Sensor trajectory estimation by triangulating LIDAR returns

Charles F. F. Karney*

SRI International,
201 Washington Rd,
Princeton, NJ 08543-6449,
USA

The paper describes how to recover the sensor trajectory for an aerial lidar collect using the data for multiple-return lidar pulses. This work extends the work of Gatziolis and McGaughey (2019) by performing a least-squares fit for multiple pulses simultaneously with a spline fit for the sensor trajectory. The paper also shows how to incorporate scan-angle data following the method of Hartzell (2020).

1. INTRODUCTION

Lidar data sets, typically provided in the form of "`las`" files (ASPRS, 2019), often do not contain information on the location of the sensor platform as a function of time. For datasets which include the GPS time for each return, it is possible to identify the multiple returns originating from a given lidar pulse and thus determine its direction. By combining the data for multiple pulses emitted in a short time, it is possible to "triangulate" for the position of the sensor. This idea was proposed by Gatziolis and McGaughey (2019) who showed how to obtain a full sensor trajectory.

Here we reformulate this problem with a view to obtaining a more accurate trajectory. The trajectory is modeled as a cubic spline fit. Such a fit independently fits the x, y, and z components of $\mathbf{R}(t)$. The *unknowns* in this model are the parameters specifying the cubic splines. The *knowns* are the positions (and times) of the multiple returns from individual lidar pulses. The optimization problem is then to adjust parameters specifying the trajectory to minimize the RMS error between the returns and a ray drawn from the sensor position to the mean position of the return. This is a rather complex nonlinear optimization problem. Fortunately, it is one that is easily handled by the software library Ceres Solver (2018).

The errors in this problem are primarily quantization errors in the positions of the returns. In the normal post-processing of a lidar collect, the positions of the returns are computed from IMU data from the sensor platform, the scan angle of the lidar sweep, and timing information for the returns. If these positions were recorded accurately, it would be possible to determine a precise ray for a given pulse (with 2 or more returns) and sensor position could be accurately triangulated from the rays nearly simultaneous pulses. However, the default precision of the return positions in a `las` file is $0.01\,\mathrm{m}$. If the two returns are $2\,\mathrm{m}$ apart and the sensor is flying $1000\,\mathrm{m}$ above the ground then, then the possible rays consistent with the return data span $5\,\mathrm{m}$ at the altitude of the sensor. The uncertainty

in the triangulation with such rays is increased because of ill conditioned triangles (leading chiefly to a large uncertainty in the height of the sensor).

2. FIXED SENSOR

In order to introduce the concepts, let us start first by assuming that the sensor is fixed and emits n multi-return pulses, indexed by $i \in [1, n]$. We shall only consider the first and last returns (ignoring any intermediate returns). We denote positions of the returns by

$$\mathbf{r}_i^\pm = \mathbf{r}_i \pm d_i \mathbf{p}_i, \tag{1}$$

where superscripts $\pm$ denote first and last returns, $\mathbf{p}_i$ is the unit vector in the direction from the last to the first return, and d_i is half the distance between the returns.

A. The reverse method

The goal now is to determine the position $\mathbf{R}$ consistent with these returns. One approach is to consider the n rays

$$\mathbf{r}_i + s_i \mathbf{p}_i \tag{2}$$

where the distance along the ray is parameterized by s_i and to solve the $3n$ equations

$$\mathbf{r}_i + s_i \mathbf{p}_i - \mathbf{R} = \mathbf{h}_i \approx 0 \tag{3}$$

for the $3 + n$ unknowns $\mathbf{R}$ and s_i. This is an overdetermined system for 2 or more pulses and then we can use standard linear algebra methods to find the best solution which minimizes $\sum_i h_i^2$, the so-called least-squares solution.

This is the approach used by Gatziolis and McGaughey (2019) who consider just pairs of pulses $n = 2$. The problem is that the resulting solution for $\mathbf{R}$ is typically not the optimal solution for the trajectory problem because the system of equations does not involve the return separation d_i so pulses with closely separated returns and treated equally to

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* charles.karney@sri.com

pulses with widely separated returns. In reality, the latter returns should be weighted more heavily.

Gatziolis and McGaughey address this problem by selecting an *optimal* pair of returns based on the return separation and the angle between the pulses. This is based on a weighting function which needs to be separately estimated.

