

Conservative Boundary Control Systems

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Based on joint work with Damir Z. Arov
and also on work by Mikael Kurula

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The Dynamics induced by a Boundary Triplet

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A **boundary control input/state/output system** can be written in the form

$$\Sigma_{i/s/o} : \begin{cases} \dot{x}(t) = Lx(t), \\ u(t) = \Gamma_0 x(t), \\ y(t) = \Gamma_1 x(t), \\ x(0) = x_0. \end{cases} \quad t \geq 0 \quad (1)$$

\mathcal{X} is the **state space**, $x(t) \in \mathcal{X}$, $x_0 \in \mathcal{X}$,

\mathcal{U} is the **input space**, $u(t) \in \mathcal{U}$,

\mathcal{Y} is the **output space**, $y(t) \in \mathcal{Y}$ (these are Hilbert spaces),

L is the **main operator** (always unbounded),

Γ_0 is the **boundary control operator** (surjective and unbounded),

Γ_1 is the **observation operator** (can be bounded or unbounded).

In order for these equations to generate a dynamical system we need at least the following assumptions:

- Γ_0 is surjective and **strictly unbounded** in the sense that $\text{Ker}(\Gamma_0)$ is dense in \mathcal{X} ,
- $A := L|_{\text{Ker}(\Gamma_0)}$ generates a C_0 semigroup e^{At} , $t \geq 0$.

The first equation in (1) can be rewritten in the form

$$\dot{x}(t) = A_{-1}x(t) + Bu(t), \quad t \geq 0,$$

where $A_{-1}: \mathcal{X} \rightarrow \mathcal{X}_{-1}$ is a certain extension of A with values in an *extrapolation space* \mathcal{X}_{-1} , and B maps into \mathcal{X}_{-1} . See, e.g., Staffans (2005) for details.

Boundary Control State/Signal System

A **boundary control state/signal system** is similar to a boundary control i/s/o system, but we no longer specify which part of the “boundary signal” $w(t) := \begin{bmatrix} u(t) \\ y(t) \end{bmatrix}$ is the input, and which part is the output. After replacing $\begin{bmatrix} \Gamma_0 \\ \Gamma_1 \end{bmatrix}$ by Γ we get an equation of the type

$$\Sigma : \begin{cases} \dot{x}(t) = Lx(t), \\ w(t) = \Gamma x(t), \end{cases} \quad t \geq 0; \quad x(0) = x_0. \quad (2)$$

\mathcal{X} is the *state space*, $x(t) \in \mathcal{X}$, $x_0 \in \mathcal{X}$, \mathcal{X} is a Hilbert space,

\mathcal{W} is the *signal space*, $w(t) \in \mathcal{W}$, \mathcal{W} is a Kreĭn space,

L is the **main operator** (always unbounded),

Γ is the **boundary operator** (also unbounded),

L and Γ have the *same domain*

$\text{Dom}(L) = \text{Dom}(\Gamma) = \text{Dom}\left(\begin{bmatrix} L \\ \Gamma \end{bmatrix}\right) \subset \mathcal{X}$.

We assume throughout that $\left[\frac{f}{F}\right]$ is closed and densely defined.

- $\left[\begin{smallmatrix} x \\ w \end{smallmatrix}\right]$ is a **classical trajectory** of Σ if $x \in C^1(\mathbb{R}^+; \mathcal{X})$, $x(t) \in \text{Dom}\left(\left[\frac{f}{F}\right]\right)$ for all $t \in \mathbb{R}^+$, $w \in C(\mathbb{R}^+; \mathcal{W})$, and (2) holds.
- $\left[\begin{smallmatrix} x \\ w \end{smallmatrix}\right]$ is a **generalized trajectory** of Σ if $x \in C(\mathbb{R}^+; \mathcal{X})$, $w \in L^2_{\text{loc}}(\mathbb{R}^+; \mathcal{W})$, and there exists a sequence of classical trajectories $\left[\begin{smallmatrix} x_n \\ w_n \end{smallmatrix}\right]$ such that $x_n \rightarrow x$ uniformly on bounded intervals and $w_n \rightarrow w$ in $L^2_{\text{loc}}(\mathbb{R}^+; \mathcal{W})$.

(For the moment L^1_{loc} would also be OK, but later we need L^2_{loc} in the power balance equation.)

