

# An input-output “fundamental lemma” for quarter-plane causal 2D models

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**Abstract**—If an input-output data trajectory generated by a 2D quarter-plane causal system is “sufficiently informative”, then any system trajectory restriction (an “unfolding”) is a finite linear combination of data unfoldings. We also design experiments to generically obtain sufficiently informative data.

**Index Terms**—Data-driven control; Linear systems; Computational methods

## I. INTRODUCTION

IN [2] we showed that special restrictions (“*unfoldings*”, see Section IV therein) of input-state (i-s) trajectories of a controllable quarter-plane causal 2D system are linear combinations of unfoldings of one “sufficiently informative” (i-s) trajectory. Assuming that the state is measurable postulates an insight about the system structure that is at odds with a truly data-driven approach, where problems should be formulated at the level of *external* (input and output) variables. In this paper we address such weakness and we show that given sufficiently informative *input-output* (i-o) data, *any* i-o unfolding is a linear combination of *data* unfoldings, thus providing a *data-driven parametrization* of restrictions of *i-o* trajectories. In the 1D case the relevance of such parametrizations for simulation, control, and signal processing is well known, see [9]. Our results for quarter-plane causal 2D systems have the potential of delivering a comparable impact, given the wide use of such models in image-processing, sensor networks, and iterative learning control (see [13], [5], [7], [17], [18]; data-driven approaches to other classes of *nD* systems are in [1], [10]). Our main results are stated in terms of input-output variables and their properties *only*: state-space representations (specifically, Fornasini-Marchesini ones) are only used in the proofs. In this paper we also state a sufficient *persistence* of *excitation* condition for sufficient informativity.

The paper is structured as follows: in Section II we gather some background material; we also introduce data matrices, unfoldings, and informativity for identification. Section III contains a 2D-version of the “fundamental lemma” of [20]. In Section IV we design input sequences corresponding to sufficiently informative input-output data. In Section V we summarize our results and illustrate our current research.

### Notation

$\mathbb{N}$ ,  $\mathbb{Z}$  and  $\mathbb{R}$  are respectively the set of natural, integer and real numbers, and  $\mathbb{Z}^2 := \mathbb{Z} \times \mathbb{Z}$ .  $\mathbb{R}^n$  is the space of  $n$ -dimensional vectors with real entries.  $\mathbb{R}^{n \times m}$  denotes the set

of  $n \times m$  matrices with real entries; and  $\mathbb{R}^{n \times \infty}$  the set of real matrices with  $n$  rows and an infinite number of columns. The transpose of  $M \in \mathbb{R}^{n \times m}$  is denoted by  $M^\top$  and its pseudoinverse by  $M^\dagger$ ; the image of  $M$  is denoted by  $\text{im}(M)$ .

If  $A_i$ ,  $i = 1, \dots, n$ , are matrices with the same number of columns, we define  $\text{col}(A_i)_{i=1, \dots, n} := [A_1^\top \ \dots \ A_n^\top]^\top$ . We denote the set  $\{w : \mathbb{Z}^2 \rightarrow \mathbb{R}^q\}$  of  $q$ -dimensional doubly-indexed sequences by  $(\mathbb{R}^q)^{\mathbb{Z}^2}$ , and the set  $\{w : \mathbb{Z} \rightarrow \mathbb{R}^q\}$  by  $(\mathbb{R}^q)^{\mathbb{Z}}$ . If  $w_i \in (\mathbb{R}^{q_i})^{\mathbb{Z}^2}$ ,  $i = 1, \dots, n$ , we define  $\text{col}(w_i)_{i=1, \dots, n}(k, \ell) := [w_1(k, \ell)^\top \ \dots \ w_n(k, \ell)^\top]^\top \in (\mathbb{R}^{\sum_{i=1}^n q_i})^{\mathbb{Z}^2}$ . Analogous notation is used for sequences  $w_i \in (\mathbb{R}^{q_i})^{\mathbb{Z}}$ ,  $i = 1, \dots, n$ .  $\mathbb{R}[z]$  is the ring of polynomials with real coefficients in  $z$ ;  $\mathbb{R}[z_1, z]$  the ring of polynomials with real coefficients in  $z_1, z$ , and  $\mathbb{R}^{n \times m}[z_1, z]$  the ring of  $n \times m$  matrices with entries in  $\mathbb{R}[z_1, z]$ . Given  $S \subset \mathbb{R}[z_1, z]$ , we denote by  $\langle S \rangle$  the module generated by the elements of  $S$ . The same notation is used for modules of the ring  $\mathbb{R}^{1 \times m}[z_1, z]$  of polynomial row vectors with  $m$  entries.

We denote by  $\sigma_i$ ,  $i = 1, 2$ , the shifts on  $(\mathbb{R}^q)^{\mathbb{Z}^2}$ :  $(\sigma_1 w)(i, j) := w(i + 1, j)$  and  $(\sigma_2 w)(i, j) := w(i, j + 1)$ . We define  $\sigma_i^{-1}$ ,  $i = 1, 2$  by  $(\sigma_1^{-1} w)(i, j) := w(i - 1, j)$  and  $(\sigma_2^{-1} w)(i, j) := w(i, j - 1)$ . We denote the composition of  $\sigma_1$  and  $\sigma_2^{-1}$  by  $\sigma := \sigma_1 \circ \sigma_2^{-1}$ .

## II. BACKGROUND MATERIAL

### A. Fornasini-Marchesini second models

The Fornasini-Marchesini second model (referred to as FM in the rest of the paper) is described by the equations:

$$\begin{aligned} \sigma_1 x &= A_1 x + A_2 \sigma x + B_1 u + B_2 \sigma u \\ y &= Cx + Du, \end{aligned} \quad (1)$$

where  $A_i \in \mathbb{R}^{n \times n}$ ,  $B_i \in \mathbb{R}^{n \times m}$ ,  $i = 1, 2$  and  $C \in \mathbb{R}^{p \times n}$ ,  $D \in \mathbb{R}^{p \times m}$ ; the *state*  $x(i, j) \in \mathbb{R}^n$ , the *input*  $u(i, j) \in \mathbb{R}^m$ , and the *output*  $y(i, j) \in \mathbb{R}^p$ . The other standard representations of quarter-plane causal 2D systems are Roesser models (see [15]). These are equivalent to the FM ones (see [6]); thus we use (1) without loss of generality.

