Well-posedness and exact controllability of the mass balance equations for an extrusion process

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In this paper, we study the well-posedness and exact controllability of a physical model for a food extrusion process in the isothermal case. The model expresses the mass balance in the extruder chamber and consists of a hyperbolic Partial Differential Equation (PDE) and a nonlinear Ordinary Differential Equation (ODE) whose dynamics describes the evolution of a moving interface. By suitable change of coordinates and fixed point arguments, we prove the existence, uniqueness and regularity of the solution, and finally the exact controllability of the coupled system. Copyright © 2009 John Wiley & Sons, Ltd.

Keywords: conservation law; free boundary; well-posedness; controllability; extruder model

1. Introduction

The analysis of free boundary problems has been an active subject in the last decades and their mathematical understanding continues to be an important interdisciplinary topic for various engineering applications. Representative complex physical systems describing biological phenomena and reaction diffusion processes such as Stefan problems in crystal growth processes are still calling for many open questions related to their exact controllability and the design of highly efficient output feedback control laws for stabilization purposes. Among these challenging problems, one can mention the swelling nanocapsules studied in [1], the lyophilization process applied to pharmaceutical industry [2, 3], the cooking processes describing the volume change in food material [4], the mixing systems (model of torus reactor including a well-mixed zone and a transport zone) and the Diesel Oxidation Catalyst (DOC) presented in [5].

In this paper we consider the well-posedness and exact controllability of the Cauchy problem for a physical model of the extrusion process which describes the mass transport phenomena in an isothermal extruder chamber. Mathematically, the process is described by a hyperbolic PDE defined on a time-varying domain. The dynamics of the spatial domain is governed by an ODE expressing the conservation of mass in the extruder and the PDE expresses the convection phenomenon due to the rotating screw. More detailed description of the model is given in Section 2. We mention that the first result concerning the mathematical analysis of the extrusion model as transport equations coupled via complementary time varying domains is proposed in [6], where the well-posedness for the linearized model of the extruder is obtained by using perturbation theory on the linear operator.

The key point is to find a suitable change of coordinates which enables to transform the free boundary problem to a system defined on a fixed domain. Let us emphasize that this method has been introduced by Li et al. to study the free boundary problems of quasi-linear hyperbolic systems (see [7, 8]) and now it is rather standard. Our proof of the well-posedness (see Theorem 3.1) of the Cauchy problem for the normalized system relies on the characteristic method and the fixed point arguments. The only difference is that we consider the (piecewise) $H^2$ solution (see Theorem 3.2) instead of the (piecewise) $C^1$ solution as in [7, 8], so that the theory on Sobolev spaces can be applied. We remark that the $H^2$-regularity of the solution is useful when one considers the asymptotic stabilization of the corresponding closed-loop system with feedback controls [9]. In this context the stabilization of a non-isothermal food extrusion process including the temperature and the moisture content dynamics is investigated in [10].
The control problems for hyperbolic conservation laws have been widely studied for a long time. For controllability of linear hyperbolic systems, one can see the important survey [11]. The controllability of nonlinear hyperbolic equations (or systems) are studied in [12, 13, 14, 15, 16]. Moreover, [17] provides a comprehensive survey of controllability and stabilization in PDEs that also includes nonlinear conservation laws. The idea to prove Theorem 3.3 is to construct a solution to (2.2)-(2.4) which also satisfies the final conditions (see [15]). The way of such construction is based on the controllability result of the linearized system together with fixed point arguments (see for example [18]).

The organization of this paper is as follows: First in Section 2, we give a description of the extrusion process model which is derived from conservation laws. The main results (Theorems 3.1, 3.2, 3.3) concerning the well-posedness, regularity and the controllability of the normalized system are presented in Section 3, while their proofs are given in Sections 4, 5, 6 respectively.

2. Description of the extrusion process model

Extruders are designed to process highly viscous materials. They are mainly used in the chemical industries for polymer processing as well as in the food industries. An extruder is made of a barrel, the temperature of which is regulated. One or two Archimedean screws are rotating inside the barrel. The extruder is equipped with a die where the material comes out of the process (see Figure 1).

In an extruder, the net flow at the die exit is mainly due to the flow of the material in the screw axis direction. The die resistance influences highly the transport along the extruder and induces an accumulation phenomenon towards the down barrel direction. The accumulation of the material permits us to represent the mass balance in the extruder using the filling ratio along its screw channel. More precisely, the spatial domain of the extruder might be partitioned into a Fully Filled Zone (FFZ) and a Partially Filled Zone (PFZ). The flow in the FFZ depends on the pressure gradient which appears in this region due to the die restriction. The PFZ corresponds to a conveying region that is submitted to the constant atmospheric pressure and the transport velocity of the material depends only on the screw speed and pitch. These two zones are coupled by an interface which is located at the spatial coordinate where the pressure gradient changes from zero to a nonzero value. Basically, the moving interface evolves as a function of the difference between the feed and die rates. In the sequel, the spatial domain of the extruder will be taken as the real interval $[0, L]$, where $L > 0$ is the length of the extruder. Let us denote by $l(t) \in [0, L]$ the position of the thin interface, the domain of the PFZ is then $[0, l(t)]$ and the FFZ is defined on $[l(t), L]$ (see Figure 1).

Considering the following change of variables [19]

\[
x \mapsto y = \frac{x}{l(t)} \quad \text{in PFZ and } x \mapsto y = \frac{x - l(t)}{L - l(t)} \quad \text{in FFZ}
\]

(2.1)

respectively, the time varying domains $[0, l(t)]$ and $[l(t), L]$ can be transformed to the fixed domain $[0, 1]$ in space. For the sake of simplicity, we still denote by $x$ the space variable instead of $y$. More precisely, we consider the problem for the corresponding normalized system defined on $(0, T) \times (0, 1)$.

