

# IEEE Recommended Practice for Communications-Based Train Control (CBTC) System Design and Functional Allocations

### **IEEE Vehicular Technology Society**

Sponsored by the Rail Transit Vehicle Interface Standards Committee

IEEE 3 Park Avenue New York, NY 10016-5997, USA

3 September 2008

IEEE Std 1474.3™-2008

Authorized licensed use limited to: Thomson Reuters. Downloaded on October 19,2010 at 15:59:16 UTC from IEEE Xplore. Restrictions apply.

## IEEE Recommended Practice for Communications-Based Train Control (CBTC) System Design and Functional Allocations

Sponsor

### IEEE Rail Transit Vehicle Interface Standards Committee

of the

**IEEE Vehicular Technology Society** 

Approved 12 June 2008

**IEEE-SA Standards Board** 

**Abstract:** This recommended practice for communications-based train control (CBTC) system design and functional allocations builds on IEEE Std 1474.1 by decomposing each identified automatic train protection, automatic train operation and automatic train supervision function to a level where each subfunction can be allocated to one of the CBTC subsystems.

Keywords: automation, communication, signaling, train control, function

Copyright © 2008 by the Institute of Electrical and Electronics Engineers, Inc. All rights reserved. Published 3 September 2008. Printed in the United States of America.

 PDF:
 ISBN 978-0-7381-5772-6
 STD95808

 Print:
 ISBN 978-0-7381-5773-3
 STDPD95808

No part of this publication may be reproduced in any form, in an electronic retrieval system or otherwise, without the prior written permission of the publisher.

The Institute of Electrical and Electronics Engineers, Inc. 3 Park Avenue, New York, NY 10016-5997, USA

IEEE and 802 are registered trademarks in the U.S. Patent & Trademark Office, owned by The Institute of Electrical and Electronics Engineers, Incorporated.

**IEEE Standards** documents are developed within the IEEE Societies and the Standards Coordinating Committees of the IEEE Standards Association (IEEE-SA) Standards Board. The IEEE develops its standards through a consensus development process, approved by the American National Standards Institute, which brings together volunteers representing varied viewpoints and interests to achieve the final product. Volunteers are not necessarily members of the Institute and serve without compensation. While the IEEE administers the process and establishes rules to promote fairness in the consensus development process, the IEEE does not independently evaluate, test, or verify the accuracy of any of the information contained in its standards.

Use of an IEEE Standard is wholly voluntary. The IEEE disclaims liability for any personal injury, property or other damage, of any nature whatsoever, whether special, indirect, consequential, or compensatory, directly or indirectly resulting from the publication, use of, or reliance upon this, or any other IEEE Standard document.

The IEEE does not warrant or represent the accuracy or content of the material contained herein, and expressly disclaims any express or implied warranty, including any implied warranty of merchantability or fitness for a specific purpose, or that the use of the material contained herein is free from patent infringement. IEEE Standards documents are supplied "AS IS."

The existence of an IEEE Standard does not imply that there are no other ways to produce, test, measure, purchase, market, or provide other goods and services related to the scope of the IEEE Standard. Furthermore, the viewpoint expressed at the time a standard is approved and issued is subject to change brought about through developments in the state of the art and comments received from users of the standard. Every IEEE Standard is subjected to review at least every five years for revision or reaffirmation. When a document is more than five years old and has not been reaffirmed, it is reasonable to conclude that its contents, although still of some value, do not wholly reflect the present state of the art. Users are cautioned to check to determine that they have the latest edition of any IEEE Standard.

In publishing and making this document available, the IEEE is not suggesting or rendering professional or other services for, or on behalf of, any person or entity. Nor is the IEEE undertaking to perform any duty owed by any other person or entity to another. Any person utilizing this, and any other IEEE Standards document, should rely upon the advice of a competent professional in determining the exercise of reasonable care in any given circumstances.

Interpretations: Occasionally questions may arise regarding the meaning of portions of standards as they relate to specific applications. When the need for interpretations is brought to the attention of IEEE, the Institute will initiate action to prepare appropriate responses. Since IEEE Standards represent a consensus of concerned interests, it is important to ensure that any interpretation has also received the concurrence of a balance of interests. For this reason, IEEE and the members of its societies and Standards Coordinating Committees are not able to provide an instant response to interpretation requests except in those cases where the matter has previously received formal consideration. At lectures, symposia, seminars, or educational courses, an individual presenting information on IEEE standards shall make it clear that his or her views should be considered the personal views of that individual rather than the formal position, explanation, or interpretation of the IEEE.

