A data-driven Koopman framework for programming the steady state of biological systems with parametric uncertainty

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Abstract—A central challenge in industrial microbiological applications is engineering of genetic networks to achieve a target yield or steady state concentration. This is a particularly challenging problem when optimizing under novel reaction conditions where canonical models of metabolic pathways are no longer valid. In these scenarios, the biological systems are entirely represented by data for which no direct methods exist to optimize the reaction output. We introduce a data-driven model discovery approach that leverages Koopman operator theory and time-series expression measurements to discover models that predict untested reaction outcomes. These Koopman models allow us to design control strategies to achieve target steady state concentrations for products of interest. We develop a model of the tryptophan pathway and illustrate this steady state programming framework on this pathway. Tryptophan is an essential amino acid and is a valuable product in industrial microbiology. We show how Koopman operator theory can thus be used program the steady state of a genetic network in a data-driven context.

I. INTRODUCTION

One of the aims of the field of synthetic biology is the programming of cells to exhibit specified functionality by engineering the cells to perform a series of logic computations i.e. a genetic circuit. The scale of interest is wide ranging from single-celled organisms such as bacteria to populations of cells and even organs [1]. Genetic circuits have recently been designed and built to tackle problems such as disease diagnosis and treatment [2], [3], detect and report toxic compounds in the environment [4], and conversion of biomass into biofuels [5].

Many industrial microbiological processes are concerned with achieving a target steady state yield or concentration [6]. As the field of synthetic biology continues to grow, genetic circuits are being designed to make these microbiological processes more efficient and productive. The role of uncertainty in biological systems is enormous and managing uncertainty is a pivotal ability in any engineered system [1]. Currently, microbiological processes are optimized using model-based or hypothesis-driven approaches which require iterative experimentation. With fine resolution time-series ‘omics measurements being expensive and laborious to collect, it may not be economically or physically feasible to collect new data for perturbations in the system parameters. How can we leverage novel data-driven methods and learning algorithms to program cells and predict uncertain reaction outcomes?

A genetic program is formed when multiple genetic circuits are coupled with sensors and actuators [7]. The design of genetic programs is impeded by lack of robust genetic circuits that can be readily connected while functionally operating in a wide range of environmental conditions. Modeling may be helpful to identify parameter regimes and network topologies for which a specific function exists and is robust. However, models are often hypothesis driven, in that they rely on hypotheses or explicit knowledge of key biochemical processes. For example, biophysical models of compositional or host context reveal a link between circuit stability and genetic program design [8]–[11]. Often these processes are difficult to observe or validate experimentally. Robust biological computing devices which can operate in varying environmental conditions have the potential to solve challenging problems for energy consumption, large-scale computing, and biological threat detection.

The above issues motivate the need for purely data-driven algorithms to accelerate the advancement of design of genetic circuits and genetic programs as well as to increase the productivity or efficiency of microbiological processes. The question we address in this paper is can the steady state concentration of an industrial microbiological process be optimized using data alone? Specifically, how do we utilize time-series measurements of a biological system to design optimal control inputs to achieve a target steady state output? This form of methodology can be especially useful for cases where system parameters are unknown or uncertain.

Spectral methods have been increasingly popular in data-driven analysis of nonlinear dynamical systems. Koopman operator theory has the potential to provide strategies for optimal control of biological systems and researchers working in this space have shown that it is possible to identify and learn the fundamental modes of a nonlinear dynamical system from data [12], [13]. The Koopman operator is an infinite-dimensional linear operator that represents nonlinear dynamics as a dynamically equivalent linear system. The development of dynamic mode decomposition (DMD) [14] has led to rapid growth in the use of Koopman spectral analysis of nonlinear dynamical systems in areas such as system identification [15], design of experiments [16], prediction and control [17]–[19], and sensor placement [20]. It was shown in [12] that the approximate Koopman operator obtained from DMD is closely related to a spectral analysis of the linear but infinite-dimensional Koopman operator. More recently, learning higher dimensional Koopman operators from data has
become computationally tractable, largely due to advances in integrating machine learning and deep learning to generate efficient representations of observable bases [21]–[24].

In this paper we show that Koopman models facilitate the steady state programming of nonlinear systems with uncertain parameters through a convex optimization formulation made possible due to the linearity of the Koopman operator and the choice of basis functions. We first introduce Koopman operator theory in Section II. We then briefly show how to identify the Koopman model directly from data. In Section III we introduce our novel method for programming the steady state of a nonlinear system and perform uncertainty analysis. Finally, in Section IV we develop a model of the Tryptophan (Trp) Pathway and illustrate our steady state programming of nonlinear systems with commercial value in industrial microbiology [25].

