# Appendix G

# Additional UTM functionality

This appendix contains additional UTM functionality description and detailed rule body implementations.

#### G.1 Weather Case

**Motivation:** The weather, as defined in (eq. ??), impacts flight and system dynamics; therefore it impacts the *reach set* is impacted. The *weather impact* can be solved by policy application:

- 1. Weather Acceptance for bigger UAS the normal weather impact does not pose a significant risk. The segmented movement automaton (def. ??) with Weather situation as the discrete state is used.
- 2. Weather Avoidance all weather impact zones are considered as hard constraints with protective soft-constraint around.
- 3. Combined approach depending on the type of impact and declared UAS impact resistance the zones are divined into soft and hard constraints.

Note. This work handles small UAS avoidance; these are very sensitive to any weather impact; therefore Weather impacted areas will be considered as hard constraints with soft constraint protection zone.

The original weather impact zone is considered as obstacle body and enforces the body margin.

The surroundings of weather impact zone up to safety margin distance are considered as soft constraint zone (implemented as a bloated polygon).

**Purpose:** The weather case (tab. G.1) is broadcasted by Airspace Authority to impacted area, each UAS then change their mission according to their maneuvering capabilities. Each trajectory must lead away from the constrained area. The algorithm used for intersection selected based on [1] the selected algorithm Shamos-Hoey [2].

Constrained Area: Constrained area can be defined as *static* (sec. ??) or dynamic constraint (sec. ??). The *constraint center* is defined on horizontal plane like follow:

$$ConstraintCenter = center \in [latitude, longitude]$$
 (G.1)

The Convex Polygon boundary is defined on horizontal plane, contains at least 3 vertexes:

$$ConvexPolygon = \{point_i : point_i \in [latitude, longitude], i \ge 3\}$$
 (G.2)

The Vertical constraint is defined as range of barometric altitude (Above Mean Sea Level):

$$VerticalConstraint = [startAltitude, endAltitude]$$
 (G.3)

**Additional parameters**: Following additional parameters with additional purpose can be attached to *Weather Constraint*.

- 1. Type defines required resistance moisture, temperature, wind.
- 2. Severity defines the impact for each aircraft category, this is used in soft/hard type assessment.
- 3. Duration start and end of constraint validity, if not defined valid for all UAS mission time.
- 4. Velocity velocity and last position assessment time.

Note. Our implementation does not consider the type or severity. All weather impact is considered as a hard constraint. The velocity differentiates static (=0)/moving (>0) constraints.

**Avoidance System:** Resolve similar to *Converging/Overtake Maneuver* depending on the *angle of approach*. The *virtual roundabout* is utilized for *static constraints*; the *intruder model* is utilized for *dynamic constraints*.

Constrained area		
center position	is given as a geometrical center point of the boundary.	
boundary	is represented as a <i>convex polygon</i> on the latitude-longitude	
	plane.	
start altitude	is lover boundary barometric altitude given at above mean sea	
	level, where given weather factor has a significant impact.	
end altitude	is upper boundary barometric altitude given at above mean	
	sea level, where given weather factor has a significant impact.	
Additional parameters		

type(s)	lists weather events occurring in the <i>constrained area</i> .	
severity list	is recorded for each plane category	
start	indicates when weather constraint was established.	
expected end	of weather constraint.	
velocity	indicates if weather phenomenon is moving.	
Miscellaneous		
previous	reference to weather constraint decision time-frame data.	
impacted	list of possibly impacted attendees (planes which obtained	
	divergence order or warning from UTM).	

Table G.1: Static/Dynamic weather constraint for given decision time-frame.

