

# Why Should I Care About Stochastic Hybrid Systems?

João Hespanha



1

## Why Care Should I Care About SHSs?



### Examples

- Feedback over shared networks
- Estimation using remote sensors
- Biology / Gene regulation

### Modeling/Analysis tools

- Time-triggered SHSs
- Lyapunov-based analysis
- Moments dynamics

*(ex) students:* D. Antunes (IST), A. Mesquita (UCSB), Y. Xu (Advertising.com), A. Singh (UCSD)

*collaborators:* M. Khammash (UCSB), C. Silvestre (IST)

*acknowledgements:* NSF, Institute for Collaborative bio-technologies (ARO), AFOSR (STTR program)

*disclaimer:* This is an overview, technical details in papers referenced in bottom right corner... <http://www.ece.ucsb.edu/~hespanha>

2

## Examples

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### Disclaimer:

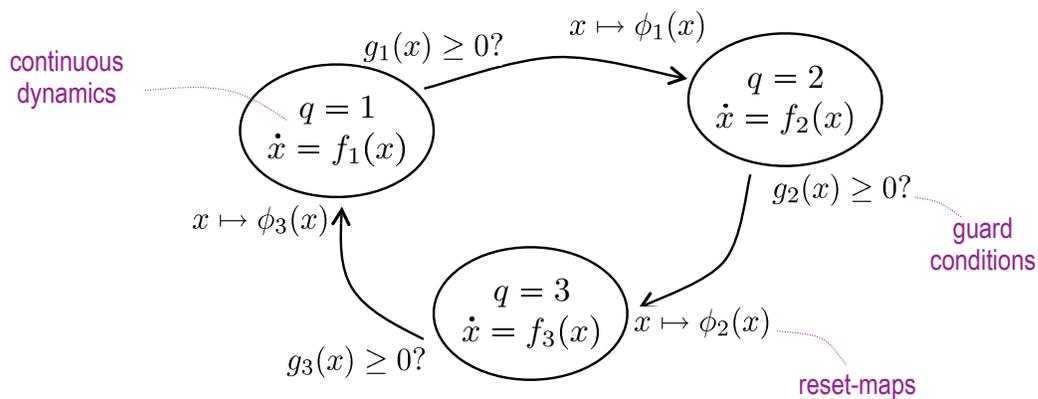
Several other important applications/researchers not mentioned in this talk. E.g.,

- air traffic control [Bujorianu, Lygeros, Prandini, Hu, Tomlin,...]
- network traffic modeling [Bohacek, Lee, Yin, ...]
- queuing systems [Cassandras,...]
- economics [Davis, Yin,...]
- biology [Hu, Julius, Lygeros, Pappas,...]

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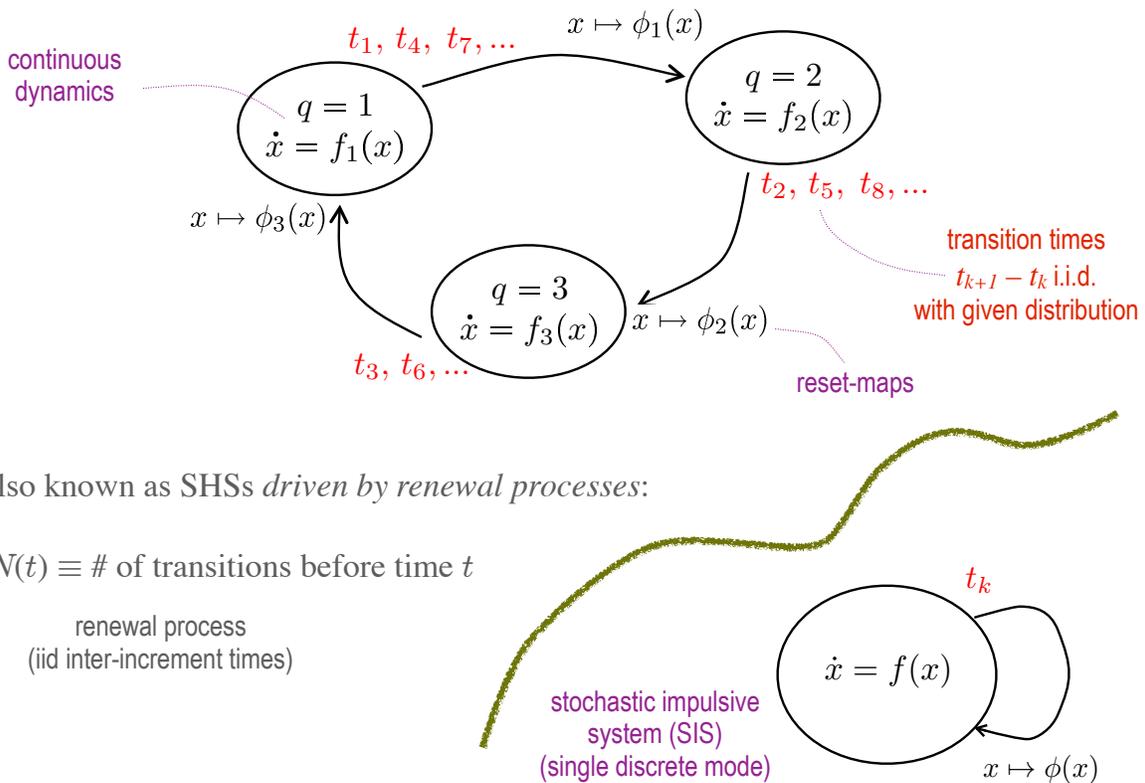
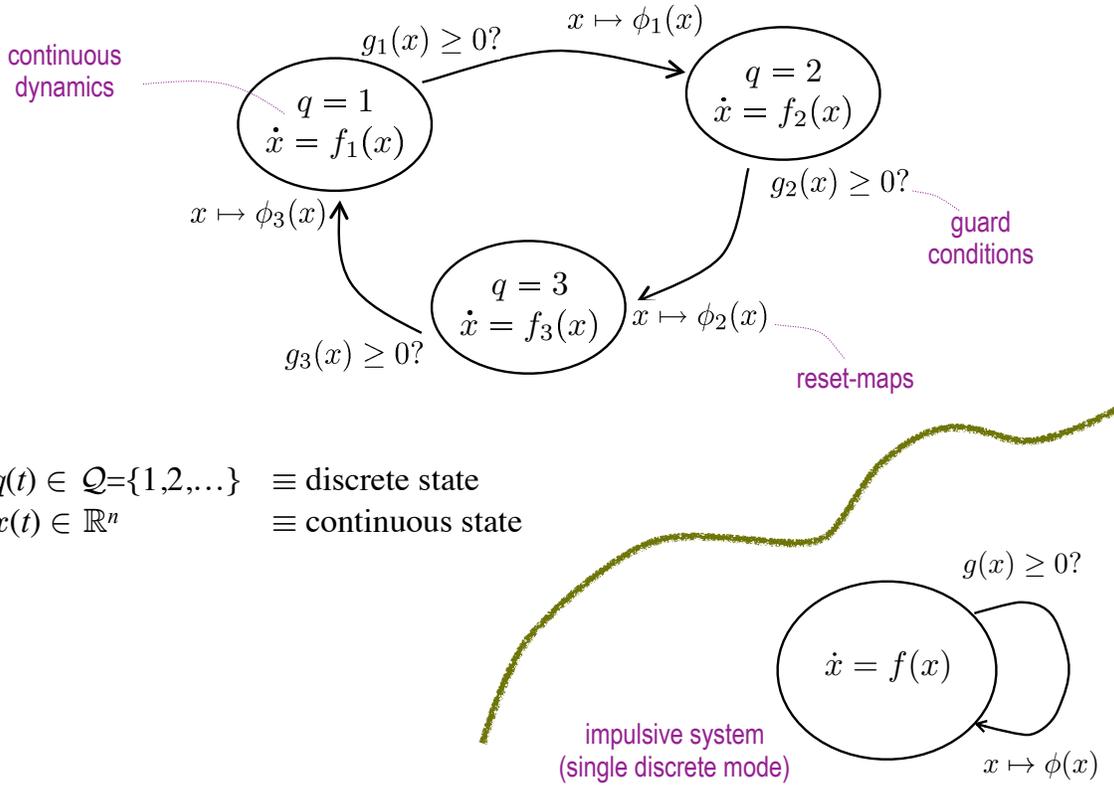
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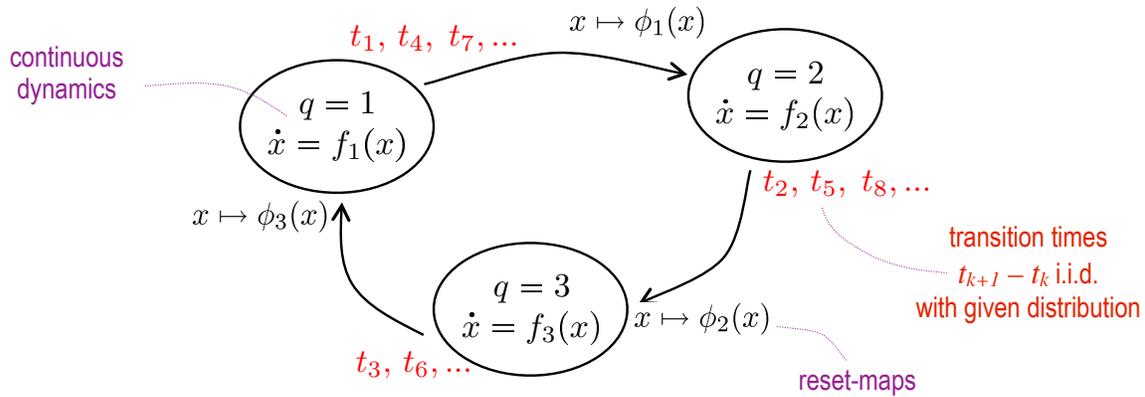
# Deterministic Hybrid Systems