Comments for revision of IEEE Standards are welcome from any interested party, regardless of membership affiliation with IEEE. Suggestions for changes in documents should be in the form of a proposed change of text, together with appropriate supporting comments. Comments on standards and requests for interpretations should be addressed to:

Secretary, IEEE-SA Standards Board 445 Hoes Lane Piscataway, NJ 08854 USA

Authorization to photocopy portions of any individual standard for internal or personal use is granted by the Institute of Electrical and Electronics Engineers, Inc., provided that the appropriate fee is paid to Copyright Clearance Center. To arrange for payment of licensing fee, please contact Copyright Clearance Center, Customer Service, 222 Rosewood Drive, Danvers, MA 01923 USA; +1 978 750 8400. Permission to photocopy portions of any individual standard for educational classroom use can also be obtained through the Copyright Clearance Center.

#### Introduction

This introduction is not part of IEEE Std 1474.3-2008, IEEE Recommended Practice for Communications-Based Train Control (CBTC) System Design and Functional Allocations.

IEEE Std 1474.1-2004 establishes performance and functional requirements for communications-based train control (CBTC) systems. Although there could be many possible system designs to achieve these performance and functional requirements, the current state-of-the-art and industry trends reflect that in many areas there is a preferred approach to allocating the functional requirements to the individual CBTC subsystems. This recommended practice for CBTC system design and functional allocations documents these preferred approaches as current best industry practice. In those areas where there are no clear-cut recommendations, alternative approaches may be described. In such cases, however, it is not the intent to provide any recommendation or guide as to which alternative approach should be selected for a specific application. This decision would typically be made by the CBTC system supplier, in association with the authority having jurisdiction.

The approach adopted in this recommended practice is to build on IEEE Std 1474.1-2004 by decomposing each identified automatic train protection, automatic train operation, and automatic train supervision function to a level where each subfunction can be allocated to one of the CBTC subsystems.

In addition to capturing best industry practice, this recommended practice is intended to be of value in providing a means for interested parties to gain a better understanding of CBTC system architectures and principles of operation.

#### Notice to users

#### Laws and regulations

Users of these documents should consult all applicable laws and regulations. Compliance with the provisions of this standard does not imply compliance to any applicable regulatory requirements. Implementers of the standard are responsible for observing or referring to the applicable regulatory requirements. IEEE does not, by the publication of its standards, intend to urge action that is not in compliance with applicable laws, and these documents may not be construed as doing so.

#### Copyrights

This document is copyrighted by the IEEE. It is made available for a wide variety of both public and private uses. These include both use, by reference, in laws and regulations, and use in private self-regulation, standardization, and the promotion of engineering practices and methods. By making this document available for use and adoption by public authorities and private users, the IEEE does not waive any rights in copyright to this document.

#### Updating of IEEE documents

Users of IEEE standards should be aware that these documents may be superseded at any time by the issuance of new editions or may be amended from time to time through the issuance of amendments, corrigenda, or errata. An official IEEE document at any point in time consists of the current edition of the document together with any amendments, corrigenda, or errata then in effect. In order to determine whether a given document is the current edition and whether it has been amended through the issuance of

amendments, corrigenda, or errata, visit the IEEE Standards Association Web site at http://ieeexplore.ieee.org/xpl/standards.jsp, or contact the IEEE at the address listed previously.

For more information about the IEEE Standards Association or the IEEE standards development process, visit the IEEE-SA Web site at http://standards.ieee.org.

#### Errata

Errata, if any, for this and all other standards can be accessed at the following URL: http://standards.ieee.org/reading/ieee/updates/errata/. Users are encouraged to check this URL for errata periodically.

#### Interpretations

Current interpretations can be accessed at the following URL: http://standards.ieee.org/reading/ieee/interp/.

#### Patents

Attention is called to the possibility that implementation of this standard may require use of subject matter covered by patent rights. By publication of this standard, no position is taken with respect to the existence or validity of any patent rights in connection therewith. A patent holder or patent applicant has filed a statement of assurance that it will grant licenses under these rights without compensation or under reasonable rates, with reasonable terms and conditions that are demonstrably free of any unfair discrimination to applicants desiring to obtain such licenses. Other Essential Patent Claims may exist for which a statement of assurance has not been received. The IEEE is not responsible for identifying Essential Patent Claims for which a license may be required, for conducting inquiries into the legal validity or scope of Patents Claims, or determining whether any licensing terms or conditions are reasonable or non-discriminatory. Further information may be obtained from the IEEE Standards Association.