II. KOOPMAN OPERATOR FORMULATION

Since our framework makes extensive use of Koopman operators, we first briefly introduce the theory. We focus on discrete-time dynamical systems to be consistent with the nature of data obtained from measurements.

Consider a discrete-time open-loop nonlinear system of the form

\[ x_{t+1} = f(x_t) \]
\[ y_t = h(x_t) \]

with \( f: \mathbb{R}^n \rightarrow \mathbb{R}^n \) is analytic and \( h \in \mathbb{R}^p \). Then we know that there exists a countably infinite or finite dimensional Koopman operator [26] of \( f \), \( K: \mathcal{F} \rightarrow \mathcal{F} \) defined by

\[ K\psi(x_t) = \psi \circ f(x_t) \tag{2} \]

The function \( \psi: \mathbb{R}^n \rightarrow \mathbb{R} \) is called an observable of the system and the set of all observables \( \psi \equiv \{ \psi_i \}_{i=1}^\infty \) on a dynamical system form an infinite-dimensional vector space. Here \( \mathcal{F} \) is the space of observable functions that is invariant under the action of \( K \).

The most important property of the Koopman operator that we utilize is the linearity of the operator, in other words,

\[ K(\alpha \psi_1 + \beta \psi_2) = \alpha K\psi_1 + \beta K\psi_2 \]

which follows from (2) since the composition operator is linear. Thus, we have that the Koopman operator of \( f \) is a linear operator that acts on observable functions \( \psi(x_k) \) and propagates them forward in time. If we assume that \( y_t = h(x_k) \in \mathcal{F} \) and that \( h \in \text{span}\{\psi_1, \psi_2, \ldots\} \), the state-output equations may be expressed as

\[ \psi(x_{t+1}) = K\psi(x_t) \]
\[ y_t = h(x_t) = W_h \psi(x_t) \tag{3} \]

where the output matrix \( W_h \in \mathbb{R}^{p \times n_L} \), \( n_L \leq \infty \).

A. Finite dimensional approximations

Using data-driven approaches, commonly DMD [14] or extended DMD [27], an approximate Koopman operator, \( K' \), can be identified from time-series data of a dynamical system. The approach taken to compute an approximation to the Koopman operator in both DMD and extended DMD is to solve the following optimization problem

\[ \min_K \| \Psi(X_f) - K\Psi(X_p) \| \tag{4} \]

where \( X_f \equiv [x_1 \ldots x_{N-1}] \), \( X_p \equiv [x_2 \ldots x_N] \) are snapshot matrices formed from the measurements of the discrete-time dynamical system \( f \) and \( \Psi(X) \equiv [\psi_1(x) \ldots \psi_p(x)] \) is the mapping from physical space into the space of observables. DMD is a special case of extended DMD where \( \psi(x) = x \).

B. Input-Koopman operator for systems with control

Koopman operator theory has been extended to controllable systems [17], [28], [29]. In [30], a method for learning input-Koopman operators from data by integrating deep learning and dynamic mode decomposition (deepDMD) [21] was introduced.

Consider the following discrete-time nonlinear system with analytic vector field \( f(x_t, w_t) \) and control input \( w_t \in \mathbb{R}^m \),

\[ x_{t+1} = f(x_t, w_t) \]
\[ y_t = h(x_t) \tag{5} \]

It was shown in [28], [29] that an input-Koopman operator can be defined that satisfies

\[ \psi(x_{t+1}, w_{t+1}) = K\psi(x_t, w_t) = \psi(f(x_t, w_t)) \tag{6} \]

For an exogenous memoryless input, [30] demonstrated that \( \psi(x, w) \) can be modified by splitting \( \psi(x, w) \) into components \( \psi_x(x) \) and \( \psi_u(x, u) \), where \( \psi_x(x) \) is a stacked vector valued observable of all scalar valued observable functions from \( \psi(x, w) \) that do not depend on \( w \), and \( \psi_u(x, u) \) is a stacked vector valued observable of all remaining terms. This results in the decomposed representation

\[ \psi_x(x_{t+1}) = K_x \psi_x(x_t) + K_u \psi_u(x_t, u_t) \]
\[ y = W_{h\psi}(x_t, u_t) \tag{7} \]

Here \( u_t = u(x_t, w_t) \) is a vector function consisting of univariate terms of \( u_t \) and multivariate polynomial terms consisting of \( x_t \) and \( w_t \). This is a representation of the nonlinear system dynamics that is linear in the lifted state observable \( \psi_x(x) \) and the lifted input-state mixture observable \( \psi_u(u) \).

