### UNIVERSITY OF TECHNOLOGY SYDNEY

Centre for Autonomous Systems, Faculty of Engineering and Information Technology

## Autonomous Navigation and Planning Technology for Quad-rotors Unmanned Aerial Vehicle (UAV) System

by

Yongbo Chen

A THESIS SUBMITTED
IN PARTIAL FULFILLMENT OF THE
REQUIREMENTS FOR THE DEGREE

**Doctor of Philosophy** 

Sydney, Australia

2021

## Certificate of Authorship/Originality

I certify that the work in this thesis has not been previously submitted for a degree nor has it been submitted as a part of the requirements for other degree except as fully acknowledged within the text.

I also certify that this thesis has been written by me. Any help that I have received in my research and in the preparation of the thesis itself has been fully acknowledged. In addition, I certify that all information sources and literature used are quoted in the thesis.

Yongbo Chen

April 30, 2021

Production Note: Signature removed prior to publication.

### ABSTRACT

# Autonomous Navigation and Planning Technology for Quad-rotors Unmanned Aerial Vehicle (UAV) System

by

#### Yongbo Chen

In an unknown environment, a robot needs to keep estimating its pose and, simultaneously, building a map of its surrounding environment using only on-board sensors. This problem is called as simultaneous localization and mapping (SLAM), which is one of the key robotics problems that have been studied in the past decades. Meanwhile, many related research problems, including active SLAM, semantic SLAM and so on, are studied to further extend the applications of SLAM. This thesis aims to investigate the graph structure of SLAM and applies it in the related problems, including anchor selection and active SLAM, with the applications for Quad-rotors UAV system. The thesis is composed of three parts:

First, we explore the relation between the graphical structure of 2D and 3D pose-graph SLAM and Fisher information matrix (FIM), Cramér-Rao lower bounds (CRLB), and its optimal design metrics (T-/D-optimality). Based on the assumption of isotropic Langevin noise for rotation and block-isotropic Gaussian noise for translation, the FIM and CRLB are derived and shown to be closely related to the graph structure, in particular, the weighted Laplacian matrix. We also prove that the total node degrees and the weighted number of spanning trees, as two graph connectivity metrics, are closely related to the trace and determinant of FIM, respectively. We also present upper and lower bounds for the D-optimality metric, which can be efficiently computed and are almost independent of the estimation results. The proposed conclusions are verified with several well-known datasets.

Second, we consider 2D/3D pose-graph SLAM problem when accurate ground

truth for some poses, termed anchors, can be obtained. We present a high-efficient algorithm for the problem of choosing a set of anchored poses from a set of possible or potential poses, that minimizes estimated error in pose-graph SLAM. Using the tree-connectivity, the anchor selection problem is re-formulated as a sub-matrix selection problem for reduced weighted Laplacian matrix and belongs to maximization problem of a sub-modular function with a cardinality-fixed constraint. Two improved greedy methods, using Cholesky decomposition, approximate minimum degree permutation (AMDP), order re-use, and rank-1 update technologies, are presented to solve this problem with a performance guarantee between the chosen subset and the optimal solution. Simulations with public-domain datasets and real-world experiments are presented to demonstrate the efficiency of the proposed techniques.

Third, as an application of the graph structure results, based on map joining, two active SLAM methods with two different frameworks are presented: one for 2D feature-based SLAM and the other one for 3D pose-graph SLAM. For the 2D feature-based SLAM, we present a detached method based on model predictive control (MPC) framework. For the uncertainty minimization problem, a non-convex constrained least-squares problem is presented to approximate the original problem using graph topology. Using convex relaxation, it is further transformed into a convex problem, and then solved by a convex optimization method and a rounding procedure based on the singular value decomposition (SVD). For the area coverage problem, it is solved by the sequential quadratic programming (SQP) method. For the 3D pose-graph active SLAM problem, weighted node degree (T-optimality metric) and weighted tree-connectivity (D-optimality metric) are introduced to choose a candidate trajectory and several key poses. With the help of the key poses, a sampling-based path planning method and a continuous-time trajectory optimization method are combined hierarchically. In simulations and experiments, we validate these two approaches by comparing against existing methods, and we demonstrate the off/on-line planning part using a quad-rotor unmanned aerial vehicle (UAV).

