

SCE 594: Special Topics in Intelligent Automation & Robotics

Lecture 18: Lyapunov's direct method



Outline

- Recap last lectures
- Application of Lyapunov's indirect method
- Lyapunov's direct method
- La Salle's invariance principle



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- Application of Lyapunov's indirect method
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Recap: State Space Model

- A nonlinear dynamic system can be represented by a set of nonlinear differential equations in the form

$$\begin{aligned}\dot{x} &= f(x) + g(x) u \\ y &= h(x)\end{aligned}$$

which is called the **state space model** of the dynamic system.

- We are focusing on analyzing the stability of systems of the form

$$\dot{x} = f(x)$$

Special case: Linear
time-invariant systems

$$\begin{aligned}\dot{x} &= Ax + Bu \\ y &= Cx\end{aligned}$$



Recap: State Space Models – Mechanical Systems

System	State x	State Space $\mathcal{X}$
Mass-Spring-Damper	$(\xi, \dot{\xi})$	$\mathbb{R} \times \mathbb{R} \cong T\mathbb{R}$
Simple pendulum	$(\theta, \dot{\theta})$	$(-\pi, \pi] \times \mathbb{R} \cong T\mathbb{S}$
n -link Manipulator	$(\theta, \dot{\theta})$	TQ
Satellite	(R, ω)	$SO(3) \times \mathbb{R}^3 \cong TSO(3)$
Multirotor Aerial Vehicle	$(H, \mathcal{V})$	$SE(3) \times \mathbb{R}^6 \cong TSE(3)$

For mechanical systems in general, $x = (q, \dot{q}) \in TQ$, where $q \in Q$ represents a configuration variable of the mechanical system and $\dot{q} \in T_q Q$ denotes a velocity-like variable.



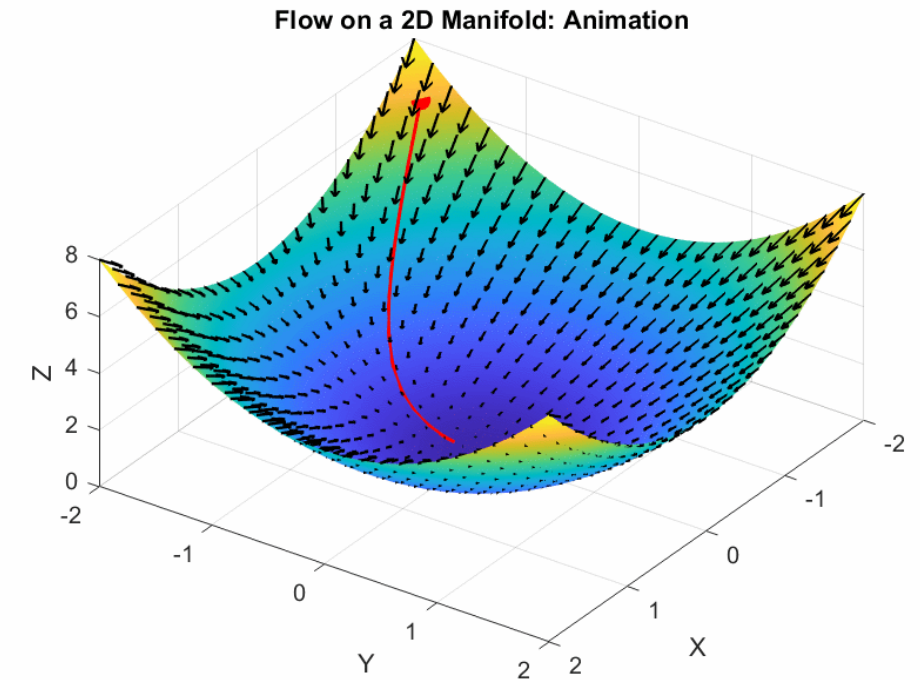
Recap: Geometric Nature of $\dot{x}(t) = f(x(t))$

- Euclidean case $\mathcal{X} = \mathbb{R}^n$:

- $x_t \in \mathbb{R}^n$
- $\dot{x}_t \in \mathbb{R}^n$
- $f: \mathbb{R}^n \rightarrow \mathbb{R}^n$

- Non-Euclidean case:

- $x_t \in \mathcal{X}$
- $\dot{x}_t \in T_x \mathcal{X}$
- $f: x_t \in \mathcal{X} \mapsto \dot{x}_t \in T_x \mathcal{X}$



The solution of the dynamical system $x(t)$ is given by the integral curves of σ_f .

Integral Curves

While $f(x)$ represents the velocity of a particle at every point, the integral curve represents the trajectory of a particle moving along this velocity field.



Recap: Equilibrium Points

- Given $\sigma_f \in \Gamma(T\mathcal{X})$, a point $x_* \in \mathcal{X}$ in the state space is called an *equilibrium point for σ_f* if and only if

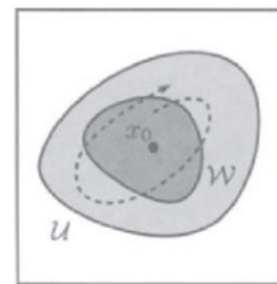
$$f(x_*) = 0$$

- Intuitively, an equilibrium point is a state x_* at which the system state remains for all time, once it reaches it.

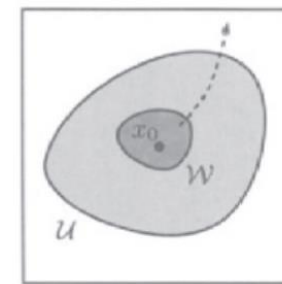


Recap: Stability of Equilibrium Points

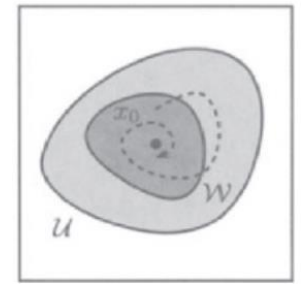
- An equilibrium point x_* of σ_f is said to be:
 - Stable If integral curves of σ_f stay “close” to x_*
 - Unstable If it is not stable
 - Locally asymptotically stable If it is stable and integral curves of σ_f converge to x_* only within a region $U \subset \mathcal{X}$
 - Globally asymptotically stable If it is stable and integral curves of σ_f converge to x_* for all $x \in \mathcal{X}$



Stable x_0



Unstable x_0



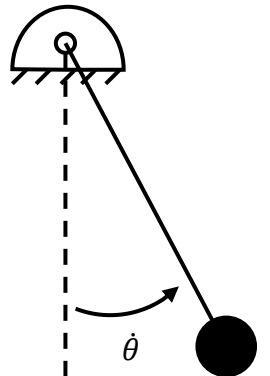
Locally asym. stable x_0

Recap: Equilibrium points of pendulum

- Consider the state-space model of the pendulum given by

$$\begin{pmatrix} \dot{x}_1 \\ \dot{x}_2 \end{pmatrix} = \begin{pmatrix} x_2 \\ -\frac{g}{L} \sin x_1 \end{pmatrix} =: f(x)$$

where $x_1 = \theta, x_2 = \dot{\theta}$.



Recap: Equilibrium points of pendulum

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$$\begin{pmatrix} \dot{x}_1 \\ \dot{x}_2 \end{pmatrix} = \begin{pmatrix} x_2 \\ -\frac{g}{L} \sin x_1 \end{pmatrix} =: f(x)$$

where $x_1 = \theta, x_2 = \dot{\theta}$.

