Artificial Neural Networks and Reinforcement Learning for 
Model-based Design of an Automated Vehicle Guidance System

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Abstract: This paper presents the model-based development of a function for lateral control of an automated vehicle using Artificial Neural Networks (ANN) and Genetic Algorithms (GA). After an explanation of the methodology used and a summary of the state of the art for automated lateral control as well as for ANNs and reinforcement learning, the driving function is designed in the form of a functional structure. This is followed by a detailed description of the model-based design and validation process of the AI system. Finally, the function for automated lateral guidance in combination with a superior intelligent route management is verified and optimized in a pilot application.

1 INTRODUCTION

Automated driving and the associated digitalization and cross-linking of the cyber-physical traffic system (CPTS) are important focal points of modern research and development projects aimed to make mobility safer, more environmentally friendly and more comfortable. Autonomous driving shows new application-specific usage scenarios that lead to innovative technologies if they are considered at an early stage in vehicle development. For this reason, electric, driverless, application-specific vehicle concepts are being developed within the joint project "autoMoVe" (Dynamically Configurable Vehicle Concepts for a Use-specific Autonomous Driving) funded by the European Fund for Regional Development (EFRE).

The various advanced driver assistance systems (ADAS) used today are usually based on conventional algorithms for information processing or on traditional methods of control theory. With increasing automation of driving operations, the requirements for safety and reliability in the various unpredictable situations of the complex CPTS continue to rise, which these proven methods can no longer meet (Vishnukumar, 2017). Therefore, the subproject "autoEVM" (Holistic Electronic Vehicle Management for Autonomous Electric Vehicles) aims the model-based design of innovative intelligent algorithms and functions for autonomous driving. Artificial intelligence (AI) is a key technology for the many domains involved in the development, testing and deployment of intelligent, automated vehicles.

A primary constituent of autonomous or automated driving is the control of the planar dynamics, i.e. the adjustment of the driving speed and steering angle. In this contribution, the model-based design of a function based on Artificial Neural Networks (ANN) and Genetic Algorithms (GA) for the automated lateral guidance of a vehicle is exemplarily presented.

2 METHODOLOGY

Due to the constantly increasing complexity and cross-linking of mechatronic systems, a structured and holistic design methodology is unavoidable. In a top-down process, a complex overall system is modularized and hierarchically structured into intelligent, encapsulated subsystems consisting of mechatronic components with defined interfaces. Figure 1 shows an example of the mechatronic structuring of the re-
search vehicle FREDY (Function Carrier for Regenerative Electromobility and Vehicle Dynamics) with four hierarchical levels based on (Scherler, 2019).

Figure 1: Mechatronic structuring of FREDY.

The lowest hierarchical level is made up of mechatronic function modules (MFM), which consist of mechatronic systems that cannot be further subdivided. They contain a mechanical structure, sensors, actuators and information processing. Each encapsulated MFM has a defined functionality and describes the dynamics of the system. By coupling several MFMs and adding an information processing, mechatronic function groups (MFG) are set up. MFGs enable the realization of higher-value functions by using the subordinate MFMs. The combination of MFGs leads to autonomous mechatronic systems (AMS), e.g. the autonomous vehicle FREDY. By cross-linking several AMS a cross-linked mechatronic system (CMS), in this case a CPTS, is created.

After the hierarchical structuring, the mechatronic composition takes place in a bottom-up procedure. Starting with the lowest hierarchy level, each module is designed, validated and successively integrated into the overall system in a model-based, verification-oriented process.

3 STATE OF THE ART

3.1 Automated Lateral Guidance

Modern ADAS for automated lateral guidance require vehicle sensors for determining the direction of movement as well as environmental sensors, e.g. to detect the course of the road or to calculate the deviation from the centre of the lane (Bartels, 2015).

Self-localization is usually achieved by visual orientation along the road markings. Currently used algorithms are based either on lane color characteristics or on manually programmed lane models. Such conventional methods of image analysis achieve good results under suitable lighting conditions and clearly visible road markings, e.g. on motorways. But they are also very computationally intensive and reach their limits in the case of disturbances such as poor visibility as well as dirty, damaged or complex road marking situations (Zang, 2018). If the position of the vehicle in the lane cannot be clearly determined the driver must take over the steering himself. Therefore, depending on the manufacturer, modern lateral guidance assistants are only enabled above 60 km·h⁻¹ (Bartels, 2015). As a result, these systems can only be used on country roads and motorways. Their use in complex inner-city scenarios is explicitly excluded.

