6.5 Situation Representation in the Avoidance Grid

Summary: There is a need to have a safety assessment of the operational space in the form of the Avoidance Grid. Each type of threat coming from different sources (sensors, maps) like obstacles, intruders, and constraints is handled separately. The data fusion procedure provides a unified representation of sourced threats.

This section gives an overview how different types of threat are projected into avoidance grid:

- 1. Obstacles (sec. 6.5.1) how static obstacles are represented, how to map data are processed and represented, how the concept of visibility impact certainty of an obstacle in space.
- 2. *Intruders* (sec. 6.5.2) how intruders are projected into avoidance grid, how great is probability to encounter a specific intruder in given space and time.
- 3. Constraints (sec. 6.5.3) how are constraints like geo-fencing or weather represented, how is their impact on space calculated.
- 4. Data Fusion (sec. 6.5.4) how is the final threat in cell calculated, how this threat impacts the safety of passing trajectories, how we know which cells in the grid are safe.

6.5.1 Obstacles

Summary: There is a need to asses filtered LiDAR readings into detected obstacle rating associated to each cell. There are known obstacles in the form of a map which are verified taking into the account visibility constraints.

Introduction: The static obstacles were used in the original concept [1], the Avoidance Grid and Movement Automaton were repurposed to enable finite time deterministic avoidance. A Constraint-based path search and obstacle modeling is summarized in [2].

This section is handling basic problems of *static obstacle* detection and its focused on following real-world fixed position threats:

- 1. Static Obstacles detected by LiDAR sensor or fused from Obstacle Map information source.
- 2. Geo-fencing Areas defined by offline/online information source as permanent flight restriction zones. There is usually no physical obstacle. Space is considered as a hard/soft constraint.
- 3. Long-term bad weather Areas the weather is often changing (hour period), there are weather events which last for hours or days.

Changing Scanning Density of LiDAR: A LiDAR sensor is scanning in conic section given by distanceRange, horizontalRange, verticalRange, where distance range is in the interval [0, maxDistance], horizontal offset range is in $[-\pi, \pi]$, and vertical offset range is in $[\varphi_s, \varphi_e]$.

Let say that $dhorizontal^{\circ}$, $dvertical^{\circ}$ is unitary angle offset in which one LiDAR send and return is executed. That means the LiDAR ray is sent every $dhorizontal^{\circ}$, $dvertical^{\circ}$ offset

movement. The LiDAR ray density is decreasing with distance offset. The same amount of LiDAR rays passes through $cell_{i,j,k}$ in Avoidance Grid.

A surface of the area given by some distance d and unitary offsets $\partial horizontal^{\circ}$, $dvertical^{\circ}$ is changing with distance. The minimal triggering area of the object surface is not changing. This fact has an impact on the count of the hits on the object surface.

The example is given in (fig. 6.1) where we have two identical objects (red circle) in distances 5 and 10 meters. The closer object consumes 5 LiDAR beam hits, and the farther object consumes only 3 LiDAR beam hits. The probability of obstacle encounter is remaining the same for the closer and farther object. The *detected obstacle rate* assessment should return the same detected obstacle collision rate for objects with the same scanned surface (with different LiDAR ray hit count).

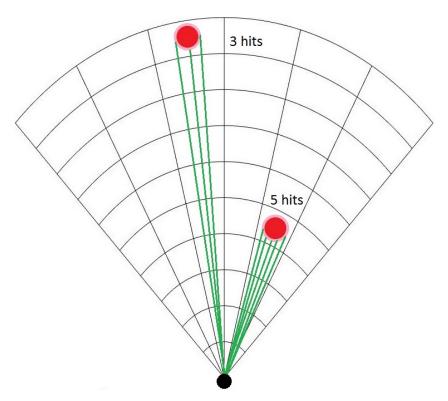


Figure 6.1: Different count of LiDAR hits with different distance from UAS.

Map and Detected Obstacles Fusion: The concept of offline/online obstacle map is mandatory in modern obstacle avoidance systems and increases the safety of navigation/avoidance path. The older concept was considering only LiDAR reading or real-time sensor readings in general [1].

The fusion of real-time sensor readings and obstacle map (prior knowledge) is required. Data fusion of these two sources is strongly depending on visibility property because there are three basic scenarios:

- 1. Dual detection the obstacle is marked on the map and detected by the sensory system at some point of the time (older concept works).
- 2. *Hindered vision* the detected obstacles are hindering vision to map obstacle, therefore, map obstacle uncertainty arises (older concept fails).

3. False-positive map - map obstacle occupied space is visible by the sensory system, but negative detection is returned. Therefore the map is giving false-positive information.

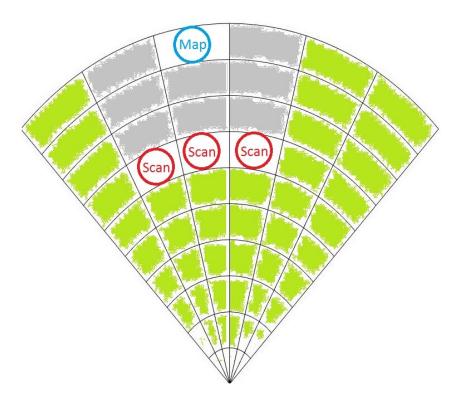


Figure 6.2: Overshadowed map obstacle by detected obstacles.

The second case is given in fig. 6.2, where map obstacle (blue circle) is overshadowed by three scanned obstacles (red circle). The visible space is denoted by green fill; the invisible space is denoted by gray fill.

Detected Obstacles The *visibility* inside avoidance grid and *obstacle* probability are interconnected for most ranging sensors (ex. LiDAR). The goal of this section is to introduce *visibility hindrance* concept which includes space uncertainty assessment and detected obstacle processing.

Detected Obstacle Rating: The detected obstacle rating defines UAS chances to encounter detected obstacle in avoidance grid $cell_{i,j,k}$. Final detected obstacle rating is merged information (eq. 6.39). The sensor field can contain multiple static obstacle sensors.

Detected Obstacle Rate for LiDAR: Let us have only one sensor set as homogeneous two-axis rotary LiDAR. For one $cell_{i,j,k}$ there exists a set of passing LiDAR beams:

$$lidarRays(cell_{i,j,k}) = \begin{cases} \begin{bmatrix} horizontal^{\circ} \in horizontalOffsets, \\ vertical^{\circ} \in verticalOffsets \end{bmatrix} \in \mathbb{R}^{2} : \\ horizontal^{\circ} \in cell_{i,j,k}.horizontalRange, \\ vertical^{\circ} \in cell_{i,j,k}.verticalRange \end{cases}$$

$$(6.1)$$

The horizontal and vertical offset of LiDAR ray is homogeneous. Meaning the horizontal/vertical distances between each two neighboring LiDAR beams are equal.