- To find the equilibrium points x_* , we set $f(x) = 0$, which simplifies to

$$x_2 = 0, \quad \sin x_1 = 0$$

- Solving for $x_1 = \theta \in (-\pi, \pi] \cong \mathbb{S}^1$, we get:

$$\sin x_1 = 0 \quad \Rightarrow \quad x_1 = 0, \text{ or } x_1 = \pi$$

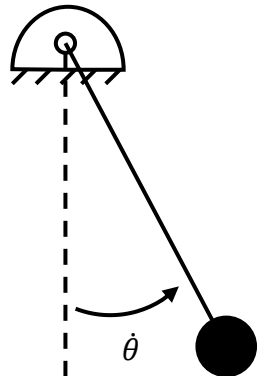
- Thus, the system has only two equilibrium points

$$x_* = (0, 0)$$

Downward position

$$x_* = (\pi, 0)$$

Upward position

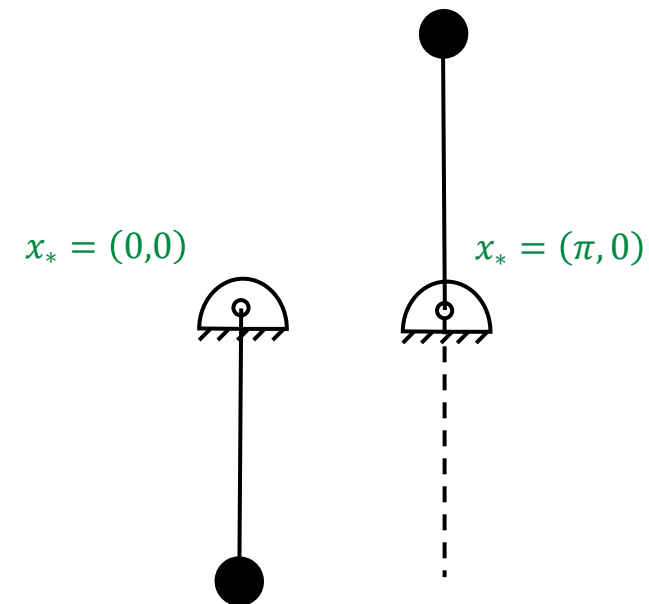


Recap: Stability of equilibrium points of pendulum

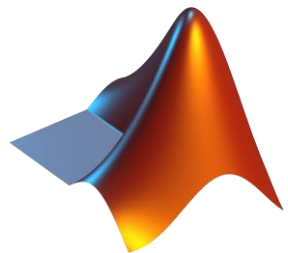
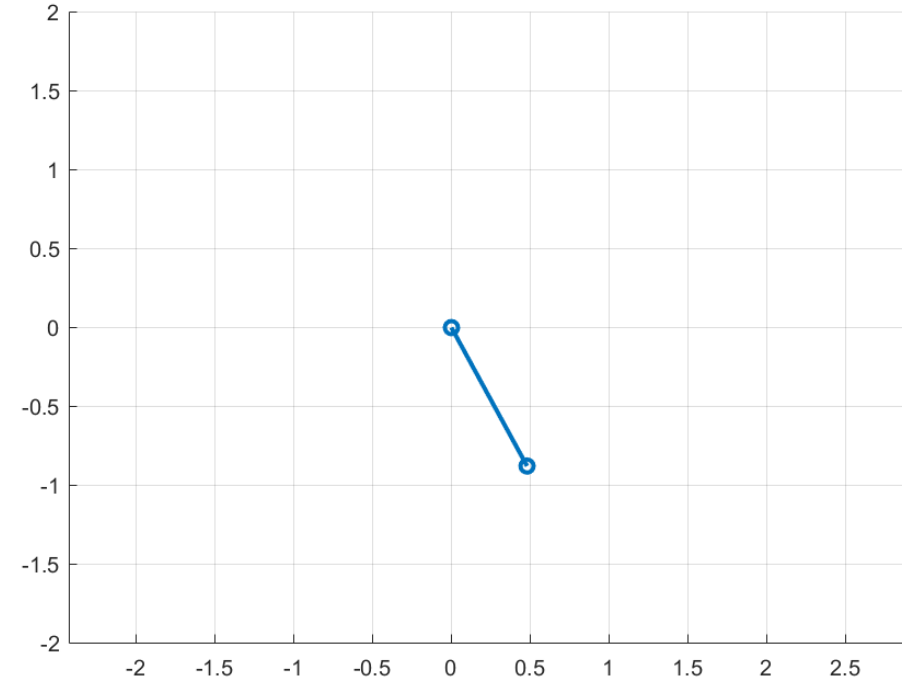
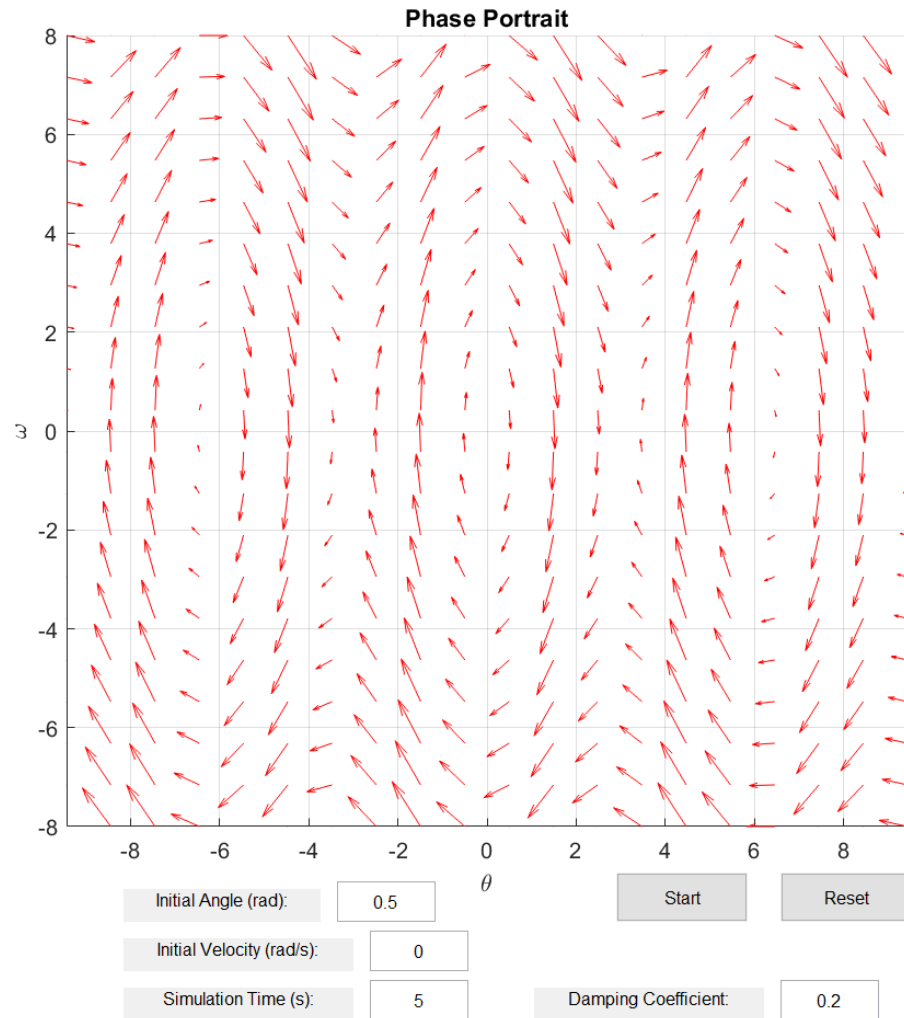
- In summary, the state space model

$$\begin{pmatrix} \dot{x}_1 \\ \dot{x}_2 \end{pmatrix} = \begin{pmatrix} x_2 \\ -\frac{g}{L} \sin x_1 \end{pmatrix}$$

has an asymptotically stable equilibrium at $x_* = (0,0)$ and an unstable equilibrium at $x_* = (\pi, 0)$.