Defining the filling ratio along the PFZ spatial domain, namely, $f_p(t, x)$ as a dynamical variable [20, 21], then the mass balance in this region is written as follows:

\[
\begin{cases}
\partial_t f_p(t, x) + \alpha_x \partial_x f_p(t, x) = 0, & \text{in } \mathbb{R}^+ \times (0, 1), \\
f_p(0, x) = f_{p0}^*(x), & \text{in } (0, 1), \\
f_p(t, 0) = \frac{\rho_o V_{eff} N(t)}{\rho_o V_{eff} N(T)}, & \text{in } \mathbb{R}^+.
\end{cases}
\]

(2.2)
where
\[
\alpha_p(x, N(t), l(t), f_p(t, 1)) = \frac{\zeta(N(t)) - xF(l(t), N(t), f_p(t, 1))}{l(t)}
\]  
(2.3)
and \(\alpha_p\) is the transport velocity of the material, \(\zeta\) is the screw pitch, \(F_{in}\) denotes the feed rate, \(\rho_0\) is the melt density, \(V_{eff}\) is the effective volume and \(N(t)\) is the rotation speed of the screw. \(F\) is the dynamics of the moving interface described by equations (2.4)-(2.5). The interface motion is generated by the gradient of pressure which appears in the assumption of constant viscosity along the extruder (the isothermal case), its evolution is given by the following
\[
\begin{cases}
    \dot{l}(t) = F(l(t), N(t), f_p(t, 1)), & \text{in } \mathbb{R}^+,
    \\
    l(0) = l^0,
\end{cases}
\]  
(2.4)
where
\[
F(l(t), N(t), f_p(t, 1)) = N(t)g(l(t), f_p(t, 1)),
\]  
(2.5)
with
\[
g(l(t), f_p(t, 1)) = \frac{\zeta K_d (L - l(t))}{[B p_0 + K_d (L - l(t)) (1 - f_p(t, 1))]} - \frac{\zeta f_p(t, 1)}{1 - f_p(t, 1)}
\]  
(2.6)
In (2.6), \(K_d\) denotes the die conductance and \(B\) is the geometric parameter.

In the whole paper, unless otherwise specified, we always assume that \(l^0 \in (0, L), \|f_p^0\|_{W^1} \leq 1, F_{in}, N \in L^\infty(0,T), F_{in}/N \in W^{1,\infty}(0, T).\) For the sake of simplicity, we denote from now on \(\|f\|_{L^\infty}, \|f\|_{W^{1,\infty}}, \|f\|_2\) resp. as the \(L^\infty\) (\(W^{1,\infty}, L^2\), resp.) norm of the function \(f\) with respect to its variables.

### 3. Main Results

In this section, we present the main results on the well-posedness and exact controllability of the coupled system (2.2)-(2.4), we have the following two theorems.

**Theorem 3.1** Let \(T > 0\) and \((l_0, N_0, f_{p0})\) be a constant equilibrium, i.e.,
\[
F(l_0, N_0, f_{p0}) = 0
\]  
(3.1)
with \(0 < f_{p0} < 1, 0 < l_0 < L\). Assume that the compatibility condition at \((0, 0)\) holds
\[
\frac{F_{in}(0)}{\rho_0 V_{eff} N(0)} = f_p^0(0).
\]  
(3.2)
Then, there exists \(\varepsilon_0 > 0\) (depending on \(T\)) such that for any \(\varepsilon \in (0, \varepsilon_0]\), if
\[
\|l^0 - l_0\| + \|f_p^0(\cdot) - f_{p0}\|_{W^{1,\infty}} + \|\frac{F_{in}(\cdot)}{\rho_0 V_{eff} N(\cdot)} - f_p^0\|_{W^{1,\infty}} + \|N(\cdot) - N_0\|_{L^\infty} \leq \varepsilon,
\]  
(3.3)
Cauchy problem (2.2)-(2.4) admits a unique solution \((l, f_p) \in W^{1,\infty}(0, T) \times W^{1,\infty}(0, T) \times (0, 1))\), and the following estimates hold
\[
\|l(\cdot) - l_0\|_{W^{1,\infty}} \leq C_{\varepsilon_0} \cdot \varepsilon,
\]  
(3.4)
\[
\|f_p(\cdot, \cdot) - f_{p0}\|_{W^{1,\infty}} \leq C_{\varepsilon_0} \cdot \varepsilon,
\]  
(3.5)
where \(C_{\varepsilon_0}\) is a constant depending on \(\varepsilon_0\), but independent of \(\varepsilon\).

**Theorem 3.2** Under the assumptions of Theorem 3.1, we assume furthermore that \(f_p^0(\cdot) \in H^2(0, 1)\), \(\frac{F_{in}(\cdot)}{\rho_0 V_{eff} N(\cdot)} \in H^2(0, T)\), and the compatibility condition at \((0, 0)\) holds
\[
\left. \left( f_p^0 \right)_x (0) + \frac{l(0)}{\zeta N(0)} \cdot \frac{d}{dt} \left( \frac{F_{in}(t)}{\rho_0 V_{eff} N(t)} \right) \right|_{t=0} = 0.
\]  
(3.6)
Then, there exists \(\varepsilon_0 > 0\) (depending on \(T\)) such that for any \(\varepsilon \in (0, \varepsilon_0]\), if
\[
\|l^0 - l_0\| + \|f_p^0(\cdot) - f_{p0}\|_{C^{1}(0,1)} + \|\frac{F_{in}(\cdot)}{\rho_0 V_{eff} N(\cdot)} - f_p^0\|_{C^{1}(0,T)} + \|N(\cdot) - N_0\|_{L^\infty} \leq \varepsilon,
\]  
(3.7)
Cauchy problem (2.2)-(2.4) has a unique solution \((l, f_p) \in W^{1,\infty}(0, T) \times C^{0}([0, T], H^2(0, 1))\) with the additional estimate
\[
\|f_p(\cdot, \cdot) - f_{p0}\|_{C^0([0, T] \times H^2(0, 1))} \leq C_{\varepsilon_0} \cdot \varepsilon.
\]  
(3.8)
where \(C_{\varepsilon_0}\) is a constant depending on \(\varepsilon_0\), but independent of \(\varepsilon\).
Remark 3.1: The solution in Theorem 3.1 or in Theorem 3.2 is often called semi-global solution since it exists on any preassigned time interval $[0, T]$ provided that $(I, f_0)$ has some kind of smallness (depending on $T$), see [24, 25].

Remark 3.2: We have the hidden regularity that $f_0 \in C^0([0, 1]; H^2(0, T))$ in Theorem 3.2 (see [26, 27] for the idea of proof).

The problem of exact controllability for Cauchy problem (2.2)-(2.4) can be described as follows: For any given initial data $(\rho^0, f_0^0(x))$, any final data $(\rho_1, f_1^0(x))$, to find a time $T$ and controls $F_m(t)$ and $N(t)$ such that the solution to Cauchy problem (2.2)-(2.4) satisfies

$$l(T) = l^1, \quad f_p(T, x) = f_1^0(x).$$

Our result is the following theorem on local controllability in the sense that the initial and final data are both close to the given equilibrium determined by (3.1).

