# **Resilient-based Control Reconfiguration of Autonomous Systems**

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#### ABSTRACT

This paper introduces a design methodology for resilientbased control reconfiguration of Unmanned Autonomous Systems (UAS) when extreme disturbances, such as a largely growing fault or component failure mode occur. It is documented that more than 40% of Class air mishaps are attributed to Unmanned Aerial Vehicles (UAVs). There is an urgent need to improve the operational integrity, resilience and reliability of such critical assets. An optimal control approach with Differential Dynamic Programming (DDP) and Model Predictive Control (MPC) is introduced in this paper as a means for control authority redistribution and reconfiguration; therefore, the system continues performing its mission while compensating for the impact of the extreme disturbances. Prognostic knowledge is considered in a quadratic cost function of the optimal control problem as a soft constraint. A trade-off parameter is introduced between the prognostic constraint and the terminal cost. An autonomous ground operable under-actuated hovercraft is used to demonstrate the efficacy of the proposed reconfiguration strategy, and it is extendable to other cyber physical systems.

## **1. INTRODUCTION AND BACKGROUND**

UAS, such as unmanned aerial, ground, surface, and underwater vehicles, are being extensively utilized in research and application domains exploring potential uses and developing new ones. One of the primary concerns of practical UAS utilization in real operations is safety (Downes, 2015). In many applications, human operators are still necessary to help address unforeseen and extreme disturbances, such as component faults that lead to failure. The motivation for this research is founded upon the idea of system resilience for system safety and reliability under extreme disturbances. System resilience is defined as:

Definition [Resilience]: The intrinsic ability of a system to adjust its functioning prior to, during, or following changes and disturbances, and thus, to sustain required operations even after a major mishap or in the presence of continuous stress (Hollnagel, Woods, and Leveson, 2007).

Balchanos (2012) thoroughly reviewed various resiliencerelated research findings and addressed an assessment method of complex dynamic system resilience, which embraces system capability. Tran (2016) also suggested a resilience assessment method based on time-dependent system reliability by using a probabilistic measure.

According to the definition of resilience, situational awareness, prediction, planning, and action are necessary capabilities for a resilient system. On one hand, fault diagnosis and failure prognosis aim to detect accurately with specified false alarm rate the initiation of a fault while prognosis attempts to predict the system's Remaining Useful Life (RUL). (Vachtsevanos, Lewis, Roemer, Hess, and Wu, 2006). A particle filtering-based diagnosis and prognosis framework has been highlighted as a popular approach (Brown, Bole, and Vachtsevanos, 2010), and its details can be found in Orchard's dissertation (2006).

On the other hand, proper adjustments to control actions can assure resilient behaviors. Specifically, for a fault and failure in a critical component, a Fault Tolerant Control System (FTCS) has been researched for decades. It was motivated by commercial aircraft accidents (Zhang & Ziang, 2008). Zhang and Ziang (2008). Clements (2003) developed a hierarchical control architecture showing the interconnections among fault detection & identification, set-point controller, control redistribution, control gain adaptation, and component restructuring. Ge, Kacprzynski, Roemer, and Vachtsevanos (2004) introduced a higher level of adaptive system framework by using an Automated Contingency Management (ACM) concept. Drozeski, Saha, and Vachtsevanos (2005) proposed a three-tier hierarchical control scheme as Active FTCS. Tang, Kacprzynski, Goebel, Saxena, Saha, and Vachtsevanos (2008) extended the ACM framework by integrating it with a prognostics module. Tang, Hettler, Zhang, and DeCastro (2011) extended further and tested a Prognostics and Health Management (PHM)



Figure 1. Overview of the proposed methodology on a closed-loop control schematics.

enhanced ACM framework with a real-time mobile robot test application. Brown, Georgoulas, Bole, Pei, Orchard, Tang, Saha, Saxena, Goebel, and Vachtsevanos (2009) proposed prognostics enhanced low-level reconfigurable control for an electrical component. Bole, Tang, Goebel, and Vachtsevanos (2011) described a fault adaptive control architecture, and Bole (2013) addressed uncertainties in prognostics and reconfigurable control allocation strategies.