We use a simplified version of this linear least-squares problem to find an initial trajectory for our method described below. We use the z component of the residue equations to eliminate s_i from the system. The equations are then

$$\left(r_{i,x} - \frac{p_{i,x}}{p_{i,z}}r_{i,z}\right) - \left(R_x - \frac{p_{i,x}}{p_{i,z}}R_z\right) = h_{i,x} \approx 0,$$

$$\left(r_{i,y} - \frac{p_{i,y}}{p_{i,z}}r_{i,z}\right) - \left(R_y - \frac{p_{i,y}}{p_{i,z}}R_z\right) = h_{i,y} \approx 0.$$

We can write this as the explicit overdetermined linear system

$$\mathsf{A} \cdot \mathbf{R} - \mathbf{B} = \mathbf{H} \approx 0, \tag{4}$$

where A is the $2n \times 3$ matrix

$$\mathsf{A} = \begin{pmatrix} \vdots & \vdots & \vdots \\ 1 & 0 & -p_{i,x}/p_{i,z} \\ 0 & 1 & -p_{i,y}/p_{i,z} \\ \vdots & \vdots & \vdots \end{pmatrix} \tag{5}$$

(two rows for each of the n pulses), $\mathbf{B}$ is the $2n$ column vector

$$\mathbf{B} = \begin{pmatrix} \vdots \\ r_{i,x} - (p_{i,x}/p_{i,z})r_{i,z} \\ r_{i,y} - (p_{i,y}/p_{i,z})r_{i,z} \\ \vdots \end{pmatrix}, \tag{6}$$

and $\mathbf{R}$ is the unknown sensor position to solve for.

This reduces the problem to $2n$ equations for 3 unknowns. In this formulation we determine the horizontal plane $z = R_z$ in which the rays are most tightly clustered. This is *not* the same problem as before; however with typical aerial lidar collects the two solutions for $\mathbf{R}$ will be reasonably close. The difference is immaterial in our application since this solution for $\mathbf{R}$ is only used as an initial estimate.

It's also possible to extend this method to allow the position of the sensor to be a function of time, for example,

$$\mathbf{R} = \mathbf{R}_0 + \mathbf{V}t.$$

The least-squares problem is now

$$\mathsf{A} \cdot \begin{pmatrix} \mathbf{R}_0 \\ \mathbf{V} \end{pmatrix} - \mathbf{B} = \mathbf{H} \approx 0, \tag{7}$$

where A is now the $2n \times 6$ matrix

$$\mathsf{A} = \begin{pmatrix} \vdots & \vdots & \vdots & \vdots & \vdots & \vdots \\ 1 & 0 & -p_{i,x}/p_{i,z} & t_i & 0 & -t_ip_{i,x}/p_{i,z} \\ 0 & 1 & -p_{i,y}/p_{i,z} & 0 & t_i & -t_ip_{i,y}/p_{i,z} \\ \vdots & \vdots & \vdots & \vdots & \vdots & \vdots \end{pmatrix} \tag{8}$$

(and $\mathbf{B}$ is unchanged). Here t_i is the time of the ith pulse.

Because pulses with widely separated returns constrain the possible position of the sensor more strongly than those with nearby returns, we multiply the rows in A and $\mathbf{B}$ associated with the ith pulse by d_i, thereby appropriately *weighting* the least-squares problem.

As a practical matter, Eq. (7) can be solved to give $\mathbf{R}_0$ and $\mathbf{V}$ by a suitable linear algebra package. For example, its solution can be obtained using Eigen (2018) with, for example,

```
RV = A.jacobiSvd().solve(B);
```

B. The forward method

We term the above method of estimating $\mathbf{R}$ described above the *reverse* method, because the rays are traced back from the returns to the sensor. An alternative is to trace the rays from $\mathbf{R}$ to the midpoint of returns, the *forward* method. Thus each ray is given by

$$\mathbf{r}_i + s_i\hat{\mathbf{q}}_i, \tag{9}$$

where $\mathbf{q}_i = \mathbf{R} - \mathbf{r}_i$. The rays now all intersect at $\mathbf{R}$ and the optimization problem is to find $\mathbf{R}$ and s_i such that Eq. (9) is approximately equal to the position of the first return, $\mathbf{r}^+$, from Eq. (1), i.e.,

$$d_i\mathbf{p}_i - s_i\hat{\mathbf{q}}_i = \mathbf{e}_i \approx 0. \tag{10}$$

Again we have $3n$ equations with $3 + n$ unknowns. However the quantities that are being minimized, $\mathbf{e}_i$, is the distance between the ray and the given positions of the returns. This method now naturally gives more weight to widely separated returns and the solution will similarly be more heavily governed by rays forming well-conditioned triangles.