Theorem 3.3: Let $T_e := \frac{L}{\sum_{N_{eff}}}$ be the critical control time. Then, for any $T > T_e$, there exists $\epsilon_1 > 0$ suitably small such that, for any $\nu \in (0, \nu_1]$, $\rho^0, l^1 \in (0, L)$ and $f_p^0, f_p^1 \in W^{1, \infty}(0, 1)$ with

$$|\rho^0 - \rho_1| + |l^1 - l_0| + \|f_p^0(\cdot) - f_{pe}(\cdot)\|_{W^{1, \infty}} + \|f_p^1(\cdot) - f_{pe}(\cdot)\|_{W^{1, \infty}} \leq \nu,$$

there exist $N \in L^\infty(0, T)$ and $F_m \in L^\infty(0, T)$ satisfying

$$\|\frac{F_m(\cdot)}{\rho_{0V_{eff}N(\cdot)}} - f_{pe}\|_{W^{1, \infty}} + \|N(\cdot)\|_{L^\infty} \leq C_{\rho_1} \cdot \nu,$$

such that the weak solution $(l(t), f_p(t, x))$ to Cauchy problem (2.2)-(2.4) satisfies the final condition (3.9)-(3.10). Here, $C_{\rho_1}$ is a constant depending on $\nu_1$, but independent of $\nu$.

4. Proof of Theorem 3.1

In order to conclude Theorem 3.1, it suffices to prove the following lemma on local well-posedness of Cauchy problem (2.2)-(2.4).

Lemma 4.1: There exist $\epsilon_1 > 0$ and $\delta > 0$ suitably small, such that for any $\epsilon \in (0, \epsilon_1], \rho^0 \in (0, L)$, $f_p^0 \in W^{1, \infty}(0, 1)$, $F_m/N \in W^{1, \infty}(0, T)$ with

$$|\rho^0 - \rho_1| + \|f_p^0(\cdot) - f_{pe}\|_{W^{1, \infty}} + \|\frac{F_m(\cdot)}{\rho_{0V_{eff}N(\cdot)}} - f_{pe}\|_{W^{1, \infty}} + \|N(\cdot)\|_{L^\infty} \leq \epsilon,$$

Cauchy problem (2.2)-(2.4) admits a unique local solution on $[0, \delta]$, which satisfies the following estimates

$$|l(t) - \rho_1| \leq C_{\epsilon_1} \cdot \epsilon, \quad \forall t \in [0, \delta],$$

$$\|f_p(t, \cdot) - f_{pe}\|_{W^{1, \infty}} \leq C_{\epsilon_1} \cdot \epsilon, \quad \forall t \in [0, \delta],$$

where $C_{\epsilon_1}$ is a constant depending on $\epsilon_1$, but independent of $\epsilon$.

Let us first show how to conclude Theorem 3.1 from Lemma 4.1. By Lemma 4.1, we take $\epsilon_2 \in (0, \epsilon_1]$ such that $C_{\epsilon_1} \cdot \epsilon_2 \leq \epsilon_1$. Then for any $\epsilon \in (0, \epsilon_2]$ and any initial-boundary data such that (4.1) holds, Cauchy problem (2.2)-(2.4) admits a unique solution on $[0, \delta]$. Furthermore, one has

$$|l(\delta) - \rho_1| \leq C_{\epsilon_1} \cdot \epsilon \leq \epsilon_1,$$

$$\|f_p(\delta, \cdot) - f_{pe}\|_{W^{1, \infty}} \leq C_{\epsilon_1} \cdot \epsilon \leq \epsilon_1.$$
Let $\varepsilon_1 > 0$ be such that
\[ 0 < \varepsilon_1 < \min\{l_e, L - l_e, f_{pe}, 1 - f_{pe}\}. \quad (4.6) \]

Denote
\[ \|F\|_{W^{1,\infty}} := \sum_{|\alpha| \leq 1} \sup_{0 < \varepsilon_1 < \varepsilon_0 < \varepsilon_1} \|D^\alpha F(x_1, x_2, x_3)\|. \quad (4.7) \]
\[ \Psi(t) := (l(t), f_p(t, 1)), \quad t \in [0, T]. \quad (4.8) \]

For any given $\delta > 0$ small enough (to be chosen later), we define a domain candidate as a closed subset of $C^0([0, \delta])$ with respect to $C^0$ norm:
\[ \Omega_{\delta, \varepsilon_1} := \left\{ \Psi \in C^0([0, \delta])|\Psi(0) = (l^0, f_p^0(1)), \|\Psi(\cdot) - (l, f_{pe})\|_{C^0([0, \delta])} \leq \varepsilon_1 \right\}. \quad (4.9) \]

We denote by $\xi(s; t, x)$, with $(s, \xi(s; t, x)) \in [0, t] \times [0, 1]$, the characteristic curve passing through the point $(t, x) \in [0, \delta] \times [0, 1]$ (see Figure 2), i.e.,
\[ \begin{cases} \frac{d\xi(s; t, x)}{ds} = \alpha_p(\xi(s; t, x), N(s), l(s), f_p(s, 1)), \\ \xi(t; t, x) = x. \end{cases} \quad (4.10) \]

Let us define a map $\bar{\mathcal{G}} := (\bar{\mathcal{G}}_1, \bar{\mathcal{G}}_2)$, where $\bar{\mathcal{G}} : \Omega_{\delta, \varepsilon_1} \rightarrow C^0([0, \delta]), \Psi \mapsto \bar{\mathcal{G}}(\Psi)$ as
\[ \bar{\mathcal{G}}_1(\Psi)(t) := \int_0^t F(l(s), N(s), f_p(s, 1)) ds, \quad (4.11) \]
\[ \bar{\mathcal{G}}_2(\Psi)(t) := f_p^0(\xi(0; t, 1)). \]

Solving the linear ODE (4.10) with $\alpha_p$ given by (2.3), one easily gets for all $\delta$ small and all $0 \leq s \leq t \leq \delta$ that
\[ \xi(s; t, 1) = e^{\int_0^t f((l(N(t), f_p(t, 1))) ds \int_0^t \frac{\zeta(N(t), \tilde{N}(t, l(t), f_p(t, 1))) ds}{l(t)}}. \quad (4.13) \]