As a theoretical foundation, this study takes the hierarchical reconfiguration architecture developed by Drozeski et al. (2005), and focuses on the middle-level reconfiguration module. The following sections of the paper cover the proposed resilient-based reconfiguration strategy in Section 2, the proof of concept using an under-actuated hovercraft example in Section 3, and summary of the contribution and future work in Section 4.

## 2. TECHNICAL APPROACH

The main contribution of this research effort is a middle-level reconfigurable control framework, as shown in Figure 1. The configuration borrows from the comprehensive three-level reconfiguration architecture proposed by Drozeski et al. (2005) and Brown et al. (2009), as illustrated in Figure 2.

Under small disturbances, the low-level reconfiguration module compensates for the effects of small disturbances by adjusting set points for the actuator components. In the case of extreme disturbances, however, due to the severe degradation of the system capability, the system is not able to satisfy mission requirements; thus, it cannot perform / complete the given mission. To resolve this issue, the middlelevel reconfiguration module is introduced to extend and recover the system capability by reconfiguring the guidance and control strategy. The system capability recovery in terms of an extended RUL is achieved at the expense of degraded system performance. It is noted that the proposed reconfiguration strategy does not entail any hardware changes (replacement or insertion of new hardware). It addresses only the software components of the framework. Therefore, the trade-off between the performance requirements and increased RUL must be carried out properly in the middle-level reconfiguration module. This trade-off is the essence of the middle-level reconfiguration.



Figure 2. Reconfigurable control architecture with three tier strategies (modified and redrawn based on Figure 3 in Brown et al., 2009)

## 2.1. Requirements

The middle-level reconfiguration strategy aims to extend the system capability (Time to Failure) by trading off

performance attributes. The strategy involves only the system's software assuming that the hardware complement remains as designed. Then, the recovered system capability has to satisfy mission requirements. In addition, the middle-level reconfiguration can be carried out properly only if a system is controllable under extreme disturbances. Dorf and Bishop (1998) defined the system controllability requirements.

#### 2.2. Resilient-based Reconfiguration Strategy

The middle-level consists of system-level Guidance, Navigation, and Control (GNC) modules. The guidance and control laws have a major impact on generating desired control forces and/or torques. Once an ongoing disturbance is diagnosed as being extreme – thus, the low-level reconfiguration is not sufficient to achieve stated mission objectives – the middle-level reconfiguration routine is activated. This paper assumes that the diagnostics and prognostics information, as well as the decision from the lowlevel reconfigurable controller, are given.

As a means for control reconfiguration, optimal control theory is a powerful tool for deriving control policies, and it is the backbone of the reconfiguration strategy in this study. DDP, developed by Jacobson and Mayne (1970), is used to solve a general nonlinear optimization problem. The key attribute of DDP is the fact that it performs simultaneously trajectory optimization and control signal generation. DDP is a finite time horizon control algorithm; thus, it is natural to borrow and apply a MPC method until the system meets the success criteria of a given mission.

Figure 3 represents the schematics of the middle-level reconfigurable control framework. If the system is controllable under an extreme disturbance, the finite-time optimal control law generates and applies the first input sequence; it is iterated next with the updated states until a given target is met. System performance degradation is inevitable as the recovery actions compensate for such extreme disturbances. Therefore, system performance must be evaluated and compared with the required performance criteria. If the reconfiguration level does not meet the specified performance criteria, the top-level of the control hierarchy is activated to achieve mission adaptation.

#### 2.2.1. Formulation

A general optimal control problem is stated as: find the optimal input,  $u^*$ , minimizing a nonlinear cost functional as follows:

$$f \quad \arg\min f(\boldsymbol{x} \ \boldsymbol{u}) \tag{1}$$

where  $u \in \Re^n$  is a control input (desired force/torque) vector,  $x \in \Re^m$  is a state vector, and  $f(\cdot)$  is a nonlinear cost function. A finite time horizon optimal control problem is formulated as:



Figure 3. Flowchart of the proposed control reconfiguration.