$q(t) \in Q = \{1, 2, \dots\}$   $\equiv$  discrete state  
 $x(t) \in \mathbb{R}^n$   $\equiv$  continuous state

4



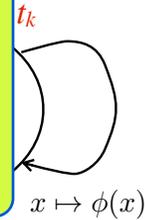


Also known as

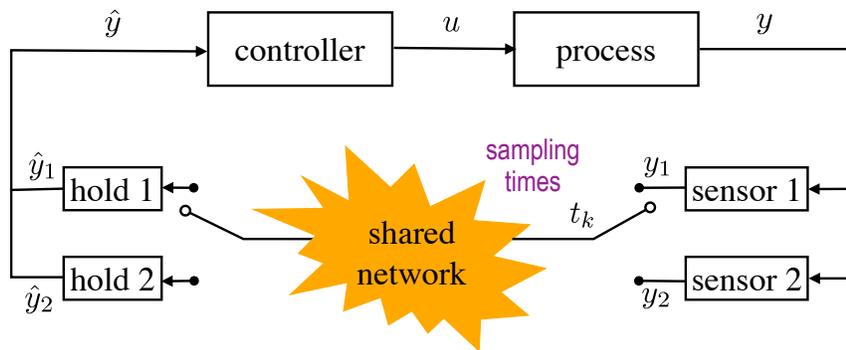
**Special case:** when  $t_{k+1} - t_k$  i.i.d. exponentially distributed

- called Markovian Jump Systems
- in this case  $x(t)$  is a Markov Process
- well developed theory (analysis & design)

[Costa, Fragoso, Boukas, Loparo, Lee, Dullerud]



## Example #1: Networked Control System



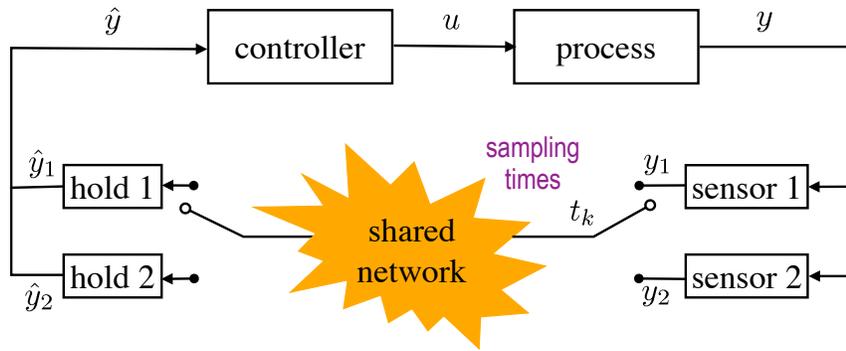
process:  $\dot{x}_P = A_P x_P + C_P u$   
 $y = C_P x_P + D_P u$

controller:  $\dot{x}_C = A_C x_C + C_C \hat{y}$   
 $\hat{y} = C_C x_C + D_C \hat{y}$

round-robin network access:

$$\dot{\hat{y}} = 0 \quad \text{hold}$$

$$\begin{bmatrix} \hat{y}_1(t_k) \\ \hat{y}_2(t_k) \end{bmatrix} = \begin{cases} \begin{bmatrix} y_1(t_k^-) \\ \hat{y}_2(t_k^-) \end{bmatrix} & k \text{ odd} \\ \begin{bmatrix} \hat{y}_1(t_k^-) \\ y_2(t_k^-) \end{bmatrix} & k \text{ even} \end{cases}$$



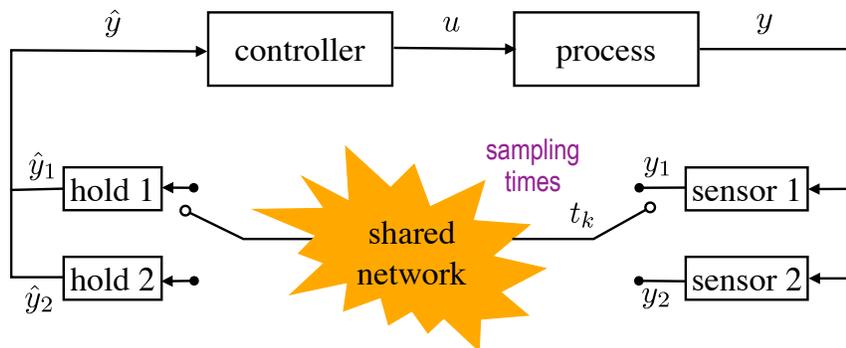
process:  $\dot{x}_P = A_P x_P + C_P u$   
 $y = C_P x_P + D_P u$

controller:  $\dot{x}_C = A_C x_C + C_C \hat{y}$   
 $\hat{y} = C_C x_C + D_C \hat{y}$

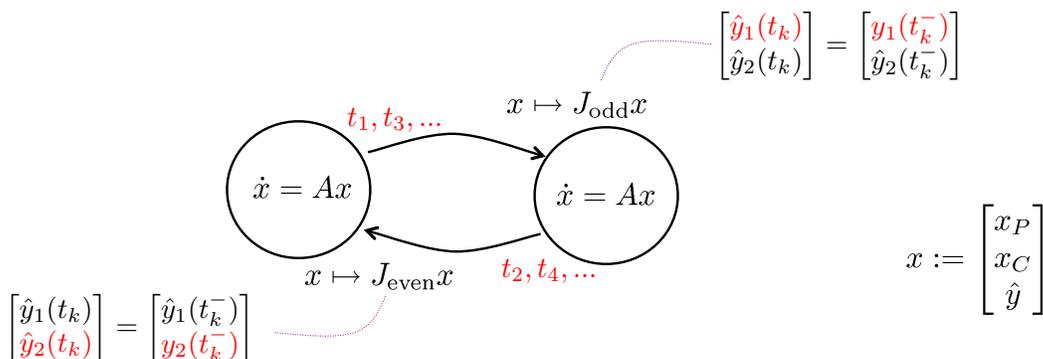
What if the network is not available at a sample time  $t_k$  ?

