

UC Davis

UC Davis Previously Published Works

Title

Co-robotic harvest-aid platforms: Real-time control of picker lift heights to maximize harvesting efficiency

Permalink

<https://escholarship.org/uc/item/0195c0jm>

Authors

Fei, Zhenghao
Vougioukas, Stavros G

Publication Date

2021

DOI

10.1016/j.compag.2020.105894

Peer reviewed

1 **Co-Robotic Harvest-aid Platforms: Real-time Control of Worker Lift Heights**
2 **to Maximize Harvesting Efficiency**

3
4 Zhenghao Fei (费铮豪)*, Stavros G. Vougioukas

5 *University of California, Davis, Department of Biological and Agricultural Engineering, One Shields Ave, Davis,*
6 *CA 95616-5270, USA*

7 **Abstract**

8 Harvest-aid platforms are used in modern orchards to improve manual harvesting efficiency,
9 safety, and ergonomics. Typically, workers stand at pre-set heights on a platform's multi-level
10 deck, and each worker harvests fruits inside a canopy zone that is defined by the lowest and
11 highest reach of the worker's arms. However, fruit distributions are non-uniform, and worker
12 picking speeds vary, thus generating a mismatch between labor demand (incoming fruit rates)
13 and labor supply (fruit picking rates) in each zone; this mismatch limits platform-based
14 harvesting efficiencies. To alleviate this problem, we transformed a conventional harvesting
15 platform into a collaborative robot (co-robot) platform. As the co-robotic platform travels
16 forward, it estimates the incoming fruit distribution using a vision system, it measures each
17 worker's picking speed using instrumented picking bags, and controls the heights of hydraulic
18 lifts that move workers up and down. The model-based control algorithm maximizes the
19 machine's harvesting speed by changing the height at which each worker harvests as a response
20 to incoming fruit load because it matches fruit-picking labor supply and demand. Simulation
21 experiments with pre-recorded fruit distribution data validated the approach and provided
22 efficiency gains under various conditions. Apple-harvesting experiments were also performed in
23 a commercial orchard, where 2,307 kg of apples were picked: 1,045kg in variable-height zone

24 harvesting mode, and 1,262 kg in fixed zone harvesting mode, with workers at fixed heights that
 25 were set by the grower. Variable-height zone harvesting mode throughput was 327.6 kg/h vs.
 26 298.8 kg/h for fixed zone harvesting mode at human-controlled platform moving speed, resulting
 27 in an improvement of 9.5%.

28 **Keywords:**

29 Co-robotic harvesting, harvest platform, control, human-in-the-loop.

Nomenclature table

| | |
|---------------------|---|
| A^n | Valid action set for controlling n^{th} worker's height |
| A | Combined actions set for controlling all workers |
| a_t^n | Height control action for n^{th} worker at timestep t |
| a_t | Combined height control action for all workers at timestep t . |
| C | Sparse sampling plan width |
| E | Sparse sampling extra search depth |
| f | System's dynamic function |
| g | Reward function |
| H | Sparse sampling plan (look-ahead) horizon |
| K | Sparse sampling extra search sample size |
| ${}^t k_w^n$ | n^{th} worker's picking rate (fruits per second) at time step t . (fruits s^{-1}) |
| ${}^t \mathbf{k}_w$ | All workers' picking rate (fruits per second) at time step t |
| l_x | Worker's reachable windows width (m) |
| l_y | Worker's reachable windows height (m) |
| ${}^t M$ | Fruit distribution map at time step t |
| N | The number of total workers on board |
| p^n | The n^{th} worker |
| π | Worker height control policy |
| π^* | Optimal height control policy |
| $\pi(s)$ | Action taken in state s under policy π |
| $q^\pi(s, a)$ | Action value, the value of taking action a in state s under policy π |

| | |
|--------------|--|
| r_t | Reward - the number of picked fruits at time step t |
| γ | Reward discount rate |
| s_t | System state at time step t ; it includes $[{}^t x_p, {}^t v_p, {}^t y_w, {}^t x_w, {}^t k_w, {}^t M]$ |
| Δt | Timestep length (s) |
| $v^\pi(s)$ | State value of state s under policy π |
| $v^*(s)$ | Optimal state value of state s under optimal policy |
| $v_H^*(s)$ | Estimation of the optimal state value using H -step expected discounted reward |
| ${}^t v_p$ | The platform's moving speed at time step t (m s^{-1}) |
| ${}^t w^n$ | n^{th} worker's current picking window at time step t |
| ${}^t x_p$ | Platform's horizontal position along the tree row at time step t (m) |
| ${}^t x_w^n$ | n^{th} worker's horizontal position along the tree row at time step t |
| ${}^t x_w$ | All workers' horizontal position along the tree row at time step t |
| x_c^n | n^{th} worker's horizontal offset from the platform's horizontal position ${}^t x_p$ |
| ${}^t y_w^n$ | n^{th} worker's vertical position at time step t (m) |
| ${}^t y_w$ | All workers' vertical position at time step t |

Note: the time step t is neglected when presenting a symbol in a time invariant context.

30

31 1 Introduction

32 Harvesting fruits for the fresh-market is a very labor-intensive and costly task (Zhang, 2017),
33 because fruits must be picked carefully, to avoid damage, and selectively, based on marketing
34 criteria. Growers in many countries face a great challenge, because they depend on a large
35 seasonal semi-skilled immigrant workforce, which is becoming less available (Taylor and
36 Charlton, 2018).

37 During commercial harvesting, workers pick the lower-hanging fruit by walking through the
38 orchard rows, and use tall ladders to reach fruits located at higher parts of the canopies (Figure

39 1a). Then, they walk to bins that have been pre-positioned in appropriate locations in the orchard,
40 to unload their fruit and resume picking (Figure 1b).



41 a) b)
42 *Figure 1 a) Workers use tall ladders to harvest fruit located at higher parts of the canopy. b) After harvesting a full bag, workers*
43 *walk to bins and unload their fruit.*

44 There are three main approaches to mechanizing the harvesting of fresh-market fruits (Zhang et
45 al., 2016; Zhang et al., 2020). The first is mechanical mass-harvesting. There are three categories
46 of mass-harvesting approaches. One is trunk shaking, where the trunk is shaken and fruits are
47 caught with catching surfaces. This approach causes large numbers of fruits to detach in a very
48 short time interval by using trunk shaking and catching (Peterson et al., 1999, Ortiz et al., 2013,
49 De et al., 2015, He et al., 2017), The second category is the canopy shaking, where a number of
50 rods enter the canopy and shake all together thus hitting the limbs and branches of the tree, and
51 the fruits. (Peterson, 1982, Peterson and Kornecki, 1987, Peterson and Miller, 1989). The third
52 category is the air jet method, where the air is blown to parts of the canopy or the entire canopy.
53 (Thomas, 1964; Berlage, 1973). The mechanical mass-harvesting approach is efficient in fruit
54 harvesting but also causing an unacceptable fruit damage rate from the apple-to-apple collision,
55 apple-to-branch collision, and excessive apple movement (Zhang et al., 2016). In some cases
56 may cause tree damage as well. Due to the high fruit damage rates, the mechanical mass-

57 harvesting is used to harvest fruits for juice and other processed products, but not for fresh-
58 market fruits.

59

60 The second approach is selective harvesting using a robotic system. Harvesting robots recognize,
61 locate, and detach fruits individually (Zhang et al., 2016). Some harvesting robots that handle
62 fruits gently, without impacting fruit quality have been demonstrated (e.g., Bac et al., 2014,
63 Silwal et al., 2017, Bogue, 2020), but are still at a pre-commercial stage, mainly because of low
64 cost-effectiveness (high harvest cost), low picking speed compared to the manual harvesting, and
65 inability to harvest a wide range of tree architectures (Vougioukas, 2019).

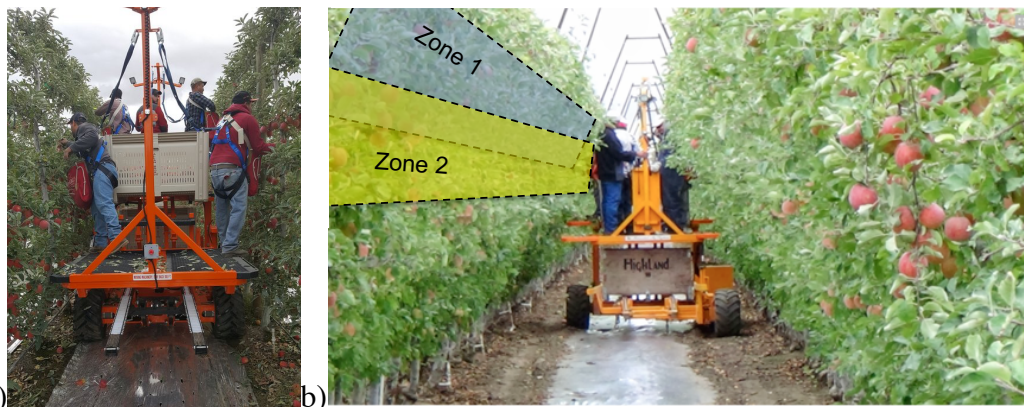
66

67 The third approach - an intermediate, partial-mechanization approach between manual harvesting
68 and fully mechanized harvesting - is *machine-aided harvesting* using harvest-aid platforms.
69 These are self-propelled machines that are deployed in high-density orchards to reduce the
70 amount of labor by increasing workers' harvest efficiencies (Berlage et al., 1972; Peterson, 2005,
71 Lesser, 2008). Many platform variants have been developed and used in practice over the past
72 decades; however, experimental results from their use are not that numerous. Peterson, Miller
73 and Wolford (1996) reported 36 to 44% increase in picker productivity for a two-person platform
74 designed for narrow inclined trellised apple trees. Peterson (2005) tested another harvest-aid
75 platform with two elevated workers and two ground workers, who used two fruit conveyors to
76 transfer the fruit into a collection bin. The harvest productivity increased by up to 22%, but the
77 fruit conveyance system introduced unacceptably high damage rates. Such damage can be
78 partially eliminated by improving the conveyor or the bin filler (Zhang et al., 2018). Besides
79 harvesting, harvest-aid platforms can be used for many other orchard management tasks that

80 involve using ladders, such as pruning and thinning (Sazo et al., 2010). Harvest-aid platforms
81 with vacuum-based conveyance systems have also been introduced and shown to increase
82 workers' efficiencies (Schupp et al., 2011, Zhang et al. 2014). The workers on such platforms
83 insert picked fruits directly in vacuum tubes, and don't spend unproductive time filling and
84 unloading bags.

85

86 Workers on modern commercial harvest-aid platform (see for example, Figure 2a) stand on the
87 deck and pick, without having to climb on ladders or walk to bins, thus spending most of their
88 time productively, picking fruit. Typically, the heights of a platform's decks are adjusted prior to
89 harvest at different heights from the ground, thus resulting in each worker picking fruit from a
90 canopy "zone" at a certain height (Figure 2b); the zones may overlap, depending on deck
91 heights, and worker picking styles and reaching abilities.

