

---

# Contents

<b>1</b>	<b>Background and Motivation</b>	<b>1</b>
1.1	Development of Urban Mobility	1
1.2	Advantages of Automated Rail Transport Systems	5
	References	9
<b>2</b>	<b>System Components and Surrounding Systems of Automatic Train Control Systems</b>	<b>11</b>
2.1	System Components of Automatic Train Control Systems	11
2.1.1	Trackside Equipment (ATP wayside)	13
2.1.2	On-board Equipment (ATP Onboard and ATO Onboard)	16
2.1.3	Data Communication System	18
2.1.4	Automatic Train Supervision (ATS)	23
2.2	Surrounding Systems Automatic Train Control Systems	27
	References	34
<b>3</b>	<b>Grades of Automation of Automatic Train Control Systems</b>	<b>37</b>
3.1	Grade of Automation 0: Train Operations on Sight (TOS)	37
3.2	Grade of Automation 1: Non-Automated Train Operations (NTO)	39
3.3	Grade of Automation 2: Semi-Automatic Train Operations (STO)	40
3.4	Grade of Automation 3: Driverless Train Operations (DTO)	40
3.5	Grade of Automation 4: Unattended Train Operations (UTO)	41
	References	41
<b>4</b>	<b>Operating Modes and Operating Mode Transitions in Automated Operations</b>	<b>43</b>
4.1	Operating Modes of Automatic Train Control Systems	43
4.1.1	Operating Modes for Regular Train Operations	44
4.1.2	Operating Modes for Fallback Level Operations	45
4.1.3	Operating Modes for Deactivation Conditions	48
4.1.4	Operating Modes for Trains Supervised by Other Train Control Systems	49

---

4.2	Operating Mode Transitions in Semi-Automatic Train Operations .....	50
4.2.1	Transition between Restricted Manual Mode and Supervised Manual Mode .....	50
4.2.2	Transition between Supervised Manual Mode and Automatic Mode .....	52
4.2.3	Transition between Automatic Mode and Full Automatic Mode for Turnback Operations .....	52
4.2.4	Transition from Automatic Mode to Full Automatic Mode in the Depot .....	54
4.2.5	Transition between Automatic Mode and Restricted Mode in Case of Malfunctions.....	55
4.3	Operating Mode Transitions in Unattended Train Operations.....	57
4.3.1	Transition between Switch-off States and Unattended Train Operations.....	57
4.3.2	Transition between Dangerous and Fault States and Unattended Train Operations.....	58
	References.....	59
5	<b>Main Functions of Automatic Train Control Systems .....</b>	<b>61</b>
5.1	Main Function: Ensuring the Safe Movement of the Train .....	61
5.1.1	Core Function: Route Protection .....	61
5.1.2	Core Function: Safe Train Separation .....	63
5.1.3	Core Function: Ensure Safe Speed.....	64
5.2	Main Function: Driving the Vehicle.....	73
5.2.1	Core Function: Determination of the Driving Profile .....	73
5.2.2	Core Function: Control of the Trains Depending on the Driving Profile .....	77
5.3	Main Function: Monitoring the Clearance Gauge.....	81
5.3.1	Core Function: Preventing Collisions with Objects.....	82
5.3.2	Core Function: Preventing Collision with Persons on the Track .....	82
5.4	Main Function: Monitoring Passenger Exchange .....	85
5.4.1	Core Function: Control and Monitor Door Release.....	86
5.4.2	Core Function: Preventing Injury to Persons between Vehicles .....	86
5.4.3	Core Function: Securing the Platform Edge .....	87
5.4.4	Core Function: Ensuring Safe Starting Conditions of the Train.....	94
5.5	Main Function: Automatic Train Operation.....	96
5.5.1	Core Function: Putting into Service and Taking Out of Service of Vehicles.....	97
5.5.2	Core Function: Running a Vehicle between Operational Stops.....	99
5.5.3	Core Function: Monitoring the Vehicle Condition.....	100