The set $lidarRays(cell_{i,j,k})$ (eq. 6.1) is finite countable and nonempty for any $c_{i,j,k}$, otherwise it will contradict the definition of avoidance grid (def. ??).

The hit function lidarScan() returns a distance of single beam return for beam with dislocation $[horizontal^{\circ}, vertical^{\circ}] \in lidarRays(cell_{i,j,k})$ angle offsets. The set of LiDAR hits (eq. 6.2) in cell $cell_{i,j,k}$ is defined like follow:

$$lidarHits(cell_{i,j,k}) = \begin{cases} distance = lidarScan(), \\ horizontal^{\circ} \in horizontalOffsets, \\ vertical^{\circ} \in verticalOffsets \end{cases} \in \mathbb{R}^{2} : \\ distance \in cell_{i,j,k}.distanceRange, \\ horizontal^{\circ} \in cell_{i,j,k}.horizontalRange, \\ vertical^{\circ} \in cell_{i,j,k}.verticalRange \end{cases}$$

$$(6.2)$$

The *naive* obstacle rate in case of LiDAR sensor defined as a ratio between landed hits and possible hits:

$$obstacle_{cell_{i,j,k}}^{LiDAR} = \frac{lidarHits(cell_{i,j,k})}{lidarRays(cell_{i,j,k})}$$

$$(6.3)$$

Note. The naive obstacle rate (eq. 6.3) ignores that LiDAR rays are getting farther apart from each other. The cell surface is increasing with cell distance from UAS.

The hindrance (eq. 6.4) rate is naturally defined as a supplement to naive obstacle rate. This definition is sufficient because it is reflecting the *remaining sensing capability* of LiDAR.

$$hindrance_{cell_{i,j,k}}^{LiDAR} = 1 - \frac{lidarHits(cell_{i,j,k})}{lidarRays(cell_{i,j,k})}$$
(6.4)

Cell Density Function: Let us start with the differential form of the cell surface (eq. ??). The target object has several hits in $Avoidance\ Grid$. Target $cell_{i,j,k}$ has following properties which are used in surface calculation:

- 1. Horizontal span defines the range of horizontal scanner partition.
- 2. Vertical span defines the range of vertical scanner partition.

By rewriting (eq. ??) and using horizontal range parameter and inverted vertical range parameter following surface integral is obtained (eq. 6.5).

$$Area(cell_{i,j,k}) = \int_{horizontal_{end}^{\circ}}^{horizontal_{end}^{\circ}} \int_{vertical_{end}^{\circ}}^{vertical_{start}^{\circ}} radius^{2} \cos(vertical^{\circ}) \quad dvertical^{\circ} dhorizontal^{\circ} \quad (6.5)$$

Note. The radius parameter is the average distance of hits landed in $cell_{i,j,k}$. This helps to reflect real scanned surface.

Numerically stable integration exist for boundaries horizontal $in[-\pi,\pi]$, $vertical \in [-\frac{\pi}{2},\frac{\pi}{2}]$ given as follow:

 $Area(radius, horizontalRange, vertical_{start}^{\circ}, vertical_{end}^{\circ}) = \dots$

$$adius, horizontal Range, vertical_{start}^{\circ}, vertical_{end}^{\circ}) = \dots$$

$$= \begin{cases} vertical_{start}^{\circ} < 0, vertical_{end}^{\circ} \leq 0 : \\ radius^{2}(\sin|vertical_{start}^{\circ}| - \sin|vertical_{end}^{\circ}|) \times horizontal Range) \\ vertical_{start}^{\circ} < 0, vertical_{end}^{\circ} > 0 : \\ r^{2}(\sin|vertical_{start}^{\circ}| + \sin|vertical_{end}^{\circ}|) \times horizontal Range) \\ vertical_{start}^{\circ} \geq 0 vertical_{end}^{\circ} < 0 : \\ r^{2}(\sin|vertical_{end}^{\circ}| - \sin|vertical_{start}^{\circ}|) \times horizontal Range) \end{cases}$$

$$(6.6)$$

An intersection surface for the cell is defined in (eq. 6.6). The Area covered by LiDAR hits (eq. 6.7) is defined as LiDAR hit rate (hits to passing rays ratio) multiplied by Average cell intersection surface (eq. 6.6).

$$lidarHitArea(cell_{i,j,k}) = \frac{lidarHits(cell_{i,j,k})}{lidarRays(cell_{i,j,k})} \times Area \begin{pmatrix} radius, horizontalRange, \\ vertical_{start}^{\circ}, vertical_{end}^{\circ} \end{pmatrix}$$
(6.7)

There is user-defined parameter for LiDAR threshold area, which represents a minimal considerable surface area for the obstacle to be a threat. The detected obstacle rate considering surface is defined in (eq. 6.8), and it removes the bias of naive approach (eq. 6.3).

$$obstacle(LiDAR, cell_{i,j,k}) = \min \left\{ \frac{lidarHitArea(cell_{i,j,k})}{UAS.lidarThresholdArea}, 1 \right\}$$
 (6.8)

Visibility Rate for LiDAR: For each $cell_{i,j,k}$ and each sensor in sensor field there exist hindrance rate, which defines how much vision is clouded in a single cell. Example of hindrance calculation for LiDAR has been given by (eq. 6.4). Let us consider cell row $cellRow(j_{fix}, k_{fix})$ with fixed horizontal index $j_f ix$ and vertical index k_{fix} is given as a series of cells (eq. 6.9).

$$cellRow(j_{fix}, k_{fix}) = \begin{cases} cell_{i,j,k} \in AvoidanceGrid : \\ j = j_{fix}, k = k_{fix} \end{cases}$$

$$(6.9)$$

For each $cell_{i,j,k}$ there exists a function which calculates final visibility hindrance rate. Then for ordered cell row:

$$cellRow(j_{fix}, k_{fix}) = \{cell_{1, j_{fix}, k_{fix}}, cell_{2, j_{fix}, k_{fix}}, \dots, cell_{layersCount, j_{fix}, k_{fix}}\}$$

and for one selected $cell_{i,j,k}$ the visibility rate is naturally defined as a supplement to hindrance from previous cells. The visibility is defined in (eq. 6.10).