#### G.2 Rule: Detect Collision Cases

This rule is activated each *UAS* avoidance run. *UTM* sent out all related collision cases (G.4) based on our *UAS* identifier. Creation of collision case is given in (sec. ??) based on air traffic periodical position notifications (sec ??).

$$UTM \times timeFrame \rightarrow UTMCollisionCases$$
 (G.4)

If there are available position notifications (sec??) from surrounding air-traffic, UAS will calculate own collision cases (G.5).

$$uasStatus \times positionNotification \times utmTimeFrame \rightarrow UASCollisionCases$$
 (G.5)

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

- 1.  $distance(ownCollisionPoint, utmCollisionPoint) \ge threshold$ , 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 the right of 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), collision 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

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

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

$$UASSpeed = \max \begin{cases} minimalUASCruisingSpeed, \\ \min \{intruderSpeed\} \quad \forall activeCollisionCases \end{cases}$$
 (G.6)

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

The rule is summarized in table G.2.

Invocation: Every Decision point in UAS main loop

#### Objective:

- 1. Fetch UTM Collision cases for a given decision time frame.
- 2. Create/update 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 the following conditions:
  - a. Active participation in collision case where avoidance role  $\neq$  Right of the way.
  - b. Collision point is in the front of UAS.
  - c. Emergency mode detection there exists 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 G.3) 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 G.2: Detect collision cases rule definition.

The 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.

#### G.3 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 the form of Reach set. All trajectories are reachable at the beginning of the 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 the 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* disables 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 G.3.

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 behavior based on own avoidance role:

- 1. Head on approach rule G.5.
- 2. Converging maneuver rule G.6.
- 3. Overtake rule G.7.
- 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 G.3: Resolve collision case rule definition.

### G.4 Rule: Close Collision Cases

Collection of rule results detected by rule G.2 and resolved by rule G.3 is done via the context of the rule engine. For each time-frame and each trajectory  $\in$  NavigationGrid, there exists rule engine context query (G.7) which returns trajectory status and list of applied rules on trajectory.

$$Context(trajectory, timeFrame) \rightarrow \{State : Enabled/Disabled, Rule(s)\}$$
 (G.7)

Calculation of possible trajectories in navigation grid is using collected rule results (G.7). If the trajectory state and linked rule reason are sufficient, the trajectory is disabled for the given time frame. Standard navigation algorithm is used (sec. ??) to select feasible trajectory.

Rules of the air and their application in General Aviation cases is consistent. Increasing traffic density can impose new layers of rules, which may cause the soft deadlock in maneuverability. In this case, Navigation grid will have all possible trajectories exhausted. The 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 aircraft).
- 2. UAS broadcasts warning message to all nearby aircraft, and separation message(s) to conflicting aircraft. Separation message contains an expected collision point and preferred separation type. Each conflicting aircraft then reacts and sends action notification to UTM.
- 3. If UAS switches into *emergency mode*, non-cooperative avoidance using *avoidance grid* is induced. Each relevant intruder is projected as *timed body volume intruder* (app. ??), 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 G.4.

Invocation: There exists at least one active collision case which had an 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 the expected separation type.
- 4. Notify UTM with collision case resolution for each active collision case. Notify 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 G.4: Close collision case rule definition.

## G.5 Rule: Head on Approach

Rule (G.5) is invoked based on the *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 the 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 the UAS body does not enter into intruder's well clear zone.

- 1. Prevent *left-side leading* maneuvers (rule G.8).
- 2. Prevent head on safety margin breach(rule G.9).
- 3. Return to original course, when navigation grid is clear.
- 4. Prevent wake turbulence (by safety margin correction).
- 5. Enforce *Round-about* behavior (by clustering collision cases).

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

Table G.5: Head on Approach rule definition.

The virtual round-abound center is calculated as corrected median (G.8) taking cluster of collision cases and calculates the median of their collision points corrected by weather and wake turbulence factor.

$$\sum_{\substack{c_i \in collisionCases\\ + correction(Weather) + correction(WakeTurbulence)}} (c_i.center + correction) / count(collisionCases) + correction(Weather) + correction(WakeTurbulence)$$
(G.8)

Corrected margin needs to be calculated for each participating aircraft, because of the virtual roundabout center correction (G.8). Each round-abound participant is ordered based on importance (lowest maneuverability first). Then for each round-abound participant obtains corrected margin (G.9) calculated from collision case safety margin, corrections based on other more important vehicles, weather, wake turbulence.

$$corrected Margin = \min \begin{bmatrix} case Margin + correction & Important Vehicles, \\ Weather, \\ Wake Turbulence \\ maximal Avoidance Margin \\ \end{bmatrix} \tag{G.9}$$

## G.6 Rule: Converging Maneuver

The rule is invoked based on the *angle of approach* range defined in *collision case calculation* (sec. ??). Behavior enforced to this rule is equal to rule G.5 except the *intruder* stays on his original path. UAS behavior is described in (sec ??). The *rule summary* is given by (tab. G.6).

