6.9 Rule Engine

This section is follow up of UTM functionality definition (sec. ??), outlining realization of UTM directives on UAS side (sec. 6.9.1, 6.9.2).

Reasoning: The *Avoidance* process and *UTM directives fulfillment* is different in every national airspace. The ICAO issues recommendation [1, 2] which are implemented by every member country, some of procedures are stricter some are implemented differently.

The *UTM* collision case calculation and procedures may be universal, but their realization by *UAS* will be heavily impacted by local legislation and procedures. The approach must account the need of variable parts of obstacle avoidance process. The dynamic parts needs to be woven to hard-coded processes.

Note. Please refer to Template Programming and Aspect Oriented Programming for further explanation.

Inspiration: There was a *Maritime Rules* implementation [3] in form of *Movement Restrictions* and *Waypoint Changes*.

6.9.1 Architecture

Purpose: The core process of Avoidance Grid Run (sec. ??) and Mission Control Run (sec. ??) needs to be enhanced based on situation. The architecture is based on aspect oriented approach [4]. The key ideas and concepts are taken from rule engine implementation for multiagent navigation system [5].

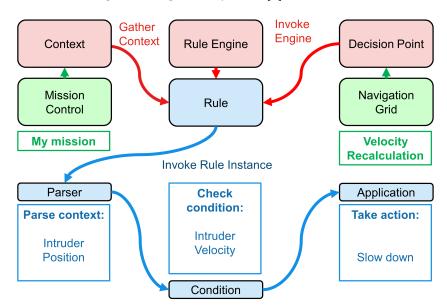


Figure 6.1: Rule engine components overview.

Rule Engine: The program module to inject and run *rules* modifying standard workflow based on triggering events. The *aspect oriented* approach enables to configure rules in *run-time* via predefined process hooks - *Decision Points*.

The rules in context of this work are pieces of code which have semi-static structure consisting from following parts (fig. 6.1):

- 1. Decision Point hook point in process where the rule can be attached/detached. If more than one rule is hooked the priority of execution needs to be defined.
- 2. Context the run time context in time of invocation in our case the copy of Mission Control, Avoidance/Navigation Grid and Collision Cases.
- 3. Parser Method optional helper method to parse interesting data set from Context.

 The parsed data have better readability.
- 4. Condition Check Method implementation of the trigger. If the sufficient condition is met, the rule body is applied.
- 5. Rule application calculations and data structure changes. Mainly disabling trajectories in Reach Set in our implementation.

Example: The UAS is flying in controlled airspace. The intruder shows in front of UAS. The UAS is faster than intruder. The UAS tries to obtain permission for Overtake. The UTM does not allow overtake, because of $insufficient\ UAS\ maneuverability\ capability$. The Rule (fig. 6.1) with:

- 1. Context UAS Mission Control, containing the actual mission goal and UAS IMU parameters.
- 2. Decision Point (Joint Point) Navigation grid, containing projected constraints and reach set approximation.
- 3. Rule is invoked:
 - a. Parser parses the context which is intruder's Position Notification containing its heading and velocity.
 - b. Condition is checked to relative intruder velocity. The evaluation is positive, when the UAS is pursuing intruder.
 - c. Application of Rule is last step, in this case the UAS will slow down.

Configurability: The Rule Engine enables real time configuration. The Enabled Rules Table have been implemented to enforce specific rules in specific context.

The *Rules* can be invoked from *Rule Application*, this enables effective rule chaining and piece-wise functionality split.

6.9.2 Rule Implementation

Configuration: The Rule Engine Architecture (fig. 6.1) is configured to handle UTM functionality for Collision Case Resolution (sec. ??). The overview of Context (Green), Decision Points (red) and Rules to be Invoked (cyan) is given in (fig. 6.2).