Recap: MATLAB Code for Phase Portrait



Recap: Lyapunov stability

- The most useful and general approach for studying the stability of nonlinear dynamical systems is the theory introduced in the late 19th century by the Russian mathematician Lyapunov.
- His work introduced two methods:
 - **Indirect Method**: studies nonlinear local stability around an equilibrium point x_* from stability properties of its **linear approximation**.
 - **Direct Method**: not restricted to local motion. Stability of nonlinear system is studied by proposing a scalar “**energy-like**” **function** $V: \mathcal{X} \rightarrow \mathbb{R}$ for the system and examining its time variation



Aleksandr Mikhailovich Lyapunov (1857-1918) was a Russian mathematician, mechanic and physicist.
https://en.wikipedia.org/wiki/Aleksandr_Lyapunov



Recap: Lyapunov's indirect method

- Consider the nonlinear system $\dot{x} = f(x)$ with equilibrium point x_* . The linearization of this system around the equilibrium point x_* is given by:

$$\dot{z} = A z$$

where $z := x - x_* \in \mathbb{R}^n$ and $A := J_f(x_*)$ is the Jacobian of $f(x)$ evaluated at the equilibrium points.

$$J_f(x) = \begin{pmatrix} df_1(x) \\ \vdots \\ df_n(x) \end{pmatrix} = \begin{pmatrix} \frac{\partial f_1}{\partial x_1}(x) & \cdots & \frac{\partial f_1}{\partial x_n}(x) \\ \vdots & \ddots & \vdots \\ \frac{\partial f_n}{\partial x_1}(x) & \cdots & \frac{\partial f_n}{\partial x_n}(x) \end{pmatrix}$$



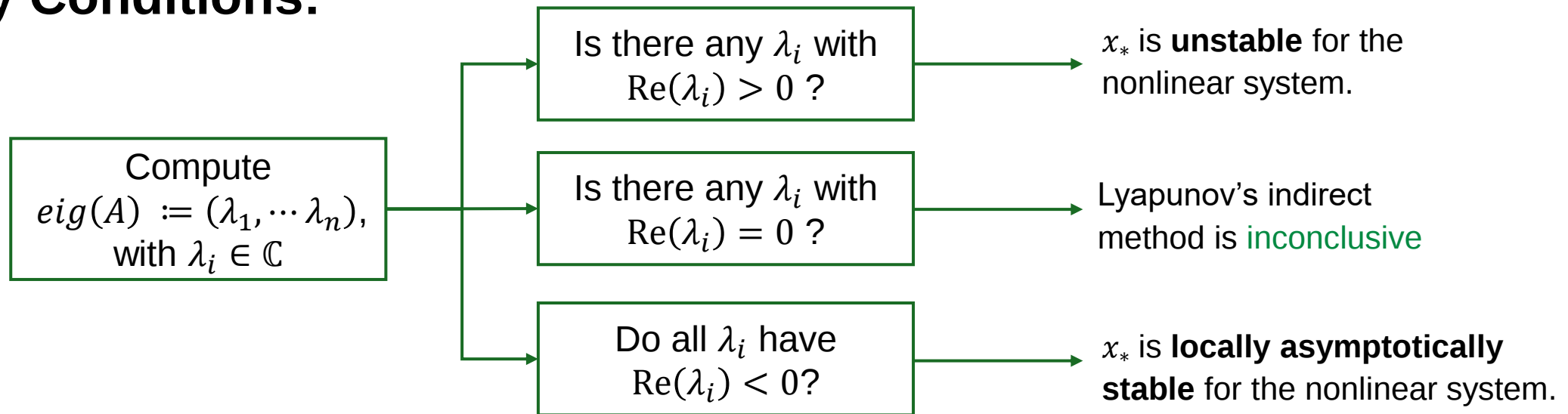
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- Stability Conditions:**



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Example 1: Pendulum

- The Jacobian of the pendulum dynamics is given by

$$J_f(x) = \begin{pmatrix} \frac{\partial f_1}{\partial x_1}(x) & \frac{\partial f_1}{\partial x_2}(x) \\ \frac{\partial f_2}{\partial x_1}(x) & \frac{\partial f_2}{\partial x_2}(x) \end{pmatrix} = \begin{pmatrix} 0 & 1 \\ -c_1 \cos x_1 & -c_2 \end{pmatrix}$$

Pendulum dynamics:

$$\begin{pmatrix} \dot{x}_1 \\ \dot{x}_2 \end{pmatrix} = \begin{pmatrix} x_2 \\ -\frac{b}{mL^2} x_2 - \frac{g}{L} \sin x_1 \end{pmatrix} =: \begin{pmatrix} f_1(x) \\ f_2(x) \end{pmatrix}$$



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- Let $\dot{z}_1 = A_1 z_1$ and $\dot{z}_2 = A_2 z_2$ denote the linearization of the nonlinear system around $x_{*,1} := (0,0)$ and $x_{*,2} := (\pi, 0)$, respectively:

$$A_1 := J_f(x_{*,1}) = \begin{pmatrix} 0 & 1 \\ -c_1 & -c_2 \end{pmatrix} \qquad A_2 := J_f(x_{*,2}) = \begin{pmatrix} 0 & 1 \\ c_1 & -c_2 \end{pmatrix}$$