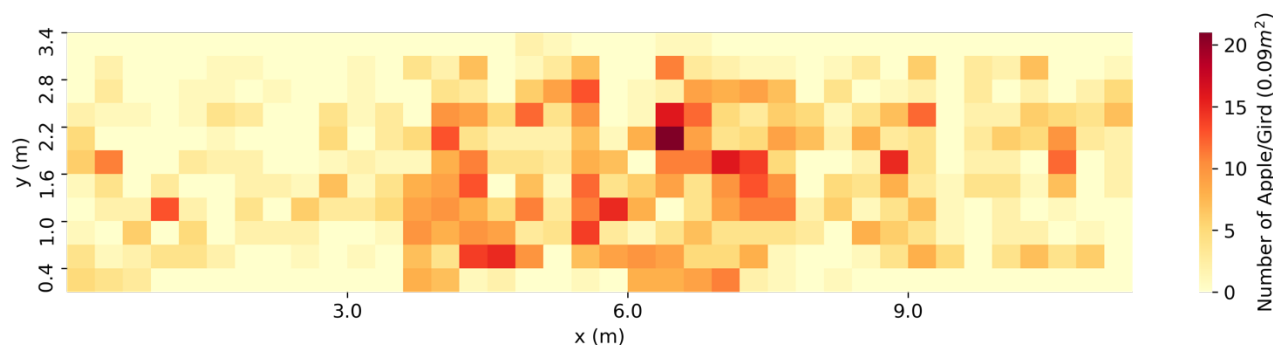


92

93 *Figure 2 a) Example of harvest-aid platform (Bandit Xpress by Automated Ag, Moses Lake, WA); photo courtesy of Automated*
94 *Ag. b) Zone-harvesting, from a platform with decks at multiple, pre-configured heights; each worker picks fruit from a zone of*
95 *reachable fruit.*

96 The performance of multi-worker platforms has been evaluated formally by several researchers.
97 Results were mixed, as the machines' picking efficiencies, were found to be better, similar or
98 worse than that of ladder-based picking, depending on the platform design, tree architecture and

99 fruit load distribution. Berlage et al. (1972) reported that in a two-worker apple harvesting
100 platform without a fruit-conveyance system, one of the workers' picking efficiency decreased
101 21.9% due to the imbalance of fruit load between the upper and lower region of the canopy.
102 Peterson (2005) also reported that the overall harvest rate of the platform was limited by the
103 slowest worker who caused the faster worker to be idle.
104 The main reason behind the inefficiency of fixed-height "zone harvesting" is that, as the platform
105 moves forward, the rate of incoming fruit inside a zone may not match the picking rate of the
106 worker(s) picking in that zone. In general, each worker will pick at a different speed, which may
107 vary during the workday; also, fruits are distributed with non-uniform distributions (Figure 3).



108
109 *Figure 3 Example of a two-dimensional apple distribution in a high-density V-trellised orchard; data was collected using the*
110 *method described in Arikapudi et al. (2016). The vertical axis corresponds to height from the ground, and the horizontal axis to*
111 *distance along the row.*

112 In the worst case, a slow worker harvesting a high-yield zone will act as a bottleneck that
113 restricts the platform from moving forward faster, and will cause other (faster) workers to be
114 idle. In general, fixed-height zone-harvesting will result in various degrees of imbalance between
115 "labor supply" (picking rate) and "labor demand" (incoming fruit rate). The goal of this work is
116 to reduce or eliminate such imbalances that lower the harvest throughput of multi-crew platforms
117 and hinder their wider adoption.

118 **1.1 Related work**

119 Let us consider a number of “jobs” that must be performed by a group of “machines”, and that
120 each job must run continuously on only one machine, and that each machine can perform at most
121 one job at a time. If a subset of the jobs is assigned to a certain machine, the processing time of
122 all the jobs on this machine is known as the *load* of the machine. To maximize the throughput or
123 equivalently minimize the overall processing time of all the jobs requires an appropriate
124 assignment of jobs to machines. Load-balancing algorithms are designed to equally spread the
125 load on machines and maximize their utilization while minimizing the overall job processing
126 time (Zomaya and Teh, 2001). When it is possible to make a priori estimate of work distribution
127 the problem is called *static load balancing*. When jobs arrive continuously, and the amount of
128 job is only known during actual program execution, the computation evolves different machines
129 being responsible for the differing amount of job is called *dynamic load balancing* (Cybenko,
130 1989). Dynamic load-balancing is essential for the efficient use of highly parallel systems when
131 solving non-uniform problems with unpredictable load estimates (Willebeek-LeMair and Reeves,
132 1993).

133 Load-balancing problems arise – and have been studied - in various scenarios. The most studied
134 area of the load-balancing problem is in parallel and distributed computing systems. (Cybenko,
135 1989, Willebeek-LeMair and Reeves, 1993, Zomaya and Teh, 2001). Also, load-balancing was
136 studied in other areas such as job shop scheduling to improve machine utilization and reduce the
137 makespan (Ramasesh, 1990). In telecommunication networks, load-balancing construct call-
138 routing schemes that distribute the changing load over the system and minimize lost calls.
139 (Schoonderwoerd et al., 1997).

140 In agricultural robotics, load-balancing has received some attention, in the context of fruit
141 harvesting with multi-arm robots. In particular, the assignment of individual fruits to arms has
142 been studied for a simulated robotic melon harvester with multiple Cartesian arms (Zion et al.,
143 2014, Mann et al., 2016). Fruit harvesting was modeled as a task of coloring an interval graph,
144 and a greedy algorithm was used to compute optimal assignments; a heuristic algorithm was also
145 developed to compute near-optimal solutions, in real-time, as the robot base moves forward. The
146 same problem was addressed by Barnett et al. (2020) for multiple Cartesian robot arms
147 harvesting kiwifruit, while the robot base is stationary. Fruits (jobs) were partitioned in groups
148 with equal numbers of fruits, and each arm was assigned to a partition, for load-balancing
149 purposes; fruits were picked according to the ascending order of their coordinate along the axis
150 of harvester motion. A similar approach was pursued by Xiong et al. (2020) to load-balance the
151 operation of two robot arms on a strawberry-harvesting robot.

152 However, load-balancing the work of human workers differs drastically from the applications
153 described above, because we can neither control the workers' picking motions nor assign
154 individual fruits to workers. Hence, the load-balancing scenarios and approaches that were
155 studied previously are not applicable to co-robotic platform-aided harvesting.

156 **1.2 Proposed approach**

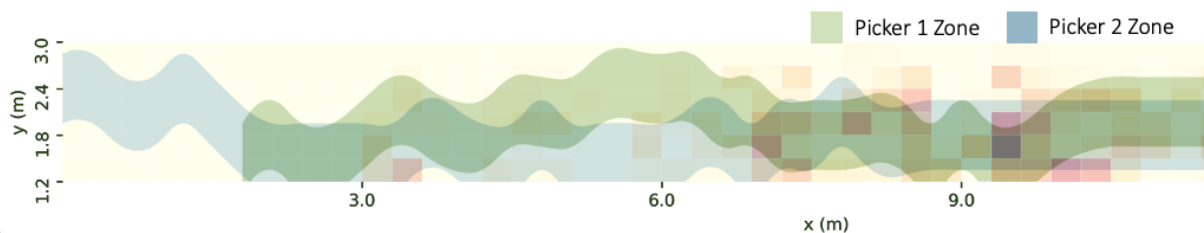
157 This paper presents a novel human-robot collaborative approach that addresses the load-
158 imbalance problem of multi-crew harvest-aid platforms by implementing *variable-height zone*
159 *harvesting*.

160 Toward our goal, a commercial harvest-aid platform was retrofitted with: a) sensing systems that
161 estimate the position and speed of the platform, the spatial distribution of the incoming fruit, and

162 each worker’s picking rate. b) two hydraulically-actuated lifts that control each worker’s
163 elevation from the ground (i.e., the height of each worker’s picking zone) (Figure 4a). A model-
164 based control system was developed to implement variable-height zone harvesting. The idea is
165 that, as the platform moves forward in a row, instead of optimally assigning fruits to workers
166 (which is impossible), the harvesting zone of each worker changes – in terms of its height from
167 the ground – in a way that load-balances the canopy fruit load with the workers’ picking speeds.
168 Hence, in our system, a controller adjusts the lift – and corresponding zone - heights
169 automatically, in real-time, to match each workers’ picking rate with the incoming fruit load
170 distribution (Figure 4b).



171 a)



172 b)

173 *Figure 4 a) The co-robotic platform system: an RTK-GNSS provides position and speed; a stereo-camera based vision system*
174 *estimates a “heat map” of the incoming fruit distribution; instrumented picking bags measure each worker’s picking rate; two*
175 *hydraulic cylinders on one side of the platform move workers up and down. b) The concept of variable-height zone harvesting: A*

176 *model-based control system adjusts the lift – and corresponding zone - heights in real-time to match each workers' picking rate*
177 *with the incoming fruit load distribution, and maximize the machine's picking throughput.*

178 The stochastic nature of the fruit distributions and worker picking rates led us to model co-
179 robotic platform-aided harvesting as a Markov Decision Process (MDP) (Bellman, 1957), and
180 utilize discrete stochastic optimal control to design a controller that maximizes fruit-picking
181 throughput, a measure of the system's performance over time (Sutton and Barto, 1998). As it will
182 be discussed in Section II, the state space of the MDP is very large, thus prohibiting exact
183 solution approaches such as dynamic programming. Real-time optimization was made possible
184 by computing a near-optimal solution based on a *sparse-sampling control* approach (Kearns et
185 al., 2002), by randomly sampling a look-ahead tree with candidate actions within a time horizon.
186 The major contributions of this work are:

- 187 1) Modeling of the platform-based fruit-picking process, and development of a simulator to
188 enable design, optimization, and evaluation of lift height control policies.
- 189 2) Development of a model-based optimal worker/lift height controller that achieves near-
190 maximum picking efficiency.
- 191 3) Robotization of a commercial harvest-aid platform that features closed-loop feedback control
192 of worker elevations. (Only two lifts were installed due to budgetary constraints, but the
193 methodology for more lifts would be the same.)
- 194 4) Evaluation of the co-robotic platform in simulation, and in commercial harvesting, in an apple
195 orchard.

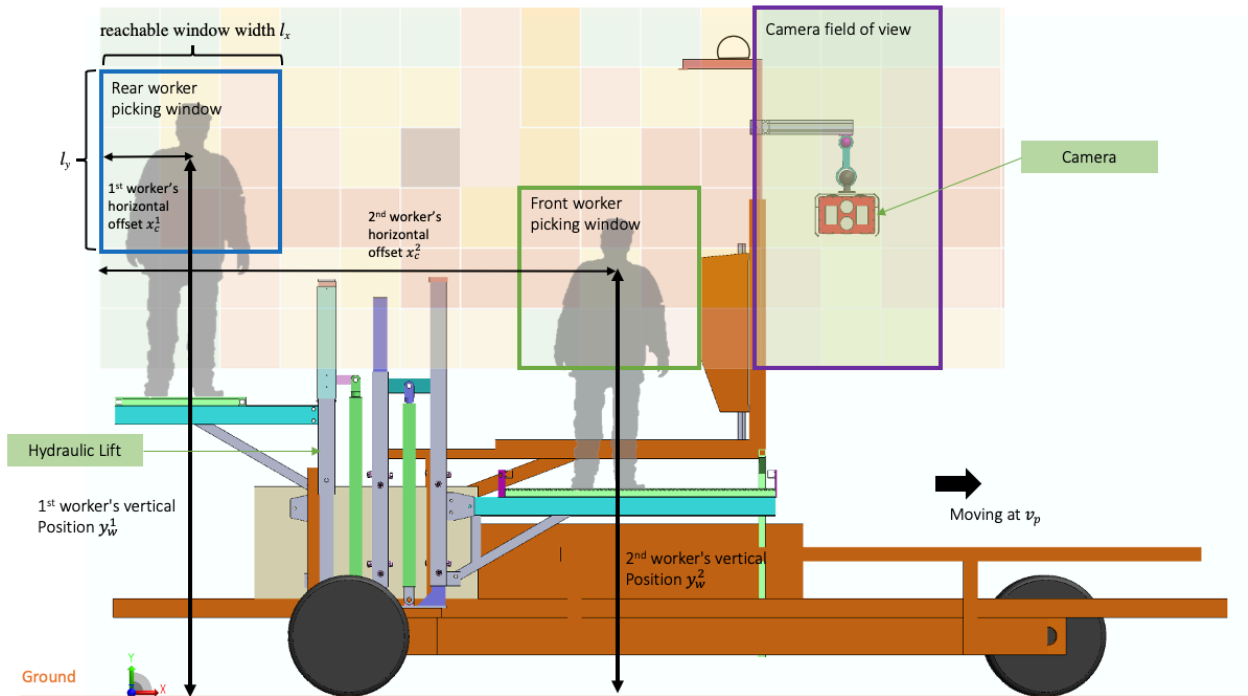
196 The rest of the paper is organized as follows. In section II, harvesting with a co-robotic platform
197 is modeled as a Markov Decision Process, and an approach called *sparse sampling* is adopted
198 from the literature - and adapted to our problem instance - to compute in real-time, near-optimal
199 height control actions. Section III presents the hardware and software system of the co-robotic

200 harvest-aid platform. In section IV, we present simulation and real picking experimental results,
201 in an apple orchard. Finally, section V summarizes the work, and discusses conclusions and
202 future work.