 $visibility(cell_{i_c,j_c,k_c}) = \dots$

$$\cdots = 1 - \sum_{index \in \mathbb{N}^+}^{index < i_c} hindrance(cell_{a,j_c,k_c} : cell_{a,j_c,k_c} \in cellRow(j_c,k_c) \quad (6.10)$$

Example: Let be $cell_{4,j_{fix},k_{fix}}$ is selected for visibility rate assessment, then $cell_{1,j_{fix},k_{fix}}$, $cell_{2,j_{fix},k_{fix}}$, and $cell_{3,j_{fix},k_{fix}}$, are used as a base of cumulative hindrance rate.

The cumulative hindrance rate for any $cellRow(j_{fix},k_{fix})$ is bounded:

$$0 \le \sum_{cell \in cellRow(j_{fix}, k_{fix})} visibility(cell) \le 1$$
(6.11)

Note. A cumulative hindrance rate does not always reach 1 in case of LiDAR sensor, because some rays may pass or hit after leaving avoidance grid range.

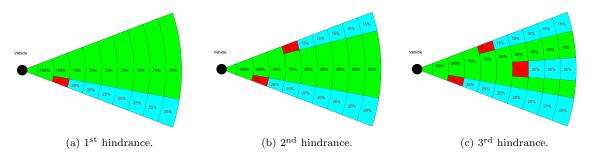


Figure 6.3: Obstacle hindrance impact on visibility in Avoidance Grid Slice.

For one cell row $cellRow(j_{fix}, k_{fix})$, where count of layers is equal to 10, and layers have equal spacing. There is LiDAR sensor

During consequent LiDAR scans $s(t_0)$, $s(t_1)$, $s(t_2)$, and $s(t_3)$ the obstacle sets $\mathcal{O}_1(t_1) = \{o_1\}$, $\mathcal{O}_2(t_2) = \{o_1, o_2\}$, and $\mathcal{O}_3(t_3) = \{o_1, o_2, o_3\}$ are discovered. Assigned hindrance rates are like follow:

- 1. Time t_0 there is no obstacle nor hindrance, all cells are fully visible.
- 2. Time t_1 (fig. 6.3a) $\mathcal{O}_1(t_1) = \{o_1\}$ was detected, the hindrance rate for $cell_{3,j_{fix},k_{fix}}$) is equal to 0.25. The visibility rate in cells $cells_{4-10,j_{fix},k_{fix}}$ is 0.75.
- 3. Time t_2 (fig. 6.3b) $O_2(t_2) = \{o_1, o_2\}$ was detected, the additional hindrance rate for $cell_{5,j_{fix},k_{fix}}$ is 0.15. The visibility rate in $cells_{6-10,j_{fix},k_{fix}}$ is lowered by additional 0.15 and its set to 0.60 now.
- 4. Time t_3 (fig. 6.3c) $O_3(t_3) = \{o_1, o_2, o_3\}$ was detected the additional hindrance rate for $cell_{7,j_{fix},k_{fix}}$ is 0.20. The visibility rate in $cells_{8-10,j_{fix},k_{fix}}$ is lowered by additional 0.20 and its set to 0.40 now.

Map Obstacles: Use *stored LiDAR readings* from the previous mission to build a compact obstacle map [3]. Then use *this map* as an additional information source.

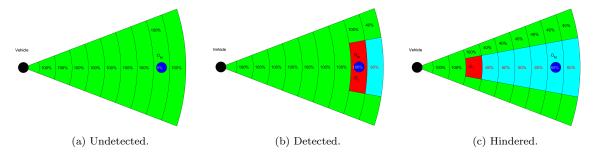


Figure 6.4: Map obstacle states after $Data\ fusion.$

Concept: A map obstacle state has very simple logic, there are three possible cases:

- 1. Undetected Map obstacle O_M is charted on the map (fig. 6.4a) but is undetected by any sensor in the sensor field; therefore the probability of map obstacle occurrence is equal to 0.
- 2. Detected Map obstacle O_M is charted on the map and detected by any sensor in sensor field (fig. 6.4b). The map obstacle rate is equal to detected obstacle rate, usually its equal to 1.
- 3. Hindered Map obstacle O_M is hindered behind other detected obstacle O_1 (fig. 6.4c). The detected obstacle O_1 is in $cell_{i,j,k}$ and is reducing visibility in follow up $cellRow_{i_f>i,j,k}$ by 60 percent.

Implementation: The formulation of final map obstacle rate $map(cell_{i,j,k})$ was outlined in previous examples. These examples are showing the *desired behavior* and its solved by *data* fusion (sec. 6.5.4).

First, let us start with obstacle map definition. The obstacle map (eq. 6.12) defines a map obstacle set of information vectors with a position in the global coordinate frame, orientation bounded to a global coordinate reference frame, safety margin and additional parameters.

$$obstacleMap = \left\{ \begin{bmatrix} position, \\ orientation, \\ safetyMargin, \\ parameters \end{bmatrix} \begin{array}{l} position \in \mathbb{R}^{3}(GCF), \\ orientation \in \mathbb{R}^{3}(GCF), \\ : safetyMargin \in \mathbb{R}^{+}(m), \\ parameters \in \{...\} \end{array} \right\}$$

$$(6.12)$$

The Map Obstacle concept is taken from my master student work [3], implementing a compact representation of point-cloud obstacle map. Te example of cuboid obstacles with the safe zone is given in (fig. 6.5).

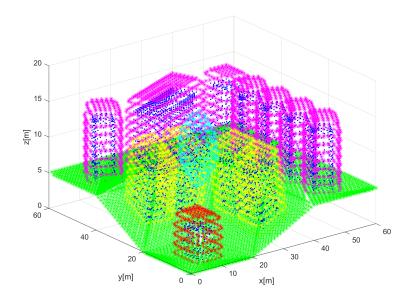


Figure 6.5: Example of Extracted Map Obstacle [3].