### Acknowledgements

In past two years, as a dual PhD student both at University of Technology Sydney (UTS) and Beijing Institute of Technology (BIT), I have gone through a mysterious research journey, filled with countless meaningful moments of research failure and triumph. When I am close to the finish line, I really realize that I cannot make this advance without the help of my surrounding people and my two universities UTS and BIT.

At first, I would like to thank my main supervisor A/Prof. Shoudong Huang. He guides me into the robotics research area and significantly helps me to complete my research. Without his help, I am almost impossible to finish this thesis. His vision, wisdom, and guidance along the way have helped me to go ahead on the right direction. Thank you for asking the right questions at the right time, for your enduring trust, patience, unconditional, and great support.

I want to thank Prof. Gamini Dissanayake, my co-supervisor Dr. Zhao, and Prof. Robert Fetch. In my research process, they spend much precise time to help the revision of my submitted papers. Many useful comments are given to revise my papers. Their vision, wisdom, and guidance along the way have helped me to improve my research level.

I also want to thank my supervisor at BIT, Prof. Jinqiao Yu. My life is changed because of his broad-mind and forethought. He gives me the opportunity to apply the China Scholarship Council (CSC) scholarship and join Centre for Autonomous Systems (CAS), UTS as a dual-PhD student. His support opens a gate for me, and then I find the direction of my own career. At the beginning of my PhD studying, he also offers many academic suggestions to me, which speeds up my steps in the academic area. He is my unexpected helper.

After four magnificent years, I will explore my own research areas in the coming days. Special thanks to my amazing friend, Jun Wang, with whom I have shared two years of unforgettable memories. Thanks to my wonderful friends and labmates in CAS. In particular, thanks to Kasra Khosoussi, Teng Zhang, Liyang Liu, Fang Bai, Jingwei Song, Yanghao Zhang, Jiaheng Zhao, Tianming Wang, Huan Yu, Wenjie Lu, Chanyeol Yoo, Karthick Thiyagarajan, Mahdi Hassan, Tomoyuki Shiozaki, Cedric Le Gentil, Prof. Dikai Liu, A/Prof. Sarath Kodagoda, A/Prof. Jaime Valls Miro, Dr. Teresa Vidal-Calleja, Dr. Alen Alempijevic, and many others.

As a dual-PhD student, I also want to thank my labmates in my chinese cooperative network formulation lab (CNFL), at BIT, including: Guanchen Luo, Qibo Deng, Shengqing Yang, Yafei Wang, Nuo Xu, Linlin Wang, Siyu Zhang, Xiaolong Su, Huchao jiang, Yuanchuang Shen, Fangzheng Chen, Xiaolin Ai, Weidong Liang, Di Yang, and many others.

I would like to express my gratitude to UTS, BIT and CSC for offering the great chance to take part in the international PhD visiting program. By their helps, I can come to Australia to improve my research skills. I have learned and achieved a lot during this wonderful period.

Finally, I want to thank my relatives: my grandparents, my parents in law, my wife, my little brother, and my son. In this journey, I have to stay apart from you, which is the most difficult part for me. Thank you very much for your support. Without your support, it is really hard to image that I can finish this thesis.

Yongbo Chen Sydney, Australia, 2021.

## Contents

	Certificate	ii
	Abstract	iii
	Acknowledgments	V
	List of Figures	xiv
1	Introduction	1
	1.1 Motivation	2
	1.2 Main contributions	4
	1.3 Thesis organization	6
	1.4 Publication	6
<b>2</b>	Literature Survey on SLAM and Active SLAM	10
	2.1 SLAM from filter to optimization	11
	2.1.1 Filter-based SLAM	11
	2.1.2 Optimization-based SLAM	14
	2.1.3 Map joining and initialization	18
	2.2 Active SLAM development	20
	2.3 Summary	24
3	Cramér-Rao Bounds and Optimal Design Metrics for	
	Pose-graph SLAM	<b>26</b>
	3.1 Related work	27

