



U.S. Department  
of Transportation

# **Developing Traffic Signal Control Systems Using the National ITS Architecture**

**U. S. Department of Transportation  
Intelligent Transportation Systems Joint Program Office**

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16. Abstract This is one of a series of documents providing support for deploying Intelligent Transportation Systems (ITS). This series addresses Traffic Signal Control Systems, Freeway and Incident Management Systems, Transit Management Systems, and Traveler Information Systems. The National ITS Architecture provides a common structure for deploying these systems. An important point of these documents is that you can reap operational benefits while saving staff hours and design costs by using the National ITS Architecture as a deployment guide.  This document focuses on traffic signal control systems, a component of ITS. It aims to provide practical help for the traffic engineering community with deploying traffic signal control systems in an integrated, multimodal environment using the National ITS Architecture. ITS is the application of management strategies and technologies to increase the efficiency and safety of national, regional, and local surface transportation systems.  This document covers the basics of traffic signal control ITS applications, the role the National ITS Architecture can play in traffic signal control system project development, the development process for a regional architecture, some challenges faced by traffic management agencies, and some best practices and lessons learned for developing and deploying of advanced traffic signal control systems. The regional architecture will indicate how current and future systems in the region may be integrated to obtain the added benefits available through integration of these systems.			
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# 1. Introduction and Summary

## 1.1 Purpose and Intended Audience

This is one of a series of documents providing support for deploying Intelligent Transportation Systems (ITS). This series addresses:

- ◆ Traffic Signal Control Systems
- ◆ Freeway and Incident Management Systems
- ◆ Transit Management Systems
- ◆ Traveler Information Systems

The National ITS Architecture provides a common structure for deploying these systems. An important point of these documents is that you can reap operational benefits while saving staff hours and design costs by using the National ITS Architecture as a deployment guide.

### 1.1.1 Intended Purpose

This document focuses on traffic signal control systems, a component of ITS. It aims to provide practical help for the traffic engineering community with deploying traffic signal control systems in an integrated, multimodal environment using the National ITS Architecture. ITS is the application of management strategies and technologies to increase the efficiency and safety of national, regional, and local surface transportation systems. Intelligent Transportation Systems form the basis for a new way of doing business in addressing the nation's surface transportation needs. Rather than solving transportation challenges solely by building additional roadway capacity, ITS strategies strive to use existing facilities more efficiently by applying technology and effective management strategies to collect, transfer, process, and share historic and real-time transportation information. This includes the use of computer, communications, sensor, information, and control technologies and a structured approach to manage the planning, development, deployment, operations, and maintenance of ITS systems and projects.

This document is designed as a guide for how the National ITS Architecture can be used in the process of designing, developing, and implementing effective traffic signal control systems. Development of the National ITS Architecture arose out of a need to provide a common framework for deployment of ITS across the nation. The National ITS Architecture contains the information you need to develop a regional architecture, to be assured you haven't overlooked anything important, and to ensure you are preparing an efficient deployment. This document shows how to enhance existing and emerging traffic signal control systems, facilitate design and upgrade of future systems, and help overcome challenges commonly faced by traffic management personnel. It does not

describe traffic signal control systems fundamentals, since that background already exists in the Traffic Control Systems Handbook [FHWA, February 1996]. This document covers the basics of traffic signal control ITS applications, the role the National ITS Architecture can play in traffic signal control system project development, the development process for a regional architecture, some challenges faced by traffic management agencies, and some best practices and lessons learned for developing and deploying of advanced traffic signal control systems. The regional architecture will indicate how current and future systems in the region may be integrated to obtain the added benefits available through integration of these systems.

### **1.1.2 What is the National ITS Architecture?**

The National ITS Architecture defines the components of the surface transportation system, how they interact and work together, and what information they exchange to provide 30 ITS user services. These 30 user services have been identified by the U.S. ITS community as part of the National ITS Program to guide the development of ITS and are listed in Section 2. A key requirement for development of the National ITS Architecture [FHWA, January 1997] was that it include the transportation functions necessary to provide the 30 user services.

Using the National ITS Architecture will save implementers time and money because it contains much of the up front analysis and planning information necessary to deploy ITS, including project definition and requirements, information exchange requirements, system evaluation criteria, cost development information, communications analysis, and benefits of deployment of specific ITS applications.

### **1.1.3 Intended Audience**

The intended audience of this document includes:

- ◆ Transportation engineers, planners, and mid-level administrators for state, local, and regional transportation agencies, including metropolitan planning organizations and regional transportation authorities, involved in planning, designing, implementing, operating and maintaining traffic signal control systems.
- ◆ Transportation professionals and others interested in understanding traffic signal control systems challenges and solutions based on the Architecture.

The audience is assumed to be reasonably knowledgeable in traffic management operations and maintenance, particularly traffic signal control, and to have had some practical experience in this field. More specifically, if your work involves planning, designing, implementing, operating or maintaining traffic signal control systems, and you perform one of the following functions within your organization, this document is intended for you:

Regional Transportation Planning	Project Implementation
Traffic Engineering	ITS Project Definition
Identification and Allocation of Project Funds	Preliminary and Final Design
Procurement of Services and Equipment	Project Acceptance Testing
Project Approval	System Evaluation
Project Management	Operations, Maintenance
Training	

## 1.2 Advanced Traffic Signal Control

Advanced traffic signal control systems provide traffic control through traffic management strategies that are responsive to changing traffic demand and benefit the public with improved traffic flow. Additionally, they are easy to maintain, expand, upgrade, and coordinate with other transportation systems in their region.

### 1.2.1 Traffic Signal Control Functions

Effective traffic signal control systems provide control, surveillance, and maintenance functions: control of traffic by adjusting and coordinating traffic signals at intersections; surveillance by monitoring traffic conditions with vehicle detectors and cameras; and maintenance of equipment by monitoring for equipment failures. These functions allow a traffic management agency to service traffic demand, share traffic status with other agencies and with the traveling public, and operate and maintain the traffic signal control system.

- ◆ Control and Coordination of Traffic Signals - Traffic signal control systems control signal timing at individual signal controllers to coordinate surface traffic flow. In the most advanced systems, traffic flow information is used as input data by algorithms in traffic control programs which automatically adjust signal timing plans in response to current traffic demand.
- ◆ Surveillance and Monitoring of Traffic - The most common type of detection device used today is the inductive loop vehicle sensor. An emerging trend in traffic signal control systems is the use of closed-circuit television (CCTV) cameras, possibly with image processing to derive traffic flow data, to enable traffic managers to monitor the video. Information collected in this fashion is used to determine road

conditions, identify and verify incidents, and verify traffic information collected through other methods.

- ◆ Monitor Faults And Malfunctions - An effective traffic signal control system monitors equipment for faults or malfunctions that may affect the system’s ability to properly control traffic flow. The objective is to identify system and equipment operational problems and quickly initiate corrective actions and repair responses to return the equipment to its proper operating condition in order to keep traffic flow interruptions to a minimum.

The above are descriptions only of the top level functions performed in advanced traffic signal control systems. These top level functions can also support many other functions such as incident detection, EMS response, transit operations, and traveler information systems.

**1.2.2 Benefits of Advanced Traffic Signal Control Systems**

In general, each traffic signal control system is designed to meet the specific social and political objectives of each community. Fundamentally, however, traffic signal control systems strive to achieve the following:

- ◆ Maximize traffic flow efficiency and public safety.
- ◆ Accurately monitor traffic flows and make appropriate traffic control decisions in a timely manner.
- ◆ Moderate fuel consumption and environmental impact of stop-and-go traffic through improvements to traffic flow efficiency.

Advanced traffic signal control systems have demonstrated benefits in several areas including travel time, speeds, vehicle stops, delays, energy consumption, and environmental impacts. In addition, they have been shown to reduce congestion and the number of accidents on roadways. Table 1.2-1 summarizes the range of traffic signal control system benefits as reported by the U.S. Department of Transportation [Mitretek, 1997].

**Table 1.2-1. Summary of ITS Traffic Signal Control System Benefits**

<b>Travel Time</b>	Decreased by 8% - 25%
<b>Travel Speed</b>	Increased by 14% - 22%
<b>Vehicle Stops</b>	Decreased by up to 41%
<b>Delay</b>	Decreased by 17% - 44%

<b>Fuel Consumption</b>	Decreased fuel used by 6% - 13%
<b>Emissions</b>	Decreased HC emissions by 4% - 10% Decreased CO emissions by 5% - 15%

### 1.2.3 Integration Challenges and Needs

While advanced traffic signal control systems provide many important benefits, the benefits can be increased by using the National ITS Architecture to guide integration with other parts of the transportation system. The subsystems of the National ITS Architecture are integrated, meaning that they are interconnected with each other by communications links and are therefore able to exchange information with one another. The various subsystems exchange information to coordinate their operation within a region, and to provide transportation functions to each other. An important aspect of this sharing is that operations in each center may be improved by smoothing the transitions between agencies and jurisdictions.

#### Regional Coordination

Increasingly, managers of traffic signal control systems are being faced with challenges related to integration and coordination with other local transportation operating agencies. For example, integration of traffic signal control systems with freeway management systems is illustrated in Figure 1.2-1.

Traditionally, traffic signal control systems have been designed to optimize traffic flow on the surface street network, often without considering other transportation systems. The advent of advanced computer, communication, and traffic signal controller technology, however, has made it possible to integrate transportation systems operated by different agencies (e.g. freeways, transit), including traffic signal agencies in other jurisdictions.

One example of this is the adjustment of signal timing in the vicinity of an incident. This can help to clear traffic nearby and decrease the flow of vehicles entering the area before surface street congestion from the incident is compounded. Another example is the adjustment of signal timing along the service road of a freeway if there is congestion on the mainline, to encourage motorists to use the surface streets before

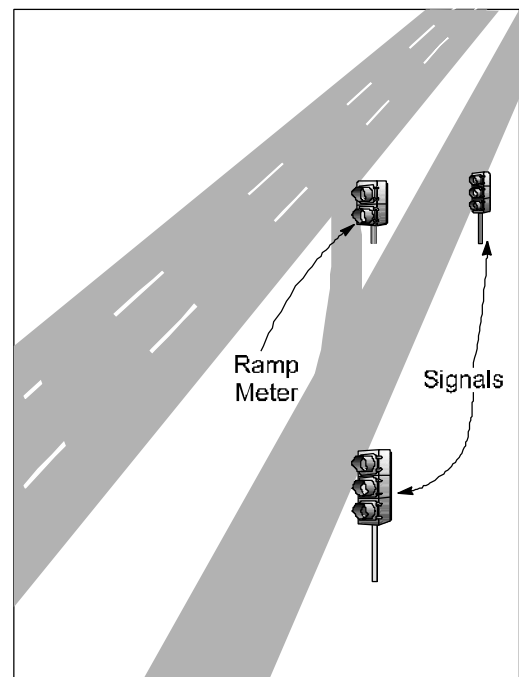


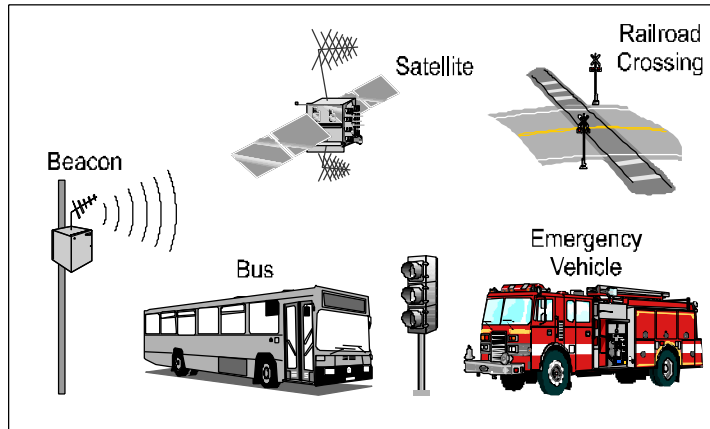
Figure 1.2-1. Regional Coordination



mainline congestion worsens and spills onto the streets. These examples illustrate the coordination of a traffic signal control system with an incident management system.

## Intermodal Coordination

Traffic signal control systems can provide priority or preemption to vehicles by adjusting traffic signals. Three examples of Intermodal Coordination illustrated in Figure 1.2-2 are emergency vehicle preemption, transit vehicle priority, and highway-rail intersection coordination. These examples of Intermodal



**Figure 1.2-2. Intermodal Coordination**

Coordination use vehicle location and identification information to dynamically adjust traffic signals and illustrate the potential coordination of a variety of systems with traffic signal control systems.

### Emergency Vehicle Preemption

A traffic signal control system can provide traffic signal preemption to emergency vehicles. An emergency management center can track vehicles with automated vehicle location equipment and coordinate the signal preemption with a traffic management center. Alternatively, the emergency vehicle can communicate directly with a traffic signal controller and coordinate the preemption locally. Similarly, route guidance, using Global Positioning System (GPS) and map technology, allows safe and efficient routing of emergency vehicles to the site of the emergency, and from the emergency to a medical facility.

### Transit Vehicle Priority

Transit and traffic control agencies can cooperate to provide selected transit vehicles priority at signalized intersections. Selected bus routes can be granted priority at traffic signals to assist the buses in adhering to their schedules. This can improve transit on-time service and may help convert automobile drivers to transit use. Transit vehicles, in turn, can be used as probes to provide current traffic flow conditions to the traffic signal control system.

### Highway-Rail Intersection Coordination

Traditional active warning systems, such as flashing lights and control gates at highway-rail intersections, are a fully automatic and train-responsive operation. Early warning of the approach of trains with automated vehicle location capabilities to highway-rail intersections provide the traffic management center with time to adjust local control at adjacent signalized intersections to improve intersection safety. Vehicle operators can

also be informed in advance (through the use of variable message signs, for example) of an approaching train.

## 1.3 The National ITS Architecture Can Help You

### 1.3.1 Help for ITS Traffic Management Implementers

Similar to a model home blueprint, the National ITS Architecture provides a common structure for the design and implementation of ITS. The National ITS Architecture defines the functions (e.g., gather traffic information) that must be performed by components or subsystems, where these functions reside (i.e., roadside, traffic management subsystem, in-vehicle, etc.), the interfaces and information flows between subsystems, and the communications requirements for the information flows (e.g., wireline or wireless). Just as the model home design is often changed to meet the needs and living space requirements of individual families, the common structure provided by the National ITS Architecture can be tailored to meet a region's unique transportation needs.

In addition, the National ITS Architecture identifies and specifies requirements for standards needed to support national and regional interoperability, as well as product standards needed to support economy of scale considerations in deployment. These standards will include the formal definition of the physical interfaces and information exchange requirements of the National ITS Architecture.

***A lot of time and effort went into developing the National ITS Architecture --for a very good reason -- to make the process of designing and implementing these systems easier for you.***

***YOU CAN SAVE STAFF HOURS AND ENGINEERING DESIGN COSTS BY USING IT.***

An agency using the National ITS Architecture can save time and money in the development of a project from its inception through its implementation. Some capabilities of the National ITS Architecture that will be particularly important to your development of an effective traffic signal control ITS application are listed below.

- ◆ Correlates services and requirements to subsystems and data flows, thus providing traceability for a project to the selected architecture.
- ◆ Illustrates the benefits that can be obtained through efficient grouping of ITS functions plus sharing of information for multiple purposes across the transportation system, avoiding redundancy and saving money.
- ◆ Provides a view into the future to identify services and functionality that may not have been initially considered, currently needed, or even feasible. This provides a checklist of future capabilities that could be planned for now in anticipation of future

needs. Planning for these future needs in database and interface designs will save substantial costs of modifications needed for these later additions.

- ◆ Provides an extensive list of the transportation agencies (by matching the functions they perform with the corresponding subsystem names in the National ITS Architecture) that your agency should consider talking to during initial planning of an implementation (i.e., the stakeholders).
- ◆ Defines the kind of information one should consider sharing among these agencies. Your agency can use this information as a checklist in planning the project and in discussions with other stakeholders to show how they can participate through sharing of the information.
- ◆ Serves as a good starting point or template (which can be tailored) for developing the regional architecture that will drive the designs for specific projects. Starting with the National ITS Architecture, one can merely delete the functions and information flows that do not apply and then incorporate any specific local requirements and considerations. This is more fully addressed in section 3.
- ◆ Provides a departure point for developing functional requirements and system specifications to be included in a procurement package, including identification of the interfaces (some of which may have approved standards or standards work under way) and data exchanges that must be included.
- ◆ Provides ballpark estimates of costs for a wide range of ITS-related equipment and services that can be used for initial project costing.
- ◆ Can support a check on the product being provided by a design contractor (if the contractor is asked to demonstrate the use of the National ITS Architecture and its relationship to the design being offered).

For many of the reasons stated above, the National ITS Architecture can serve as a good starting point for developing a *regional architecture* in the transportation planning arena. Gathering a wide range of stakeholders and developing a regional architecture which responds to local transportation needs and problems can serve as a guiding framework for coordinated development of ITS within a region and will evoke the discussion of operations roles and responsibilities, phasing considerations for planned ITS enhancements, and regional agreements on technology and standards.

**Using the National ITS Architecture and ITS standards will provide broad, long term benefits:**

- ◆ **Interoperability:** The National ITS Architecture has identified where standards are needed for system interoperability (interfaces and products). Because the National ITS Architecture is serving as the common foundation for ongoing ITS standards development work, factoring it into your current system enhancements will facilitate the transition to a standard interface definition in the future. Using

standard interfaces will provide a foundation for national and regional interoperability and even interchangeability of some devices used in ITS traffic management, even though they may be from different manufacturers.

- ◆ **Increased competition:** By requiring use of open standards (non-proprietary), multiple vendors will be able meet the standards and be able to respond to RFPs. Support and upgrades will also be available from multiple potential sources, avoiding the problems of being locked in to one source (e.g., the vendor goes out of business).
- ◆ **Future expandability:** By designing within a common framework and using open standards, you will create an environment that integrates legacy systems with new ITS applications and allows more functionality to be added as needed.
- ◆ **Lower costs:** ITS equipment and device compatibility will create larger total markets attracting more suppliers resulting in more capable products at lower prices. The resulting long-term costs of deployment will be pushed down by these economies of scale for off-the-shelf ITS equipment and products and by competition through open-system enabling of multiple vendors.
- ◆ **Increased transportation system integration:** The open nature and structure of the National ITS Architecture and use of standards-compliant components will make integration of complex traffic management components and regional systems easier. Improved integration of systems operated by different agencies will permit effective information sharing and more effective use of resources. Seamless traveler services across agency lines will become a reality.
- ◆ **Assistance in project development and regional planning activities:** As evidenced from the above discussion, the National ITS Architecture can be usefully applied to both project development and longer term regional planning activities. Accordingly, this document will address these activities in two separate sections for clarity and ease of reference for the reader.