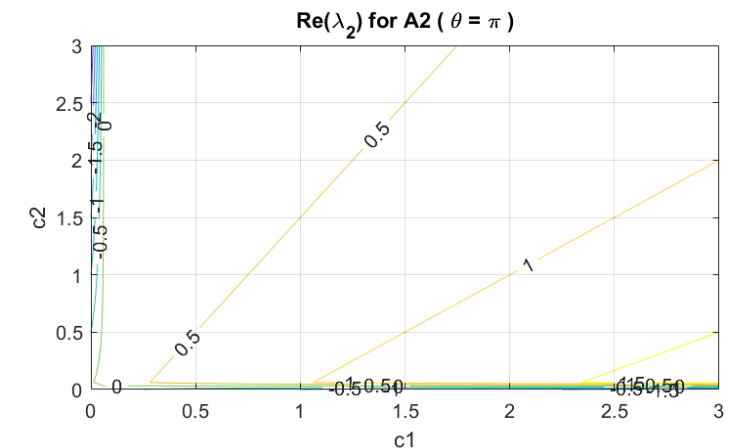
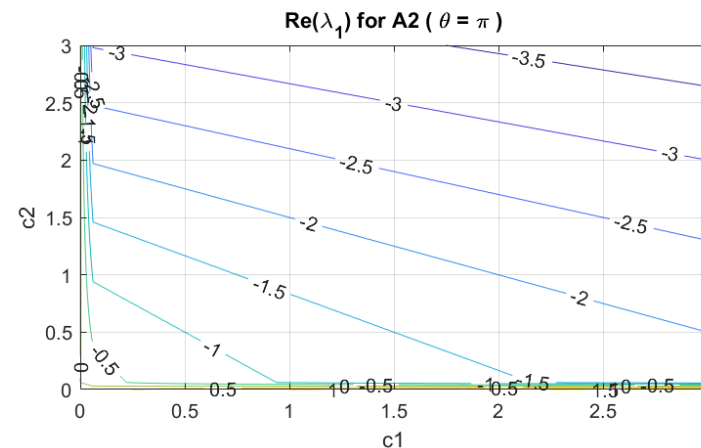
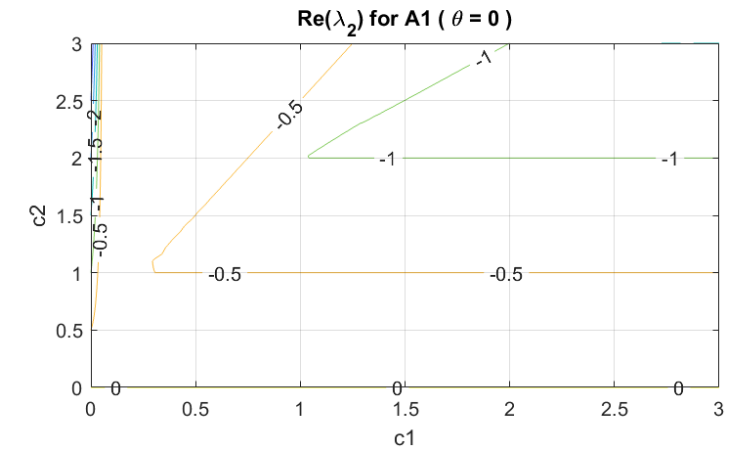
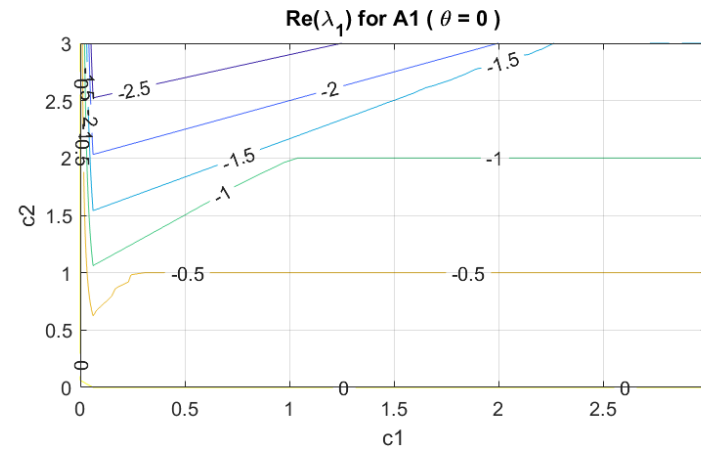
Pendulum dynamics:

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Example 1: Pendulum

- Below we show **four contour plots** that show how the real parts of the eigenvalues of A_1 and A_2 vary as a function of (c_1, c_2) .



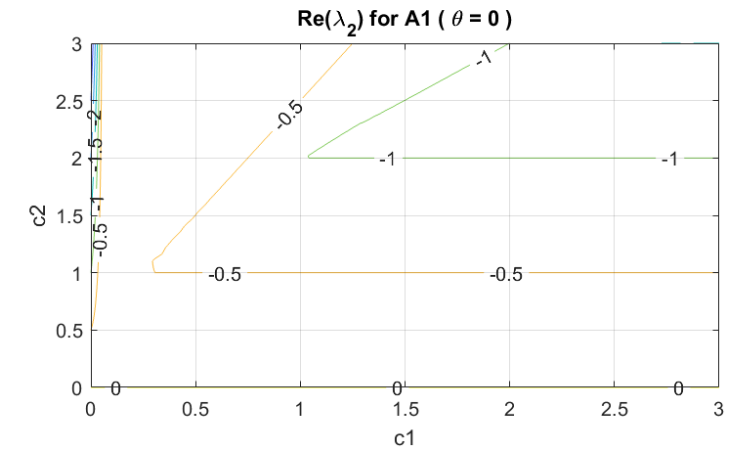
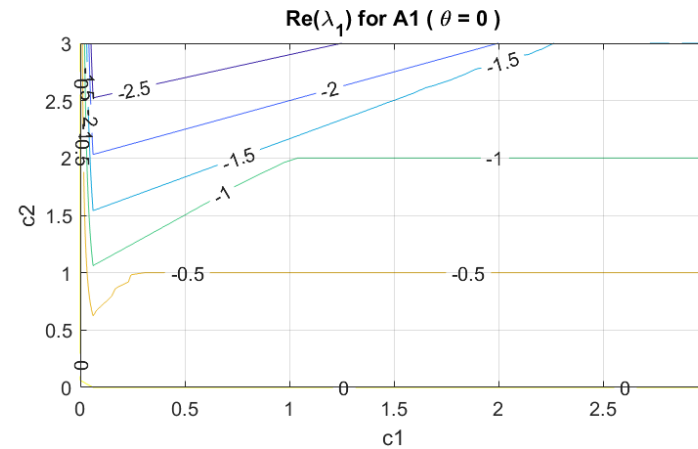
MATLAB code is provided on
Blackboard



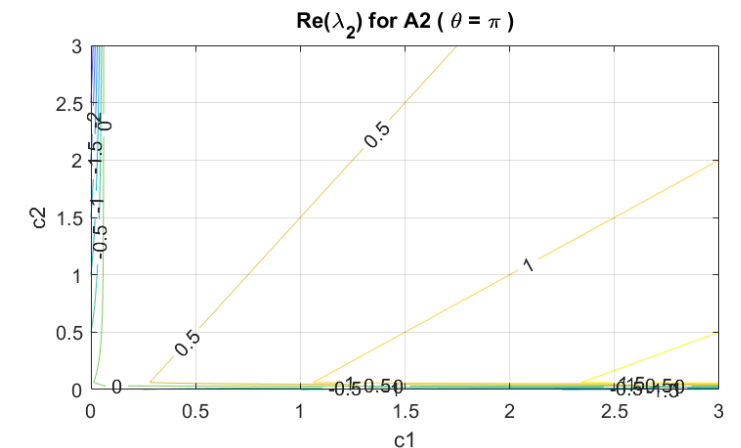
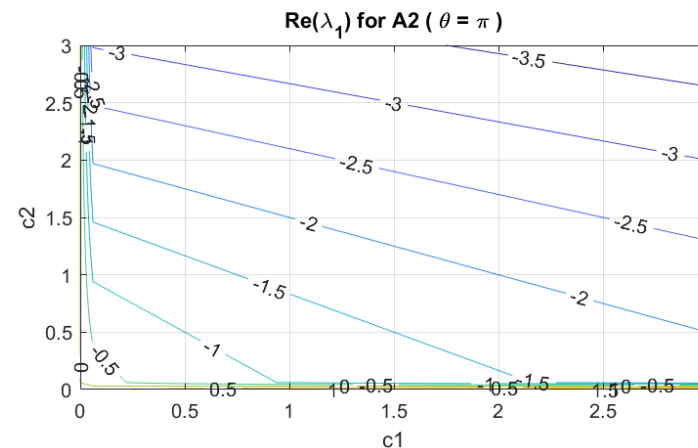
Example 1: Pendulum

- Below we show **four contour plots** that show how the real parts of the eigenvalues of A_1 and A_2 vary as a function of (c_1, c_2) .