It is obvious that $\bar{\mathcal{G}}$ maps into $\Omega_{\delta, \varepsilon_1}$ itself if
\[ 0 < \delta < \min \left\{ \frac{l_e - \varepsilon_1}{\zeta(N_e + \varepsilon_1) \|F\|_{W^{1,\infty}}}, \frac{L - l_e - \varepsilon_1}{\|F\|_{W^{1,\infty}}} \right\}. \quad (4.14) \]

Now we prove that, if $\delta$ is small enough, $\bar{\mathcal{G}}$ is a contraction mapping on $\Omega_{\delta, \varepsilon_1}$ with respect to the $C^0$ norm. Let $\Psi = (l, f_p), \tilde{\Psi} = (\tilde{l}, \tilde{f}_p) \in \Omega_{\delta, \varepsilon_1}$. We denote by $\bar{\xi}(s; t, x)$ the corresponding characteristic curve passing through $(t, x)$:
\[ \begin{cases} \frac{d\bar{\xi}(s; t, x)}{ds} = \alpha_p(\bar{\xi}(s; t, x), N(s), \tilde{l}(s), \tilde{f}_p(s, 1)), \\ \bar{\xi}(t; t, x) = x. \end{cases} \quad (4.15) \]

Similarly as (4.13), one has for all $\delta$ small and all $0 \leq s \leq t \leq \delta$ that
\[ \bar{\xi}(s; t, 1) = e^{\int_0^t f((l(N(t), f_p(t, 1))) ds \int_0^t \frac{\zeta(N(t), \tilde{N}(t, l(t), f_p(t, 1))) ds}{l(t)}}. \quad (4.16) \]

Therefore it holds for all $t \in [0, \delta]$ that
\[ \left| \bar{\mathcal{G}}_1(\Psi)(t) - \bar{\mathcal{G}}_1(\tilde{\Psi})(t) \right| = \left| \int_0^t F(l(s), N(s), \tilde{f}_p(s, 1)) ds - \int_0^t F(l(s), N(s), f_p(s, 1)) ds \right| \leq \delta \|F\|_{W^{1,\infty}} \|\Psi - \tilde{\Psi}\|_{C^0([0, \delta])}. \quad (4.17) \]

On the other hand, it follows from (4.12), (4.13) and (4.16), that for all $t \in [0, \delta]$,
\[ \left| \bar{\mathcal{G}}_2(\Psi)(t) - \bar{\mathcal{G}}_2(\tilde{\Psi})(t) \right| = \left| f_p^0(\xi(0; t, 1)) - f_p^0(\tilde{\xi}(0; t, 1)) \right| \leq \left| f_p^0 \int_0^t \frac{\zeta(N(s), \tilde{N}(s, l(s), f_p(s, 1))) ds}{l(s)} - f_p^0 \int_0^t \frac{\zeta(N(s), \tilde{N}(s, l(s), f_p(s, 1))) ds}{l(s)} \right| \quad (4.17) \]
By (4.7) and the fact that \( \Psi, \tilde{\Psi} \in \Omega_{\delta, \epsilon_1} \) and \( |l(t)| \geq l_0 - \epsilon_1 > 0 \), \( |N(t)| \leq N_0 + \epsilon_1 \), it follows that for all \( t \in [0, \delta] \),

\[
|\tilde{\delta}_2(\tilde{\Psi})(t) - \tilde{\delta}_2(\Psi)(t)| \leq C\delta f_p^0(\cdot) - f_p \|e^{\delta t} - \Psi \|_{C([0,\delta])}, \tag{4.18}
\]

where \( C > 0 \) is a constant independent of \( (\tilde{\Psi}, \Psi) \). Finally, combining (4.17) and (4.18), we can choose \( \delta \) small enough such that

\[
\|\tilde{\delta}(\tilde{\Psi}) - \tilde{\delta}(\Psi)\|_{C([0,\delta])} \leq \frac{1}{2}\|\Psi - \Psi\|_{C([0,\delta])}. \tag{4.19}
\]

Banach fixed point theorem implies the existence of the unique fixed point \((l(\cdot), \delta_0(\cdot, 1))\) of the mapping \( \tilde{\delta} : \Psi = \tilde{\delta}(\Psi) \) in \( \Omega_{\delta, \epsilon_1} \).

Step 2. Construction of a solution by characteristic method.

With the existence of \((l(\cdot), \delta_0(\cdot, 1))\) and \( \delta > 0 \) by Step 1, we can construct a solution to Cauchy problem (2.2)-(2.4). For every \((t, x)\) in \([0, \delta] \times [0, 1] \), we still denote by \( \xi(s; t, x) \), \((s, \xi(s; t, x)) \in [0, t] \times [0, 1] \), the characteristic curve passing through the point \((t, x)\), see (4.10). Since the velocity function \( \alpha_\rho \) is positive, the characteristic \( \xi(s; t, x) \) intersects the \( x \)-axis at point \((0, \beta(t, x))\) with \( \beta(t, x) = \xi(0, t, x) \) if \( 0 \leq \xi(t; 0, 0) \leq x \leq 1 \); the characteristic \( \xi(s; t, x) \) intersects the \( t \)-axis at point \((\tau(t, x), 0)\) with \( \xi(\tau(t, x); t, x) = 0 \) if \( 0 \leq x \leq \xi(t; t, x) \). (see Figure 2). Moreover, we have (see [8, Lemma 3.2 and its proof, Page 90-91] for a more general situation)

\[
\begin{align*}
\frac{\partial \tau(t, x)}{\partial x} &= -\frac{l(\tau(t, x))}{\xi N(\tau(t, x))} e^{\int_{\tau(t, x)}^{t} f_p(\xi(s; t, x), \beta(s; t, x)) \, ds}, \\
\frac{\partial \beta(t, x)}{\partial x} &= e^{\int_{\tau(t, x)}^{t} f_p(\xi(s; t, x), \beta(s; t, x)) \, ds}. \tag{4.20}
\end{align*}
\]

We define \( f_\rho \) by

\[
f_\rho(t, x) = \begin{cases} 
F_{in}(\tau(t, x)), & \text{if } 0 \leq x \leq \xi(t; 0, 0) \leq 1, 0 \leq t \leq \delta, \\
F_p(\beta(t, x)), & \text{if } 0 \leq \xi(t; t, x) \leq x \leq 1, 0 \leq t \leq \delta. 
\end{cases} \tag{4.22}
\]

Then it is easy to check that \((l, f_\rho) \in W^{1,\infty}(0, \delta) \times W^{1,\infty}(0, \delta) \times (0, 1)) \) under the compatibility condition (3.2) and \((l, f_\rho) \) is indeed a solution to Cauchy problem (2.2)-(2.4).
Step 3. Uniqueness of the solution.