III. THE STEADY STATE OF NONLINEAR SYSTEMS CAN BE PROGRAMMED USING CONVEX OPTIMIZATION

Consider the case where the system [5] is a biological network, sampled at uniform timesteps, that produces one or several products of interest. These products can be amino acids, proteins, waste byproducts, etc. The rate of production of these products of interest are controlled by the inputs of the system and canonical models may have been identified through rigorous and laborious experimental probing. Now assume that the system is operating in uncertain conditions such that the process of interest is impacted and the optimal input is no longer known. We seek to program the steady
state of products of interest using convex optimization, made possible through data-driven Koopman models. The nonlinear system (5) can be represented as (7) with linear dynamics through the proper lifting of the states and inputs. From measurements of the system, we use DMD to identify the Koopman operator and input-Koopman operator that models the system linearly.

Let’s consider the case where we seek to maximize the steady state production of the $n^{th}$ state of the lifted system (note that if using DMD, the $n^{th}$ state is the same as the $n^{th}$ state). At steady state $\psi_x(x_{k+1}) = \psi_x(x_k)$, and so the Koopman system becomes

$$\psi_x(x_{eq}) = (I - K_x)^{-1}K_u\psi_x(u_{eq})$$

(8)

where the subscript ‘eq’ denotes the equilibrium or steady state values of the states and inputs. We can define a projection matrix, $P_x \in \mathbb{R}^{1 \times n_L}$ as

$$P_x = \hat{e}_{n_L}^T$$

where $\hat{e}_{n_L}$ is the unit column vector in the $n^{th}$ direction so that $P_x$ projects the states $\psi_x(x_{eq})$ onto the dimension which we wish to optimize. The optimization problem which we seek to solve is then

$$\min_{u^*} \sum_t -P_x(I - K_x)^{-1}K_u\psi_x(u^*)$$

s.t. $0 \leq u^* \leq u_{max}$

(9)

where the lower and upper bound constraints on $u^*$ arise from biophysical limitations. The argument of the optimization problem (9) is a convex function and can be solved using standard convex optimization routines. The convexity is a consequence of Koopman operators being linear operators and the choice of observable basis to be linear. Had we attempted to determine the optimal $u^*$ from the original system or from a change of coordinates obtained from deepDMD, it is highly possible we would face the issue of the dynamics either being nonlinear or the steady state equation likely being nonconvex.

The scenario we pose of maximizing a single state in the system is an illustrative example and the framework can be applied in varying ways. For example, in biological systems it may be more useful to think about maximizing some product while minimizing another. The product to be maximized may be some waste product from an intermediate reaction in a metabolic pathway. One may also think about maximizing or minimizing multiple states simultaneously.

A. Programming the steady state of a perturbed system using an unperturbed model

It is often not economically or physically feasible to take time-series measurements of biological systems operating in novel conditions. In these cases, it may seem attractive to utilize unrefined models to program the steady state of the system. We would like to know what the error in this operation looks like.

The general steady state programming problem we want to solve is

$$\min_{u^*} \left[ \psi_x(u^*) = \sum_t -(I - K_x)^{-1}K_u\psi_x(u^*) \right]$$

s.t. $0 \leq u^* \leq u_{max}$

where we are dropping any projection matrices as it is not necessary for this analysis. $K_x$ and $K_u$ are state and input Koopman operators identified from the data $\psi_x$ and $\psi_u$. For a perturbed system, the steady state programming formulation is written as

$$\min_{\tilde{u}^*} \left[ \tilde{\psi}_x(\tilde{u}^*) = \sum_t -(I - \tilde{K}_{x})^{-1}\tilde{K}_u\tilde{\psi}_x(\tilde{u}^*) \right]$$

s.t. $0 \leq \tilde{u}^* \leq \tilde{u}_{max}$

(10)

We define the error as

$$e = \|\tilde{\psi}_x(\tilde{u}^*) - \psi_x(u^*)\|$$

$$= \|\sum_t (I - \tilde{K}_x)^{-1}\tilde{K}_u\tilde{\psi}_x(\tilde{u}^*) - (I - K_x)^{-1}K_u\psi_x(u^*)\|$$