203 **2 Methodology**

204 **2.1 Problem definition**

205 Our objective is to compute an optimal lift height control policy that maximizes the number of
206 fruits picked by the workers on the machine per unit of time (throughput). To achieve the
207 objective, we needed to develop an optimizing controller that dynamically adjusts the elevation
208 of each worker's lift to match the spatial distribution of incoming fruits (labor demand) with the
209 workers' picking rates (labor supply). The first step is to model the harvesting process, i.e., the
210 process where two workers pick fruit while standing on the decks of two variable-height lifts, on
211 a forward-moving platform. A CAD model of the co-robotic platform system is shown in Figure
212 5.



213

214 *Figure 5 CAD model of the robotized platform system with variables definition; two hydraulic lift can move workers up and*
 215 *down; an RTK-GNSS installed on the top of the platform provides position and speed; a stereo-camera based vision system*
 216 *estimates a fruit distribution map of the incoming fruit distribution (colored heatmap).*

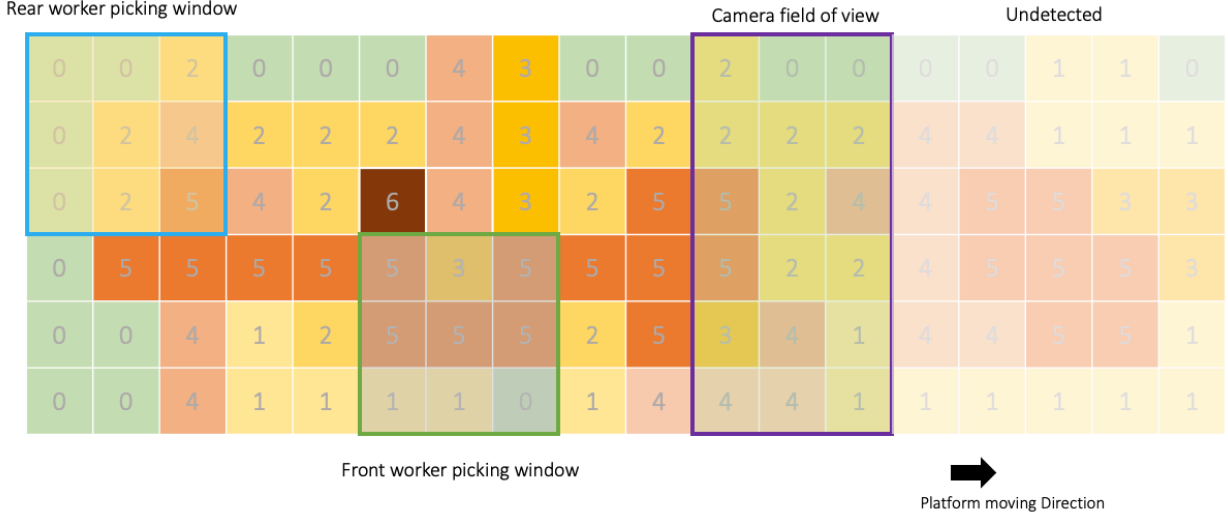
217 The platform moves forward, inside the orchard row, at speed v_p . The camera system in front of
 218 the platform detects the incoming fruits – that are inside the camera’s field of view - calculates
 219 their georeferenced coordinates, and generates a “fruit map”, i.e., a heat map of fruit density
 220 (number of fruits in the canopy per unit of canopy surface area). The fruit map is represented as a
 221 regular two-dimensional grid, M . At any given lift elevation/height, the worker standing on the
 222 lift deck can reach fruits inside a rectangular picking window that has width l_x and height l_y ,
 223 and is centered at the worker’s current position (x_w, y_w) . The fruits within a worker’s picking
 224 window are picked at the worker’s picking rate k_w . If there is no fruit inside the picking
 225 window, the worker is idle.

226 2.2 System modeling - Markov Decision Process Model

227 Markov Decision Processes (MDPs) offer a popular framework for modeling decision-making
228 problems (Bellman 1957). In an MDP, at every time step t , the next state can be computed given
229 the current system state s_t and the current action. A controller observes s_t and selects an action
230 $a_t \in A(s_t)$, where $A(s_t)$ is the set of valid actions in s_t . Then, the system transitions to a new
231 state s_{t+1} according to a state transition function (system's dynamic function) $f : s_t \times a_t \rightarrow$
232 s_{t+1} and receives a reward r_t based on a reward function $g : s_t \times a_t \rightarrow r_t$. An optimal control
233 policy is one that results in the maximum expected cumulative reward.

234 2.2.1 Co-robotic platform system states

235 The state of the co-robotic platform is $s_t = [{}^t x_p, {}^t v_p, {}^t \mathbf{y}_w, {}^t \mathbf{x}_w, {}^t \mathbf{k}_w, {}^t M]$, as defined in the
236 nomenclature table. The fruit distribution map M is an important and relatively complex part of
237 the state. Each cell of the map represents a physical area of $0.3 \text{ m} \times 0.3 \text{ m}$ on the surface of the
238 fruiting wall; the value of each grid represents the number of fruits in its area. The values of the
239 grid cells inside the camera's field of view are updated by the vision system. As the platform
240 moves forward, a cell's value decreases, if a worker harvests/removes fruit from the canopy area
241 corresponding to that cell. A state transition function will be presented to model the update of the
242 cell values. An example M is shown in Figure 6.



243

244

Figure 6 An example of a fruit map M . The width of the grid map is from the end of platform (the rear worker's reaching limit) to the camera's sensing range in front of the platform. The height of the grid map is the valid vertical picking range (from the lowest worker reaching limit when the lift is at lowest height to the highest worker reaching limit when the lift is at highest height). The purple box is the camera field of view. Green and blue boxes are workers' picking windows.

245

246

247

2.2.2 Model parameters

249

There are some MDP model parameters that are assumed to be constants. A worker's current

250

horizontal position x_w^n is at a constant offset x_c^n (values for the offsets are listed in Table 1)

251

relative to the platform's current position x_p . The assumption implies that each worker stands on

252

their respective lift at a fixed position:

$$x_w^n = x_p + x_c^n \quad (1)$$

253

In reality, workers can reach the fruits left and right, each worker's picking window w^n is

254

centered at the worker's current position (x_w^n, y_w^n) and its size is assumed to be fixed.

$$w^n = \left[x_w^n - \frac{l_x}{2} : x_w^n + \frac{l_x}{2}, y_w^n - \frac{l_y}{2} : y_w^n + \frac{l_y}{2} \right] \quad (2)$$

255

The ascending (v_{up}) and descending (v_{down}) speeds of the hydraulic cylinders are also constants

256

(values are listed in Table 1).

257 2.2.3 Actions

258 For the n^{th} worker, the valid action set A^n is $\{0, +1, -1\}$, where “0” encodes the “*keep_still*”
259 action, “+1” the “*move_up*” action, and “-1” the “*move_down*” action for all s_t , except when that
260 worker is already at the top or bottom. If the worker is already at the top or bottom, the effect of
261 the *move_up* or *move_down* action, respectively, will be the same as that of the *keep_still* action.
262 The controller’s full action set includes all the combinations of actions for two workers $A =$
263 $A^1 \times A^2$.

264 2.2.4 State transition function - system dynamics

265 The system’s state transition function $f : s_t \times a_t \rightarrow s_{t+1}$ defines how the state change after a
266 time step, given an action a . The fruit map constitutes part of the state, and human picking
267 patterns are unknown and unpredictable. Therefore, it is impossible to represent the state
268 transition function with a closed-form equation. Next, we describe the transition/update
269 equations for each component of the state. If each time step is Δt , the platform’s horizontal
270 position x_p is updated as:

$${}^{t+1}x_p = {}^t x_p + {}^t v_p \times \Delta t \quad (3)$$

271 The n^{th} worker’s vertical position y_w^n follows

$${}^{t+1}y_w^n = {}^t y_w^n + v_{vert}^n \times \Delta t \quad (4)$$

$$272 \quad v_{vert}^n = v_{up}, \text{ if } {}^t a^n = +1$$

$$273 \quad v_{vert}^n = v_{down}, \text{ if } {}^t a^n = -1$$

$$274 \quad v_{vert}^n = 0, \text{ if } {}^t a^n = 0$$

275 The platform's moving speed v_p and each worker's picking rate k_w^n are measured by sensors.
 276 Based on our observations, these values do not change during the time period used in our work
 277 ($\Delta t = 5$ s), so, they are assumed to be constant during each step of the state transition function.
 278 The fruit distribution map M updated as follows. For each worker p^n , we refer to the maximum
 279 number of fruits the worker can pick during a time step Δt as the picking capacity ${}^t o^n$:

$${}^t o^n = {}^t k_w^n \times \Delta t \quad (5)$$

280 Given that a worker's fruit-picking sequence/strategy is not known, the assumption is made that
 281 the fruits in the n^{th} worker's current picking window ${}^t w^n$ will be picked *randomly* within the
 282 timestep Δt . If there are enough (more than ${}^t o^n$) apples in this window, we subtract ${}^t o^n$ fruits
 283 randomly from M 's corresponding picking window area. If the number of apples in the
 284 corresponding picking window area is less than ${}^t o^n$, we remove all the fruits.

$${}^{t+1} M[{}^t w^n] = \mathbf{randomPick}({}^t M[{}^t w^n], {}^t o^n) \quad (6)$$

285 Function **randomPick** will try to remove up to ${}^t o^n$ fruits from ${}^t M$'s corresponding picking
 286 window area randomly.