The approach to lateral guidance presented in (Koelbl, 2011) is based on the control of lateral acceleration. The actual value is determined using of vehicle sensors and a behavior model. This implies that the control performance depends on the complexity of the underlying vehicle model, which is kept as low as possible due to high real-time requirements. In model-based design, the complexity and thus the time and cost of controller synthesis increases with the depth of modeling. This aspect is intensified if the individual perspective and acceptance of the passengers are considered during function design. A real individualization of a driving function, i.e. the controller parameters, is hardly possible with conventional driver models for reasons of effort (Semrau, 2017).

3.2 Artificial Neural Networks and Reinforcement Learning

AI algorithms are characterized by a high fault tolerance as well as their ability to learn and are therefore suitable for questions of automated vehicle guidance (Eraqi, 2016). Particularly ANNs with machine learning have proven themselves in control engineering with reliability despite incomplete data, the advantageous design process and their performance (Duriez, 2017). ANNs try to imitate the structure of the human brain and its function. Neurons are processing units that accumulate input stimuli (signals) via weighted connections and calculate an output using an activation function. The interconnection of several neurons in at least two layers makes up the ANN.

ANNs have achieved very good results with supervised learning in various fields. However, if the ANN is to be used directly as a controller, there is usually no sample data available for training. In this case, reinforcement learning (RL) can be used. The ANN learns the optimal strategy in terms of a reward function given by the developer (Duriez, 2016). Q-Learning and Policy Gradients are widely used gradient based RL algorithms. (Such, 2017) showed that gradient based methods are in some cases not always
the ideal choice for optimization problems, since gradient-free genetic algorithms (GA) often provide better results in shorter time. In GAs the principle of evolution is applied to optimization problems. A set of randomly generated individuals representing possible solution candidates make up a population. Each individual is evaluated according to a fitness function (reward). The best individuals of each generation (selection) evolve through replication, crossing and mutation into the next generation (Eraqi, 2016).

4 CONCEPT

4.1 Problem and Requirements

The AI-based lateral vehicle guidance system developed in the scope of this paper addresses the identified weaknesses and limitations from subsection 3.1. The main requirement is to maintain a trajectory or a safe area around this trajectory (trajectory tube). The purpose of the lateral guidance function is to determine a steering angle setpoint based on vehicle and environment sensors, which is then controlled by an underlying vehicle dynamics control system. The driving task is to be learned and tested by the ANN itself on randomly generated tracks. Its ability to generalize guarantees a safe, robust and model- and route-independent functionality. Model-independent in this context means that the type and structure of a vehicle or route model does not influence the structure and parameters of the ANN. For security, flexibility, time and cost reasons, the design and testing of the AI system remain model-based.

4.2 MFG Automated Lateral Guidance

Figure 2 shows the structure of the function for automated lateral guidance on MFG level. It mainly consists of a sensor model which preprocesses the position and orientation of the ego vehicle in the trajectory tube as well as the ANN which determines a steering angle. The input of the ANN is the output $d$ of the sensor model, which indicate the position $x$, $y$ and orientation (yaw angle $\psi$) of the vehicle in relation to the trajectory tube. The steering angle $\delta_{\text{set}}$ is the output of the ANN and serves as the setpoint of a subordinate vehicle dynamics control system on MFM level, which sets the real steering angle $\delta$ on the front axle.

The remaining modules in Figure 2 are required for the model-based design. A linear single-track vehicle model with constant velocity $v$, whose input variable is $\delta$, is used for this purpose. During training, a fitness value $F_{\text{it}}$ is calculated for each individual using simulated vehicle and environmental data as well as a reward function. This value is used in the GA to pass new connection weights to the next generation after an evolutionary process. Thus, an ANN which performs the automated lateral guidance according to the criteria and requirements defined in the fitness function regarding safety and comfort is evolved.