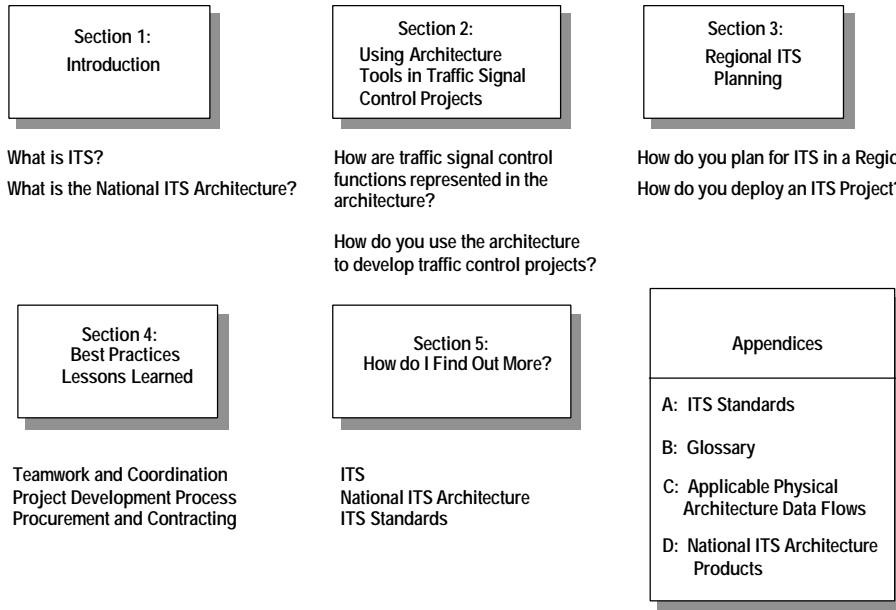
### 1.3.2 ITS Standards

Using the National ITS Architecture to plan, design, deploy, and integrate traffic signal control systems will help ensure that your system will be compatible with existing, planned, and future systems in your region. Your traffic signal control system will also have an open systems architecture, use industry-accepted standards and interfaces wherever they exist, and will minimize reliance on proprietary information, interfaces, and protocols. Ultimately, these standards will promote national interoperability of some key services to ensure that travelers from outside your region will also be able to benefit from the ITS services you provide. Consistent with the National ITS Architecture, the U.S. DOT is supporting and guiding development of selected ITS standards by funding Standards Development Organizations (SDOs).

## 1.4 Document Organization and Summary

### 1.4.1 Document Organization

This document is divided into five major sections with the content of the document as illustrated in Figure 1.4-1.



**Figure 1.4-1. Document Organization**

### 1.4.2 Document Summary

This document covers many important areas and you are encouraged to read the entire document. However, if you are unable to do so, the summary presented below will point you in the right direction to find the information you are seeking.

**For example:**

- ◆ If you are beginning a major traffic signal control system project, proceeding to review sections 2 and 4 might be best.
- ◆ If you are involved in long-term planning of your transportation system, starting your review with section 3 might be best.

**Section 1: Introduction and Summary**

Section 1 briefly discusses ITS, the National ITS Architecture, benefits of traffic signal control ITS applications, traffic signal control functions, and briefly discusses capabilities provided by the National ITS Architecture and why you should use it.

- √ ITS uses a combination of management strategies and computer, communications, surveillance, and control technologies to increase the efficiency of national, regional, and local surface transportation systems.
- √ There are a growing number of successful ITS traffic signal control system projects yielding benefits with very encouraging cost/benefit ratios.
- √ Using the National ITS Architecture as a tool in developing your traffic signal control systems will help provide for ease of future functionality additions and of adding interfaces to future subsystems.
- √ The Architecture supports integration of surface transportation systems. This includes, for example, the integration of traffic signal control systems with freeway management, incident management, transit management, and highway-rail coordination systems.

## **Section 2: Use of the National ITS Architecture Tools in Traffic Signal Control Projects**

Section 2 identifies the functions of traffic signal control systems as defined by the National ITS Architecture. The section then explains how the Architecture can be used to develop traffic signal control ITS applications. Some representative scenarios are used as examples to help you use the National ITS Architecture.

- √ The National ITS Architecture provides a common structure for the deployment of ITS; It defines 19 interconnected physical subsystems, the transportation functions each subsystem performs, and the information subsystems exchange with each other to provide 30 user services.
- √ The functions associated with basic traffic signal control systems reside in 2 subsystems of the National ITS Architecture: the Traffic Management Subsystem and the Roadway Subsystem.
- √ The National ITS Architecture can be applied to most project development steps, and is particularly helpful in the identification of solutions and the planning and design of the solution.
- √ The Architecture only defines the transportation management functions that each physical subsystem performs plus the interfaces and data flows between them. Designers have complete freedom in deciding which functions are required for their needs, what equipment to use to implement the transportation management functions, and what technologies will be used. Designers are encouraged to be compatible with the Architecture and with ITS standards to achieve interoperability, to provide for future enhancements and expandability, and to obtain the long-term benefits of higher quality and lower costs from economies of scale.

## **Section 3: Regional ITS Planning**

Section 3 describes planning for ITS applications and formulating ITS projects in a regional context.

- √ Using the National ITS Architecture provides a good starting point for developing a regional architecture in the transportation planning arena.
- √ Involving comprehensive representation of regional transportation stakeholders in developing a regional architecture to address needs and problems can produce broad cooperation.
- √ Developing a regional architecture can guide development of ITS within a region and produce agreement on roles and responsibilities, phasing considerations for implementation of planned ITS capabilities, and regional agreements on technology and standards thus promoting interoperability and higher levels of benefits.

#### **Section 4: Lessons Learned / Best Practices**

Section 4 provides advice on developing and implementing traffic signal control ITS projects using lessons from agencies that have developed and implemented ITS systems, or are currently developing and implementing ITS projects. Information is provided on various topics in ITS relevant to the deployment of traffic signal control systems.

#### **Section 5: How Do I Find Out More?**

Section 5 shows readily accessible places to find additional information on ITS, the National ITS Architecture, and ITS Standards.

#### **References**

These references pages provide a brief listing of references that may be important to those involved in any of the key roles or activities involved in planning, development and deployment of a traffic management system.

#### **Appendices**

Finally, this document contains four appendices: Appendix A discusses ITS Standards; Appendix B provides a Glossary; Appendix C presents the Physical Architecture Data Flows Associated With traffic signal control systems; and Appendix D is a synopsis of each of the 16 volumes that make up the National ITS Architecture documentation.

- √ ITS Standards described in Appendix A are those applicable to traffic signal control systems. ITS standards have been and are being developed to support the integration of transportation systems. ITS standards should be used to help ensure interoperability of ITS subsystems and devices plus interchangeability of like devices
- √ Physical Architecture Data Flows listed in Appendix C indicate the information that is intended by the National ITS Architecture to flow across interfaces of traffic signal control systems with other transportation systems, including traffic signal control systems in adjacent jurisdictions.



## **2. Use of the National ITS Architecture Tools in Traffic Signal Control Projects**

### **2.1 Overview**

This chapter presents the details of how the National ITS Architecture can be applied to traffic signal control project development activities. An overview of traffic signal control system operations and a general project development process is presented first to establish the context for this chapter. Next, the key concepts of the National ITS Architecture are discussed to ensure that the reader understands the fundamentals and structure of the tool. The following section then shows how to apply the National ITS Architecture concepts and databases to the various steps presented in the general project development process. Lastly, a set of three project application scenarios are presented which use realistic examples to illustrate the points made in the previous sections.

### **2.2 Traffic Signal Control System Operations**

Traffic signal control systems benefit the public with improved traffic flow by optimizing available capacity on surface streets. They achieve this by providing control of traffic by adjusting and coordinating traffic signals at intersections; surveillance by monitoring traffic conditions with vehicle detectors and cameras; and maintenance of equipment by monitoring for equipment failures.

These functions allow a public agency to service traffic demand, share traffic status with other agencies and with the traveling public, and operate and maintain the traffic signal control system.

#### **Traffic Signal Control System Configurations**

Computerized traffic signal control systems have been in place for the past three decades, and it is not uncommon to find signal systems in operation that are more than 20 years old. Historically, traffic control system configurations have clustered around the three basic design alternatives listed below:

- ◆ Central (Urban Traffic Control System–UTCS)
- ◆ Interconnected Time Base Coordinated without Field Master (two level distributed control)
- ◆ “Closed Loop” System with Field Masters (three level distributed control)

It is important to note that the National ITS Architecture and the ITS standards development efforts underway are compatible with these control alternatives. The advent of ITS and the National ITS Architecture does not jeopardize any current investments in existing traffic signal control systems. As long as they provide the desired functionality, controllers, field devices, and other system components do not have to be replaced until they have reached their useful life.

Ultimately, your agency may want to replace or change controller technology to accommodate ITS standards. The National Transportation Communications for ITS Protocol (NTCIP) is an example of such a standard. In the future, NTCIP standards are expected to ensure the compatibility of communications protocols among the National Electrical Manufacturer's Association (NEMA) type (TS-1 and TS-2) and 170 type (Models 170, 179, and 2070) controllers.

Components of a typical traffic signal control system include a control center, system software, centralized computer hardware, signal controllers, on-street masters, a communications system, vehicle detection and surveillance, and other field devices to support various other functions particular to an area. Together the central, field, and communications equipment provide the control, surveillance, and maintenance functions associated with traffic control systems.

### **2.2.1 Control and Coordination of Traffic Signals**

Traffic signal control systems enable an agency to implement a variety of control strategies. Common strategies include operating signals so as to minimize overall vehicle delay or providing preferential treatment in a direction of travel. These strategies are often implemented from a central or remote location.

Traffic signal control systems allow an agency to coordinate surface street traffic flow along an arterial, or for a group of intersections, by controlling the signal timing at individual signal controllers. Many traffic signal systems select signal timing patterns based on a time-of-day/day-of-week schedule. Rudimentary traffic signal controllers are pre-timed; that is, the cycle lengths, signal phasing, and splits are fixed. These signal parameters are not determined by the existing demand or the type of vehicles at the traffic signal; they are determined by historical traffic demand data. Although the pre-selected patterns are optimized for typical traffic flow conditions, traffic signal control systems allow operators to select alternate signal timing plans more appropriate for the actual traffic demand and traffic flow conditions. These adjustments are generally necessary to accommodate non-recurring events, such as traffic accidents, sporting events, concerts, or inclement weather.

In more sophisticated traffic signal control systems, the traffic flow information collected by surveillance equipment allows master controllers or central computers to run traffic responsive control programs. Thus, control of traffic signals can be adjusted automatically (without the need for operator input) to service actual traffic demand in the network.

### **2.2.2 Surveillance and Monitoring of Traffic**

Most traffic signal systems include traffic detection and surveillance equipment. Often the monitoring equipment is connected to traffic signal controllers (either through a module or separate field unit). The most common type of detection device used today is the inductive loop vehicle sensor which allows the traffic signal controller to provide semi-actuated or fully actuated control to the intersection. Traffic flow information provided by the detection devices includes traffic speed, volume, and occupancy.

An emerging trend in traffic signal control systems is the use of closed-circuit television (CCTV) cameras on roadways and at major intersections. These cameras allow operators in a central control center to directly monitor traffic, and traffic managers to monitor road conditions, identify and verify incidents, and verify traffic information collected through other methods.

### **2.2.3 Monitor Faults and Malfunctions**

A traffic signal control system monitors equipment for faults or malfunctions that may affect the system's or controller's ability to properly control traffic flow through an intersection. Such malfunctions might include a signal head indicator failure, detector failure, conflict in signal indications, a broken communications link, or a power failure in a field device. Once the location of the problem has been identified, the proper personnel can be dispatched to repair the problem and return the equipment to its proper operating condition. The objective of monitoring is to identify system and equipment operational problems and initiate corrective actions and repair responses to return the equipment to its proper operating condition as quickly as possible in order to keep traffic flow interruptions to a minimum.

## **2.3 Development of Traffic Signal Control Projects**

Transportation agencies go through a variety of steps and processes in developing and deploying transportation improvement projects. The nature and level of formality of these processes depends on the scope of the project, state and local procedures, funding requirements, and legislative requirements, among other things. However, there are certain fundamental steps that are fairly common across these processes. These basic steps include:

- 1) Identification of transportation needs or problems
- 2) Identification of potential solutions to the problem
- 3) Planning and design of solutions to the problem
- 4) Funding, procurement, and implementation of the solution to the problem

Each step of this development process is briefly described below as it relates to transportation issues that agencies or public works departments involved with traffic signal control may experience.

### **2.3.1 Identification of Needs or Problems**

Typically the first step an agency takes in developing and implementing a project is the identification of existing transportation needs, objectives, or problems. These may be identified through a number of activities, whether through a traditional transportation planning process, public questionnaire, a problems/needs identification study, or an ITS Early Deployment Planning (EDP) process. For example, an agency may identify a particular arterial corridor with several

intersections that has frequent delays due to traffic volumes and an unusually high rate of incidents.

### **2.3.2 Identification of Solutions**

Based on the identified problem, in this example delays on a section of arterial with a high occurrence of incidents, the agency will identify potential solutions to the problem. Potential solutions to this particular problem may include:

- ◆ Implementing a traffic responsive signal control system that can respond to changes due to incidents
- ◆ Establishing more service patrols for quicker incident response
- ◆ Implementing CCTVs at key locations for quicker, more accurate detection, verification, and response to incidents
- ◆ Developing and implementing a cellular call-in solution

When evaluating the potential solutions, it is important to keep in mind institutional considerations and implications for operations and maintenance.

### **2.3.3 Planning and Design of the Solution**

Once an optimal solution to the problem has been identified, the agency typically begins a process of planning and designing the solution or system. The planning phase may include activities such as determining implementation and phasing strategies, and identifying and securing of funding sources. The design phase may include activities such as preparing detailed specifications (for hardware, software and communications) and designing systems configurations.

### **2.3.4 Funding, Procurement and Implementation**

Once the agency has identified the most feasible solution to the transportation challenge, the system or portion of a system is procured. The traditional approach to procurement is a two-step process: (1) the letting and completion of a contract to retain architect/engineering services to prepare detailed design specifications for the facility and (2) the letting and completion of a separate contract for the construction of the project. Due to the rapidly changing and technological nature of ITS, the system manager approach to procurement can also be used. In this case, the system manager performs the design and writes the specifications. The hardware and construction is bid in the conventional manner, but the system manager remains to develop the software, integrate all the different components, and provide documentation and training for the operating personnel. See section 4 for a discussion of these and other procurement alternatives.

A successful process will result in the desired objectives ( which respond to the problems and needs that are identified in the first step) being satisfied by the implemented system. Successful operations of the system (often overlooked during the project development process) over a sustained period of time is the true indicator of how well the overall process worked.

## **2.4 Key Concepts of the National ITS Architecture**

The National ITS Architecture is available as a resource for any region and will continue to be maintained by the U.S. DOT independently of any specific system design or region in the nation. It represents the work and collective thinking of a broad cross-section of the ITS community (systems engineers, transportation practitioners, technology specialists, system developers, consultants, etc.) over several years. As such, the National ITS Architecture contains material that will assist agencies at each step of project development (which will be presented next in section 2.5) and in thinking about how an individual project, such as a traffic signal control project, fits into a larger regional transportation management context (to be discussed further in section 3).

Because of the extensive geographic and functional scope of the National ITS Architecture and the requirements which drove its development, it is structured somewhat differently and uses different terminology than is typically used today in the transportation community. It was developed to support ITS implementations over a 20-year time period in urban, interurban, and rural environments across the country. Accordingly, general names were given to the physical transportation system components and locations in order to accommodate a variety of local design choices and changes in technology or institutional arrangements over time. This allows the general structure of the National ITS Architecture to remain stable while still allowing flexibility and tailoring at the local implementation level. This difference in language can be easily overcome with a better understanding of how the National ITS Architecture is organized and how it relates to familiar systems of today.

As background, this section explains the essential terminology and concepts needed to understand, navigate, and use the National ITS Architecture and then provides a summary of the key documents produced under the National ITS Architecture development effort which will be referred to in the next section. The portions of the material which are particularly relevant to traffic signal control are also highlighted. The reader who is already familiar with the National ITS Architecture may wish to skip ahead to the next section for information on how to use this information and methodology in the context of project development. The following concepts and terms are explained in this section:

- ◆ User Services and User Service Requirements (2.4.1)
- ◆ Logical Architecture (2.4.2)
- ◆ Physical Architecture (2.4.3)
- ◆ Equipment Packages (2.4.4)

◆ Market Packages (2.4.5)

### **2.4.1 User Services and User Service Requirements**

User services represent what the system will do from the perspective of the user. A user might be the public or a system operator.

Table 2.4-1 presents the 30 user services which formed the basis for the National ITS Architecture development effort, grouped into seven bundles for convenience. These user services were jointly defined by a collaborative process involving USDOT and ITS America with significant stakeholder input. Clearly, a different set could have been defined. The important point is that the concept of user services allows the process of system or project definition to begin by thinking about what high level services will be provided to address identified problems and needs. The bolded entries in the table are most relevant to traffic signal control systems.

A number of functions are required to accomplish each user service. To reflect this, each of the user services was broken down into successively more detailed functional statements, called *user service requirements*, which formed the fundamental requirements for the National ITS Architecture development effort. For example, the traffic control user service is actually defined by over 40 “functions” (the hierarchy of functional requirements makes it difficult to provide an exact number). In the Traceability Matrix of the National ITS Architecture documentation, the user service requirements can be reviewed. Many of these user service requirements can be implemented today, although some of them may be more representative of future capabilities and should be deferred for now. These requirements can be used as a departure point for the development of project functional requirements and system specifications, as will be discussed in section 2.5.