$$(x(t_0), t_0)$$

$$\left[\int (\boldsymbol{x}(\tau), \boldsymbol{u}(\tau), \tau) d\tau \quad (\boldsymbol{x}(t_f), t_f)\right]$$
<sup>(2)</sup>

subject to:

$$- F(\mathbf{x}(t), \mathbf{u}(t))$$
(3)  
$$(\mathbf{x}(t), \mathbf{u}(t)) \le 0$$

where  $t_0$  is an initial time and  $t_f$  is the terminal time.  $l(\cdot)$  is a scalar running cost,  $\Phi(\cdot)$  is a scalar terminal cost,  $F(\mathbf{x}(t), \mathbf{u}(t))$  represents the nonlinear system dynamics as an equality constraint for the optimization problem, and  $g(\mathbf{x}(t), \mathbf{u}(t))$  is a general function for inequality constraints. This optimal control problem can be solved by a DDP approach. By exploiting Bellman's principle, the cost values are propagated backward in time if we know  $V(\mathbf{x}(t_f), t_f)$  (Bellman, 1957). Bellman's principle in a discrete-time domain is expressed in Equation (4).

$$(\mathbf{x}(t_k), t_k)$$

$$\mathbf{u}(t_k) [l(\mathbf{x}(t_k), \mathbf{u}(t_k), t_k) \Delta t \qquad (\mathbf{x}(t_{k+1}), t_{k+1})]$$
(4)

Cost functions are usually formulated as quadratic functions of states and control inputs, as shown in Equations (5) and (6).

$$(\boldsymbol{x}(t_f), t_f) \quad \frac{1}{2} (\boldsymbol{x}(t_f) - \boldsymbol{r})^T K_f(\boldsymbol{x}(t_f) - \boldsymbol{r})$$
(5)

where r is a target state vector, and  $K_f$  is a weighting matrix. It represents the weighted energy of a terminal state error, expressed as the difference from a given target.

$$(\boldsymbol{x}(t_k), \boldsymbol{u}(t_k), t_k) = \frac{1}{2} (t_k)^T K \boldsymbol{x}(t_k) = \frac{1}{2} (t_k)^T R \boldsymbol{u}(t_k)$$
(6)

where K and R are weighting matrices. The right hand-side of Equation (6) refers to the energy of the states and control inputs, respectively, at each time instance.

As a constraint, the system capability must be sufficient to meet stated mission requirements.

system capability 
$$\geq$$
 requirements (7)

The qualitative constraints must be expressed as measurable quantities. Candidates are energy, controllability, maneuverability, stability, etc. By the assumption that system capability is related to system control authority, the inequality constraint can be expressed as:

$$\boldsymbol{\sigma}(t_k) > \boldsymbol{\sigma}_{\text{req.}} \tag{8}$$

subject to:

$$\dot{\boldsymbol{\sigma}}(t_k) \qquad (\boldsymbol{x}(t_k), \boldsymbol{u}(t_k), t_k) \tag{9}$$

where  $\boldsymbol{\sigma} \in \Re^{m_2}$  is the system capability-relevant state vector, and  $\boldsymbol{\sigma}_{req.}$  is the state vector for mission requirements.  $\boldsymbol{\sigma}(t_k)$ is modeled as a function of  $\boldsymbol{u}(t_k)$  and  $\boldsymbol{x}(t_k)$ , as in Equation (9). In general, hard constraints in states, specifically at a terminal time, are difficult to handle in MPC. An alternate approach is to set them as soft constraints by integrating them into a cost function. Then, Equations (5) and (6) can be rewritten as Equations (10) and (11):

$$(\boldsymbol{x}(t_f), t_f) = \frac{1}{2} (\boldsymbol{x}(t_f) - \boldsymbol{r})^T K_f (\boldsymbol{x}(t_f) - \boldsymbol{r})$$

$$+ \rho \frac{1}{2} (t_f)^T K_f^R \boldsymbol{\sigma}(t_f)$$
(10)

$$(\boldsymbol{x}(t_k), \boldsymbol{u}(t_k), t_k)$$

$$\frac{1}{2} (t_k)^T K \boldsymbol{x}(t_k) \quad \frac{1}{2} (t_k)^T R \boldsymbol{u}(t_k)$$

$$+ \rho_R \frac{1}{2} (t_k)^T K^R \boldsymbol{\sigma}(t_k)$$
(11)

where  $K_f^R \& K^R$  are weighting matrices, and  $\rho_f \& \rho_R$  are reconfiguration parameters. In the case that system controllability is satisfied even after the component failure,  $\rho_R$  will be a main driver for the trade-off. Now, we can concatenate the state variable vectors into one long state vector and several weighting matrices into two large matrices:

$$[\boldsymbol{x} \quad \boldsymbol{\sigma}]^T \tag{12}$$

$$K \begin{bmatrix} K & \mathbf{0} \\ \mathbf{0} & \rho_f K_f^R \end{bmatrix}$$
$$K = \begin{bmatrix} K & \mathbf{0} \\ \mathbf{0} & \rho_R K^R \end{bmatrix}$$

where the new state vector is  $x \in \Re^{m+m_2}$ . Then, Equations (10) and (11) are reorganized as Equations (5) and (6). Determining the weighting matrices and importance parameters is heavily dependent on the controller designer's experience. It is noted though that what is affecting the optimal control performance are ratios between weighting parameters. As a starting point, it behooves to normalize them with reference values (e.g., maximum) of each variable.

#### 2.2.2. Stability Analysis

Let us rewrite Equation (2) as:

$$V_N(x(t_0), \boldsymbol{u}) = \sum_{j=0}^{N-1} \left( x(t_j), u(t_j) \right) \Delta t \qquad (x(t_N))$$
<sup>(13)</sup>

where  $x(t_0)$  is the current state, is the control input sequence, and  $(x(t_N))$  is the terminal cost. The cost function  $V_N(x(t_0), \mathbf{u})$  evaluates costs for N discrete time segments at  $x(t_0)$ . Define  $\mathbf{u}^*(x(t_0))$  the optimal control input sequence given the initial condition,  $x(t_0)$ , and  $V_N^*(\cdot)$ the costs along the optimal control input,  $\mathbf{u}^*(\cdot)$ , at any given current state. Considering discrete system dynamic constraints,

$$x(t_{k+1}) \quad (x(t_k), u(t_k)) \tag{14}$$

where  $u(t_k) \in \mathbb{U}$ , and  $\mathbb{U}$  is a feasible input set,  $V_N^*(\cdot)$  can be considered as a Lyapunov function if,

$${}_{N}^{*}(x(t_{k+1})) - V_{N}^{*}(x(t_{k})) \le 0$$
(15)

for all  $t_k$ . Then, the MPC, with the cost function expressed as Equation (13), is stable. The proof is as follows:

Suppose that there exists an optimal control input,  $u^*(t_k)$ [ $u^*(t_k) \quad u^*(t_{k+1}) \quad \cdots \quad {}^*(t_{k+N})$ ], and the corresponding state,  $x^*(x(t_k))$ , sequences at  $t_k$ . Now, consider the control input sequence at time  $t_{k+1}$  as:

$$(x(t_{k+1}))$$
  
 $[u^*(t_{k+1}) \cdots ^*(t_{k+N}) u(t_{k+N+1})]$  (16)

Equation (16) is not an optimal control sequence because  $u(t_{k+N+1}) \in \mathbb{U}$  is not optimal. By the definition of the cost function,

$$(x(t_{k+N+1})) \quad (x(t_{k+N}), u(t_{k+N})) \Delta t$$

$$\leq V_f^* (x^*(t_{k+N}))$$

$$(17)$$

Therefore,

$$N\left(x(t_{k+1}), (x(t_{k+1}))\right) \le V_N^*(x^*(t_k)) - (x(t_k), u^*(t_k))\Delta$$
(18)

Finally,

$${}^{*}_{N}(x^{*}(t_{k+1})) \leq V_{N}(x(t_{k+1}), (x(t_{k+1})))$$

$$\leq V^{*}_{N}(x^{*}(t_{k})) - (x(t_{k}), u^{*}(t_{k}))\Delta$$
(19)

Proof of Equation (15) is found in (Pannocchia, Rawlings, and Wright, 2011).

## **3. THE EXPERIMENTAL CONFIGURATION**

The proposed design methodology of the middle-level reconfigurable control has potentials to cyber physical systems, which entail software and hardware integration, in that the reconfiguration manages software components. To demonstrate its efficacy, an autonomously operable underactuated hovercraft was used as a testbed (Kim et al., 2013; Sconyers et al., 2013). The hovercraft dynamics model was derived on the basis of a ground-fixed coordinate system, as depicted in the right side of Figure 4. The hovercraft operates with two differential thrust fans with electrical motors and a LIDAR sensor for simultaneous localization and mapping.



Figure 4. The autonomously operable hovercraft with two differential thrusts (left), and 2D hovercraft dynamics and kinematics representation (right).