The space covered by any obstacle is non-empty by definition. There are following types of map charted obstacles which are implemented in the framework:

- 1. Ball obstacle parameters = \emptyset simple ball with center at the position, with an offset safety margin.
- 2. Line obstacle parameters = [length] simple line bounded by length $\in]0, \infty[$ with center at the position and given orientation to the main axis in the global coordinate frame, with safety margin < 0.
- 3. Plane obstacle parameters = [length, width] bounded rectangle plane partition defined by length \in]0, ∞ [, and width $w \in$]0, ∞ [with center at \vec{p} and given orientation \vec{o} concerning the main axis in the global coordinate frame, with a safety margin.
- 4. Cuboid obstacle parameters = [length, width, depth] bounded cuboid space partition defined by length $\in]0, \infty[$, width $\in]0, \infty[$, and depth $d \in]0, \infty[$ with center at the position and rotated in orientation concerning the main axis in the global coordinate frame, with a safety margin.

The map obstacles are stored in the clustered database. The selection criterion is given in (eq. 6.13).

$$avoidanceGrid.radius \ge distance(UAS.position, mapObstacle) - totalMargin$$
 (6.13)

The $total\ margin$ is a combination of $safety\ margin$ and $body\ margin$ (in case of a line/plane/cuboid obstacle). The selection was implemented as standard cluster select, selecting 26 surrounding clusters around UAS + own UAS cluster.

The *compact obstacle representation* is transformed into homogeneous point-cloud representations:

1. Body Point-cloud - representing obstacle body approximation by geometrical shape (eq. 6.14). This point cloud is considered as hard constraints.

$$bodyPointCloud = \{point \in \mathbb{R}^3(GCF) : point \in mapObstacleBody\}$$
 (6.14)

2. Safety Margin Point Cloud - representing safety coating around mapped obstacle body approximation (eq. 6.15). This point cloud is considered as soft constraint.

$$marginPointCloud = \{point \in \mathbb{R}^3(GCF) : point \in mapSafetyMargin\}$$
 (6.15)

Note. The safety margin point cloud is hollow in relationship to a body point cloud, therefore:

$$bodyPointCloud \cap marginPointCloud = \varnothing$$

The map obstacle discretization to point cloud leads to the problem how to calculate impact rate. The theoretical impact rate for an obstacle is given as:

$$impactRate = \frac{volume(mapObstacle \cap cell_{i,j,k})}{volume(cell_{i,j,k})} \in [0, 1]$$

The map obstacle related point clouds (eq. 6.14, 6.15) are homogeneous [3]. That means each point in point clouds covers a similar portion of object volume. There is threshold volume (eq. 6.16) which represents minimal object volume to be considered as an obstacle.

$$0 < thresholdVolume \le \frac{volume(pointCloud)}{|pointCloud|}$$
(6.16)

The *impact rate* of one point when intersecting a $cell_{i,j,k}$ is given as count of threshold obstacle bodies in point cloud covered mass multiplied by inverted point count (eq. 6.17).

$$point.rate = \frac{pointCloudVolume}{thresholdVolume} \times \frac{1}{|pointCloud|}$$
 (6.17)

The intersection set between point cloud and $cell_{i,j,k}$ is defined in (eq. 6.17). The cell intersection with points is defined in (eq. ??).

 $intersection(map, cell_{i,j,k}) = \dots$

... {
$$points \in \mathbb{R}^3 : (point \to AvoidanceGridFrame) \in cell_{i,j,k}$$
} (6.18)

The map obstacle rating for $cell_{i,j,k}$ and obstacle for our information source is defined in (eq. 6.19).

$$map(cell_{i,j,k}, obstacle) = \max \left\{ \sum_{\forall point \in intersection(map, cell_{i,j,k})} point.rate, 1 \right\}$$
(6.19)

The map obstacle rating for $cell_{i,j,k}$, and our information source is given as maximum of all possible cumulative ratings form each obstacle in active map obstacles set (eq. 6.20).

$$map(cell_{i,j,k} = \max\{map(cell_{i,j,k}, obstacle) : \forall obstacle \in Active MapObstacles\}$$
 (6.20)

Note. The body point cloud (eq. 6.14) never intersect, because they are created for inclusive obstacles. The safety margin point cloud (eq. 6.15) can intersects, because they represent protection zones around physical obstacles. Therefore the maximum obstacle rating (eq. 6.20) needs to be selected.

6.5.2 Intruders

Summary: The intruder information coming from ADS-B needs to be assessed in relationship to the Avoidance Grid. The final assessment consists of time encounter and space encounter ratings. The space encounter rating describes the probability of UAS meeting intruder in the same space. The time encounter rating is reflecting simulations time in the same cell.

Intruder behavior: Adversarial behavior of moving obstacle is trying to destroy avoiding our UAS. The Intruder UAS [4] is not trying to hurt our UAS actively. The Adversarial behaviour is neglected in this work. The non-cooperative avoidance is assumed, it can be relaxed to cooperative avoidance in UTM controlled airspace.

Intruder information: The observable intruder information set for any kind of intruder, obtained through the sensor/C2 line, is following:

- 1. Position position of an intruder in the local or global coordinate frame, which can be transformed into avoidance grid coordinate frame.
- Heading and Velocity intruder heading and linear velocity in avoidance grid coordinate frame.
- 3. Horizontal/Vertical Maneuver Uncertainty Spreads how much can an intruder deviate from the original linear path in a horizontal/vertical plane in Global coordinate Frame.

Example of Intruder Intersection: Let us neglect the time-impact aspect on the intersection. The intruder (black "I" circle) is intersecting one avoidance grid horizontal slice (fig. 6.6). The intruder is moving along linear path approximation based on velocity (middle green line). The Horizontal Maneuver Uncertainty spread is in green line boundary area intruder intersection rating is denoted as green-orange-red cell fill reflecting intersection severity: red is a high rate of the intersection, orange is the medium rate of the intersection and green is a low rate of the intersection.

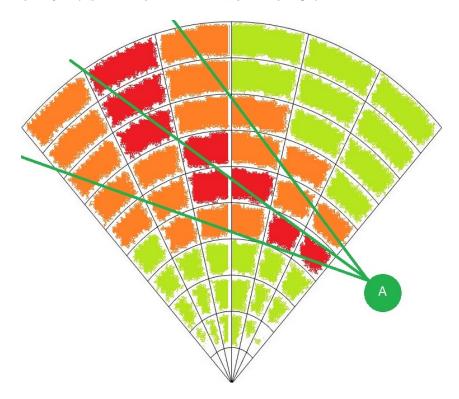


Figure 6.6: Intruder UAS intersection rate along the expected trajectory.