Assume that Cauchy problem (2.2)-(2.4) has two solutions \((t, f_1, \bar{t}, \bar{f}_1)\) on \([0, \delta] \times [0, 1]\). It follows that \((\xi(\cdot, t, x), \bar{f}_1(t, 1)) = (\xi(\cdot, \bar{t}, x), \bar{f}_1(\bar{t}, 1))\) since they are both the fixed point of the mapping \(\xi: \Omega \rightarrow \Omega\). This fact implies that the characteristics \(\xi(\cdot, t, x)\) and \(\xi(\cdot, \bar{t}, x)\) coincide with each other and therefore so do the solutions \(f_1\) and \(\bar{f}_1\) by characteristic method.

Step 4. A priori estimate on the local solution.

By definition of \(f_0\) and assumption (4.1), it is clear that for all \(t \in [0, \delta]\),
\[
\|f_0(t, \cdot) - f_{pe}\|_{L^{\infty}} \leq \varepsilon.
\]
(4.23)

Thanks to (2.4), (3.1), (4.23) and assumption (4.1), we get for all \(t \in [0, \delta]\) that
\[
|\xi(t)| = |F(\xi(t), N(t), f_0(t, 1)) - F(l_0, N_0, f_0)|
\leq \|F\|_{W^{1,\infty}}(|\xi(t) - l_0| + |N(t) - N_0| + |f_0(t, 1) - f_{pe}|).
\]

which yields (4.2) from (4.1) and Gronwall’s inequality. On the other hand, from (4.22)
\[
\left\|\frac{\partial f}{\partial x}\right\|_{L^\infty} \leq \left\|\frac{\partial}{\partial x} \left(\frac{F_{\bar{f}_0}(\tau(t, x))}{\rho \nu \alpha(t, x)}\right)\right\|_{L^\infty} + \left\|\frac{\partial}{\partial x} \left(\frac{\partial \phi(\tau(t, x))}{\partial x}\right)\right\|_{L^\infty}
\leq \left\|\frac{F_{\bar{f}_0}(\cdot)}{\rho \nu \alpha(t, x)} - f_{pe}\right\|_{W^{1,\infty}} \left\|\frac{\partial \phi}{\partial x}\right\|_{L^\infty} + \left\|\frac{\partial}{\partial x} \left(\frac{\partial \phi(\cdot)}{\partial x}\right) - f_{pe}\right\|_{\alpha(t, x)} \left\|\frac{\partial \phi}{\partial x}\right\|_{L^\infty}.
\]
(4.24)

Combining (4.20), (4.21), (4.24) and assumption (4.1), we obtain (4.3) which concludes the proof of Lemma 4.1.

5. Proof of Theorem 3.2

Before proving Theorem 3.2, let us recall a classical result on Cauchy problem of the following general linear transport equation
\[
\begin{align*}
\frac{\partial u}{\partial t} + a(t, x)\frac{\partial u}{\partial x} &= b(t, x)u + c(t, x), & (t, x) \in (0, T) \times (0, 1), \\
u(0, x) &= u_0(x), & x \in (0, 1), \\
u_t(t, 0) &= h(t), & t \in (0, T),
\end{align*}
\]
(5.1)

where \(a(t, x) > 0, a, b \in L^\infty((0, T) \times (0, 1))\) and \(c \in L^2((0, T) \times (0, 1))\).

We recall from [17, Section 2.1], the definition of a weak solution to Cauchy problem (5.1).

Definition 5.1 Let \(T > 0, u_0 \in L^2(0, 1), h \in L^2(0, T)\) be given. A weak solution of Cauchy problem (5.1) is a function \(u \in C^0([0, T]; L^2(0, 1))\) such that for every \(\tau \in [0, T]\), every test function \(\phi \in C^1([0, T] \times [0, 1])\) such that \(\phi(\cdot, 1) = 0, \forall t \in [0, T]\), one has
\[
- \int_0^\tau \int_0^1 \left( u[\partial_t \phi + a \partial_x \phi + (a_x + b)\phi] + c \phi \right) dx dt + \int_0^1 u(\tau, \cdot) \phi(\tau, \cdot) dx
- \int_0^1 u_0(0, \cdot) dx - \int_0^\tau h(\cdot, 0) \phi(\cdot, 0) dt = 0.
\]
(5.2)

We have the following lemma

Lemma 5.1 Let \(T > 0, u_0 \in L^2(0, 1)\) and \(h \in L^2(0, T)\) be given. Then, Cauchy problem (5.1) has a unique weak solution \(u \in C^0([0, T]; L^2(0, 1))\) and the following estimate holds:
\[
\|u\|_{C^0([0, T]; L^2(0, 1))} \leq C(\|u_0\|_{L^2(0, 1)} + \|h\|_{L^2(0, T)} + \|c\|_{L^1([0, T] \times (0, 1))}).
\]
(5.3)

where \(C = C(T, \|a\|_{L^\infty(0, T \times (0, 1))}, \|a_x\|_{L^\infty(0, T \times (0, 1))}, \|b\|_{L^\infty(0, T \times (0, 1))})\) is a constant independent of \(u_0, h, c\).

For the proof of Lemma 5.1, one can refer to [8] for classical solution or [28, Theorem 23.1.2, Page 387] for Cauchy problem on \(\mathbb{R}\) without boundary.

Proof of Theorem 3.2. By Theorem 3.1 and Lemma 5.1, it suffices to prove that the systems of \(f_{pe}\) satisfies all the assumptions of Lemma 5.2.

