightarrow \mathbb{R}^d$ is C^1 . We will endow \mathcal{U} with the topology inherited by the inclusion $\mathcal{U} \subset L^\infty(\mathbb{R}, \mathbb{R}^m)$. By \mathcal{U}_T we will denote the subset of \mathcal{U} consisting of all its T -periodic elements.

We assume that unique solutions $\varphi(t, x_0, u)$, $t \in \mathbb{R}$, exist for all $x_0 \in \mathbb{R}^d$ and all piecewise continuous controls u .

System (1) is locally accessible in $x \in \mathbb{R}^d$ if for all $T > 0$ the positive orbit up to time T

$$\mathcal{O}_{\leq T}^+(x) := \{\varphi(t, x, u), 0 < t \leq T \text{ and } u \in \mathcal{U}\}$$

and the negative orbit up to time T

$$\mathcal{O}_{\leq T}^-(x) := \{\varphi(t, x, u), -T \leq t < 0 \text{ and } u \in \mathcal{U}\},$$

have nonempty interior. It is said to be locally accessible in a subset $A \subset \mathbb{R}^d$ if it is locally accessible in every $x \in A$.

Local accessibility holds if a rank condition for the Lie algebra generated by the vector fields $f(\cdot, u)$, $u \in U$, holds. In the sequel, we will consider small perturbations of linear controllable systems. Then local accessibility always holds (see Remark 3.2).

We now turn to the main notions discussed in this paper.

Definition 2.1. A subset D of \mathbb{R}^d with nonempty interior is a control set of (1) if for all $x \in D$ one has

$$D \subset \text{cl} \left\{ \varphi(t, x, u), t > 0 \text{ and } u \in \mathcal{U} \right\},$$

and D is a maximum subset of \mathbb{R}^d with this property.

Note that this definition does not change if piecewise continuous controls are replaced by locally integrable ones (cf. [4, Sec. 3.2]). For a point $x \in D$, large excursions can be necessary in order to return to x . Hence we refer to control sets also as to *global* control sets. A local version is introduced next.

Definition 2.2. A subset D of \mathbb{R}^d with nonempty interior is a local control set if there exists a neighborhood V of $\text{cl} D$ such that for every $x, y \in D$ and every $\varepsilon > 0$, there exist $T > 0$ and $u \in \mathcal{U}$ such that

$$\varphi(t, x, u) \in V \text{ for all } t \in [0, T] \quad \text{and} \quad d(\varphi(T, x, u), y) < \varepsilon$$

and for every D' with $D \subset D' \subset V$ which satisfies this property, one has $D' = D$.

Thus for local control sets the maximality property of control sets is replaced by a local maximality property. The neighborhood V in the definition above will also be called an *isolating neighborhood* of D .

Note that a “global” control set is always a local control set (with \mathbb{R}^d as isolating neighborhood) while, clearly, the converse is not always true.

Lemma 2.1. *Let D be a local control set of (1). Assume that local accessibility holds in $\text{cl} D$. Then for every $x_0 \in \text{int} D$, there are $T_0 > 0$ and*

a T_0 -periodic control function $u_0 \in \mathcal{U}$ such that $\varphi(\cdot, x_0, u_0)$ is T_0 -periodic and is contained in D .

Proof. Let $x_0 \in \text{int } D$. By local accessibility and by boundedness of the control range U , there exists $T_- > 0$ such that $\emptyset \neq \text{int } \mathcal{O}_{\leq T_-}^-(x_0) \subset \text{int } D$. Choose $\delta > 0$ and a point x_1 such that $B(x_1, \delta) \subset \text{int } \mathcal{O}_{\leq T_-}^-(x_0)$. By approximate controllability in D there exist $u_1 \in \mathcal{U}$ and $T_1 > 0$ such that $\varphi(t, x_0, u_1) \in V$, $0 \leq t \leq T_1$, and $x_2 := \varphi(T_1, x_0, u_1) \in B(x_1, \delta)$. Hence we also find $u_2 \in \mathcal{U}$ and $0 < T_2 < T_-$ such that $\varphi(t, x_2, u_2) \in D$, $0 \leq t \leq T_2$, and $\varphi(T_2, x_2, u_2) = x_0$. Concatenation of u_1 and u_2 and periodic continuation yields the desired piecewise continuous control u_0 with $\varphi(T_1 + T_2, x_0, u_0) = x_0$. By maximality in V , this trajectory is contained in D . \square

Lemma 2.2. *Let D be a local control set. Then*

- (i) *D is connected;*
- (ii) *if local accessibility holds in a neighborhood of $\text{cl int } D$ then $\text{cl } D = \text{cl int } D$.*

Proof. (i) Assume, by contradiction, that there are two open subsets $A, B \subset \mathbb{R}^d$ such that $A \cap D$ and $B \cap D$ are nonempty and disjoint and their union is D . Since D has a nonempty interior, we may assume that there is a point $x \in \text{int}(A \cap D)$. Choose $y \in B \cap D$. Then, within an isolating neighborhood V for D , the point y can be steered into every neighborhood of x . Hence there are $T > 0$ and $u \in \mathcal{U}$ with $\varphi(T, x, u) \in \text{int}(A \cap D)$. It follows that every point $z = \varphi(t, y, u)$, $t \in [0, T]$, is in D contradicting the assumption. In fact, the point z can be steered arbitrarily close to any point in D , without leaving V . On the other hand, let N be a neighborhood of z . By continuous dependence on initial values, there is a neighborhood W of y such that $\varphi(t, W, u) \subset N$. By approximate controllability in D , every point in D can be steered into W and hence into N .