4.3 AMS Intelligent Route-Management

The function for automated lateral guidance operates at MFG level (Figure 1) and requires a trajectory tube (Figure 2). This data is provided by the intelligent route-management (iRM) doplar (domain-specific configurable, modular platform for route guidance and trajectory planning), a system on AMS level. The iRM doplar, is able to carry out trajectory planning in a way that a trajectory optimized for energy consumption, travel distance or travel time is generated. Dynamic environmental data, which is available via wireless V2X (vehicle-to-everything) communication within the CPTS, can also be included. The structure of the iRM doplar is shown in Figure 3. It consists of nine main functions that have defined internal and external interfaces:

- **Self-localization.** The ego position of the vehicle is essential information for route guidance. The determination can be done via GPS or environmental sensors. Finally, the ego position must be assigned to a node in the map’s graph.

- **Environment Perception.** Environmental Perception evaluates vehicle and environmental sensors to provide information about the environment that is used in both route guidance and mapping.

- **Mapping.** The map data are the essential basis for route guidance. The mapping function supplies this map data and converts it into the mathematically necessary form for route guidance. E.g. the Open-StreetMap can be used as a data source. A further possibility for generating or updating the map data is the use of environmental perception.
• **HMI.** The HMI determines the destination and the setting of the route guidance in relation to the desired operating mode.

• **Communication.** The communication function is used for route guidance in order to receive messages about disturbances or warnings of wireless communication with the environment and their evaluation. This communication can be based on a variety of technologies, such as V2X communication according to the WLAN standard 802.11p or the mobile radio standard 5G.

• **Route Guidance.** The route guidance is based on the Dijkstra algorithm and has an interface for information from wireless communication, e.g. about disturbances or warnings of other vehicles (CMS level). Based on the ego position of the self-localization, the destination input of the HMI and the map data, an optimized route is determined according to travel time or energy consumption.

• **Fleet Management.** Optionally, a fleet management can influence the route guidance of a vehicle in order to achieve the optimum of a vehicle fleet.

• **Trajectory Planning.** The trajectory planning determines a trajectory tube from the calculated route, considering safety and comfort aspects such as lateral acceleration or vehicle speed.

• **Automated Vehicle Guidance.** The automated vehicle guidance calculates setpoints for integrated vehicle dynamics control systems on the basis of the trajectory tube as well as relevant vehicle conditions such as speed or position. This function is divided into two sub-functions for longitudinal and lateral guidance.

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5 MODEL-BASED DESIGN OF AN ANN FOR AUTOMATED LATERAL GUIDANCE

After the interfaces and the supply of the necessary information by the iRM doplar were introduced, in this section, the function development from the design of the GA over the determination of the network architecture and derivation of the fitness function up to the validation is described.

5.1 Modelling

Linear single-track models have proven to be a good approximation for describing the lateral dynamics of automobiles (Schramm, 2018). The longitudinal velocity \( v \) of the vehicle with the mass \( m \) is assumed to be constant. The orientation of the vehicle in the planar coordinate system is described by the yaw angle \( \psi \). The yaw rate \( \dot{\psi} \) and the yaw acceleration \( \ddot{\psi} \) are characterizing the rotational movement of the vehicle about its vertical axis with the moment of inertia \( J_z \).

The slip angle \( \beta \) is the difference between the direction of the centre of gravity speed and the longitudinal axis of the vehicle. The centre of gravity is defined by the distances to the centres of the front \( l_f \) and the rear axle \( l_r \). The steering angle \( \delta \) describes the angle between the front wheels and the longitudinal axle and is the input of the linear single-track model. The steering angle is also defined as output of the ANN, since it is required as the setpoint of a subordinate vehicle dynamics control system. It is assumed that the system can set the steering angle within a computation step, so it does not have to be simulated. The cornering stiffnesses of the front and rear wheels \( c_{aF} \) and \( c_{aR} \) describe the constantly proportional relationship between the cornering angles of the respective axle and...
the associated lateral forces (Schramm, 2018). The equations of motion of the linear one-track model are:

\[
\dot{\beta} = \frac{c_{af} + c_{ar}}{m v_x^2} \beta - \left(\frac{c_{af} l_R - c_{af} l_F}{m v_x^2} \right) \dot{\psi} + \frac{c_{af}}{m v_x} \delta (1)
\]

\[
\dot{\psi} = \frac{c_{af} l_R - c_{af} l_F}{J_z} \beta - \left(\frac{c_{af} l_R + c_{af} l_F}{J_z v_x} \right) \dot{\psi} \frac{c_{af} l_R}{J_z} \delta (2)
\]