We associate to (1) three sets of trajectories:

- the *input-output behavior* defined by

$$\begin{aligned} \mathfrak{B} &:= \{\text{col}(u, y) : \mathbb{Z}^2 \rightarrow \mathbb{R}^{m+p} \mid \exists x : \mathbb{Z}^2 \rightarrow \mathbb{R}^n \\ &\quad \text{s.t. } \text{col}(u, x, y) \text{ satisfies (1)}\} ; \end{aligned} \quad (2)$$

- the *input-state behavior* defined by

$$\begin{aligned} \mathfrak{B}_{x,u} &:= \{\text{col}(u, x) : \mathbb{Z}^2 \rightarrow \mathbb{R}^{m+n} \mid \\ &\quad \text{col}(u, x) \text{ satisfies the first equation (1)}\} ; \end{aligned} \quad (3)$$

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- the *input-state-output behavior* defined by

$$\mathfrak{B}_{x,u,y} := \left\{ \text{col}(u, x, y) : \mathbb{Z}^2 \rightarrow \mathbb{R}^{m+n+p} \mid \begin{array}{l} \text{col}(u, x, y) \text{ satisfies (1)} \end{array} \right\}. \quad (4)$$

The first equation in (1) can be equivalently written as

$$(\sigma_1 I_n - A_1 - A_2 \sigma) x + (-B_1 - B_2 \sigma) u = 0.$$

Define  $A(z) := A_1 + A_2 z$  and  $B(z) := B_1 + B_2 z$ ; then  $\mathfrak{B}_{x,u} = \ker R(\sigma_1, \sigma)$ , where

$$R(z_1, z) := \begin{bmatrix} z_1 - A(z) & -B(z) \end{bmatrix} \in \mathbb{R}^{n \times (n+m)}[z_1, z].$$

We denote by  $\mathcal{L}_k$  the  $k$ -th *diagonal line* in  $\mathbb{Z} \times \mathbb{Z}$ :

$$\mathcal{L}_k := \{(i, j) \in \mathbb{Z}^2 \mid i + j = k\}, \quad k = 0, \dots, N,$$

and define  $\mathcal{L}_{0:N} := \bigcup_{i=0, \dots, N} \mathcal{L}_i$ . Given  $f : \mathbb{Z}^2 \rightarrow \mathbb{R}^q$ , we denote by  $f|_{\mathcal{L}_k}$  the restriction of  $f$  to  $\mathcal{L}_k$ . We associate with  $f|_{\mathcal{L}_k}$  the 1D sequence with  $i$ -th term  $f_{k+i, -i}$ ,  $i = 0, \dots$

We define global reachability (see [3]).

**Definition 1.** The model (1) is globally reachable if  $\forall x^* : \mathbb{Z} \rightarrow \mathbb{R}^n$  there exist  $N \in \mathbb{N}$ ,  $u : \mathcal{L}_{0:N} \rightarrow \mathbb{R}^m$  and  $x : \mathcal{L}_{0:N} \rightarrow \mathbb{R}^n$  such that  $x|_{\mathcal{L}_0} = 0$ ,  $\text{col}(x, u) \in \mathfrak{B}_{x,u}$  and  $x|_{\mathcal{L}_{N+1}} = x^*$ .

The following characterization of global reachability is used in Section IV to establish experiment design results.

**Theorem 1.** The following statements are equivalent:

- 1) The FM model (1) is globally reachable;
- 2)  $\text{rank} \begin{bmatrix} B(z) & A(z)B(z) & \dots & A(z)^{n-1}B(z) \end{bmatrix} = n$ ;
- 3) If  $v(z) \begin{bmatrix} B(z) & A(z)B(z) & \dots & A(z)^{n-1}B(z) \end{bmatrix} = 0$  for  $v \in \mathbb{R}^{1 \times n}[z]$ , then  $v = 0$ .

### B. Data matrices and unfoldings

Let  $\text{col}(\hat{u}, \hat{y}) \in \mathfrak{B}$ ; we define the *data set* as  $\text{col}(\hat{u}, \hat{y})|_{\mathcal{L}_{0:N}}$ .

Given  $j \in \mathbb{N}$ , we denote by  $\mathcal{H}_j(\hat{y}|_{\mathcal{L}_k})$  the block-Hankel matrix with  $(j+1)p$  rows and an infinite number of columns:

$$\mathcal{H}_j(\hat{y}|_{\mathcal{L}_k}) := \begin{bmatrix} \dots & \hat{y}_{k-1,1} & \hat{y}_{k,0} & \dots \\ \dots & \hat{y}_{k,0} & \hat{y}_{k+1,-1} & \dots \\ \dots & \hat{y}_{k+1,-1} & \hat{y}_{k+2,-2} & \dots \\ \vdots & \vdots & \vdots & \vdots \\ \dots & \hat{y}_{k+j-1,-j+1} & \hat{y}_{k+j,-j} & \dots \end{bmatrix}; \quad (5)$$

we define  $\mathcal{H}_j(\hat{u}|_{\mathcal{L}_k}) \in \mathbb{R}^{(j+1)m \times \infty}$  analogously. Note that each column of (5) consists of  $(j+1)$  consecutive values of  $\hat{y}|_{\mathcal{L}_k}$ . Analogous considerations hold for  $\mathcal{H}_j(\hat{u}|_{\mathcal{L}_k}) \in \mathbb{R}^{(j+1)m \times \infty}$ .