287 2.2.5 Reward function

288 The reward function $g: s_t \times a_t \rightarrow r_t$ defines the reward signal r_t when action a_t is executed at
 289 state s_t . The way the reward is computed is explained next. When there are fewer than o^n fruits
 290 inside a worker's picking area, the worker will pick all the fruits and remain idle, until the
 291 platform takes her/him to a position where there is more fruit. Therefore, the number of picked
 292 fruits r_t^n by worker n , is always less or equal to the fruit picking capacity ($r_t^n \leq {}^t o^n$).

$$r_t^n = {}^t o^n, \text{ if } \mathbf{sum}({}^t M[{}^t w^n]) \geq {}^t o^n \quad (7)$$

$$r_t^n = \mathbf{sum}({}^t M[{}^t w^n]), \text{ if } \mathbf{sum}({}^t M[{}^t w^n]) < {}^t o^n$$

293 The reward signal r_t , is the sum of all workers' picked fruits at time step t .

$$r_t = \sum_{n=0}^{n=N} r_t^n \quad (8)$$

294 2.2.6 Optimization objective

295 Our overall objective is to find an optimal height control policy π^* that maximizes the total
 296 number of picked fruits by all workers, from the time the platform enters the row ($t = t_0$) to the
 297 time it exits the row ($t = t_e$).

$$\pi^* = \operatorname{argmax}_{\pi} \sum_{t=t_0}^{t=t_e} r_t \quad (9)$$

298 2.3 Optimization Algorithm

299 Following the definition in Sutton & Barto, (1998), we defined a policy $\pi(s)$ as a mapping from
 300 the current state, s , to an action a . A state-value $v^\pi(s)$ estimates “how good” it is to be in state s
 301 and follow policy π , in terms of future expected returns with a discount factor γ :

$$v^\pi(s) = \mathbf{E}[\sum_{i=0}^{\infty} \gamma^i r_i | s, \pi] \quad (10)$$

302 Similarly, we defined the state-value for a state-action pair (s, a) under the policy π as an action-
 303 value, denoted $q^\pi(s, a)$; the action value estimates the future expected returns starting from the
 304 state, s , taking action a , and following the policy π thereafter.

$$q^\pi(s, a) = \mathbf{E}[r_t + \gamma v^\pi(s_{t+1}) | s, a, \pi] \quad (11)$$

305 In an MDP, there is always at least one policy that is better or equal to all other policies. Its
 306 expected return is greater or equal to all other policies' at all states ($\pi(s) \geq \pi'(s)$ if and only if

307 $v^\pi(s) \geq v^{\pi'}(s)$ for all $s \in S$). This policy is called the optimal policy π^* , and the state-value
 308 of π^* is called the optimal state-value $v^*(s)$.

$$v^*(s) = \max_{\pi} v_{\pi}(s) \text{ for all } s \in S \quad (12)$$

309 The action-value of π^* is called optimal action-value $q^*(s, a)$.

$$q^*(s, a) = \max_{\pi} q_{\pi}(s, a) \text{ for all } s \in S, a \in A(S) \quad (13)$$

310 We can also rewrite the optimal action-value as the expected return for taking action a in state s
 311 and follow the optimal policy π^* afterwards.

$$q^*(s, a) = \mathbf{E}[r_t + \gamma v^*(s_{t+1}) | s, a] \quad (14)$$

312 In a reverse way, once we have an optimal action-value $q^*(s, a)$ we can obtain an optimal
 313 policy:

$$\pi^* = \arg \max_a q^*(s, a) \quad (15)$$

314 The MDP that models co-robotic platform-based harvesting has a huge state space. Although the
 315 state variables are discrete, the number of possible states is huge because of the large number of
 316 cells in the fruit map and the randomness in the fruit-picking sequence. Hence, the ‘‘curse of
 317 dimensionality’’ renders exact optimization methods, such as dynamic programming, impractical.
 318 One approach that deals with MDPs with a finite discrete action space and a huge state space is
 319 the *sparse sampling* algorithm proposed by Kearns et al. (2002). We used this algorithm to solve
 320 the proposed MDP. This approach is a model-based online planning approach that uses an
 321 existing generative model, i.e., a model that returns a randomly-sampled next state s_{t+1} and
 322 corresponding reward r_t , given as input any state-action pair (s_t, a_t) . Our system’s state-
 323 transition function f and reward function g can serve as a generative model. Given any state,
 324 instead of computing all the possible next states and rewards, this algorithm draws samples using

325 a generative model for state-action pairs, step by step. Thus the running time required to compute
 326 a near-optimal action is not related to the size of the state space, and depends only on the size of
 327 the action space $A(S)$, the planning horizon H , and the width C . Specifically, the planning
 328 horizon H is the look-ahead depth of the state expansion tree, and the width C is the number of
 329 next-state samples that are generated for each state-action pair, as shown in Figure 7.

330 The main idea of the sparse sampling algorithm is to estimate the optimal q -values of the current
 331 state s_t for all the possible actions and determine a policy using $\pi^* = \arg \max_{a_t} q^*(s_t, a_t)$.

332 Because of the duality between the state-value and action-value, estimating the action-value can
 333 be done through estimating the state-value. Furthermore, $v^*(s)$ can be approximated by the H -
 334 step value $v_H^*(s)$:

$$v_H^*(s_t) = \mathbf{E}[\sum_{i=0}^H \gamma^i r_i | s_t, \pi^*] = \mathbf{E}[r(s_t, a^*) + \gamma v_{H-1}^*(s_{t+1})] \quad (16)$$

335 Kearns et al. (2002) proved that the error of this approximation can be made controllably small
 336 by choosing H sufficiently large. The optimal value of the current state for H horizons can be
 337 approximated as:

$$\hat{v}_H^*(s_t) \approx \max_{a_t} (\mathbf{E}[r(s_t, a_t) + \gamma \hat{v}_{H-1}^*(s_{t+1})]) \quad (17)$$

338 The expectation in Eq. 17 will be approximated by a sample mean using C samples. Now, we
 339 can recursively obtain an estimate of $\hat{v}_H^*(s_t)$ by using the estimate of $\hat{v}_{H-1}^*(s_{t+1})$. For
 340 mathematical simplicity, the original paper uses $\hat{v}_0^*(s) = 0$ for all s ; however, doing so, ignores
 341 the policy's effect beyond H steps, and effectively limits the planning horizon. Instead, in this
 342 work, we modify the algorithm by using a random policy to rollout E extra steps from state s ,
 343 and record the cumulative discounted return. We repeat this random E -step rollout K times, and
 344 use the average cumulative discounted return as an approximation of $\hat{v}_0^*(s)$.

$$\hat{v}_0^*(s_t) = \frac{1}{K} \sum_{j=1}^K \left(\sum_{i=1}^E (\gamma^i r_i | s_t, \pi^{random}) \right) \quad (18)$$

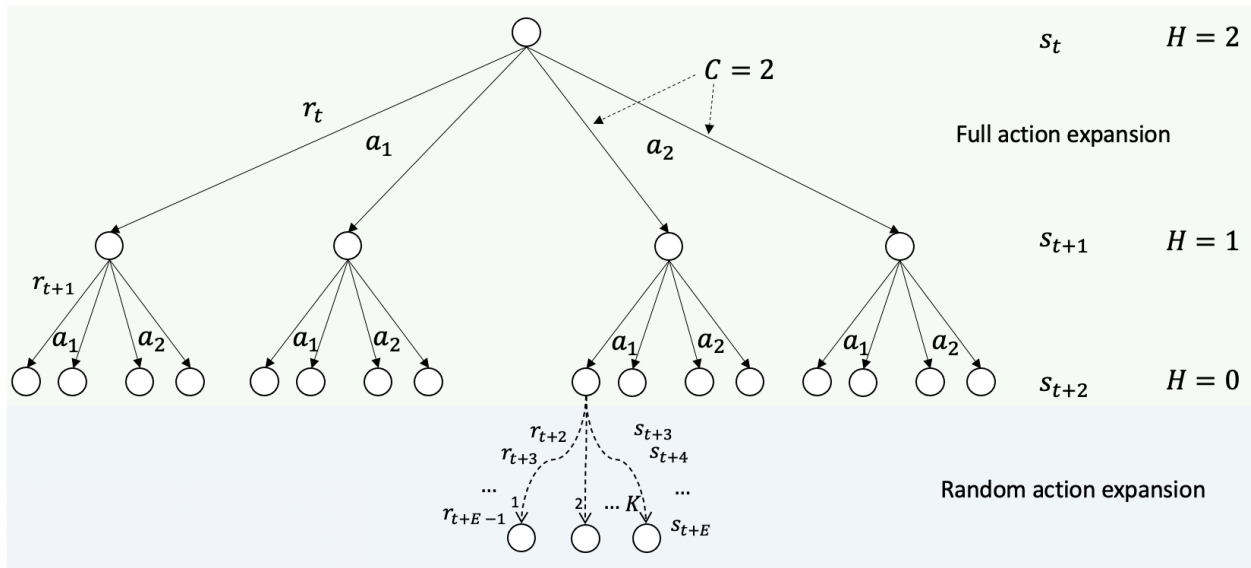
345

346 In practice, the planning horizon is chosen according to the available computational resources.

347 We will analyze the effect of different planning horizons in later experiments. An example of a

348 planning tree of this algorithm is shown in Figure 7, and the pseudo-code is given in Algorithm

349 1-4.



350

351

Figure 7 Planning tree with action number $A(s)=2$, sample size $C=2$ and planning horizon $H=2$

Algorithm 1 EstimateQ

Input: $s_t, C, H, E, K, \gamma, f, g$

Output: estimation of optimal action-value for all actions at s_t : $\hat{q}_H^*(s_t, a_i)$

for each $a_i \in A(s_t)$ **do**

Use state transition function f to generate C next state samples and get their corresponding rewards using reward function g . Let S_{t+1} be the set of the generated next states and R_t be the set of corresponding rewards .

$$\hat{q}_H^*(s_t, a_i) = \frac{1}{C} \left(\sum_{r_t \in R_t} r_t + \gamma \sum_{s_{t+1} \in S_{t+1}} \mathbf{EstimateV}(s_{t+1}, C, H - 1, E, K, \gamma, f) \right)$$

end for

return $[\hat{q}_H^*(s_t, a_i) \text{ for } a_i \in A(s_t)]$

352

Algorithm 2 EstimateV

Input: $s_t, C, H, E, K, \gamma, f, g$ **Output:** estimation of optimal H -step value function at s_t : $\hat{v}_H^*(s_t)$ **if** $H = 0$ and $E > 0$ **then** **return** **RandomPolicyValue**(s_t, E, K, γ, f, g)**else if** $H = 0$ and $E = 0$ **then** **return** 0**else** $\hat{q}_H^*(s_t, a_i)$ for $a_i \in A(s_t) =$ **EstimateQ**($s_t, C, H, E, K, \gamma, f, g$)**return** $\max_{a_i \in A(s_t)} \hat{q}_H^*(s_t, a_i)$

353

354

Algorithm 3 RandomPolicyValue

Input: s_t, E, K, γ, f, g **Output:** $\hat{v}_0^*(s_t)$ Use random policy π^{random} to control the system from s_t for E steps. Repeat this procedure K times. $v = 0$ **for** $k = 0$ to $K-1$ **do** $s = s_t$ $v_k = 0$ **for** $m = 0$ to $E-1$ **do** $a = \pi_h^{random}(s)$ $r, s = g(s, a), f(s, a)$ $v_k += \gamma^m * r$ **end for** $v += v_k$ **end for** $\hat{v}_0^*(s_t) = \frac{v}{K}$ **return** $\hat{v}_0^*(s_t)$