The Kreĭn Signal Space \mathcal{W}

- Recall: The **state space \mathcal{X}** is a **Hilbert space** with inner product $(\cdot, \cdot)_{\mathcal{X}}$ and norm $\|\cdot\|_{\mathcal{X}} = \sqrt{(\cdot, \cdot)_{\mathcal{X}}}$.
- However, the **signal space \mathcal{W}** is a **Kreĭn space**, and not a Hilbert space.

Roughly speaking, a Kreĭn space \mathcal{W} is a topological vector space which a (unique) **indefinite inner product $[\cdot, \cdot]_{\mathcal{W}}$** . It also has a Hilbert space inner product $(\cdot, \cdot)_{\mathcal{W}}$ such that

$$[w_1, w_2]_{\mathcal{W}} = (w_1, J_{\mathcal{W}} w_2)_{\mathcal{W}}, \quad w_1, w_2 \in \mathcal{W}. \quad (3)$$

where $J_{\mathcal{W}}$ is a boundedly invertible self-adjoint operator in \mathcal{W} (often taken to be a signature operator, i.e., $J_{\mathcal{W}} = J_{\mathcal{W}}^* = J_{\mathcal{W}}^{-1}$). However, **the Hilbert space inner product $(\cdot, \cdot)_{\mathcal{W}}$ and the signature operator $J_{\mathcal{W}}$ are not unique!** (One can always replace the given inner product $(\cdot, \cdot)_{\mathcal{W}}$ by another equivalent inner product, if one at the same time changes the operator $J_{\mathcal{W}}$ accordingly.)

Why Use a Krein Signal Space \mathcal{W} ?

In the sequel I shall discuss **conservative** boundary control state/signal systems. They satisfy the **power balance equation**

$$\frac{d}{dt} \|x(t)\|_{\mathcal{X}}^2 = [w(t), w(t)]_{\mathcal{W}}, \quad t \in \mathbb{R}^+. \quad (4)$$

- Here $\|x(t)\|_{\mathcal{X}}^2$ represents **internal energy**, (= the **Hamiltonian**), and $[w(t), w(t)]_{\mathcal{W}}$ describes the **energy flow** from the surroundings into the system.
- The left-hand side is positive if the internal energy is increasing, and negative if the internal energy is decreasing.
- Thus, if we want to allow the energy to flow in both direction, then we must allow the right-hand side to take both positive and negative values, and we cannot replace the indefinite inner product $[\cdot, \cdot]_{\mathcal{W}}$ in \mathcal{W} by a positive definite Hilbert space inner product $(\cdot, \cdot)_{\mathcal{W}}$ in \mathcal{W} .

The Lagrangian Identity

Recall the state equation

$$\Sigma : \begin{cases} \dot{x}(t) = Lx(t), \\ w(t) = \Gamma x(t), \end{cases} \quad t \geq 0; \quad x(0) = x_0, \quad (2)$$

and the power balance equation:

$$\frac{d}{dt} \|x(t)\|_{\mathcal{X}}^2 = [w(t), w(t)]_{\mathcal{W}}, \quad t \in \mathbb{R}^+. \quad (4)$$

By combining these two equations we get the **Lagrangian identity** (or **Green's formula**)

$$-(Lx, x)_{\mathcal{X}} - (x, Lx)_{\mathcal{X}} + [\Gamma x, \Gamma x]_{\mathcal{W}} = 0, \quad x \in \text{Dom} \left(\begin{bmatrix} L \\ \Gamma \end{bmatrix} \right). \quad (5)$$

The left-hand side of the Lagrangian identity

$$-(Lx, x)_{\mathcal{X}} - (x, Lx)_{\mathcal{X}} + [\Gamma x, \Gamma x]_{\mathcal{W}} = 0, \quad x \in \text{Dom} \left(\begin{bmatrix} L \\ \Gamma \end{bmatrix} \right) \quad (5)$$

can be interpreted as an indefinite (Kreĭn space) inner product in the **node space** $\mathfrak{K} := \begin{bmatrix} \mathcal{X} \\ \mathcal{X} \\ \mathcal{W} \end{bmatrix}$: Define

$$\left[\begin{bmatrix} z_1 \\ x_1 \\ w_1 \end{bmatrix}, \begin{bmatrix} z_2 \\ x_2 \\ w_2 \end{bmatrix} \right]_{\mathfrak{K}} = \left(\begin{bmatrix} z_1 \\ x_1 \\ w_1 \end{bmatrix}, J_{\mathfrak{K}} \begin{bmatrix} z_2 \\ x_2 \\ w_2 \end{bmatrix} \right)_{\mathfrak{K}}, \quad J_{\mathfrak{K}} := \begin{bmatrix} 0 & -1_{\mathcal{X}} & 0 \\ -1_{\mathcal{X}} & 0 & 0 \\ 0 & 0 & J_{\mathcal{W}} \end{bmatrix}. \quad (6)$$