For A_1 , $\text{Re}(\lambda_i) < 0$,
 $\therefore x_{*,1} := (0,0)$ is locally asymptotically stable.



For A_2 , $\text{Re}(\lambda_2) > 0$
 $\therefore x_{*,2} := (\pi, 0)$ is unstable.



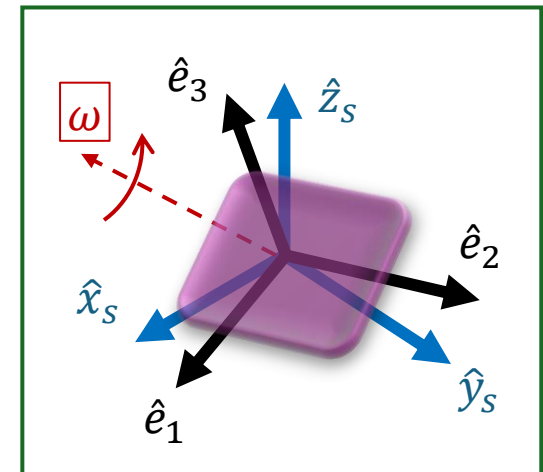
Example 2: Satellite

- Consider a rigid body with principal moments of inertia and angular velocity components

$$J = \text{diag}(J_1, J_2, J_3), \quad \omega = (\omega_1, \omega_2, \omega_3)$$

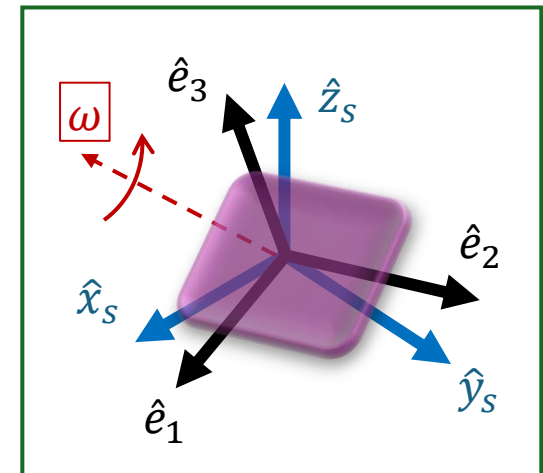
expressed in the principal axes.

- In the absence of external torques, The governing equations are given by
 - $\dot{R} = R \tilde{\omega}$
 - $\dot{\omega} = -J^{-1}(\omega \wedge J\omega)$



Example 2: Satellite

- In the absence of external torques, The governing equations are given by
 - $\dot{R} = R \tilde{\omega}$
 - $\dot{\omega} = -J^{-1}(\omega \wedge J\omega)$
- Note that the second equation is independent of the configuration R , which implies that we can analyze the stability of the system by only considering the momentum balance equation.



Example 2: Satellite

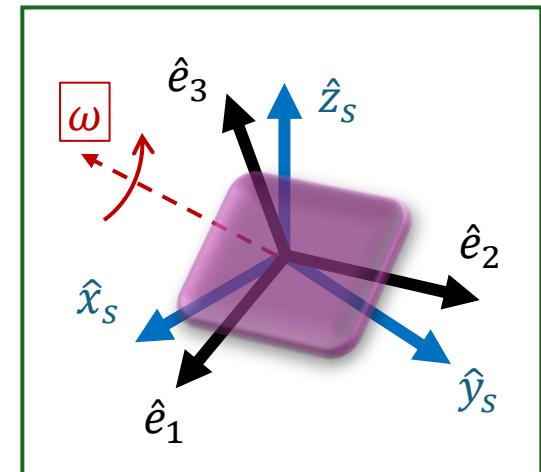
- We express the momentum balance $\dot{\omega} = -J^{-1}(\omega \wedge J\omega)$ as

$$\dot{\omega}_1 = \frac{J_2 - J_3}{J_1} \omega_2 \omega_3$$

$$\dot{\omega}_2 = \frac{J_3 - J_1}{J_2} \omega_3 \omega_1$$

$$\dot{\omega}_3 = \frac{J_1 - J_2}{J_3} \omega_1 \omega_2$$

- An equilibrium point $\omega_* \in \mathbb{R}^3$ for the system is one for which $\dot{\omega}_1 = \dot{\omega}_2 = \dot{\omega}_3 = 0$.



Example 2: Satellite

- The four equilibrium points of the nonlinear system

$$\dot{\omega}_1 = \frac{J_2 - J_3}{J_1} \omega_2 \omega_3$$

$$\dot{\omega}_2 = \frac{J_3 - J_1}{J_2} \omega_3 \omega_1$$

$$\dot{\omega}_3 = \frac{J_1 - J_2}{J_3} \omega_1 \omega_2$$

are:

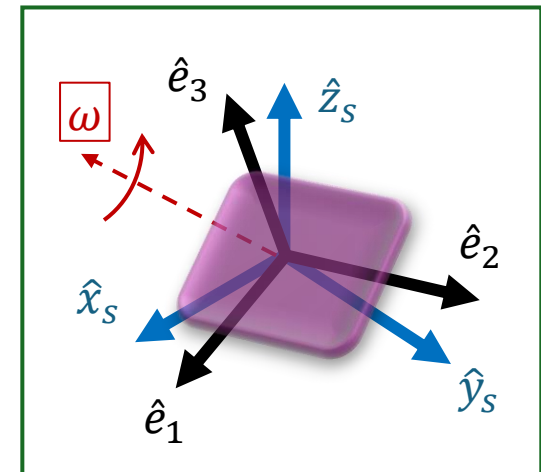
- Trivial equilibrium:
- Spin about $\hat{e}_1$ only:
- Spin about $\hat{e}_2$ only:
- Spin about $\hat{e}_3$ only:

$$\omega_{*,a} = (0,0,0)$$

$$\omega_{*,b} = (\Omega, 0, 0), \quad \Omega \neq 0$$

$$\omega_{*,c} = (0, \Omega, 0), \quad \Omega \neq 0$$

$$\omega_{*,d} = (0, 0, \Omega), \quad \Omega \neq 0$$



Example 2: Satellite

- To analyze the stability of these equilibrium points, we will assume that $J_1 > J_2 > J_3 > 0$, and thus we can rewrite the system as:

$$\begin{aligned}\dot{\omega}_1 &= \frac{J_2 - J_3}{J_1} \omega_2 \omega_3 \\ \dot{\omega}_2 &= \frac{J_3 - J_1}{J_2} \omega_3 \omega_1 \\ \dot{\omega}_3 &= \frac{J_1 - J_2}{J_3} \omega_1 \omega_2\end{aligned}$$

$$\begin{aligned}\dot{\omega}_1 &= c_1 \omega_2 \omega_3 \\ \dot{\omega}_2 &= c_2 \omega_3 \omega_1 \\ \dot{\omega}_3 &= c_3 \omega_1 \omega_2\end{aligned}$$