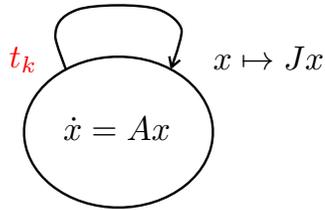
- 1<sup>st</sup> wait until network becomes available
- 2<sup>nd</sup> send (old) data from original sampling of continuous-time output
- or
- 2<sup>nd</sup> send (latest) data from current sampling of continuous-time output

⇒ intersampling times  $t_{k+1} - t_k$  typically become random variables



$t_{k+1} - t_k \sim$  time-interval between successive transmissions





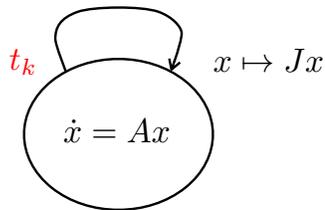
stochastic impulsive system  
(single discrete mode)

$t_{k+1} - t_k \sim$  i.i.d., with cumulative  
distribution function  $F(\cdot)$

Defining  $x_k := x(t_k)$   
state at jump times

$$x_{k+1} = J e^{A(t_{k+1}-t_k)} x_k$$

reset
continuous evolution



stochastic impulsive system  
(single discrete mode)

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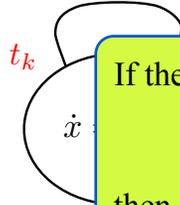
reset
continuous evolution

For a given  $P = P' > 0$

$$E[x'_{k+1} P x_{k+1} | x_k] = x'_k E_{F(\Delta)} \left[ \underbrace{e^{A' \Delta} J' P J e^{A \Delta}} \right] x_k$$

expectation w.r.t.  $\Delta = t_{k+1} - t_k$   
(cumulative distribution  $F$ )

stochastic impulsive system  
(single discrete mode)



If there exists

$$P > 0, \quad \mathbb{E}_{F(\Delta)} \left[ e^{A'\Delta} J' P J e^{A\Delta} \right] < P$$

LMI on  $P_{n \times n}$

then

$$\lim_{k \rightarrow \infty} \mathbb{E}[\|x_k\|^2] = 0 \quad (\text{exp. fast in index } k)$$

Defining  $x_k$

What about  $x(t)$  between jumps?

For a given  $P = P' > 0$

$$\mathbb{E}[x'_{k+1} P x_{k+1} \mid x_k] = x'_k \mathbb{E}_{F(\Delta)} \left[ \underbrace{e^{A'\Delta} J' P J e^{A\Delta}} \right] x_k$$

expectation w.r.t.  $\Delta = t_{k+1} - t_k$   
(cumulative distribution  $F$ )

All stability notions require  $\lim_{k \rightarrow \infty} \|x_k\| = 0$  exponentially fast

the nec. & suff. conditions only differ on the requirements on the tail of distribution

$$1 - F(s) = \mathbb{P}(t_{k+1} - t_k > s)$$

☞ Mean-square **exponential stability**, i.e.,  $\lim_{t \rightarrow \infty} \mathbb{E}[\|x(t)\|^2] \stackrel{\text{exp. fast}}{=} 0$

☞ Mean-square **asymptotic stability**, i.e.,  $\lim_{t \rightarrow \infty} \mathbb{E}[\|x(t)\|^2] = 0$

☞ Mean-square **stochastic stability**, i.e.,  $\int_0^\infty \mathbb{E}[\|x(t)\|^2] dt < \infty$

All stability notions require  $\lim_{k \rightarrow \infty} \|x_k\| = 0$  exponentially fast

the nec. & suff. conditions only differ on the requirements on the tail of distribution

$$1 - F(s) = P(t_{k+1} - t_k > s)$$

(versions of these results for multiple discrete modes are available)

## Theorem:

- ☉ Mean-square **exponential stability**, i.e.,  $\lim_{t \rightarrow \infty} E[\|x(t)\|^2] \stackrel{\text{exp. fast}}{=} 0$ 
  - $\Leftrightarrow \exists P > 0, E_{F(\Delta)} [e^{A'\Delta} J' P J e^{A\Delta}] < P$  and  $\lim_{s \rightarrow \infty} e^{A's} e^{As} (1 - F(s)) \stackrel{\text{exp. fast}}{=} 0$
- ☉ Mean-square **asymptotic stability**, i.e.,  $\lim_{t \rightarrow \infty} E[\|x(t)\|^2] = 0$ 
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- ☉ Mean-square **stochastic stability**, i.e.,  $\int_0^\infty E[\|x(t)\|^2] dt < \infty$ 
  - $\Leftrightarrow \exists P > 0, E_{F(\Delta)} [e^{A'\Delta} J' P J e^{A\Delta}] < P$  and  $\int_0^\infty e^{A's} e^{As} F(ds) < \infty$

[Antunes et al, 2009]

15

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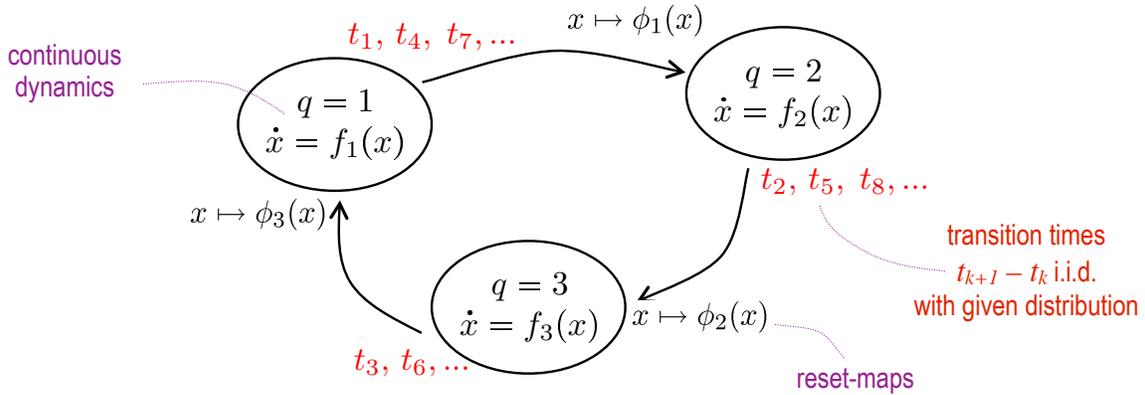
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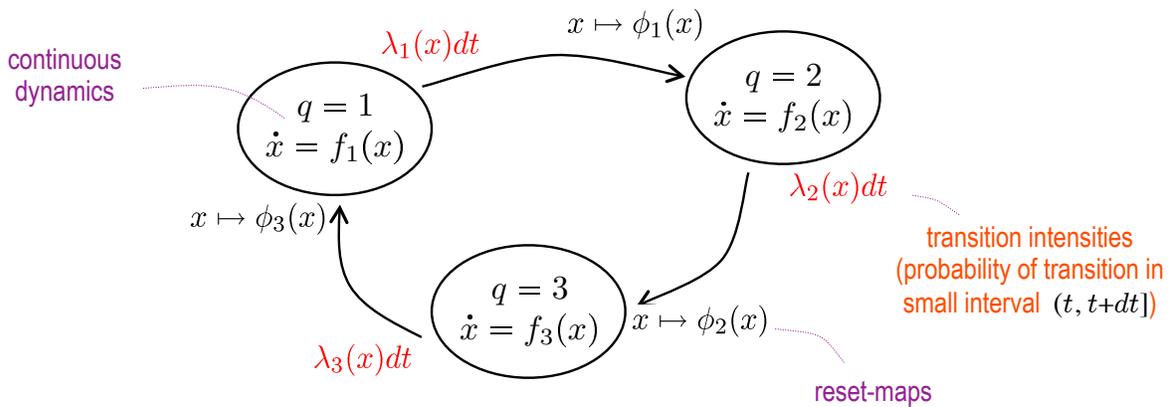
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16