**Table 2.4-1. User Services for the National ITS Architecture**

<b>User Service Bundle</b>	<b>User Service</b>
Travel and Transportation Management	En-Route Driver Information Route Guidance Traveler Services Information <b>Traffic Control</b> <b>Incident Management</b> Emissions Testing and Mitigation <b>Highway-Rail Intersection</b>
Travel Demand Management	Pre-Trip Travel Information Ride Matching and Reservation Demand Management and Operations
Public Transportation Operations	Public Transportation Management En-Route Transit Information Personalized Public Transit Public Travel Security
Electronic Payment Services	Electronic Payment Services
Commercial Vehicle Operations	Commercial Vehicle Electronic Clearance Automated Roadside Safety Inspection On-Board Safety Monitoring Commercial Vehicle Administrative Processes Hazardous Material Incident Response Commercial Fleet Management
Emergency Management	Emergency Notification and Personal Security Emergency Vehicle Management
Advanced Vehicle Control and Safety Systems	Longitudinal Collision Avoidance Lateral Collision Avoidance Intersection Collision Avoidance Vision Enhancement for Crash Avoidance Safety Readiness Pre-Crash Restraint Deployment Automated Highway Systems

Table 2.4-2 provides an illustration of user service requirements using an excerpt from the traffic control user service.

**Table 2.4-2. Example of User Service Requirements: Excerpt from Traffic Control**

**1.6.0** (ITS) shall provide a Traffic Control capability. Traffic Control provides the capability to efficiently manage the movement of traffic on streets and highways. Four functions are provided which are (1) Traffic Flow Optimization, (2) Traffic Surveillance, (3) Control Function, and (4) Provide Information. This will also include control of network signal systems with eventual integration of freeway control.

**1.6.1** Traffic Control shall include a Flow Optimize function to provide the capability to optimize traffic flow.

**1.6.1.1** The Flow Optimize function shall employ control strategies that seek to maximize traffic-movement efficiency.

**1.6.1.2** The Flow Optimize function shall include a Wide Area optimization capability, to include several jurisdictions.

**1.6.1.2.1** Wide area optimization shall integrate the control of network signal systems with the control of freeways.

**1.6.1.2.2** Wide area optimization shall include features that provide preferential treatment for transit vehicles.

**1.6.2** Traffic Control shall include a Traffic Surveillance function.

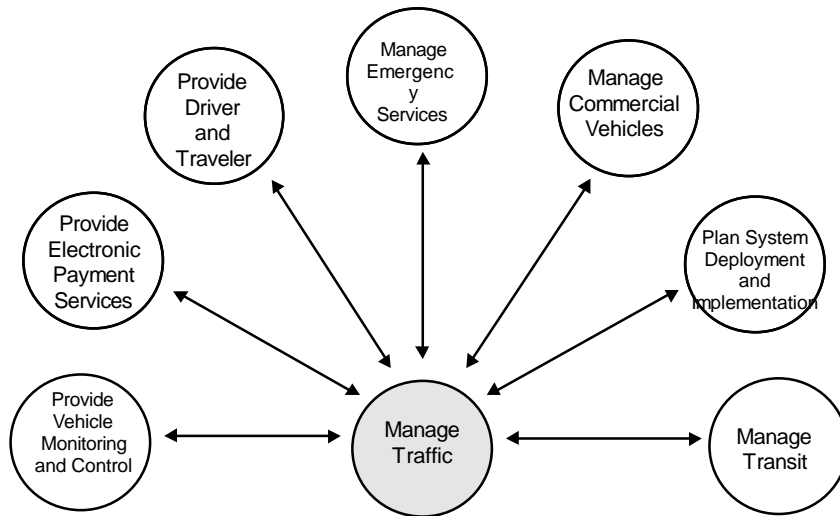
## 2.4.2 Logical Architecture

A logical architecture is best described as a tool that assists in organizing complex entities and relationships. It focuses on the functional processes and information flows of a system. Developing a logical architecture helps identify the system functions and information flows, and guides development of functional requirements for new systems and improvements. A logical architecture should be independent of institutions and technology, i.e., it should not define where or by whom functions are performed in the system, nor should it identify how functions are to be implemented.

The logical architecture of the National ITS Architecture defined a set of functions (or processes) and information flows (or data flows) that respond to the user service requirements discussed above. Processes and data flows are grouped to form particular transportation management functions (e.g., manage traffic) and are represented graphically by data flow diagrams (DFDs), or bubble charts, which decompose into several levels of detail. In these diagrams, processes are represented as bubbles and data flows as arrows. Figures 2.4-1 and 2.4-2 depict simplified data flow diagrams from the National ITS Architecture documents. Note that each bubble in the logical architecture is a process that describes some logical function to be performed.

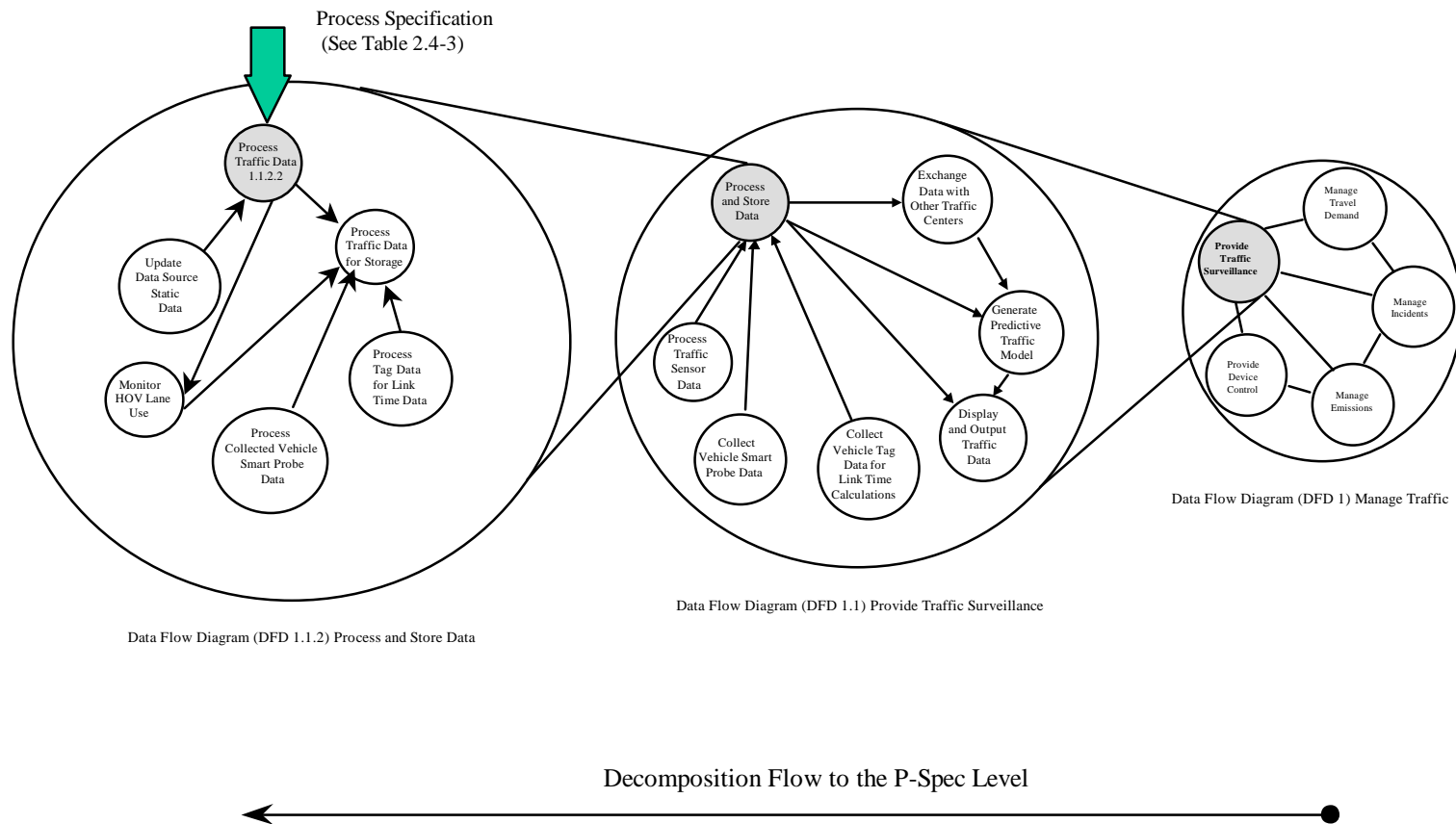


For example, as shown in figure 2.4-1, at the highest level of the National ITS Architecture, the manage traffic process (which includes traffic signal control functions) interacts with seven other processes.



**Figure 2.4-1 The Eight Major Processes within the Logical Architecture**

Figure 2.4-2 illustrates how the manage traffic process is then further broken down into five sub-processes; how one of those processes, Provide Traffic Surveillance, is broken down into seven sub-processes; and so on. Each of these processes are then broken down even further so that a complete functional view of a system emerges. At the lowest level of detail in the functional hierarchy are the *process specifications* (referred to as *P-specs* in the documentation). Figure 2.4-2 shows an example of a process specification (Process Traffic Data) within the functional decomposition. These process specifications can be thought of as the elemental functions to be performed in order to satisfy the user service requirements (i.e., they are not broken out any further). The information exchanges between processes and between P-specs are called the (logical) *data flows*.



**Figure 2.4-2. Example of Logical Architecture Functional Decomposition**

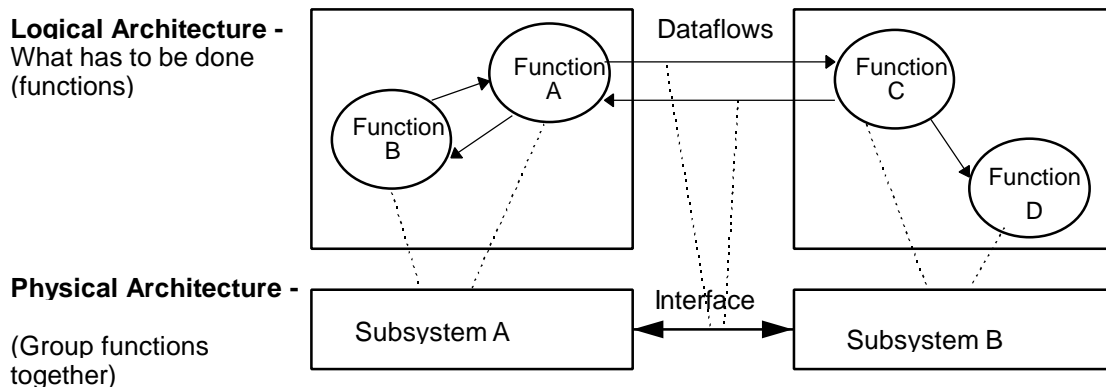
Example overview descriptions of process specifications relevant to traffic signal control systems are given below:

**Table 2.4-3. Example Process Specifications (Overview Descriptions)**

<p><b>Process Traffic Data ( P-Spec 1.1.2.2 )</b>  Overview: This process shall be responsible for collecting all of the processed data supplied from traffic sensors and from sensors at HRIs. The process shall distribute it to processes in the Provide Device Control facility responsible for freeway, highway rail intersections, parking lot, ramp and road management. It shall also send the data to another process in the Provide Traffic Surveillance facility for loading into the stores of current and long term data.</p> <p><b>Select Strategy ( P-Spec 1.2.1 )</b>  Overview: This process shall be responsible for selecting the appropriate traffic control strategy to be implemented over the road and freeway network served by the Manage Traffic function. The strategy shall be selected by the process from a number that are available, e.g. adaptive control, fixed time control, local operations, etc. The selected strategy shall be passed by the process to the actual control processes for implementation according to the part of the network to which it is to be applied, i.e. roads, freeways, ramps and parking lots. When part of the selected strategy, or at the request of the traffic operations personnel, the process shall send commands to the traffic sensor data process to change the operating parameters of video cameras used to provide traffic data. The process shall make it possible for the current strategy selection to be modified to accommodate the effects of such things as incidents, emergency vehicle green waves, the passage of commercial vehicles with unusual loads, equipment faults and overrides from the traffic operations personnel. The selected strategy shall be sent to the process within the Provide Traffic Surveillance facility responsible for maintaining the store of long term data.</p> <p><b>Determine Indicator State for Road Management ( P-Spec 1.2.2.2 )</b>  Overview: This process shall be responsible for implementing selected traffic control strategies and transit priority on some or all of the indicators covering the road (surface street) network served by the Manage Traffic function. It shall implement the strategies only using the indicators (intersection and pedestrian controllers, variable message signs (vms), etc.) that are specified in the implementation request and shall coordinate its actions with those of the processes that control the freeway network and the ramps that give access to the freeway network.</p> <p><b>Output Control Data for Roads ( P-Spec 1.2.4.1 )</b>  Overview: This process shall be responsible for the transfer of data to processes responsible for controlling equipment located at the roadside within the road (surface street) network served by the Manage Traffic function. This data shall contain outputs for use by roadside indicators, such as intersection and pedestrian controllers, variable message signs (vms), etc. Data for use by in-vehicle signage equipment shall be sent to another process for output to roadside processes. All data shall have been sent to this process by processes within the Manage Traffic function. This process shall also be responsible for the monitoring of input data showing the way in which the indicators are responding to the data that they are being sent, and the reporting of any errors in their responses as faults to the Collect and Process Indicator Fault Data facility within the Manage Traffic function. All output and input data shall be sent by the process to another process in the Manage Traffic function to be loaded into the store of long term data.</p>
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### 2.4.3 Physical Architecture

A physical architecture is the physical (versus functional) view of a system. A physical architecture provides agencies with a physical representation (though not a detailed design) of how the system should provide the required functionality. A physical architecture takes the processes (or P-specs) identified in the logical architecture and assigns them to physical entities (called *subsystems* in the National ITS Architecture). In addition, the data flows (from the logical architecture) that originate from one subsystem and end at another are grouped together into (physical) *architecture flows*. In other words, one architecture flow may contain a number of more detailed data flows. These architecture flows and their communication requirements define the *interfaces* required between subsystems, which form the basis for much of the ongoing standards work in the ITS program. Development of a physical architecture will identify the desired communications and interactions between different transportation management organizations. Figure 2.4-3 depicts the relationship between the logical and physical architecture.



**Figure 2.4-3 Representative Logical and Physical Architecture**

In the National ITS Architecture, the physical architecture is described by two layers: the transportation layer and the communications layer. Each of these is briefly described below.

Transportation Layer

The transportation layer of the physical architecture shows the relationships among the transportation-management-related elements. It is composed of subsystems for travelers, vehicles, transportation management centers, and field devices, as well as external system interfaces at the boundaries (called *terminators* in the documentation). It may include:

- ◆ Field devices for traffic surveillance and motorist information dissemination
- ◆ Traffic signal and ramp metering controllers
- ◆ Transportation management centers
- ◆ Emergency management centers

Communications Layer

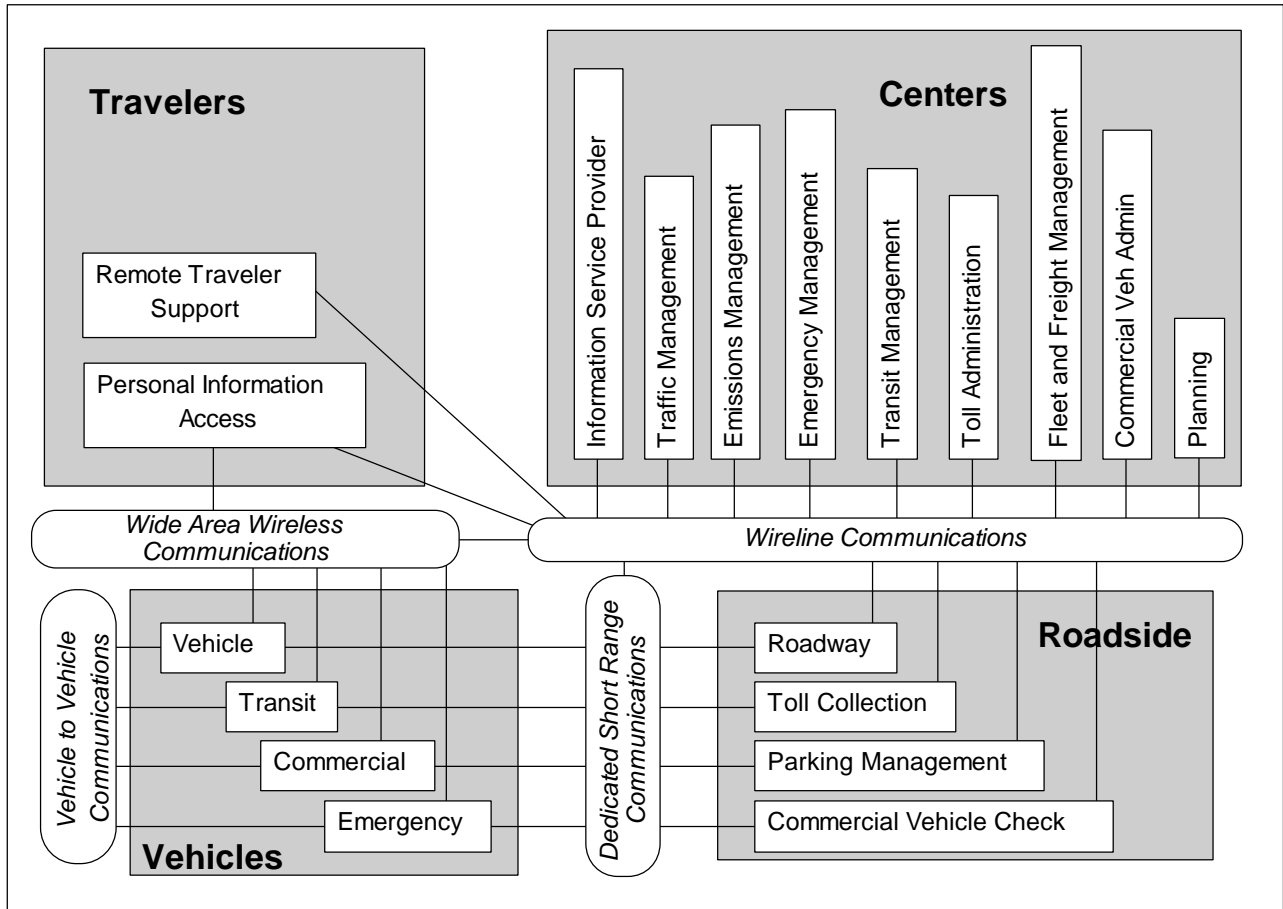
The communications layer of the physical architecture shows the flow of information and data transfer for the transportation layer components. This layer depicts all of the communications necessary to transfer information and data among transportation entities, traveler information and emergency service providers, and other service providers such as towing and recovery. The communications layer clearly identifies system interface points where national standards and communications protocols can be used.