with $c_1, c_3 > 0$, and $c_2 < 0$



Example 2: Satellite

- The Jacobian of the system is given by

$$\begin{aligned}\dot{\omega}_1 &= c_1 \omega_2 \omega_3 \\ \dot{\omega}_2 &= c_2 \omega_3 \omega_1 \\ \dot{\omega}_3 &= c_3 \omega_1 \omega_2\end{aligned}$$

$$J_f(\omega) = \begin{pmatrix} \frac{\partial f_1}{\partial \omega_1}(\omega) & \frac{\partial f_1}{\partial \omega_2}(\omega) & \frac{\partial f_1}{\partial \omega_3}(\omega) \\ \frac{\partial f_2}{\partial \omega_1}(\omega) & \frac{\partial f_2}{\partial \omega_2}(\omega) & \frac{\partial f_2}{\partial \omega_3}(\omega) \\ \frac{\partial f_3}{\partial \omega_1}(\omega) & \frac{\partial f_3}{\partial \omega_2}(\omega) & \frac{\partial f_3}{\partial \omega_3}(\omega) \end{pmatrix} = \begin{pmatrix} 0 & c_1 \omega_3 & c_1 \omega_2 \\ c_2 \omega_3 & 0 & c_2 \omega_1 \\ c_3 \omega_2 & c_3 \omega_1 & 0 \end{pmatrix}$$



Example 2: Satellite

- By evaluating the Jacobian at each equilibrium point, we get the linearized systems

$$J_f(\omega) = \begin{pmatrix} 0 & c_1\omega_3 & c_1\omega_2 \\ c_2\omega_3 & 0 & c_2\omega_1 \\ c_3\omega_2 & c_3\omega_1 & 0 \end{pmatrix}$$

$$\begin{aligned} z_a &:= \omega - \omega_{*,a} \\ \dot{z}_a &= J_f(\omega_{*,a})z_a = \\ &\begin{pmatrix} 0 & 0 & 0 \\ 0 & 0 & 0 \\ 0 & 0 & 0 \end{pmatrix} z_a \end{aligned}$$

$$\begin{aligned} z_b &:= \omega - \omega_{*,b} \\ \dot{z}_b &= J_f(\omega_{*,b})z_b = \\ &\begin{pmatrix} 0 & 0 & 0 \\ 0 & 0 & c_2\Omega \\ 0 & c_3\Omega & 0 \end{pmatrix} z_b \end{aligned}$$

$$\begin{aligned} z_c &:= \omega - \omega_{*,c} \\ \dot{z}_c &= J_f(\omega_{*,c})z_c = \\ &\begin{pmatrix} 0 & 0 & c_1\Omega \\ 0 & 0 & 0 \\ c_3\Omega & 0 & 0 \end{pmatrix} z_c \end{aligned}$$

$$\begin{aligned} z_d &:= \omega - \omega_{*,d} \\ \dot{z}_d &= J_f(\omega_{*,d})z_d = \\ &\begin{pmatrix} 0 & c_1\Omega & 0 \\ c_2\Omega & 0 & 0 \\ 0 & 0 & 0 \end{pmatrix} z_d \end{aligned}$$



Example 2: Satellite

Recall $c_1, c_3 > 0$, and $c_2 < 0$

- By evaluating the Jacobian at each equilibrium point, we get the linearized systems

$$J_f(\omega) = \begin{pmatrix} 0 & c_1\omega_3 & c_1\omega_2 \\ c_2\omega_3 & 0 & c_2\omega_1 \\ c_3\omega_2 & c_3\omega_1 & 0 \end{pmatrix}$$

$$\begin{aligned} z_a &:= \omega - \omega_{*,a} \\ \dot{z}_a &= J_f(\omega_{*,a})z_a = \\ &\begin{pmatrix} 0 & 0 & 0 \\ 0 & 0 & 0 \\ 0 & 0 & 0 \end{pmatrix} z_a \end{aligned}$$

$$\begin{aligned} \lambda_1 &= 0 \\ \lambda_2 &= 0 \\ \lambda_3 &= 0 \end{aligned}$$

$$\begin{aligned} z_b &:= \omega - \omega_{*,b} \\ \dot{z}_b &= J_f(\omega_{*,b})z_b = \\ &\begin{pmatrix} 0 & 0 & 0 \\ 0 & 0 & c_2\Omega \\ 0 & c_3\Omega & 0 \end{pmatrix} z_b \end{aligned}$$

$$\begin{aligned} \lambda_1 &= 0 \\ \lambda_2 &= \Omega\sqrt{c_2c_3} \\ \lambda_3 &= -\Omega\sqrt{c_2c_3} \end{aligned}$$

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Example 2: Satellite

Recall $c_1, c_3 > 0$, and $c_2 < 0$

- By evaluating the Jacobian at each equilibrium point, we get the linearized systems

$$J_f(\omega) = \begin{pmatrix} 0 & c_1\omega_3 & c_1\omega_2 \\ c_2\omega_3 & 0 & c_2\omega_1 \\ c_3\omega_2 & c_3\omega_1 & 0 \end{pmatrix}$$

$$\begin{aligned} z_a &:= \omega - \omega_{*,a} \\ \dot{z}_a &= J_f(\omega_{*,a})z_a = \\ &\begin{pmatrix} 0 & 0 & 0 \\ 0 & 0 & 0 \\ 0 & 0 & 0 \end{pmatrix} z_a \end{aligned}$$

$$\begin{aligned} \lambda_1 &= 0 \\ \lambda_2 &= 0 \\ \lambda_3 &= 0 \end{aligned}$$

Inconclusive

$$\begin{aligned} z_b &:= \omega - \omega_{*,b} \\ \dot{z}_b &= J_f(\omega_{*,b})z_b = \\ &\begin{pmatrix} 0 & 0 & 0 \\ 0 & 0 & c_2\Omega \\ 0 & c_3\Omega & 0 \end{pmatrix} z_b \end{aligned}$$

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Unstable

$$\begin{aligned} z_d &:= \omega - \omega_{*,d} \\ \dot{z}_d &= J_f(\omega_{*,d})z_d = \\ &\begin{pmatrix} 0 & c_1\Omega & 0 \\ c_2\Omega & 0 & 0 \\ 0 & 0 & 0 \end{pmatrix} z_d \end{aligned}$$

$$\begin{aligned} \lambda_1 &= 0 \\ \lambda_2 &= \Omega\sqrt{c_1c_2} \\ \lambda_3 &= -\Omega\sqrt{c_1c_2} \end{aligned}$$