	3.2	Synchro	onization on $\mathbb{R}^n \times SO(n)$ , pose-graph SLAM	30
		3.2.1	Synchronization on $\mathbb{R}^n \times SO(n)$	30
		3.2.2	Geometry of the parameter spaces	33
		3.2.3	Definition of FIM	34
	3.3	FIM for	r 2D pose-graph SLAM	35
		3.3.1	Discussion on the FIM for 2D pose-graph SLAM	37
	3.4	FIM fo	r 3D pose-graph SLAM	38
	3.5	CRLB	for pose-graph SLAM	40
		3.5.1	CRLB for 2D pose-graph SLAM	41
		3.5.2	CRLB for 3D pose-graph SLAM	42
	3.6	Optima	al experimental design metrics for pose-graph SLAM	43
		3.6.1	T-optimality design metric	43
		3.6.2	D-optimality design metric	45
		3.6.3	Discussion and comparison	47
	3.7	Simulat	tion results	52
		3.7.1	Efficency of the metrics	53
		3.7.2	T-/D-optimality metrics in active SLAM application $\ \ldots \ \ldots$	54
		3.7.3	Bound efficiency on D-optimality metric	56
		3.7.4	Efficiency of CRLB	61
	3.8	Summa	ry	63
4	An	nchor	Selection based on Graph Topology and Sub-	
	mo	odular	Optimization	65
	4.1	Motiva	tion and related work	65
	4.2	Anchor	selection optimization problem	67

	4.2.1	Optimization problem formulation	68
	4.2.2	Cardinality-fixed sub-modular optimization	70
	4.2.3	Discussion on the connections and differences between anchor	
		(nodes) selection, edge selection, and node-edge selection $\ . \ .$	72
4.3	Greedy	methods	76
	4.3.1	Natural greedy algorithm	76
	4.3.2	Random greedy algorithm and continuous-double-greedy	77
	4.3.3	Discussion of near optimal performance	79
	4.3.4	Algorithm speeded up by lazy evaluation, sparse Cholesky decomposition and order re-use	81
	4.3.5	Whole improved algorithm and its computational complexity analysis	85
4.4	Potenti	ial applications in landmark setting of 2D/3D mapping and	
	trajecto	ory assignment of CSLAM	86
	4.4.1	Landmarks setting in 2D/3D mapping	87
	4.4.2	Trajectory assignment in CSLAM	91
4.5	Simula	tions	91
	4.5.1	Different number of anchored poses	92
	4.5.2	Comparison between improved method and normal greedy	
		method	93
	4.5.3	Comparison with two heuristics	94
	4.5.4	Approximation performance verification and uncertainty level comparison with heuristics	97
	4.5.5	Performance bounds	99
	4.5.6	Simulation for potential applications	99
4.6	Experi	ments	107

	4.7	Summa	ary	
5	2D Active SLAM based on Graph Topology, Sub-map			
	Joi	ining	and Convex Optimization 113	
	5.1	Probler	m statement	
		5.1.1	Vehicle model	
		5.1.2	Sensor model	
		5.1.3	Problem statement	
	5.2	MPC fi	ramework for uncertainty minimization task and coverage task . 115	
		5.2.1	MPC framework for uncertainty minimization task 115	
		5.2.2	Coverage task under uncertainty based on MPC	
		5.2.3	Solution framework	
	5.3	Solutio	n for the uncertainty minimization problem	
		5.3.1	Graphic structure and uncertainty bounds of 2D	
			feature-based SLAM	
		5.3.2	A discussion on the D-opt objective function	
		5.3.3	Transformation into a convex optimization problem 126	
		5.3.4	Candidate solution to original least-squares problem 130	
	5.4	Planing	g based on submap joining	
		5.4.1	Linear SLAM	
		5.4.2	Importance of using submap planning idea	
		5.4.3	Bound of the eigenvalues of the FIM of the global map $$ 135	
		5.4.4	Active SLAM with submap planning technology	
		5.4.5	New problems caused by submap joining	
	5.5	Whole	algorithm	

