

Constructive approaches for the controllability of semilinear heat and wave equations

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GIVEN some semilinear heat/wave equation

$$\begin{cases} \partial_{t(t)}y - \Delta y + f(y) = v1_{\omega}, & \text{in } \Omega \times (0, T) \\ y = 0 & \text{in } \partial\Omega \times (0, T) \quad + \text{initial conditions} \end{cases} \quad (1)$$

or

$$\begin{cases} \partial_{t(t)}y - \Delta y + f(y) = 0, & \text{in } \Omega \times (0, T), \\ y = v1_{\Gamma} & \text{in } \partial\Omega \times (0, T) \quad + \text{initial conditions} \end{cases} \quad (2)$$

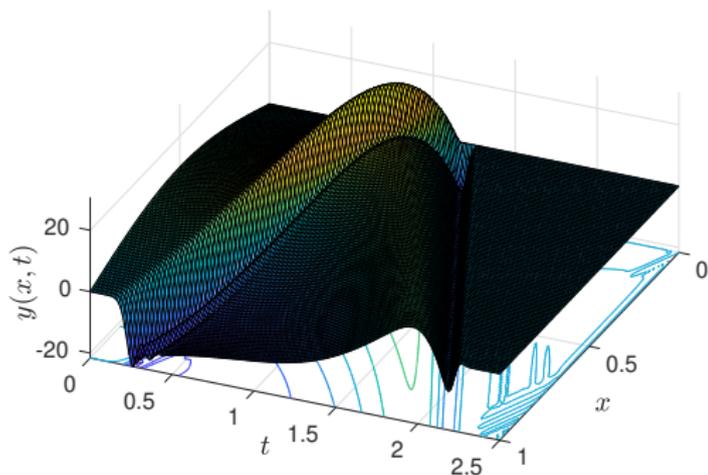
ASSUME that there exist control v and $T > 0$ such that $y(t) = 0$ for all $t \geq T$.

Litterature Lasiecka-Triggiani'91, Zuazua'93, Fernandez-Cara'00, Barbu'00, Li-Zhang'01, Coron-Trelat'06, Dehman-Lebeau'09, Joly-Laurent'14, Fu-Lu-Zhang'19, Friedman'19,

FIND a non trivial sequence $(y_k, v_k)_{k \in \mathbb{N}}$ such that $(y_k, v_k) \rightarrow (y, v)$ as $k \rightarrow \infty$, with (y, v) a controlled pair for (1) or (2)?

 Non trivial question since in many situations, proofs of controllability are based on **non constructive fixed point arguments**.

One numerical illustration of controlled solution for the wave equation



Controlled solution (from the boundary)

$$\begin{cases} y_{tt} - y_{xx} - 3y(1 + \ln^{3/2}(2 + |y|)) = 0 & \text{in } (0, 1) \times (0, 2.5), \\ y(0, \cdot) = 0, \quad y(1, \cdot) = v & \text{in } (0, 2.5), \\ (y(\cdot, 0), y_t(\cdot, 0)) = (10 \sin(\pi x), 0) & \text{in } (0, 1). \end{cases} \quad (3)$$

How do we get such control v ????

For the semilinear wave/heat equations

$$\boxed{\begin{cases} \partial_{t(t)}y - \Delta y + f(y) = 0 \\ + \text{initial conditions and boundary conditions} \end{cases}} \quad (4)$$

KNOWN FACT The uniform (w.r.t. initial conditions) exact controllability holds true under the following asymptotic condition on $f \in C^1(\mathbb{R})$

$$\exists \beta > 0 \text{ such that } \limsup_{r \rightarrow \infty} \frac{|f(r)|}{r \ln^p(r)} \leq \beta, \quad p \in (0, 2)$$

obtained from non constructive Schauder fixed point arguments [Zuazua'93, Zuazua-Fernandez-Cara'00, Barbu'00, Zhang'07,]

CLAIM Under the following assumption,

$$\exists \beta > 0 \text{ such that } \limsup_{r \rightarrow \infty} \frac{|f'(r)|}{\ln^p(r)} \leq \beta, \quad p \in (0, 2)$$

one can construct non trivial sequences $(y_k, v_k)_{k \in \mathbb{N}}$ converging strongly to a state-control pair for the semilinear equation

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Same method for the wave and heat equation