355

Algorithm 4 SelectAction

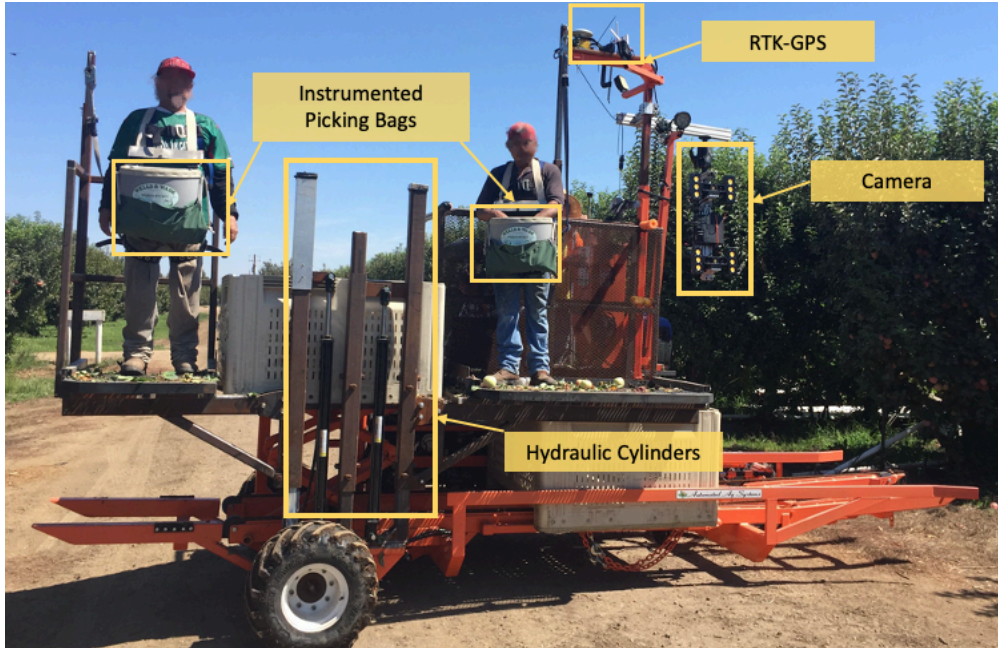
Input: $s_t, C, H, E, K, \gamma, f, g$ **Output:** optimal action a $\hat{q}_H^*(s_t, a_i)$ for $a_i \in A(s_t) =$ **EstimateQ**($s_t, C, H, E, K, \gamma, f, g$)**return** $\operatorname{argmax}_{a_i \in A(s_t)} \hat{q}_H^*(s_t, a_i)$

356

357 **3 Materials**

358 **3.1 Robotized co-robotic platform**

359 A commercial harvest-aid platform (Bandit Xpress by Automated Ag Systems, Moses Lake,
360 WA) was “robotized” to work in variable-height zone harvesting mode. Hydraulic cylinders
361 were installed to move workers up and down, based on commands from the central control
362 computer. Guard rails and hooks for safety harnesses were installed to ensure worker safety.
363 Workers were equipped with instrumented picking bags (Fei et al., 2017), which measure the
364 worker’s picking rate in real-time and transmit the data to the central computer wirelessly, via a
365 Digi Xbee[®] RF module. The picking bags measure the picking rate in kg s⁻¹. The picking rate
366 numbers were converted into fruits s⁻¹ using the average fruit weight, which was estimated prior
367 to the experiments by measuring the weight of one hundred random fruits from a bin. An RTK-
368 GNSS (Real Time Kinematic - Global Navigation Satellite System) with cm-level localization
369 accuracy was installed on the top of the platform to estimate the platform moving speed and the
370 relative position between workers and incoming fruits. A stereo camera system was mounted in
371 the front of the platform, and vision software was used to detect and localize the incoming fruits
372 (Pothen and Nuske, 2016). The robotized platform is shown in Figure 8. Parameter values of the
373 system are listed in Table 1.



374

375 *Figure 8 Sensors (Instrumented picking bag, RTK-GNSS, Camera) and actuators (Hydraulic cylinders) on the robotized platform*
 376 *with workers.*

System parameters:

Number of workers: $N = 2$

Lowest lift deck height from the ground: 1.1 m

Highest lift deck height from the ground: 2.0 m

Worker's vertical position to standing deck offset: 0.95 m

Worker's lowest reaching height, at lowest lift height: 1.6 m

Worker's highest reaching height, at highest lift height: 3.4 m

Hydraulic lift ascending speed: $v_{up} = 0.037 \text{ m/s}$

Hydraulic lift descending speed: $v_{down} = 0.074 \text{ m/s}$

Worker horizontal offset from the rear end of platform: $x_c^1 = 0.45 \text{ m}, x_c^2 = 2.55 \text{ m}$

Camera horizontal offset from the rear end of platform: 4.05 m

Worker's reachable windows size: $l_x = 0.9 \text{ m}, l_y = 0.9 \text{ m}$

Camera horizontal field of view: 0.9 m

Time step: $\Delta t = 5\text{ s}$

Reward discount rate: $\gamma = 0.99$

377

Table 1 Robotized platform system parameters

378 **3.2 Software system overview**

379 The software is implemented using the Robot Operating System (ROS) (Quigley et al., 2009).

380 Each functional module constitutes a node in the ROS network. The nodes are listed as follows:

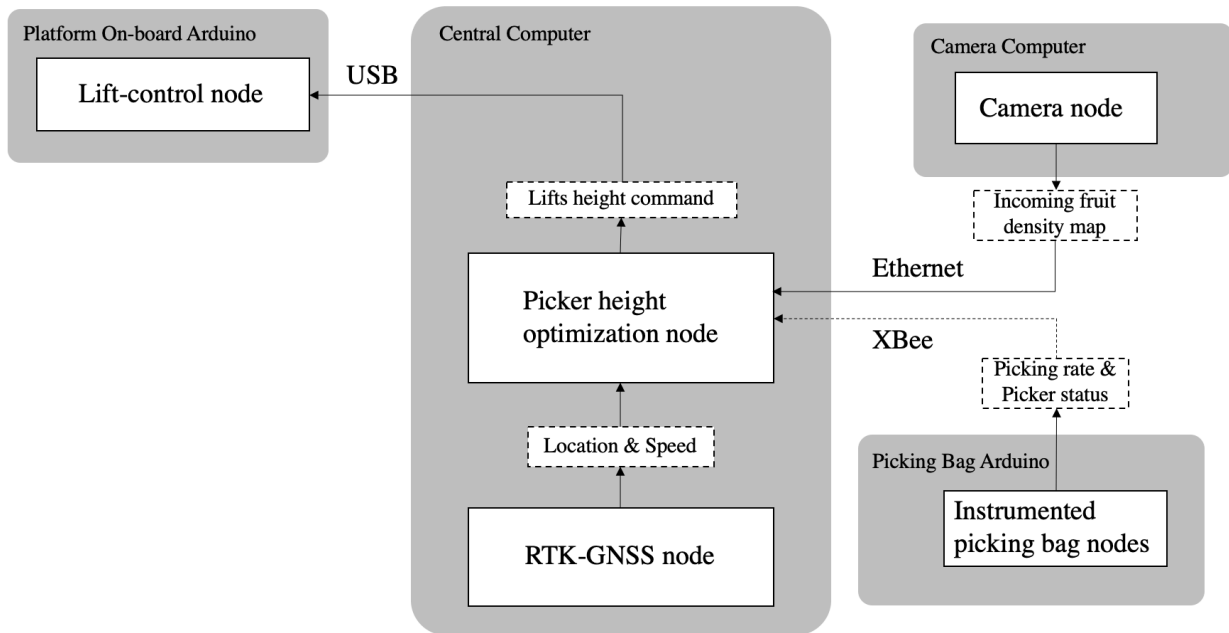
381 a) Lift-control node: This node executes on an Arduino microcontroller, which interfaces to the
382 hydraulic cylinders of the platform that controls the worker heights. The microcontroller is
383 connected to a central computer through a USB serial.

384 b) Instrumented picking bag nodes: Each instrumented bag has an Arduino microcontroller, and
385 a node executes on it. The node calculates picking rates and sends the data to the central
386 computer via Digi Xbee[®]. When the worker fills a bag and wants to unload, an unloading button
387 on the bag is pressed, and a command is sent to the lift control node to lower the worker's lift to
388 the elevation of the bin's lift height.

389 c) Camera node: The node executes on a laptop computer connected to the stereo camera. The
390 node estimates the incoming fruit density from the image stream in real-time using an algorithm
391 developed by Pothen and Nuske (2016), and sends the incoming fruit density map to the central
392 computer through an Ethernet connection. The performance metrics of the vision system's fruit
393 detection in the specific orchard were: precision 0.923, and recall 0.91.

394 d) Worker height optimization node: This node implements the model and optimizing control
395 algorithm (sections 2.2 and 2,3) and runs on the central computer. It uses all the sensor

396 information to compute optimal heights for the worker in real-time – using the sparse sampling
 397 algorithm - and sends the commands to the lift-control node.
 398 e) RTK-GNSS node: This node publishes the current location and speed of the platform. The
 399 overall co-robotic platform software structure is shown in Figure 9.



400

401

Figure 9 Computational system architecture for the co-robotic harvest-aid platform

402 4 Experimental design

403 4.1 Simulation experiments

404 Simulation experiments were performed using digitized fruit distribution data. In these
 405 experiments, we analyzed the efficiency gains of the optimized height control policy under
 406 different platform moving speeds v_p , picking rates k_p , and fruit distributions.

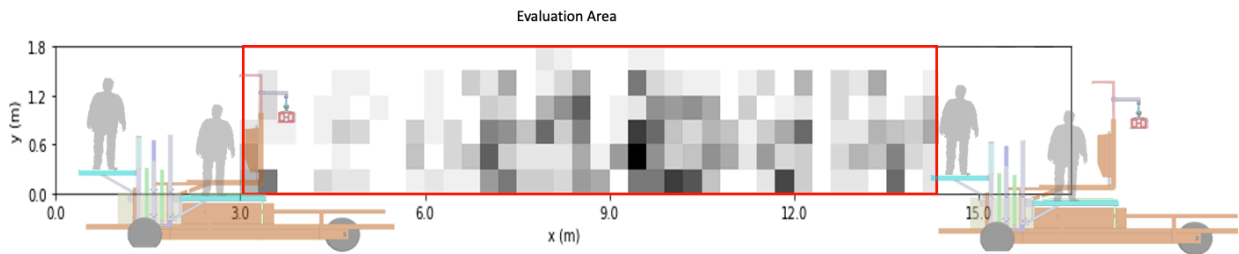
407 4.1.1 Evaluation metric for simulation experiments

408 We use *PP* (Picking Percentage) as our evaluation metric to evaluate the performance of a
409 policy. The metric is defined as:

$$PP = \frac{\text{Number of picked apples}}{\text{Total number of apples}} \quad (19)$$

410 We compare the *PP* of different policies on the same fruit distribution, so the total number of
411 apples is constant for a specific fruit distribution. Hence, maximizing *PP* is equivalent to
412 maximizing the number of picked apples, which is the same as the optimizing objective of the
413 sparse sampling algorithm.

414 In all simulations, the experiment starts when the front worker reaches the evaluation area and
415 ends when the rear worker leaves the evaluation area. The *PP* is calculated using the number of
416 apples inside the evaluation area before and after picking. For example, in Figure 10, this area
417 has *x*-coordinate between [3m, 14m].



418

419 *Figure 10 An example evaluation grid map, each grid represents a 0.3m*0.3m physical area. The darkness indicates fruit*
420 *density. The x-coordinate between [3m, 14m] is the evaluation area which PP is calculated.*

421 4.1.2 Baseline height control policies

422 4.1.2.1 Fixed height policy – fixed-height zone harvesting

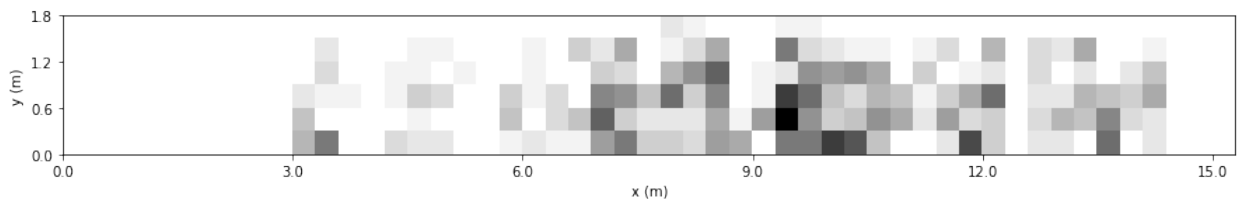
423 In fixed-height zone-harvesting, worker elevations are pre-configured and fixed. One worker is
424 assigned to pick the bottom half of the fruit, and the other worker is assigned to pick the top half.
425 We call this policy the *fixed height policy* and use it as a baseline in our experiments.