Incidentally, the ray from $\mathbf{R}$ to $\mathbf{r}_i$ passes equally close to the first and last returns, so it is only necessary to the minimize the distance to the first returns.

This system of equations is no longer linear, so it cannot be solved by linear algebra techniques. However, it is ideally suited for the Ceres Solver package. This finds the least-squares solution for nonlinear optimization problems. It also features

- Automatic determination of the Jacobian needed to find the solutions. This is achieved by writing the formulas in standard notation but with the variables having a C++ type "Jet" which combines a quantity and its derivative and, through overloaded operators and functions, follows all the standard rules of differentiation.

- A robust optimization. A standard problem of least-squares methods is that outliers in the data can skew the solution away from the "right" one. Ceres Solver includes a variety of "loss functions" which cause the effect of errors in the equations to fall off past some threshold. For example in this case, the threshold for the loss functions might be set to 0.01 m.

C. Simplifying the forward method

We can simplify the problem by observing that $\mathbf{e}_i$ is minimized with $s_i \approx d_i$ and that the resulting $\mathbf{e}_i$ then spans a two-dimensional space perpendicular to $\mathbf{p}_i$. Thus we can approximate the error $\mathbf{e}_i$ by projecting the $\mathbf{R} - \mathbf{r}_i$ onto the plane perpendicular to $\mathbf{p}_i$ at the first return. The first step is to convert to a primed coordinate system with $\mathbf{r}_i$ at the origin and with the $\mathbf{z}'$ axis parallel to $\mathbf{p}_i$. This is achieved by the rotation matrix

$$
\mathsf{M}_i = \begin{pmatrix}
\dfrac{p_{i,x}^2 p_{i,z} + p_{i,y}^2}{p_{i,x}^2 + p_{i,y}^2} & \dfrac{-(1 - p_{i,z})p_{i,x}p_{i,y}}{p_{i,x}^2 + p_{i,y}^2} & -p_{i,x} \\
\dfrac{-(1 - p_{i,z})p_{i,x}p_{i,y}}{p_{i,x}^2 + p_{i,y}^2} & \dfrac{p_{i,x}^2 + p_{i,y}^2 p_{i,z}}{p_{i,x}^2 + p_{i,y}^2} & -p_{i,y} \\
p_{i,x} & p_{i,y} & p_{i,z}
\end{pmatrix}.
$$
(11)

This matrix rotates the coordinate system about the axis $\mathbf{z} \times \mathbf{p}_i$. Applying this translation and rotation to the sensor position gives

$$
\mathbf{q}_i' = \mathsf{M}_i \cdot \mathbf{q}_i
$$
(12)

Finally we project $\mathbf{q}_i'$ onto the plane $z' = d$ which gives

$$
\mathbf{e}_i' = \frac{d_i}{q_{i,z}'} \begin{pmatrix} q_{i,x}' \\ q_{i,y}' \end{pmatrix}.
$$
(13)

Now the number of unknowns is just 3, the coordinates of $\mathbf{R}$, and the number of equations is $2n$, $\mathbf{e}_i \approx 0$ for each two-component vector $\mathbf{e}_i$

Solving this least-squares problem with Ceres Solver entails writing a C++ class implementing a "residue block". The constructor for the class takes the *knowns* for a particular pulse, i.e., $\mathbf{r}_i$, $\mathbf{p}_i$, and d_i, and implements a function object which accepts the *unknowns* $\mathbf{R}$ as input and returns the residue $\mathbf{e}_i$. This entails merely expressing the equations above as computer code. The problem is specified by n such residue blocks and an initial guess for $\mathbf{R}$ (obtained, for example, by the reverse linear least-squares problem). Ceres Solver repeatedly invokes the function objects while adjusting $\mathbf{R}$ to minimize $\sum e_i^2$. Because of the automatic differentiation built into Ceres Solver, it can compute the Jacobian for the problem which says how each component of $\mathbf{e}_i$ changes as each component of $\mathbf{R}$ is varied. This allows Ceres Solver to vary $\mathbf{R}$ in an optimal way in its search for the least-squares solution.