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

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

- 1. Prevent *left-side leading* maneuvers (rule G.8).
- 2. Prevent head on safety margin breach (rule G.9).
- 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 G.6: Converging maneuver rule definition.

## G.7 Rule: Overtake

During overtake maneuver there is our UAS and Intruder cruising at same flight level. The angle of approach  $(\alpha)$  is lesser than  $70^{\circ}$ . 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, the *UAS* system will invoke *Emergency* avoidance procedure. *UTM* will calculate such divergence and convergence waypoints that overtake safety condition (G.10) is satisfied.

 $distance(uasPosition, overtakenPosition) \ge utmMargin, \forall t \in manueverTime$ (G.10)

Where utmMargin is calculated based on Collision case resolution. The main idea is to

calculate Safe offset for Overtake maneuver, let us have:

$$velocityDifference = \|uasVelocity - overtakenVelocity\| [ms^{-1}, ms^{-1}, ms^{-1}]$$
(G.11)

Decision distance (G.12) is given as distance when UTM mandate takes effectiveness, its assumed that UAS knows UTM decision frame [s]:

$$decisionDistance = velocityDifference \times uasDecisionFrame \ [m, ms^{-1}, s] \ (G.12)$$

Overtake  $middle\ distance(G.13)$  is a length of the hypotenuse for triangle where  $positional\ difference$  and  $utm\ margin$  for overtake are cathetuses:

$$overtakeMiddle = \sqrt{\frac{\|uasPosition - collisionPoint\|_{2} + }{+ safetyMargin^{2}}} \quad [m, \vec{m}, \vec{m}, m] \quad (G.13)$$

Safe offset (G.14) is considered as a combination of overtake middle distance (G.13), decision distance and uas waypoint reach margin.

$$overtakeMiddle \\ safeOffset = +decisionDistance \\ +waypointReachMargin \\ (G.14)$$

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

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

Divergence point (G.15) in local coordinates is given as right offset of (UTM margin) and decision distance:

$$divergence = \begin{bmatrix} 0 \\ -decisionDistance - utmMargin \\ 0 \end{bmatrix} \quad [\vec{m}, m, m]$$
 (G.15)

Convergence point (G.16) in local coordinates is given frontal safe offset (G.14) and right offset of  $UTM\ margin$  and  $decision\ distance$ :

$$convergence = \begin{bmatrix} safeOffset \\ -decisionDistance - utmMargin \\ 0 \end{bmatrix} \quad [\vec{m}, m, m]$$
 (G.16)

Convergence (G.17) and Divergence (G.18) waypoint in global coordinate frame is

obtained via transformation function  $R_{XYZ}$  as follow:

$$divergence Way point = collision Point + R_{XYZ}(overtaken Orientation, divergence)$$
(G.17)

$$convergenceWaypoint = collisionPoint + R_{XYZ}(overtakenOrientation, convergence)$$
 (G.18)

Overtake rule is summarized in (tab. G.7).

Invocation: Invoked by rule Collision Case Resolution (rule G.3)

Divergence Waypoint (G.17): waypoint to diverge from original UAS path to ensure Intruder safety, with unchanged intruder velocity and heading.

Convergence Waypoint (G.18): 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 G.7: Overtake rule definition.

## G.8 Rule: Right Plane Heading

There is a need to check if the *trajectory* is heading to the *right-side* from *collision point*. For this purpose, one may need to define a *separation plane in the 3D environment*. Separation plane will be defined according to Samuelson hyperplane separation theorem [3].