Moving Threats: The UAS can encounter following threats during the mission execution:

- 1. Non-cooperative Intruders the intruders who does not implement any approach to ensure mutual avoidance efficiency.
- 2. Cooperative Intruders the intruders whom actively communicate or follow common agreed behavior pattern (ex. Rules of the Air).
- 3. Moving Constraints the constrained portion of free space which is shifting its boundary over time (ex. Short term bad weather).

Note. Our approach considers only UAS intruders because Data Fusion considers data received through ADS-B messages. The Intruders extracted from LiDAR scan were not considered (ex. birds). The proposed intruder intersection models are reusable for other intruder sources.

Approach Overview: The Avoidance Grid (def. ??) is adapted to the LiDAR sensor. The Euclidean grid intersections are fairly simple. The polar coordinates grid is not. The need to keep polar coordinates grid is prevalent, because of fast LiDAR reading assessment. There are following commonly known methods to address this issue:

- 1. Point-cloud Intersections the threat impact area is discredited into a sufficiently thick point cloud. This point-cloud have point impact rate and intersection time assigned to each point. The point-cloud is projected to Avoidance Grid. If the impact point hits $cell_{i,j,k}$ the cell's impact rate is increased by the amount of point impact rate. The final threat impact rate in $cell_{i,j,k}$ is given when all points from point cloud are consumed. Close point problem [5] was solved by the application of method [6].
- 2. Polygon Intersections the threat impact area is modeled as a polygon, each $cell_{i,j,k}$ in Avoidance Grid is considered as a polygon. There is a possibility to calculate cell

space geometrical inclusive intersection. The *impact rate* is then given as rate between intersection volume and $cell_{i,j,k}$ volume. The algorithm used for intersection selected based on:[7] the selected algorithm Shamos-Hoey [8].

Note. The Intruder Intersection models are based on analytical geometry for cones and ellipsoids taken from [9].

Intruder Behaviour Prediction: Intruder Intersection Models is about space-time intersection of intruder body with avoidance Grid and Reach Set:

- 1. The UAS reach set defines time boundaries to enter/leave the cell in avoidance grid.
- 2. The *Intruder* behavioral pattern defines the *rate* of *space intersection* with cell bounded space in avoidance grid.

The multiplication of space intersection rate and time intersection rate will give us intruder intersection rate for our UAS and intruder.

Intruder Dynamic Model: The definition of avoidance grid enforces most of these methods to be numeric. Let us introduce the intruder dynamic model:

$$position_{x}(t) = position_{x}(0) + velocity_{x} \times t$$

$$dposition/dtime = velocity | position_{y}(t) = position_{y}(0) + velocity_{y} \times t$$

$$position_{z}(t) = position_{z}(0) + velocity_{z} \times t$$

$$(6.21)$$

Position vector in euclidean coordinates [x, y, z] is transformed into Avoidance Grid coordinate frame. Velocity vector for [x, y, z] is estimated and not changing. The time is in interval [entry, leave], where entry is intruder entry time into avoidance grid and leave is intruder leave time from avoidance grid.

Note. If the *intruder* is considered, time of entry is marked as $intruder_{entry,k}$ where k is intruder identification, time of leave is marked as $intruder_{leave,k}$ where k is intruder identification.

Cell Entry and Leave Times $UAS_{entry}(cell_{i,j,k})$ and $UAS_{leave}(cell_{i,j,k})$ are depending on intersecting Trajectories and $bounded\ cell\ space\ (eq.\ \ref{eq.}$). There is $Trajectory\ Intersection$ function from (def. $\ref{eq.}$) which evaluates $Trajectory\ segment\ entry\ and\ leave\ time.$

The UAS Cell Entry time is given as the minimum of all passing trajectory segments entry times (eq. 6.22) if there is no passing trajectories the UAS entry time is set to 0.

$$UAS_{entry}(cell_{i,j,k}) = \min \begin{cases} 0, entry(Trajectory, cell_{i,j,k}) :\\ Trajectory \in PassingTrajectories \end{cases}$$
(6.22)

The UAS Cell Leave time is given as the maximum of all passing trajectory segments entry times (eq. 6.23), if there are no passing trajectories the UAS leave time is set to 0.

$$UAS_{leave}(cell_{i,j,k}) = \max \begin{cases} 0, leave(Trajectory, cell_{i,j,k}) :\\ Trajectory \in PassingTrajectories \end{cases}$$
(6.23)

Time Intersection Rate: The key idea is to calculate how long the UAS and Intruder spend together in same space portion $(cell_{i,j,k})$. The Intruder can spend some time in $cell_{i,j,k}$ bounded by an interval of intruder entry/leave time.

The *UAS* can spend some time, depending on the *selected trajectory* from *Reach Set*. The time spent by UAS is bounded by entry (eq. 6.22) and leave (eq. 6.23).

The intersection duration of these two intervals creates time intersection rate numerator, the maximal duration of UAS stay gives us denominator. The time intersection rate is formally defined in (eq. 6.24).

$$time \begin{pmatrix} UAS, \\ Intruder, \\ cell_{i,i,k} = \circ \end{pmatrix} = \frac{\begin{vmatrix} [intruder_{entry}(\circ), intruder_{leave}(\circ)] \\ \cap \\ [UAS_{entry}(\circ), UAS_{leave}(\circ)] \\ |[UAS_{entry}(\circ), UAS_{leave}(cell_{\circ})]| \end{vmatrix}}{(6.24)}$$

Intruder Intersection Rate: The Intruder Intersection Rate (eq. 6.25) is calculated as the multiplication of space intersection rate (defined later) and time intersection rate (eq. 6.24).

$$intruder \begin{pmatrix} UAS, \\ Intruder, \\ cell_{i,j,k} \end{pmatrix} = time \begin{pmatrix} UAS, \\ Intruder, \\ cell_{i,j,k} \end{pmatrix} \times space \begin{pmatrix} UAS, \\ Intruder, \\ cell_{i,j,k} \end{pmatrix}$$
(6.25)

Note. If there is no information to derive *Intruder* entry/leave time for cells the *time intersection* rate is considered 1.