(ii) Assume, by contradiction, that there exists $x_0 \in D \setminus \text{cl int } D$. Let W be a neighborhood of $\text{cl int } D$, where local accessibility holds. Then, by the connectedness, there exists $x \in W \cap D \setminus \text{cl int } D$. Then x can be steered within an isolating neighborhood V into $\text{int } D$. Thus there are $T > 0$, $u \in \mathcal{U}$, and an open neighborhood $N \subset V \cap W$ of x with $\varphi(T, N, u) \subset \text{int } D$. For $y = \varphi(T, x, u)$ there are $S > 0$ and $v \in \mathcal{U}$ with $\varphi(S, y, v) \in N$. Since local accessibility holds at $\varphi(S, y, v)$, the sets $\{\varphi(t, x, u), 0 < t \leq \tau\}$, $\tau > 0$, have nonempty interiors and, for sufficiently small τ , they are contained in N . Clearly, these sets are contained in $\text{int } D$. Since N is an arbitrary neighborhood of x , it follows that $x \in \text{cl int } D$. This is a contradiction. \square

Proposition 2.1. *Let D be a local control set. Assume that local accessibility holds in a neighborhood of $\text{cl int } D$. Then for every $x, y \in D$ there*

exist a control $u \in \mathcal{U}$ and a sequence $\{t_n\} \subset \mathbb{R}$, $t_n \rightarrow +\infty$, such that

$$\varphi([0, \infty), x, u) \subset D \quad \text{and} \quad \varphi(t_n, x, u) \rightarrow y.$$

Proof. First, assume that $y \in \text{int } D$. By the boundedness of U , there exists $T > 0$ with $\text{int } \mathcal{O}_{\leq T}^-(y) \subset D$. Hence one can first steer, within V , the system from x into $\text{int } \mathcal{O}_{\leq T}^-(y)$ and then to y . This trajectory is contained in D by maximality. For a point $y \in \partial D$ one can find $y_n \in \text{int } D$ with $y_n \rightarrow y$, since, by Lemma 2.1(ii), $\text{cl int } D = \text{cl } D$. Then one argues as before. \square

An example of a local control set which is not global can be obtained in the following situation. Assume that x_0 is a hyperbolic equilibrium of the uncontrolled system with a homoclinic orbit. Then for a small control range, one will expect a local control set around x_0 which is a proper subset of a (global) control set containing also the homoclinic orbit. An explicit example is the Takens–Bogdanov oscillator discussed below. We also note that in the interior of local control sets exact controllability holds if the system is locally accessible.

The following example, the Takens–Bogdanov oscillator, illustrates the differences between local and global control sets. Its properties have been discussed by Häckl and Schneider in [8] (see also [4, Sec. 9.4]).

Example 2.1. Consider the following second-order system:

$$\ddot{x} = \lambda_1 + \lambda_2 x + x^2 + x\dot{x} + u(t), \quad u(t) \in \mathcal{U}^\rho := [-\rho, \rho].$$

The equivalent first-order system is

$$\begin{pmatrix} \dot{x} \\ \dot{y} \end{pmatrix} = \begin{pmatrix} y \\ \lambda_1 + \lambda_2 x + x^2 + xy \end{pmatrix} + u(t) \begin{pmatrix} 0 \\ 1 \end{pmatrix}. \quad (2)$$

For the parameter values $\lambda_1 = -0.2$, $\lambda_2 = -1$, the uncontrolled system has a hyperbolic equilibrium $q_0 = (x_0, y_0)$ with a homoclinic orbit. For small $\rho > 0$, one finds around the hyperbolic equilibrium a local control set $D^{\text{loc}, \rho}$, which is a proper subset of a global control set D^ρ , which also contains the homoclinic orbit $\varphi(\cdot, q, 0)$. Furthermore,

$$\bigcap_{\rho > 0} D^{\text{loc}, \rho} = \{(x_0, y_0)\} \quad \text{and} \quad \bigcap_{\rho > 0} D^\rho = \{(x_0, y_0)\} \cup \{\varphi(t, q, 0), t \in \mathbb{R}\}.$$

The next example shows, as announced in the introduction, the complicated controllability behavior which may occur in the absence of hyperbolicity. It is taken from [2].

Example 2.2. Consider a system in \mathbb{R} of the form

$$\dot{x} = f_0(x) - 3u_1 + 6u_2 =: f(x, u), \quad x \in \mathbb{R},$$

Then, as in [2, Example 5.5], a C^∞ -vector field f_0 can be constructed so that the following holds: for the control range $U^{\frac{1}{N}} = [-\frac{1}{N}, \frac{1}{N}] \times [-\frac{1}{N}, \frac{1}{N}]$, there

are at least $\frac{N}{2} + 2$ control sets. For $N \rightarrow \infty$ the number of control sets tends to infinity, and they cluster at $x = \pi$. Thus, one obtains more and more complex controllability behavior near the equilibrium as the control range decreases. The system linearized at $(x_0 = \pi, u_1^0 = u_2^0 = 0)$ is obviously controllable. However, the Jacobian $A = \frac{\partial f}{\partial x}(x, u) \Big|_{x=\pi, u=0}$ with respect to x vanishes and hence A is not hyperbolic (i.e., there are no eigenvalues on the imaginary axis).

We will show that the kind of degenerate behavior near an equilibrium as discussed above cannot occur if A is hyperbolic. For controllable linearization (A, B) with hyperbolic A we show that there exists a neighborhood of the equilibrium containing a unique local control set provided that the control range is sufficiently small.

Remark 2.1. Controllability of the linearized system implies that the eigenvalues can be arbitrarily shifted by a feedback F . In particular, one can obtain hyperbolicity by applying the preliminary feedback F resulting in the system

$$\dot{x} = f(x, F(x - x_0) + v(t)).$$

If one keeps track of the original control constraint $u(t) \in U$, one has to require that the new control v be restricted by a state dependent set,

$$v(t) \in U - F(x - x_0).$$

Thus, the results presented below, in particular, Theorem 5.1, do not apply to this system (note that $F(x - x_0) \in U$ must also hold).

3. PERTURBED LINEAR SYSTEMS

In this section, we analyze the reachability behavior of systems which are nonlinear perturbations of linear control systems. In particular, we provide sufficient conditions for the trajectories to end in the interior of the reachable set.