Institutional Implications

While an institutional layer is not actually part of the physical architecture, the physical architecture cannot be fully defined in a region without some decisions being made regarding the jurisdictional structure and working relationships that will provide a framework for ITS planning and implementation. These institutional decisions should lead to depiction of who should communicate

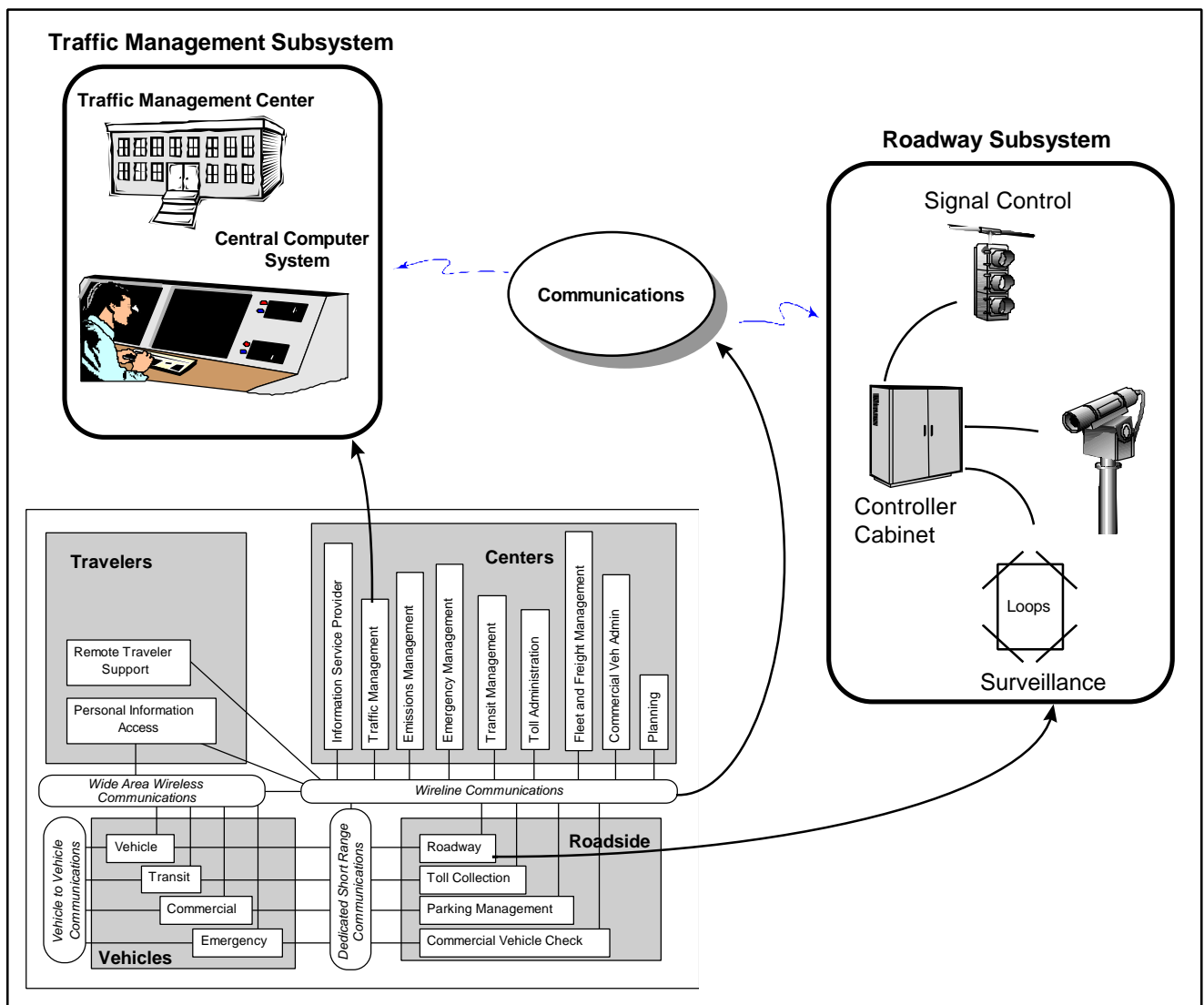
with whom, and what information should be communicated in the transportation and communications layers, and will vary based on the unique needs and characteristics of a region.

Figure 2.4-4 from the National ITS Architecture, shows the 19 transportation subsystems (white rectangles) and the 4 general communication links (ovals) used to exchange information between subsystems. This figure represents the highest level view of the transportation and communications layers of the physical architecture. The subsystems roughly correspond to physical elements of transportation management systems and are grouped into 4 classes (gray rectangles): Centers, Roadside, Vehicles and Travelers.



**Figure 2.4-4. National ITS Architecture Subsystems and Communications**

Basic traffic signal control systems are represented by functions within 2 of the 19 subsystems: the Traffic Management subsystem and the Roadway subsystem. This is illustrated in figure 2.4-5, which depicts traffic signal control related elements as an overlay to the diagram just presented.



**Figure 2.4-5. Basic Traffic Signal Control System Architecture Depiction**

These 2 subsystems, together with the necessary communications to exchange control and surveillance information, provide the following capabilities typically associated with traffic signal control systems:

- ◆ Area-wide signal coordination
- ◆ Arterial network traffic conditions
- ◆ A range of adaptive control strategies
- ◆ Integration with freeway management, incident and emergency management, transit management, etc.

The Traffic Management subsystem functions are implemented with central equipment typically found in traffic management centers; e.g., computers, traffic control consoles, and video switching and display systems.

The Roadway subsystem functions are implemented with equipment typically found in the field; e.g. traffic signal controllers and traffic lights, vehicle detectors (e.g., inductive loop, radar, video), and video cameras.

Wireline Communications includes the equipment necessary for the various subsystems of the architecture, including the Traffic Management and Roadway subsystems, to exchange data to perform their transportation functions. These communications services may be provided by agency-owned communications plants (e.g. twisted pair, coaxial, fiber, or spread-spectrum radio), or may be leased from a communications service provider. It should be noted that the term “wireline communication” as used in the National ITS Architecture, refers to communication between stationary points, (e.g. traffic signal control central and field equipment). In this context, wireline communication may include wireless communication.

The Traffic Management and Roadway subsystems also provide other functions not typically associated with traffic signal control systems. These include the following transportation system functions:

#### **Freeway Management Systems**

- ◆ Monitor Freeway Conditions
- ◆ Identify Flow Impediments
- ◆ Ramp Metering/Lane Controls
- ◆ Highway Advisory Radios/Variable Message Signs

#### **Incident Management Systems**

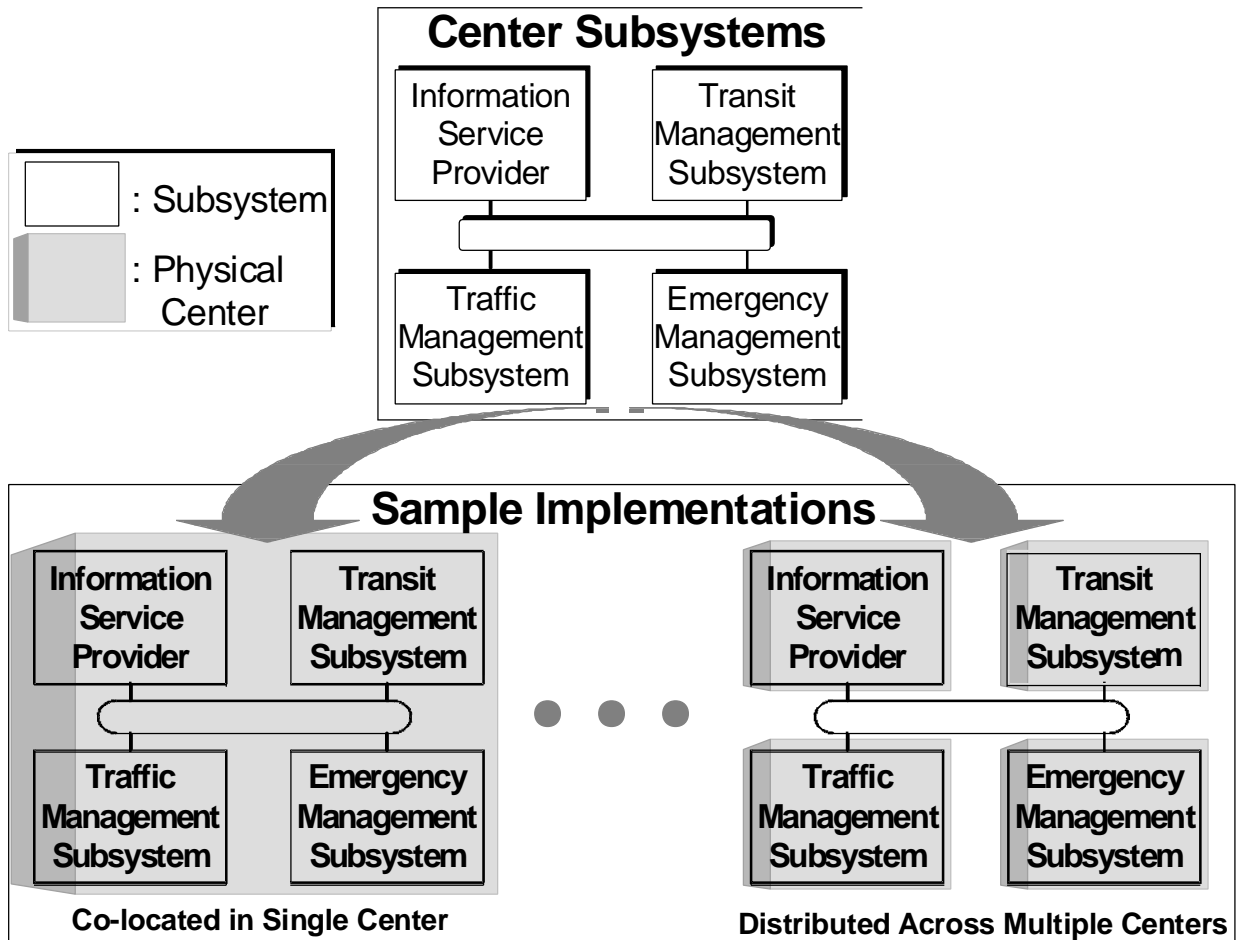
- ◆ Incident Detection/Verification
- ◆ Incident Response/Clearance

#### **Railroad Grade Crossing Systems**

- ◆ Improve and automate Highway-Railroad Intersection warnings and Traffic Signal Control
- ◆ Provide advanced warning of closures
- ◆ Coordinate traffic signal control with rail movements

An important concept to understand from the physical architecture is that of support for combining subsystems together (or functionality from multiple subsystems) in an actual implementation. This

is particularly important for the “center” subsystems, which should not be immediately thought of as separate buildings. In simplest terms, the center subsystems are not “brick and mortar”. Each subsystem is a cohesive set of functional definitions with required interfaces to other subsystems; subsystems are functionally defined, not physically defined. A regional implementation may include a single physical center that collocates and integrates the capabilities from several of the center subsystems. For instance, a single Transportation Management Center may include Traffic Management Subsystem, Transit Management Subsystem, Emergency Management Subsystem, and Information Service Provider subsystem capabilities. Conversely, a single subsystem may be replicated in many different physical centers in a complex metropolitan area system. For instance, the traffic management subsystem may be implemented in a traffic management center for freeway control in addition to several distinct city traffic management centers that cooperatively control the arterials. Figure 2.4-6 provides an indication of the range of ways that center subsystems may be implemented in physical centers.



**Figure 2.4-6. Center Subsystems May Be Implemented In Various Regional Configurations**

(Source: National ITS Architecture Implementation Strategy)



### 2.4.4 Equipment Packages

The logical and physical architectures contain all of the essential architecture elements needed to provide the user services (and their more detailed requirements). Although the formal definition of the National ITS Architecture stops there, other categorizations of the architecture elements were made for the purposes of evaluation and to better understand the deployment implications. Sections 2.4.4 and 2.4.5 discuss the alternative views gained by grouping sets of key functionality together. These perspectives, which are grounded in (or tied back to) the formal definition, can be used as additional entry points into the National ITS Architecture.

The term “*equipment package*” was used in the National ITS Architecture development effort to group like functions (P-specs) of a particular subsystem together into an “implementable” package of hardware and software capabilities. The grouping of functions also took into account the user services and the need to accommodate various levels of functionality within them. The equipment packages are associated closely with market packages (which will be discussed next) and were used as a basis for estimating deployment costs (as part of the evaluation that was performed). The specific set of equipment packages defined is merely illustrative and is does not represent the only way to combine the functions within a subsystem. The National ITS Architecture has defined approximately 110 equipment packages in total; only about 25 of these are relevant to traffic signal control.

An example of an equipment package that is relevant to traffic signal control is “TMC Basic Signal Control”, which is comprised of 3 process specifications: Select Strategy, Determine Indicator State for Road Management, and Output Control Data for Roads.

**TMC Basic Signal Control Equipment Package (part of the Traffic Management Subsystem):**

This Equipment package provides the capability to traffic managers to monitor and manage the traffic flow in major intersections and on main highways for urban areas as well as alleviate traffic related problems of rural areas with the primary concern of detecting and verifying incidents and providing this information to emergency management service providers. This capability includes analyzing and reducing the collected data from traffic surveillance equipment as feedback to control processes and for control strategies.

This equipment package consists of the following P-specs:

- 1.2.1 Select Strategy
- 1.2.2 Determine Indicator State for Road Management
- 1.2.4.1 Output Control Data for Roads

### 2.4.5 Market Packages

Some of the 30 user services are too broad in scope to be convenient in planning actual deployments. Additionally, they often don’t translate easily into existing institutional environments and don’t distinguish between major levels of functionality. In order to address these concerns (in the context of providing a more meaning evaluation), a finer grained set of deployment-oriented ITS service building blocks were defined from the original user services. These are called “*market packages*” in the documentation.

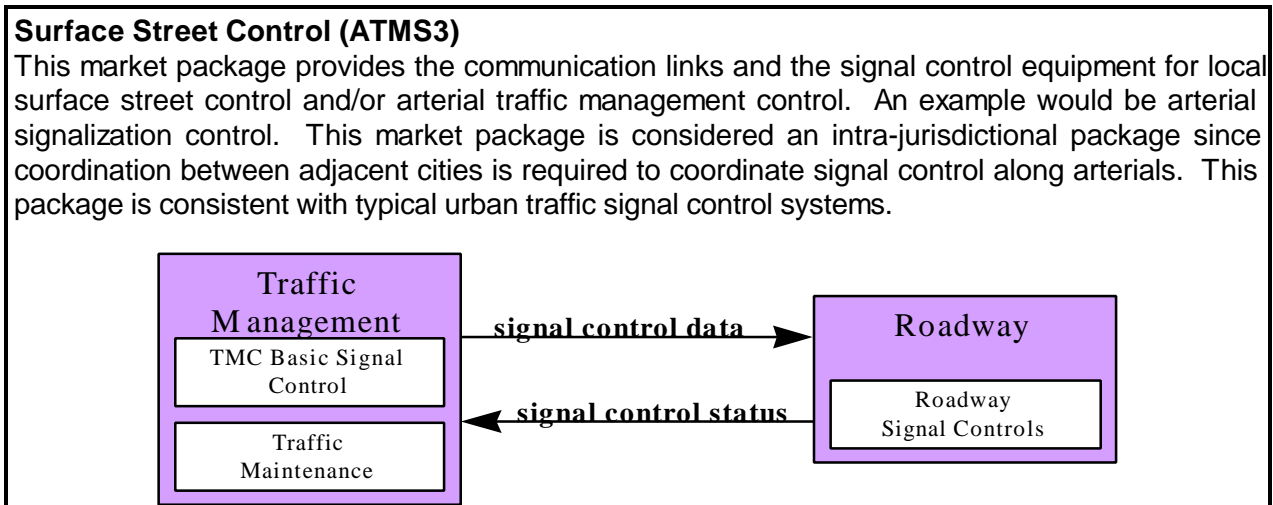
Market packages are defined by sets of equipment packages required to work together (typically across different subsystems) to deliver a given transportation service and the major architecture flows between them and other important external systems. *In other words, they identify the pieces of the National ITS Architecture required to implement a service.* As such, they are directly grounded in the definition of the Architecture. Most market packages are made up of equipment packages in two or more subsystems. Market packages are designed to address specific transportation problems and needs and can be related back to the 30 user services (reference table 2.3-2 in the Implementation Strategy document) and their more detailed requirements.