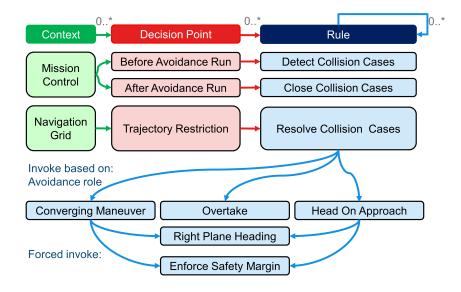


Figure 6.2: Rule engine initialization with Rules of the air.

Decision Points: The *Decisions* are bounded to *Mission Control Run Process* (fig. ??) in following manner:

- 1. Before Avoidance Run (before step 7.) Context: Mission Control (Received Collision Cases) the UTM can send directives. It is required to find which ones are impacting our UAS.
- 2. Trajectory Restrictions (after step 7.) Context: Navigation Grid (Trajectory Restrictions) adaptation of behavior imposed by active collision cases.
- 3. After Avoidance Run (after step 11.) Context: Mission Control (Collision Case Resolutions) our UAS will update the status of Collision Cases then it checks the avoidance conditions. The Resolution Notification resolution notifications are sent to UTM afterwards.

Note. The Weather Case (sec. ??) is handled in similar manner. The mission control loop (fig. ??) have rules with separate Decision Points to enforce hard constraints (before step 9.) and soft constraints (before step 10.).

Road map: The *implemented rules*(cyan) are separated into following categories:

- 1. Management Rules managing collision cases (additional control flow):
 - a. Detect Collision Cases (sec. 6.9.3) the detection of active participation in received collision cases and generation of restrictions.

- b. Resolve Collision Cases (sec. 6.9.4) the enforcement of active avoidance roles in collision cases. The one Restriction Rule is invoked directly.
- c. Close Collision Cases (sec. 6.9.5) impact calculation and Resolution Notification to UTM authority.
- 2. Restriction Rules restricting the Navigation Grid trajectories or altering goal waypoint based on selected collision cases:
 - a. Converging Maneuver (sec. 6.9.7) implementation of Converging Avoidance (sec. ??).
 - b. Head On Approach (sec. 6.9.6) implementation of Virtual Roundabout Enforcement (sec. ??).
 - c. Overtake (sec. 6.9.8) implementation of overtake maneuver for Overtaking plane (sec. ??).
- 3. Miscellaneous Rules reused pieces of code in Head On and Converging Situations:
 - a. Right Plane Heading (sec. 6.9.9) restrict all trajectories heading to space separated by parametric plane in Avoidance Grid which are heading or belonging to plane.
 - b. Enforce Safety Margin (sec. 6.9.10) restrict all Trajectories Segments which are in proximity of Collision Point lesser than Enforced Safety Margin.

6.9.3 Rule: Detect Collision Cases

This rule is activated each *UAS* avoidance run. *UTM* sent out all related collision cases (6.1) based on our *UAS* identifier. Creation of collision case is given in sec. ?? based on air traffic periodical position notifications (sec ??).

$$UTM \times timeFrame \rightarrow UTMCollisionCases$$
 (6.1)

If there are available position notifications (sec??) from surrounding air-traffic, UAS will calculate own collision cases (6.2).

$$uasStatus \times positionNotification \times utmTimeFrame \rightarrow UASCollisionCases$$
 (6.2)

Then UAS merges own collision cases with UTM collision cases, if there exist following disparities UAS will take action:

- 1. $distamce(ownCollisionPoint, utmCollisionPoint) \ge threshold$, send UTM notification, use utmCollisionPoint
- 2. $utmMargin \ge ownMargin$, use safety margin from UTM.

3. utmAvoidanceRole == active, ownAvoidanceRole == inactive, use UTM avoidance role.

- 4. utmCollisionCase == active, ownCollisionCase == uncertain, use UTM provided collision case, not all position notifications are available.
- 5. utmCollisionCase == inactive, ownCollisionCase == active, notify UTM with new collision case, ignore collision case until UTM approves.

Note. Avoidance role is classified as inactive if and only if UAS has right of the way, it is classified as active otherwise.