Then (5) says that

$$\left[\begin{bmatrix} Lx \\ x \\ \Gamma x \end{bmatrix}, \begin{bmatrix} Lx \\ x \\ \Gamma x \end{bmatrix} \right]_{\mathfrak{K}} = 0, \quad x \in \text{Dom} \left(\begin{bmatrix} L \\ \Gamma \end{bmatrix} \right) \quad (7)$$

The Generating Subspace

Define

$$V := \left\{ \begin{bmatrix} Lx \\ x \\ \Gamma x \end{bmatrix} \in \mathfrak{R} \mid x \in \text{Dom} \left(\begin{bmatrix} L \\ \Gamma \end{bmatrix} \right) \right\}. \quad (8)$$

Then the condition

$$\left[\begin{bmatrix} Lx \\ x \\ \Gamma x \end{bmatrix}, \begin{bmatrix} Lx \\ x \\ \Gamma x \end{bmatrix} \right]_{\mathfrak{R}} = 0, \quad x \in \text{Dom} \left(\begin{bmatrix} L \\ \Gamma \end{bmatrix} \right) \quad (7)$$

says that

V is a neutral subspace of \mathfrak{R} with respect to the inner product $[\cdot, \cdot]_{\mathfrak{R}}$, i.e., all the vectors in V are orthogonal to all other vectors (including themselves) in V . Here orthogonality means that

$$w_1 \perp w_2 \Leftrightarrow [w_1, w_2]_{\mathfrak{R}} = 0.$$

The Orthogonal Companion of V

Define

$$V^{[\perp]} = \{ \kappa^\dagger \in \mathfrak{K} \mid [\kappa, \kappa^\dagger]_{\mathfrak{K}} = 0 \text{ for all } \kappa \in V \}. \quad (9)$$

We call $V^{[\perp]}$ the **orthogonal companion** to V .

The Lagrangian identity (5) is equivalent to the condition

$$V \subset V^{[\perp]}.$$

$$\Sigma : \begin{cases} \dot{x}(t) = Lx(t), \\ w(t) = \Gamma x(t), \end{cases} \quad t \geq 0; \quad x(0) = x_0, \quad (2)$$

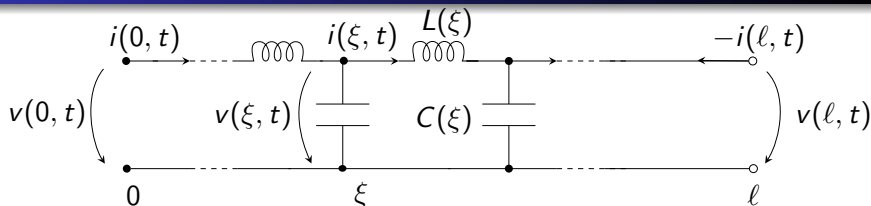
$$\left[\begin{bmatrix} z_1 \\ x_1 \\ w_1 \end{bmatrix}, \begin{bmatrix} z_2 \\ x_2 \\ w_2 \end{bmatrix} \right]_{\mathfrak{R}} = \left(\begin{bmatrix} z_1 \\ x_1 \\ w_1 \end{bmatrix}, J_{\mathfrak{R}} \begin{bmatrix} z_2 \\ x_2 \\ w_2 \end{bmatrix} \right)_{\mathfrak{R}}, \quad J_{\mathfrak{R}} := \begin{bmatrix} 0 & -1x & 0 \\ -1x & 0 & 0 \\ 0 & 0 & J_W \end{bmatrix}. \quad (6)$$

$$V := \left\{ \begin{bmatrix} Lx \\ x \\ \Gamma x \end{bmatrix} \in \mathfrak{R} \mid x \in \text{Dom} \left(\begin{bmatrix} L \\ \Gamma \end{bmatrix} \right) \right\}. \quad (8)$$

Definition

The boundary control state/signal system Σ is **conservative** if the **generating subspace V defined in (8) is Lagrangian**, i.e., $V = V^{\perp}$.