Assuming

$$\exists \beta > 0 \text{ such that } \lim_{r \rightarrow \infty} \sup \frac{|f'(r)|}{\ln^p(r)} \leq \beta, \quad p \in (0, 2)$$

we design convergent sequences (y_k, v_k) from two different approaches :

Method 1 : Least-squares approaches (Newton type linearization)

$$y_{k+1,t(t)} - \Delta y_{k+1} + f'(y_k)y_{k+1} = v_{k+1}1_\omega - f'(y_k)y_{k+1} + f(y_k), k \geq 0$$

where (y_{k+1}, v_{k+1}) is the optimal state-control pair for the cost

$$J(y, v) = \|v\|_{L^2(Q_T)}^2$$

Method 2: Zero order linearization and Carleman weights

$$y_{k+1,t(t)} - \Delta y_{k+1} = v_{k+1}1_\omega - f(y_k), k \geq 0$$

where (y_{k+1}, v_{k+1}) is the optimal null state-control pair for the cost for the cost

$$J(y, v) = \|\rho(s)v\|_{L^2(Q_T)}^2 + s\|\rho_0(s)y\|_{L^2(Q_T)}^2$$

involving Carleman weights $\rho(x, t, s)$, $\rho_0(x, t, s)$ and parameter $s > 0$

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involving **Carleman weights** $\rho(x, t, s)$, $\rho_0(x, t, s)$ and **parameter** $s > 0$

Method 1 : A least-squares approach (Damped Newton method)

We consider the **nonconvex minimization problem**

$$\inf_{(y,v) \in \mathcal{A}} E(y, v), \quad E(y, v) := \frac{1}{2} \|\partial_{tt}y - \Delta y + f(y) - v1_\omega\|_{L^2(Q_T)}^2 \quad (5)$$

$$\mathcal{A} := \left\{ (y, v) \in \mathcal{H} \mid (y(\cdot, 0), \partial_t y(\cdot, 0)) = (u_0, u_1), (y(\cdot, T), \partial_t y(\cdot, T)) = (0, 0) \text{ in } \Omega \right\},$$

$$\mathcal{H} := \left\{ (y, v) \in L^2(Q_T) \times L^2(Q_T) \mid \partial_{tt}y - \Delta y \in L^2(Q_T), y = 0 \text{ on } \Sigma_T, \right.$$

$$\left. (y(\cdot, 0), \partial_t y(\cdot, 0)) \in \mathbf{V} \right\}$$

Proposition

$$\forall (y, v) \in \mathcal{A}, \quad \sqrt{E(y, v)} \leq C e^{C\sqrt{T}} \|v\|_\infty \|E'(y, v)\|_{\mathcal{A}'_0}.$$

Consequence:

Any *critical point* $(y, v) \in \mathcal{A}$ of E is a zero of E , and thus is a pair solution of the controllability problem. Moreover:

given any sequence $(y_k, v_k)_{k \in \mathbb{N}}$ in \mathcal{A} such that $\|E'(y_k, v_k)\|_{\mathcal{A}'_0} \xrightarrow{k \rightarrow +\infty} 0$ and such that $\|f'(y_k)\|_\infty$ is uniformly bounded, we have $E(y_k, v_k) \xrightarrow{k \rightarrow +\infty} 0$.

 A minimizing sequence for E **cannot be stuck** in a local minimum, even though E fails to be convex (it has multiple zeros).

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 A minimizing sequence for E **cannot be stuck** in a local minimum, even though E fails to be convex (it has multiple zeros).

A minimizing sequence for E

Let the sequence $(y_k, v_k)_{k \in \mathbb{N}}$ in \mathcal{A} defined by

$$\begin{cases} (y_0, v_0) \in \mathcal{A} \\ (y_{k+1}, v_{k+1}) = (y_k, v_k) - \lambda_k (Y_k, V_k) \quad \forall k \in \mathbb{N} \\ \lambda_k = \operatorname{argmin}_{\lambda \in [0,1]} E((y_k, v_k) - \lambda(Y_k, V_k)) \end{cases} \quad (6)$$

where $(Y_k, V_k) \in \mathcal{A}_0$ is the solution of **minimal control norm** of

$$\begin{cases} \partial_{tt} Y_k - \Delta Y_k + f'(y_k) Y_k = V_k 1_\omega + (\partial_{tt} y_k - \Delta y_k + f(y_k) - v_k 1_\omega) & \text{in } Q_T, \\ Y_k = 0 & \text{on } \Sigma_T, \\ (Y_k(\cdot, 0), \partial_t Y_k(\cdot, 0)) = (0, 0) & \text{in } \Omega. \end{cases} \quad (7)$$