Safety margin determined by UTM has priority, because not all calculations factors are available for UAS.

Collision Case unknown to UTM are ignored, due to safety reasons (false data spoofing), collison case is activated after UTM confirmation. If there is real intruder not confirmed by UTM it is handled via non-cooperative or emergency avoidance procedure

Selection process of active collision cases is based on UAS avoidance role in each collision case.

- If the avoidance roles are following: Head On Approach, Converging Maneuver, or Overtake in all collision cases UAS system will stay in cooperative mode.
- If there exists at least one collision case with own avoidance role or intruder avoidance role set as emergencing, the UAS will notify UTM and ask for diversion order, meanwhile it sets itself into Emergency avoidance mode.
- If there exist multiple Overtake avoidance roles or combination of Overtake avoidance role and Other active role, the UAS will decrease its cruising speed like follows:

$$UASSpeed = \max \begin{cases} minimalUASCruisingSpeed, \\ \min \{intruderSpeed\} \quad \forall activeCollisionCases \end{cases}$$
(6.3)

During slow-down UAS switchs to emergency avoidance mode and asks for divergence order from UTM.

The rule is summarized in table 6.1.

Invocation: Every Decision point in UAS main loop

Objective:

- 1. Fetch UTM Collision cases for given decision time frame.
- 2. Create/update own own collision cases based on received Position notifications from surrounding Intruders.
- 3. Merge Collision cases based on UTM priority order.
- 4. Select active *collision cases* based on following conditions:
 - a. Active participation in collision case where avoidance role \neq Right of the way.
 - b. Collision point is int front of UAS.
 - c. Emergency mode detection there exist at least one non-cooperative participant.
- 5. Order collision cases based on severity.
- 6. If there is at least one active collision case enforce rule Resolve collision case (tab 6.2) for each active collision case.

Context	Condition	Application
UAS Mission control,	Clean avoidance grid,	Active collision case selec-
Before Avoidance Run,	No emergency	tion, Prioritization
UTM/UAS collision cases		

Table 6.1: Detect collision cases rule definition.

Ordering of collision cases starts if and only if the *UAS* is in cooperative avoidance mode. The cases are ordered for processing based on severity rating which is calculated based on:

- 1. Safety Margin the greater safety margins are prioritized.
- 2. Intruder vehicle class the more dangerous intruders are prioritized.
- 3. Collision point distance closer collision points are prioritized.
- 4. UAS avoidance role Head on Approach is favored upon Converging maneuver, due to direct collision severity.

Rule engine invocation for each active collision case is then applied on descending severity sorted list.

6.9.4 Rule: Resolve Collision Case

Active collision cases are processed one by one. All collision cases are applied to Navigation grid. Navigation grid contains all possible trajectories in form of Reach set. All trajectories are reachable at the beginning of UAS avoidance frame. Each application of collision case resolution rule disables some subset of feasible trajectories. For this reason are active collision cases sorted by severity.

It is assumed that UAS is in *cooperative avoidance mode*. If previous application of this rule forced UAS into *emergency mode* the rule is not applied to save system resources. *Emergency* mode is invoked if *rule application* disable all *trajectories* in *Navigation grid*. If there is at least one *feasible trajectory* in *avoidance grid* follow-up rule is invoked based on UAS *avoidance role*.

The rule is summarized in table 6.2.

Invocation: This rule is invoked if exists at least one active collision case in given navigation grid time-frame, moreover avoidance grid must be empty and cooperative avoidance mode is enforced.

Objective: Based on active collision case and UTM directives enforce behaviour based on own avoidance role:

- 1. Head on approach rule 6.4.
- 2. Converging maneuver rule 6.5.
- 3. Overtake rule 6.6.
- 4. Emergency mode switch from active avoidance mode to emergency mode.

Context	Condition	Application
UAS mission control, Tra-	Active merged collision	Enforce Rules of Air
jectory restriction, Colli-	case, Resolution mandate	or
sion cases,	from UTM	Enforce emergency

Table 6.2: Resolve collision case rule definition.