Inconclusive



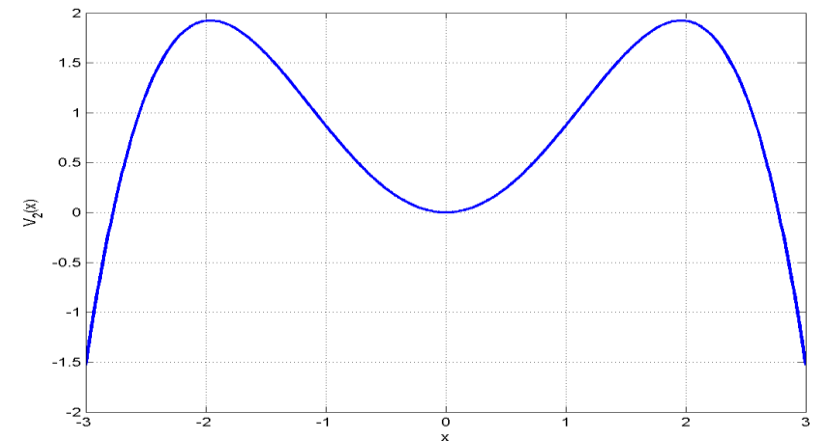
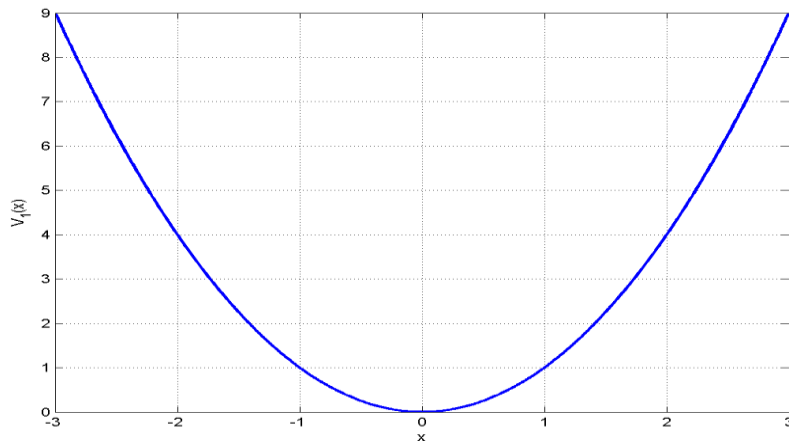
Outline

- Recap last lectures
- Application of Lyapunov's indirect method
- **Lyapunov's direct method**
- La Salle's invariance principle



Positive Definite Functions

- Before discussing Lyapunov's direct method, we introduce the concept of a **positive definite function**.
- A function $V(x)$ is said to be positive definite if
 - $V(0) = 0$
 - $V(x) > 0 \quad \forall x \neq 0$
- Examples $x \in \mathbb{R}$:
 - $V_1(x) = x^2$
 - $V_2(x) = x^2 - 0.13 x^4$

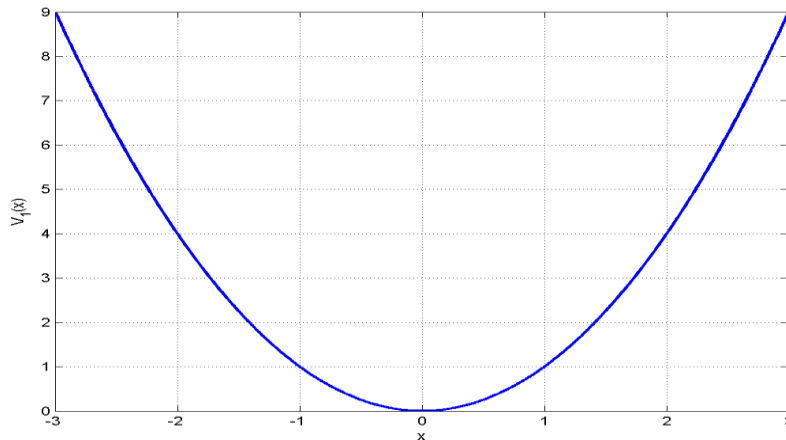


Positive Definite Functions

- Examples $x \in \mathbb{R}$:

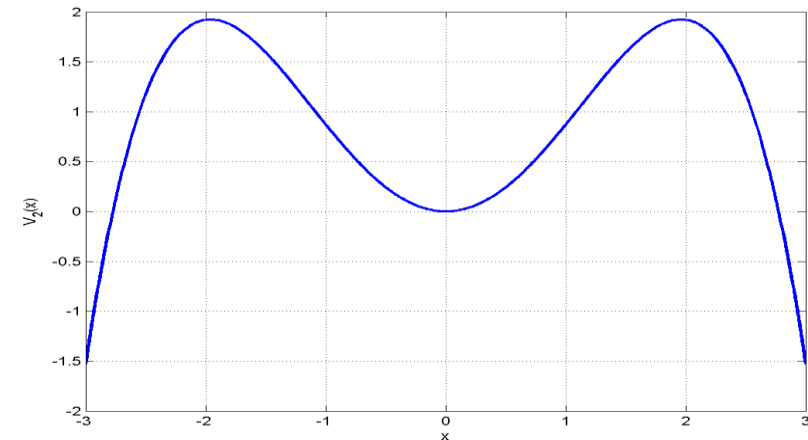
- $V_1(x) = x^2$
- $V_1(0) = 0$
- $V_1(x) > 0 \quad \forall x \neq 0$

- Therefore $V_1(x)$ is positive definite **globally**



- $V_2(x) = x^2 - 0.13 x^4$
- $V_2(0) = 0$
- $V_2(x) > 0$ (but not $\forall x \neq 0$)

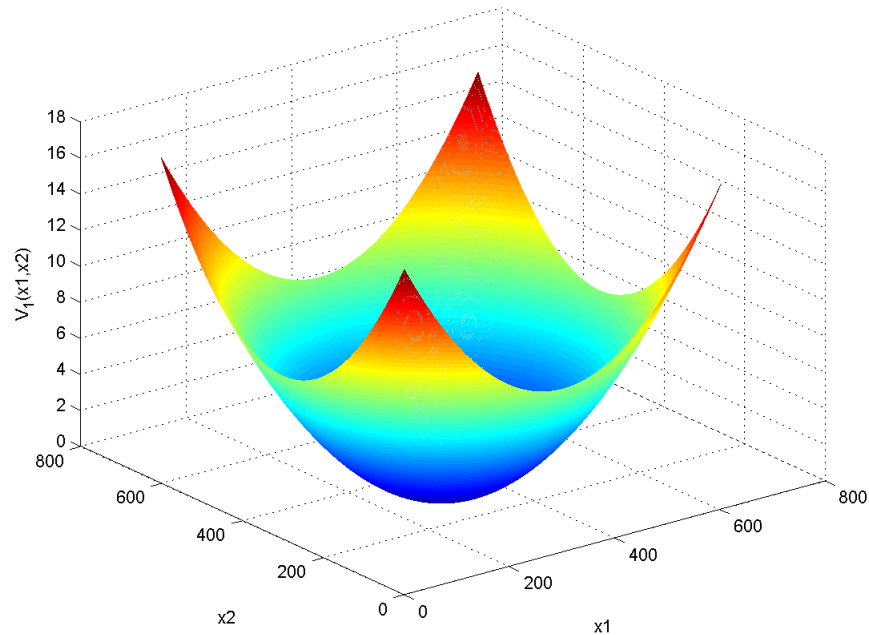
- Therefore $V_2(x)$ is positive definite only **locally** in the region $|x| < 2.77$.