	5.6	Simula	tions and experiments	. 139
		5.6.1	Active SLAM using proposed method	. 140
		5.6.2	Comparisions	. 140
		5.6.3	Discussion about control inputs	. 145
		5.6.4	Off-line experimental verification	. 146
	5.7	Summa	ary	. 146
6	Or	n-line 3	3D Active Pose-graph SLAM based on Key Pos	es
	usi	ing G	raph Topology and Sub-maps	148
	6.1	Proble	m description	. 148
	6.2	Pose-gr	raph SLAM	. 149
		6.2.1	Synchronization on $\mathbb{R}^n \times SO(n)$	. 149
		6.2.2	FIM and optimality design metrics	. 149
	6.3	Relatio	on between design metrics and graph topology	. 150
		6.3.1	T-optimality metric and weighted node degree	. 150
		6.3.2	D-optimality metric and weighted tree-connectivity	. 151
		6.3.3	Comparison among the four metrics	. 152
	6.4	On-line	e active SLAM framework	. 152
		6.4.1	Fast covariance recovery to trigger active SLAM method $$	. 152
		6.4.2	RRT-connect and weighted node degree for initial search $$	. 153
		6.4.3	Tree-connectivity for elite search and key poses selection $$ . $$	. 154
		6.4.4	Fast trajectory planning	. 155
		6.4.5	Special amendment for directional sensor	. 157
		6.4.6	Map representation	. 157
		6.4.7	Whole framework summary	. 158

		6.4.8	Computational complexity	. 159
	6.5	Sub-ma	ap planning and estimating	. 160
	6.6	Simula	tions and experiments	. 161
		6.6.1	Simulation	. 161
		6.6.2	On-line experiments	. 168
	6.7	Summa	ury	. 169
7	Co	nclusi	ons and Future Work	170
	7.1	Cramén	-Rao bounds and optimal design metrics for pose-graph SLAN	М 170
	7.2	Anchor	selection problem	. 171
	7.3	Active	SLAM	. 172
A	ppε	endice	S	174
A	Pr	elimin	aries	175
	A.1	Graph	theory for SLAM	. 175
	A.2	Prelimi	naries for Chapter 4	. 176
	A.3	Prelimi	naries for Chapter 5	. 177
В	$\mathbf{Pr}$	oofs		179
	B.1	Proofs	in Chapter 3	. 179
		B.1.1	Proof of Theorem 1	. 179
		B.1.2	Proof of Theorem 2	. 188
		B.1.3	The derivation of $\mathbb{E}\{s_{ij}s_{ij}\}$	. 194
		B.1.4	Proof of Lemma 6	. 195
		B.1.5	The computation of the weight $\omega_{ij}$	. 197
		B.1.6	Proof of the eigenvalues of $\Psi_i$	. 199

	٠	•	•
X	1	1	1

Bil	oliogra	aphy	217
	B.3.3	Proof of Conclusion 2	. 213
	B.3.2	Proof of Conclusion 1	. 212
		feature-based SLAM	. 210
	B.3.1	Proof of the lower bound of the D-optimality metric in	
В.3	Proofs	in Chapter 5	. 210
	B.2.3	Proof of Lemma 3	. 210
	B.2.2	Proof of Lemma 2	. 209
	B.2.1	Proof of Theorem 7	. 200
B.2	Proofs	in Chapter 4	. 200
			xiii

## List of Figures

3.1	Two examples of pose-graphs (with $x_0$ as anchor)	48
3.2	Inital pose-graph	52
3.3	Pose-graph added 3 measurements	52
3.4	Direct relationship between T-optimality metric with total node degree	53
3.5	Part relationship between D-optimality metric with total node degree	54
3.6	Active SLAM task using two metrics. An unmanned aerial vehicle (UAV) moves from the first pentagram (0,2,0.2), passes several pre-defined way-points (blue pentagrams), and meanwhile performs the SLAM task in the whole process. The green circles, the red stars, and the red points are respectively the real UAV trajectory, the estimated trajectory, and the detected features. The features	
	will be detected when they locate in the sensor range of the UAV and we can get the relative pose measurements based on the common features between two poses. Using SE-sync, the obtained pose graph with the red nodes and the blue edges is shown in the small left-down figure. Finally, when it reaches (4, 4.5, 0.5), the UAV aims to select the future paths by evaluating the T-/D-optimality metrics. 20 random candidate paths (green lines) with the same number of the additional poses are generated and evaluated. The optimal paths based on different metrics are selected. The black and blue lines are the paths respectively selected by the D-optimality	
	and T-optimality metrics.	56