A Transmission Line



$$\frac{\partial}{\partial t} \begin{bmatrix} v(\xi, t) \\ i(\xi, t) \end{bmatrix} = \begin{bmatrix} 0 & -\frac{1}{C(\xi)} \frac{\partial}{\partial \xi} \\ -\frac{1}{L(\xi)} \frac{\partial}{\partial \xi} & 0 \end{bmatrix} \begin{bmatrix} v(\xi, t) \\ i(\xi, t) \end{bmatrix}, \quad (\xi, t) \in [0, \ell] \times \mathbb{R}^+,$$

$$w(t) = \begin{bmatrix} v(0, t) \\ i(0, t) \\ v(\ell, t) \\ -i(\ell, t) \end{bmatrix}, \quad t \in \mathbb{R}^+,$$

$$v(\xi, 0) = v_0(\xi), \quad i(\xi, 0) = i_0(\xi), \quad \xi \in [0, \ell].$$

The functions $L(\cdot) > 0$ and $C(\cdot) > 0$ represent the *distributed inductance and capacitance*, respectively, of the line. For simplicity I assume that $C(\cdot)$ and $L(\cdot)$ are continuous on $[0, \ell]$.

We take $x(t) = \begin{bmatrix} v(\cdot, t) \\ i(\cdot, t) \end{bmatrix}$, $t \in \mathbb{R}^+$, and $x_0 = \begin{bmatrix} v_0(\cdot) \\ i_0(\cdot) \end{bmatrix}$.

We take the state space \mathcal{X} to be $L^2([0, \ell]; \mathbb{C}^2)$ with

$$\left\| \begin{bmatrix} v(\cdot) \\ i(\cdot) \end{bmatrix} \right\|_{\mathcal{X}}^2 = \frac{1}{2} \int_0^{\ell} [C(\xi)|v(\xi)|^2 + L(\xi)|i(\xi)|^2] d\xi, \quad (10)$$

$$\left(\begin{bmatrix} v_1(\cdot) \\ i_1(\cdot) \end{bmatrix}, \begin{bmatrix} v_2(\cdot) \\ i_2(\cdot) \end{bmatrix} \right)_{\mathcal{X}} = \frac{1}{2} \int_0^{\ell} [C(\xi)v_1(\xi)\overline{v_2(\xi)} + L(\xi)i_1(\xi)\overline{i_2(\xi)}] d\xi. \quad (11)$$

The operator L is given by

$$L := \begin{bmatrix} 0 & -\frac{1}{C(\xi)} \frac{\partial}{\partial \xi} \\ -\frac{1}{L(\xi)} \frac{\partial}{\partial \xi} & 0 \end{bmatrix}, \quad (12)$$

$$\text{Dom}(L) := W^{1,2}([0, \ell]; \mathbb{C}^2), \quad (13)$$

where W_2^1 is the Sobolev space of functions in $L^2([0, \ell]; \mathbb{C}^2)$ which have a distribution derivative in $L^2([0, \ell]; \mathbb{C}^2)$.

The boundary operator Γ has the same domain as L , and it is given by

$$\Gamma \begin{bmatrix} i(\cdot) \\ v(\cdot) \end{bmatrix} = \begin{bmatrix} v(0) \\ i(0) \\ v(\ell) \\ -i(\ell) \end{bmatrix}. \quad (14)$$

It is not difficult to show that the operator $\begin{bmatrix} L \\ \Gamma \end{bmatrix}$ is closed as an operator from \mathcal{X} to $\begin{bmatrix} \mathcal{X} \\ \mathbb{C}^4 \end{bmatrix}$ with domain $\text{Dom}(\begin{bmatrix} L \\ \Gamma \end{bmatrix}) = \text{Dom}(L) = W^{1,2}([0, 1]; \mathbb{C}^2)$.