#### **Participants**

At the time this recommended practice submitted to the IEEE-SA Standards Board for approval, the Communications-Based Train Control Working Group had the following membership:

#### Alan F. Rumsey, Chair

Corrine Braban Frederick Childs Tom Eichorn Jeff Eilenberg Nicholas Estivals Stephane Gatellier Harvey Glickenstein Harry Heilmann James R. Hoelscher Bob Jahn Kenneth Karg John LaForce Didier Lapalus Duncan Lewis Dale Logan Robert MacDonald David Male Charles Martin Norman May William Petit Louis Sanders Carl Schwellnus Bob Sudo Errol Taylor Carl Thompson Dave Thurston Robert Walsh Raj Wagley

V Copyright © 2008 IEEE. All rights reserved. The following members of the individual balloting committee voted on this standard. Balloters may have voted for approval, disapproval, or abstention.

Bradford Benbow Stephane Bois Yunxiang Chen Frederick Childs Keith Chow Michael Crispo David Dimmer Thomas Eichorn Jeff Eilenberg Marc Emmelmann Nicholas Estivals Christian Girard Harvey Glickenstein Randall Groves James R. Hoelscher Werner Hoelzl Paul Jamieson Kenneth Karg Karocki, Piotr Kurihara, Thomas John LaForce Didier Lapalus Duncan Lewis Robert MacDonald David Male Charles Martin Norman May Daniel McFadden Edwin Mortlock Hiroyuki Nakase Michael S.Newman William Petit D. Phelps Alan F. Rumsey Louis Sanders Carl Schwellnus Errol Taylor Carl Thompson David Thurston John Vergis Firth Whitwam

When the IEEE-SA Standards Board approved this recommended practice on 12 June, 2008, it had the following membership:

Robert M. Grow, Chair Thomas A. Prevost, Vice Chair Steve M. Mills, Past Chair Judith Gorman, Secretary

Victor Berman Richard DeBlasio Andrew Drozd Mark Epstein Alex Gelman William R. Goldbach Arnold M. Greenspan Kenneth S. Hanus James Hughes Richard H. Hulett Young Kyun Kim Joseph L. Koepfinger\* John Kulick David J. Law Glenn Parsons Ronald C. Petersen Narayanan Ramachandran Jon Rosdahl Anne-Marie Sahazizian Malcolm V. Thaden Howard L. Wolfman Don Wright

\*Member Emeritus

Also included are the following nonvoting IEEE-SA Standards Board liaisons:

Satish K. Aggarwal, *NRC Representative* Michael H. Kelley, *NIST Representative* 

Don Messina IEEE Standards Program Manager, Document Development

Patricia A. Gerdon IEEE Standards Program Manager, Technical Program Development

### Contents

1. Overview			
1.1	General	1	
1.2	Scope	2	
1.3	Purpose		
1.4	Application		
2. Norm	native references	2	
	itions, acronyms, and abbreviations		
3.1	Definitions		
3.2	Acronyms and abbreviations	3	
_			
	eral requirements		
4.1	Range of applications		
4.2	Operating modes		
4.3	Failure management	4	
	C system design		
5.1	CBTC system architecture		
5.1.1			
5.1.2			
5.1.3			
5.1.4			
5.2	Principles of operation		
5.3	External interfaces		
5.3.1	5		
5.3.2			
5.3.3	<b>y</b>		
5.3.4			
5.4	Integration with other systems	8	
о <u>лт</u> р	functional allocations	0	
	functional allocations		
	rain location determination		
6.1.1			
6.1.2			
6.1.3			
6.1.4 6.2	0		
6.2.1	Limit of safe route determination		
6.2.1			
6.2.2			
6.3	Limit of movement protection and target point determination		
6.3.1			
	1		
6.3.2			
6.3.3	5 1		
6.4	ATP profile determination Determine permanent speed restrictions		
6.4.1	• •		
6.4.2			
6.4.3	51		
6.4.4	Calculate ATP profile	43	