6.9.5 Rule: Close Collision Cases

Collection of rule results detected by rule 6.1 and resolved by rule 6.2 is done via context of rule engine. For each time-frame and each trajectory \in NavigationGrid, there exists rule engine context query (6.4) which returns trajectory status and list of applied rules

on trajectory.

$$Context(trajectory, timeFrame) \rightarrow \{State : Enabled/Disabled, Rule(s)\}\$$
 (6.4)

Calculation of possible trajectories in navigation grid is using collected rule results (6.4). If the trajectory state and linked rule reason is sufficient, the trajectory is disabled for given time frame. Standard navigation algorithm (TBD - reference to section with outer navigation loop) is used to select feasible trajectory.

Rules of the air and their application in General Aviation cases is consistent. Increasing trafic density can impose new layers of rules, which may cause the soft deadlock in manuverability. In this case Navigation grid will have all possible trajectories exhausted. Following procedure is executed:

- 1. UAS switch into Non-cooperative avoidance mode or Emergency avoidance mode depending on situation severity (One conflict can be handled with vertical separation of conflicting aircrafts).
- 2. UAS broadcasts warning message to all nearby aircrafts, and separation message(s) to conflicting aircraft. Separation message contains expected collision point and preferred separation type. Each conflicting aircraft then reacts and sends action notification to UTM.
- 3. If UAS switchs into emergency mode, non cooperative avoidance using avoidance grid is induced. Each relevant intruder is projected as timed body volume intruder (TBD reference to intruder probabilistic model), where safety margin is used as body radius.

UAS notifies *UTM* with course change, planned avoidance trajectory, avoidance mode. *UTM* approves planned changes or sends plan corrections (out of scope). The rule summary is given in table 6.3.

Invocation: There exists at least one active collision case which had impact on Navigation grid.

Objective: Ensure that multiple avoidance rules application gives feasible avoidance strategy, enter into emergency avoidance mode otherwise. Following steps are executed:

- 1. Collect rules applied on navigation grid from active collision cases.
- 2. Calculate possible trajectories for avoidance, there may be none.
- 3. If there is no feasible route, for each intruder from related collision cases:
 - a. Issue warning message containing expected collision point and preferred separation type.
 - b. Create appropriate intruder object for avoidance grid.
 - c. Calculate evasive maneuver based on expected separation type.
- 4. Notify UTM with collision case resolution for each active collision case. Nofigy UTM with planned trajectory and avoidance mode

Context	Condition	Application
UAS Mission control,	At least one trajectory in	Force Emergency mode
After avoidance run,	Navigation grid,	OR
Collision resolutions	Emergency check	Close Collision Case

Table 6.3: Close collision case rule definition.

6.9.6 Rule: Head on Approach

Rule (6.4) is invoked based on *angle of approach* range condition, defined *collision case* section ??. The handling of *head on* avoidance is given in section ??.

Virtual round-abound for UAS and intruder is created by UTM. The center of virtual round-abound and corrections for participants margins are determined based on:

- 1. Collision case center contributes to round-abound center median point.
- 2. UAS and intruder maneuverability determines attendants avoidance mode and maximal avoidance margins.
- 3. Surrounding air-traffic contributes to round-abound center median point, determines ideal ideal avoidance margins due to wake turbulence prevention.

Invocation: When UAS avoidance role is Head on avoidance and avoidance grid is empty.

Objective: Ensure that UAS body does not enter into intruder's well clear zone.

- 1. Prevent *left-side leading* maneuvers (rule 6.7).
- 2. Prevent head on safety margin breach (rule 6.8).
- 3. Return to original course, when navigation grid is clear.
- 4. Prevent wake turbulence (by safety margin correction).
- 5. Enforce *Round-about* behaviour (by clustering collision cases).