Lemma $\forall k \geq 0, E'(y_k, v_k) \cdot (Y_k, V_k) = 2E(y_k, v_k)$

Theorem (Münc̈h-Trélat 2022, Bottois-Lemoine-Münc̈h 2023)

Assume that $f'' \in L^\infty(\mathbb{R})$ and that $\limsup_{r \rightarrow \infty} \frac{|f'(r)|}{\ln^p(r)}$ is small enough.

for any $(y_0, v_0) \in \mathcal{A}$, $(y_k, v_k) \rightarrow (y, v)$ a controlled pair for the nonlinear wave eq.

The convergence of these sequences is at least linear, and is **at least of order 2 after a finite number of iterations**.

Remark: Link with a Damped Newton method

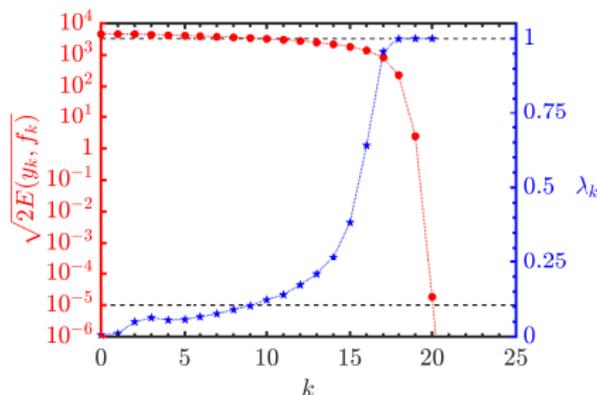
Actually, the sequence $(y_k, v_k)_{k \geq 0}$ coincides with the one associated to damped Newton method to find a zero of the map $F : \mathcal{A} \rightarrow L^2(Q_T)$ defined by

$$\mathcal{F}(y, v) := (\partial_{tt}y - \Delta y + f(y) - v1_\omega)$$

$$\begin{cases} (y_0, v_0) \in \mathcal{A} \\ D\mathcal{F}(y_k, v_k) \cdot ((y_{k+1}, v_{k+1}) - (y_k, v_k)) = -\lambda_k \mathcal{F}(y_k, v_k), k \geq 0 \\ \lambda_k = \operatorname{argmin}_{\lambda \in [0,1]} \mathcal{F}((y_k, v_k) - \lambda D\mathcal{F}^{-1}(y_k, v_k) \mathcal{F}(y_k, v_k)) \end{cases} \quad (8)$$

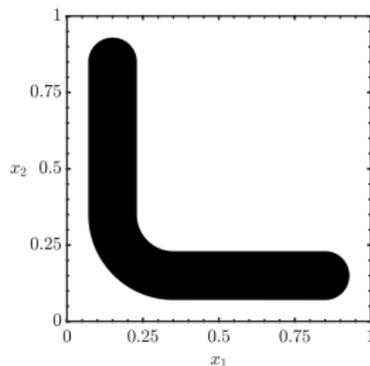
For $\lambda_k = 1$, the least-squares algorithm coincides with the Newton algorithm applied to \mathcal{F} (explaining the quadratic convergence property).

Optimizing the parameter λ_k ensures the global convergence of the algorithm



We consider a two-dimensional case for which $\Omega = (0, 1)^2$ and $T = 3$.

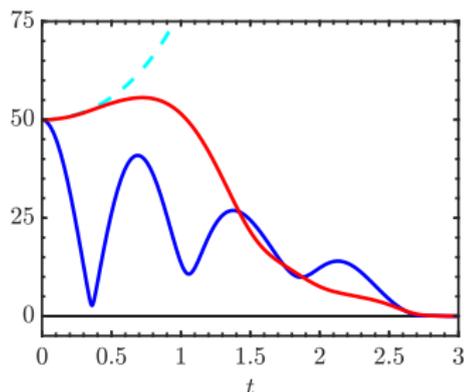
$$\begin{cases} \partial_{tt}y - \Delta y - 10y \ln^{1/2}(2 + |y|) = v1_\omega & \text{in } Q_T := \Omega \times (0, T), \\ y = 0 & \text{on } \Sigma_T := \partial\Omega \times (0, T), \\ (y(\cdot, 0), \partial_t y(\cdot, 0)) = (100 \sin(\pi x_1) \sin(\pi x_2), 0) & \text{in } \Omega, \end{cases} \quad (9)$$