Separation plane (G.19) 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  $scale \neq 0$ .

$$Separation Plane = Plane \begin{pmatrix} uas Position, collision Point, \\ loc 2glob (uas Position, gravitational Acceleration) \end{pmatrix}$$
(G.19)

Separation plane (G.19) 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  $y \leq 0$  and left subspace as all points where y > 0.

Reach set contains trajectories, the 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 (G.20) says that each trajectory point must lie within the right space portion.

$$\forall position \in trajectory, \quad position \in rightSubspace$$
 (G.20)

The second condition (G.21) 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 a heading (velocity) vector. Checking if linear projection from position point with heading in given time-frame [0, horizon] is sufficient.

$$\forall t \in [0, horizon], \quad (position + velocity * t) \in rightSubspace$$
 (G.21)

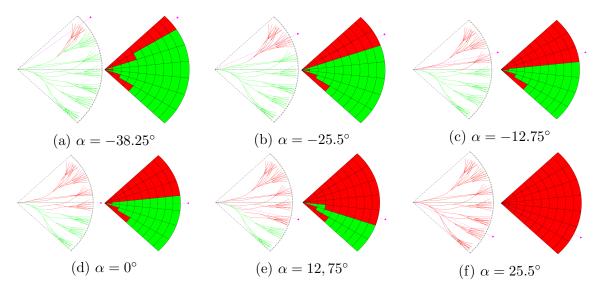


Figure G.1: Right plane heading rule evaluation for various angles of approach  $\alpha$ .

Figure G.1. shows enabled (green line) and disabled (red lines) trajectories (left sub-

figure). These trajectories are divided according to the 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. The situation is shown for various collision point angles of approach  $\alpha$ .

The rule for a right plane heading check is summarized in (tab. G.8).

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 G.8: Right plane heading rule definition.

# G.9 Rule: Enforce safety margin

Rule G.8. checks right plane heading for a single mass point along *trajectories*. The rule needs to account *body mass* of *intruder* and UAS, other factors like safe distance, regulations, etc. All mentioned factors are included in the *safety margin*. The *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 a decision time. Then a comparison of distance between collision point and every trajectory decision point is trivial.

Trajectory feasibility condition for non-controlled airspace (G.22) is given as follow:

$$\forall position \in trajectory, \quad distance(position, collision point) \geq safetyMargin \quad (G.22)$$

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 (G.23) is given as follow:

 $\forall position \in trajectory,$ 

$$XY distance(position, collision Point) \ge safety Margin$$
 (G.23)  
 $flight Level Start \ge Z(position) \ge flight Level End$ 

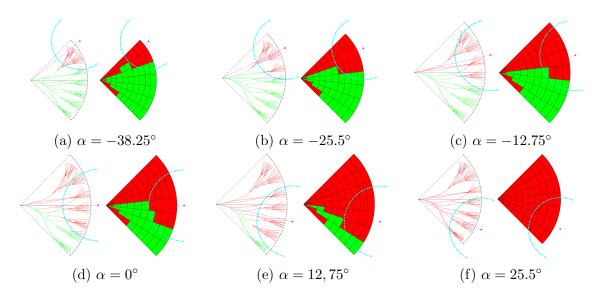


Figure G.2: Enforce safety margin rule evaluation for various angles of approach  $\alpha$ .

Figure G.2. shows enabled (green line) and disabled (red lines) trajectories (left subfigure). These trajectories are divided according to the 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. The situation is shown for various collision point angles of approach  $\alpha$ .

The rule for safety margin check is summarized in (tab. G.9).

Invocation: Invoked by other maneuver rules.

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

- 1. Ball radius for non-controlled airspace (G.22).
- 2. Well-clear barrel controlled airspace (G.23).

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 G.9: Enforce safety margin rule definition.

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- [3] Hans Samelson, Robert M Thrall, and Oscar Wesler. A partition theorem for euclidean n-space. *Proceedings of the American Mathematical Society*, 9(5):805–807, 1958.