We define the *data matrix*  $\mathbb{D}_N(\text{col}(\hat{u}, \hat{y}))$  by

$$\mathbb{D}_N(\text{col}(\hat{u}, \hat{y})) := \begin{bmatrix} \mathcal{H}_N(\hat{u}|_{\mathcal{L}_0}) \\ \mathcal{H}_{N-1}(\hat{u}|_{\mathcal{L}_1}) \\ \vdots \\ \mathcal{H}_0(\hat{u}|_{\mathcal{L}_N}) \\ \mathcal{H}_N(\hat{y}|_{\mathcal{L}_0}) \\ \mathcal{H}_{N-1}(\hat{y}|_{\mathcal{L}_1}) \\ \vdots \\ \mathcal{H}_0(\hat{y}|_{\mathcal{L}_N}) \end{bmatrix} \in \mathbb{R}^{(m+p) \frac{(N+1)(N+2)}{2} \times \infty}. \quad (6)$$

The columns of (6) are constructed by “unfolding” the values of  $\hat{u}$  and  $\hat{y}$  on an equilateral triangle of  $\mathbb{Z}^2$  with vertex at  $(k+N, -k)$  and side length  $N+1$ . We call the restriction of  $\hat{u}$  and  $\hat{y}$  on any such equilateral triangle an  $N$ -*unfolding* of  $\text{col}(\hat{u}, \hat{y})$  at  $(k, -k)$ .

**Example 1.** Consider the lattice depicted in Figure 1 and set  $N = 2$ . In Figure 1 we use different colors to distinguish the points on  $\mathcal{L}_0$  (green),  $\mathcal{L}_1$  (blue) and  $\mathcal{L}_2$  (red). We compute

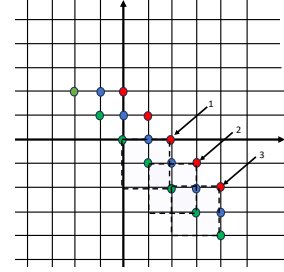


Fig. 1. Lattice for the construction of  $\mathbb{D}_2$  for Example 1.

$\mathcal{H}_2(\hat{u}|_{\mathcal{L}_0})$ ,  $\mathcal{H}_1(\hat{u}|_{\mathcal{L}_1})$  and  $\mathcal{H}_0(\hat{u}|_{\mathcal{L}_2})$  and stack these matrices obtaining (7).

$$\begin{bmatrix} \mathcal{H}_2(\hat{u}|_{\mathcal{L}_0}) \\ \mathcal{H}_1(\hat{u}|_{\mathcal{L}_1}) \\ \mathcal{H}_0(\hat{u}|_{\mathcal{L}_2}) \end{bmatrix} = \begin{bmatrix} \dots & \hat{u}_{0,0} & \hat{u}_{1,-1} & \hat{u}_{2,-2} & \dots \\ \dots & \hat{u}_{1,-1} & \hat{u}_{2,-2} & \hat{u}_{3,-3} & \dots \\ \dots & \hat{u}_{2,-2} & \hat{u}_{3,-3} & \hat{u}_{4,-4} & \dots \\ \dots & \hat{u}_{1,0} & \hat{u}_{2,-1} & \hat{u}_{3,-2} & \dots \\ \dots & \hat{u}_{2,-1} & \hat{u}_{3,-2} & \hat{u}_{4,-3} & \dots \\ \dots & \hat{u}_{2,0} & \hat{u}_{3,-1} & \hat{u}_{4,-2} & \dots \end{bmatrix} \quad (7)$$

The first column of such matrix corresponds to the “equilateral triangle” of  $\mathbb{Z}^2$  labelled “1” in Figure 1, consisting of

$$\{(0, 0), (1, -1), (2, -2), (1, 0), (2, -1), (2, 0)\};$$

the second column, to the triangle labelled “2”, consisting of

$$\{(1, -1), (2, -2), (3, -3), (2, -1), (3, -2), (3, -1)\};$$

the third one, to that labelled “3” in Figure 1.

The definition of the matrices  $\mathcal{H}_2(\hat{y}|_{\mathcal{L}_0})$ ,  $\mathcal{H}_1(\hat{y}|_{\mathcal{L}_1})$  and  $\mathcal{H}_0(\hat{y}|_{\mathcal{L}_2})$ , and consequently of  $\begin{bmatrix} \mathcal{H}_2(\hat{y}|_{\mathcal{L}_0}) \\ \mathcal{H}_1(\hat{y}|_{\mathcal{L}_1}) \\ \mathcal{H}_0(\hat{y}|_{\mathcal{L}_2}) \end{bmatrix}$ , is analogous. ■

### C. Informativity for identification

The set of *left-annihilators of the data* is defined by

$$\mathcal{N}(\text{col}(\hat{u}, \hat{y})|_{\mathcal{L}_{0:N}}) := \left\{ \eta \in \mathbb{R}^{1 \times (m+p)}[z_1, z] \mid \eta(\sigma_1, \sigma) \text{col}(\hat{u}, \hat{y})|_{\mathcal{L}_{0:N}} = 0 \right\},$$

and we denote by  $\langle \mathcal{N}(\text{col}(\hat{u}, \hat{y})|_{\mathcal{L}_{0:N}}) \rangle$  the module of  $\mathbb{R}^{1 \times (m+p)}[z_1, z]$  generated by its elements.

We define  $\mathcal{N}(\mathfrak{B})$ , the *module of annihilators* of  $\mathfrak{B}$ , by

$$\mathcal{N}(\mathfrak{B}) := \left\{ \eta \in \mathbb{R}^{1 \times (m+p)}[z_1, z] \mid \eta(\sigma_1, \sigma) \text{col}(u, y) = 0 \quad \forall \text{col}(u, y) \in \mathfrak{B} \right\}.$$

It is a standard result in 2D behavioral system theory that given a kernel representation  $\ker R(\sigma_1, \sigma) = \mathfrak{B}$  with  $R \in$

$\mathbb{R}^{g \times (m+p)}[z_1, z]$ ,  $\mathcal{N}(\mathfrak{B})$  consists of the module generated by the rows of  $R(z_1, z)$ .

“Sufficient richness” of the data is defined as follows.

**Definition 2.** The data  $\text{col}(\hat{u}, \hat{y})_{\mathcal{L}_{0:N}}$  are informative for identification if  $\langle \mathcal{N}(\text{col}(\hat{u}, \hat{y})_{\mathcal{L}_{0:N}}) \rangle = \mathcal{N}(\mathfrak{B})$ .