3. THE TRAJECTORY COMPUTATION

The discussion above solves for the sensor position at a single instant of time. Of course, the sensor position is typically moving and it is convenient to model the motion as a cubic spline. One approach would be to perform a series of fixed sensor calculations, e.g., at $0.01\,\mathrm{s}$ intervals including for each calculation 10 pulses sampled at $0.001\,\mathrm{s}$ intervals and then to fit a spline to the resulting positions.

This approach has the drawback that some of the positions may be better approximated than others and the spline fit should respect this. This could be achieved by assigning weights to the various position estimated and this, essentially, is how Gatziolis and McGaughey addressed this issue. However this put another layer of complexity into the problem.

However, in the spirit of Ceres Solver, it make more sense to pose the entire exercise as a single least-squares problem. Let's start by describing how to express a cubic spline.

A. The cubic spline

A cubic spline is a piece-wise cubic polynomial function which in our application we will use to approximate $\mathbf{R}(t)$. Each component of $\mathbf{R}(t)$ can be fit independently of the others. So we only need to consider a cubic spline for a scalar function $f(t)$ defined between T_0 and $T_K = T_0 + K\,\Delta t$. The time interval divided in K blocks of duration Δt, with the kth block consisting of the interval $T_k \le t < T_{k+1}$ where $T_k = T_0 + k\,\Delta t$ and $k \in [0, K)$. At internal block boundaries, $t = T_k$ for $k \in (0, K)$, we require that $f(t)$, $f'(t)$, and $f''(t)$ be continuous.

We shall specify the cubic polynomial for the kth block by the values of $f(t)$ and $g(t) = \Delta t\, f'(t)$ at the block boundaries. It is convenient to introduce a scaled centered time variable the block $\tau = (t - T_k)/\Delta t - \frac{1}{2}$. At the block boundaries, we have $f = f_k$ and $g = g_k$ at $\tau = -\frac{1}{2}$ and $f = f_{k+1}$ and $g = g_{k+1}$ at $\tau = \frac{1}{2}$. It is now a simple matter, e.g., by using the algebra system, Maxima (2020), to find the polynomial satisfying the boundary conditions

$$
f(\tau) = a_0 + a_1 \tau + a_2 \tau^2 + a_3 \tau^3,
$$
(14)

where

$$
\begin{aligned}
a_0 &= \tfrac{1}{8}(4f_+ - g_-), \\
a_1 &= \tfrac{1}{4}(6f_- - g_+), \\
a_2 &= \tfrac{1}{2}g_-, \\
a_3 &= -2f_- + g_+, \\
f_\pm &= f_{k+1} \pm f_k, \\
g_\pm &= g_{k+1} \pm g_k.
\end{aligned}
$$

By specifying the cubic polynomial by its values and derivatives at the block boundaries, we ensure continuity of $f(t)$ and $f'(t)$. The jump in the second derivative is given by

$$
\Delta f''(T_k) = \frac{6(f_{k+1} - f_{k-1}) - 2(g_{k+1} + g_{k-1}) - 8g_k}{\Delta t^2}.
$$
(15)

We will then add $\Delta f''(T_k) \approx 0$ to the optimization problem.

In some situations, portions of a lidar collect might consist of "only returns". These are, of course, not useful of determining the sensor trajectory by this method. However, if the stretch of only returns spans multiple blocks in the cubic spline, then the spline determination becomes badly conditioned. We address this by enforcing an *additional* constraint

on the boundaries between two block with few multiple returns, namely that the third derivative is continuous. The jump in the third derivative is

$$\Delta f'''(T_k) = \frac{4f_k - 2(f_{k+1} + f_{k-1}) + (g_{k+1} - g_{k-1})}{\Delta t^3}. \tag{16}$$

In order to improve the smoothness of the trajectory, we add a constraint $\Delta f'''(T_k) \approx 0$ for all block boundaries. However, the weight for this constraint is very small except when the boundary separates blocks essentially devoid of multiple returns.