$q(t) \in Q = \{1, 2, \dots\}$   $\equiv$  discrete state  
 $x(t) \in \mathbb{R}^n$   $\equiv$  continuous state

# Stochastic Hybrid Systems

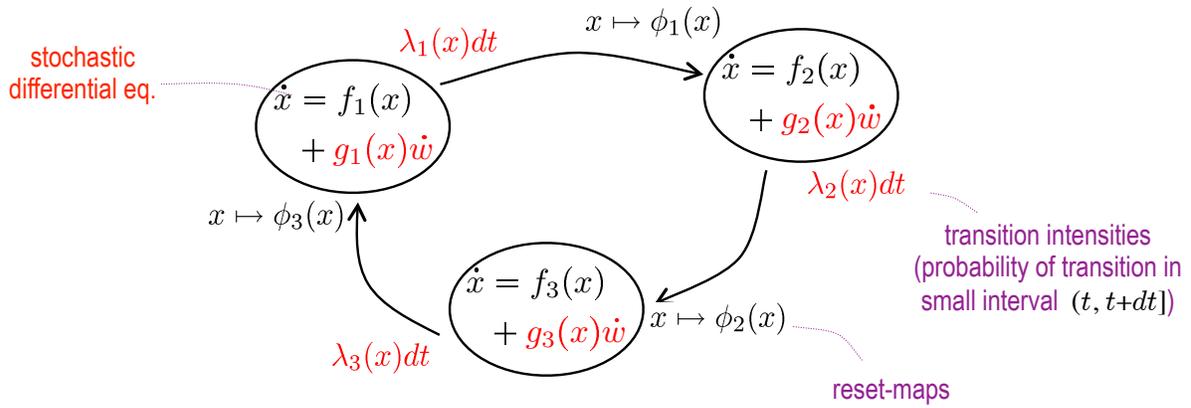


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 $x(t) \in \mathbb{R}^n$   $\equiv$  continuous state

Special case:

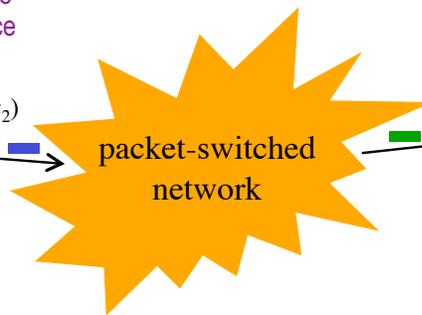
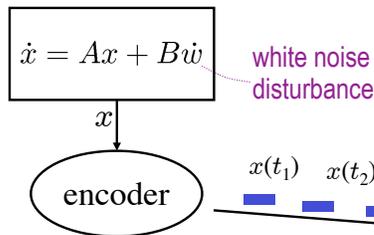
Markovian jump system

When all  $\lambda_\ell$  are constant  $\Rightarrow$  time triggered SIS with exponential  $t_{k+1} - t_k$

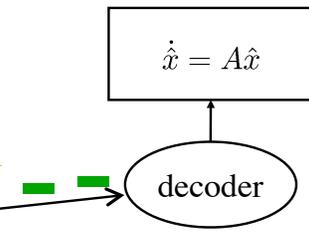


$q(t) \in Q = \{1, 2, \dots\}$   $\equiv$  discrete state  
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process



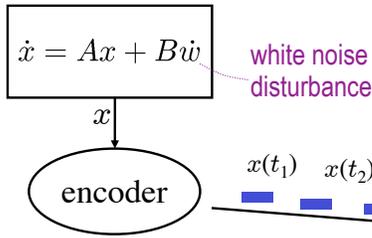
state-estimator



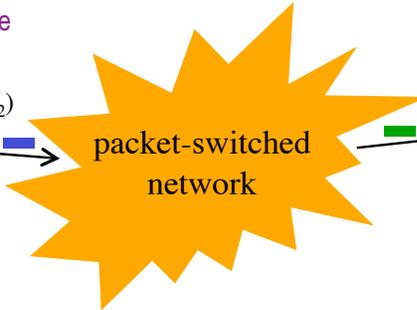
- for simplicity:
- full-state available
  - no measurement noise
  - no quantization
  - no transmission delays

encoder logic  $\equiv$  determines *when* to send measurements to the network  
 decoder logic  $\equiv$  determines *how* to incorporate received measurements

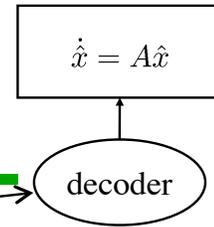
process



white noise disturbance



state-estimator



- for simplicity:
- full-state available
  - no measurement noise
  - no quantization
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decoder logic  $\equiv$  determines *how* to incorporate received measurements

1. upon reception of  $x(t_k)$ , reset  $\hat{x}(t_k)$  to  $x(t_k)$

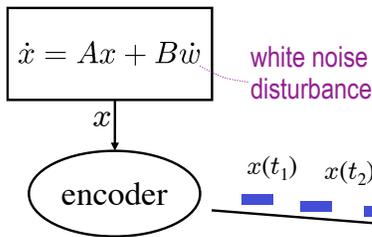
encoder logic  $\equiv$  determines *when* to send measurements to the network

1. keep track of remote estimate  $\hat{x}$
2. send measurements stochastically
3. probability of sending data increases as  $\hat{x}$  deviates from  $x$

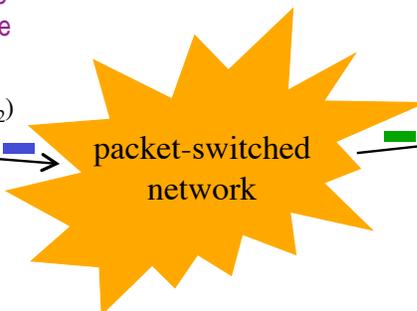
[related ideas pursued by Astrom, Basar, Hristu, Kumar, Tilbury]

## Error Dynamics

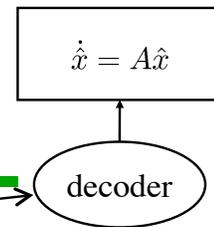
process



white noise disturbance

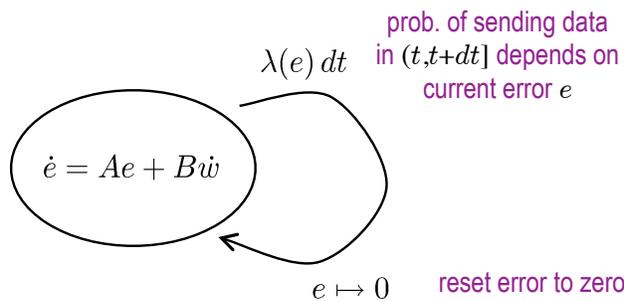


state-estimator



- for simplicity:
- full-state available
  - no measurement noise
  - no quantization
  - no transmission delays

Error dynamics:  $e := x - \hat{x}$



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

Given scalar-valued function  $V : \mathbb{R}^n \rightarrow \mathbb{R}$

$$\frac{dV(x(t))}{dt} = \frac{\partial V(x(t))}{\partial x} f(x(t))$$

derivative  
along solution  
to ODE

$L_f V$   
Lie derivative of  $V$

Basis of “Lyapunov” formal arguments to establish boundedness and stability...