For example, the functionality of the broad user service named “traffic control” was broken up into several market packages to allow for explicit consideration of:

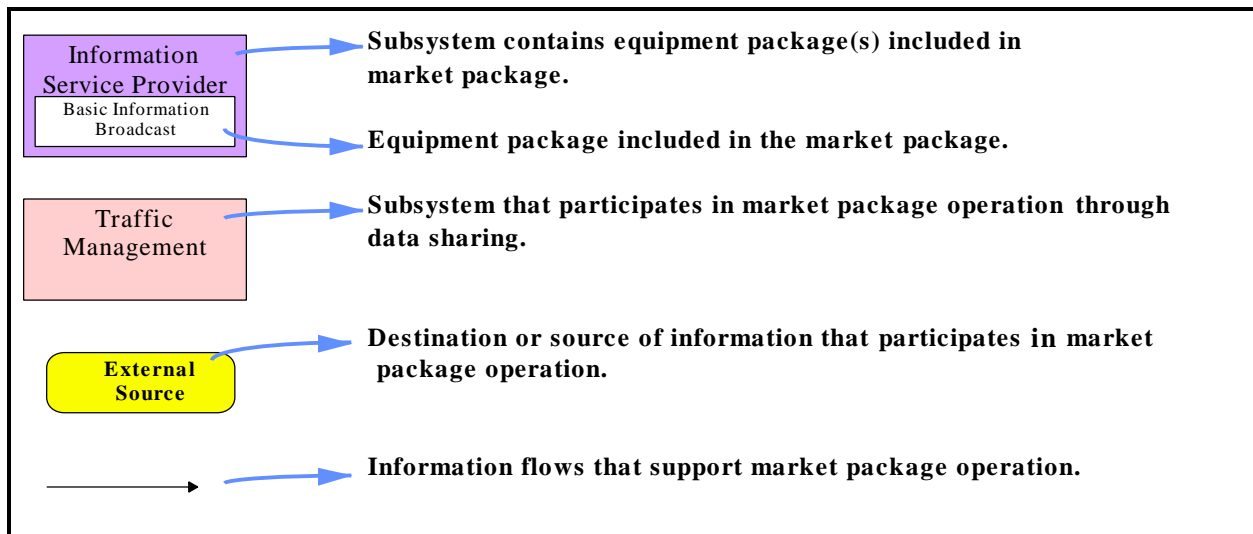
- ◆ basic functions (such as surveillance, which is represented by the “network surveillance” and “probe surveillance” market packages),
- ◆ institutional settings (by separating control functions typically performed by different agencies into the “surface street control” and “freeway control” market packages), and
- ◆ functional levels of service (by including a “regional traffic control” market package that provides for coordination of control strategies across jurisdictions).

In addition, a “multi-modal coordination” market package was defined that is comprised of functionality for transit and emergency vehicle priority treatment at traffic signals.

Figure 2.4-7 provides an example of a market package related to traffic signal control and figure 2.4-8 explains the basic elements of the market package diagrams.



**Figure 2.4-7. Surface Street Control Market Package  
(Adapted From Appendix A of the Implementation Strategy)**



**Figure 2.4-8. Market Package Elements  
(Adapted From Appendix A of the Implementation Strategy)**

The National ITS Architecture development effort identified a total of 56 market packages that reflect the current definition of ITS and the evolving technology market. Table 2.4-4 contains a complete listing of these, grouped according to their respective major application areas. As with equipment packages, the specific set of market packages defined is merely illustrative and does not represent the only way to combine the functions and equipment in order to provide ITS services. The market packages most closely related to traffic signal control are highlighted in the table.

A given market package may provide only part of the functionality of a user service (supporting multiple service levels), but often serves as a building block by allowing more advanced packages to use its components. Market packages also allow early deployments to be separated from higher risk services and can specifically address varied regional needs. Because they were evaluated during the development process, supporting benefits and costs analyses were conducted for the market packages which can also be accessed as a resource.

Market packages are not intended to be tied to specific technologies, but of course depend on the current technology and product market in order to actually be implemented. As transportation needs evolve, technology advances, and new devices are developed, market packages may change and new market packages may be defined.

In short, market packages provide another method for entering into the National ITS Architecture information and can be used as an alternative starting point for defining project functional requirements and system specifications. The important point to remember is that they provide a set of manageable, service-oriented views which allow the user to jump right into the physical architecture definition.

**Table 2.4-4. ITS Market Packages**

<p><b><u>Traffic Management</u></b>  <b>Network Surveillance</b>  <b>Probe Surveillance</b>  <b>Surface Street Control</b>  <b>Freeway Control</b>  HOV and Reversible Lane Management  Traffic Information Dissemination  <b>Regional Traffic Control</b>  <b>Incident Management System</b>  <b>Traffic Network Performance</b>  <b>Evaluation</b>  Dynamic Toll/Parking Fee Management  Emissions and Environmental Hazards Sensing  Virtual TMC and Smart Probe Data  <b>Standard Railroad Grade Crossing</b>  <b>Advanced Railroad Grade Crossing</b>  <b>Railroad Operations Coordination</b></p> <p><b><u>Transit Management</u></b>  Transit Vehicle Tracking  Transit Fixed-Route Operations  Demand Response Transit Operations  Transit Passenger and Fare Management  Transit Security  Transit Maintenance  <b>Multi-modal Coordination</b></p> <p><b><u>Traveler Information</u></b>  Broadcast Traveler Information  Interactive Traveler Information  Autonomous Route Guidance  Dynamic Route Guidance  Information Service Provider (ISP) Based  Route Guidance  Integrated Transportation  Management/Route Guidance  Yellow Pages and Reservation  Dynamic Ridesharing  In-Vehicle Signing</p>	<p><b><u>Advanced Vehicles</u></b>  Vehicle Safety Monitoring  Driver Safety Monitoring  Longitudinal Safety Warning  Lateral Safety Warning  Intersection Safety Warning  Pre-Crash Restraint Deployment  Driver Visibility Improvement  Advanced Vehicle Longitudinal Control  Advanced Vehicle Lateral Control</p> <p>Intersection Collision Avoidance  Automated Highway System</p> <p><b><u>Commercial Vehicles</u></b>  Fleet Administration  Freight Administration  Electronic Clearance  Commercial Vehicle Administrative Processes  International Border Electronic Clearance  Weigh-In-Motion  Roadside CVO Safety  On-board CVO Safety  CVO Fleet Maintenance  HAZMAT Management</p> <p><b><u>Emergency Management</u></b>  Emergency Response  Emergency Routing  MAYDAY Support</p> <p><b><u>ITS Planning</u></b>  ITS Planning</p>
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### 2.4.6 National ITS Architecture Documents

In summary, the National ITS Architecture provides a common structure for the design of ITS; it defines the functions that must be performed by components or subsystems, where these

functions reside (e.g., roadside, traffic management center, or in-vehicle), the interfaces and information flows between subsystems, and the communications requirements for the information flows (e.g., wireline or wireless) in order to address the underlying user service requirements. Since the National ITS Architecture is also the foundation for much of the ongoing ITS standards work, consideration of the interface and information exchange requirements established by the Architecture today will likely facilitate or ease the transition to incorporating standards-compliant interfaces in the future (when approved standards are available).

The following are brief descriptions of the documents produced under the National ITS Architecture Development Program that are referred to in subsequent sections. Paper copies of these can be obtained and used as reference documents. Another way to access them is via CD-ROM or on the Internet (see Section 5.1 of this document for information on how to obtain the paper copies, the CD-ROM, and the Internet addresses). The CD-ROM and the Internet sites will be more useful than hard copies when trying to access information rapidly. On the Internet, logical links (called “hyperlinks”) between different parts of the architecture facilitate use of information for the type of exercises described later in this section. The CD-ROM also contains the underlying relational databases which define the Architecture (developed with Microsoft Access™), which can be useful for performing tailored searches or other advanced analyses. *It is important to remember that the key concepts and elements of the National ITS Architecture as presented in sections 2.4.1-2.4.5 are interrelated and traceable in a variety of ways (forwards and backwards).*

Although the documentation at first can appear to be extensive, even overwhelming, keep in mind that only a portion of the information will apply to the specific needs of an agency at any point in time. Using the electronic tools with search capabilities and the linked HTML version of the National ITS Architecture, finding the relevant information becomes even more manageable.

US DOT plans to update and maintain the National ITS Architecture over time to reflect changing needs and correct any deficiencies that may be found through the experience of users. Accordingly, critical portions of these documents, particularly those containing the Architecture definition, will be updated over time (e.g., an update is planned for May 1998). *Therefore, while this document provides specific information and examples from the National ITS Architecture (January 1997 version) for illustration purposes, the reader should always consult and defer to the latest version of the National ITS Architecture. See section 5 for more information on how to access the National ITS Architecture.*

It is important to keep in mind that several of the documents that were produced were done so for the purposes of evaluation; these documents can be used as additional resources (e.g., the Cost Analysis) but are peripheral to the fundamental definition. A first time interested reader should find the Executive Summary, Vision, and Implementation Strategy to be the most accessible starting points for looking into the documentation. A complete listing of the documents can be found in Appendix D.

### Vision

The vision is the starting point for developing an architecture and is the component that drives everything else. The vision statement provides a description of the likely transportation system in the next 5, 10, and 20 years based on the National ITS Architecture. In the vision, the ITS User Services that the transportation system is to provide are identified in groups.

### Mission

The Mission addresses the goals and objectives of a national intelligent transportation system. In the Mission, user service requirements are defined, and benefits that the system is expected to provide are identified. The mission definition ties the National ITS Architecture to the National ITS Program Plan developed jointly by US DOT and ITS America.

### Logical Architecture

The Logical Architecture document contains three volumes: *Description* (Volume 1), *Process Specifications* (Volume 2), and *Data Dictionary* (Volume 3). These documents present a functional view of the ITS user services, contain diagrams that show processes and data flows among them, and define data elements, respectively.

### Physical Architecture

The Physical Architecture document contains architecture flow diagrams that show data passing among physical subsystems, and presents characteristics and constraints on the data flows.

### Traceability

The Traceability document shows how the National ITS Architecture satisfies the user service requirements. It contains tables that provide traceability of ITS user service requirements to National ITS Architecture elements, and traceability between logical architecture elements and physical architecture elements.

### Theory Of Operations

This document provides a detailed narrative of how the architecture supports the ITS user services, described in the Mission Definition. It is a technical document, intended for engineers, operators, and others involved in detailed systems design.

### Communications

The Communications document presents an analysis of the communications aspects of the National ITS Architecture. It presents a technology assessment that covers several potential communications technology alternatives. The alternatives are compared against ITS requirements. This document proposes quantitative data loading requirements for a hypothetical system design, and contains an extensive set of appendices that deal with a specific communications study.

### Cost Analysis

The Cost Analysis provides typical unit costs for market packages and equipment packages. Methodologies are delineated.

### Performance and Benefits Study

The Performance and Benefits Study documents the results of evaluations of several hypothetical ITS deployment scenarios. It also presents a discussion of the overall benefits of developing the National ITS Architecture.

### Standards Requirements

The Standards Requirements document contains detailed information on requirements for 12 high-priority standards packages. Standards interface packages that apply directly to traffic signal control include:

- ◆ Traffic Management Center for Other Centers
- ◆ Traffic Management Center to Roadside Devices
- ◆ Digital map data exchange and location referencing
- ◆ Highway-Rail Intersections
- ◆ Signal priority for emergency and transit vehicles

### Implementation Strategy

The Implementation Strategy document presents a process for implementing ITS services in a phased approach. The process is part of an overall strategy that includes recommendations for future research and development, operational tests, standards activities, and training.

The Implementation Strategy translates the National ITS Architecture to implementation through market packages. It identifies the market packages that provide certain ITS services and recommends a phased deployment of those market packages to provide the most needed and most feasible user services initially, and less needed/feasible user services at a later date. The Implementation Strategy considers several items and issues regarding deployment, such as legacy systems, politics, funding, market package synergy, technology requirements, and standards requirements.

## **2.5 Using the National ITS Architecture to Develop Traffic Signal Control Projects**

This section describes the specific ways that the National ITS Architecture can be used in each of the general steps of the project development process presented in section 2.3, making use of the key concepts described in section 2.4. This process addresses (1) needs or problem identification, (2) solution identification, (3) solution planning and design, and (4) funding,

procurement, and implementation. Before discussing the specific ways it can be applied to the project development process, some additional context and general guidance is provided below.

### **National ITS Architecture Application Guidance**

The National ITS Architecture tools are intended to augment and support existing ITS project development processes, and should be applied with engineering judgment in that context. The National Architecture is not a process in and of itself. It contributes information and analysis to existing processes (e.g., systems engineering). By providing a source for critical information early in the development process, the National ITS Architecture can lower project risks and costs while also improving the potential that the resulting deployment will have long term utility and support regional ITS integration over time.

The National ITS Architecture tools are most applicable in the early stages of project development. They fully support the rapid definition of a starting point for project definition, with local requirements then driving the tailoring of that project for specific applications. Of course, the tools do not contain all the information necessary to fully design and implement ITS projects. While helpful information is sometimes available within the documentation (for example, in the evaluation documents), specification of issues such as performance requirements, design options, technology choices, existing system interfaces and constraints, detailed implementation and operational decisions, and which standards to use needs to be carried out at the local level. Awareness of how far into the project development process the National ITS Architecture tools apply is important to being able to make the best use of them.

The National ITS Architecture can be used to provide project developers with additional options to consider for information exchanges and functionality that may not have initially been conceived at the outset of the project. As such, its utility is likely to be greater for larger projects with a variety of possible interfaces. Using the National ITS Architecture should not be viewed as an all-or-nothing requirement; rather, the material can be used as is, tailored, or dropped, as appropriate for the situation. This will be discussed further in this section.

There are several ways to apply the National ITS Architecture; the most accessible of these methods will be presented in this section. *See section 5 for more information on how to gain access to the various formats of the National ITS Architecture (including web sites).*

### **Entry Points into the National ITS Architecture**

The definition of the National ITS Architecture can be found in the logical and physical architectures. These architecture definitions exist in several formats, including paper documents, Microsoft Access™ relational databases, and a HyperText Mark-up Language (HTML) model, which provides access through a linked model. The databases and the linked HTML model are available on CD-ROM and the World Wide Web. The logical and physical architecture definitions represent a breadth and depth of information that can seem overwhelming to access and apply. However, there are tools to view the architecture definition that make the extraction of information more efficient. These maps and tables provide access or “entry points” to the details of the architecture in an organized fashion. Figure 2.5-1 shows the top-level of information shown for



the linked HTML model, which provides easy access to most of these entry points. Some of the key entry points and their relevance to project development are discussed below.

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## ITS Architecture Browsing Site

January 1997 Edition

This presentation of the National Intelligent Transportation Systems (ITS) Architecture Definition provides a hypertext view of the logical architecture, physical architecture, and implementation-oriented components of the architecture definition. This hypertext view provides access to all process specifications, data flows, subsystems, equipment packages, and terminators that make up the architecture definition. Your entry to the architecture may be through a number of different paths.

The National ITS Architecture was developed to support intelligent transportation systems extending to the year 2012. The architecture [Vision](#) provides a general forecast of the ways in which transportation improvements will be made over the next 20 years.

The architecture framework that supports this vision is made up of many physical entities ([Subsystems and Terminators](#)). By selecting a physical entity (either a subsystem or a terminator), you can browse through the process specifications that define each subsystem's functionality or the data flows that connect the subsystems.

Near term plans and planned deployments include the Intelligent Transportation Infrastructure and CVISN. The architecture structure for these near term deployments is provided in [ITI and CVISN](#).

Another entry which is suitable for locally searching for data flows with particular text is a complete file of [Logical Architecture Data Flows](#) (Note - this file is very big (200k bytes)) or [Physical Architecture Data Flows](#).

Yet another entry through the logical architecture is through the Pspec ( [Process specification](#) ) names.

Finally, a set of standards requirements packages has been created which bundle the dataflows into sets of interest to standards organizations. The launch point for these packages is [Standards Requirements packages](#) (Cross references are provided for flows which reside in more than one package).

The entire set of architecture documents are available on the [ITS America Web Site](#).

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### Figure 2.5-1. National ITS Architecture Hypertext View

Note to the reader: As the National ITS Architecture is updated and maintained over time, changes may be made to facilitate access to key information and allow greater flexibility for the user. Thus, some of the specifics shown in figure 2.5-1 and the mechanics discussed in subsequent text boxes for accessing the entry points may become dated. For example, in future releases, it is likely that market packages will be given greater visibility at the top page level of the HTML model.

- ◆ *User Services* are what drove the definition of the National ITS Architecture. They represent high-level descriptions of the services to be provided by ITS, from the perspective of the user. The National ITS Program Plan provides detailed descriptions of the user services. User services can be related to general needs and higher-level goals and objectives. Traceability exists to map user services to the underlying architecture

definition.

- ◆ *User Service Requirements*, as previously described in section 2.4.1, are the “shall” statements that define the user services in detail and serve as the fundamental requirements of the National ITS Architecture. By selecting those user service requirements that apply to the definition of a specific system, traces can be made to the physical and logical architectures. The user service requirements are listed in Appendix A of the Traceability document on paper or CD-ROM.
- ◆ *Logical Architecture* describes “ what” the National ITS Architecture must do to satisfy the User Services by defining required functions and dataflows. These functions and dataflows define the lower level details of the architecture. This tool is useful when defining the functions required to satisfy a service, requirement, or need. It leverages the extensive analysis already performed in the development of the National ITS Architecture. It provides process specifications that can be tailored to fit local requirements. The logical architecture is available on paper, CDROM, and the hyperlinked HTML model.

In the HTML model, click on “hypertext view” from the top page, then “Process Specifications” (see figure 2.5-1) in order to see a list of the p-specs, which are organized numerically according to their definition in the data flow diagram hierarchy. Or, you can click on “Logical Architecture Data Flows” in order to see the alphabetized list of logical data flows and get more information on them.

- ◆ *Physical Architecture Elements* are the subsystems and architecture flows that result from a partitioning of the logical architecture. These subsystems and architecture flows define a higher level of the architecture and can be aligned with high-level system functions such as “traffic management” or “information service provider”. In this manner, a mapping at the physical architecture subsystem level can be developed that provides the links to the underlying logical architecture. The physical architecture is available on paper, CDROM, and the linked HTML model.

In the HTML model, click on “hypertext view” from the top page, then “Subsystems and Terminators” (see figure 2.5-1) in order to see a list of the subsystems, which are given alphabetically. Clicking on one of the subsystems gives lots of information about the subsystem, including a description, list of equipment packages it contains, corresponding process specifications, and an architecture flow diagram. Some of these can be further explored via additional links. You can also click on Physical Architecture Data Flows, as shown on figure 2.5-1.

- ◆ *Market Packages*, as previously described in section 2.4.5, represent slices of the architecture that address specific services such as surface street control. These physical architecture subsets can be selected and aggregated to form a high-level architecture at the subsystem level. The market packages can be traced further to equipment packages and logical architecture functions. The market package definitions are available in the

Implementation Strategy on paper and the CD-ROM, and also in the hyperlinked HTML model.