With these definitions, the transmission line becomes a special case of

$$\Sigma : \begin{cases} \dot{x}(t) = Lx(t), \\ w(t) = \Gamma x(t), \end{cases} \quad t \geq 0; \quad x(0) = x_0, \quad (2)$$

The Lagrangian Identity

To derive the appropriate Lagrangian identity we compute

$$\begin{aligned}\frac{d}{dt} \|x(t)\|_{\mathcal{X}}^2 &= 2\Re(x(t), \dot{x}(t))_{\mathcal{X}} \\ &= - \int_0^\ell \Re \left[v(\xi, t) \overline{\frac{\partial}{\partial \xi} i(\xi, t)} + i(\xi, t) \overline{\frac{\partial}{\partial \xi} v(\xi, t)} \right] d\xi \\ &= - \int_0^\ell \frac{\partial}{\partial \xi} \Re [v(\xi, t) \overline{i(\xi, t)}] d\xi \\ &= - \Re [v(\xi, t) \overline{i(\xi, t)}]_{\xi=0}^\ell \\ &= \Re [v(0, t) \overline{i(0, t)}] - \Re [v(\ell, t) \overline{i(\ell, t)}] \\ &= \frac{1}{2} \left(\begin{bmatrix} v(0, t) \\ i(0, t) \\ v(\ell, t) \\ -i(\ell, t) \end{bmatrix}, \begin{bmatrix} \begin{bmatrix} 0 & 1 \\ 1 & 0 \end{bmatrix} & 0 \\ 0 & \begin{bmatrix} 0 & 1 \\ 1 & 0 \end{bmatrix} \end{bmatrix} \begin{bmatrix} v(0, t) \\ i(0, t) \\ v(\ell, t) \\ -i(\ell, t) \end{bmatrix} \right)_{\mathbb{C}^4} \\ &= (\Gamma x, J_{\mathcal{W}} \Gamma x)_{\mathbb{C}^4}, \quad J_{\mathcal{W}} = \frac{1}{2} \begin{bmatrix} \begin{bmatrix} 0 & 1 \\ 1 & 0 \end{bmatrix} & 0 \\ 0 & \begin{bmatrix} 0 & 1 \\ 1 & 0 \end{bmatrix} \end{bmatrix}.\end{aligned}$$

The preceding identity tells us that if we use the inner product

$$[w_1, w_2]_{\mathcal{W}} = \left(\begin{bmatrix} v_{01} \\ i_{01} \\ v_{\ell 1} \\ i_{\ell 1} \end{bmatrix}, J_{\mathcal{W}} \begin{bmatrix} v_{02} \\ i_{02} \\ v_{\ell 2} \\ i_{\ell 2} \end{bmatrix} \right), \quad J_{\mathcal{W}} = \frac{1}{2} \begin{bmatrix} \begin{bmatrix} 0 & 1 \\ 1 & 0 \end{bmatrix} & 0 \\ 0 & \begin{bmatrix} 0 & 1 \\ 1 & 0 \end{bmatrix} \end{bmatrix}. \quad (15)$$

in the signal space $\mathcal{W} = C^4$, then the generating subspace V is a neutral subspace of the node space \mathfrak{K} .

Afternoon assignment: Show that V is actually Lagrangian, and not just neutral!

Thus, the transmission line is a special case of a conservative boundary control state/signal system.

However, it can also be interpreted in terms of a boundary triplet for the operator L^* , as we shall see next.

According to (Gorbachuk and Gorbachuk, 1991, pp. 154–155), the triple $(\Gamma_1, \Gamma_2; \mathcal{U})$ is called a **boundary triplet** for the closed densely defined symmetric operator A in the Hilbert space \mathcal{X} with equal deficiency numbers if Γ_i , $i = 1, 2$, are linear operators $\text{Dom}(A^*) \rightarrow \mathcal{U}$ and the following two conditions hold:

$$(A^*x_1, x_2)_{\mathcal{X}} - (x_1, A^*x_2)_{\mathcal{X}} = (\Gamma_1x_1, \Gamma_2x_2)_{\mathcal{U}} - (\Gamma_2x_1, \Gamma_1x_2)_{\mathcal{U}}, \quad (16)$$

$$\begin{bmatrix} \Gamma_1 \\ \Gamma_2 \end{bmatrix} \text{ is surjective.} \quad (17)$$

Here (16) is the **Lagrangian identity** and (17) can be interpreted as a **regularity condition** (or maximality condition).