$\langle \mathcal{N}(\text{col}(\hat{u}, \hat{y})_{\mathcal{L}_{0:N}}) \rangle \supseteq \mathcal{N}(\mathfrak{B})$ , since each element in  $\mathcal{N}(\mathfrak{B})$  annihilates all trajectories in  $\mathfrak{B}$ , in particular  $\text{col}(\hat{u}, \hat{y})$ . Informativity for identification implies the opposite inclusion: all annihilators of all trajectories of  $\mathfrak{B}$  belong to  $\langle \mathcal{N}(\text{col}(\hat{u}, \hat{y})_{\mathcal{L}_{0:N}}) \rangle$ . This property was characterized in Theorem 2 in [14] for *autonomous* quarter-plane causal systems. The result was generalized to the case when  $y = x$  (directly measurable state variable) in Theorem 1 of [2]. In the next section we extend such characterization to *input-output* data.

### III. AN I-O ‘FUNDAMENTAL LEMMA’

Let  $M(z) = M_0 + M_1 z + \dots + M_r z^r \in \mathbb{R}^{g \times q}[z]$  and let  $L \geq r$ . The coefficient matrix of  $M(z)$ , denoted by  $\text{coeff}(M(z))$ , is the  $g \times q(L+1)$  matrix defined by

$$\text{coeff}(M(z)) := \begin{bmatrix} M_0 & M_1 & \dots & M_r & 0_{g \times q} & \dots & 0_{g \times q} \end{bmatrix}.$$

Note that  $M(z) = \text{coeff}(M(z)) \text{col}(z^i I_q)_{i=0, \dots, L}$ . Note also that if  $f: \mathbb{Z}^2 \rightarrow \mathbb{R}^q$  then for every  $k \in \mathbb{Z}$  it holds that

$$M(\sigma) f|_{\mathcal{L}_k} = \text{coeff}(M(z)) \text{col}(\sigma^i f|_{\mathcal{L}_k})_{i=0, \dots, L}. \quad (8)$$

Given (1), we define for  $k = 0, \dots, N-1$  the matrices

$$\begin{aligned} \mathcal{D}_k &:= \begin{bmatrix} D & 0 & \dots & 0 \\ 0 & D & \dots & 0 \\ \vdots & \dots & \ddots & \vdots \\ 0 & 0 & \dots & D \end{bmatrix} \\ &= \text{col}(\text{coeff}(z^i D))_{i=0, \dots, N-1-k} \\ \mathcal{O}_k &:= \text{col}(\text{coeff}(C z^i A(z)^k))_{i=0, \dots, N-1-k}. \end{aligned}$$

Note that  $\mathcal{D}_k \in \mathbb{R}^{(N-k)p \times (N-k)m}$  and  $\mathcal{O}_k \in \mathbb{R}^{(N-k)p \times (N-k)n}$ . We also define the matrices  $\mathcal{M}_{k,j}$  by  $\mathcal{M}_{0,j} := \mathcal{D}_0$ ,  $j = 0, \dots, k-1$ ; and for  $k = 1, \dots, N-1$

$$\mathcal{M}_{k,j} := \text{col}(\text{coeff}(C z^i A(z)^{k-1-j} B(z)))_{i=0, \dots, N-1-k}.$$

Finally, we define

$$S := \begin{bmatrix} I & 0 & \dots & 0 & 0 \\ 0 & I & \dots & 0 & 0 \\ \vdots & \vdots & \ddots & \vdots & \vdots \\ 0 & 0 & \dots & I & 0 \\ \hline \mathcal{D}_0 & 0 & \dots & 0 & \mathcal{O}_0 \\ \mathcal{M}_{1,0} & \mathcal{D}_1 & \dots & 0 & \mathcal{O}_1 \\ \mathcal{M}_{2,0} & \mathcal{M}_{2,1} & \dots & 0 & \mathcal{O}_2 \\ \vdots & \vdots & \ddots & \vdots & \vdots \\ \mathcal{M}_{N-1,0} & \mathcal{M}_{N-1,1} & \dots & \mathcal{D}_{N-1} & \mathcal{O}_{N-1} \end{bmatrix}. \quad (9)$$

The following result is instrumental to establish the main result of this paper.

**Proposition 1.** Define  $S$  by (9). The following statements are equivalent:

- 1)  $\text{col}(u, x, y)$  is a trajectory of (1);
- 2) The following equation holds:

$$\begin{bmatrix} \text{col}(\sigma^i u|_{\mathcal{L}_0})_{i=0, \dots, N-1} \\ \text{col}(\sigma^i u|_{\mathcal{L}_1})_{i=0, \dots, N-2} \\ \vdots \\ u|_{\mathcal{L}_{N-1}} \\ \hline \text{col}(\sigma^i y|_{\mathcal{L}_0})_{i=0, \dots, N-1} \\ \text{col}(\sigma^i y|_{\mathcal{L}_1})_{i=0, \dots, N-2} \\ \text{col}(\sigma^i y|_{\mathcal{L}_2})_{i=0, \dots, N-3} \\ \vdots \\ \hat{y}|_{\mathcal{L}_{N-1}} \end{bmatrix} = S \begin{bmatrix} \text{col}(\sigma^i u|_{\mathcal{L}_0})_{i=0, \dots, N-1} \\ \text{col}(\sigma^i u|_{\mathcal{L}_1})_{i=0, \dots, N-2} \\ \vdots \\ u|_{\mathcal{L}_{N-1}} \\ \text{col}(\sigma^i x|_{\mathcal{L}_0})_{i=0, \dots, N} \end{bmatrix} \quad (10)$$

Moreover, let  $\text{col}(u, x) \in \mathfrak{B}_{x,u}$ ; then  $\text{col}(u, y)$  defined by (10) is an input-output trajectory of  $\mathfrak{B}$ .