426 4.1.2.2 Random Policy

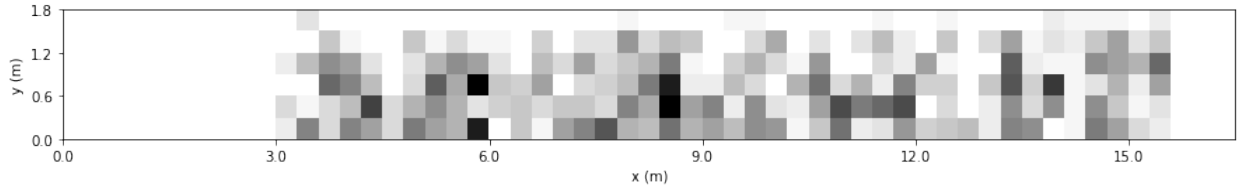
427 The second baseline policy we use for comparison is random policy. A random policy selects an
428 action from the valid action set $\{0, -1, +1\}$ randomly, with a uniform distribution, for each
429 worker in every time step. This baseline is used to compare the performance of a random,
430 uninformed height policy, against the proposed near-optimal policy.

431 4.1.3 Digitized – real fruit distributions for simulation experiments

432 In order to evaluate the improvement of the sparse sampling policy over the other policies, we
433 collected real apple distribution data in a commercial apple orchard by logging every fruit’s 3D
434 location. The apple coordinates in two rows were measured manually using the method proposed
435 by Arikapudi et al. (2016); the first row is 11.43 m long, and the second row is 12.61 m long; the
436 fruit coordinates were digitized into a grid map using the parameters described in Table 1. The
437 digitized fruit distributions are shown in Figure 11.



438



439

440 *Figure 11 The top fruit grid map is real fruit distributions 1, the density of apples along the x-axis is 58.5 fruits per meter. The*
 441 *bottom grid map is real fruit distributions 2, the density of fruit along the x-axis is 109.2 apples per meter.*

442 4.1.4 Experiments with varying platform moving speed

443 The optimization algorithm does not control the platform's moving speed; it tries to achieve
 444 maximum *PP* under any platform moving speed. Increasing the platform speed can decrease the
 445 worker's idle time and shorten the time needed to traverse a row, but it is expected to result in
 446 more unpicked fruits (lower *PP*). Also, the potential efficiency gain of using a good height
 447 control policy over a bad one varies with the changing of the platform moving speed (if the
 448 platform moved extremely slowly, workers could easily pick all the fruits on the tree and achieve
 449 100% *PP*; if the platform moved extremely fast, all workers would pick at full capacity and leave
 450 no room for optimization).

451 To study the potential efficiency gain of using the sparse sampling policy over the baseline
 452 policies, and the tradeoff between the *PP* and the platform moving speed, we varied the platform
 453 moving speed from 0.003 m s^{-1} to 0.03 m s^{-1} (by 0.003 m s^{-1} increments) and compared the
 454 performance of all the height control policies on the digitized fruit distributions. We tested three
 455 picking speed combinations: 1) equal picking speed for each worker, at $0.5 \text{ fruits s}^{-1}$; 2) the top
 456 worker picking at $0.4 \text{ fruits s}^{-1}$ and the bottom worker at $0.6 \text{ fruits s}^{-1}$.; 3) the top worker picking
 457 at $0.6 \text{ fruits s}^{-1}$ and the bottom worker at $0.4 \text{ fruits s}^{-1}$. All picking speed combinations had the
 458 same total picking rate of 1.0 fruit s^{-1} .

459 4.1.5 Planning horizon study

460 The sparse sampling algorithm is designed to provide a near-optimal policy and is only
461 guaranteed to converge to optimal when the planning (look-ahead) horizon H and width C are
462 large enough (Kearns et al. 2002). However, in practice, the computational resources are
463 limited, and we need to compute an action within one timestep (5 s); hence, H and C cannot be
464 arbitrarily large. The algorithm searches over the entire action space up to horizon H , for C
465 samples at each action, so the computational complexity of the sparse sampling method is
466 $O((LC)^H)$ which is exponential to the planning horizon (L is the number of possible actions, and
467 is equal to 9, in our case). A larger H means the algorithm plans further in the future, and a large
468 C can approximate a better expectation value with the sample mean. The effect of using an extra
469 search depth E is that after expanding the full state-action for H steps, the algorithm will
470 continue to search for an extra E depth for K times, using a random policy. So, E can be
471 considered as a computationally low-cost way to enlarge the planning horizon; We refer to $H+E$
472 as the *effective planning horizon*. In this planning horizon study, we varied H from 1 to 5 and
473 varied extra E from 0 to 5 to study the effects of the H and E to the optimization results (PP) to
474 help us understand how to select them. The planning horizon study experiments were done in the
475 digitized fruit distributions row1. In all these experiments, simulated workers had the same
476 picking rate of 0.6 fruits s^{-1} , and the simulated platform moved at a constant speed of 0.01 $m s^{-1}$.
477 The planning width C and the extra search sample size K were set equal to 5.

478 4.2 Field experiments

479 The performance of the algorithm, and of the overall co-robotic harvesting system was evaluated
480 in apple harvesting experiments that were conducted in a commercial Fuji apple orchard with V-

481 trellised trees in Lodi, CA, in September 2018. A total of 2307 kg of apples were picked during
482 the experiments. Among them, 1045kg were picked in variable-height zone harvesting mode
483 (using sparse sampling height control policy), and 1262 kg were picked in fixed-height zone
484 harvesting mode. Two experienced workers worked on the platform during all experiments
485 (Figure 12). The optimizer parameters used in the field experiment were $H=2$, $E=5$, $K=5$, and
486 $C=2$.



487
488 *Figure 12 Harvesting experiments were conducted in a commercial Fuji apple orchard, with V-trellised trees in Lodi, CA, in*
489 *September 2018.*

490 Unlike simulation experiments, harvesting the exact same fruit row multiple times with different
491 parameters is not possible in real orchards. Thus, one cannot generate -and compare - platform
492 speed vs. *PP* plots for the different height control policies. Also, the limited time window for
493 harvesting limited the amount of data we could collect. We compared the variable-height zone
494 harvesting mode against the fixed-height zone harvesting mode, using two different platform
495 speed control modes: fixed speed, and variable/adaptive speed, controlled by an operator. The
496 details of the speed control policies are explained in section 4.2.3.

497 4.2.1 Evaluation metric

498 Unlike the simulation experiments, accurate estimates of the numbers of apples on the trees
499 before and after picking were not available. So, *PP* could not be used as a metric in real apple
500 picking experiments. Instead, we used throughput (kg s^{-1}) as the evaluation metric.

$$\text{throughput} = \frac{\text{sum of picked apple weight (kg)}}{\text{sum of effective picking time (s)}} \quad (20)$$

501

502 The platform's moving speed affects the throughput, so only the throughputs achieved under the
503 same platform speed control mode can be compared against each other. The optimizer's
504 objective, which maximizes the total picked fruit, is equivalent to maximizing the throughput at
505 constant moving speed. The total weight of picked apple was calculated by segmenting each
506 bag's signal (to identify individual bag-fill cycles) and adding the weights of each individual
507 bag. Outliers in the data (caused by bag or other system temporary failures) were discarded, i.e.,
508 only the weights of "valid bag loads" were used. The effective picking time was the sum of the
509 time used to fill the valid bag loads; the time spent on unloading apples into the collection bin
510 was not included.

511 4.2.2 Height control modes

512 4.2.2.1 Fixed-height zone harvesting

513 The baseline fixed height mode used in the field experiment was same as the fixed height policy
514 described in section 4.1.2.1. Worker lift elevations were pre-set by the grower, based on his
515 experience.

516 4.2.2.2 Variable-height zone harvesting

517 The variable-height zone harvesting in the field experiment was implemented by using the sparse
 518 sampling policy proposed in this work.

519 4.2.3 Speed control modes for the platform

520 In commercial harvesting, the platform’s travel speed is controlled by a worker in the front. The
 521 goal is to move the platform as fast as possible, while not leaving any – or many - apples
 522 unpicked. We refer to this speed-control mode as *adaptive speed* mode and used it to compare
 523 the picking performances of variable-height zone harvesting mode and fixed-height zone
 524 harvesting mode. In addition to the adaptive speed control, we used two *fixed moving speeds*
 525 ($v_p = 0.015 \text{ m s}^{-1}$, and $v_p = 0.03 \text{ m s}^{-1}$), to evaluate the improvement of the optimized height
 526 control policy. These two speeds were selected based on the simulation results and the actual
 527 platform moving speeds observed in the orchard.

528 4.2.4 Experiment settings

529 We compared the sparse sampling optimized policy against the fixed height policy under fixed
 530 and adaptive platform speed policies. Table 2 shows all possible combinations for speed policy
 531 and height control policy. The entry of the adaptive speed and fixed height control policy (set #1)
 532 corresponds to the conventional picking process during commercial harvesting.

| Parameter set | 0 | 1 | 2 | 3 | 4 | 5 |
|-----------------------|------------------------------|---------------------------------|---------------------------------|---------------------------------|----------------------------------|----------------------------------|
| Speed policy | Adaptive | Adaptive | Fixed 0.03 m s ⁻¹ | Fixed 0.03 m s ⁻¹ | Fixed 0.015 m s ⁻¹ | Fixed 0.015 m s ⁻¹ |
| Height control policy | Fixed-height zone harvesting | Variable-height zone harvesting | Fixed-height zone harvesting | Variable-height zone harvesting | Fixed-height zone harvesting | Variable-height zone harvesting |

533

Table 2 Apple harvesting experiment settings: combinations of speed policy and height control policy.

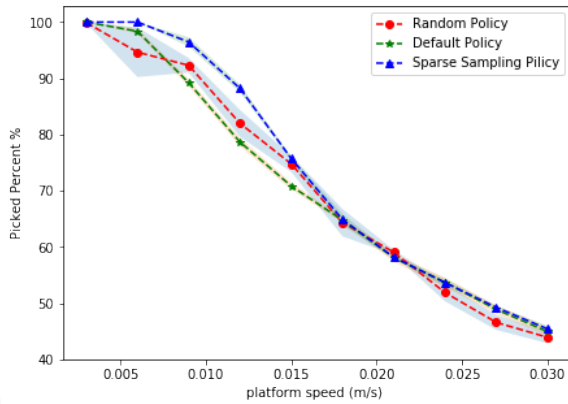
534 5 Experimental results

535 5.1.1 Simulation results

536 5.1.1.1 Experiments with varying platform moving speed

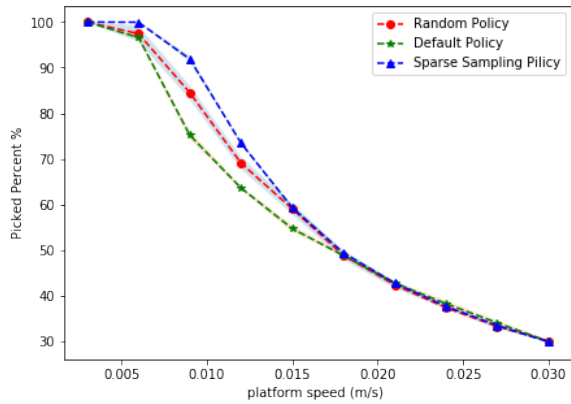
537 The experiment results for three picking-rate settings on two digitized real fruit distributions with
538 varying platform moving speeds are shown in Figure 13.