3.7	Comparison of the CRLB with the mean squared error	
	$(MSE = \frac{\operatorname{trace}(C)}{n_p})$ of known estimators for the synchronization of	
	$n_p = 1045$ poses with a complete measurement graph and one	
	anchor. The SE-sync method appears to reach the CRLB	62
3.8	Comparison of the CRLB with the mean squared error	
	$(MSE = \frac{\operatorname{trace}(C)}{n_p})$ of known estimators for the synchronization of	
	$n_p = 9$ poses with a complete measurement graph and one anchor.	
	The SE-sync method appears to reach the CRLB	63
4.1	The differences of changing the reduced weighted Laplacian matrices	
	(translation only) calculated by incidence matrix and weights	
	diagonal matrix: (a) Base pose graph; (b) Anchor selection: the	
	anchored pose $P_j$ is deleted; (c) Edge selection: both pose $P_j$ and	
	the edge $(i, j)$ are deleted, which also resulting in a different $P_i$	
	block in the weighted Laplacian matrix	73
4.2	The first and second figures are the original pose graph and the	
	anchored pose graph with one anchor. The last figure is the	
	corresponding edge selection case shown in data exchange [128]. For	
	the last figure, because the measurements connected to the purple	
	pose become very strong, the accuracy of the local poses will	
	improve. The three poses can be considered as a local unit. Their	
	accuracy will be decided by the other poses connect to this local	
	unit. Especially when the local structure is weakly connected with	
	other poses, no matter how accurate the added measurements (black	
	measurements with large weights) are, the pose estimate accuracy is	
	still poor and limited	74

4.3	The first figure is the original pose graph. The second figure is the	
	anchored pose graph with an anchor in purple. Because the	
	uncertainty of the purple anchor is reduced to zero, the connected	
	measurements limit the related poses and the uncertainty of these	
	poses also reduces. The last figure is to delete a pose using edge	
	selection, which means to delete all the edges connected to a pose.	
	Because the purple pose does not need to be estimated, the related	
	measurements are also ignored in the pose graph. With the sparser	
	pose-graph structure, the accuracy of the rest poses reduces	75
4.4	Approximation guarantees of random greedy algorithm and	
	continuous-double-greedy method	79
4.5	The information involving in the pose $P_i$ corresponding to different	
	graphs: (a) Base pose graph and its corresponding weighted	
	Laplacian matrix; (b) Pose graph with the anchored pose $P_i$ and its	
	weighted Laplacian matrix deleting the corresponding rows and	
	columns; (c) Pose-feature graph with the anchored feature $P_{landmark}$	
	and its weighted Laplacian matrix deleting the rows and columns	
	corresponding to $P_{landmark}$	88
4.6	Landmark setting operations using the twice-trajectory approach	90
4.7	Estimated results using the Intel dataset (Red line) based on the	
	best selected anchors (Black circles) obtained from the lazy greedy	
	method, $N$ is the number of anchors $\dots \dots \dots \dots \dots \dots$	92
4.8	Computational time reduced with the applications of speed-up	
	technologies	95
4.9	Comparison with two heuristics using CSAIL dataset	96
4.10	Comparison with two heuristics using FR079 dataset	96
4.11	Comparison with two heuristics using Fr-clinic dataset	97

4.12	Approximation perfromance and comparison with two heuristics	
	using FR079 dataset	98
4.13	Approximation perfromance and comparison with two heuristics	
	using CSAIL dataset	98
4.14	Bounds for Lemma 2 using CSAIL dataset	99
4.15	Five robots perform coorperative SLAM using CSAIL dataset 1 $$	00
4.16	Estimated result for collaborative pose-graph SLAM	01
4.17	Box chart of the estimated coordinate errors using different methods. 1	03
4.18	Operations to obtain good SLAM result using presented method $1$	04
4.19	Ratio of covariance errors of SLAM results changes with $\xi$ (whether	
	it is an relatively uniform pose-graph) using random way and	
	presented method. The ratio is defined as $\frac{\text{Random}}{\text{Ours}}$ . So when values	
	are larger than 1, it means our method can obtain better result with	
	smaller error	04
4.20	Comparison of feature-based SLAM results using random way and	
	presented method, when $\xi$ is small (inhomogeneous pose-graph) $$ 1	05
4.21	Fetch simulator in the Willow Garage map	06
4.22	Cartographer result without using anchors (some poor parts in red	
	boxes)	07
4.23	Pose graph corresponding to Cartogaprapher result (black points	
	and blue edges), ground truth (red points), and selected points for	
	landmarks (green points and magenta circles)	07
4.24	Publish 5 landmarks in simulator	08
4.25	New map based on five landmarks	08
4.26	Comparison results for the large maps	08
4.27	Cartographer result without using landmarks and obtained landmarks 1	10
4.28	Obtained occupacy grid map based on 3 landmarks	10