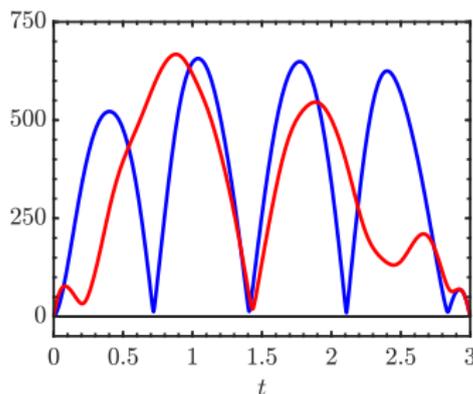
Control domain $\omega \subset \Omega = (0, 1)^2$ (black part).

Numerical experiments in the 2d case

iterate k	$\sqrt{2E(y_k, v_k)}$	$\frac{\ y_k - y_{k-1}\ _{L^2(Q_T)}}{\ y_{k-1}\ _{L^2(Q_T)}}$	$\frac{\ v_k - v_{k-1}\ _{L^2_X(Q_T)}}{\ v_{k-1}\ _{L^2_X(Q_T)}}$	$\ y_k\ _{L^2(Q_T)}$	$\ v_k\ _{L^2_X(Q_T)}$	λ_k
0	7.44×10^2	—	—	38.116	732.22	1
1	1.63×10^2	1.79×10^0	9.30×10^{-1}	58.691	667.602	1
2	1.62×10^0	8.42×10^{-2}	1.41×10^{-1}	60.781	642.643	1
3	1.97×10^{-3}	1.21×10^{-3}	4.66×10^{-3}	60.745	643.784	1
4	5.11×10^{-10}	6.43×10^{-7}	2.63×10^{-6}	60.745	643.785	—



(—) $\|y_4(\cdot, t)\|_{L^2(\Omega)}$; (—) $\|y_0(\cdot, t)\|_{L^2(\Omega)}$; (---) $\|y(\cdot, t; 0)\|_{L^2(\Omega)}$.



(—) $\|v_4(\cdot, t)\|_{L^2_X(\omega)}$; (—) $\|v_0(\cdot, t)\|_{L^2_X(\omega)}$.

Method 2 (explained in the boundary controllability case)

$$\begin{cases} y_{tt} - \Delta y + f(y) = 0 & \text{in } Q_T, \\ y = v \mathbf{1}_{\Gamma_0} \text{ in } \partial\Omega \times (0, T), \quad (y(\cdot, 0), y_t(\cdot, 0)) = (u_0, u_1) & \text{in } \Omega, \end{cases} \quad (10)$$

Theorem (Bhandari-Lemoine-Münch 2022, Claret-Lemoine-Münch, 2023)

Assume $T > 0$ and $\Gamma_0 \subset \partial\Omega$ large enough. Assume that there exists $\beta^* > 0$ such that if $f \in C^1(\mathbb{R})$ satisfies

$$(H'_2) \quad \exists \alpha > 0, \text{ s.t. } |f'(r)| \leq \alpha + \beta^* \ln_+^{3/2} |r|, \quad \forall r \in \mathbb{R}$$

then, for any initial state (u_0, u_1) in $\mathbf{H} := L^2(\Omega) \times H^{-1}(\Omega)$, the controlled sequence $(y_k, v_k)_{k \in \mathbb{N}^*}$ solution of

$$\begin{cases} \partial_{tt} y_{k+1} - \Delta y_{k+1} = -f(y_k) & \text{in } Q_T, \\ y_{k+1} = v_{k+1} \mathbf{1}_{\Gamma_0} & \text{in } \partial\Omega \times (0, T), \\ (y_{k+1}(\cdot, 0), \partial_t y_{k+1}(\cdot, 0)) = (u_0, u_1) & \text{in } \Omega, \end{cases} \quad (11)$$

minimizer of a functional $J_s(y, v) := s \int_{Q_T} \rho^2(s) y^2 + \int_0^T \int_{\Gamma_0} \eta^{-2} \rho_1^2(s) v^2$

converges strongly to a controlled pair (y, v) in $(C^0([0, T]; H^1(\Omega)) \cap C^1([0, T]; L^2(\Omega))) \times H_0^1(0, T)$ for the system (10).