Differentiating (2.2) with respect to \(x\) once and twice give us successively that
\[
\begin{align*}
\partial_t f_{pe}(t, x) + \alpha_p(t, x) \partial_x f_{pe}(t, x) &= -\alpha_p(t, x) f_{pe}(t, x), & \text{in } (0, T) \times (0, 1), \\
f_{pe}(0, x) &= f_{pe0}(x), & \text{in } (0, 1), \\
f_{pe}(t, 0) &= \frac{-l(t)}{\xi(N(t))} \frac{d}{dt} \left( \frac{F_{\bar{f}_0}(t)}{\rho \nu \alpha(t, x)} \right), & \text{in } (0, T),
\end{align*}
\]
(5.4)
and
\[
\begin{aligned}
\partial_t f_{\phi}(t, x) + \alpha_\phi(t, x) \partial_x f_{\phi}(t, x) &= -2\alpha_\phi(t, x) f_{\phi}(t, x), & \text{in } (0, T) \times (0, 1), \\
f_{\phi}(0, x) &= f_{\phi}^0(x), & \text{in } (0, 1), \\
f_{\phi}(t, 0) &= \frac{-1(t)}{\xi(N(t))} \left[ F(l(t), N(t), f_{\phi}(t, 1)) \right], & \text{in } (0, T),
\end{aligned}
\] (5.5)

with
\[
\alpha_\phi(t, x) = \frac{\xi(N(t)) - xF(l(t), N(t), f_{\phi}(t, 1))}{l(t)}, \quad \alpha_{\phi, x}(t, x) = -\frac{F(l(t), N(t), f_{\phi}(t, 1))}{l(t)}. \] (5.6)

From the assumptions that \( f_{\phi}^0 \in H^2(0, 1) \), \( \frac{F_{\phi, t}(\cdot)}{\rho \Veff N(t)} \in H^0(0, T) \) and the compatibility conditions (3.2) and (3.6), one easily concludes Theorem 3.2 by applying Lemma 5.1 to Cauchy problem (5.5).

### 6. Proof of Theorem 3.3

The idea to prove Theorem 3.3 is to construct a solution to Cauchy problem (2.2)-(2.4) which also satisfies the final conditions. The way of such construction is based on the controllability result of the linearized system together with fixed point arguments (see [18]).

For any fixed initial data \((l^0, f_{\phi}^0(x))\) and final data \((l^f, f_{\phi}^f(x))\) close to the equilibrium \((l_e, f_{\phi,e})\), we define a domain as a closed subset of \(C^1([0, T])\) with respect to \(C^1\) norm:

\[
\Omega_e^{l, T} := \left\{ \Phi \in C^1([0, T]) | \Phi(0) = (l^0, f_{\phi}^0(1)), \Phi(T) = (l^f, f_{\phi}^f(1)), \|\Phi(\cdot) - (l_e, f_{\phi,e})\|_{C^1([0, T])} \leq \epsilon_1 \right\},
\]

where the constant \( \epsilon_1 > 0 \) is determined by (4.6). We study the exact controllability for the linearized system deduced from equations (2.2)-(2.4), replacing \((l(t), f_{\phi}(t, 1))\) by \((a(t), b(t))\) in functions \(F\) and \(\alpha_\phi\):

\[
\begin{aligned}
l(t) &= F^{a,b}(t), & \text{in } (0, T), \\
\partial_t f_{\phi}(t, x) + \alpha_\phi^{a,b}(t, x) \partial_x f_{\phi}(t, x) &= 0, & \text{in } (0, T) \times (0, 1), \\
l(0) &= l^0, & f_{\phi}(0, x) &= f_{\phi}^0(x), & \text{in } (0, 1), \\
f_{\phi}(t, 0) &= \frac{F_{\phi, t}(t)}{\rho \Veff N^{a,b}(t)}, & \text{in } (0, T),
\end{aligned}
\] (6.1)

where
\[
F^{a,b}(t) = N^{a,b}(t) g^{a,b}(t),
\]
\[
g^{a,b}(t) = \frac{\xi_K_{\phi}(L - a(t))}{[B_{\phi} + K_{\phi}(L - a(t))][1 - b(t)]} - \frac{\xi b(t)}{1 - b(t)},
\]
\[
\alpha_\phi^{a,b}(t, x) = \frac{\xi N^{a,b}(t) - xF^{a,b}(t)}{a(t)}. \] (6.4)

By assumption \( T > T_e \), it is possible to find controls \( N^{a,b}(t) \) and \( F^{a,b}(t) \) such that the solution of (6.1) satisfies (3.9)-(3.10). For any \( \Phi = (a, b) \in \Omega_{e}^{l, T} \), we choose the control function \( N^{a,b}(t) \) as

\[
N^{a,b}(t) := \frac{l^1 - l^0}{T} - \frac{1}{g^{a,b}(t)}, \quad t \in [0, T],
\] (6.5)

such that
\[
F^{a,b}(t) = \frac{l^1 - l^0}{T}, \quad t \in [0, T],
\] (6.6)

thus \( l(t) \) is a linear function of \( t \):

\[
l(t) = l^0 + \frac{l^1 - l^0}{T} t, \quad t \in [0, T].
\] (6.7)

By assumption (3.12), it follows then

\[
|l(t) - l_e| = |(1 - \frac{T}{T})(l^0 - l_e) + \frac{T}{T}(l^1 - l_e)| \leq 2\nu \leq 2\nu_1.
\] (6.8)
Next let us construct the desired control $F_{in}^{a,b}(t)$. For this purpose, we shall give the expression of $f_0(t, x)$ by characteristic method. We denote by $\xi^{a,b}(s; t, x)$ the characteristic passing through $(t, x) \in [0, T] \times [0, 1]$:
\[
\begin{cases}
\frac{d\xi^{a,b}(s; t, x)}{ds} = \alpha^{a,b}(s, \xi^{a,b}(s; t, x)) = \frac{\zeta N^{a,b}(s) - \xi^{a,b}(s; t, x)F^{a,b}(s)}{a(s)}, \\
\xi^{a,b}(t; t, x) = x.
\end{cases}
\] (6.9)

Suppose that the characteristic $\xi^{a,b}(s; 0, 0)$ intersects the line $x = 1$ at $(t_1^{a,b}, 1)$. Then for every $t \in [0, t_1^{a,b}]$, the characteristic passing through $(t, 1)$ intersects with $x$-axis at $(0, \beta(t))$; for every $t \in (t_1^{a,b}, T]$, the characteristic passing through $(t, 1)$ intersects with $t$-axis at $(T, \tau^{a,b}(t), 0)$. The characteristic passing through $(T, 1)$ intersects with $t$-axis at $(T, 1)$ (see Figure 3).