4.29	Experiments using Fetch robot
5.1	SLAM task and coverage task
5.2	The coverage area under uncertainty
5.3	The objective function values of the uncertainty mininization problem are very close to the lower bounds
5.4	Illustration of a convex half-space representation method
5.5	Final results for dataset 1 (The blue triangles show the real trajectory of the UAV at each 5 steps. The black points show the estimated trajectory and features obtained by SLAM. The red star points are the real positions of the features. The yellow circles are
	the no-fly zones.)
5.6	Comparision results using different sizes of submaps (In 3000s, the simulation without using submap does not finish the coverage task. the covered percents from set 1 to 10 are respectively 30.8%, 33.1%, 39.1%, 34.6%, 26.1%, 39.1%, 33.2%, 41.2%, 31.3% and 37.3%.) 142
5.7	Result without using submaps (Without the submap, the algorithm cannot finish the coverage task.)
5.8	Comparision results using graphical approximation and convex method with SQP method. greedy method and original objective function(Histogram shows the time and line graph shows the ratio) . 144
5.9	Trajectory and optimization outputs (The green and black dotted line respectively indicate the optimization results of the rounding convex method in 15 look-ahead steps and the coverage task in 5 look-ahead steps.)
5.10	Ground truth (Blue vehicles), estimated result (Green way-points) and flying photograph

<ul> <li>An example showing key poses in RRT-connect result. The key pose has the largest weighted node degree in its corresponding subset</li> <li>An example of the continuous-time trajectory planning result with velocity constraint based on the fixed derivatives and free derivatives</li> <li>CDF for task 1 and 2 based on 10 simulations (The high position covariance means worse performance. We would like a CDF that gets closed to y-axis and reaches 1 as quickly as possible. The red line (Our method) shows good performance (gets closed to y-axis with high ratio) in all lines)</li> <li>Active SLAM trajectory, estimated pose graph results and relative measurements for task 1 and 2 in a small environment simulation .</li> <li>On-line active SLAM (Composite trajectory)</li></ul>	
<ul> <li>6.3 An example of the continuous-time trajectory planning result with velocity constraint based on the fixed derivatives and free derivatives</li> <li>6.4 CDF for task 1 and 2 based on 10 simulations (The high position covariance means worse performance. We would like a CDF that gets closed to y-axis and reaches 1 as quickly as possible. The red line (Our method) shows good performance (gets closed to y-axis with high ratio) in all lines)</li></ul>	155
6.4 CDF for task 1 and 2 based on 10 simulations (The high position covariance means worse performance. We would like a CDF that gets closed to y-axis and reaches 1 as quickly as possible. The red line (Our method) shows good performance (gets closed to y-axis with high ratio) in all lines)	. 100
covariance means worse performance. We would like a CDF that gets closed to y-axis and reaches 1 as quickly as possible. The red line (Our method) shows good performance (gets closed to y-axis with high ratio) in all lines)	. 158
line (Our method) shows good performance (gets closed to y-axis with high ratio) in all lines)	
with high ratio) in all lines)	
6.5 Active SLAM trajectory, estimated pose graph results and relative measurements for task 1 and 2 in a small environment simulation .	
measurements for task 1 and 2 in a small environment simulation $$ .	. 163
6.6 On-line active SLAM (Composite trajectory)	. 164
	. 165
6.7 $$ Active SLAM, real and estimated trajectory results in 9 submaps $$ .	. 165
6.8 The results based largest weighted tree-connectivity and previous	
weighted node degree evaluation is better than the ones only based	
largest weighted node degree in one simulation	. 166
6.9 Computational time of three metrics and matrix generations	. 167
6.10 Computational time of using/without using fast covariance recovery	. 167
B.1 Log function of eignvalues and their bounds	216