*Proof.*  $x$  and  $y$  are solutions of (1) if and only if their restrictions to consecutive diagonal lines  $\mathcal{L}_i$  satisfy the equations

$$\begin{aligned} x|_{\mathcal{L}_i} &= A(\sigma)^i x|_{\mathcal{L}_0} + \sum_{j=0}^{i-1} A(\sigma)^{i-j-1} B(\sigma) u|_{\mathcal{L}_j} \\ y|_{\mathcal{L}_i} &= C A(\sigma)^i x|_{\mathcal{L}_0} + \sum_{j=0}^{i-1} C A(\sigma)^{i-j-1} B(\sigma) u|_{\mathcal{L}_j} + D u|_{\mathcal{L}_i} \end{aligned} \quad (11)$$

The equivalence of statements 1) and 2) follows. The second claim is straightforward.  $\square$

The main result of this section is the following.

**Theorem 2.** Let  $\text{col}(\hat{u}, \hat{x}, \hat{y})$  be a trajectory of (1).

Every linear combination of a finite number of columns of

$$\mathbb{D}_{N-1}(\text{col}(\hat{u}, \hat{y})) = \begin{bmatrix} \text{col}(\sigma^i \hat{u}|_{\mathcal{L}_0})_{i=0, \dots, N-1} \\ \text{col}(\sigma^i \hat{u}|_{\mathcal{L}_1})_{i=0, \dots, N-2} \\ \vdots \\ \hat{u}|_{\mathcal{L}_{N-1}} \\ \hline \text{col}(\sigma^i \hat{y}|_{\mathcal{L}_0})_{i=0, \dots, N-1} \\ \text{col}(\sigma^i \hat{y}|_{\mathcal{L}_1})_{i=0, \dots, N-2} \\ \vdots \\ \hat{y}|_{\mathcal{L}_{N-1}} \end{bmatrix}, \quad (12)$$

is an  $N$ -unfolding of a trajectory of  $\mathfrak{B}$ . Moreover, if

$$\text{rank} \left( \begin{bmatrix} \text{col}(\sigma^i \hat{u}|_{\mathcal{L}_0})_{i=0, \dots, N-1} \\ \text{col}(\sigma^i \hat{u}|_{\mathcal{L}_1})_{i=0, \dots, N-2} \\ \vdots \\ \hat{u}|_{\mathcal{L}_{N-1}} \\ \text{col}(\sigma^i \hat{x}|_{\mathcal{L}_0})_{i=0, \dots, N-1} \end{bmatrix} \right) = \frac{N(N+1)}{2} m + N n, \quad (13)$$

then every  $N$ -unfolding of every trajectory  $\text{col}(u, y) \in \mathfrak{B}$  is a linear combination of a finite number of columns of (12).

*Proof.* Any linear combination of the columns of (12) is the unfolding of a finite linear combination, with the same coefficients, of  $\sigma$ -shifts of  $(\hat{u}, \hat{y}) \in \mathfrak{B}$ . Since  $\mathfrak{B}$  is linear and  $\alpha_\ell \in \mathbb{R}$ ,  $\ell = 0, \dots, N$ , then

$$\text{col}(\hat{u}, \hat{y}) \in \mathfrak{B} \implies \sum_{\ell=0}^N \alpha_\ell \sigma^\ell \text{col}(\hat{u}, \hat{y}) \in \mathfrak{B}.$$

This proves the first part of the claim. We prove the second part of the claim. Using the shift-invariance of  $\mathfrak{B}$  we assume without loss of generality that the given unfolding of  $\text{col}(u, y) \in \mathfrak{B}$  involves the first  $N$  diagonal lines. Since  $\text{col}(u, y) \in \mathfrak{B}$ , there exists a trajectory  $x$  such that  $\text{col}(u, x, y) \in \mathfrak{B}_{u,x,y}$ ; moreover,  $\text{col}(u, y)_{\mathcal{L}_{0:N-1}}$  and  $\text{col}(u, x)_{\mathcal{L}_{0:N-1}}$  are related by (10). Such relation defines an analogous one between every unfolding of  $\text{col}(u, y)_{\mathcal{L}_{0:N-1}}$  and a corresponding unfolding of  $\text{col}(u, x)_{\mathcal{L}_{0:N-1}}$ , i.e. between each column of the matrix on the left-hand side of (10) and the corresponding column of the matrix appearing on the right-hand side of (10). Such unfolding of  $\text{col}(u, x)_{\mathcal{L}_{0:N-1}}$  is a real vector with  $\sum_{j=1}^N jm + Nn$  components; since by assumption (13) the matrix on the right-hand side of (10) is surjective, such vector can be written as a linear combination of its columns. Combining the columns of  $\mathbb{D}_{N-1}(\text{col}(\hat{u}, \hat{y}))$  in (12) with the same coefficients yields the given  $\text{col}(u, y)$  unfolding. This concludes the proof.  $\square$

**Example 2.** Consider the SISO system described by

$$\begin{aligned} \sigma_1 x &= \begin{bmatrix} 0 & \frac{1}{10} \\ \frac{9}{10} & 0 \end{bmatrix} x + \begin{bmatrix} 0 & \frac{1}{10} \\ \frac{2}{10} & 0 \end{bmatrix} \sigma x + \begin{bmatrix} 1 \\ 1 \end{bmatrix} u + \begin{bmatrix} 0 \\ 1 \end{bmatrix} \sigma u \\ y &= \begin{bmatrix} 1 & 1 \end{bmatrix} x. \end{aligned} \quad (14)$$

It is straightforward to verify that

$$\begin{aligned} (9 + 11\sigma + 2\sigma^2)y - 100\sigma_1^2 y \\ + (100 + 40\sigma u + 10\sigma^2)u + (200 + 100\sigma)\sigma_1 u = 0, \end{aligned} \quad (15)$$

equivalently for  $i \in \mathbb{Z}$  it holds that

$$\begin{aligned} (9 + 11\sigma + 2\sigma^2)y_{|\mathcal{L}_i} - 100y_{|\mathcal{L}_{i+2}} \\ + (100 + 40\sigma u + 10\sigma^2)u_{|\mathcal{L}_i} + (200 + 100\sigma)u_{|\mathcal{L}_{i+1}} = 0. \end{aligned}$$