Context	Condition	Application
UAS Navigation Grid,	None	Run rules referenced in ob-
Collision Point,		jective listing.
Avoidance role		

Table 6.4: Head on Approach rule definition.

Virtual round-abound center is calculated as corrected median (6.5) taking cluster of collision cases and calculates median of their collision points corrected by weather and wake turbulence factor.

$$\sum_{c_i \in collisionCases} (c_i.center + correction) / count(collisionCases) + correction(Weather) + correction(WakeTurbulence)$$

$$(6.5)$$

Corrected margin needs to be calculated for each participating aircraft, because of the virtual roundabout center correction (6.5). Each round-abound participant is ordered based on importance (lowest maneuverability first). Then for each round-abound participant obtains corrected margin (6.6) calculated from collision case safety margin, corrections based on other more important vehicles, weather, wake turbulence.

$$corrected Margin = \min \begin{bmatrix} case Margin + correction & Important Vehicles, \\ Weather, \\ Wake Turbulence \\ maximal Avoidance Margin \end{bmatrix}$$
 (6.6)

6.9.7 Rule: Converging Maneuver

Rule is invoked based on *angle of approach* range defined in *collision case calculation* (sec. ??). Behaviour enforced to this rule is equal to rule 6.4 except the *intruder* stays on his original path. UAS behaviour is described in section ??. The *rule summary* is given by (tab. 6.5).

Invocation: When UAS avoidance role is Converging and avoidance grid is empty.

Objective: Ensure that UAS body does not enter into intruder's well clear zone.

- 1. Prevent *left-side leading* maneuvers (rule 6.7).
- 2. Prevent head on safety margin breach (rule 6.8).
- 3. Return to original course, when navigation grid is clear.
- 4. Prevent wake turbulence encounter (by safety margin correction).

Context	Condition	Application
UAS Navigation grid,	None	Run rules from objective.
Collision point,		
Avoidance role		

Table 6.5: Converging maneuver rule definition.

6.9.8 Rule: Overtake

During overtake maneuver there is our UAS and Intruder cruising at same flight level. Angle of approach (α) is lesser than 70° . UAS absolute velocity is much greater than overtaken absolute velocity.

It is assumed that during overtake maneuver overtaken intruder will keep constant heading and velocity. If this assumption is broken UAS system will invoke Emergency avoidance procedure. UTM will calculate such divergence and convergence waypoints that overtake safety condition (6.7) is satisfied.

$$distance(uasPosition, overtakenPosition) \ge utmMargin, \forall t \in manueverTime$$
 (6.7)

Where *utmMargin* is calculated based on *Collision case* resolution. *Main idea* is to calculate *Safe offset for Overtake maneuver*, lets have:

$$velocityDifference = \|uasVelocity - overtakenVelocity\| [ms^{-1}, ms^{-1}, ms^{-1}]$$
 (6.8)

Decision distance (6.9) is given as distance when UTM mandate takes effectiveness, its

assumed that *UTM* knows *utm decision frame* [s]:

$$decisionDistance = velocityDifference \times uasDecisionFrame \ [m, ms^{-1}, s] \ (6.9)$$

Overtake middle distance (6.10) is length of hypotenuse for triangle where positional difference and utm margin for overtake are cathetuses:

$$overtakeMiddle = \sqrt{\frac{\|uasPosition - collisionPoint\|_{2} + }{+ safetyMargin^{2}}} \quad [m, \vec{m}, \vec{m}, m]$$
 (6.10)

Safe offset (6.11) is considered as combination of overtake middle distance (6.10), decision distance and uas waypoint reach margin.

$$overtakeMiddle \\ safeOffset = +decisionDistance \\ +waypointReachMargin \\ (6.11)$$

Note. Waypoint reach margin [m] is property of own UAS navigation algorithm. It represents maximal distance of vehicle position and waypoint at time when waypoint is considered reached.