We consider control processes of the form

$$\dot{x}(t) = Ax(t) + Bu(t) + F(x(t), u(t)), \quad u(t) \in U, \quad (3)$$

where $A \in \mathbb{R}^{d \times d}$, $B \in \mathbb{R}^{d \times m}$, and $F : \mathbb{R}^d \times \mathbb{R}^m \rightarrow \mathbb{R}^d$ is a C^1 -function with

$$\|\partial_1 F(x, u)\| \leq M \quad \text{and} \quad \|\partial_2 F(x, u)\| \leq M,$$

uniformly for some $M > 0$.

We denote by $\varphi(\cdot, x_0, u)$, $x_0 \in \mathbb{R}^d$, $u \in \mathcal{U}$, the solution of the Cauchy problem

$$\dot{x}(t) = Ax(t) + Bu(t) + F(x(t), u(t)), \quad x(0) = x_0. \quad (4)$$

For $T > 0$, we consider the Banach space

$$C([0, T], \mathbb{R}^m) := \{v : [0, T] \rightarrow \mathbb{R}^m, v \text{ is continuous}\}$$

endowed with the supremum-norm. Let a piecewise continuous control function u_0 with $u_0(t) \in \text{int } U$ for all $t \in \mathbb{R}$ be given and define a nonempty open subset of $C([0, T], \mathbb{R}^m)$ as follows:

$$\mathcal{V}(u_0) := \{v \in C([0, T], \mathbb{R}^m), u_0(t) + v(t) \in \text{int } U \text{ for all } t \in [0, T]\}.$$

Given $x_0 \in \mathbb{R}^d$, define a C^1 -mapping $\Theta : \mathcal{V}(u_0) \rightarrow \mathbb{R}^d$ by the formula

$$\Theta(v) = \varphi(T, x_0, u_0 + v).$$

We want to show that, under suitable assumptions on A and B and for sufficiently small M , there exists a neighborhood of $x_1 := \Theta(0)$ which consists of images of Θ . This follows from the rank theorem (see, e.g., [10, Theorem 52]) if $\Theta'(0)$ is surjective.

Define a bounded linear mapping $\Gamma : C([0, T], \mathbb{R}^m) \rightarrow \mathbb{R}^d$ by the formula

$$\Gamma v = \int_0^T e^{(T-s)A} B v(s) ds.$$

For a controllable pair (A, B) , the mapping Γ is surjective. Since the surjective linear mappings form an open subset in the space of continuous linear mappings $\mathcal{L}(C([0, T], \mathbb{R}^m), \mathbb{R}^d)$, there exists $r = r(A, B, T) > 0$, depending on A, B , and T , such that every $H \in \mathcal{L}(C([0, T], \mathbb{R}^m), \mathbb{R}^d)$ with $\|H - \Gamma\| \leq r$ is surjective.

Proposition 3.1. *Let the pair (A, B) be controllable and $T > 0$. Then there exists a constant $M := M(A, B, T) > 0$ such that for every C^1 -function F with uniform estimates $\|\partial_1 F(x, u)\| \leq M$ and $\|\partial_2 F(x, u)\| \leq M$, the following holds: for all $x_0 \in \mathbb{R}^d$ and $u_0 \in \text{int } \mathcal{U}$, there exists a neighborhood V of 0 in $C([0, T], \mathbb{R}^m)$ with $\Theta(0) = \varphi(T, x_0, u_0) \in \text{int } \Theta(V)$.*

Proof. By the preceding remarks, we must prove that

$$\Theta'(0) = \partial_3 \varphi(T, x_0, u_0)$$

is surjective. For $v \in C([0, T], \mathbb{R}^m)$, we set

$$\alpha(t) = \partial_3 \varphi(t, x_0, u_0)v, \quad \beta(t) = \partial_3 \psi(t, x_0, u_0)v,$$

where $\psi(t, x_0, u_0)$ is the solution of the unperturbed equation

$$\dot{x} = Ax + Bu_0(t), \quad x(0) = x_0.$$

The chain rule implies

$$\begin{aligned} \alpha(t) = & \int_0^t [A\alpha(s) + Bv(s) + \partial_1 F(\varphi(s, x_0, u_0), u_0(s))\alpha(s) \\ & + \partial_2 F(\varphi(s, x_0, u_0), u_0(s))v(s)] ds \end{aligned} \quad (5)$$

and, similarly,

$$\beta(t) = \int_0^t [A\beta(s) + Bv(s)] ds. \quad (6)$$

Hence

$$|\alpha(t)| \leq \|v\|_\infty (\|B\| + M) + \int_0^t (M + \|A\|) |\alpha(s)| ds.$$

The Gronwall inequality yields

$$|\alpha(t)| \leq \|v\|_\infty (\|B\| + M) e^{t(\|A\|+M)}. \quad (7)$$

Moreover, (5) and (6) imply

$$|\alpha(t) - \beta(t)| \leq M \left(\|v\|_\infty + \int_0^T |\alpha(s)| ds \right) + \int_0^t \|A\| |\alpha(s) - \beta(s)| ds \quad (8)$$

for all $t \in [0, T]$. Substituting (7) into (8), we obtain

$$\begin{aligned} |\alpha(t) - \beta(t)| &\leq M \|v\|_\infty (1 + T \|B\| + T M e^{T(\|A\|+M)}) \\ &+ \int_0^t \|A\| |\alpha(s) - \beta(s)| ds \leq c(M) \|v\|_\infty + \int_0^t \|A\| |\alpha(s) - \beta(s)| ds, \end{aligned} \quad (9)$$

where

$$c(M) := M(1 + T \|B\| + T M e^{T(\|A\|+M)})$$

Note that estimate (9) is independent of u_0 and x_0 . Applying the Gronwall inequality, we obtain

$$\sup_{t \in [0, T]} |\alpha(t) - \beta(t)| \leq c(M) \|v\|_\infty e^{T\|A\|}.$$