The *Intruder cell reach* time (eq. 6.26) is bounded to a discrete point in the intersection model [5, 6]. The intruder *entry/leave time* is calculated similarly to *UAS cell entry* (eq. 6.22)/leave (eq. 6.23) time.

$$pointReachTime(Intruder, point) = \frac{distance(Intruder.initialPosition, point)}{|Intruder.velocity}$$
(6.26)

Space Intersection Rate: The Space Intersection Rate reflects the probability of Intruder intersection with a portion of space bounded by $cell_{i,j,k}$, to be precise with intruder trajectory or vehicle body shifted along the trajectory. The principles for space intersection rate calculation are the following:

- 1. Line trajectory intruder trajectory is given by linear approximation (eq. 6.21), depending on intruder size the intersection with avoidance grid can be:
 - a. Simple line intersection is going along the trajectory line defined by intruder model (eq.6.21).
 - b. Volume line intersection is going along the trajectory line defined by intruder model (eq. 6.21), and intruder's body radius is considered in the intersection.
- 2. Elliptic cone initial position is considered as the top of a cone, the main cone axis is defined by the intruder linear trajectory (eq. 6.21) $time \in [0, \infty]$. The cone width is set by the horizontal and vertical spread.

6.5.3 Constraints

Summary: There are different constraints from various sources with different impacts. There is a need for constraint impact assessment on the cells in the Avoidance Grid.

Static Constraints: The *constraints* (ex. weather, airspace) usually covers a large portion of the *operation airspace*.

Converting constraints into valued point-cloud is not feasible, due to the huge amount of created points and low intersection rate. The polygon intersection or circular boundary of a 2D polygon is a simple and effective solution [10, 11].

The key idea is to create *constraint barrels* around dangerous areas. Each *constraint barrel* is defined by a circle on the *horizontal plane* and the *vertical limit range*.

Representation: The *minimal representation* is based on (sec. ??, ??) and geo-fencing principle. The *horizontal-vertical separation* is ensured by *projecting boundary* as 2D polygon oh horizontal plane and *vertical boundary* (barrel height) as *altitude limit*.

The static constraint (eq. 6.27) is defined as a structure vector including:

- 1. Position the center position in the global coordinates 2D horizontal plane.
- 2. Boundary the ordered set of boundary points forming edges in the global coordinates 2D horizontal plane.
- 3. Altitude Range the barometric altitude range [altitude_{start}, altitude_{end}].
- 4. Safety Margin the protection zone (soft constraint) around constraint body (hard constraints) in meters.

$$constraint = \{position, boundary, altitude_{start}, altitude_{end}, safetyMargin\}$$
 (6.27)

Active constraints selection: The active constraints are constraints which are impacting UAS active avoidance range.

The active constraints set (eq. 6.28) is defined as a set of constraints from all reliable Information Sources where the distance between UAS and constraint body (including safety margin) is lesser than the avoidance grid range. The horizontal altitude range of avoidance grid must also intersect with constraint altitude range.

 $ActiveConstraints = \dots$

$$\cdots = \begin{cases} constraint \in InformationSource : \\ distance(constraint, UAS) \leq AvoidanceGrid.distance, \\ constraint.altitudeRange \cap UAS.altitudeRange \neq \varnothing \end{cases}$$
 (6.28)

Cell Intersection: The *importance of constraints* is on their impact on *avoidance grid cells*. The *most of the constraints* (weather, ATC) are represented as 2D convex polygons. Even the *irregularly shaped constraints* are usually split into smaller convex 2D polygons.

The idea is to represent convex polygon boundary as a sufficiently large circle to cover polygon. The Welzl algorithm to find minimal polygon cover circle [11] is used.

First the set of contraint edges (eq. 6.29) is a enclosed set of 2D edges between neighboring points defined as follow:

$$edges(constraint) = \left\{ \begin{bmatrix} point \in boundary, \\ [point_i, point_j] : i \in \{1, \dots, |boundary|\}, \\ j \in \{2, \dots, |boundary|, 1\} \end{bmatrix} \right\}$$
(6.29)

The *constraint circle boundary* with calculated center on the 2D horizontal plane and radius (representing body margin) is defined in (eq. 6.30).

$$circle(constraint) = \begin{bmatrix} center = \frac{\sum boundary.point}{|boundary.point|} + correction \\ radius = smallestCircle(edges(constraints)) \end{bmatrix}$$
(6.30)

The $(cell_{i,j,k})$ and constraint intersection (eq. 6.31) is classification function. The classification is necessary, because one constraint induce:

- 1. Body Constraint (hard constraint) the distance between $cell_{i,j,k}$ closest border and $circular\ boundary\ center\ is\ in\ interval\ [0, radius].$
- 2. Protection Zone Constraint (soft constraint) the distance between $cell_{i,j,k}$ closest border and $circular\ boundary\ center$ is in interval [radius, radius + safetyMargin].

 $intersection, constraint) = \dots$

$$\begin{cases} hard &: \begin{bmatrix} distance(cell_{i,j,k}, circle(constraint)) \leq \dots \\ \dots \leq circle(constraint).radius, \\ constraint.altitudeRange \cap cell_{i,j,k}.altitudeRange \neq \varnothing, \end{bmatrix} \\ \dots = \begin{cases} distance(cell_{i,j,k}, circle(constraint)) > \dots \\ \dots > circle(constraint).radius, \\ distance(cell_{i,j,k}, circle(constraint)) \leq \dots \\ \dots \leq circle(constraint).radius + safetyMargin, \\ constraint.altitudeRange \cap cell_{i,j,k}.altitudeRange \neq \varnothing, \end{bmatrix}$$

$$(6.31)$$

The *intersection impact* of constraint is handled separately for *soft* and *hard* constraints. The *avoidance* of hard constraints is *mandatory*, the *avoidance* of soft constraints is *voluntary*.

The constraints which have a soft intersection with the cell are added to cells impacting

constraints set:

$$cell_{i,j,k}.softConstraints = \begin{cases} constraint \in ActiveConstraints : \\ intersection(cell_{i,j,k}, constraint) = soft \end{cases}$$

$$(6.32)$$

The constraints which have a hard intersection with the cell are added to cells impacting constraints set:

$$cell_{i,j,k}.hardConstraints = \begin{cases} constraint \in ActiveConstraints : \\ intersection(cell_{i,j,k}, constraint) = hard \end{cases}$$
 (6.33)

Note. The final constraint rate value (eq. 6.42) is determined based on mission control run feed to avoidance grid (fig. ??) defined in 7th to the 10th step.

Moving Constraints: The basic ideas is the same as in case *static constraints* (sec. 6.5.3). Horizontal constraint and altitude constraint is outlining the constrained space. The only additional concept is moving of *constraint* on the horizontal plane in a global coordinate system.

The constraint intersection with avoidance grid is done in fixed decision Time, for cell in fixed cell leave time (eq. 6.23), which means concept from static obstacles can be fully reused.