## 3.1. Hovercraft Dynamics Model

The hovercraft is assumed to move in two-dimensional planar motion; thus, it is an under-actuated system given two input controls. Equations (20) are the system dynamics model; xand y are absolute positions on the ground fixed coordinate,  $\theta$  is a heading angle,  $\dot{X}$  is a velocity,  $\ddot{X}$  is an acceleration, m is the mass, I is the moment of inertia of the hovercraft, d is the distance between a thruster and an imaginary longitudinal line crossing the mass center while assuming that the mass center coincides with the geometric center, and  $F_l \& F_r$  are left and right thrust forces, respectively. Based on the system  $\dot{\theta}^T$ , and  $\{x, \theta, \theta\}$ dynamics equations, the state is  $\{F_l, F_r\}^T$ . Han, and Zhao (2004) evaluated the input is the underactuated hovercraft controllability. The analysis showed that the existence of the yaw torque can guarantee the system controllability. It implies that one thrust motor failure does not affect the controllability as long as the other motor can produce proper torque values.

Table 1 shows the system properties used for the following experiments.

$$\ddot{x} - - F_l \cdot \cos \theta + F_r \cdot \cos \theta$$

$$\ddot{y} - - F_l \cdot \sin \theta + F_r \cdot \sin \theta$$

$$(20)$$

$$\ddot{\theta} - \frac{r}{l} \dot{\theta} \quad (F_r - F_l)$$

Table	1. System	properties.
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Parameters	Values	Description
m ( <i>kg</i> )	11.8	Vehicle mass
$J(kg \cdot m^2)$	1	Moment of Inertia
d ( <i>m</i> )	0.25	Moment arm
d <sub>t</sub> (-)	0.05	Frictional damping (translation)
dr (-)	0.005	Frictional damping (rotation)
F <sub>max</sub> (N)	2	Control input constraint (max.)
F <sub>min</sub> (N)	-2	Control input constraint (min.)

#### 3.2. Fault Growth Model

A fault growth dynamics model is given as a function of time and actuator control inputs as:

$$\dot{\sigma}(t) = \rho_{\sigma} \cdot u^2 \quad \sigma \quad \omega_{\sigma}(t) \tag{21}$$

where  $\sigma$  is the state of a fault on the right thrust motor,  $\omega_{\sigma}(t)$  is noise,  $\rho_{\sigma}$  is a coefficient representing the fault growth rate with respect to an actuator control input, and  $\sigma_0$  is a controlindependent parameter. As a dimensionless representation, the fault severity is ranked from 1 to 10 with one as a healthy condition and 10 as an indication of a component failure. At the fault severity 10, the motor control thrust force is no longer active. For simplicity, the impact of the fault mode on the effective thrust force is assumed inversely proportional to the severity of the fault, as shown in Equation (22).

Table 2 shows the fault growth model parameters that were used in the following tests.

$$F_{\text{actual}} = \frac{F_{\text{desired}}}{\sigma}$$
 (22)

Table 2. Parameters for the fault growth model.

Parameters	Values	Description
$ ho_{\sigma}$	2.5	Control input effect coef.
σ	0.02	Operational time effect coef.



Figure 5. Hovercraft position trajectory result comparisons: (a) healthy condition; (b) nominal controller under faulty condition; and (c) reconfigurable controller under faulty condition.

#### 3.3. Energy Consumption Model

The system capability in this example is expressed as the traveling distance for the vehicle starting at the origin and terminating at a goal point, and it is closely tied to the system energy and the energy consumption model. The electric energy consumption rate is modeled as a quadratic function of control inputs.

$$\dot{e}(t) = \rho_e \cdot \boldsymbol{u}(t)^T \boldsymbol{u}(t) + \omega_e(t)$$
(23)

where e(t) is the cumulative amount of energy consumed,  $\dot{e}(t)$  is the energy consumption rate, and  $\omega_e(t)$  is noise. Notionally, the maximum energy available is set to 300 in the example (dimensionless). If the total consumption reaches its maximum value, it is impossible to move the hovercraft any longer; thus, it becomes uncontrollable. For the experiment,  $\rho_e$  was set to 10.