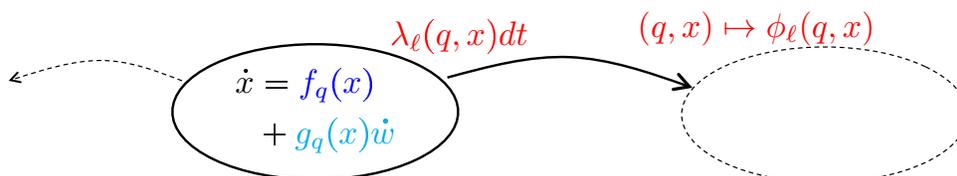
E.g., picking  $V(x) := \|x\|^2$

$$\frac{dV(x(t))}{dt} = \frac{\partial V}{\partial x} f(x) \leq 0 \quad \Rightarrow \quad V(x(t)) = \|x(t)\|^2 \leq \|x(0)\|^2$$

$\|x\|^2$  remains bounded along trajectories !

23

## Generator of a Stochastic Hybrid System



Given scalar-valued function  $V : \mathcal{Q} \times \mathbb{R}^n \rightarrow \mathbb{R}$

$$\frac{d}{dt} \mathbb{E} [V(q(t), x(t))] = \mathbb{E} [(LV)(q(t), x(t))]$$

$x$  &  $q$  are discontinuous,  
but the expected value is  
differentiable

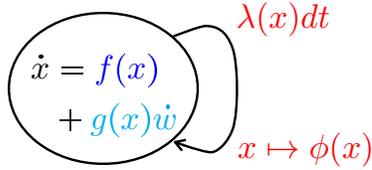
Dynkin's formula  
(in differential form)

where

$$\begin{aligned} (LV)(q, x) := & \frac{\partial V}{\partial x}(q, x) f_q(x) && \text{Lie derivative} \\ & + \sum_{\ell=1}^m \lambda_{\ell}(q, x) \underbrace{\left( V(\phi_{\ell}(q, x)) - V(q, x) \right)}_{\text{instantaneous variation}} && \text{Reset term} \\ & + \frac{1}{2} \text{trace} \left( g_q(x)' \frac{\partial^2 V}{\partial x^2} g_q(x) \right) && \text{Diffusion term} \end{aligned}$$

(extended) generator of the SHS

24



$$\frac{d}{dt} E [V(x(t))] = E [(LV)(x(t))]$$

class-K functions:  
(zero at zero & mon. increasing)

probability of  $\|x(t)\|$  exceeding any given bound  $M$ ,  
can be made arbitrarily small by making  $\|x_0\|$  small

sample-path  
notions

$$\begin{cases} \alpha_1(\|x\|) \leq V(x) \leq \alpha_2(\|x\|) \\ LV(x) \leq -\alpha_3(\|x\|) \end{cases}$$

$\Rightarrow$

$$\begin{cases} P(\exists t : \|x(t)\| \geq M) \leq \frac{\alpha_2(\|x_0\|)}{\alpha_1(M)} \\ P(x(t) \rightarrow 0) = 1 \end{cases} \text{ almost sure (a.s.) asymptotic stability}$$

expected-value  
notions

$$\begin{cases} V(x) \geq 0 \\ LV(x) \leq -W(x) \end{cases}$$

$\Rightarrow$

$$\int_0^\infty E [W(x(t))] dt < \infty$$

stochastic stability  
(mean square when  
 $W(x) = \|x\|^2$ )

$$\begin{cases} V(x) \geq W(x) \geq 0 \\ LV(x) \leq -\mu V + c \end{cases}$$

$\Rightarrow$

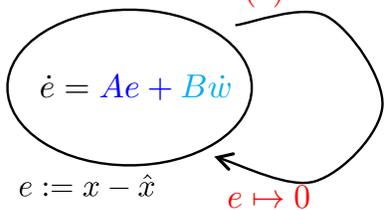
$$E [W(x(t))] \leq e^{-\mu t} V(x_0) + \frac{c}{\mu}$$

exponential stability  
(mean square when  
 $W(x) = \|x\|^2$ )

25

## Example #2: Remote estimation

error dynamics  
in remote estimation



Dynkin's formula

$$\frac{d}{dt} E [V(e(t))] = E [(LV)(e(t))]$$

$$(LV)(e) := \frac{\partial V}{\partial e} Ae + \lambda(e)(V(0) - V(e)) + \frac{1}{2} \text{trace} \left( B' \frac{\partial^2 V}{\partial e^2} B \right)$$

For constant rate:  $\lambda(e) = \gamma$  (exp. distributed inter-jump times) using  $V(e) = e'Pe$

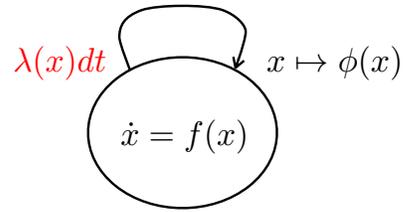
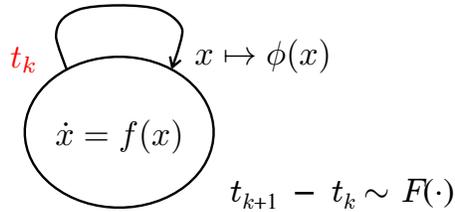
- $E[e] \rightarrow 0$  if and only if  $\gamma > \Re[\lambda_i(A)], \forall i$
  - $E[\|e\|^m]$  bounded if and only if  $\gamma > m \Re[\lambda_i(A)], \forall i$
- getting more moments bounded requires higher comm. rates

For **radially unbounded** rate:  $\lambda(e)$  (reactive transmissions) using  $V(e) = \|e\|^2$

- $E[e] \rightarrow 0$  (always)
  - $E[\|e\|^m]$  bounded  $\forall m$
- Moreover, one can achieve the same  $E[\|e\|^2]$  with less communication than with a constant rate or periodic transmissions...

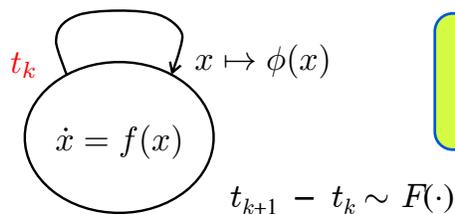
[Xu et al, 2006]

26



Can we pick an intensity  $\lambda(\cdot)$  to obtain the desired distribution for the  $t_k$  ?