Hence, we have
\[
\xi^{a,b}(t_1^{a,b}; 0, 0) = 1, \quad \xi^{a,b}(0; 1) = \beta^{a,b}(t), \quad \xi^{a,b}(T; 1) = 0, \quad \xi^{a,b}(t_1^{a,b}; T, 1) = 0.
\]

Figure 3. The characteristics $\xi^{a,b}(s; t, x)$ and $\xi^{a,b}, \beta^{a,b}(t), \tau^{a,b}(t), t_1^{a,b}$.

Solving (6.9) and using (6.4) and (6.6), we obtain
\[
\begin{align*}
&\int_0^{t_1^{a,b}} \frac{\partial \xi^{a,b}}{\partial \tau_{a,b}} \, ds - \int_0^{t_1^{a,b}} \frac{\zeta N^{a,b}(\sigma)}{a(\sigma)} \, ds - \int_0^{t_1^{a,b}} \frac{\xi^{a,b}(\sigma)}{a(\sigma)} \, ds \, ds = 1, \\
&\int_0^{t_1^{a,b}} \frac{\beta^{a,b}(\sigma)}{a(\sigma)} \, ds - \int_0^{t_1^{a,b}} \frac{\zeta N^{a,b}(\sigma)}{a(\sigma)} \, ds = \beta^{a,b}(t), \\
&\int_{\tau_{a,b}(t)}^{t_{a,b}(t)} \frac{\partial \xi^{a,b}}{\partial \tau_{a,b}} \, ds - \int_{\tau_{a,b}(t)}^{t_{a,b}(t)} \frac{\zeta N^{a,b}(\sigma)}{a(\sigma)} \, ds = 1, \\
&\int_0^{t_{a,b}(t)} \frac{\beta^{a,b}(\sigma)}{a(\sigma)} \, ds - \int_0^{t_{a,b}(t)} \frac{\zeta N^{a,b}(\sigma)}{a(\sigma)} \, ds = 1.
\end{align*}
\] (6.10) (6.11) (6.12) (6.13)

We define the control function $F_{in}^{a,b}(t)$ as the following
\[
F_{in}^{a,b}(t) = \begin{cases}
h(t)\alpha V_{er} N^{a,b}(t), & t \in [0, t_1^{a,b}], \\
h(t)\alpha V_{er} N^{a,b}(t), & t \in [t_1^{a,b}, T).
\end{cases}
\] (6.14)
where $h(t)$ is any artificial $W^{1,\infty}$ function satisfying
\[
\| h() - f_{p\alpha} \|_{W^{1,\infty}} \leq \nu_1
\]
and the following compatibility conditions
\[
h(0) = f_0^0(0), \quad h(t_{0^a}^b) = f^1_0(1).
\]

Inspired by (4.22), we define a map $F = (F_1, F_2) : \Omega^{t_0^a, t_1^b} \rightarrow C^0([0, T])$, $\Phi \mapsto F(\Phi)$ as
\[
F_1(\Phi)(t) := \tau(t, s, \Phi), \quad t \in [0, T],
\]
\[
F_2(\Phi)(t) := \begin{cases} 
\sigma^0(\Phi)(t), & t \in [0, t_{0^a}^b], \\
h(\tau^a^b(t)), & t \in (t_{0^a}^b, T]. 
\end{cases}
\]

where $t_{0^a}^b$, $\beta^a^b(t)$ and $\tau^a^b(t)$ are defined by (6.10), (6.11) and (6.12) respectively.

Now we prove that $F$ is a contraction mapping on $\Omega^{t_0^a, t_1^b}$ provided that $\nu_1 > 0$ is small. Obviously, the existence of the fixed point implies the existence of the desired control to the original nonlinear controllability problem.

Let $\nu_1 \leq \nu_{1/2}$. By (3.12), (6.8), (6.15) and (6.18), we define $t_{0^a}^b$, $\beta^a^b(t)$, $\tau^a^b(t)$, $t_{1^a}^b$ as in (6.9) upon replacing $a, b$ by $\bar{a}, \bar{b}$. Correspondingly, we define $t_{0^a}^b$, $\beta^a^b(t)$, $\tau^a^b(t)$, $t_{1^a}^b$ as in (6.10), (6.11), (6.12) and (6.13) upon replacing $a, b$ by $\bar{a}, \bar{b}$.

By definition of $F = (F_1, F_2)$ in (6.17) and (6.18), we get $F_1(\Phi) \equiv F_2(\Phi)$ and thus
\[
\| F(\Phi) - F(\Phi) \|_{C([0, T])} = \| F_1(\Phi) - F_2(\Phi) \|_{C([0, T])} = \sup_{t \in [0, T]} \| F_2(\Phi) - F_2(\Phi) \| (t).
\]

Without loss of generality, we may assume that $t_{0^a}^b > t_{0^a}^b$. Hence, we need to estimate the point-wisely $|F_2(\Phi)(t) - F_2(\Phi)(t)|$ on the time interval $[0, t_{0^b}^a]$, $[t_{0^a}^b, t_{1^b}^a]$, $[t_{0^b}^a, T]$ respectively.

For any given $t \in [0, t_{0^a}^b]$, by (3.12) and (6.18), we have
\[
\| (F_2(\Phi) - F_2(\Phi))(t) \| = \| f_0^0(\beta^a^b(t)) - f_0^0(\beta^a^b(t)) \| \\
\leq \| f_0^0 \|_{L^\infty} \| \beta^a^b(t) - \beta^a^b(t) \| \\
\leq \nu_1 \| \beta^a^b(t) - \beta^a^b(t) \|.
\]

By (6.11), it is easy to get
\[
|\beta^a^b(t) - \beta^a^b(t)| \leq C(\| \bar{a} - a \|_{C^0([0, T])} + \| \bar{b} - b \|_{C^0([0, T])}) \leq C(\| \Phi - \Phi \|_{C^0([0, T])}.
\]

Here and hereafter, we denote by $C$ various constants that are independent of $(\Phi, \Phi)$. Therefore,
\[
\sup_{t \in [0, t_{0^a}^b]} \| (F_2(\Phi) - F_2(\Phi))(t) \| \leq C \nu_1 \| \Phi - \Phi \|_{C^0([0, T])}. \quad (6.19)
\]

For any given $t \in [t_{0^a}^b, T]$, by (6.15) and (6.18), we obtain
\[
|F_2(\Phi) - F_2(\Phi))(t) | = |h(\tau^a^b(t)) - h(\tau^a^b(t)) | \leq \nu_1 |\tau^a^b(t) - \tau^a^b(t)|.
\]