The convergence holds with a linear rate for the norm $\|\rho(s) \cdot\|_{L^2(Q_T)} + \|\rho_1(s) \cdot\|_{L^2(0, T)}$ and s is chosen sufficiently large depending on $\|(u_0, u_1)\|_{\mathbf{H}}$.

Contraction of the operator within a suitable class

- For any $s \geq s_0$ and $R > 0$, we introduce the class $C_R(s)$, defined as the closed convex subset of $L^\infty(Q_T)$

$$C_R(s) := \left\{ \hat{y} \in L^\infty(Q_T) : \|\hat{y}\|_{L^\infty(Q_T)} \leq R, \|\rho(s)\hat{y}\|_{L^2(Q_T)} \leq R^{1/2} \right\} \quad (12)$$

and assume that the nonlinear function $f' \in C^0(\mathbb{R})$ in (21) satisfies the logarithmic assumption for some β^* positive precisely chosen later.

- We introduce the operator

$$\Lambda_s : L^\infty(Q_T) \mapsto L^\infty(Q_T), \quad \Lambda_s(\hat{y}) = y \quad (13)$$

where y solves

$$\begin{cases} y_{tt} - \Delta y = -f(\hat{y}) & \text{in } Q_T, \\ y(0, \cdot) = 0, y(1, \cdot) = v & \text{in } (0, T), \\ (y(\cdot, 0), y_t(\cdot, 0)) = (u_0, u_1) & \text{in } \Omega, \end{cases} \quad (14)$$

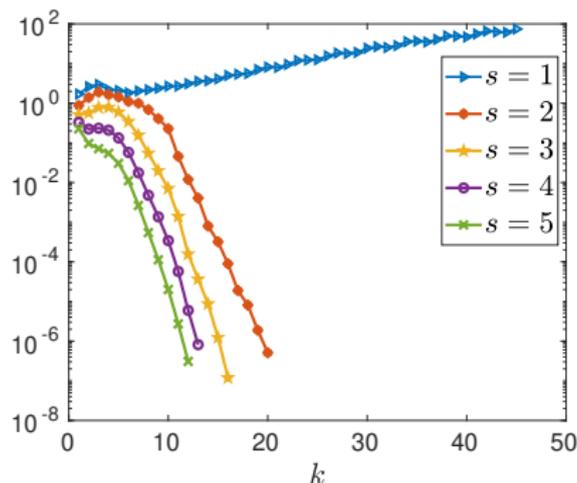
satisfies $(y(\cdot, T), y_t(\cdot, T)) = (z_0, z_1)$ in Ω , and (y, v) corresponds to the minimizer of a functional J_s

$$J_s(y, v) := s \int_{Q_T} \rho^2(s) y^2 + \int_0^T \eta^{-2} \rho_1^2(s) v^2 \quad (15)$$

over the set

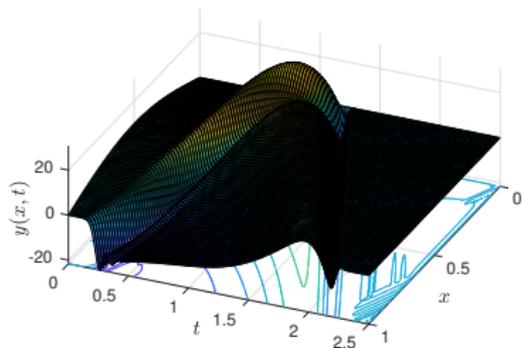
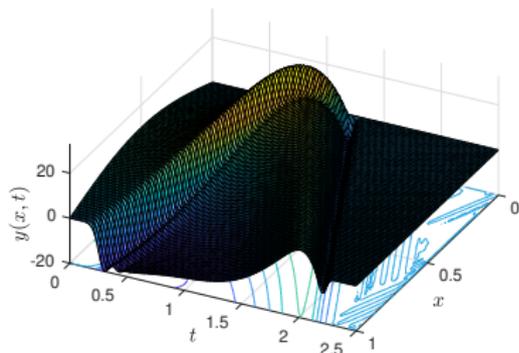
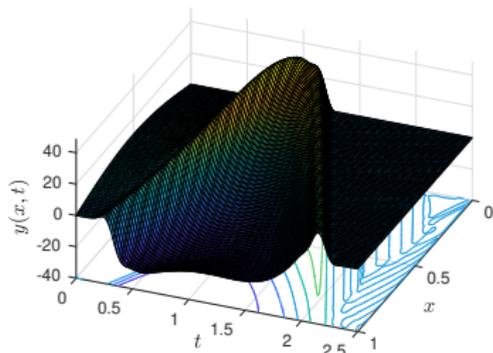
$\{(y, v) \in L^2(Q_T) \times L^2(0, T) \text{ solution of (14) with } y(\cdot, T) = y_t(\cdot, T) = 0 \text{ in } \Omega\}$.