Since $c(M) \rightarrow 0$ as $M \rightarrow 0^+$, there exists $M = M(A, B, T) > 0$ such that

$$|\alpha(T) - \beta(T)| \leq r \|v\|_\infty.$$

Recalling that $\alpha(T) = \Theta'(0)v$ and $\beta(T) = \Gamma v$, we find

$$\|\Theta'(0) - \Gamma\| \leq r$$

independently of u_0 and x_0 . This yields the surjectivity of $\Theta'(0)$ for all u_0 and x_0 . \square

Next we show that the constant $M = M(A, B, T)$ from Proposition 3.1 can be chosen independently of T for $T > 1$. We will abbreviate

$$M_{A,B} = M(A, B, 1). \quad (10)$$

For $u \in C(\mathbb{R}, \mathbb{R}^m)$ and $\tau \in \mathbb{R}$, we set $(\vartheta_\tau u)(t) = u(t + \tau)$, $t \in [0, 1]$. For $x_0 \in \mathbb{R}^d$, $u_0 \in \mathcal{U}$, and $T > 1$, define $\Psi_T : C([0, 1], \mathbb{R}^m) \rightarrow \mathbb{R}^d$ by

$$\Psi_T(v) = \varphi(T - 1, \varphi(1, x_0, u_0 + v), \vartheta_1 u_0).$$

We obtain the following corollary.

Corollary 3.1. *Assume that the pair (A, B) is controllable and that F is a C^1 -function with uniform estimates $\|\partial_1 F(x, u)\| \leq M_{A,B}$ and $\|\partial_2 F(x, u)\| \leq M_{A,B}$. Then for all $x_0 \in \mathbb{R}^d$ and $u_0 \in \mathcal{U}$, there exists a neighborhood V of $0 \in C([0, 1], \mathbb{R}^m)$ such that for every $T > 1$ one has $\varphi(T, x_0, u_0) \in \text{int } \Psi_T(V)$.*

Proof. Proposition 3.1 implies $\varphi(1, x_0, u_0) \in \text{int}\{\varphi(1, x_0, u_0 + v), v \in V\}$. Then the assertion follows since the solution of a differential equation defines a homeomorphism. \square

Remark 3.1. Note that in Proposition 3.1, for $0 < T < 1$ one can take $M(A, B, T) \geq M(A, B, 1)$. Thus, using arguments similar to those of Corollary 3.1, one finds that for all $T > 0$,

$$\varphi(T, x_0, u_0) \in \text{int}\{\varphi(T, x_0, w), w \in \text{int } \mathcal{U}\} \subset \text{int } \mathcal{O}_T^+(x_0).$$

Here the controls w are not necessarily continuous. The same assertion holds for the time reversed system. Thus, under the assumptions of Corollary 3.1, system (3) is locally accessible.

Remark 3.2. Consider a nonlinear system

$$\dot{x}(t) = f(x(t), u(t)), \quad u(t) \in \rho U,$$

where $\rho > 0$ is given and $U \subset \mathbb{R}^m$. Let $x_0 \in \mathbb{R}^d$ be an equilibrium corresponding to $u_0 \in \text{int } U$ such that $f(x_0, u_0) = 0$. Assume that the linearized system

$$\dot{x}(t) = \partial_1 f(x_0, u_0)x(t) + \partial_2 f(x_0, u_0)u(t)$$

is controllable. Then there exists a neighborhood N of the equilibrium x_0 , such that the nonlinear system is locally accessible in N . This is true since the accessibility rank condition which holds by assumption for the linearized system, remains true under small variations of the involved vector fields. Also the local controllability problem around trajectories studied in this section can be analyzed using similar arguments (based on a Lie algebraic criterion). We prefer the functional analytic arguments above, since they fit with the analysis of periodic solutions given in the next section.

4. GLOBAL UNIQUENESS FOR PERTURBATIONS OF LINEAR SYSTEMS

In this section, we prove a “global” uniqueness result for control sets under the assumptions that A is hyperbolic, (A, B) is controllable, and F has bounded partial derivatives. See [5] for examples, where the number of control sets varies dramatically when a “small” nonzero term is added to a linear control process (see also [9]).

We begin with the following result about periodic solutions of linear differential equations. Recall that a matrix A is hyperbolic if none of its eigenvalues has zero real part.

Lemma 4.1. *Let A be hyperbolic. Then there exists a constant $K_A > 0$, depending only on A , such that for all $T > 0$ and $y \in L_T^\infty(\mathbb{R}^d)$, the (unique) T -periodic solution ξ of*

$$\dot{x} = Ax + y \quad (11)$$

satisfies $\|\xi\|_{W^{1,\infty}} < K_A \|y\|_\infty$.

Proof. Since A is hyperbolic, for any T -periodic y one finds the unique T -periodic solution of (11)

$$\xi(t) = e^{tA}(1 - e^{TA})^{-1} \int_0^T e^{(T-s)A} y(s) ds + \int_0^t e^{(t-s)A} y(s) ds.$$

It remains to prove the boundedness assertion. First we claim that for every $y \in L^\infty(\mathbb{R}^d)$ there exists an essentially bounded solution of (11). In fact, it is readily proven that the following inequalities hold:

$$\begin{aligned} \|e^{tA}(I - P)e^{-sA}\| &\leq Ke^{-a(t-s)} \quad \text{for } t \geq s, \\ \|e^{tA}Pe^{-sA}\| &\leq Le^{-b(s-t)} \quad \text{for } s \geq t, \end{aligned}$$

where K , L , a , and b are positive constants and P is the projection onto the direct sum of all generalized eigenspaces corresponding to the eigenvalues of A having negative real part. Therefore,

$$\xi(t) = \int_{-\infty}^t e^{tA}(I - P)e^{-sA} y(s) ds - \int_t^\infty e^{tA}Pe^{-sA} y(s) ds$$

is an essentially bounded solution. Since 0 is the only essentially bounded solution of $\dot{x} - Ax = 0$, the linear mapping $\Gamma : W^{1,\infty}(\mathbb{R}, \mathbb{R}^d) \rightarrow L^\infty(\mathbb{R}, \mathbb{R}^d)$ which takes x to $\dot{x} - Ax$ is injective. It is obviously continuous and, by the claim, also surjective. Hence, by the open mapping theorem, $K_A := \|\Gamma^{-1}\| < +\infty$, i.e., for every essentially bounded y , the solution ξ of $\dot{x} = Ax + y$ satisfies $\|\xi\|_{W^{1,\infty}} \leq K_A \|y\|_\infty$. \square

Remark 4.1. One could prove Lemma 4.1 following with only minor changes the proof of Theorem 3.1 in [5]. However, due to greater simplicity and better insight into the problem, we prefer, as suggested by Prof. M. Furi (Florence), the arguments presented above which were inspired by Coppel [6].