In the HTML model, click on “hypertext view” from the top page, then “ITI and CVISN” (see figure 2.5-1) in order to see a list of the market packages, which are organized into early, additional, and advanced categories. Clicking on one of the market packages produces a wealth of information on relevant subsystems, equipment packages, architecture flows, related market packages, and evaluation information.

- ◆ *ITS Infrastructure Elements* are described in US DOT’s Operation Timesaver initiative and define metropolitan, rural, and commercial vehicle infrastructure elements that form the foundation of ITS. These elements represent high-level service categories (e.g., traffic signal control systems, freeway management systems, transit management systems, multi-modal traveler information systems) that are mapped into the architecture. This mapping provides the supporting architecture for the ITS Infrastructure in terms of the logical and physical architecture.

Using the linked HTML model, a physical architecture flow diagram will be presented when one of the ITS Infrastructure elements is clicked on (click on “hypertext view” from the top page, then “ITI and CVISN” in order to see the ITS Infrastructure elements).

By using the CD-ROM with appropriate viewing software that can read “.pdf” files (such as the Adobe Acrobat® Reader), searches can be carried out on words of interest that might apply to a specific project or functional area. In addition, textual information can be copied (using the “select text” feature of the software) and pasted into a word processing application for further modification. Graphics information can also be downloaded (using “select graphics”), although it may not be as easy to modify these electronic tables or figures. Text and graphics information can always be printed and the information manually entered as inputs to other software programs.

### **2.5.1 Identification of Needs or Problems**

As discussed in section 2.3.1, most transportation needs and problems are identified through the planning process as part of the ongoing process of improving transportation systems at the local level. As such, the National ITS Architecture is unlikely to contribute much information to this initial step. However, it can assist agencies in identifying ITS goals and objectives that are specific to their needs. Both current and future needs should be identified. Goals and objectives identified in the National ITS Architecture (Mission Definition) that pertain to traffic signal control systems include:

- Increase operational efficiency and capacity of the transportation system
  - Increase operational efficiency
  - Increase speeds and reduce stops
  - Reduce delays at intermodal transfer points
  - Reduce operating costs of the infrastructure
  - Increase private vehicle occupancy and transit usage

- Reduce private vehicle and transit operating costs
- Reduce freight operating costs and increase freight throughput
- Enhance personal mobility and the convenience and comfort of the transportation system
  - Increase personal travel opportunities
  - Decrease personal costs of travel including:
    - ◆ Comfort, stress, fatigue, and confusion
    - ◆ Safety and personal security
  - Increase sense of control over one's own life from predictable system operation
  - Decrease cost of freight movement to shippers, including:
    - ◆ More reliable "just-in-time" delivery
    - ◆ Travel time and cost
    - ◆ Driver fatigue and stress
    - ◆ Safety (e.g., from tracking hazardous material)
- Improve the safety of the nation's transportation system
  - Reduce number and severity (cost) of accidents and vehicle thefts
  - Reduce fatalities
- Reduce energy consumption and environmental costs
  - Reduce vehicle emissions and fuel consumption due to congestion
  - Reduce noise pollution
  - Reduce neighborhood traffic intrusiveness
- Enhance present and future economic productivity of individuals, organizations, and the economy as a whole
  - Increase sharing of incident/congestion information
  - Reduce information-gathering costs
  - Increase coordination/integration of network operation, management, and investment

The National ITS Architecture documentation includes a Vision Statement, which describes ITS capabilities now and into the future in magazine article style. The Vision can also serve to foster general ideas about the types of local needs and problems that ITS can be used to address.

The National ITS Architecture also includes data collection subsystems, such as the planning subsystem, to highlight the value of using ITS to collect long-term performance data on the transportation system. Collecting and using this type of information can enhance and augment the process of identifying needs and problems in the future.

Useful National ITS Architecture Documents: Mission Definition, Vision Statement
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## **2.5.2 Identification of Solutions**

There are at least two major ways that the National ITS Architecture can be applied to the identification of alternative solutions to the given needs and problems, leading to the ultimate selection of a preferred solution. During this step, traditional solutions to the problem or combinations of traditional and ITS strategies may also be explored.

### **2.5.2.1 User Services**

As discussed in Section 2.4.1, user services and associated user service requirements were fundamental to the National ITS Architecture development effort. These user services were

designed to address surface transportation needs. Agencies may wish to review the list of user services in their search for potential solutions to the given needs and problems. A list of user services and those most relevant to traffic signal control systems was provided in table 2.4-1.

The following is a summary of the user service requirements most pertinent to traffic signal control functions:

The traffic control user service is designed to:

- ◆ Optimize traffic flow
- ◆ Provide traffic surveillance
- ◆ Provide ramp metering
- ◆ Provide the ability to give priority to certain types of vehicles
- ◆ Provide device control capabilities
- ◆ Provide information to other functions

The incident management user service is designed to:

- ◆ Identify scheduled/planned incidents (e.g., construction activity)
- ◆ Detect incidents
- ◆ Formulate response actions
- ◆ Support coordinated implementation of response actions
- ◆ Support initialization of response actions
- ◆ Predict hazardous conditions

The highway-rail intersection user service is designed to:

- ◆ Control highway and rail traffic in at-grade highway-rail intersections(HRIs)
- ◆ Coordinate highway and rail management functions
- ◆ Manage traffic in the intersection at all HRIs with active railroad warning systems
- ◆ Provide advanced warning of closures
- ◆ Provide automatic collision notification at HRIs with active railroad warning systems

Under this approach for this step, agencies should select those user services and user service requirements that are most relevant toward meeting the current and future needs previously identified. Those user services and user service requirements that remain in the preferred solution can be carried further into the next step of project development.

### 2.5.2.2 Market Packages

Reviewing and selecting market packages is another convenient approach that can be taken for performing this step. As discussed in Section 2.4.5, market packages were defined in the National ITS Architecture development effort to serve as deployment-oriented ITS service “building blocks”. In general, the market packages offer a finer grained set of options than do user services, offering more alternatives to choose from in this step of the process. In addition, evaluation information (such as costs and benefits related material) is more readily available for the market packages than for user services, which can provide added support to project planning. As shown in table 2.4-4, the market packages identified in the National ITS Architecture that support traffic signal control functions include:

- ◆ *Network Surveillance* – This market package provides the fixed roadside surveillance elements that use a communications system to transmit surveillance data. It can be completely local, such as loop detection connected with signal control, or it can be CCTVs sending back images to traffic management centers. Surveillance enables traffic managers to monitor road conditions, identify and verify incidents, analyze and reduce the collected data, and make that data available to users and private information providers.
- ◆ *Probe Surveillance* – This is an alternative surveillance approach in which the travel times of individual vehicles are tracked. Two general communications paths are possible: (1) wide-area wireless communications between the vehicle and a traveler information service provider can be used to transmit current vehicle location and status, and (2) a dedicated short range communications link between the vehicle and roadside can be used to provide equivalent information back to a traffic management system.
- ◆ *Multi-modal Coordination* – This market package establishes two way communications between multiple transit and traffic agencies to improve service coordination. Intermodal coordination between transit agencies can increase traveler convenience at transfer points and also improve operating efficiency. Coordination between traffic and transit management is intended to improve on-time performance of the transit system to the extent that this can be accommodated without degrading overall performance of the traffic network. More limited local coordination between the transit vehicle and the individual intersection for signal priority is also supported by this package.
- ◆ *Surface Street Control* – This market package provides the communications links and the signal control equipment for completely local surface street control and/or arterial traffic management control. It provides for coordination between systems controlled by different jurisdictions.
- ◆ *Freeway Control* -- This market package provides the communications and roadside equipment to support ramp control, lane control, and interchange control for freeways. Coordination and integration of ramp meters are included as part of this market package.
- ◆ *Regional Traffic Control* – This market package advances the surface street control and freeway control market packages by allowing integrated inter-jurisdictional traffic control.

This market package provides for the sharing of traffic information and control among traffic management centers to support a regional control strategy.

- ◆ *Incident Management* – This coordinates both predicted and unexpected incidents so that the impact to the transportation network and traveler safety is minimized. Requisite incident detection capabilities are included in the freeway control market package and through regional coordination with other traffic management and emergency management centers.
- ◆ *Traffic Information Dissemination* – This market package allows traffic information to be disseminated using roadway equipment, such as changeable message signs, or highway advisory radio. The emphasis is on provision of basic traffic information or other advisories by means that require minimal or no in-vehicle equipment to receive the information. This package provides a tool that can be used to notify drivers of incidents. Careful placement of the roadway equipment provides the information at points in the network where the drivers have recourse and can tailor their routes to account for the new information.
- ◆ *Traffic Network Performance Evaluation* – This market package includes advanced algorithms, processing, and mass storage capabilities that support historical evaluation, real-time assessment, and forecasts of traffic network performance. This includes the prediction of travel demand patterns to support better link travel time estimation for route planning purposes.
- ◆ *Standard Railroad Grade Crossing* – This market package manages highway traffic at highway-rail intersections (HRIs) where operational requirements do not dictate more advanced features (e.g., where rail operational speeds are less than 80 miles per hour). Both passive (e.g., the crossbuck sign) and active warning systems (e.g., flashing lights and gates) are supported. These traditional HRI warning systems may also be augmented with other standard traffic management devices. The warning systems are activated on notification by interfaced wayside equipment of an approaching train. The equipment at the HRI may also be interconnected with adjacent signalized intersections so that local control can be adapted to highway-rail intersection activities.
- ◆ *Advanced Railroad Grade Crossing* – This market package manages highway traffic at highway-rail intersections (HRIs) where operational requirements demand advanced features (e.g., where rail operational speeds are greater than 80 miles per hour). This market package includes all capabilities from the Standard Railroad Grade Crossing Market Package and augments these with additional safety features to mitigate the risks associated with higher rail speeds. This market package also includes additional detection capabilities which enable it to detect an entrapped or otherwise immobilized vehicle within the HRI and provide an immediate notification to highway and railroad officials.
- ◆ *Railroad Operations Coordination* – This market package provides an additional level of strategic coordination between rail operations and traffic management centers. Rail

operations provides train schedules, maintenance schedules, and any other forecast events which will result in highway-rail intersection (HRI) closures. This information is used to develop forecast HRI closure times and durations which may be used in advanced traffic control strategies or to enhance the quality of traveler information.

For additional help in connecting needs and problems with market packages, the Implementation Strategy document contains a table that provides this kind of information. For illustration, the excerpt of this table, shown as table 2.5-1, shows the market packages that best address the problems of traffic congestion and air pollution.

In addition, the Performance and Benefits Study contains tables that relate the ITS system goals to individual market packages (table 5.3-1 of the document) and the likely benefits of each market packages (multiple tables in section 5.2 of the document). Agencies can use these as an aid in determining which market packages best address local needs.

Useful National ITS Architecture Documents: Traceability Matrix, Implementation Strategy, Performance and Benefits Study

**Table 2.5-1. Connecting Problems, Solutions, and the National Architecture**  
(Excerpt from Table 4.2-1 of the Implementation Strategy)



Problem	Solution	Conventional Approach	Advanced Systems Approach	Supporting Market Packages
Traffic Congestion	Increase roadway capacity (vehicular throughput)	<ul style="list-style-type: none"> <li>• New roads</li> <li>• New lanes</li> </ul>	<ul style="list-style-type: none"> <li>• Advanced traffic control</li> <li>• Incident Management</li> <li>• Electronic Toll Collection</li> <li>• Corridor Management</li> <li>• Advanced vehicle systems (Reduce headway)</li> </ul>	<ul style="list-style-type: none"> <li>• Surface Street Control</li> <li>• Freeway Control</li> <li>• Incident Management System</li> <li>• Dynamic toll/parking fee management</li> <li>• Regional Traffic Control</li> <li>• Railroad Operations Coordination</li> <li>• Advanced vehicle longitudinal control</li> <li>• Automated highway system</li> </ul>
	Increase passenger throughput	<ul style="list-style-type: none"> <li>• HOV Lanes</li> <li>• Car Pooling</li> <li>• Fixed route transit</li> </ul>	<ul style="list-style-type: none"> <li>• Real-time ride matching</li> <li>• Integrate Transit and Feeder Services</li> <li>• Flexible route transit</li> <li>• New personalized public transit</li> </ul>	<ul style="list-style-type: none"> <li>• Dynamic Ridesharing</li> <li>• Multi-modal coordination</li> <li>• Demand Response Transit Operations</li> </ul>
	Reduce demand	<ul style="list-style-type: none"> <li>• Flex Time Programs</li> </ul>	<ul style="list-style-type: none"> <li>• Telecommuting</li> <li>• Other telesubstitutions</li> <li>• Transportation Pricing</li> </ul>	<ul style="list-style-type: none"> <li>• Dynamic toll/parking fee management</li> </ul>
Air Pollution	Increase transportation system efficiency, reduce travel and fuel consumption	<ul style="list-style-type: none"> <li>• More efficient conventional vehicles</li> <li>• Vehicle emissions inspections</li> <li>• Promotion of alternatives to single occupant vehicle travel</li> <li>• Increased capacity to reduce vehicle delay</li> <li>• Regulations</li> </ul>	<ul style="list-style-type: none"> <li>• Remote sensing of emissions</li> <li>• Advanced traffic management to smooth flows</li> <li>• Multi-modal pre-trip info</li> <li>• Telecommuting</li> <li>• Other telesubstitutions</li> <li>• Transportation Pricing</li> <li>• Alternative fuel vehicles</li> </ul>	<ul style="list-style-type: none"> <li>• Emissions and environmental hazards sensing</li> <li>• Surface Street Control</li> <li>• Freeway Control</li> <li>• Regional Traffic Control</li> <li>• Interactive Traveler Information</li> <li>• Dynamic Toll/Parking Fee Management</li> </ul>

### 2.5.3 Planning and Design of the Solution

Project planning and design, particularly in the early phases, is likely the most important step for applying the National ITS Architecture information. There are a variety of ways to apply the National ITS Architecture in this step; the most important of these are discussed below. By using the various entry points described earlier in section 2.5, other methods for facilitating the design process can be explored. The overall goal is for agencies to harness the analysis work already performed and to have the opportunity to consider additional functions, interfaces, and information sharing possibilities beyond the initial project scope, which can be planned for now in anticipation of future needs.

The planning and design activities that are discussed in this section include:

- ◆ Determine Functional Requirements
- ◆ Identify Information Exchange Requirements
- ◆ Identify Standards

### 2.5.3.1 Determine Functional Requirements

The National ITS Architecture can be used as an input to defining project or system functional requirements. This involves a more detailed look at the user service requirements or market packages carried through from the previous step. Potential approaches include:

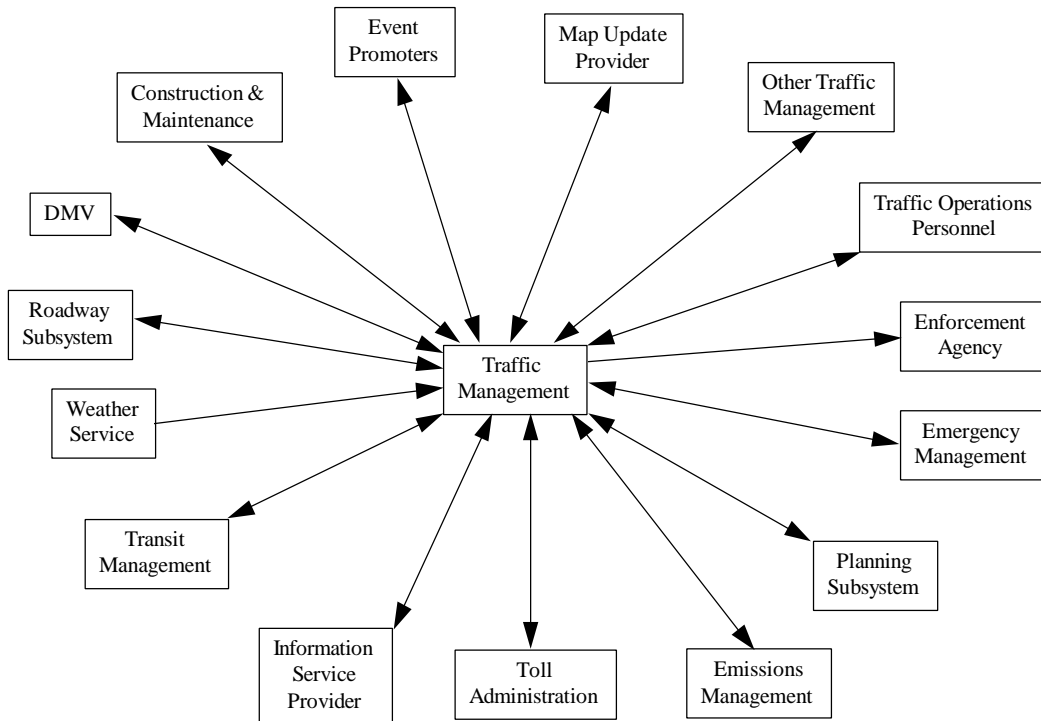
- ◆ *User service requirements* - The user service requirements associated with the proposed solution can be evaluated for their applicability to the project. For example, they can be used to augment the functional specification that may be put out in an RFP for detailed design and procurement. Using the Traceability Matrix, the process specifications that are associated with the relevant (selected) user service requirements can also be analyzed. For those process specifications that are maintained in the system design, the data is available to relate those functions to the rest of the logical and physical architecture.
- ◆ *Market packages* - The high-level architecture defined using the market packages can be further refined by examining the logical architecture elements that support these subsystems and architecture flows. The linked model can provide the maps to the underlying functions and data flows of the logical architecture. The process specifications associated with the market packages can be tailored to satisfy more closely the local needs or requirements that the solution must address. As originally defined, the market packages may identify more subsystems, equipment packages, or terminators than are required to satisfy the identified needs. While this presents a chance to drop unneeded features, it should also be viewed as an opportunity to consider additional capabilities that may satisfy other needs at marginal cost. During the process of designing the project, expansion capability may also be identified that can be planned for in future solutions. See section 2.5.3.4 for an example of how to aggregate and tailor market packages to meet local needs.
- ◆ *Physical Architecture Subsystems* - Even if the user service or market package approach isn't followed initially, agencies should be able to determine the relevant subsystems associated with a given project. Given a list of these subsystems, the physical architecture entry point can be used to determine the associated equipment packages, process specifications, and information flows. The underlying process specifications can be evaluated for their applicability and potential contribution to the functional needs of the given project (or future ones). This entry point is particularly useful for projects with a substantial amount of central equipment and software costs, such as a TMC upgrade.