$$\begin{cases} y_{tt} - y_{xx} - 5y(1 + \ln^{3/2}(2 + |y|)) = 0 & \text{in } (0, 1) \times (0, 2.5), \\ y(0, \cdot) = 0, \quad y(1, \cdot) = v & \text{in } (0, 2.5), \\ (y(\cdot, 0), y_t(\cdot, 0)) = (20 \sin(\pi x), 0) & \text{in } \Omega, \end{cases} \quad (16)$$



Relative error $\frac{\|\rho^{(s)}y_{k+1} - \rho^{(s)}y_k\|_{L^2(Q_T)}}{\|\rho^{(s)}y_k\|_{L^2(Q_T)}}$ w.r.t. iterations k .

Numerical illustration - 1d case - boundary control



Controlled solution for $s \in \{2, 5, 9\}$.

Least-squares approaches (Newton type linearization)

- **Münch-Trélat**. *Constructive exact control of semilinear 1D wave equations by a least-squares approach*, [SICON 2022](#)
- **Bottois-Lemoine-Münch**. *Constructive proof of the exact controllability for semi-linear multi-dimensional wave equations*, [AMSA 2023](#)

Zero order linearization and Carleman weights

- **Bhandari-Lemoine-Münch**. *Exact boundary controllability of semilinear 1D wave equations through a constructive approach*, [MCSS 2023](#)
- **Lemoine-Münch-Sue**. - *Exact boundary controllability of semilinear wave equations through a constructive approach*, [arxiv, 2023](#)

Least-squares approaches (Newton type linearization)

- **Lemoine, Marin-Gayte, Munch**, *Approximation of null controls for semilinear heat equations using a least-squares approach*, [COCV, 2021](#)
- **Lemoine-Munch**. *Constructive exact control of semilinear 1D heat equations*, [MCRF 2023](#)

Zero order linearization and Carleman weights

- **Ervedoza-Lemoine-Munch**. *Exact controllability of semilinear heat equations through a constructive approach*, [EECT 2023](#)
- **Bhandari-Lemoine-Munch**. - *Global boundary null controllability of one dimensional semi-linear heat equation*, [DCDS, 2023](#)

$$\begin{cases} \partial_t y - \Delta y + f(y) = v1_\omega & \text{in } Q_T, \\ y = 0 & \text{on } \Sigma_T, \quad y(\cdot, 0) = u_0 & \text{in } \Omega, \end{cases} \quad (17)$$

Theorem (Lemoine, Munch, 22)

Let $T > 0$ be given. Let $d = 1$. Assume that $f \in C^1(\mathbb{R})$ satisfies $f(0) = 0$ and

$$(H'_1) \quad \exists \alpha > 0, \text{ s.t. } |f'(r)| \leq (\alpha + \beta^* \ln_+ |r|)^{3/2}, \quad \forall r \in \mathbb{R}$$

for some $\beta^* > 0$ small enough and

$$(\bar{H}_p) \quad \exists p \in [0, 1] \text{ such that } \sup_{\substack{a, b \in \mathbb{R} \\ a \neq b}} \frac{|f'(a) - f'(b)|}{|a - b|^p} < +\infty.$$

Then, for any $u_0 \in H_0^1(\Omega)$, one can construct a sequence $(y_k, v_k)_{k \in \mathbb{N}}$ converging strongly to a controlled pair for (18) satisfying $y(T) = 0$. Moreover, after a finite number of iterations, the convergence is of order at least $1 + p$.