In order to test and ensure the ANN's generalization capability, training and testing take place on randomly generated tracks. The limited validity range of the linear single-track model with respect to lateral acceleration \(a_y\) must already be considered during route generation. With the radius of curvature \(\rho\) applies to the linear single-track model:

\[
|a_y| = \frac{v_x^2}{\rho} \leq 4 \text{ m/s}^2 (3)
\]

The guidelines for the layout of country roads issued by the German Federal Highway Research Institute (BAST) specify the ratio between the length of a straight line and the subsequent curve radius. This guideline and the minimum curve radius have been considered during automatic track generation.

The vehicle was extended with a body whose outer dimensions exceed those of the chassis. A virtual sensor was modeled to detect the vehicle's own position and orientation in the trajectory tube. The sensor is centrally mounted on the front of the body and detects the boundaries of the trajectory tube in an angle range of ±40° and a radius of 8 m. The orientation and position of the vehicle in relation to the trajectory tube is determined by eleven straight lines with a constant angular distance. The distances between the point where the straight lines intersect with the trajectory tube and the mounting point of the sensor make up its output signal \(\delta\). If a line has no intersection with the trajectory tube, the measured value corresponds to its maximum range, in this case 8 m.

5.2 Design of the Genetic Algorithm

In this contribution, an individual is represented by one ANN. The connection weights are called parameters or genes. In the crossing of two individuals, randomly selected genes of two randomly selected individuals are swapped. When a mutation is performed, one or more genes of a randomly selected individual are reinitialized. The stochastic influence neither guarantees that the individuals of each generation will improve nor that a global optimum will be achieved. Therefore, a well-adjusted GA is essential.

A large population \(n_i\) increases the genetic diversity and thus the exploration of the parameter space, but on the other hand also requires a higher computational effort per generation. Smaller populations promote evolutionary optimization whilst less exploration of the search space. In tournament selection, \(n_t\) randomly selected individuals are compared in \(n_t\) tournaments. The best individuals evolve into the next generation. A larger tournament size leads to a reduction in diversity while at the same time making better exploitation of the known parameter space. The crossing rate describes the proportion of individuals in the population who reproduce in pairs by recombining their genes into the next generation. Whether the modified individuals behave better or worse is not known before. Although recombination improves exploitation, the crossing rate should not be too high to minimize the probability of losing good individuals of the current generation. With a small mutation rate, the learning process tends to yield a local optimum, while a large rate increases the probability of finding a global optimum, but also the risk of losing good individuals. After intensive research, the GA parameters for learning lateral guidance were defined:

- **Population Size**: 50
- **Tournament Size**: 5
- **Crossing Rate**: 90 %
- **Mutation Rate**: 1 %

5.3 Determination of the Network Architecture

The definition of the ANN’s architecture includes the determination of the topology as well as the number of hidden layers and the neurons contained therein. The sizes of the input and output layers can be derived from the function structure and interfaces (Figure 2). The eleven sensor values are the inputs of the ANN and are mapped on the steering angle representing the output. It can be assumed that the same lateral position and orientation on the track always require the same action. Therefore, no sequential signals have to be processed, so that a feed-forward network, in particular a multilayer perceptron, can be used, which keeps the computational and training effort low. The hyperbolic tangent serves as the activation function.

In a preliminary test, ANNs with one, two and three hidden layers are examined to determine a suitable network architecture. The number of neurons per hidden layer \(n_{\text{hidden}}\) was selected to \(n_{\text{hidden}} = \{2, 4, 8, 16\}\) in order to consider very small as well as large layer sizes (Heaton, 2015). All solution candidates are trained on the same track with a length of approx. 640 m and tested on five further identical tracks.
To train and evaluate the various network architectures a fitness function $Fit$ was used, in which the distance covered by the vehicle $u$ is rewarded. In addition, there is a bonus $B$ when the vehicle reaches the finish of the track. As soon as the car body touches one of the boundaries of the trajectory tube, the simulation of this individual is classified as a crash and aborted. The fitness function is:

$$Fit = u + B$$

$$B = \begin{cases} 1000 & \text{arrived at destination} \\ 0 & \text{else} \end{cases}$$

The evolutionary process of a GA is infinitely long, which is why the definition of suitable termination conditions is necessary. For the preliminary test, the only requirement is to reach the destination. Due to the stochastic influence of the GA, it is not guaranteed that an individual that meets the requirements will evolve in finite time. Therefore, the maximum number of generations is defined as 25.