Let $(\Gamma_1, \Gamma_2; \mathcal{U})$ be a boundary triplet for the symmetric operator A .
Take $\mathcal{W} = \begin{bmatrix} \mathcal{U} \\ \mathcal{U} \end{bmatrix} := \mathcal{U} \times \mathcal{U}$ with the inner product

$$\left[\begin{bmatrix} y_1 \\ u_1 \end{bmatrix}, \begin{bmatrix} y_2 \\ u_2 \end{bmatrix} \right]_{\mathcal{W}} = \left(\begin{bmatrix} y_1 \\ u_1 \end{bmatrix}, \begin{bmatrix} 0 & -i \\ i & 0 \end{bmatrix} \begin{bmatrix} y_2 \\ u_2 \end{bmatrix} \right)_{\begin{bmatrix} \mathcal{U} \\ 0 \end{bmatrix} \oplus \begin{bmatrix} 0 \\ \mathcal{U} \end{bmatrix}}. \quad (18)$$

Define $\Gamma = \begin{bmatrix} \Gamma_1 \\ \Gamma_2 \end{bmatrix}$ with $\text{Dom}(\Gamma) = \text{Dom}(A^*)$. Then

$$\Sigma : \begin{cases} \dot{x}(t) = iA^*x(t), & t \geq 0; & x(0) = x_0, \\ w(t) = \Gamma x(t), \end{cases} \quad (2)$$

is a conservative boundary control s/s system. See Malinen and Staffans (2006, 2007).

The notion of a *conservative boundary control s/s system* is more general than the notion of a *boundary triplet* in the sense of Gorbachuk and Gorbachuk (1991): **There do exist conservative s/s systems which do not correspond to any boundary triplet.**

The counter examples are of two types:

- The signal space \mathcal{W} **need not have a Lagrangian decomposition**, i.e., a direct sum decomposition $\mathcal{W} = \mathcal{Y} \dot{+} \mathcal{U}$ where both \mathcal{Y} and \mathcal{U} are Lagrangian. A necessary and sufficient condition for the existence of a Lagrangian decomposition is that $\text{ind}_+ \mathcal{W} = \text{ind}_- \mathcal{W} (\leq \infty)$. Recall that we in the case of a boundary triplet always have at least one Lagrangian decomposition, namely $\mathcal{W} = \begin{bmatrix} \mathcal{U} \\ 0 \end{bmatrix} \dot{+} \begin{bmatrix} 0 \\ \mathcal{U} \end{bmatrix}$.

The notion of a *conservative boundary control s/s system* is more general than the notion of a *boundary triplet* in the sense of Gorbachuk and Gorbachuk (1991): **There do exist conservative s/s systems which do not correspond to any boundary triplet.**

The counter examples are of two types:

- Even if the signal space \mathcal{W} has a Lagrangian decomposition **the main operator L need not be closed**, and **the operator $\Gamma := \begin{bmatrix} \Gamma_1 \\ \Gamma_2 \end{bmatrix}$ need not be surjective**. See Malinen and Staffans (2007) for a counter example.

According to Kurula, van der Schaft, Zwart, and Behrndt (2009), **L is closed if and only if the range of Γ is closed**. We may always, without loss of generality, suppose that $\text{Ran}(\Gamma)$ is dense in \mathcal{W} .

- Above we always assumed that the boundary control system Σ is **conservative**, i.e., that the generating subspace

$$V := \left\{ \begin{bmatrix} Lx \\ x \\ \Gamma x \end{bmatrix} \in \mathfrak{K} \mid x \in \text{Dom} \left(\begin{bmatrix} L \\ \Gamma \end{bmatrix} \right) \right\}. \quad (8)$$

is a **Lagrangian** subspace of the node space \mathfrak{K} . There is also a recent theory for the case where Σ is **passive** instead of conservative, i.e., **V is maximal nonnegative**.

- There also exists a very recent theory for the case where the state/signal system is **not of boundary control type**, but instead of the more general type

$$\Sigma : \left\{ \begin{bmatrix} \dot{x}(t) \\ x(t) \\ w(t) \end{bmatrix} \in V, \quad t \in \mathbb{R}^+; \quad x(0) = x_0. \quad (19)$$

where V is either Lagrangian (= conservative) or maximal nonnegative (= passive). See Kurula (2009); Kurula and Staffans (2009). More about this on Wednesday.

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