1

$$\begin{cases} \partial_t y - \Delta y + f(y) = v \mathbf{1}_\omega & \text{in } Q_T, \\ y = 0 \text{ on } \Sigma_T, \quad y(\cdot, 0) = u_0 & \text{in } \Omega, \end{cases} \quad (18)$$

Theorem (Ervedoza-Lemoine-Münch 2022, Bandhari-Lemoine-Münch, 2023)

Let $T > 0$ be given and $d \geq 5$. Assume that there exists $\beta^* > 0$ such that if $f \in C^1(\mathbb{R})$ satisfies $f(0) = 0$ and

$$(H'_2) \quad \exists \alpha > 0, \text{ s.t. } |f'(r)| \leq \alpha + \beta^* \ln_+^{3/2} |r|, \quad \forall r \in \mathbb{R}$$

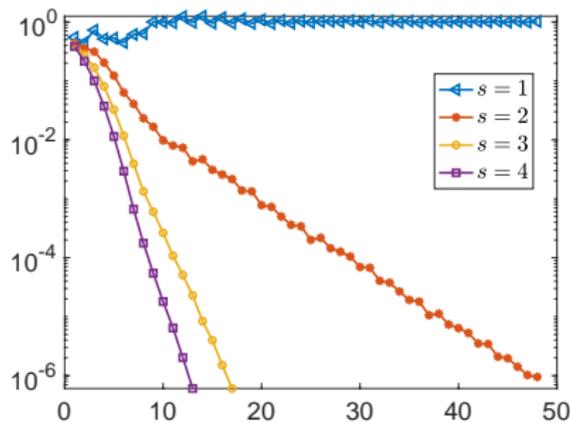
Then, for any initial state $u_0 \in L^\infty(\Omega)$, the controlled sequence $(y_k, v_k)_{k \in \mathbb{N}^*}$ solution of

$$\begin{cases} \partial_t y_{k+1} - \Delta y_{k+1} = v_{k+1} \mathbf{1}_\omega - f(y_k) & \text{in } Q_T, \\ y_{k+1} = 0 & \text{in } \partial\Omega \times (0, T), \\ y_{k+1}(\cdot, 0) = u_0 & \text{in } \Omega, \end{cases} \quad (19)$$

optimal for the cost $J_s(y, v) := s \int_{Q_T} \rho^2(s) y^2 + \int_0^T \int_\omega \rho_0^2(s) v^2$ converges strongly to a controlled pair (y, v) in $L^2(Q_T) \times L^2(Q_T)$ for the system (21). The convergence holds with a linear rate for the norm $\|\rho(s) \cdot\|_{L^2(Q_T)} + \|\rho_1(s) \cdot\|_{L^2(0, T)}$ and s is chosen sufficiently large depending on $\|u_0\|_{L^\infty(\Omega)}$.

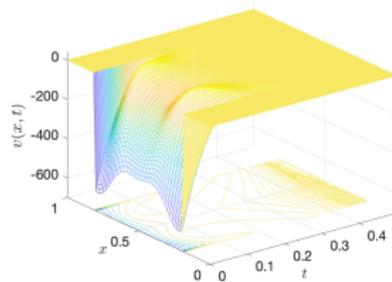
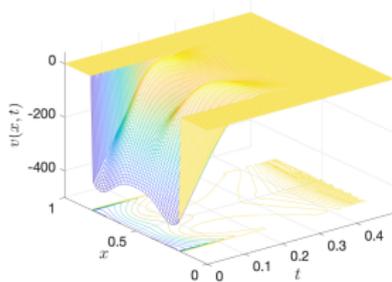
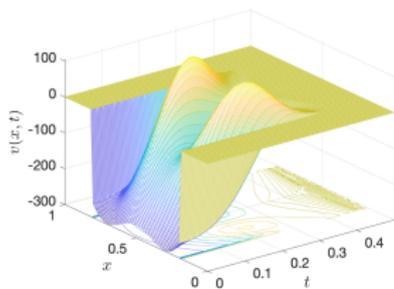
Numerical illustration for the 1d heat equation and distributed control

$$\begin{cases} y_t - y_{xx} - 5y(1 + \ln^{3/2}(2 + |y|)) = 1_{(0.2,0.8)}(x)v & \text{in } (0, 1) \times (0, 0.5), \\ y(0, \cdot) = y(1, \cdot) = 0 & \text{in } (0, 0.5), \\ y(\cdot, 0) = 10 \sin(\pi x) & \text{in } (0, 1), \end{cases} \quad (20)$$