We will define $\Delta_x = \tilde{K}_x - K_x$ so that we have

$$e = \|((I + \Delta_x - \tilde{K}_x)^{-1}K_u\tilde{\psi}_x(\tilde{u}^*) - (I - \tilde{K}_x)^{-1}\tilde{K}_u\tilde{\psi}_x(\tilde{u}^*))\|$$

by the Woodbury matrix identity we have

$$e = \\|((I - \tilde{K}_x)^{-1}$$

$$- (I - K_x)^{-1}(\Delta_x + (I - \tilde{K}_x)^{-1})^{-1}(I - \tilde{K}_x)^{-1}$$

$$\times K_u\tilde{\psi}_x(\tilde{u}^*) - (I - \tilde{K}_x)^{-1}\tilde{K}_u\tilde{\psi}_x(\tilde{u}^*))\|$$

$$- (I - K_x)^{-1}(\Delta_x + (I - K_x)^{-1})^{-1}(I - K_x)^{-1}$$

$$\times K_u\psi_x(u^*) + (I - \tilde{K}_x)^{-1}(K_u\psi_u(u^*) - K_u\tilde{\psi}_x(\tilde{u}^*))\|$$

$$\leq (I - \tilde{K}_x)^{-1}(\Delta_x + (I - K_x)^{-1})^{-1}(I - \tilde{K}_x)^{-1}$$

$$\times K_u\tilde{\psi}_x(\tilde{u}^*) + \| ((I - \tilde{K}_x)^{-1}(K_u\psi_u(u^*) - K_u\tilde{\psi}_x(\tilde{u}^*))\|$$

This shows that the upper bound on the error in the steady state solution depends inversely on the difference between unperturbed state Koopman operator and the perturbed state Koopman operator. Similarly, the lower bound on the error is found as

$$e \geq \|((I - \tilde{K}_x)^{-1}(\Delta_x + (I - K_x)^{-1})^{-1}(I - K_x)^{-1})$$

$$\times K_u\psi_u(u^*) - (I - \tilde{K}_x)^{-1}(K_u\psi_u(u^*) - K_u\tilde{\psi}_x(\tilde{u}^*))\|$$

which is the best case scenario for the error if one was unable to collect new time-series measurements after environmental conditions of the biological system have changed.

We note that for the special case where $\tilde{K}_u = K_u$ and
ψ(ũ∗) = ψ(ũ) we have
\[
e = || - (I - \bar{K}_x)^{-1}(\Delta e^{-1} + (I - \bar{K}_x)^{-1})^{-1}(I - \bar{K}_x)^{-1} \times \bar{K}_u \psi(ũ^*) ||
\]
which is quadratic in \((I - \bar{K}_x)^{-1}\). As this term grows large, the error progressively reduces.

IV. SIMULATION STUDY: THE TRP PATHWAY

Tryptophan (Trp) is an amino acid essential for survival [25]. Escherichia coli (E. coli) cells can synthesize their own Trp if it is not provided in their environment. There are multiple mechanisms of regulation present in the Trp pathway and it has been shown theoretically that the combinations of these mechanisms can lead to instability or nonlinear dynamical behavior [31]. There is no experimental evidence of the instability of the pathway, however instability is one of the leading hypothesis for inconsistent or inaccurate yield predictions in industrial process models [31]. It is also hypothesized that limitations in the yield of Trp may be due to unidentified regulatory architectures in the pathway [31]. Although the model that we derived of the Trp pathway does not incorporate all the known or unknown regulatory mechanisms that exist in the pathway, our steady state programming framework is still valid. This is due to the purely data-driven model discovery approach.

We seek to program the rate of production of Trp using the data-driven Koopman steady state programming method introduced in III. Specifically, we seek to maximize the production of Trp by controlling the trp operon. We model the Trp pathway, in E. coli cells, using Michaelis-Menten enzyme kinetics and control inputs. The reaction network is given in Figure 1. The biosynthesis pathway converts chorismate, a precursor for aromatic amino acids, into Trp through a series of six reactions. Our model incorporates the starting, intermediate, and final products (colored in red in Figure 1) as well as the enzymes produced by the trp operon genes (trpA, trpB, trpC, trpD, trpE, and trpR colored in green) and most of the byproducts (colored in blue), as states in the dynamical system. Lastly, dCas9 bound to gRNA act as control inputs (colored in purple) to the dynamical system. The full kinetic model is shown in Figure 3 and was derived from the chemical reaction network provided by the EcoCyc database [https://biocyc.org/ECOLI/NEW-IMAGE?type=PATHWAY&object=TRPSYN-PWY&show-citations=NI].