Local coordinate frame: UAS and Overtaken are in Local coordinate frame heading in X^+ axis direction (X^+ front of aircrafts, X^- back of vehicles, Y^- right side, Y^+ left side, $flightLevel \rightarrow Z = 0$), Collision Point is considered as $\vec{0}$,

Divergence point (6.12) in local coordinates is given as right offset of (UTM margin) and decision distance:

$$divergence = \begin{bmatrix} 0 \\ -decisionDistance - utmMargin \\ 0 \end{bmatrix} \quad [\vec{m}, m, m]$$
 (6.12)

Convergence point (6.13) in local coordinates is given frontal safe offset (6.11) and right offset of UTM margin and decision distance:

$$convergence = \begin{bmatrix} safeOffset \\ -decisionDistance - utmMargin \\ 0 \end{bmatrix} \quad [\vec{m}, m, m]$$
 (6.13)

Convergence (6.14) and Divergence (6.15) waypoint in global coordinate frame is obtained via transformation function R_{XYZ} as follow:

$$divergence Way point = collision Point + R_{XYZ}(overtaken Orientation, divergence)$$

$$(6.14)$$

$$convergence Waypoint = collision Point + R_{XYZ}(overtaken Orientation, convergence)$$

$$(6.15)$$

Overtake rule is summarized in (tab. 6.6).

Invocation: Invoked by rule Collision Case Resolution (rule 6.2)

Divergence Waypoint (6.14): waypoint to diverge from original UAS path to ensure Intruder safety, with unchanged intruder velocity and heading.

Convergence Waypoint (6.15): waypoint when convergence to original UAS path is enabled, within unchanged intruder velocity and heading.

Objective:

- 1. Calculate Divergence Waypoint and Convergence Waypoint.
- 2. Enforce Divergence/Convergence waypoint during avoidance.

Context	Condition	Application
UAS Navigation Grid,	UASVelocity	Calculate & Enforce:
Collision Point,	>>	• Divergence waypoint,
Avoidance Role	Intruder Velocity	•Convergence waypoint

Table 6.6: Overtake rule definition.

6.9.9 Rule: Right Plane Heading

There is need to check if trajectory is heading to right side from collision point. For this purpose we need to define separation plane in 3D environment. Separation plane will be defined according to Samuelson hyperplane separation theorem [6].

Separation plane (6.16) is defined by three points in global coordination frame:

- 1. UAS Position which is fixed to given time-frame.
- 2. Collision point which is not equal to uas position by definition.
- 3. Gravitational acceleration vector fitted to UAS position and orthogonal to vector $(uasPosition \rightarrow collisionPoint)$.

The properties of these three points guarantees that $scale.usasPosition \neq scale.collisionPoint \neq scale.gravitationalAcceleration$ for any linear $scale \neq 0$.

$$Separation Plane = Plane \begin{pmatrix} uas Position, collision Point, \\ loc 2glob (uas Position, gravitational Acceleration) \end{pmatrix}$$

$$(6.16)$$

Separation plane (6.16) in right-hand coordinate frame where center = uasPosition X^+ is given by vector $\vec{x^+}$ (uasPosition, collisionPoint) and Z^- is given by vector $\vec{z^-}$ (uasPosition, gravitationalAcceleration). Then right subspace can be defined as all points where y < 0 and left subspace as all points where y > 0.

Reach set contains trajectories, minimal dataset for trajectory is time-series of position and heading regardless underlying nonlinear model. Let us have transformation function which can map UAS position and heading into separation plane coordinate frame.

The first condition (6.17) says that each trajectory point must lie within right subspace.

$$\forall position \in trajectory, \quad position \in rightSubspace$$
 (6.17)

The second condition (6.18) needs to be applied for each decision point, when trajectory can be re-planned. It must be ensured that in time of reaching decision point vehicle is not heading into left subspace with given turning time horizon. The minimal information contains heading (velocity) vector. Checking if linear projection from position point with heading in given time-frame [0, horizon] is sufficient.