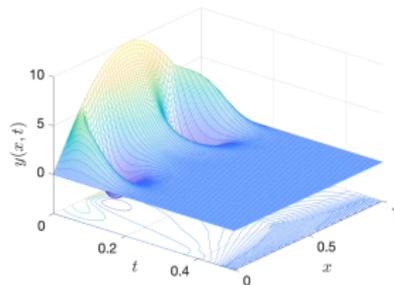
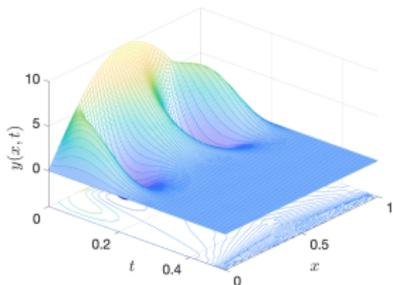
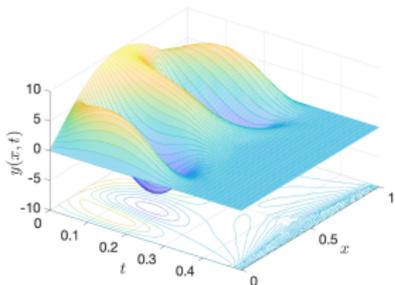


Relative error $\frac{\|\rho_0(s)(y_{k+1} - y_k)\|_{L^2(Q_T)}}{\|\rho_0(s)y_k\|_{L^2(Q_T)}}$ w.r.t. k for $s \in \{1, 2, 3, 4\}$.

Numerical illustration for the 1d heat equation and distributed control

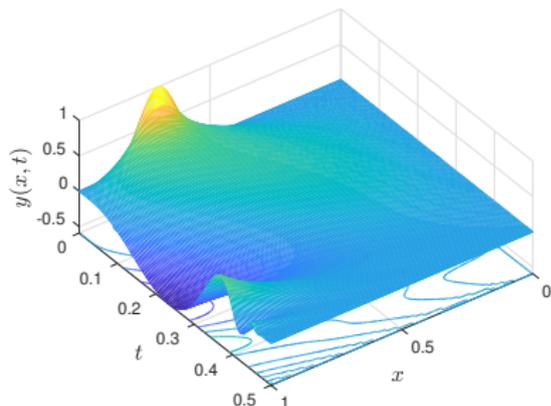
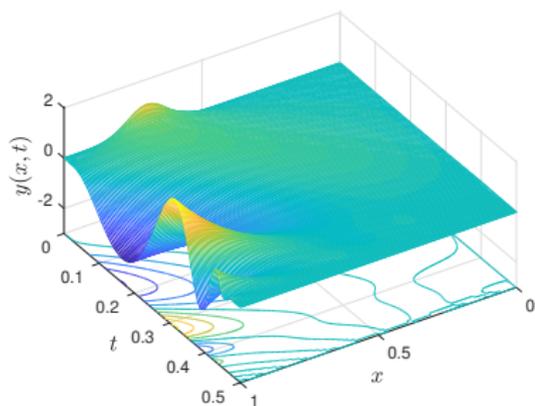


The distributed control v in $(0, 1) \times (0, 0.5)$ for $s \in \{2, 3, 4\}$.



The controlled solution in $(0, 1) \times (0, 0.5)$ for $s \in \{2, 3, 4\}$.

Numerical illustration for the 1d heat equation and boundary control



Controlled solutions from the boundary with $\nu \in \{0.3, 0.5\}$.

$$\begin{cases} y_t - \nu y_{xx} - 2.5y(1 + \ln^{3/2}(2 + |y|)) = 0 & \text{in } Q_T, \\ y(0, \cdot) = 0, \quad y(1, \cdot) = \nu & \text{in } (0, T), \\ y(\cdot, 0) = e^{-100(x-0.7)^2} & \text{in } \Omega, \end{cases} \quad (21)$$

For the semilinear wave/heat equations

$$\boxed{\begin{cases} \partial_{t(t)}y - \Delta y + f(y) = 0 \\ + \text{initial conditions and boundary conditions} \end{cases}} \quad (22)$$

assuming mainly $f \in C^1(\mathbb{R})$ and the growth assumption

$$\exists \beta > 0 \text{ such that } \lim_{r \rightarrow \infty} \frac{|f'(r)|}{\ln^p(r)} \leq \beta, \quad p \in (0, 2)$$

one can now construct non trivial sequences $(y_k, v_k)_{k \in \mathbb{N}}$ converging strongly to a state-control pair for the semilinear equation.

THANK YOU VERY MUCH FOR YOUR ATTENTION