The preliminary test showed that ANNs with one hidden layer and four neurons (Figure 4) are already able to learn lateral guidance. Larger ANNs were only partially able to complete the test tracks without crashing. Using large ANNs is associated with a higher risk for overfitting and a higher computational effort. Therefore, it is advisable to always use the smallest possible ANN (Figure 4). This also keeps the parameter space for optimization as small as possible.

**5.4 Optimization of the Fitness Function**

According to subsection 4.1, the ANN should keep the vehicle in the middle of the trajectory tube without oscillations. In consequence the absolute value deviation from the centre of the trajectory tube $|\Delta y|$ is penalized. In order to avoid oscillations, steering angle speeds $|\dot{\delta}| > \delta_{ac} = 60^\circ \cdot s^{-1}$ on the steering wheel are penalized too. For a stable evolution process, a monotonously increasing fitness function is recommended (Duriez, 2017). For this the penalized parameters $|\Delta y|$ and $|\dot{\delta}|$ must be normalized to their respective maximum values $\Delta y_{\text{max}}$ and $\delta_{\text{max}}$ and multiplied by a factor. The factor $k_1$ describes the percentage of the maximum possible penalty of the reward received. The ratio between $|\Delta y|$ and $|\delta|$ is expressed by $k_2$:

$$Fit = u + B - k_1 \cdot u \left( \frac{|\Delta y|}{\Delta y_{\max}} \left(1 - k_2 \frac{f(\delta)}{\delta_{\max}}\right) \right)$$

$$f(\delta) = \begin{cases} 1 & |\dot{\delta}| > \delta_{ac} \\ 0 & \text{else} \end{cases}$$

The optimum values for $k_1$ and $k_2$ according to the requirements have to be determined experimentally.

The new requirements result in two further termination conditions. Firstly, the root-mean-square value of the lateral deviation $\Delta y$ must not exceed 25 cm over the entire track. In addition, no inadmissible steering angle speed may occur on the entire tracks.

During extensive simulation series it was found out that $k_1$=50 % is the best compromise between unacceptable driving behavior at a too small and an increasing tendency for overfitting at a too high penalty. In further experiments the factor $k_2$ was determined. Figure 5 exemplarily shows the simulation results of three fitness functions according to eq. (6) on one of the test tracks. The indices for the different colored curves indicate the respective value for $k_2$. The lateral deviation, the steering angle and the steering angle speed at the steering wheel are shown over the x-coordinate of the approx. 630 m long track.

**Figure 4:** ANN developed in the preliminary experiment.

**Figure 5:** Simulation results on one of test tracks.
k₂ is 50 %, since a vehicle which always drives at the edge of the lane without oscillations is dangerous. All yellow curves with k₂=80 % show a good compromise |Δy| and |δ|. The steering angle speed is consistently within the acceptable range and barely exceeds the values of the red line. Furthermore, there has been an improvement in the lateral deviation. Nevertheless, the oscillations, especially at the beginning of the track, could not be completely avoided. The remaining amplitudes in Figure 5a are in the range of millimeters, which are retained anyway in a real application due to imperfect environmental conditions.

With k₂ =80 %, the best result was achieved in the simulation series, which is why this GA-trained ANN forms the result of the model-based designed function for automated lateral guidance.

5.5 Validation of the ANN

The training and testing of the ANN designed so far has been carried out with a constant vehicle speed of 50 km·h⁻¹, on tracks with a length of up to 800 m. In order to extensively validate the driving function, a longer distance had to be travelled at different but constant speeds. Figure 6 shows the simulation result.