Corollary 4.1. *Let A be hyperbolic and c be a given positive number. For any given T -periodic function $y \in L_T^\infty(\mathbb{R}^d)$, let ξ denote the unique T -periodic solution of*

$$\dot{\xi} = cA\xi + y. \quad (12)$$

Then the estimate $\|\xi\|_\infty \leq \frac{K_A}{c} \|y\|_\infty$ holds, where K_A is the constant depending only on A and given in Lemma 4.1.

Proof. Denote by x the unique cT -periodic solution of the following equation:

$$\dot{x}(t) = Ax(t) + \frac{1}{c}y\left(\frac{t}{c}\right).$$

Then $\xi(t) := x(ct)$ is the (obviously unique) T -periodic solution of (12). Since by Lemma 4.1, $\|x\|_{W^{1,\infty}} \leq \frac{K_A}{c}\|y\|_\infty$, one has

$$\|\xi\|_\infty = \|x\|_\infty \leq \|x\|_{W^{1,\infty}} \leq \frac{K_A}{c}\|y\|_\infty$$

as claimed. \square

A crucial step towards uniqueness of control sets is the following result.

Lemma 4.2. *For system (3), there exists a constant $K_A > 0$, depending only on A , such that the following holds. Assume that*

$$\|\partial_1 F(x, u)\| \leq \min\left\{1, \frac{1}{2K_A}\right\} \text{ uniformly.} \quad (13)$$

Then for every $T > 0$, Eq. (3) has a unique T -periodic solution $x(\cdot, u)$ for $u \in \mathcal{U}_T$ and the mapping $\mathcal{U}_T \rightarrow W_T^{1,\infty}(\mathbb{R}^d)$ given by $u \mapsto x(\cdot, u)$ is continuous. If, in addition, U contains the origin of \mathbb{R}^m in its interior, one has for every $u \in \mathcal{U}_T$

$$\sup_{t \in [0, T]} |x(t, u)| \leq 2K_A \left[c_U \left(\|B\| + \sup_{(v, p) \in U \times \mathbb{R}^d} \|\partial_2 F(p, v)\| \right) + |F(0, 0)| \right], \quad (14)$$

where $c_U := \max\{|v| : v \in U\}$.

Proof. We write the T -periodic problem for (3) in the form:

$$Lx - \bar{A}x - \bar{B}u - \bar{F}(x, u) = 0, \quad (15)$$

where we set

$$\begin{aligned} L : W_T^{1,\infty}(\mathbb{R}^d) &\rightarrow L_T^\infty(\mathbb{R}^d) && \text{with } (Lx)(t) = \dot{x}(t), \\ \bar{A} : W_T^{1,\infty}(\mathbb{R}^d) &\rightarrow L_T^\infty(\mathbb{R}^d) && \text{with } (\bar{A}x)(t) = Ax(t), \\ \bar{B} : L_T^\infty(\mathbb{R}^m) &\rightarrow L_T^\infty(\mathbb{R}^d) && \text{with } (\bar{B}u)(t) = Bu(t), \\ \bar{F} : W_T^{1,\infty}(\mathbb{R}^d) \times \mathcal{U}_T &\rightarrow L_T^\infty(\mathbb{R}^d) && \text{with } \bar{F}(x, u)(t) = F(x(t), u(t)). \end{aligned}$$

By Lemma 4.1, $(L - \bar{A})x = y$ implies $\|x\|_{W^{1,\infty}} \leq K_A \|y\|_\infty$ and hence

$$\|(L - \bar{A})^{-1}\| \leq K_A.$$

Let $\Phi : \mathcal{U}_T \times W_T^{1,\infty}(\mathbb{R}^d) \rightarrow W_T^{1,\infty}(\mathbb{R}^d)$ be given by the formula

$$\Phi(u, x) = (L - \bar{A})^{-1}(\bar{B}u + \bar{F}(x, u)).$$

Then Eq. (15) is equivalent to

$$\Phi(u, x) = x. \quad (16)$$

Let us show that Eq. (16) admits exactly one solution for every $u \in \mathcal{U}_T$. Since

$$\begin{aligned} \|\Phi(u, x_1) - \Phi(u, x_2)\|_{W^{1,\infty}} &\leq \left\| (L - \bar{A})^{-1} \right\| \|\bar{F}(x_1, u) - \bar{F}(x_2, u)\|_\infty \\ &\leq K_A \sup_{(p,v) \in \mathbb{R}^d \times U} \|\partial_1 F(p, v)\| \|x_1 - x_2\|_{W^{1,\infty}} \leq \frac{1}{2} \|x_1 - x_2\|_{W^{1,\infty}} \end{aligned}$$

for every $u \in \mathcal{U}_T$, the mapping $\Phi(u, \cdot)$ is a contraction. Then the Banach contraction theorem yields the existence of a unique fixed point which we denote by $x(\cdot, u)$. Furthermore, for fixed $T > 0$, the solution $x(\cdot, u)$ depends continuously on $u \in \mathcal{U}_T$ (see, e.g., [11, Proposition 1.2]). To prove the last assertion, note that for a fixed point x of $\Phi(u, \cdot)$ one has

$$\begin{aligned} \|x\|_{W^{1,\infty}} &\leq \|\Phi(u, x) - \Phi(u, 0)\|_{W^{1,\infty}} \\ &\quad + \|\Phi(u, 0) - \Phi(0, 0)\|_{W^{1,\infty}} + \|\Phi(0, 0)\|_{W^{1,\infty}} \leq \frac{1}{2} \|x\|_{W^{1,\infty}} \\ &\quad + \left\| (L - \bar{A})^{-1} \right\| \left(c_U \|B\| + \|\bar{F}(0, u) - \bar{F}(0, 0)\|_\infty + \|\bar{F}(0, 0)\|_{W^{1,\infty}} \right) \\ &\leq \frac{1}{2} \|x\|_{W^{1,\infty}} + K_A \left[c_U \left(\|B\| + \sup_{(p,v) \in \mathbb{R}^d \times U} \|\partial_2 F(p, v)\| \right) + |F(0, 0)| \right]. \end{aligned}$$