539



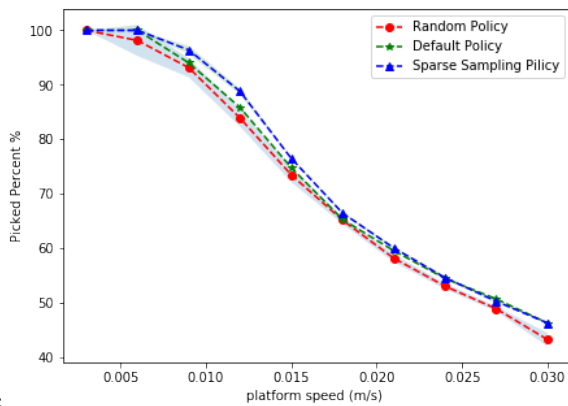
a

b

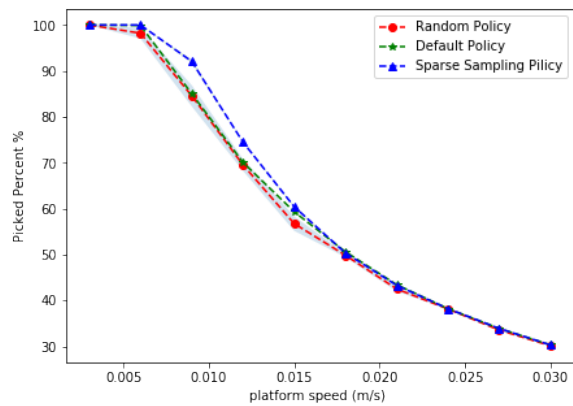


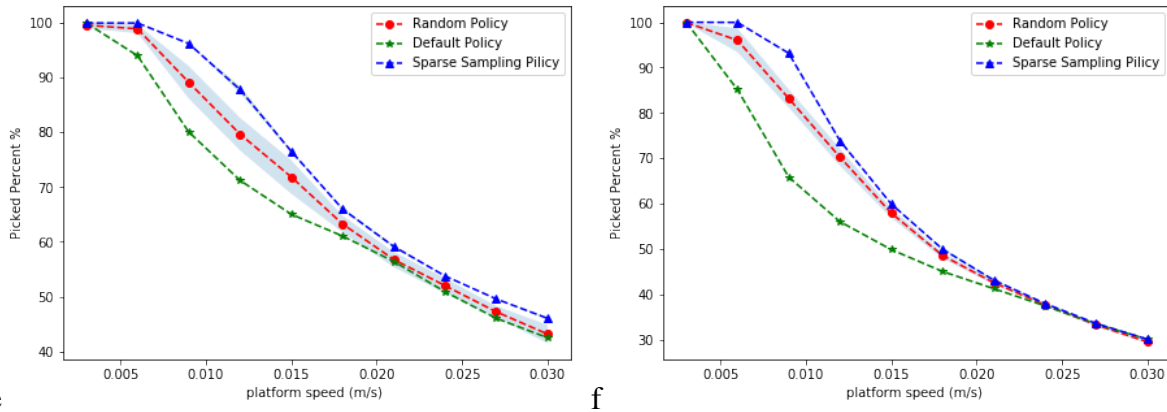
540

c



d





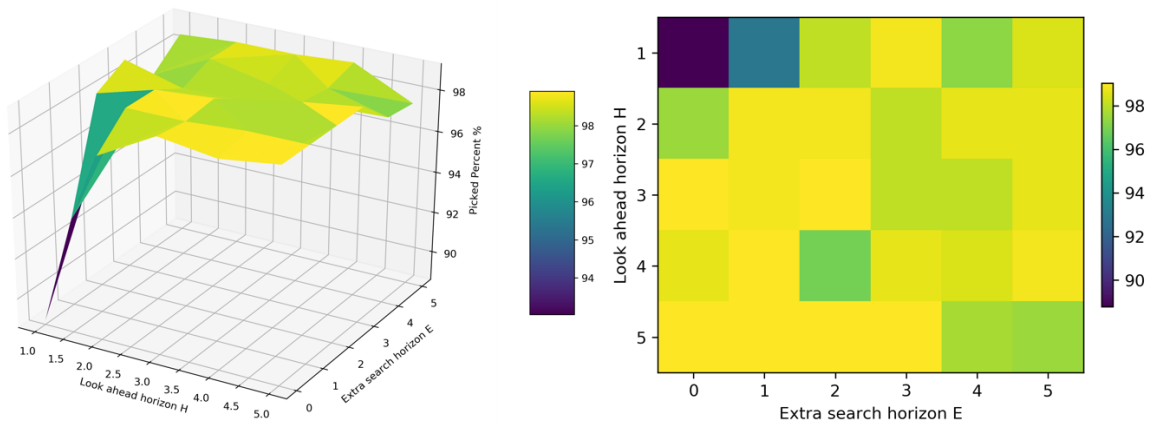
541 e
 542 *Figure 13* The picking percentage with respect to the platform moving speed for three height control policies. a, c, e show the
 543 results of experiments on the real fruit distributions 1 and b, d, f show the results of experiments on the real fruit distributions 2;
 544 a, b show the experiment results under *picking rate setting 1*); c, d show the experiment results under *picking rate setting 2*); e, f
 545 show the experiment results under *picking rate setting 3*).

546 The results show that in the low-speed range, all policies achieve almost 100% *PP*; in the high-
 547 speed range, all policies were limited by the workers' picking speeds. In the middle-speed range,
 548 where there is room for optimization, the sparse sampling method was always better than the
 549 other policies. If the initial distribution of the picking rate does not match the distribution of
 550 fruits well, the sparse sampling policy can be very beneficial as the cases in Figure 13 e, f under
 551 picking rate setting #3. In Figure 13f, when the platform is moving at 0.01m s⁻¹ using the sparse
 552 sampling policy, workers can pick 95% of the fruits; the same workers can only pick 62% of the
 553 fruits, under the fixed height policy. The *PP* is improved by more than 30% in this specific case
 554 using the sparse sampling policy. In other words, if a grower decides to accept 95% *PP* to pick
 555 row 2, using the sparse sampling policy, the platform can move at 0.01m s⁻¹, whereas the
 556 platform can only move at 0.005 m s⁻¹ using the fixed height policy; equivalently, 50% of the
 557 working time can be saved using the sparse sampling policy. However, the improvement was not
 558 always so large. In particular, when the vertical distribution of picking rate matched the vertical
 559 distribution of fruits better, such as in Figure 13 c, d under picking rate setting #2, the difference

560 between the sparse sampling policy and the fixed height policy became small. In practice, if the
561 fruit distribution were known before picking and did not change along rows (not realistic), one
562 could simply use the fixed height policy and assign the slower worker to the zone with less fruit
563 and the fast worker to the zone with more fruit. However, if the order were reversed, the
564 consequence of using the fixed height policy would be cause the PP to decrease significantly, as
565 in Figure 13 e, f. With the sparse sampling policy, the initial position of the two workers makes
566 no big difference. The sparse sampling policy can always assign the workers to the optimal
567 position and achieve optimal picking efficiency.

568 5.1.1.2 Planning horizon study

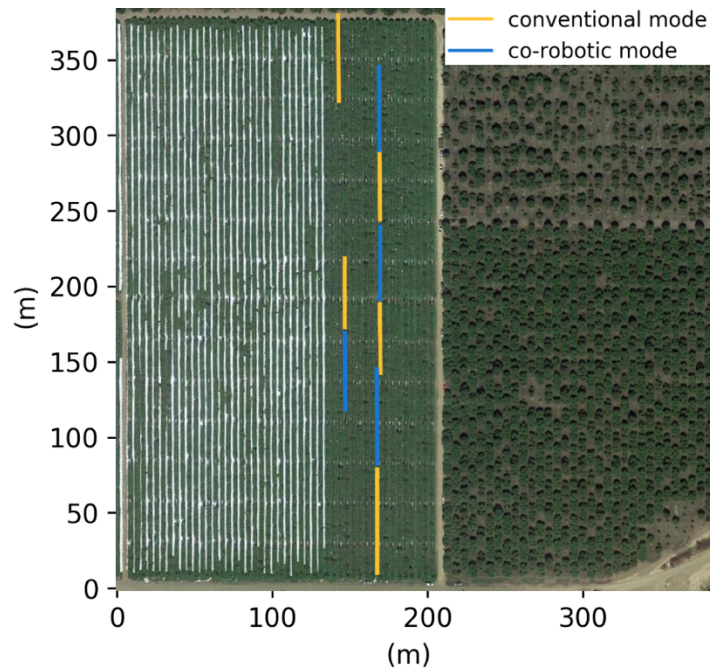
569 Figure 14 shows the effect of the planning horizon H and extra search depth E on harvesting the
570 digitized fruit row #1. When the effective planning horizon ($H + E$) was equal to 1, the workers
571 picked only 88% percent of the fruits; when the effective planning horizon increased to more
572 than 2, the same two workers could pick more than 96% of the fruits. For the same effective
573 planning horizon value, using a higher H can be slightly better than using a higher E , because the
574 planning horizon contributed by H considers all possible actions, whereas E corresponds to
575 Monte Carlo (non-exhaustive) estimation. However, in practice, setting $H > 3$ takes too much
576 time to get a solution in real-time. So, it is preferable to use both H and E to extend the effective
577 planning horizon. To conclude, we need to use both H and E to extend the effective planning
578 horizon, and choose an effective planning horizon larger than 3, to allow the sparse sampling
579 policy achieve near-optimal results in real-time.



580
 581
 582 *Figure 14 The 3D plot (left) and its 2D projection (right) show the dependance of PP on the look-ahead horizon H, and the*
 583 *extra search horizon E; the digitized fruit distribution from row #1 was used.*

584 5.1.2 Field experiment results

585 The GNSS traces of the platform’s location as it moved inside rows during the orchard
 586 experiment are shown in Figure 15. The trace is superimposed on a satellite image of that part of
 587 the orchard.



588

589 *Figure 15 GNSS trace of the platform's location as it moved inside rows during the orchard experiment. The trace is*
 590 *superimposed on a satellite image of part of the orchard.*

591 Because the adaptive speed mode is used in commercial harvesting, more data was collected
 592 using this mode than with the fixed-speed mode. Table 3 shows the weights of the picked apples,
 593 the corresponding effective picking times, the throughputs under all the settings, and the
 594 improvements of the variable-height zone harvesting vs. the fixed-height zone harvesting.

| Speed policy | Adaptive | Adaptive | Fixed 0.03 m s ⁻¹ | Fixed 0.03 m s ⁻¹ | Fixed 0.015 m s ⁻¹ | Fixed 0.015 m s ⁻¹ |
|---|------------------------------------|--|------------------------------------|--|------------------------------------|--|
| Height Control Mode | fixed-height zone harvesting | variable- height zone harvesting | fixed-height zone harvesting | variable- height zone harvesting | fixed-height zone harvesting | variable- height zone harvesting |
| Total Weight (kg) | 788.28 | 648.04 | 251.32 | 161.60 | 222.36 | 235.52 |
| Total Time (h) | 2.64 | 1.98 | 0.94 | 0.57 | 0.91 | 0.88 |
| Throughput (kg h ⁻¹) | 298.80 | 327.60 | 266.40 | 280.80 | 244.80 | 266.40 |
| Variable-height zone Harvesting Improvement | 9.50% | | 5.47% | | 9.52% | |

595 *Table 3 Harvesting throughput results from apple-harvesting field experiments. Harvesting was done using fixed-height and*
 596 *variable-height zone harvesting under adaptive and fixed speed control.*

597 The results show that for both the platform speed control modes, the optimized policy achieved
 598 higher throughput than the (conventional) fixed height policy. The improvement was 9.50%
 599 when adaptive speed control was applied, and 9.52% when the platform travel speed was
 600 constant at 0.015m/s. The throughput improvement decreased as the platform's moving speed
 601 increased: the improvement in throughput was smaller at 0.015 m s⁻¹ compared to 0.03 m s⁻¹; this
 602 trend was the same as in the simulation results.