![Figure 6: Simulation results with different velocities.](image)

It is noticeable that the vehicle caused crashes at speeds >79 km·h⁻¹ and that the RMS values of the lateral deviations in Figure 6a show a V-shaped course. The ANN does not know the speed, so it always outputs the same steering angle for the same sensor signals. This increases the tendency to high-frequency steering angle oscillations with large amplitudes at higher speeds when looking at the δ RMS values in Figure 6b. At 65 km·h⁻¹, a favorable combination of amplitude and frequency seems to help the vehicle keeping in the middle of the trajectory tube. At lower speeds there are no oscillations to compensate the deviations, so the ANN causes higher but acceptable lateral deviations. However, the driving function has potential for improvement, especially at higher speeds.

From these simulation results it can be concluded that the model-based developed and GA-trained ANN is able to realize automated lateral guidance for the speed range between 30 and approx. 70 km·h⁻¹ with constant speeds according to the requirements.

6 VERIFICATION AND OPTIMAZATION

To verify and further optimize the ANN for automated lateral guidance, it will be tested in a pilot application under more realistic conditions. The vehicle should automatically navigate from Ostfalia in Wolfenbuettel (Salzdahlumer Straße 46/48) to the Institute of Automotive Engineering (IfF) at the Technical University of Braunschweig (Hans-Sommer-Straße 4) as shown in Figure 7. In an offline simulation, additional functions of the iRM doplar on AMS level are used for route guidance and trajectory planning.

At first, the vehicle must localize itself and calculate a route. The black line in Figure 7 shows the resulting travel time-optimized 12.8 km long route. Since this is an offline simulation, no dynamic information from the V2X communication were considered. The trajectory generator then calculates a trajectory tube considering safety and comfort aspects. The sensor model uses this information to determine the position and orientation of the ego vehicle and passes it to the ANN. Since this can only operate at constant speeds so far, it is set to 50 km·h⁻¹ over the entire route because of the inner-city sections. When navigating on the route, curved sections are particularly challenging. The five most critical situations as well as an exemplary straight line are marked by the numbered circles in Figure 7 and will be evaluated exemplarily.

Figure 8a and b show simulation results in segments of the sections 2 and 5 from Figure 7. In Figure 8a and b the trajectory tube is drawn in black and its
centre line in turquoise, while the actual travelled route was drawn in red. Here it can be seen that the trajectory tube contains relatively strong kinks in some places due to a large discretization. At the kinks the vehicle deviates quite strongly from the set course but maintains a realistic and more pleasant route. Shortly before and after the kinks, the vehicle holds the middle of the trajectory tube very exactly.

Figure 8: Exemplary results of the pilot application.

Figure 8c shows the maximum lateral deviations of the vehicle from the centre of the trajectory tube in the respective sections. The dashed line marks the acceptable limit during training ($\Delta y_{\text{RMS}}=25$ cm). Except for the first section of the route with a particularly small, i.e., difficult, curve, this limit was adhered to over the entire track. For segments 2 and 5, these deviations are about 12 and 23 cm at the kink points drawn, and thus within a very good range. On the straight section 3 the maximum lateral deviation is less than 4 cm. Within the 3.5 m wide trajectory tube, a maximum lateral deviation of 85 cm is possible for the simulated vehicle with a width of 1.81 m.

Thus, both parts of the iRM doplar and the function for automated lateral guidance have proven to be functional in a realistic pilot application. Considering the constraints that the vehicle drives at a constant speed, the function is verified. By extending the functionality regarding the longitudinal dynamic behavior, the system can be further optimized in the future.

7 CONCLUSION AND FUTURE WORK

This paper shows the model-based design of a function for automated lateral guidance using ANNs and GAs. After a short presentation of the motivation and the underlying methodology of this work, the basics of automated lateral guidance as well as ANNs and RL were explained. Subsequently, requirements and a functional structure for the driving function were derived from the problems of today's ADAS and the advantages of ANNs and GAs were pointed out. This was followed by a description of the model-based design process of the ANN for automated lateral guidance. After the training on a remarkably short distance with a length of 640 m, the function for automated lateral guidance was validated. Finally, the function was verified in a realistic pilot application and optimization potential regarding the longitudinal dynamic behavior was pointed out.

A future work step is to extend the functionality of the lateral guidance function for operation at higher and variable speeds. A further step is the analogous design of an ANN for longitudinal guidance respectively their integration for planar vehicle guidance.

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