We generate 102-samples long random sequences  $\hat{x}_{|\mathcal{L}_0}$  and  $\hat{u}_{|\mathcal{L}_i}$ ,  $i = 0, \dots, 3$ . We generate the corresponding sequences  $\hat{x}_{|\mathcal{L}_i}$ ,  $i = 1, 2, 3$  via (14). The  $18 \times 97$  matrix

$$H(\hat{u}, \hat{x}) := \begin{bmatrix} \text{col}(\sigma^i \hat{u}_{|\mathcal{L}_0})_{i=0,\dots,3} \\ \text{col}(\sigma^i \hat{u}_{|\mathcal{L}_1})_{i=0,\dots,2} \\ \text{col}(\sigma^i \hat{u}_{|\mathcal{L}_2})_{i=0,1} \\ \hat{u}_{|\mathcal{L}_3} \\ \text{col}(\sigma^i \hat{x}_{|\mathcal{L}_0})_{i=0,\dots,3} \end{bmatrix}$$

has rank 18: the condition (13) is satisfied for  $N = 4$ . The  $20 \times 97$  matrix

$$H(\hat{u}, \hat{y}) := \begin{bmatrix} \text{col}(\sigma^i \hat{u}_{|\mathcal{L}_0})_{i=0,\dots,3} \\ \text{col}(\sigma^i \hat{u}_{|\mathcal{L}_1})_{i=0,\dots,2} \\ \text{col}(\sigma^i \hat{u}_{|\mathcal{L}_2})_{i=0,1} \\ \hat{u}_{|\mathcal{L}_3} \\ \text{col}(\sigma^i \hat{y}_{|\mathcal{L}_0})_{i=0,\dots,3} \\ \text{col}(\sigma^i \hat{y}_{|\mathcal{L}_1})_{i=0,\dots,2} \\ \text{col}(\sigma^i \hat{y}_{|\mathcal{L}_2})_{i=0,1} \\ \hat{y}_{|\mathcal{L}_3} \end{bmatrix},$$

has rank 17; its left-annihilators are associated with the coefficients of the difference equation (15).

From Theorem 2 it follows that every 4-unfolding of the input-output system trajectories is generated by the columns of  $H(\hat{u}, \hat{y})$ . To verify this, we generate another finite set of samples following the same procedure but with a different random initial condition  $x'_{|\mathcal{L}_0}$  and different random inputs  $u'_{|\mathcal{L}_i}$ ,  $i = 0, \dots, 3$ , corresponding to  $H(u', x')$  and  $H(u', y')$ . It can be verified that each column of  $H(u', y')$  is a linear combination of the columns of  $H(\hat{u}, \hat{y})$ , as stated in the second part of Theorem 2.  $\square$

We restate the result of Theorem 2 more explicitly; to do this, given  $N$  and  $\text{col}(u, y) \in \mathfrak{B}$ , we denote by  $f(u, y)(j, k)$  the  $N$ -unfolding of  $\text{col}(u, y)$  whose left-most vertex is  $(j, k)$ :

$$f(u, y)(j, k) := \begin{bmatrix} u_{j,k} \\ u_{j+1,k-1} \\ \vdots \\ u_{j+N-1,k-N+1} \\ \vdots \\ u_{j+N-1,k} \\ y_{j,k} \\ y_{j+1,k-1} \\ \vdots \\ y_{j+N-1,k-N+1} \\ \vdots \\ y_{j+N-1,k} \end{bmatrix}. \quad (16)$$

**Corollary 1.** Assume that the rank condition (13) is satisfied. Define  $M := \text{rank}(\mathbb{D}_{N-1}(\text{col}(\hat{u}, \hat{y})))$  and let the vectors  $V_i$ ,  $i = 1, \dots, M$  form a basis for the image of  $\mathbb{D}_{N-1}(\text{col}(\hat{u}, \hat{y}))$ :

$$\text{im } \mathbb{D}_{N-1}(\text{col}(\hat{u}, \hat{y})) = \text{im } \underbrace{[V_1 \ \dots \ V_M]}_{=: V}.$$

Let  $\text{col}(u, y) \in \mathfrak{B}$  and let  $N' \in \mathbb{N}$ . For every  $(j, k) \in \mathbb{Z}^2$  there exist  $\alpha_i(j', k') \in \mathbb{R}$ ,  $i = 1, \dots, M$ ,  $j' = j, \dots, j + N - 1$ ,  $k' = k, \dots, k + N - 1$ , such that

$$\begin{aligned} &[f(u, y)(j, k) \ \dots \ f(u, y)(j + N', k - N')] \\ &= V \begin{bmatrix} \alpha_1(j, k) & \dots & \alpha_1(j + N', k + N') \\ \vdots & \dots & \vdots \\ \alpha_M(j, k) & \dots & \alpha_M(j + N', k + N') \end{bmatrix}. \end{aligned} \quad (17)$$

**Remark 1.** Further research is needed to investigate under which conditions the converse of the statement in Corollary 1 holds. The problem consists in determining conditions on the data  $\text{col}(\hat{u}, \hat{y})$ ,  $N$ ,  $N'$ , and on  $\alpha_i(j', k') \in \mathbb{R}$ ,  $i = 1, \dots, M$ ,  $j' = j, \dots, j + N - 1$ ,  $k' = k, \dots, k + N - 1$  such that the left-hand side of (17) is a “frame” consisting of the values of a system trajectories on  $N - 1$  consecutive diagonal lines and  $N'$  horizontal ones.