This implies inequality (14). \square

Define (recall (10))

$$M_{A,B}^\# = \min \left\{ 1, \frac{1}{2K_A}, M_{A,B} \right\}. \quad (17)$$

The above lemma yields a bound on the control sets.

Corollary 4.2. *Let A , B , and F be as in Lemma 4.2. Let U contain the origin of \mathbb{R}^m in its interior, and let*

$$\|\partial_1 F(x, u)\| \leq M_{A,B}^\#, \quad \text{and} \quad \|\partial_2 F(x, u)\| \leq M_{A,B}^\#$$

for all $(x, u) \in \mathbb{R}^d \times \mathcal{U}$. Then for every control set of (3), its interior is contained in the ball of \mathbb{R}^d centered at the origin and having radius

$$2K_A \left[c_U (\|B\| + M_{A,B}^\#) + |F(0, 0)| \right].$$

This ball contains all control sets.

Proof. Assume that there exists a point p outside the $2K_A [c_U (\|B\| + M_{A,B}^\#) + |F(0, 0)|]$ -ball centered at the origin, but belonging to the interior of a control set. Then by Lemma 2.1, there exists a periodic solution of (3) whose image contains p . This contradicts inequality (14). This shows that the interior of the control sets is contained in the ball. Local accessibility (see Remark 3.1) implies by Lemma 2.2 that $\text{cl } D = \text{clint } D$, hence the last assertion also follows. \square

Lemma 4.3. *Let U have nonempty interior. Assume that A is hyperbolic, the pair (A, B) is controllable, and F is a C^1 -mapping with*

$$\|\partial_1 F(x, u)\| \leq M_{A,B}^\# \quad \text{and} \quad \|\partial_2 F(x, u)\| \leq M_{A,B}^\#$$

for all $(x, u) \in \mathbb{R}^d \times \mathcal{U}$. Then, given $T > 0$ and $u_0 \in \text{int } \mathcal{U}_T$, Eq. (3) has a unique T -periodic solution. Furthermore, this solution is contained in the interior of a control set of (3).

Proof. Observe that a T -periodic function is also nT -periodic, $n \in \mathbb{N}$. Hence, without loss of generality, we can assume that $T > 1$. Lemma 4.2 yields the existence of a unique T -periodic solution of (3) for $u_0 \in \text{int } \mathcal{U}_T$. Fix $u_0 \in \text{int } \mathcal{U}_T$ and let x_0 be the starting point of the unique T -periodic solution of (3). From Corollary 3.1 it follows that there exists a neighborhood V of x_0 in \mathbb{R}^d such that for any $q \in V$ there exists $w \in \text{int } \mathcal{U}_T$ such that $q = \varphi(T, x_0, w)$. Considering the time reversed system and reducing V if necessary, we can assume that every point in V can be steered to every other point of V . Hence V is contained in the interior of a control set. Take now any point $q \in \varphi([0, T], x_0, u_0)$ and let $t_0 \in [0, T]$ be such that $q = \varphi(t_0, x_0, u_0)$. By the continuity of $\varphi(t_0, \cdot, u_0)$, there exists a neighborhood W of q such that

$$\varphi(t_0, \cdot, u_0)^{-1}(W) \subset V.$$

Similarly, by the continuity of the time reversed system, shrinking W if necessary, we can assume that

$$\varphi(t_0, W, u_0) \subset V.$$

Hence, every point of W can be driven to every other point of W and hence W is contained in a control set. The assertion now follows from the compactness of $\varphi([0, T], x_0, u_0)$. \square

Remark 4.2. Assume, in addition to the conditions of Lemma 4.3, that U contains 0 in its interior and that $F(0, 0) = 0$. Then the origin of \mathbb{R}^d is contained in the interior of a control set. In fact, the origin can be considered as a 1-periodic solution of (3).

We are now in a position to state and prove the main result of this section (cf. [5]).

Theorem 4.1. *Let U be compact and convex with nonempty interior. Assume that the pair (A, B) in (3) is controllable and A is hyperbolic. Let F be a C^1 function with*

$$\|\partial_1 F(x, u)\| \leq M_{A,B}^\# \quad \text{and} \quad \|\partial_2 F(x, u)\| \leq M_{A,B}^\#$$

for all $(x, u) \in \mathbb{R}^d \times \mathcal{U}$. Then it admits exactly one control set D . Its interior is contained in the $2K_A[c_U(\|B\| + M_{A,B}^\#) + |F(0, 0)|]$ -ball of \mathbb{R}^d centered

at the origin. If $F(0,0) = 0$, then the origin is an element of the interior of D .