#### 3.4. Nominal GNC

A nominal-phase GNC module consists of the line-of-sight (LOS) guidance law and the dynamic inversion nonlinear controller addressed by Kim et al. (2013). The LOS guidance law forces the system to reduce the errors in the heading angle and the shortest distance between the current position and a trajectory path, at each control time instant. The controller controls the desired surge velocity and the heading angle.

#### 4. SIMULATION RESULTS AND DISCUSSION

The hovercraft test mission is to move from a starting point, (0, 0), to a target point, (80, 80). A fault occurs in the right thrust motor during the operation initiated at 50 sec., and its severity monotonically increases as modeled in Equation (21). Figure 5 depicts the hovercraft position and heading trajectories (a) under healthy condition, (b) with the nominal controller under faulty condition, and (c) with the proposed reconfigurable controller under faulty condition. In the

reconfigurable controller,  $\rho_f$  and  $\rho_R$  were set to 100. As expected, the nominal controller could not handle such an extreme fault and could not reach the target point at the end. With the reconfigurable controller, on the contrary, the hovercraft reached the target, but it exhibited an oscillatory behavior in the middle of the operation. This behavior is attributed to the redistributed control authority. As illustrated in Figure 6, the reconfigurable controller endowed agility characteristics to the healthy thrust motor while suppressing the usage of the faulty one. At  $t_{k+\delta}$ , the actual force exerted from the right faulty thrustor was less than the left healthy thrustor. Instead of exerting more effort on the faulty thrustor, the controller forced to turn the vehicle right until the heading angle pointed backward, and then produced a reverse thrust on the left motor to turn the vehicle heading back to the forward direction as well as to proceed in the direction of the target point. This control strategy repeated until the hovercraft reached the given target.



Figure 6. Pictorial representation of the redistributed optimal control sequence.

Through reconfiguration, system capability was recovered from the impaired condition, although the system performance was degraded. Figure 7 compares the system performance between normal and faulty conditions. After 50 seconds, as a critical fault mode was initiated and evolved, the speed to get to the target decreased; thus, the mission completion time was almost doubled compared to the healthy case. Energy consumption rate decreased after the fault mode, but due to the longer operational time, total energy consumption was slightly greater than the normal case. The trade-offs are obvious, as suggested previously.

Table 3 shows the comparisons of system capabilities in maximum traveled distances available and corresponding traveling time. As an extreme fault mode occurs, system capabilities by the nominal controller dramatically decreased to less than one third of the maximum traveling distance available. This was mainly due to an excessive usage of the faulty motor as the nominal controller attempted to maintain its heading angle; thus, the energy consumption was expedited and the component failed quickly. After reconfiguration, the maximum traveling distance recovered although not fully. To extend the distance, the mission was completed at a slower rate. Table 4 shows the impact of the reconfiguration parameters. The larger the values, the more penalties are assigned to the cost function. Finally, the maximum computational time for a single control input was 0.16 seconds on a regular desktop computer. It demonstrates the potential for the practical applicability of the proposed reconfiguration framework.



Figure 7. Solid red is reconfigured trajectory under faulty condition; and dashed blue is normal trajectory.

Conchility	Healthy	Faulty	
Capability		No Reconf.	Reconf.
Max. distance (m)	177.61	55.87	143.41
Time to mission complete (sec.)	241	Incomplete	422
Time to the component failure (sec.)	-	75.5	480.5

Table 3	Comparisor	is of system	capabilities.
raute J.	Comparison	is or system	capaonnico.

Canabilita	Reconfiguration Parameters		
Capability	0	100	200
Max. distance (m)	103.50	143.41	194.38
Time to mission complete (sec.)	Incomplete	422	527
Time to the component failure	No failure	480.5	482.5

Table 4. Impact of the reconfiguration parameter.

#### **5.** CONCLUSION

(sec.)

The middle-level reconfigurable control and control authority redistribution framework introduced in this paper demonstrated its essential capability to improve system resiliency by handling an extreme disturbance properly. The proposed framework was tested via the under actuated hovercraft simulation. The results demonstrated the efficacy of the approach. Future work is intended to address uncertainties, which may degrade the performance of the reconfiguration strategy. Also, adaptive mechanisms for systems to autonomously manage the level of reconfiguration online will help systems to be more resilient. Furthermore, integration of the low and high-level reconfiguration policies will improve the overall system performance.

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