A necessary condition is that the sequence  $\alpha_i(j', k')$  yields a matrix on the left-hand side of (17) consists of adjacent unfoldings of some  $2D$ -sequence. Such condition is satisfied in the following case. Let  $D$  be a matrix of rank  $M = \text{rank}(\mathbb{D}_{N-1}(\text{col}(\hat{u}, \hat{y})))$  consisting of a finite number  $M'$  of

adjacent columns of  $\mathbb{D}_{N-1}(\text{col}(\hat{u}, \hat{y}))$ . It is straightforward to verify (see the first part of Theorem 2) that for every  $r \in \mathbb{N}$ ,  $r < M'$ , and every choice of  $\alpha_i$ ,  $i = 0, \dots, r$ , the matrix

$$\mathbb{D}_{N-1}(\text{col}(\hat{u}, \hat{y})) \begin{bmatrix} \alpha_0 & 0 & \dots & 0 \\ \alpha_1 & \alpha_0 & \dots & 0 \\ \vdots & \vdots & \ddots & \vdots \\ \alpha_r & \alpha_{r-1} & \dots & \alpha_0 \\ 0 & \alpha_r & \ddots & \vdots \\ 0 & 0 & \ddots & \alpha_{r-1} \\ 0 & 0 & \dots & \alpha_r \end{bmatrix},$$

consists of successive unfoldings of a trajectory  $(u, y) \in \mathfrak{B}$ , namely  $\text{col}(u, y) = \sum_{i=0}^r \alpha_i \sigma^i \text{col}(\hat{u}, \hat{y})$ . Note that unless  $\mathfrak{B}$  is finite-dimensional (and consequently autonomous i.e. without input variables, see [4], [19]), there exist system trajectories that are not finite linear combinations of shifts of  $\text{col}(\hat{u}, \hat{y})$ .  $\square$

**Remark 2.** Equation (17) is an *image representation*, with

$$\alpha(j, k) := [\alpha_1(j, k) \quad \dots \quad \alpha_M(j, k)]^\top,$$

being the sequence of *latent variable* values. Equation (17) provides a *parametrization* of all unfoldings of system trajectories in terms of a *finite* matrix  $V$  computed *directly* from sufficiently informative input-output data. Such parametrization is currently being used to solve the *finite-extent LQ-optimal control problem* for 2D quarter-plane causal models, defined on  $[0, N] \times [0, M] \subset \mathbb{Z}^2$ , where  $N, M \in \mathbb{N}$  (a Roesser model-based formulation of this problem, a characterization of optimality and computational methods for its solution are illustrated in [11], [12]). It can be shown that a substantial class of finite-extent LQ-optimal control problems can be reduced using (17) to the solution of a quadratic optimization problem with equality constraints arising from the boundary conditions. Such results will be presented elsewhere.  $\square$

#### IV. PERSISTENCY OF EXCITATION AND EXPERIMENT DESIGN

Theorem 2 is the counterpart of Theorem 1 p. 327 of [20]: every finite “window” of values of an i-o trajectory (i.e. an unfolding) produced by a quarter-plane causal system is the linear combination of analogous windows computed from “sufficiently informative” data. The notion of “sufficient informativity” is characterized in the rank condition (13) that involves the *state* trajectory corresponding to  $\text{col}(\hat{u}, \hat{y})$ . If the state is not directly measurable such condition cannot be directly checked, and alternative sufficient conditions are needed. To this purpose we introduce *persistence of excitation*.

**Definition 3.** Let  $L \in \mathbb{N}$ . A signal  $u : \mathcal{L}_{0:L-1} \rightarrow \mathbb{R}^m$  is persistently exciting of order  $k$  if

$$\begin{bmatrix} \text{col}(\sigma^i u|_{\mathcal{L}_0})_{i=0, \dots, L+k} \\ \text{col}(\sigma^i u|_{\mathcal{L}_1})_{i=0, \dots, L+k-1} \\ \vdots \\ \text{col}(\sigma^i u|_{\mathcal{L}_{L-1}})_{i=0, \dots, L-1} \end{bmatrix}, \quad (18)$$

has full row rank.

**Proposition 2.** Assume that (1) is globally controllable, that  $x|_{\mathcal{L}_0} = 0$ , and let  $L \geq n$ . If  $u|_{\mathcal{L}_{0:L-1}}$  is persistently exciting of order  $k$ , then

$$\text{col}(\sigma^i x|_{\mathcal{L}_L})_{i=0, \dots, k} \quad (19)$$

has full row rank.

*Proof.* We define

$$\mathcal{C}(z) := [A(z)^{L-1}B(z) \quad \dots \quad A(z)B(z) \quad B(z)].$$

With this position, it follows from the first equation in (11) and the assumption  $x|_{\mathcal{L}_0} = 0$  that

$$\sigma^i x|_{\mathcal{L}_L} = \sigma^i \mathcal{C}(\sigma) \begin{bmatrix} u|_{\mathcal{L}_0} \\ u|_{\mathcal{L}_1} \\ \vdots \\ u|_{\mathcal{L}_{L-1}} \end{bmatrix}, \quad i = 0, \dots, k.$$

We rewrite such equations using  $\text{coeff}(z^i \mathcal{C}(z))$  (see (8)):

$$\sigma^i x|_{\mathcal{L}_L} = \text{coeff}(z^i \mathcal{C}(z)) \begin{bmatrix} \text{col}(\sigma^j u|_{\mathcal{L}_0})_{j=i, \dots, L+i} \\ \text{col}(\sigma^j u|_{\mathcal{L}_1})_{j=i, \dots, L+i-1} \\ \vdots \\ \text{col}(\sigma^j u|_{\mathcal{L}_{L-1}})_{j=i, \dots, i+1} \end{bmatrix},$$

$i = 0, \dots, k$ . From this equation it follows that  $\text{col}(\sigma^i x|_{\mathcal{L}_L})_{i=0, \dots, k}$  equals

$$\text{col}(\text{coeff}(z^i \mathcal{C}(z))_{i=0, \dots, k}) \begin{bmatrix} \text{col}(\sigma^j u|_{\mathcal{L}_0})_{j=0, \dots, L+k} \\ \text{col}(\sigma^j u|_{\mathcal{L}_1})_{j=0, \dots, L+k-1} \\ \vdots \\ \text{col}(\sigma^j u|_{\mathcal{L}_{L-1}})_{j=0, \dots, k+1} \end{bmatrix}.$$

We show that global controllability of (1) implies that

$$\text{col}(\text{coeff}(z^i \mathcal{C}(z))_{i=0, \dots, k}) \quad (20)$$

has full row rank. Assume that row vectors  $v_j$  exist,  $j = 0, \dots, k$ , such that

$$[v_0 \quad \dots \quad v_k] \text{col}(\text{coeff}(z^i \mathcal{C}(z))_{i=0, \dots, k}) = 0;$$

then  $(v_0 + v_1 z + \dots + v_k z^k) \mathcal{C}(z) = 0$ . Since  $L \geq n$  and since (1) is globally controllable it follows (Theorem 1) that  $\text{rank } \mathcal{C}(z) = n$ , which implies  $v_i = 0$ ,  $i = 1, \dots, k$ . Consequently, (20) has full row rank.