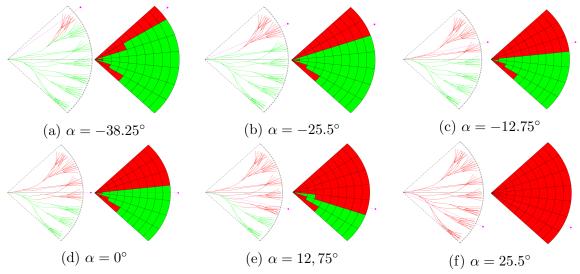


Figure 6.3: Right plane heading rule evaluation for various angles of approach α .

Figure 6.3. shows enabled (green line) and disabled (red lines) trajectories (left sub-figure). These trajectories are divided according to separation line (magenta dashed line), given by vehicle position and collision point (magenta circle). Space segmentation (right subfigure) show reachable (green fill) unreachable (red fill) space. Situation is shown for various collision point angles of approach α .

Rule for right plane heading check is summarized in (tab. 6.7).

Invocation: Invoked by other maneuver rules.

Objective: Disable all trajectories in Navigation grid's reach set which are:

- 1. Heading into collision zone
- 2. Leading into collision zone

Context	Condition	Application
UAS Navigation Grid,	There are feasible trajecto-	Disable trajectories in
Collision point (LOC)	ries in Navigation Grid.	Navigation Grid.

Table 6.7: Right plane heading rule definition.

6.9.10 Rule: Enforce safety margin

Rule 6.7. checks right plane heading for single mass point along trajectiories. Rule needs to account body mass of intruder and UAS, other factors like safe distance, regulations etc. All mentioned factors are included in safety margin. Safety margin is applied as radius ball around collision point.

Collision point can be mapped from global coordinate frame to reach set coordinate frame, based on UAS position and orientation in decision time. Then comparison of distance between collision point and every trajectory decision point is trivial.

Trajectory feasibility condition for non-controlled airspace (6.19) is given as follow:

$$\forall position \in trajectory, distance(position, collision point) \geq safetyMargin$$
 (6.19)

Controlled airspace must maintain well clear condition. To enforce protective barrel around collision point one must compare global coordinates. Trajectory feasibility condition for controlled airspace (6.20) is given as follow:

 $\forall position \in trajectory,$ $XY distance(position, collisionPoint) \geq safetyMargin \qquad (6.20)$ $flightLevelStart \geq Z(position) \geq flightLevelEnd$

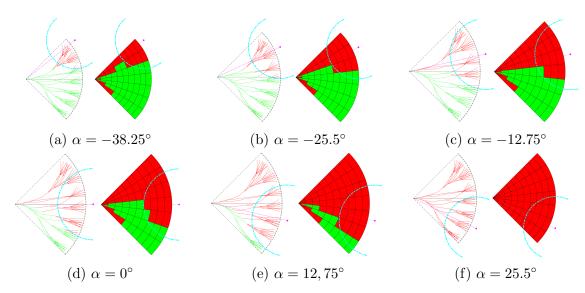


Figure 6.4: Enforce safety margin rule evaluation for various angles of approach α .

Figure 6.4. shows enabled (green line) and disabled (red lines) trajectories (left subfigure). These trajectories are divided according to separation line (magenta dashed line), given by vehicle position and collision point (magenta circle). More trajectories are disabled due to safety margin (teal dashed line) around the collision point. Space segmentation (right subfigure) show reachable (green fill) unreachable (red fill) space. Situation is shown for various collision point angles of approach α .

Rule for safety margin check is summarized in (tab. 6.8).

Invocation: Invoked by other maneuver rules.

Objective: Based on type of airspace, for given collision point and safety margin disable trajectories in:

- 1. Ball radius for non-controlled airspace (6.19).
- 2. Well clear barrel controlled airspace (6.20).

Context	Condition	Application
UAS Navigation Grid	There are feasible trajecto-	Disable trajectories in
Collision point	ries for condition applica-	Navigation Grid.
Safety Margin	tion.	

Table 6.8: Enforce safety margin rule definition.

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