Definition: The moving constraint definition (eq. 6.34) covers minimal data scope for moving constraint, assuming linear constraint movement.

Definition 1. Moving Constraints The original definition (eq. 6.27) is enhanced with additional parameters to support constraint moving:

- 1. Velocity velocity vector on 2D horizontal plane.
- 2. Detection time the time when constraint was created/detected, this is the time when center and boundary points position were valid.

```
constraint = \{position, boundary, \dots, velocity, detectionTime, \dots, velocity, detectionTime, \dots \\ \dots altitude_{start}, altitude_{end}, safetyMargin\}  (6.34)
```

Cell Intersection: The intersection algorithm follows (eq. 6.31), only shift of the center and boundary points is required.

First let us introduce $\Delta time$ (eq. 6.35), which represents the difference between the constraint detection time and expected cell leave time (eq. 6.23).

$$\Delta time = UAS_{leave}(cell_{i,j,k}) - detectionTime \tag{6.35}$$

The constraint boundary is shifted to:

$$shiftedBoundary(constraint) = \{newPoint = point + velocity \times \Delta time : \dots \\ \forall point \in constraint.boundary\}$$
 (6.36)

The constraint center is shifted to:

$$shiftedCenter(constraint) = constraint.center + velocity$$
 (6.37)

Note. The $\Delta time$ is calculated separately for each $cell_{i,j,k}$, because UAS is also moving and reaching cells in different times. The *cell leave time* can be calculated in advance after reach set approximation.

Alternative Intersection Implementation: The alternative used for intersection selected based on polygon intersection algorithms review [7], the selected algorithm is *Shamos-Hoey* [8]. The implementation was tested on *Storm scenario* (sec. ??) and it yields the same results.

6.5.4 Data fusion

Summary: There is a need for the final threat assessment in the Avoidance Grid. The data fusion provides mechanisms to represent, process, and assess threat in the cell including the safety of trajectories in the RSA. The output of the data fusion procedure is used further in Avoidance run (sec. ??).

Introduction: The data fusion interfaces Sensor Field and Information Sources from cell/trajectory properties. The Data Fusion Function is outlined in (??).

First, there will be an outline of $Partial\ Rating\ commutation$. Then these ratings will be discredited into Boolean values as properties of $Avoidance\ Grid/Trajectory$. Then these Boolean values will be used for further classification of space into Free(t), Occupied(t), Restricted(t) and Uncertain(t).

All mentioned ratings are the result of *Filtered Sensor Readings* from *Sensor Field* and *Information Sources* with prior processing. This section will focus on *final fuzzy value calculation* and *discretization*.

Note. All rating values are in the range: [0,1], and they were introduced in previous sections.

Visibility: The sensor reading of sensor if Sensor field returns a value of visibility for cell space in time of decision t_i .

The *visibility* for the cell is given in (eq. 6.38) as minimal visibility calculated from all capable sensors in *Sensor Field*.

$$visibility(cell_{i,j,k}) = \min \begin{cases} visibility(cell_{i,j,k}, sensor_i) :\\ \forall sensor_i \in SensorField \end{cases}$$
(6.38)

The example of *visibility* calculation for *LiDAR* sensor is given in (fig. 6.4).

Note. Sensor reliability for visibility is already accounted for prior data fusion. If not weighted average should be used instead.

Detected Obstacle: Sensors detect the physical obstacles in *Sensor Field*. Each *sensor* returns *detected obstacle rating* in the range [0, 1] reflecting the probability of obstacle occurrence in a given cell.

The maximal value of detected obstacle rating is selected from readings multiplied by visibility rating to enforce visibility bias.

$$obstacle(cell_{i,j,k}) = \max \begin{cases} obstacle(cell_{i,j,k}, sensor_i) :\\ \forall sensor_i \in SensorField \end{cases} \times \dots$$

$$\cdots \times visibility(cell_{i,i,k}) \quad (6.39)$$

The example of detected obstacle rating calculation for LiDAR sensor is given in (eq. 6.3).

Map Obstacle: The Information Sources are feeding Avoidance Grid with partial information of Map obstacle rating. Map Obstacle Rating shows the certainty that charted obstacle is in a given cell. This property is bound to Information Source, and it has the range in [0,1].

The Map Obstacle Rating for a cell (eq. 6.40) is calculated as the product of maximal Map Obstacle Rating and inverse visibility. This gives visibility biased certainty of Map Obstacle.

$$map(cell_{i,j,k}) = \max \left\{ \begin{aligned} map(cell_{i,j,k}, source_i) : \\ \forall source_i \in InformationSources \end{aligned} \right\} \times \dots \\ \cdots \times (1 - visibility(cell_{i,j,k})) \quad (6.40)$$

The example of Map Obstacle Rating calculation is given in (fig. 6.4).

Intruder: There is a set of *Active Intruders*, each intruder is using its *parametric intersection model*. This parametric *intersection* model calculates *partial intersection ratings* representing *intersection certainty* ranging in [0,1]. The more *partial intersection rating* is closer to 1 the higher is the probability of aerial collision with that intruder in that cell.

The geometrical bias is used for cumulative of multiple intruders; the intruders are not cooperative; therefore their occurrence cannot be addressed by the simple maximum. The proposed formula (eq. 6.41) is simply bypassing the intruder rating if there is one intruder. If there are more intruders, the geometrical bias is applied.

$$intruder(cell_{i,j,k}) = 1 - \prod_{\forall intruder_i \in Intruders} \left(1 - intersection \begin{pmatrix} cell_{i,j,k}, \\ intruder_i \end{pmatrix} \right)$$
 (6.41)

The intruder intersection models are outlined in (app. ??).

Constraint: The *constraints* are coming from various *Information Sources*, the *hierarchical constraint application* is resolved by higher level logic. All *constraints* in this context are

considered as hard.

The Constraints rating (eq. 6.42) is in the range [0,1] reflecting certainty of constraint application in the cell (usually 1).

$$constraint(cell_{i,j,k}) = \max \left\{ constraint(cell_{i,j,k}, source_i) : \\ \forall source_i \in InformationSources \right\}$$
 (6.42)

The Constraint Rating calculation example for static constraints is given in (sec. 6.5.3), the example for moving constraints is given by (def. 1).

Note. Weather is already considered in constraints; the weather is handled as soft/hard static/moving constraints.

Threat: The concept of threat is a rating of expected harm to receive in a given portion of space. The threat can be time-bound to decision time t_i (time sensitive intruder intersection models).