	6.5 Authorized speed determination	44
	6.5.1 Determine authorized speed	44
	6.6 Actual train speed/train travel direction determination	45
	6.6.1 Determine actual train speed	
	6.6.2 Determine actual train travel direction	
	6.7 Supervise/enforce authorized speed and travel direction	48
	6.7.1 Speed supervision	50
	6.7.2 Travel direction supervision	51
	6.7.3 Failure management	52
	6.8 Door control interlocks	55
	6.8.1 Door open interlocks	57
	6.8.2 Departure interlocks	59
	6.8.3 Failure management	60
	6.9 External interlocking commands	
	6.9.1 External interlocking interface	
	6.10 Highway grade crossing warning device control/supervision	
	6.10.1 Control of highway grade crossing warning device	
	6.10.2 Supervision of highway grade crossing warning device	
	6.11 Train-borne ATP user interfaces	
	6.11.1 Train-borne ATP display data interface	
	6.11.2 CBTC train-borne ATP input data interface	
	6.12 Fixed ATP data management	
7.	ATO functional allocations	70
/.	7.1 Determine ATO profile	
	7.1.1 Determine ATO profile for starting, stopping, and speed regulation	
	7.2 Determine train berthing location	
	7.2.1 Platform berthing control	
	7.2.2 Platform entry control	
	7.3 Regulate train speed	
	7.3.1 Regulate train speed in accordance with ATO profile	
	7.4 Door control	
	7.4.1 Opening train/platform doors	
	7.4.2 Closing train/platform doors	
	7.4.3 Failure management.	
	7.5 Train-borne ATO user interfaces	
	7.5.1 Train-borne ATO display data interface	
	7.5.2 Train-borne ATO input data interface	
8.	. ATS functional allocations	91
0.	8.1 Train identification	
	8.1.1 Determine train identification	
	• = · · · • • • • • • • • • • • • • • •	
	8.3 Train routing	
	8.3.1 Route train	
	8.4 Train regulation	
	8.4.1 Automatic train regulation	
	8.5 Station stop functions	
	8.5.1 Stop train at next station	
	8.5.2 Hold train at station	
	8.5.3 Skip station stop	
	8.5.4 Door control inhibit	
	8.6 Restricting train operations	
	8.6.1 Stopping/restarting a train enroute	96

Viii Copyright © 2008 IEEE. All rights reserved.

8.6.2 Impose/remove temporary speed restrictions		
8.6.3 Block/unblock route/section		
8.6.4 Establish/remove work zones		
8.7 Passenger information system interfaces		
8.7.1 Wayside passenger information systems		
8.7.2 Train-borne passenger information systems		
8.8 Fault reporting		
8.8.1 CBTC fault reporting		
8.8.2 Train fault reporting		
8.9 ATS user interfaces		
8.9.1 Display data		
8.9.2 Input data		
9. Data flows between CBTC subsystems		
9.1 From CBTC ATS		
9.2 From CBTC wayside		
9.3 From external wayside		
9.4 From CBTC train-borne		
9.5 From external train-borne		
A.1 Introduction		
A.2 Train orientation		
A.3 Track segment orientation		
A.4 Train polarity		
A.5 Train travel direction		
A.6 Summary		

Authorized licensed use limited to: Thomson Reuters. Downloaded on October 19,2010 at 15:59:16 UTC from IEEE Xplore. Restrictions apply.

## IEEE Recommended Practice for Communications-Based Train Control (CBTC) System Design and Functional Allocations

IMPORTANT NOTICE: This standard is not intended to assure safety, security, health, or environmental protection in all circumstances. Implementers of the standard are responsible for determining appropriate safety, security, environmental, and health practices or regulatory requirements.

This IEEE document is made available for use subject to important notices and legal disclaimers. These notices and disclaimers appear in all publications containing this document and may be found under the heading "Important Notice" or "Important Notices and Disclaimers Concerning IEEE Documents." They can also be obtained on request from IEEE or viewed at http://standards.ieee.org/IPR/disclaimers.html.

#### 1. Overview

#### 1.1 General

This recommended practice establishes the system design and functional allocations for a communicationsbased train control (CBTC) system. It is divided into nine clauses, as follows:

- Clause 1 describes the scope and purpose of this recommended practice.
- Clause 2 lists normative references that are useful in applying this recommended practice.
- Clause 3 provides definitions that are either not found in other IEEE standards or have been modified for use with this recommended practice.
- Clause 4 provides a top-level description of operations and train operating modes to be supported by CBTC systems.
- Clause 5 defines the general system architecture and principles of operation for CBTC systems.
- Clause 6 defines the detailed automatic train protection (ATP) functional requirements for CBTC systems, including allocation of subfunctions to CBTC subsystems.
- Clause 7 defines the allocation of automatic train operation (ATO) subfunctions.
- Clause 8 defines the allocation of automatic train supervision (ATS) subfunctions.
- Clause 9 summarizes the primary data flows between CBTC subsystems.

1 Copyright © 2008 IEEE. All rights reserved.