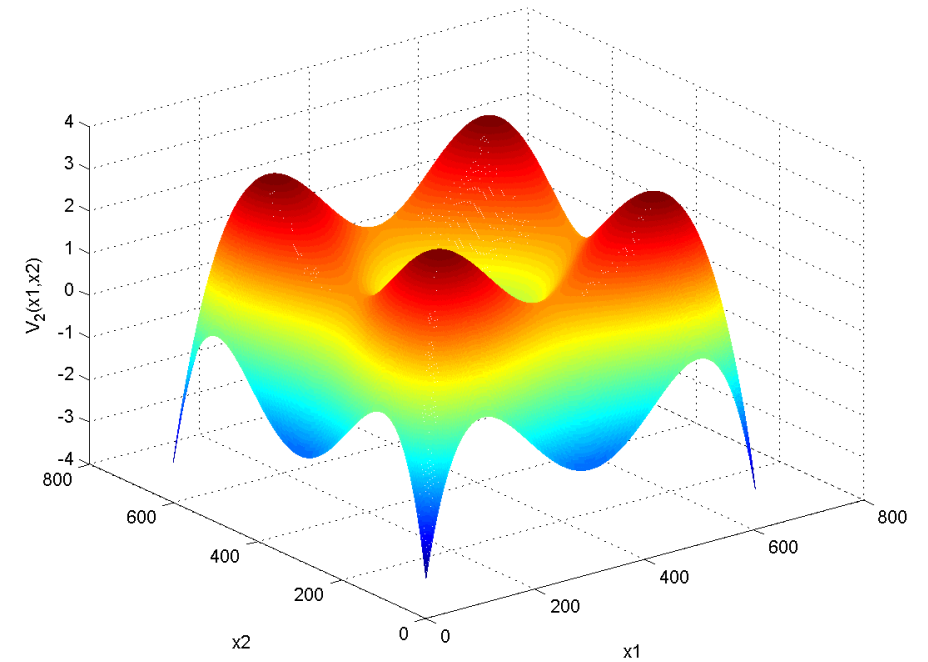
Positive Definite Functions

- Examples $x \in \mathbb{R}^2$:

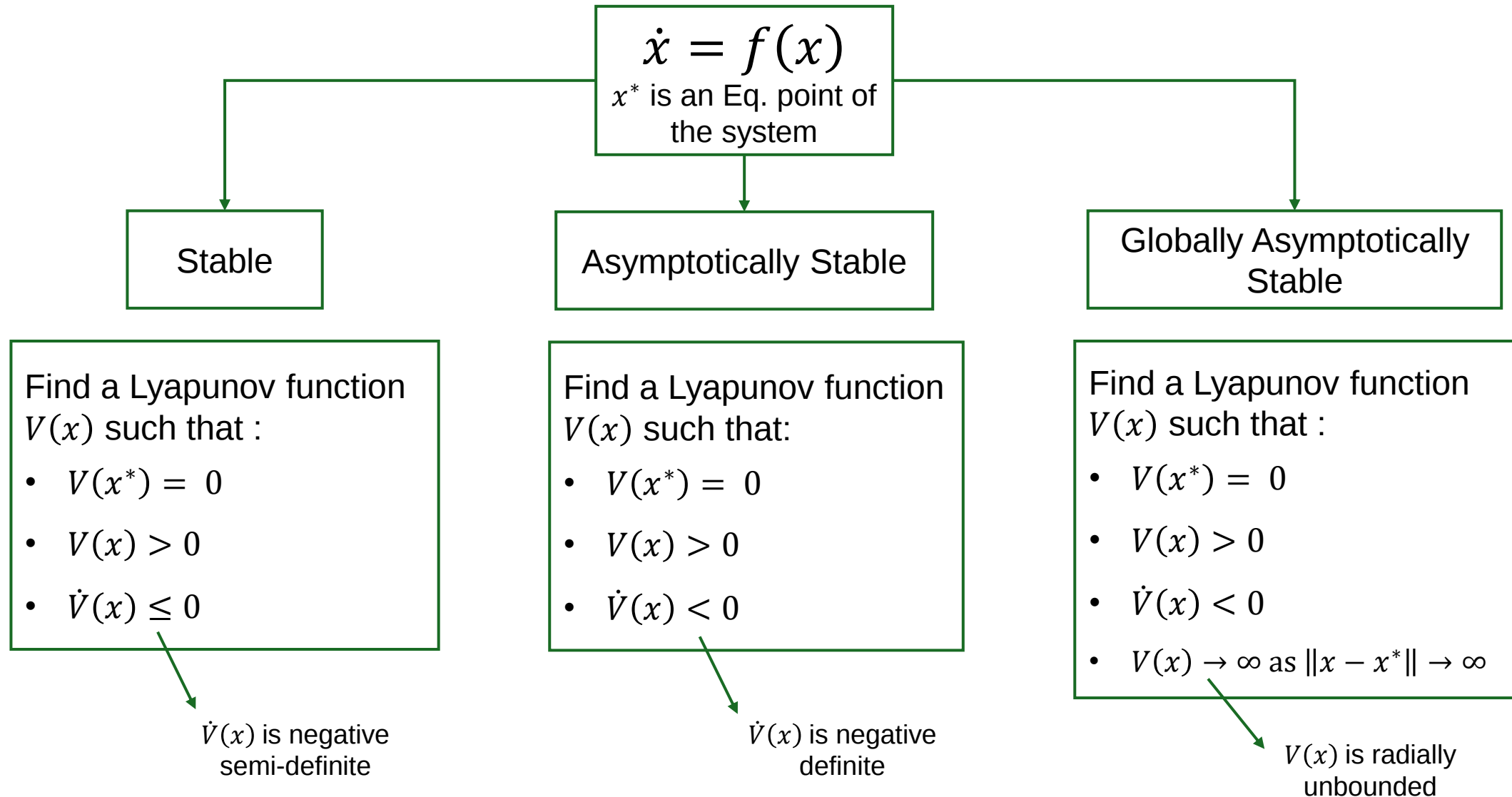
- $V_1(x) = x_1^2 + x_2^2$



- $V_2(x) = x_1^2 + x_2^2 - 0.13(x_1^4 + x_2^4)$



Lyapunov's Direct Method



Outline

- Recap last lectures
- Application of Lyapunov's indirect method
- Lyapunov's direct method
- **La Salle's invariance principle**



Motivation Example: Pendulum

- Consider the Pendulum dynamics with all parameters set to 1 for simplicity:

$$\begin{pmatrix} \dot{x}_1 \\ \dot{x}_2 \end{pmatrix} = \begin{pmatrix} x_2 \\ -x_2 - \sin x_1 \end{pmatrix}, \quad x_1 = \theta, x_2 = \dot{\theta}$$

- Consider the Lyapunov function given by the total energy of the system:

$$V(x) = \underbrace{\frac{1}{2} \dot{\theta}^2}_{\text{Kinetic Energy}} + \underbrace{(1 - \cos \theta)}_{\text{Potential Energy}}$$

$V(x) > 0$, but **not** radially unbounded

$$\dot{V}(x) = \dot{\theta} \ddot{\theta} + \dot{\theta} \sin \theta = \dot{\theta}(-\dot{\theta} - \sin \theta) + \dot{\theta} \sin \theta = -\dot{\theta}^2$$

$\dot{V}(x) \leq 0$, therefore we can only conclude that the origin is stable but not asymptotically stable



Motivation

- In many physical or engineering systems (especially mechanical systems with dissipation), we might only show $\dot{V}(x) \leq 0$ (i.e., negative semidefinite).
- That tells us the system's “energy-like” quantity never increases, but it might stay constant for certain motions.
- Simply applying Lyapunov's theorem with negative semidefinite $\dot{V}(x)$ gives us stability but not necessarily asymptotic stability.
- One solution is to use the invariant set theorem attributed to J.P. LaSalle