603 **6 Summary, conclusions and future work**

604 In this study, we developed an optimized variable lift height control policy, to implement
 605 variable-height zone harvesting for multi-crew harvesting platforms. The policy uses a sparse

606 sampling algorithm to solve the “labor supply and demand” mismatch problem that limits
607 platforms’ harvesting efficiencies. To evaluate our approach, we converted a commercial picking
608 platform into a “co-robotic” system. Simulations and commercial apple harvesting experiments
609 showed that the proposed lift height control policy improved the overall picking throughput by
610 up to 9.52%. The potential gain in picking efficiency depended on the platform’s speed, the
611 workers' picking rates, and the fruit distribution. The efficiency gain was significant when the
612 platform speed was neither too fast nor too slow, and when the workers' picking rates were
613 unequal.

614 Our method can be directly applied to harvest-aid platforms that use vacuum tubes to transport
615 picked fruits from each worker into the bin, without using picking bags. The only difference is
616 that each worker’s picking rate would be measured by counting the fruits going through the
617 worker’s tube.

618 Extensions of our work are discussed next. The co-robotic platform did not control its own travel
619 speed. Future work will extend our approach to include an adaptive speed controller that matches
620 the platform speed with the fruit load and workers' picking speeds. Speed control is expected to
621 result in higher picking rate for the front worker (who has to adjust speed) and increased
622 throughput. One limitation of our method is that the optimization model assumes that fruit
623 detection is perfect. In reality, fruit detection is not perfect, and the detection errors presumably
624 result in non-optimal lift height assignments. Future research can investigate optimization
625 algorithms that take into account the error statistics (e.g. by using a fruit distribution probability
626 map instead of a fruit-count map) to compute the optimal policy. Another limitation is that the
627 picking rate estimated using the worker’s picking bag is affected by the number of fruits the
628 worker has in front of them (local fruit density), so it does not directly measure the worker’s

629 “intrinsic” picking capacity. One way to estimate this capacity is to use the camera-sensed fruit
630 distribution and the platform travel speed to remove the effect of variable fruit density. Finally,
631 fruit quality was not assessed in our experiments. In our work, the workers on the platform
632 picked in the same way when the platform operated in conventional mode, and when it operated
633 in co-robotic mode; hence, no changes in fruit damage rates were expected. However, it is
634 conceivable that when a worker picks fruits while her/his lift is being raised or lowered, the
635 vertical motion could affect the fruit-detachment action, and potentially, fruit quality. Further
636 harvesting experiments followed by post-harvest comparison studies are needed to evaluate this
637 aspect of the system.

638

639 **Acknowledgement**

This work was funded by NIFA grants 2016-67021-24535 and W3009 Hatch Multi-State 1016380. We appreciate research engineer Dennis Sadowski for retrofitted the harvest-aid platform. We thank Zania Pothen and Abhisehi Silwal from Carnegie Mellon University providing support on the fruit detection system and their help during the field experiment. We thank grower Jeff Colombini (Lodi Farming) for providing the experiment field during harvest season and thanks workers helped in the experiments.

References

Arikapudi, R., Vougioukas, S. G., Jiménez-Jiménez, F., Anjom, F. K. (2016). Estimation of fruit locations in orchard tree canopies using radio signal ranging and trilateration. *Computers and Electronics in Agriculture*, 125, 160-172.

Bac, C. W., van Henten, E. J., Hemming, J., Edan, Y. (2014). Harvesting robots for high-value crops: State-of-the-art review and challenges ahead. *Journal of Field Robotics*, 31(6), 888-911.

Barnett, J., Duke, M., Au, C. K., Lim, S. H. (2020). Work distribution of multiple Cartesian robot arms for kiwifruit harvesting. *Computers and Electronics in Agriculture*, 169, 105202.

Bellman, R. (1957). A Markovian decision process. *Journal of mathematics and mechanics*, 679-684.

Berlage, A. G. (1973). Apple harvesting trials with oscillating air jets. *Transactions of the ASAE*, 16(3), 460-0461.

Berlage, A. G., Yost, G. E., Langmo, R. D. (1972). Limitations of single-and multi-man platform harvesting aids.

Bogue, R. (2020), "Fruit picking robots: has their time come?", *Industrial Robot*, Vol. 47 No. 2, pp. 141-145.

Cybenko, G. (1989). Dynamic load balancing for distributed memory multiprocessors. *Journal of parallel and distributed computing*, 7(2), 279-301.

De Kleine, M. E., Karkee, M. (2015). A semi-automated harvesting prototype for shaking fruit tree limbs. *Transactions of the ASABE*, 58(6), 1461-1470

Fei, Z., Shepard, J., Vougioukas, S. (2017). Instrumented picking bag for measuring fruit weight during harvesting. In 2017 ASABE Annual International Meeting (p. 1). American Society of Agricultural and Biological Engineers.

He, L., Fu, H., Sun, D., Karkee, M., Zhang, Q. (2017). Shake-and-catch harvesting for fresh market apples in trellis-trained trees. *Transactions of the ASABE*, 60(2), 353-360.

Kearns, M., Mansour, Y., Ng, A. Y. (2002). A sparse sampling algorithm for near-optimal planning in large Markov decision processes. *Machine learning*, 49(2-3), 193-208.

Lesser, K., Harsh, R. M., Seavert, C., Lewis, K., Baugher, T., Schupp, J., Auvil, T. (2008, January). Mobile platforms increase orchard management efficiency and profitability. In *International Symposium on Application of Precision Agriculture for Fruits and Vegetables* 824 (pp. 361-364).

- Mann, M. P., Zion, B., Shmulevich, I., Rubinstein, D., Linker, R. (2016). Combinatorial Optimization and Performance Analysis of a Multi-arm Cartesian Robotic Fruit Harvester—Extensions of Graph Coloring. *Journal of Intelligent & Robotic Systems*, 82(3-4), 399-411.
- Ortiz, C., Torregrosa, A. (2013). Determining adequate vibration frequency, amplitude, and time for mechanical harvesting of fresh mandarins. *Transactions of the ASABE*, 56(1), 15-22.
- Peterson, D. L. (1982). Rod press fruit removal mechanism. *Transactions of the ASAE*, 25(5), 1185-1188.
- Peterson, D. L. (2005). Development of a harvest aid for narrow-inclined-trellised tree-fruit canopies. *Applied engineering in agriculture*, 21(5), 803-806.
- Peterson, D. L., & Kornecki, T. S. (1987). Mechanical apple harvester for T-trellis canopies. *Transactions of the ASAE*, 30(3), 597-0600.
- Peterson, D. L., & Miller, S. S. (1989). Advances in mechanical harvesting of fresh market quality apples. *Journal of Agricultural Engineering Research*, 42(1), 43-50.
- Peterson, D. L., Miller, S. S., Woldorf, S.D. (1996). Apple harvesting concepts for inclined trellised canopies. *Applied engineering in agriculture*, 12(3), 267-2.
- Peterson, D. L., Bennedsen, B. S., Anger, W. C., Wolford, S. D. (1999). A systems approach to robotic bulk harvesting of apples. *Transactions of the ASAE*, 42(4), 871.
- Pothen, Z., Nuske, S. (2016). Texture-based fruit detection via images using the smooth patterns on the fruit. In 2016 IEEE International Conference on Robotics and Automation (ICRA) (pp. 5171-5176). IEEE.
- Quigley, M., Conley, K., Gerkey, B., Faust, J., Foote, T., Leibs, J., Ng, A. Y. (2009, May). ROS: an open-source Robot Operating System. *IEEE International Conference on Robotics & Automation (ICRA): workshop on open source software* (Vol. 3, No. 3.2, p. 5).
- Ramasesh, R. (1990). Dynamic job shop scheduling: a survey of simulation research. *Omega*, 18(1), 43-57.

- Sazo, M. M., Marree, A. D., & Robinson, T. (2010). The platform factor-labor positioning machines producing good results for NY apple industry. *New York Fruit Quarterly*, 18(2), 5-10.
- Schoonderwoerd, R., Holland, O. E., Bruten, J. L., Rothkrantz, L. J. (1997). Ant-based load balancing in telecommunications networks. *Adaptive behavior*, 5(2), 169-207.
- Schupp, J., Baugher, T., Winzeler, E., Schupp, M., & Messner, W. (2011). Preliminary results with a vacuum assisted harvest system for apples. *Fruit Notes*, 76(4), 1-5.
- Silwal, A., Davidson, J. R., Karkee, M., Mo, C., Zhang, Q., Lewis, K. (2017). Design, integration, and field evaluation of a robotic apple harvester. *Journal of Field Robotics*, 34(6), 1140-1159.
- Sutton, R. S., & Barto, A. G. (1998). *Reinforcement learning: An introduction* (Vol. 1, No. 1). Cambridge: MIT press.
- Taylor, J. E., & Charlton, D. (2018). *The Farm Labor Problem: A Global Perspective*. Academic Press.
- Thomas, R. L. (1964). An engineering investigation in the use of a pulsating air stream to mechanically detach apples from the tree. Unpublished MS thesis, Rutgers—The State University, New Brunswick, New Jersey.
- Vougioukas, S. G. (2019). Agricultural robotics. *Annual Review of Control, Robotics, and Autonomous Systems*, 2, 365-392.
- Willebeek-LeMair, M. H., Reeves, A. P. (1993). Strategies for dynamic load balancing on highly parallel computers. *IEEE Transactions on parallel and distributed systems*, 4(9), 979-993.
- Xiong, Y., Ge, Y., Grimstad, L., From, P. J. (2020). An autonomous strawberry-harvesting robot: Design, development, integration, and field evaluation. *Journal of Field Robotics*, 37(2), 202-224.
- Zhang, Q. (editor), 2017. *Automation in Tree Fruit Production: Principles and Practice*. ISBN: 9781780648507. CABI.

Zhang, Z., Heinemann, P. H., Liu, J., Baugher, T. A., & Schupp, J. R. (2016). The development of mechanical apple harvesting technology: A review. *Transactions of the ASABE*, 59(5), 1165-1180.

Zhang, Z., Heinemann, P., Liu, J., Schupp, J., Baugher, T. (2014). Design, fabrication, and testing of a low-cost apple harvest-assist device. In 2014 Montreal, Quebec Canada July 13–July 16, 2014 (p. 1). American Society of Agricultural and Biological Engineers.

Zhang, Z., Igathinathane, C., Li, J., Cen, H., Lu, Y., & Flores, P. (2020). Technology progress in mechanical harvest of fresh market apples. *Computers and Electronics in Agriculture*, 175, 105606.

Zhang, Z., Pothula, A. K., Lu, R. (2018). Improvements and evaluation of an infield bin filler for apple bruising and distributions. In 2018 ASABE Annual International Meeting (p. 1). American Society of Agricultural and Biological Engineers.

Zion, B., Mann, M., Levin, D., Shilo, A., Rubinstein, D., Shmulevich, I. (2014). Harvest-order planning for a multiarm robotic harvester. *Computers and Electronics in Agriculture*, 103, 75-81.

Zomaya, A. Y., Teh, Y. H. (2001). Observations on using genetic algorithms for dynamic load-balancing. *IEEE transactions on parallel and distributed systems*, 12(9), 899-911.