To conclude the proof of the claim, assume that

$$[v_0 \quad \dots \quad v_k] \text{col}(\sigma^i x|_{\mathcal{L}_L})_{i=0, \dots, k} = 0;$$

then

$$[v_0 \quad \dots \quad v_k] \text{col}(\text{coeff}(z^i \mathcal{C}(z))_{i=0, \dots, k}) \quad (21)$$

left-annihilates

$$\begin{bmatrix} \text{col}(\sigma^j u|_{\mathcal{L}_0})_{j=0,\dots,L+k} \\ \text{col}(\sigma^j u|_{\mathcal{L}_1})_{j=0,\dots,L+k-1} \\ \vdots \\ \text{col}(\sigma^j u|_{\mathcal{L}_{L-1}})_{j=0,\dots,k+1} \end{bmatrix}.$$

By persistency of excitation we conclude that (21) is the zero-vector; because of the assumption of global controllability we conclude that  $v_j = 0$ ,  $j = 0, \dots, k$ , and consequently that the matrix (19) has full row rank. This concludes the proof.  $\square$

To state our next result, we need to introduce the concept of *algebraic genericity*. Let  $\mathcal{L}$  be a linear finite-dimensional space; then given a basis  $\{\ell_i\}_{i=1,\dots,d}$  for  $\mathcal{L}$ , every  $\ell \in \mathcal{L}$  can be written as  $\ell = \sum_{i=1}^d x_i \ell_i$  for some coefficients  $x_i$  in the field on which  $\mathcal{L}$  is defined. A map  $p : \mathcal{L} \rightarrow \mathbb{R}$  is a *polynomial* if  $p(\ell)$  is a polynomial in the variables  $x_i$ ,  $i = 1, \dots, d$ . An *algebraic variety* is a subset  $\mathcal{V}$  of  $\mathcal{L}$  consisting of all zeroes of some polynomial  $p$ . A subset  $\mathcal{S} \subset \mathcal{L}$  is called *generic* if there is a proper algebraic variety  $\mathcal{V} \subsetneq \mathcal{L}$  such that  $\mathcal{S} \supset (\mathcal{L} \setminus \mathcal{V})$ .

**Proposition 3.** *Assume that (1) is globally controllable, that  $x|_{\mathcal{L}_0} = 0$ , and let  $L \geq n$ . If  $u|_{\mathcal{L}_0, \dots, \mathcal{L}_{L-1}}$  is persistently exciting of order  $k$ , then generically for every  $j = 0, 1, \dots$  the matrix*

$$\begin{bmatrix} \text{col}(\sigma^i u|_{\mathcal{L}_L})_{i=0,\dots,k} \\ \text{col}(\sigma^i u|_{\mathcal{L}_{L+1}})_{i=0,\dots,k-1} \\ \vdots \\ u|_{\mathcal{L}_{L+k}} \\ \text{col}(\sigma^i x|_{\mathcal{L}_L})_{i=0,\dots,k} \end{bmatrix} \quad (22)$$

has full row rank.

*Proof.* The row rank of (22) is not full if and only if all its maximal order minors are zero. For a fixed  $x|_{\mathcal{L}_L}$ , each of these minors is a polynomial in the variables  $u|_{\mathcal{L}_{L+\ell}}(i_1, i_2)$ ,  $\ell = 0, \dots, k$ ,  $(i_1, i_2) \in \mathbb{Z}^2$ . It follows that (22) has not full rank if and only if the intersection of the varieties of such polynomials is non-empty. The intersection of such varieties is a proper algebraic variety itself; the claim follows.  $\square$

**Remark 3.** To achieve sufficiently informative data, one can proceed as follows. Starting with the system at rest, i.e.  $\text{col}(u|_{\mathcal{L}_j}, y|_{\mathcal{L}_j}) = 0$ ,  $j \leq 0$ , one applies a persistently exciting signal of order  $N$  at  $\mathcal{L}_j$ ,  $j = 0, \dots, N$  obtaining a full rank matrix (19) (see Proposition 2). Subsequently, one applies a persistently sequence  $u|_{\mathcal{L}_{L+\ell}}$ ,  $\ell = 0, \dots, N$  (for example, consisting of random values). It follows from Proposition 3 that generically the persistency of excitation condition

$$\text{rank} \left( \begin{bmatrix} \text{col}(\sigma^i u|_{\mathcal{L}_L})_{i=0,\dots,N-1} \\ \text{col}(\sigma^i u|_{\mathcal{L}_{L+1}})_{i=0,\dots,N-2} \\ \vdots \\ u|_{\mathcal{L}_{L+N-1}} \\ \text{col}(\sigma^i x|_{\mathcal{L}_L})_{i=0,\dots,N-1} \end{bmatrix} \right) = \frac{N(N+1)}{2}m + Nn$$

is satisfied. From Theorem 2 it follows that any unfolding of any system trajectory is expressible as a linear combination of the columns of  $\mathbb{D}_{N-1}(\text{col}(u, y))$ .  $\square$

## V. CONCLUSIONS AND FURTHER WORK

In Theorem 2 we generalized the results of [2] to *input-output* measurements. We also illustrated how sufficiently informative data can be generated (see Remark 3).

Current research aims to apply these results to the data-driven simulation problem (see [8]) and to the data-driven “finite-horizon” LQ-optimal control problem (see Remark 2).

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