By (6.9), for every $t \in [t_{0^a}^b, T],
\xi^{a^b}(s; t, 1) = e^\int_s^t \frac{\partial}{\partial \sigma} dB(\sigma) d\sigma - \int_s^t e^\int_s^t \frac{\partial}{\partial \sigma} dB(\sigma) d\sigma, \quad s \in [\tau^a^b(t), T].
\]

Therefore,
\[
\sup_{s \in [\tau^a^b(t), T]} |\xi^{a^b}(s; t, 1) - \xi^{a^b}(s; t, 1)| \leq C(\| \bar{a} - a \|_{C^0([0, T])} + \| \bar{b} - b \|_{C^0([0, T])}.
\]

Then, for any $t \in [t_{0^a}^b, T],$ we have
\[
|\tau^a^b(t) - \tau^a^b(t)| \leq \frac{1}{\inf_{a^b} \alpha^a^b} \left| \int_{\tau^a^b(t)}^{\tau^a^b(t)} \alpha^a^b(s; \xi^{a^b}(s; t, 1)) d\sigma \right| \\
= \frac{1}{\inf_{a^b} \alpha^a^b} \left| \int_{\tau^a^b(t)}^{\tau^a^b(t)} \left( \alpha^a^b(s; \xi^{a^b}(s; t, 1)) - \alpha^a^b(s; \xi^{a^b}(s; t, 1)) \right) d\sigma \right| \\
\leq C(\| \bar{a} - a \|_{C^0([0, T])} + \| \bar{b} - b \|_{C^0([0, T])}) \\
\leq C(\| \bar{a} - a \|_{C^0([0, T])} + \| \bar{b} - b \|_{C^0([0, T])}.
\]

(6.20)
where
\[ \inf \alpha_p^{a,b} := \inf_{(t,x) \in [0,T]} \alpha_p^{a,b}(t,x) > 0 \]
is independent of \( \Phi \). Therefore,
\[ \sup_{t \in [t_0^a, t_1^a]} \| (F_2(\tilde{\Phi}) - F_2(\Phi))(t) \| \leq C \nu_1 \| \tilde{\Phi} - \Phi \|_{C^0([0,T])}. \]  
(6.23)

For any given \( t \in [t_0^a, t_0^b] \), by (6.16) and (6.18), we have
\[ |F_2(\tilde{\Phi}) - F_2(\Phi)| = |\int_{t_0}^t (\tilde{\varphi}_2(t) - \varphi_2(t)) \| \leq \| \tilde{\varphi}_2 - \varphi_2 \|_{C^0([0,T])} \leq \nu_1 (|\tilde{\varphi}_2(t)| + |\varphi_2(t)|). \]
(6.24)

Note that for any \( t \in [t_0^a, t_0^b] \),
\[ \xi(t, \tilde{\Phi}) = e^{\int_{t_0}^t \frac{\nu_1}{C_\nu} ds} \int_s^t \frac{\nu_1}{C_\nu} ds \cdot \int_s^t \frac{\nu_1}{C_\nu} ds \, ds, \quad s \in [0, t]. \]

Then, using \( \xi(t, \tilde{\Phi}) = 1 \), it follows that
\[ |\tilde{\varphi}_2(t)| = |\xi(t, \tilde{\Phi}) - \xi(t, \Phi)| \leq C |t - t_0^a| \leq C |t_0^b - t_0^a|. \]
(6.25)

On the other hand, by (6.12) and note that \( \tau_2(t_0^a) = 0 \), we can prove that for any \( t \in [t_0^a, t_0^b] \),
\[ |\tau(t)| = |\tau_2(t) - \tau_2(t_0^a)| \leq C |t - t_0^a| \leq C |t_0^b - t_0^a|. \]
(6.26)

By definition of \( t_0^a \) and \( \tau_2(t_0^a) = 0 \), similarly to the derivation of (6.21) and (6.22), we get
\[ |t_0^a - t_0^b| \leq C (\| \tilde{a} - a \|_{C^0([0,T])} + \| \tilde{b} - b \|_{C^0([0,T])}) \leq C (\| \tilde{\Phi} - \Phi \|_{C^0([0,T])}). \]
(6.27)

Then it follows from (6.24), (6.25), (6.26) and (6.27), that
\[ \sup_{t \in [t_0^a, t_0^b]} \| F_2(\Phi) - F_2(\tilde{\Phi}) \| \leq \nu_1 \| \tilde{\Phi} - \Phi \|_{C^0([0,T])}. \]
(6.28)

Combining (6.19), (6.23) and (6.28), we can choose \( \nu_1 \) small enough such that
\[ \| F_2(\Phi) - F_2(\Phi) \|_{C^0([0,T])} \leq \frac{1}{2} \| \tilde{\Phi} - \Phi \|_{C^0([0,T])}. \]
(6.29)

Then the contraction mapping theorem implies that \( F \) has a unique fixed point \( (l(t), f(t), 1) \) in \( \Omega^{a_1}. \). Therefore we find a solution \( (l, f) \) to Cauchy problem (2.2)-(2.4) which also satisfies the final conditions (3.9)-(3.10). Moreover, because of the uniqueness of solution, the desired control function \( N(t) \) and \( F_m(t) \) can be chosen by substituting the fixed point \( (l(t), f(t), 1) \) into (6.5) and (6.14) respectively. This concludes the proof of Theorem 3.3.

Acknowledgement

The authors would like to thank Professor Jean-Michel Coron, Professor Miroslav Krstic and Professor Bernard Marcus for their helpful comments and constant support. The authors are thankful to the support of the ERC advanced grant 266907 (COPD) and the hospitality of the Labatoire Jacques-Louis Lions of Universit"e Pierre et Marie Curie.

Mamadou Diagne has been supported by the French National Research Agency sponsored project ANR-11-BS03-0002 HAMECMOPSYS. As a Ph.D. candidate at LAGEP (Laboratoire d'Automatique et du Génie des Procédés) of the university Claude Bernard Lyon I and is currently supported by the CCSD (Cymer Center for Control Systems and Dynamics) at the university of California San Diego as a postdoctoral fellow. Peipei Shang was partially supported by the National Science Foundation of China (No. 11301387) and by the Specialized Research Fund for the Doctoral Program of Higher Education (No. 20130072120008). Zhiqiang Wang was partially supported by the National Science Foundation of China (No. 11271082) and by the State Key Program of National Natural Science Foundation of China (No. 11331004).
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