B. The optimization problem

We are now ready to set up the optimization problem for the entire trajectory. The knowns are t_i, $\mathbf{r}_i$, $\mathbf{p}_i$, and d_i for n pulses. These are the same as for the fixed sensor problem with the addition of the time t_i for each pulse. The unknowns are the sensor positions, $\mathbf{R}(t)$ and velocities, $\mathbf{R}'(t)$, at the block boundaries $t = T_k$ for $k \in [0, K]$.

The residue block for Ceres Solver now includes the time t_i. Each pulse is assigned to a particular time block and the constructor converts this time to the scaled time τ. The corresponding function object now takes the trajectory position and velocities at the block boundaries as input. It then uses the stored value of τ to evaluate the corresponding cubic polynomials for the 3 components of the sensor position $\mathbf{R}(t_i)$. The calculation then proceeds as in the fixed-sensor case and returns a two-component vector for the residue.

There is now also a new type of residue block to enforce the continuity of the acceleration at the internal block boundaries. The function object takes $\mathbf{R}(T_{k\pm1})$, $\mathbf{R}'(T_{k\pm1})$, and $\mathbf{R}'(T_k)$, and returns the jump in $\mathbf{R}''(T_k)$.

Overall there are $6(K + 1)$ unknowns (the positions and velocities at the block boundaries). The number of equations is $2n$ for the pulse residues, plus $3(K-1)$ for the acceleration jump constraints, plus, optionally, another $3(K-1)$ for the constraints on the jump in the third derivatives.

4. TESTING

We have tested this on flights lasting about a minute with $\Delta t = 1\,\mathrm{s}$ and sampling one multi-return pulse every $0.001\,\mathrm{s}$ from the lidar data (we select the pulse with the largest distance between its first and last returns). Even though this involves a system of tens of thousands of equations, Ceres Solver handles it without difficulty in a few seconds of CPU time.

Figure 1 shows the discrepancy in the estimated trajectory from the IMU data for the sensor for a lidar capture over Houston, TX.

5. INCLUDING THE SCAN ANGLE DATA

The method outlined above depends on there being sufficient multiple returns present in the data. Hartzell (2020) suggested using the *scan angle* of the lidar pulse as an alternative method for triangulating the position of the sensor platform. This data can be seamlessly merged into our method allowing the sensor position to be estimated even in the absence of multiple returns. This has the added benefit that the attitude of the sensor platform can be estimated.

The scan angle of the lidar pulse is the angle measured rightwards from nadir of the lidar pulse as it sweeps left and right either side of the sensor platform. In some `las` formats, this is only recorded to the nearest whole degree.

We start by determining the direction of the laser pulse given the yaw ψ, pitch θ, and roll ϕ of the sensor platform and the scan angle α. The standard coordinate system is x east, y north, and z up. (At this point, we don't worry about whether directions are true or in a grid system.) Given that the sensor starts in a reference orientation, level and heading due north, the sensor orientation is found by rotating by $+\phi$ about the y axis, followed by a rotation $+\theta$ about the x axis, followed by a rotation $-\psi$ about the z axis. In the reference orientation, the lidar pulse is emitted a direction obtained by rotating the downward vector by $-\alpha_i$ about the y axis (thus positive α_i is to the right of the sensor path). Taking account of the attitude of the sensor platform, the direction of the pulse is

$$\mathsf{N}(-\psi\hat{\mathbf{z}}) \cdot \mathsf{N}(+\theta\hat{\mathbf{x}}) \cdot \mathsf{N}(-\alpha_i\hat{\mathbf{y}}) \cdot (-\hat{\mathbf{z}}), \tag{17}$$

where $\mathsf{N}(\mathbf{n})$ is the matrix giving a right-handed rotation by $|n|$ about the axis $\hat{\mathbf{n}}$. Note that α_i includes both the roll of the sensor platform ϕ and the defection of the lidar pulse relative to the sensor platform; so ϕ does not appear here.