Proof. Let $T > 1$ and $u_0 \in \text{int } \mathcal{U}_T$. Lemma 4.2 guarantees the existence of a T -periodic solution of (3), whose image is, by Lemma 4.3, contained in the interior of a control set. This proves the existence of at least one control set. In order to prove the uniqueness assertion, consider control sets D_0 and D_1 . Then, by Lemma 2.1, there exists $u_i \in \text{int } \mathcal{U}_{T_i}$, $i \in \{0, 1\}$, such that the corresponding T_i -periodic trajectory of (3) is contained in the interior of D_i . Naturally, we can assume that $T_0, T_1 > 1$. We set $T_\lambda = \lambda T_1 + (1 - \lambda)T_0$ and define

$$v_\lambda(t) = \lambda u_1(tT_1) + (1 - \lambda)u_0(tT_0).$$

These functions are 1-periodic and, since U is assumed to be convex, $v_\lambda \in \text{int } \mathcal{U}_1$. Consider the differential equation

$$\dot{y}(\tau) = T_\lambda [Ay(\tau) + Bv_\lambda(\tau) + F(y(\tau), v_\lambda(\tau))]. \quad (18)$$

We claim that for any $\lambda \in [0, 1]$, this equation has a unique 1-periodic solution y_λ and that the mapping $[0, 1] \rightarrow L_1^\infty(\mathbb{R}^d)$ given by $\lambda \mapsto y_\lambda$ is continuous. To prove the claim, we proceed similarly to the first part of the proof of Lemma 4.2: the existence of 1-periodic solutions to (18) is equivalent to the existence of solutions to the equation

$$Lx - T_\lambda \bar{A}x - T_\lambda \bar{B}u - T_\lambda \bar{F}(x, u) = 0, \quad (19)$$

where L, \bar{A}, \bar{B} , and \bar{F} are as in Lemma 4.2, with $T = 1$. By Lemma 4.1, $L - T_\lambda \bar{A}$ is invertible for any $\lambda \in [0, 1]$. If we consider $(L - T_\lambda \bar{A})^{-1}$ as a mapping $L_1^\infty(\mathbb{R}^d) \rightarrow L_1^\infty(\mathbb{R}^d)$, we obtain by Corollary 4.1

$$\|(L - T_\lambda \bar{A})^{-1}\| \leq \frac{K_A}{T_\lambda}.$$

Let $\Psi : [0, 1] \times L_1^\infty(\mathbb{R}^d) \rightarrow L_1^\infty(\mathbb{R}^d)$ be given by

$$\Psi(\lambda, x) = (L - T_\lambda \bar{A})^{-1}(T_\lambda \bar{B}v_\lambda + T_\lambda \bar{F}(x, v_\lambda)).$$

Then Eq. (19) for $u = v_\lambda$ is equivalent to

$$\Psi(\lambda, x) = x. \quad (20)$$

Note that any fixed point of $\Psi(\lambda, \cdot)$ actually belongs to $W_1^{1,\infty}(\mathbb{R}^d)$. Let us show that Eq. (20) admits exactly one solution for every $\lambda \in [0, 1]$. Since for every $\lambda \in [0, 1]$

$$\begin{aligned} \|\Psi(\lambda, x_1) - \Psi(\lambda, x_2)\|_\infty &\leq \|(L - T_\lambda \bar{A})^{-1}\| T_\lambda \|\bar{F}(x_1, v_\lambda) - \bar{F}(x_2, v_\lambda)\|_\infty \\ &\leq \frac{K_A}{T_\lambda} T_\lambda \sup_{(p,v) \in \mathbb{R}^d \times U} \|\partial_1 F(p, v)\| \|x_1 - x_2\|_\infty \leq \frac{1}{2} \|x_1 - x_2\|_\infty, \end{aligned}$$

the mapping $\Psi(\lambda, \cdot)$ is a contraction uniform in λ . Then the claim follows as in Lemma 4.2. We set $u_\lambda(t) = v_\lambda(t/T_\lambda)$. By Lemma 4.3, the equation

$$\dot{x}(t) = Ax(t) + Bu_\lambda(t) + F(x(t), u_\lambda(t))$$

admits a unique T_λ -periodic solution x_λ , and the image of x_λ and hence every $x_\lambda(0)$ is contained in the interior of a control set. By a time transformation, one has $x_\lambda(t) = y_\lambda(t/T_\lambda)$ for all t . By the claim, the mapping $\lambda \mapsto y_\lambda$ is continuous and, therefore, the mapping $[0, 1] \rightarrow \mathbb{R}^d$ given by $\lambda \mapsto y_\lambda(0) = x_\lambda(0)$ is also continuous. Thus $\{x_\lambda(0), \lambda \in [0, 1]\}$ is connected and, therefore, is contained in the interior of a single control set. It also intersects D_0 and D_1 ; consequently, $D_0 = D_1$. \square

5. UNIQUENESS OF LOCAL CONTROL SETS

Consider the following control process:

$$\dot{x}(t) = f(x(t), u(t)), \quad u(t) \in \rho U, \quad (21)$$

where $\rho > 0$ is given and $U \subset \mathbb{R}^m$ is compact, convex, and contains the origin in its interior. We consider the behavior near an isolated equilibrium x_0 of the nonlinear system; more precisely, we assume that there exists $x_0 \in \mathbb{R}^d$ such that $f(x_0, 0) = 0$ and that $\partial_1 f(x_0, 0)$ is hyperbolic.

In the next theorem, we will find conditions ensuring that there exists $\delta_0 > 0$ such that for every small control range, the ball $B(p_0, \delta_0)$ contains a unique local control set of (21).

Theorem 5.1. *Let $f : \mathbb{R}^d \times \mathbb{R}^m \rightarrow \mathbb{R}^d$ be C^1 . Consider an equilibrium $x_0 \in \mathbb{R}^d$ such that $f(x_0, 0) = 0$ and assume that the pair*

$$(\partial_1 f(x_0, 0), \partial_2 f(x_0, 0))$$

is controllable and the operator $\partial_1 f(x_0, 0)$ is hyperbolic.

Then there exist $\rho_0 > 0$ and $\delta_0 > 0$ such that, for all $0 < \rho < \rho_0$, the ball $B(x_0, \delta_0)$ contains exactly one local control set D^ρ for (21).