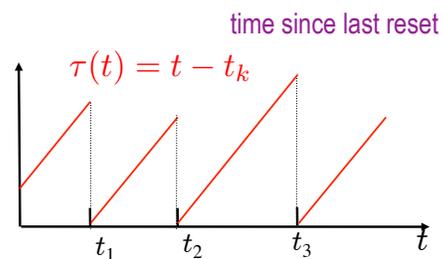
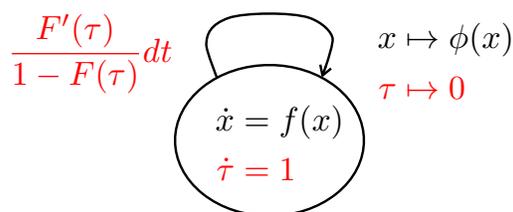
YES



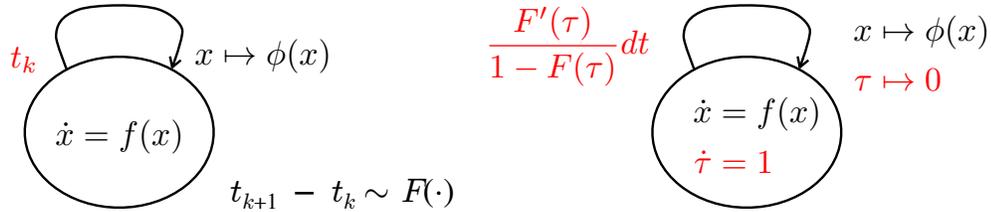
This representation allows one to combine in the same SHS time- and event-triggered transitions!

Can we pick an intensity  $\lambda(\cdot)$  to obtain the desired distribution for the  $t_k$  ?

YES



the aggregate state  $(x, \tau)$  is a Markov process



**Theorem:**

System is **mean-square exponentially stable**, i.e.,  $\lim_{t \rightarrow \infty} \mathbb{E}[\|x(t)\|^2] \stackrel{\text{exp. fast}}{=} 0$



$\exists P(\tau)$  such that defining  $V(x, \tau) = x'P(\tau)x$  Lyapunov-like function quadratic on  $x$  for fixed  $\tau$

$$\begin{cases} c_1 I \leq P(\tau) \leq c_2 I \\ (LV)(x, \tau) \leq -\epsilon V(x, \tau) \end{cases} \Rightarrow \begin{cases} V \text{ is positive definite} \\ \frac{d}{dt} \mathbb{E}[V(x, \tau)] \leq -\epsilon \mathbb{E}[V(x, \tau)] \end{cases}$$

(motivates choices for Lyapunov function for nonlinear systems)

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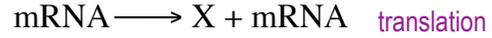
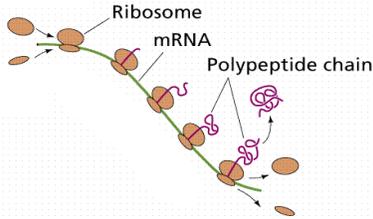
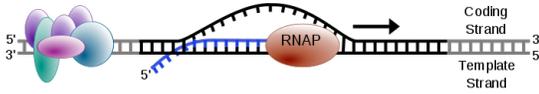
*acknowledgements:* NSF, Institute for Collaborative bio-technologies (ARO), AFOSR (STTR program)

*disclaimer:* This is an overview, technical details in papers referenced in bottom right corner... <http://www.ece.ucsb.edu/~hespanha>

# Example III:(Unregulated) Gene Expression

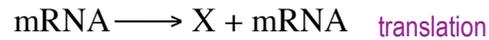
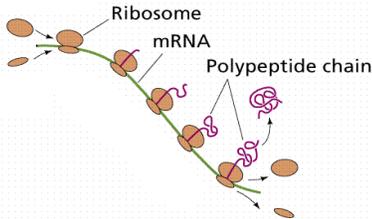
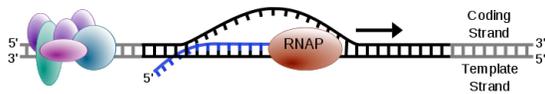
Gene expression  $\equiv$  process by which a gene (encoded in the DNA) produces proteins:

<http://en.wikipedia.org>



# Example III:(Unregulated) Gene Expression

<http://en.wikipedia.org>



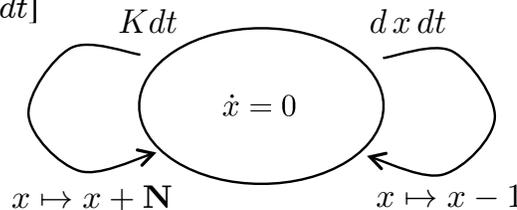
one transcription event

$x(t) \equiv$  number of proteins at time  $t$

prob. of one transcription event in  $(t, t+dt]$

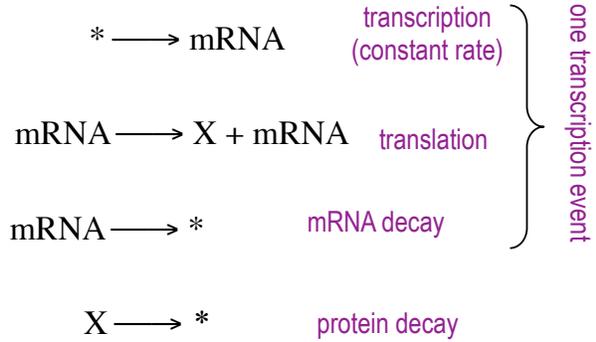
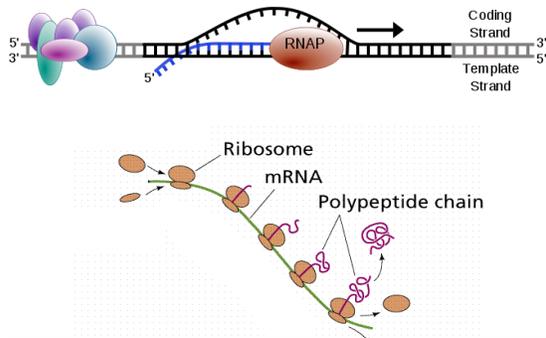
prob. of one decay event in  $(t, t+dt]$

# of proteins produced per transcription event

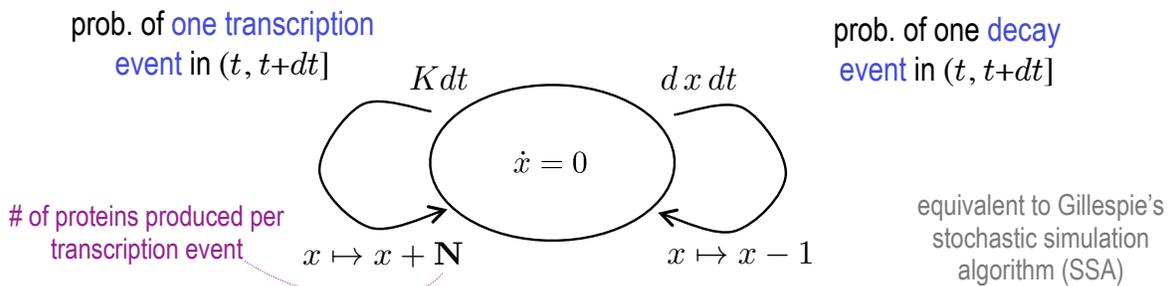


equivalent to Gillespie's stochastic simulation algorithm (SSA)

http://en.wikipedia.org

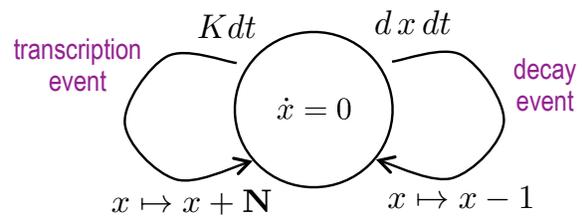
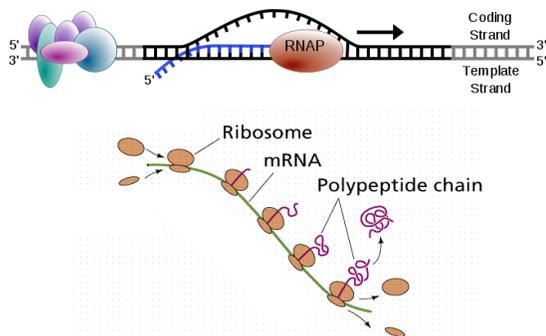