Now consider a lidar pulse emitted with the sensor positioned at $\mathbf{R}$ and the lidar return recorded at $\mathbf{r}_i$ with scan angle α_i, so that the ray from the sensor to the return is $-\mathbf{q}_i = \mathbf{r}_i - \mathbf{R}$. We now reverse the order of rotations in Eq. (17) to put this ray back in a nominal reference frame for the lidar pulse,

$$\mathbf{q}_i'' = \mathsf{N}(+\alpha_i\hat{\mathbf{y}}) \cdot \mathsf{N}(-\theta\hat{\mathbf{x}}) \cdot \mathsf{N}(+\psi\hat{\mathbf{z}}) \cdot (-\mathbf{q}_i). \tag{18}$$

We require that $\mathbf{q}_i''$ be nearly parallel to the downward direction $-\hat{\mathbf{z}}$; or, equivalently, that the horizontally projected 2-vector

$$\mathbf{a}_i = \frac{1}{q_{i,z}''} \begin{pmatrix} q_{i,x}'' \\ q_{i,y}'' \end{pmatrix} \tag{19}$$

be close to zero.

The components of projected vector $\mathbf{a}_i$ are in the reference frame of the sensor; thus the x component reflects an error in the given scan angle α_i, while the y component reflects an error in the unknown pitch θ. Because the recorded data for α_i often includes the rather large quantization error of $1°$, we might wish to weight the y component of a_i more heavily.
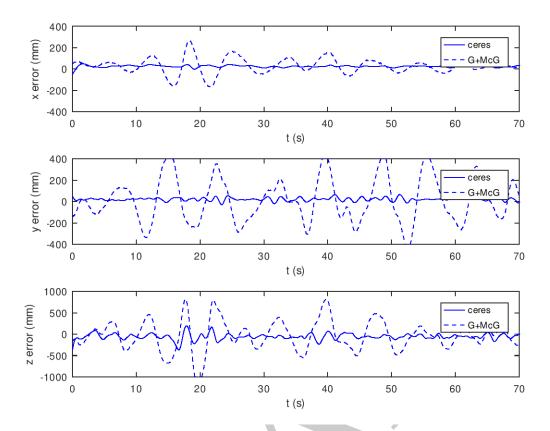
FIG. 1   The discrepancy in the estimated trajectory from the IMU data for the sensor for a lidar capture over Houston, TX, the curves labeled "ceres." The RMS error in the horizontal, resp. vertical, position of the sensor is 36 mm, resp. 90 mm. For comparison, also shown is the discrepancy using the method of Gatziolis and McGaughey (2019), the curves labeled "G + McG", with corresponding horizontal, resp. vertical, errors of 221 mm, resp. 354 mm.

The conditions $\mathbf{a}_i \approx 0$ are just other constraints we can add to our optimization problem for Ceres Solver. There are various ways to include such constraints.

- After estimating the sensor trajectory using the information from the multiple returns, the sensor attitude (yaw and pitch, only) can be estimated separately using the scan-angle constraints. In this second optimization the sensor position would be held fixed (as determined from the multiple return data).

- Alternatively, the scan-angle constraints could be combined with the multiple-return constraints allowing the position and attitude of the sensor platform to be jointly estimated. This would allow gaps in the multiple-return data to be bridged reliably.

- In the absence of multiple-return data, the scan-angle constraints can be used alone to estimate the sensor position and attitude. This is typically a rather ill-conditioned optimization since changes in the estimated pitch are partially canceled by a movement of the estimated position along the path of the sensor.

- In the previous scenario, the pitch can be fixed at some nominal value, e.g., $\theta = 0$; thus the heading ψ is the only component of the attitude determined. This results in a more robust optimization problem (albeit one which yields a sensor position with a large uncertainly in the direction of travel). This is the essence of the method proposed by Hartzell (2020); however, in the embodiment described here many more pulses would normally be included than envisioned by Hartzell. (Incidentally, the heading need not necessarily coincide with the path of the sensor over the ground, since the heading will typically need to be adjusted to compensate for cross winds.)

Finally, it may be possible to recover an estimate for the roll of the sensor platform by analyzing the scan angles. For example, if the terrain yields dense returns from both sides of the sensor platform, merely passing α_i through a low-pass filter might yield a useful approximation to $-\phi$. This could easily be cast as an optimization problem for Ceres Solver yielding a spline fit for ϕ. If the lidar returns are not dense enough, e.g., if the sensor is flying over the edge of a lake with

few returns from the water, it may still be possible to recover the roll by fitting a saw tooth function to α_i as a function of t_i.

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