For each alternative presented above, the National ITS Architecture material can be used as is, dropped, modified, or added to as appropriate to the situation. In most cases, additional performance requirements and other types of decisions will need to be included in the specification of a system before it can be procured (even if the detailed design work is to be put out for bid). It is important to recognize that the National ITS Architecture does not address reliability, availability, or maintainability. These and other operational and maintenance needs must be added to any requirements definition or system specification.

Unique local needs that are not covered as part of the 30 user services will also require the addition of subsystems or functions that are outside the National ITS Architecture. These types of elements may represent legacy system functions or portions of legacy systems. The addition of functionality, subsystems, and external interfaces (terminators) that are not part of the National ITS Architecture is part of the process of tailoring the solution architecture to satisfy the identified needs.

**2.5.3.2 Identify Information Exchange Requirements**

The physical architecture identifies the physical subsystems and data flows among subsystems that will support the communications requirements of a given project. It is important to identify physical data flows because they are the actual representation of communication ties among agencies and subsystems. Figure 2.5-2 illustrates a simplified physical architecture data flow diagram for traffic management. Appendix C contains a more detailed listing and explanation of the physical architecture flows that are relevant to traffic signal control functions.



**Figure 2.5-2. Example Physical Data Flows for Traffic Management**

In the process of specifying the information exchange requirements for the project, the underlying logical data flows associated with the identified physical information flows should be evaluated for their inclusion in the definition of communication messages. In cases where data flows are not currently available (but might be in the future), accommodation of extra message fields in the software development for the project should be considered. This will likely be done more economically if it is carried out now instead of having to modify the software later to handle the increased and changed needs for communications.

The Theory of Operations document can be used to obtain a better understanding of how the physical architecture elements work together to provide ITS services. For example, it provides diagrams and descriptions indicating the intended sequencing of messages for particular user services. These diagrams illustrate the sharing of information between subsystems which is relevant in determining the working relationships needed between different agencies for a given project. This type of information can be invaluable in developing a concept of operations for a project.

During the process of analyzing the possible information requirements contained in the National ITS Architecture, information exchanges beyond what was originally planned may become desirable additions to the project. This could entail establishing working relationships and agreements with agencies that were not originally part of the project planning effort, which could lead to an expansion of the project steering team. The information exchanges identified in the National ITS Architecture can stimulate the discussion of operational roles and responsibilities and are therefore critical to establishing the operations requirements for the project.

### **2.5.3.3 Identify Standards**

The rapid pace of progress in technology will introduce many new systems and devices into transportation systems. As transportation systems incorporate advanced technology, there will be a need for standards to promote multi-vendor interoperability and ease of integration. With standards, it is simpler to share data and communicate between transportation systems, particularly between agencies within the same region. Without standards, it is more difficult to integrate transportation systems with each other, and consequently there is a danger of isolating systems and limiting their potential effectiveness in solving a region's transportation needs and problems.

One of the major reasons for developing the National ITS Architecture was to identify where standard system interfaces were needed. Because the National ITS Architecture is serving as the common foundation for the ongoing ITS standards development work, factoring it into your current system enhancements will facilitate the transition to a standard interface definition in the future. The Standards Requirements document contains detailed information on the requirements for 12 high-priority standards packages.

Agencies can take advantage of these standards as they emerge by specifying their use in procurement packages. Among the pertinent national ITS standards development activities in process are the suite of standards being developed under the National Transportation Communications ITS Protocol (NTCIP) effort, and Dedicated Short Range Communications (DSRC) standards. Appendix A contains sources for additional information on these and other relevant standards development activities.

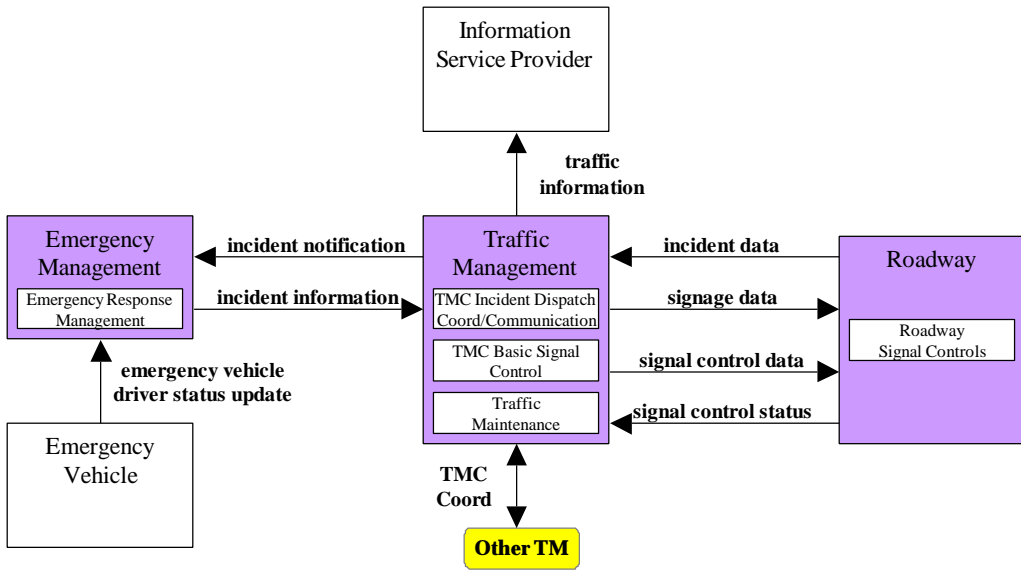
Agencies should also keep in mind that a variety of existing communications and information-based standards, which may have been created for other reasons, are applicable to ITS projects and are being used in systems today.

### 2.5.3.4 Market Package Aggregation and Modification Illustration

To illustrate some of the concepts of section 2.5.3, this subsection illustrates the use of market packages as a way to create a high-level physical architecture that can be further tailored to address local requirements.

As market packages are selected to address the given problems and needs, they may be aggregated by connecting or overlapping duplicate subsystems. The subsystems are connected by architecture flows that define subsystem interfaces. The aggregation of market packages will result in a high-level physical architecture that has been extracted from the National ITS Architecture and will represent a starting point for refinement and tailoring to unique local needs or requirements. For example, the Surface Street Control and Incident Management System market packages might be found to be the most applicable solutions to the identified problem.

The aggregation of these two market packages would result in the architecture illustrated in figure 2.5-3. This diagram shows the aggregation of the equipment packages (shown as white boxes inside the gray subsystems) and physical architecture flows (shown as arrows) of both market packages. Compared to the original Surface Street Control market package diagram (shown as figure 2.4-7), the traffic management subsystem has accumulated more functionality in the aggregated market package since the equipment packages from the individual market packages for that subsystem have been aggregated as well. In addition, more architecture flows have been identified between the traffic management and roadway subsystems resulting in an expanded



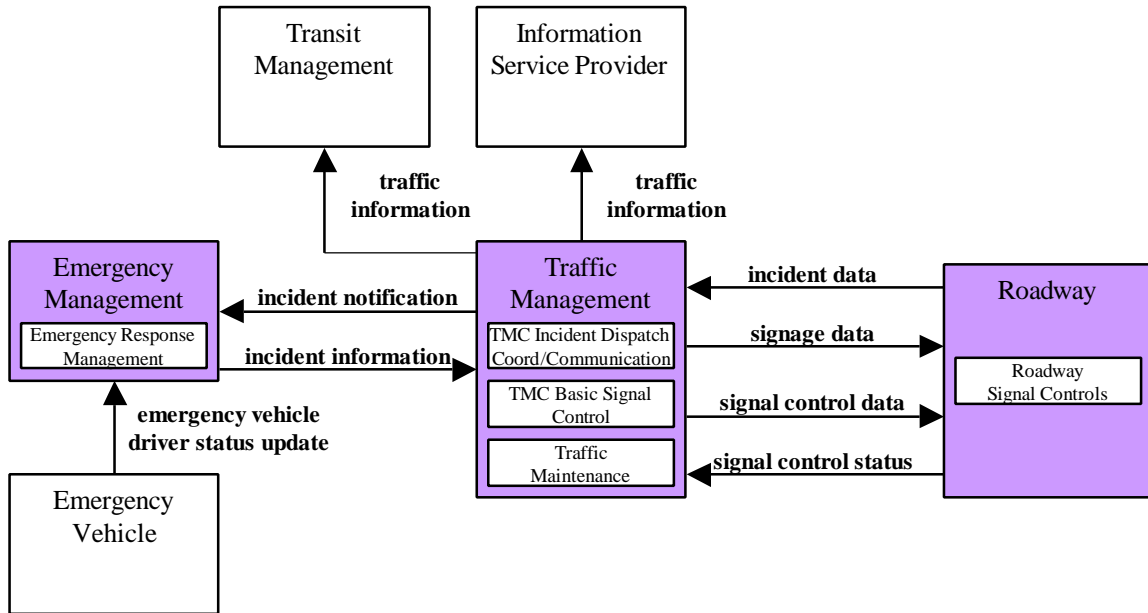
**Figure 2.5-3. Aggregation of Surface Street Control and Incident Management Systems**

interface definition.

The solution architecture should be analyzed to determine if it properly addresses the identified needs. The solution architecture may have more subsystems than are required or it may be

missing subsystems or terminators required to satisfy the needs. If there are extraneous subsystems or architecture flows, they can be dropped from the architecture. For instance, if there was only one TMC in the area and no coordination was deemed necessary in the future, the TMC Coordination architecture flow and the 'Other TM' terminator would be dropped.

If a requirement is not satisfied by the architecture, subsystems and/or architecture flows should be added. The physical architecture should be reviewed for additional subsystems or terminators and their associated architecture flows to satisfy any missing elements in the solution architecture. For example, if there were an additional requirement that a transit management property be given direct traffic information on incidents, a subsystem would be added to include a Transit Management subsystem and a 'traffic information' architecture flow from the Traffic Management Subsystem to exchange the information. Figure 2.5-4 illustrates this modification to the architecture.



**Figure 2.5-4. Modification of Aggregated Market Package Architecture**

The high-level architecture defined using the market packages and physical architecture subsystems can be further refined by examining the logical architecture elements that support these subsystems and architecture flows. The process specifications can be tailored to satisfy more closely the local needs or requirements that the solution must address. The solution architecture will be refined to a point where it satisfies the identified needs in sufficient detail that design specifications can be generated as inputs to the final design of the solution.

Useful National ITS Architecture Documents: Logical Architecture, Physical Architecture, Traceability, Theory of Operations, Communications Document, Standards Requirements Document

## 2.5.4 Funding, Procurement, and Implementation

The National ITS Architecture material is most useful in earlier steps of the system or project development process. Nevertheless, it can also provide valuable information during this final step, particularly in the area of cost estimation. The evaluation documents and the Implementation Strategy can also be used as a general resource during this final phase of project development.

### Cost Estimates

As a tool to assist in the estimation of costs for planning purposes, a series of spreadsheets that contain approximate non-recurring (initial capital investments) and recurring (operation and maintenance) costs of equipment packages was developed as part of the National ITS Architecture effort. These are provided in the Cost Analysis document. These costs are provided in 1995 U.S. dollars.

These costs should be applied cautiously and should not be used as a recipe for determining the actual costs of ITS deployments, since these costs vary substantially over time and from region to region. Consequently, current prices should be collected by anyone attempting to generate a detailed cost estimate for an ITS application. However, the spreadsheets can be useful in producing first order cost estimates for planning purposes. Moreover, they can be used to determine which factors affect the cost of a particular equipment package.

Useful National ITS Architecture Documents: Physical Architecture, Implementation Strategy, Cost Analysis
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## 2.6 Traffic Signal Control Project Application Scenarios

This section will step through three representative traffic signal control scenarios to help illustrate the guidance presented above on how the National ITS Architecture can be used to support the design and deployment of ITS applications for traffic signal control systems. The three scenarios are:

- ◆ System Upgrade (Section 2.6.1)
- ◆ Freeway-Arterial Coordination (Section 2.6.2)
- ◆ Transit Vehicle Priority (Section 2.6.3)

Each of the scenarios includes a brief presentation of each of the four general steps referenced throughout this section, but is tailored to illustrate different aspects of the previously presented guidance on applying the National ITS Architecture.

### 2.6.1 System Upgrade Scenario (Using Market Packages)

The major challenge facing managers of traffic signal control systems is that of operating, maintaining, and expanding an existing system. It is not uncommon to find older traffic signal control systems that have been in operation for more than 20 years. Maintaining these systems is

difficult and expensive because they often include equipment that is no longer being manufactured, making it difficult to acquire spare parts necessary to repair or replace failed equipment. Many older signal systems are also limited in their expansion capabilities and the functions they perform. Thus, the benefits of upgrading an older system may include lower maintenance costs, availability of spare parts, additional functionality, and the ability to easily expand the system in the future.

*This scenario illustrates the use and tailoring of market packages and their supporting cost analysis and highlights the consideration of standards.*

### **2.6.1.1 Identification of Needs or Problems**

#### **Existing System**

A City currently operates a computerized traffic signal control system. Because of the central computer equipment's age, the system is running out of expansion capability. The central computer equipment manufacturer has stated that it cannot continue to support the system in the future. The field equipment is relatively new, and has not reached the end of its useful life.

#### **Objectives**

The City has decided to add more controllers and add new field devices (CCTV cameras and variable message signs) to enhance the system's surveillance and motorist information capabilities. In addition, the City would like to migrate to a single communications infrastructure to help reduce operations and maintenance costs in the future.

### **2.6.1.2 Identification of Solutions**

The expansion of an older system is often expensive because the communication protocols and equipment are outdated and often proprietary. Thus, the manager of the traffic system is committed to a single supplier, or must develop software or equipment to translate protocols from one vendor's format to another. This potentially increases long term costs due to the lack of competition among vendors.

One alternative is to replace the entire traffic signal control system. This approach is not feasible since the City has stated that it wants to use the existing controllers in the field and the existing communications infrastructure. The existing controllers provide the required functionality and have many years of useful life remaining.

A more practical and achievable approach is to acquire and install new hardware and software in phases over a period of years. This solution is economically viable and will allow the City to show early results.

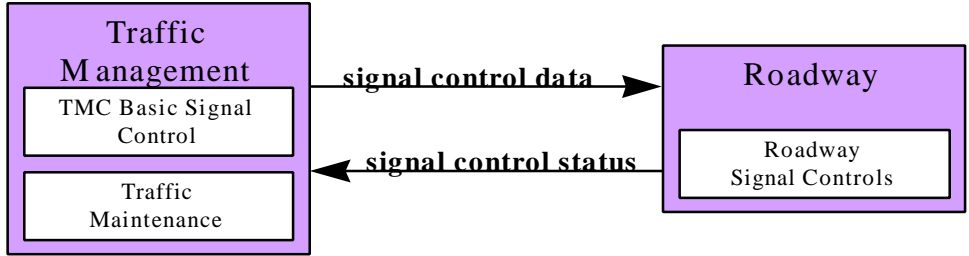
Traffic engineers from the City have attended a recent offering of the National ITS Architecture training course and have chosen to review the list of market packages for their potential application to this project. Based on a best match of their needs with the available market packages, the **Surface Street Control** (figure 2.6-1, previously shown as figure 2.4-7), **Network**



**Surveillance** (figure 2.6-2), and **Traffic Information Dissemination** (figure 2.6-3) market packages were selected for further analysis.

**Surface Street Control (ATMS3)**

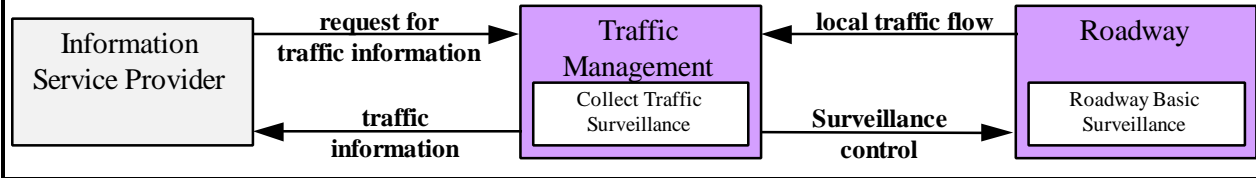
This market package provides the communication links and the signal control equipment for local surface street control and/or arterial traffic management control. An example would be arterial signalization control. This market package is considered an intra-jurisdictional package since coordination between adjacent cities is required to coordinate signal control along arterials. This package is consistent with typical urban traffic signal control systems.



**Figure 2.6-1. Surface Street Control Market Package  
(Adapted From Appendix A of the Implementation Strategy)**

**Network Surveillance (ATMS1)**

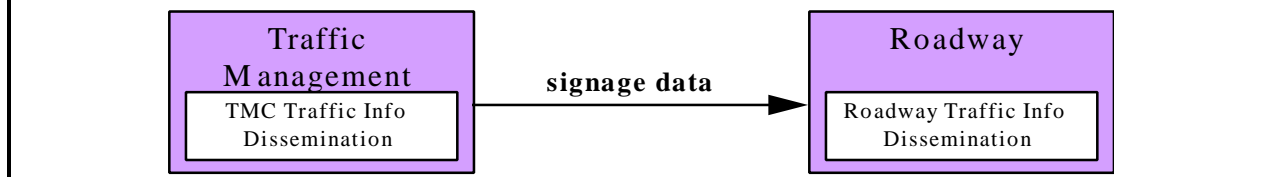
This basic market package provides the fixed roadside surveillance elements utilizing wireline communication to transmit the surveillance data. It can be loop detection connected with traffic signal control or it can be CCTVs sending back data to the traffic management centers. This enables traffic managers to monitor road conditions, identify and verify incidents, analyze and reduce the collected data, and make it available to users and private information providers.