*How to go beyond stability/bounds and study the dynamics of means, variances, co-variances, etc.?*



## Moment Dynamics

http://en.wikipedia.org

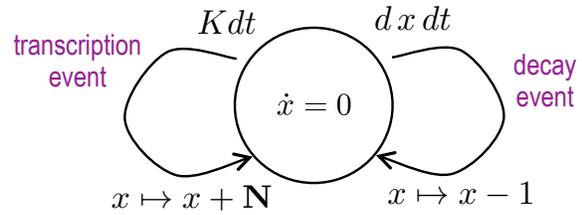
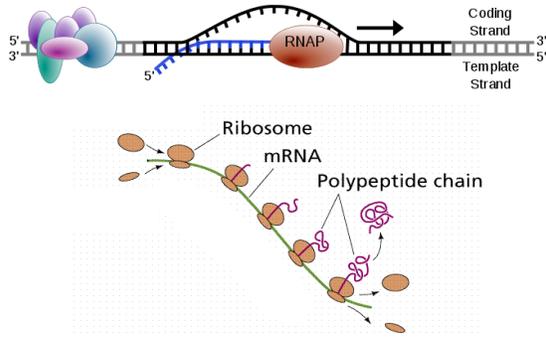


$$\frac{d}{dt} E[V(x)] = E[(LV)(x)]$$

$$\begin{aligned}
 (LV)(x) &= K(V(x + \mathbf{N}) - V(x)) \\
 &\quad + d x (V(x - 1) - V(x))
 \end{aligned}$$

$$\begin{aligned}
 \frac{dE[x]}{dt} &= \\
 \frac{dE[x^2]}{dt} &=
 \end{aligned}$$

<http://en.wikipedia.org>



$$\frac{d}{dt} E[V(x)] = E[(LV)(x)]$$

$$(LV)(x) = K(V(x + N) - V(x)) + dx(V(x - 1) - V(x))$$

$$\frac{dE[x]}{dt} = K E[N] - d E[x]$$

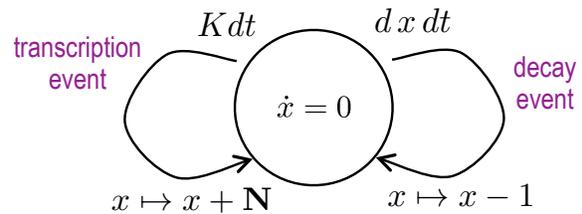
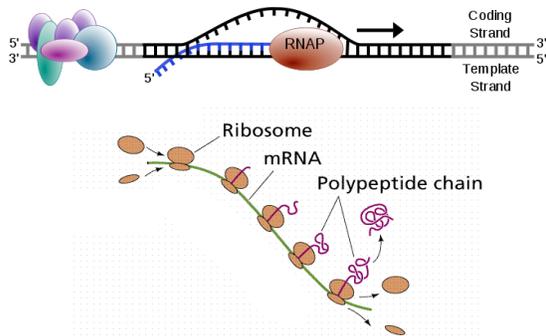
$$\frac{dE[x^2]}{dt} = K E[N^2] + (2K E[N] + d)E[x] - 2d E[x^2]$$

One can show that  $E[N] = N := \frac{\text{mRNA translation rate}}{\text{mRNA decay rate}}$

$$\text{Var}[N] = N^2 - N$$

# (Unregulated) Gene Expression

<http://en.wikipedia.org>



Thus, at steady-state,

$$E[x] = \frac{KN}{d}$$

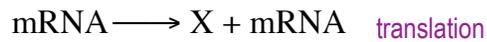
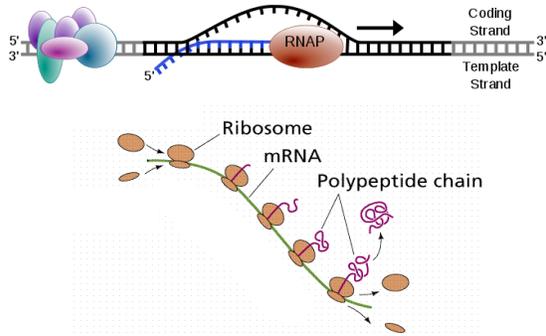
$$CV[x] = \frac{\text{StdDev}[x]}{E[x]} = \sqrt{\frac{d}{K}} = \sqrt{\frac{N}{E[x]}}$$

- measure of stochastic fluctuations in protein level  $x$  (normalized by mean population)
- **intrinsic noise** (solely due to random protein expression/degradation)

$$N := \frac{\text{mRNA translation rate}}{\text{mRNA decay rate}}$$

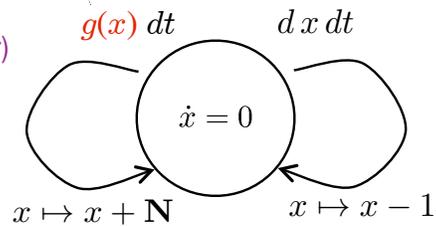
# Auto-Regulated Gene Expression

http://en.wikipedia.org



Protein production rate is a function of the current protein molecule count through *transcription regulation*:

transcriptional response  
(stochastic rate at which transcription events occur)

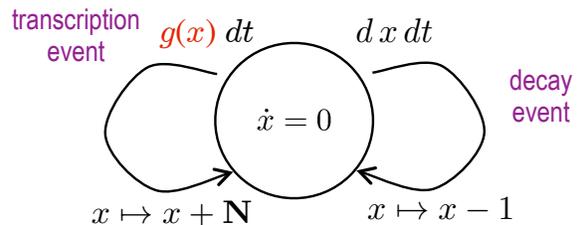
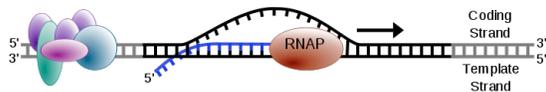


- Altering the RNA polymerase specificity for a given promoter or set of promoters
- Binding to non-coding sequences on the DNA to impede RNA polymerase's progress

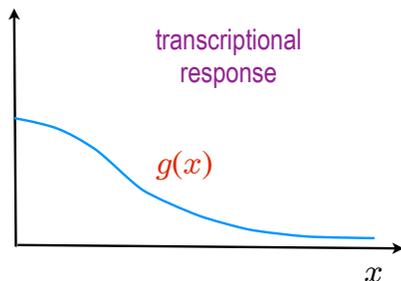
37

# Auto-Regulatory Negative Feedback

http://en.wikipedia.org



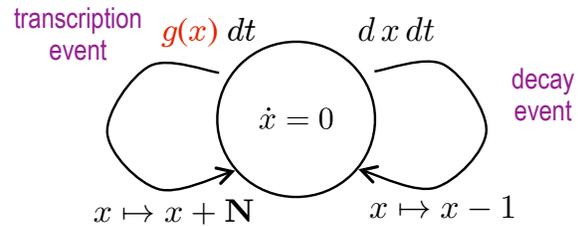
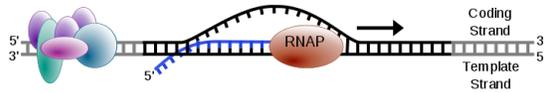
negative feedback  $\equiv$  protein production rate is a **decreasing** function of the protein molecule count