Proof. Without loss of generality, we can assume $x_0 = 0$. By Remark 3.2, we can choose sufficiently small δ_0 such that local accessibility holds in the $2\delta_0$ -ball around the origin. The proof proceeds via a cutting-off technique. For any $\delta > 0$, let $\sigma_\delta : [0, \infty) \rightarrow \mathbb{R}$ be a C^1 function such that for $r \in [0, \infty)$

$$\sigma_\delta(r) = \begin{cases} 1 & \text{if } 0 \leq r \leq \delta, \\ 0 & \text{if } r \geq 2\delta, \end{cases}$$

and $0 \leq \sigma_\delta(r) \leq 1$, $|\sigma'_\delta(r)| \leq \frac{1}{\delta}$. For instance, we can take

$$\sigma_\delta(r) = \begin{cases} 0 & \text{if } r \geq 2\delta, \\ \frac{1 + \cos\left(\frac{\pi}{\delta}(r - \delta)\right)}{2} & \text{if } r \in [\delta, 2\delta], \\ 1 & \text{if } r \in [0, \delta]. \end{cases}$$

Then, setting

$$A = \partial_1 f(0, 0), \quad B = \partial_2 f(0, 0),$$

$$F_\delta(p, v) = \sigma_\delta \left(|p|^2 + |v|^2 \right) (f(p, v) - Ap - Bv),$$

we obtain

$$[\partial_1 F_\delta(p, v)] \eta = \begin{cases} 0 & \text{if } |p|^2 + |v|^2 \geq 2\delta, \\ 2\langle p, \eta \rangle \sigma'_\delta \left(|p|^2 + |v|^2 \right) (f(p, v) - Ap - Bv) \\ + \sigma_\delta \left(|p|^2 + |v|^2 \right) (\partial_1 f(p, v) \eta - A\eta) & \text{if } \delta \leq |p|^2 + |v|^2 \leq 2\delta, \\ \partial_1 f(p, v) \eta - A\eta & \text{if } 0 \leq |p|^2 + |v|^2 \leq \delta. \end{cases}$$

A similar formula holds for $\partial_2 F_\delta(p, v)$. Hence, using the fact that f is a C^1 -function and the definitions of A and B , we have $\|\partial_1 F_\delta(p, v)\| \rightarrow 0$ and $\|\partial_2 F_\delta(p, v)\| \rightarrow 0$ as $\delta \rightarrow 0$. Therefore, taking sufficiently small δ_1 , we can assume that

$$\|\partial_1 F_{\delta_1}(p, v)\| \leq M_{A,B}^\# \quad \text{and} \quad \|\partial_2 F_{\delta_1}(p, v)\| \leq M_{A,B}^\#,$$

where $M_{A,B}^\#$ is as in (17). Now we consider the control process

$$\dot{x}(t) = Ax(t) + Bu(t) + F_{\delta_1}(x(t), u(t)), \quad u(t) \in \rho U. \quad (22)$$

We set $\delta_0 = \delta_1/\sqrt{2}$ and note that (22) coincides with (21) when $(x, u) \in B(0, \delta_0) \times B(0, \delta_0)$. By assumption, (A, B) is controllable and A is hyperbolic. From Theorem 4.1 it follows that (22) has a unique control set D^ρ and that it is contained in the ball of radius $2\rho c_U K_A(\|B\| + M_{A,B}^\#)$ centered at the origin of \mathbb{R}^d ; here $c_U = \sup\{|v| : v \in U\}$. Hence, taking

$$\rho_0 \leq \min \left\{ \frac{\delta_0}{c_U}, \frac{\delta_0}{2c_U K_A(\|B\| + M_{A,B}^\#)} \right\},$$

we obtain that D^ρ is contained in $B(0, \delta_0)$ for $\rho \leq \rho_0$. Since (21) and (22) coincide in $B(0, \delta_0)$, D^ρ is a local control set for (21). In fact, from the uniqueness of the control set of (22) it follows that only one local control set of (21) can be contained in $B(0, \delta_0)$. \square

Finally, we discuss the consequences of this result for bifurcation questions. Consider a parameter-dependent family of control systems

$$\dot{x}(t) = f(x(t), u(t), \alpha), \quad u(t) \in \rho U, \quad (23)$$

where $\alpha \in \mathbb{R}$, $\rho > 0$, and $U \subset \mathbb{R}^m$ is bounded, convex, and contains the origin in its interior. We consider the behavior near an equilibrium of the

uncontrolled system with $\alpha = \alpha_0$ and show that under the assumptions of Theorem 5.1 no “bifurcation” of local control sets can occur.

Theorem 5.2. *Let $f : \mathbb{R}^d \times \mathbb{R}^m \times \mathbb{R} \rightarrow \mathbb{R}^d$ be a continuous mapping which is C^1 with respect to the first two variables. Consider a continuous family of equilibria $x_\alpha \in \mathbb{R}^d$ such that $f(x_\alpha, 0, \alpha) = 0$ and assume that for $\alpha = \alpha_0$ the pair $(\partial_1 f(x_{\alpha_0}, 0, \alpha_0), \partial_2 f(x_{\alpha_0}, 0, \alpha_0))$ is controllable and the operator $\partial_1 f(x_{\alpha_0}, 0, \alpha_0)$ is hyperbolic.*

Then there exist $\varepsilon_0 > 0$, $\rho_0 > 0$, and $\delta_0 > 0$ such that for all $|\alpha - \alpha_0| < \varepsilon_0$ and all $0 < \rho < \rho_0$, the ball $B(x_{\alpha_0}, \delta_0)$ contains exactly one local control set for (23) with parameter value α .

Proof. The assumptions on f in Theorem 5.1 are satisfied for all α near α_0 . Hence the assertion of Theorem 5.1 holds for all $|\alpha - \alpha_0| < \varepsilon_0$ and all $0 < \rho < \rho_0$ in a ball $B(x_{\alpha_0}, \delta_0)$. \square

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Authors' addresses:

Fritz Colonius
Institut für Mathematik, Universität Augsburg
86135 Augsburg, Germany
E-mail: colonius@math.uni-augsburg.de

Marco Spadini
Dipartimento di Matematica Applicata
Via S. Marta 3, 50139 Firenze, Italy
E-mail: spadini@dma.unifi.it