The harm prioritization is addressed by higher navigation logic (fig. ??). All sources of harm are considered as equal. The threat is formalized in the following definition:

Definition 2. The Threat is considered as any source of harm. The threat is a maximal aggregation of various harm ratings. Our threat for a specific cell is defined by (eq. 6.43).

$$threat(cell_{i,j,k}) = \max \left\{ \begin{array}{c} obstacle(cell_{i,j,k}), map(cell_{i,j,k}), \\ intruder(cell_{i,j,k}), constraint(cell_{i,j,k}) \end{array} \right\}$$
(6.43)

Reachability: The *Reachability* for trajectory reflects how safe is the *path along*. The *Threat* (def. 2) for each cell has been already assessed. The set of *Passing Cells* is defined in *Trajectory Footprint* (eq. ??).

The Trajectory Reachability is given as a product of Threats along the trajectory (eq. 6.44). The Trajectory Reachability can be calculated for each trajectory segment given as $\{movement_1, \ldots, movement_i\} \subset Buffer$ originating from $state_0$.

$$reachibility(Trajectory) = \prod_{PassingCells}^{\forall cell_{i,j,k} \in} (1 - threat(c_{i,j,k}))$$
(6.44)

Note. The *Reachability* of *trajectory* segment gives the property of *safety* of route from the beginning, until the last point of the segment. There can be a very unsafe trajectory which is very safe from the beginning.

The *Reachability* of the *cell* is given by the best trajectory segment passing through the given cell. This is given by property, that every trajectory is originating from root $state_0$, which means that one safe route is sufficient to reach space in the cell.

The *Trajectory segment* reachability is sufficient, because the overall performance is not interesting, the *local reachability* is sufficient. The cell reachability is formally defined in (eq. 6.45).

```
reachability(cell_{i,j,k}) = \max\{Trajectory.Segment(cell_{i,j,k}).Reachability: \\ \forall Trajectory \in PassingTrajectories(cell_{i,j,k})\}  (6.45)
```

Note. Function Trajectory.Segment($cell_{i,j,k}$). Reachability gives same results for any segment in $cell_{i,j,k}$, because (eq. 6.44) accounts each cell threat only once.

Discretization: The fault tolerant implementation needs to implement sharp Boolean values of properties mentioned before. The fuzzy values are usually threshold to Boolean equivalent. The operational standards for Manned Aviation [12] demands the fail rate below 10^{-7} because there is no definition for UAS the minimal fail rate is expected to be at a similar level.

The $fuzzy\ values\ [0,1]$ are projected to Boolean properties of cell and Trajectory in the following manner (tab. 6.1).

The high values of *Visibility* (eq. 6.38) and *Reachability* (eq. 6.45, 6.44) are expected. The low *threshold* for *threats* values is expected. The error margin is solved by *Sensor Fusion*, therefore, initial *false positive* cases have a low rate. The *Detected Obstacle Rate* (eq. 6.39), *Map Obstacle Rate* (eq. 6.40), *Intruder Rate* (eq. 6.41), and *Constraint Rate* (eq. 6.42) thresholds are considered low.

Threshold = 10^{-7}			
Visibile	$visibility(cell_{i,j,k})$	\geq	(1 - threshold)
Detected Obstacle	$obstacle(cell_{i,j,k})$	\geq	threshold
Map Obstacle	$map(cell_{i,j,k})$	\geq	threshold
Intruder	$intruder(cell_{i,j,k})$	2	threshold
Constraint	$constraint(cell_{i,j,k})$	\geq	threshold
Reachable Trajectory	reachability(trajectory)	\geq	(1 - threshold)
Reachable Cell	$ reachibility(cell_{i,j,k}) $	\geq	(1 - threshold)

Table 6.1: Changing ratings from fuzzy to Boolean parameters.

Space Classification: The *Data Fusion Function* is outlined in (??). This classification is resulting in four distinct cell sets.

The *Uncertain* space for decision time t_i is a portion of *Avoidance Grid* which *UAS* cannot read with *Sensor Field*. The *cells* with a $\neg Visible$ property. The *Uncertain* space is given by (eq. 6.46).

$$Uncertain(t_i) = \{cell_{i,j,k} : cell_{i,j,k} \in AvoidanceGrid(t_i), cell_{i,j,k}. \neg Visible\}$$

$$(6.46)$$

The Occupied space for decision time t_i is the set of cells which are classified as Detected Obstacles. The Visibility is not an issue, due to the initial damping in (eq. 6.39). The formal definition is the space portion where it is possible to detect obstacle bodies or their portions (eq. 6.47).

$$Occupied(t_i) = \left\{ cell_{i,j,k} : \begin{array}{c} cell_{i,j,k} \in AvoidanceGrid(t_i), \\ cell_{i,j,k}.DetectedObstacle \end{array} \right\}$$

$$(6.47)$$

The Constrained space for decision time t_i is Visible portion of Avoidance Grid where the Intruder or Constraint is present. The mathematical formulation is given in (eq. 6.48).

$$Constrained(t_i) = \begin{cases} cell_{i,j,k} \in AvoidanceGrid(t_i), \\ cell_{i,j,k} : cell_{i,j,k}.Visible, \\ cell_{i,j,k}.Constraint \lor cell_{i,j,k}.Intruder \end{cases}$$

$$(6.48)$$

The Free space is the space which is Visible and $\neg Obstacle$, $\neg Intruder$, and, $\neg Constrained$. The mathematical definition is simple set subtractions from Avoidance Grid (eq. 6.49).

$$Free(t_i) = AvoidanceGrid(t_i) - \dots \cdots - (Uncertain(t_i) \cup Occupied(t_i) \cup Constrained(t_i))$$
 (6.49)

The Reachable space for time t_i , used in Avoidance because its free and there is a safe trajectory, is given as a set of cells from $Avoidance\ Grid$ which are Reachable. The mathematical definition is given in (eq. 6.50).

$$Reachable(t_i) = \left\{ cell_{i,j,k} : \begin{array}{c} cell_{i,j,k} \in AvoidanceGrid(t_i), \\ cell_{i,j,k}.Reachable \end{array} \right\}$$

$$(6.50)$$

Note. The Reachable Space at decision time t_i : The Reachable space is a non-empty set and its a subset of $Free(t_i)$ space:

$$|Reachable(t_i)| > 0, \quad Reachable(t_i) \subset Free(t)$$
 (6.51)

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