For the purposes of modeling biological control of Trp production (to be experimentally implemented in future work), we model a CRISPRi gene knockdown system. The gRNA binds to dCas9 to form the gRNA:dCas9 molecule which can then bind to the enzymes produced by the genes in the trp operon. The gRNA:dCas9 complex is considered as the control input. Once the enzymes have been bound with the complex, they can no longer act as catalysts for the reactions in the Trp pathway. We model this mechanism of control as a decrease in the enzyme production with increasing concentration of gRNA:dCas9. Figure 2 shows the dynamics of the normalized concentration of system over a long time scale such that all the states reach a steady state. Many of the states approach zero concentration and a few states approach a concentration of one, including Trp.

We simulate uncertain conditions by randomly selecting the reaction rates, \(k_i\)'s, in the reaction rate model from a Gaussian distribution. The Koopman operator and input-Koopman operator are identified from the simulated data using DMD. We define the projection operator in (9) as

\[
P_x = \hat{e}_x^T
\]

since the Trp state is the tenth dimension in the model. We solve the minimization problem (9) using Operator Splitting Quadratic Programming Solver (OSQP) developed in [33].

The optimal \(u^*\) which maximizes the production of Trp is
found to be
\[ u^* = \begin{bmatrix} u_{max} & 0 & u_{max} & 0 & u_{max} \end{bmatrix}^T \]
This corresponds to repressing enzymes 1, 3 and 5 or trpE, trpC, and trpB with maximal control while not repressing the other genes in the operon at all.

While using the control input as the dynamics of gRNA:dCas9, we achieved a steady state concentration of Trp to be 0.128 \( \mu M \). The optimal control sequence \( u^* \) increases the steady state concentration of Trp to be 31.5 \( \mu M \). This amounts to a 246 fold increase in the steady state production of Trp. It is important to note that the derived model of the Trp pathway is parameterized with random reaction rates, degradation rates, and activation rates. We therefore cannot comment on the biological accuracy of the steady state values, however we can show that the method allows us to increase the steady state production by a significant amount.

To understand how a perturbation in the parameters of the system would disrupt the effectiveness of Koopman models, we did the following benchmark experiment. We simulated the system with what we will call the original conditions i.e. biochemically accurate reaction rates, \( \mathcal{N}(0.3, 0.01) \), as well as with perturbed reaction rates, \( \mathcal{N}(1.0, 0.01) \). The corresponding Koopman models are written as
\[
\psi_x(x_{t+1}) = K_x \psi_x(x_t) + K_u \psi_u(u_t)
\]
\[
\hat{\psi}_x(\hat{x}_{t+1}) = \hat{K}_x \hat{\psi}_x(\hat{x}_t) + \hat{K}_u \hat{\psi}_u(u_t).
\]
We would like to know whether the original Koopman model \( K_x \) and \( K_u \) can be used to determine the optimal control strategy for maximizing the production of Trp at steady state. Therefore, we solve the steady state optimization problem i.e.
\[
\begin{align*}
\min_{u^*} & \sum P_x(I - K_x)^{-1} K_u \hat{\psi}_u(u^*) \\
\text{s.t.} & \quad 0 \leq u^* \leq u_{max}.
\end{align*}
\]
From the original Koopman model on the original data, we identified the optimal concentration of Trp at steady state to be 31.03 \( \mu M \). From the perturbed Koopman model on the perturbed data, we identified the optimal concentration of Trp at steady state to be 65.99 \( \mu M \). Finally, from the original Koopman model on the perturbed data, we identified the optimal concentration of Trp at steady state to be 34.82 \( \mu M \), implying that attempting to use the Koopman model identified for a different set of system parameters can result in a suboptimal control strategy.

The analysis done here on the Trp pathway demonstrates that the steady state programming of cells can be made possible through the use of Koopman models. Using this framework, one can think about designing a series of logic computations that are performed at steady state by a cell or a population of cells.

V. CONCLUSION

In this work we introduced a data-driven method, leveraging Koopman operator theory, to program the steady state of nonlinear dynamical systems. The algorithm formulates the steady state programming problem as a convex optimization problem due to the linearity of Koopman operators and the observable basis chosen. To illustrate the algorithm on a high dimensional dataset, we developed a model of the Trp utilization pathway, an essential amino acid pathway, and demonstrated the capability by maximizing the production of Trp based on optimal control inputs. This method can be used for designing optimal control strategies directly from data which is specially useful in cases where complex model parameters are difficult to identify. Our approach is a step towards programming of cells, a critical component to the success of synthetic biology in solving challenging problems.

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