- Common form of auto regulation (e.g., half of the repressors in *E. Coli*)
- Experimentally shown to exhibit noise reduction ability

38

http://en.wikipedia.org



$$\frac{d}{dt} E[V(x)] = E[(LV)(x)]$$

$$(LV)(x) = g(x)(V(x+N) - V(x)) + dx(V(x-1) - V(x))$$

$$\frac{dE[x]}{dt} = E[N]E[g(x)] - dE[x]$$

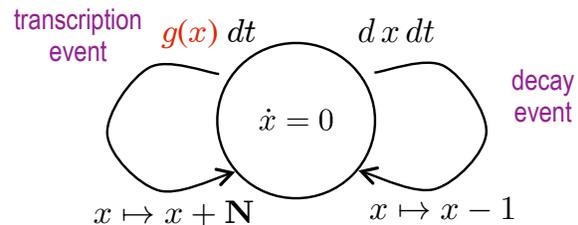
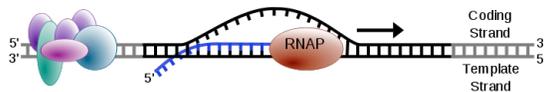
$$\frac{dE[x^2]}{dt} = E[N^2]E[g(x)] + 2E[N]E[g(x)x] + dE[x] - 2dE[x^2]$$

- When  $g(x)$  is an **affine function** we still get a **finite system of linear equations**
- When  $g(x)$  is a **polynomial**, we get a closed but **infinite system of linear equation** (general property of polynomial SHSs)
- For other  $g(x)$ , one generally does not get a closed system of equations

39

# Auto-Regulated Gene Expression

http://en.wikipedia.org

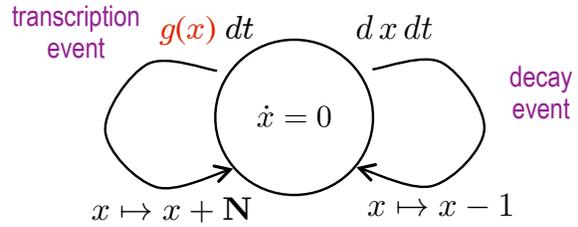
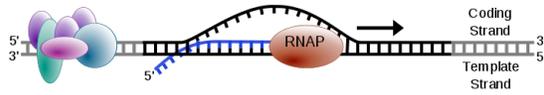


## Approximate Analysis Methods

- **Distribution-based**: assume a specific type of distribution (Normal, LogNormal, Poisson, etc.) and force dynamics to be compatible with this type of distribution
- **Large numbers/large volume**: take the limit as volume  $\rightarrow \infty$  and assume concentrations do not  $\rightarrow 0$
- **Derivative matching**: force solutions of approximate dynamics to match exact equation locally in time
- **Linearization**: Linearize transcriptional response around steady-state value of the mean

40

http://en.wikipedia.org



For a transcriptional response approximately linear around steady-state mean

$$g(x) \approx g(x^*) + g'(x^*)(x - x^*)$$

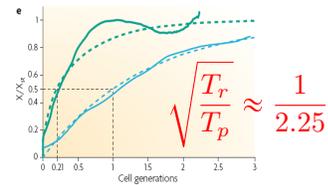
protein's response-time (with feedback)

steady-state population mean

$$CV[x] = \frac{\text{StdDev}[x]}{E[x]} = \sqrt{\frac{T_r}{T_p} \frac{N}{E[x]}}$$

"unregulated" intrinsic noise

protein's half-life (response time without feedback)



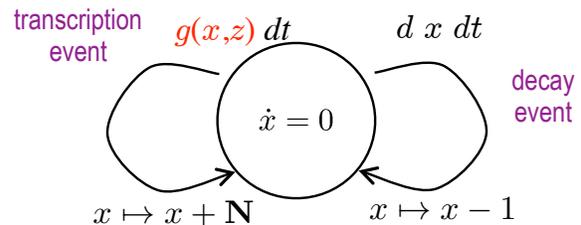
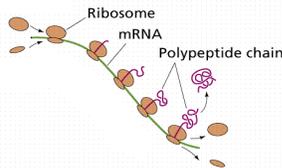
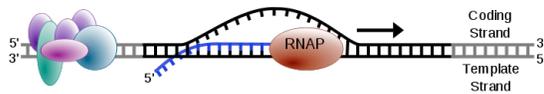
experimental study using a synthetic gene circuit in which the repressor TetR fused to GFP represses its own promoter

Rosenfeld et al, J. Molecular Biology, 2002

Negative feedback reduces  $T_r$  with respect to  $T_p \Rightarrow$  decreases noise

# Exogenous Noise

http://en.wikipedia.org

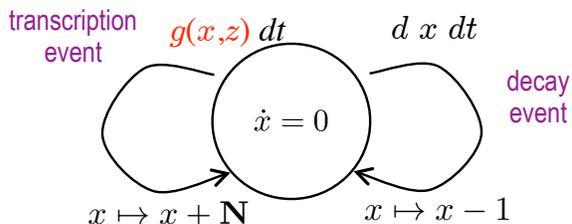
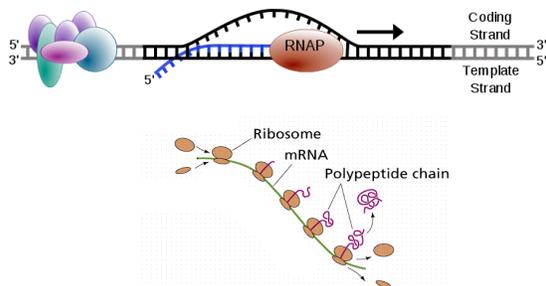


In practice, transcription rate also depends on exogenous species (e.g., RNA polymerase and other enzymes)

$g(x, z) \equiv$  transcriptional response (stochastic rate at which transcription events occur)

exogenous species (with stochastic fluctuations)

http://en.wikipedia.org



$$CV[x]^2 \approx \underbrace{\frac{T_r}{T_p} \frac{N}{E[x]}}_{\text{intrinsic noise (as before)}} + \underbrace{\left(\frac{T_r}{T_p}\right)^2}_{\text{extrinsic noise}} CV[z]^2$$

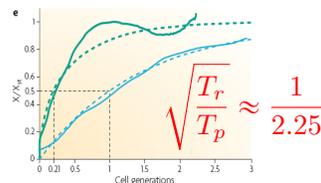
CV of extrinsic species

$T_r$   $\equiv$  protein's response-time (with feedback)

$T_p$   $\equiv$  protein's half-live (response time without feedback)

Negative feedback reduces  $T_r$  with respect to  $T_p$

- 👉 attenuates both intrinsic and extrinsic noise
- 👉 more efficient at reducing extrinsic noise
- 👉 surprisingly good matches with experimental results...
- 👉 offers a new technique to discover sources of extrinsic noise (solve for  $CV[z]$  !)



[Singh *et al*, 2009; related results by Paulsson 2004]

## Why Should I Care About SHS ?

1. SHS models that find use in several areas  
(network traffic modeling, networked control systems, distributed estimation, biochemistry, population dynamics in ecosystems)
2. The analysis of SHSs is challenging but there are tools available  
(stability conditions for linear time-triggered SHS, Lyapunov methods, moment dynamics, linearization, truncations)
3. Lots of work to be done:
  - 👉 theory
    - \* stability/robustness/performance of SHSs
  - 👉 networked control systems
    - \* protocol design to optimize performance & minimize communication resources
  - 👉 biology
    - \* quantitative study of common motifs (modules) in systems biology
    - \* study of spatial processes
  - 👉 other applications...