5.6	Main Function: Detection and Handling of Incidents . . . . .	102
5.6.1	Core Function: Passenger Alarm Messages . . . . .	102
5.6.2	Core Function: Fire Detection . . . . .	105
5.6.3	Core Function: Evacuation. . . . .	107
5.6.4	Core Function: Obstacle Detection . . . . .	110
5.6.5	Core Function: Derailment Detection . . . . .	110
	References. . . . .	112
<b>6</b>	<b>Dependability of Automatic Train Control Systems . . . . .</b>	<b>113</b>
6.1	Safety and Security . . . . .	113
6.1.1	Functional Safety . . . . .	114
6.1.2	Security . . . . .	119
6.2	Availability. . . . .	120
6.2.1	Optimization of Maintainability in Order to Increase Availability. . . . .	120
6.2.2	Increasing Reliability to Increase the Availability . . . . .	122
6.2.3	Fault-Tolerant Systems to Increase Availability. . . . .	123
	References. . . . .	125
<b>7</b>	<b>Balancing Costs and Benefits of Automatic Train Control Systems. . . . .</b>	<b>127</b>
7.1	Determination of the Costs in the Course of the Life Cycle . . . . .	127
7.1.1	Elements of Life Cycle Costs. . . . .	128
7.1.2	Calculation of Life Cycle Costs. . . . .	129
7.1.3	Results of the Analysis of Life Cycle Costs. . . . .	130
7.2	Determination of the Benefits with Operational Simulations and Transport Models . . . . .	131
7.2.1	Simulative Investigation of the Performance of Signaling Equipment Variants . . . . .	131
7.2.2	Use of the Higher Capacity for Improvements to Public Transport Services . . . . .	135
7.2.3	Evaluation of the Overall Benefits of Adjustments to the Public Transport Service . . . . .	136
	References. . . . .	137
<b>8</b>	<b>Migration, Testing and Commissioning of Automatic Train Control Systems. . . . .</b>	<b>139</b>
8.1	Definition of the Migration Strategy . . . . .	140
8.2	Application-Specific Configuration of Automatic Train Control Systems . . . . .	141
8.2.1	Categories of Track-Specific Configuration Data . . . . .	142
8.2.2	Categories of Vehicle-Specific Configuration Data . . . . .	142
8.2.3	Quality Characteristics of Configuration Data. . . . .	143
8.2.4	Quality Assurance Processes for Configuration Data . . . . .	143
8.2.5	Capture of Track-Specific Configuration Data. . . . .	144

---

8.3	Retrofitting of Vehicles with CBTC Onboard- Units . . . . .	145
8.3.1	Definition of Operational Use Cases . . . . .	145
8.3.2	Mechanical Integration of the CBTC Onboard Unit . . . . .	145
8.3.3	Electrical Integration of the CBTC Onboard Unit . . . . .	147
8.4	Retrofitting the Track with CBTC Trackside Equipment . . . . .	148
8.5	Definition of Test Strategy and Test Execution . . . . .	150
8.5.1	Environmental Testing . . . . .	150
8.5.2	Tests in the Factory . . . . .	151
8.5.3	Vehicle Tests. . . . .	152
8.5.4	Test Track in the Depot . . . . .	153
8.5.5	Test During Commissioning of the Wayside System Components . . . . .	153
8.6	Adjustment of Operational Rules and Regulations for Automated Train Operations . . . . .	156
8.6.1	Principles for the Adjustment of Rules and Regulations in Renewal Projects . . . . .	156
8.6.2	Process of Creating Operating Rules and Regulations in a Renewal Project. . . . .	159
8.6.3	Roles and Responsibilities for the Creation of Operating Rules and Regulations. . . . .	160
8.7	Training of Operating Staff . . . . .	161
8.7.1	Training of Train Drivers . . . . .	162
8.7.2	Training of Operations Control Center Staff . . . . .	163
8.7.3	Training of Maintenance Staff . . . . .	164
	References. . . . .	164
<b>9</b>	<b>Perspectives and Future Challenges . . . . .</b>	<b>167</b>
9.1	Development of the Installed Base . . . . .	167
9.2	Standardization of System Solutions . . . . .	168
9.3	Integration of Road Traffic Technology in Light Rail Systems . . . .	169
9.4	Alternative Allocation of Functions between Wayside Equipment and Onboard Equipment . . . . .	170
9.4.1	Centralization of Safety-Relevant Applications in Data Centers . . . . .	171
9.4.2	Vehicle-Centered Allocation of Functions . . . . .	171
	References. . . . .	173
	<b>Index. . . . .</b>	<b>175</b>