**Figure 2.6-2. Network Surveillance Market Package  
(Adapted From Appendix A of the Implementation Strategy)**

**Traffic Information Dissemination (ATMS6)**

This market package allows traffic information to be disseminated using roadway equipment like variable message signs or highway advisory radio. The emphasis is on provision of basic traffic information or other advisories which require minimal or no in-vehicle equipment to receive the information. This package provides a tool that can be used to notify drivers of incidents; careful placement of the roadway equipment provides the information at points in the network where the drivers have recourse and can tailor their routes to account for the new information.



**Figure 2.6-3. Traffic Information Dissemination  
(Adapted From Appendix A of the Implementation Strategy)**

**2.6.1.3 Planning and Design of the Solution**

As part of the planning and design process, the City analyzed the market packages previously selected in order to determine the functions and information flows that need to be included between the traffic management center and field components. Doing so also allowed the City to determine if additional enhancements or modifications to the design were needed to meet local requirements. This involved a review of the functionality (P-specs) of the applicable equipment packages and the contents of the applicable physical architecture data flows (as shown in the market package diagrams). In addition, the secondary flows associated with these market packages were investigated on the linked HTML model on the Internet. The results of this process are discussed below.

**Market Package Tailoring Illustration**

The following tables illustrate some of the modifications made during the process of analyzing the market packages in light of the existing system configuration and future plans of the City and other transportation operating agencies within the region. The City did not find that there were many extraneous functions and information flows in the selected market packages. In fact, two processes were added to the functional requirements of the project, and a physical data flow was added to account for the desire between the City and State DOT to share the enhanced traffic information that will be provided over existing links between traffic centers. A traffic information service provider does exist in the region (fitting the role of the ISP subsystem), and will receive the same information as the State.

**Functional Requirements Modifications (Example)**

<u>Subsystem</u>	<u>Equipment Package</u>	<u>Change</u>	<u>Reason</u>
Traffic Management	TMC Basic Signal Control	ADD P-spec 1.1.5 (Exchange data with other Traffic Centers)	Create the hooks for future data sharing and regional coordination
	TMC Traffic Information Dissemination	ADD function: Provide operator interface	Allows operator to create/override VMS messages

**Information Exchange Requirements Modifications (Example)**

<u>Subsystem: From -&gt; To</u>	<u>Physical data flow</u>	<u>Change /Explanation</u>
Traffic Management -> Roadway	Signage data (MODIFY)	Use existing system protocols/message conventions
Traffic Management -> Other TM	traffic information (ADD)	Share traffic information over existing link between City and State Freeway Management Center

As part of the design of the project, the City has decided to investigate the potential availability of standards for traffic signal controllers.

**Identifying Applicable ITS Standards for Traffic Signal Controllers**

There are two families of traffic signal controller standards currently in widespread use in the United States today: National Electrical Manufacturers Association (NEMA) and Type 170. The NEMA family includes the NEMA TS-1 and TS-2 controllers and the Type 170 includes the Model 170, Model 179, and model 2070.

The Model 170 and 179 and the NEMA controllers are heavily used throughout the nation, with the Model 2070 quickly gaining acceptance. The selection of which controller standard to use is dependent on the capabilities and functions needed. More in-depth coverage of signal controller technologies and signal controller standards can be found in the *Traffic Control Systems Handbook (Referenced in Section 5)*.

### National Transportation Communications for ITS Protocol (NTCIP)

The National Transportation Communications for ITS Protocol (NTCIP), one of the standards efforts being developed in coordination with the National ITS Architecture standards efforts, can make integration easier by allowing the implementation of different manufacturers' components and systems within a common communications infrastructure, as illustrated in figure 2.6-4. More background on the NTCIP family of standards is provided in Appendix A.

Given the status of NTCIP development, the City has decided to investigate incorporating it in the specifications for new controllers for this project. A major benefit of NTCIP will be the future ability it will provide to control traffic signal controllers, variable message signs, video surveillance cameras, and traffic sensors using the same communications channel.

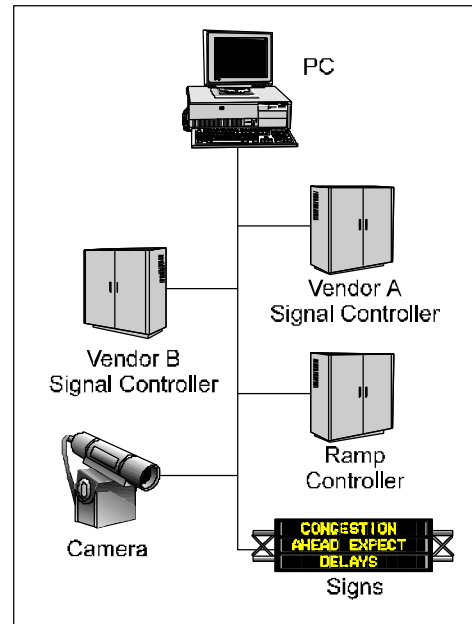


Figure 2.6-4. NTCIP Standard

### Other Considerations

The biggest barrier to upgrading an existing system will likely be the upgrade to a new communications protocol. The following points provide some guidelines, facts, and alternatives for upgrading an existing system with NTCIP.

- ◆ NTCIP and non-NTCIP devices cannot be mixed on the same communications channel.
- ◆ In closed loop traffic signal systems, a central computer can communicate with field masters using a different protocol than that used by the field master to communicate with controllers. However, with NTCIP this alternative requires that the field master support multiple protocols, and use a different communications port for NTCIP and non-NTCIP devices. A straightforward solution is to limit each field master to one protocol. Only field masters with NTCIP compatible controllers would need to be upgraded to support NTCIP. This avoids the need for field masters to simultaneously support two protocols on two separate ports.
- ◆ One approach to the introduction of NTCIP is to operate two totally separate systems—one NTCIP and one non-NTCIP—during a transition period. Field devices can be gradually switched over from one type of equipment to another as they are replaced or their software is upgraded over time. This may be the only solution if the current system is old and upgrading it to NTCIP is impractical.
- ◆ Even if a system continues to use proprietary protocols, new controllers and field masters should be specified to support both NTCIP and the proprietary protocol to allow future upgrades to NTCIP. It is expected that vendors will continue supporting both their existing

protocol and NTCIP in the same package. However, vendors will not want to support two protocols (the proprietary and the NTCIP) indefinitely, and may eventually drop the old protocol from future products. To avoid being left with unsupported and incompatible protocols, users should ensure that all future products include support for NTCIP.

- ◆ Using NTCIP may involve more data overhead than existing proprietary protocols, and it may not be possible to maintain the same polling cycle times with the same number of controllers per channel.

NTCIP encompasses several protocols, or profiles. Two profiles relevant to this scenario are presented below:

- ◆ Class B Profile - “B”asic Field Communications - Class B was the initial protocol developed and is designed for direct communications between a master or central device and multiple field devices on a single communications channel. Class B provides basic NTCIP functionality and is intended for use on low speed communications channels such as 1200 baud. The Class B profile has already been published.
- ◆ Class A Profile - “A”dvanced Field Communications - The contents of the Class A profile is the same as the Class B profile. However, the Class A provides additional flexibility so that its messages can be routed through intermediate devices, such as a field master, a communications hub, or a network. However, this extra flexibility requires an additional data overhead to the message, increasing the message’s size and delivery time. Thus, the Class A profile is intended only for high speed communications links, or if frequent real-time transmissions are not needed, such as monitoring or controlling a variable message sign. Development work on the Class A profile is currently being completed.
- ◆ It is expected that the current generation of field controllers will support the Class B profile. As controllers and the communications media of existing traffic signal control systems are upgraded, it is likely that the traffic systems will migrate to the Class A profile because of its flexibility.

#### **2.6.1.4 Funding, Procurement, and Implementation**

A staged upgrade approach has been selected and will take place in three stages.

- ◆ Stage 1: The City has decided to add new controllers and utilize the existing communications infrastructure. The long range plan is to migrate equipment and communications to NTCIP for all future ITS applications. NTCIP supports the City’s existing system configuration. Nonetheless, the City has decided to replace the system at a nominal cost relative to the cost of the entire system. The existing controller manufacturer is planning to support both the proprietary non-NTCIP communications protocol and the NTCIP in the same controller. These new controllers, running Class B communications, can be upgraded in the future. Thus, the central hardware equipment and software are upgraded to support the existing communications protocol and NTCIP.

- ◆ Stage 2: During this stage of deployment, the City will add surveillance cameras, and variable message signs, based on the NTCIP Class A protocol. Initially, the cameras and signs will be installed on communications lines separate from the existing controllers, since NTCIP cannot coexist on the same communications channel with non-NTCIP protocols. However, traffic signal controllers which support NTCIP may be added to the communication lines supporting NTCIP as necessary.
- ◆ Stage 3: In the future non-NTCIP compliant controllers will be replaced with NTCIP Class B signal controllers. Controllers will be replaced as they approach their useful life, as dictated by maintenance costs or if new functionality is desired. The City will then upgrade all of its communications software to support NTCIP.

This staged approach is shown in figure 2.6-5.

### **Cost Analysis**

The Cost Analysis document from the National ITS Architecture provides information that can help to generate an order-of-magnitude cost for this system upgrade scenario.

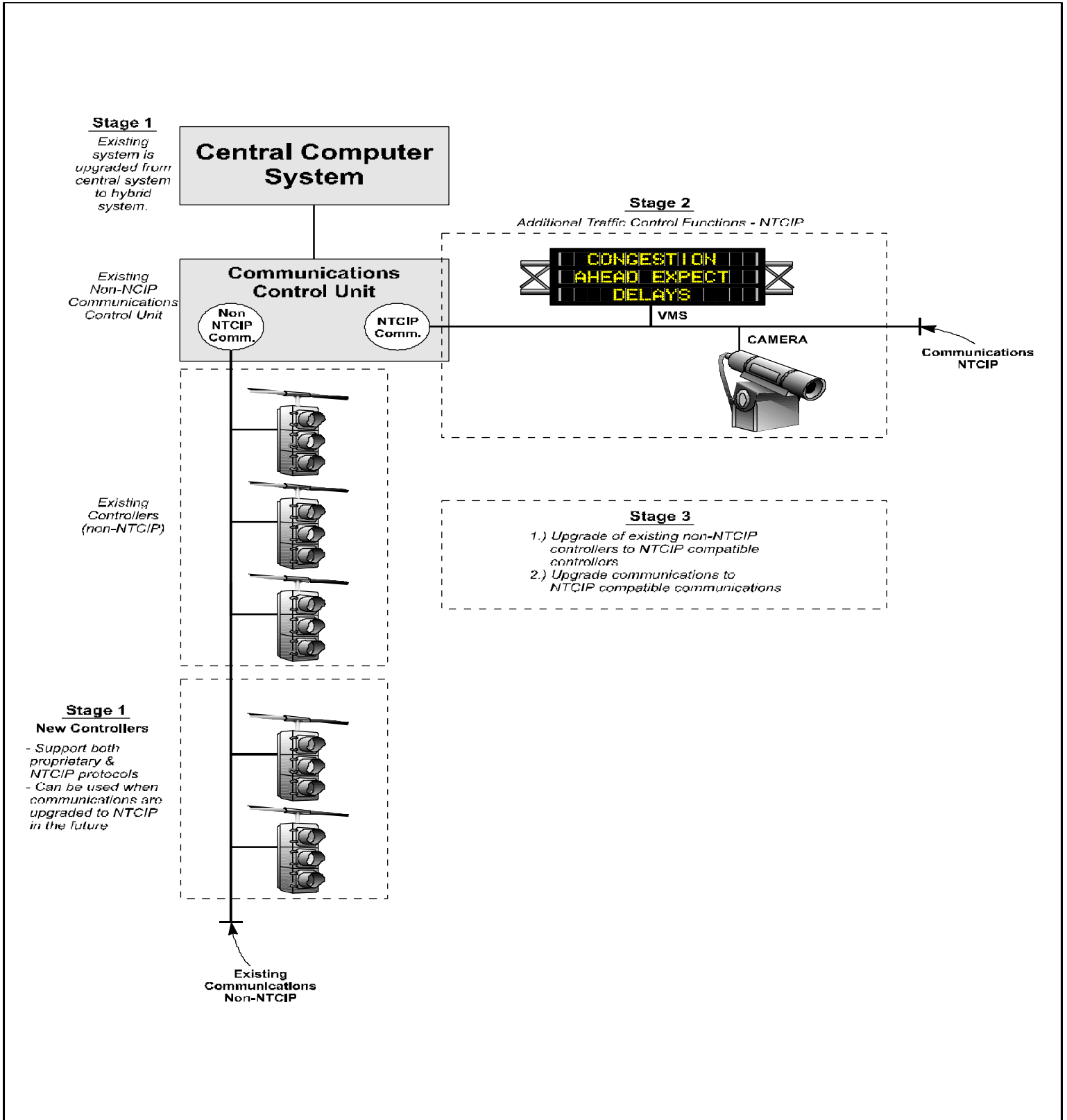
#### **Cost Assumptions**

- 50 Intersections will be upgraded.
- 10 Video Cameras will be deployed.
- 10 VMS will be deployed.
- Software is off-the-shelf.
- Communications are leased from a communications service provider.

To generate costs, one should list the equipment packages associated with each market package; then, using the Cost Analysis document worksheets, calculate order-of-magnitude costs. (All prices are in 1995 dollars. The costs shown in the tables below utilize the *high* unit price cost.) These costs are used strictly for up-front planning purposes.

Costs for the system upgrade scenario are summarized in table 2.6-1. Tables 2.6-2 through table 2.6-4 show how each market package cost was calculated and built up from individual equipment package cost. Cost information is separated into initial capital investment required and recurring operations and maintenance costs. More detailed cost estimates will be prepared at each of the program stages using actual vendor prices.

Figure 2.6-5. Traffic Signal Control System Upgrade Scenario





**Table 2.6-1. Cost for System Upgrade Scenario**

<b>System Upgrade Scenario</b>		
<b>Initial Capital Investment (By Market Package)</b>	<b>Equipment Package Roll-Up</b>	<b>Cost</b>
Surface Street Control	Basic Signal Control (Table 2.6-2)	\$ 251,000
Surface Street Control	Traffic Maintenance (Table 2.6-2)	\$ 35,000
Surface Street Control	Roadway Signal Control (Table 2.6-2)	\$ 400,000
Network Surveillance	Collect Traffic Surveillance (Table 2.6-3)	\$ 425,000
Network Surveillance	Roadway Basic Surveillance (Table 2.6-3)	\$1,200,000
Traffic Information Dissemination	TMC Traffic Information Dissemination (Table 2.6-4)	\$ 145,000
Traffic Information Dissemination	RW Traffic Information Dissemination (Table 2.6-4)	\$2,500,000
	<b>Total Capital Investment</b>	<b>\$4,956,000</b>
<b>Operations and Maintenance (By Market Package)</b>	<b>Equipment Package Roll-Up</b>	<b>Cost</b>
Surface Street Control	Basic Signal Control (Table 2.6-2)	\$ 558,000
Surface Street Control	Traffic Maintenance (Table 2.6-2)	\$ 50,000
Surface Street Control	Roadway Signal Control (Table 2.6-2)	\$ 1,000
Network Surveillance	Collect Traffic Surveillance (Table 2.6-3)	\$ 100,000
Network Surveillance	Roadway Basic Surveillance (Table 2.6-3)	\$ 56,000
Traffic Information Dissemination	TMC Traffic Information Dissemination (Table 2.6-4)	\$ 110,000
Traffic Information Dissemination	RW Traffic Information Dissemination (Table 2.6-4)	\$ 125,000
	<b>Total Operations and Maintenance Cost / Year</b>	<b>\$1,000,000</b>

**Table 2.6-2. Cost for Surface Street Control Market Package**

<b>Surface Street Control Market Package (50 Intersections)</b>		
<b>Initial Capital Investment</b>	<b>Basic Signal Control Equipment Package</b> - Software and Integration and 1 year - Hardware (3 Workstations) - TMC to Roadside Communications - DS 1 <b>Sub Total</b>	<b>Cost</b> \$ 220,000 \$ 30,000 \$ 1,000 <b>\$ 251,000</b>
<b>Operations and Maintenance</b>	<b>Basic Signal Control Equipment Package</b> - TMC to Roadside Communication - DS 1 - Operators (2 @ 50% time) - Transportation Engineer (1 @ 50% time) - Update Timing Plans - Signal Maintenance Technicians (2 @ 75,000) <b>Sub Total</b>	<b>Cost</b> \$ 8,000 \$ 100,000 \$ 50,000 \$ 250,000 \$ 150,000 <b>\$ 558,000</b>
<b>Initial Capital Investment</b>	<b>Traffic Maintenance Equipment Price</b> - Software and Database Add-on <b>Sub Total</b>	<b>Cost</b> \$ 35,000 <b>\$ 35,000</b>
<b>Operations and Maintenance</b>	<b>Traffic Maintenance Equipment Package</b> - Transportation Engineer (1 @ 50% time) <b>Sub Total</b>	<b>Cost</b> \$ 50,000 <b>\$ 50,000</b>
<b>Initial Capital Investment</b>	<b>Roadway Signal Controls</b> - Linked Signal System LAN - Local Controller Upgrades - 50 x \$7,000 <b>Sub Total</b>	<b>Cost</b> \$ 50,000 \$ 350,000 <b>\$ 400,000</b>
<b>Operations and Maintenance</b>	<b>Traffic Maintenance Equipment Package</b> - LAN Maintenance <b>Sub Total</b>	<b>Cost</b> \$ 1,000 <b>\$ 1,000</b>

**Table 2.6-3. Cost for Network Surveillance Market Package**

<b>Network Surveillance Market Package (10 Cameras, 50 Intersections)</b>		
<b>Capital Investment</b>	<b>Collect Traffic Surveillance Equipment</b>	<b>Cost</b>
	- Processor and Software	\$ 165,000
	- Integration	\$ 250,000
	- TMC to Roadside Communications - DS 3	\$ 5,000
	- Roadside to TMC Communication - DS 3	\$ 5,000
	<b>Sub Total</b>	<b>\$ 425,000</b>
<b>Operations and Maintenance</b>	<b>Collect Traffic Surveillance Equipment</b>	<b>Cost</b>
	- TMC to Roadside Communication - DS 3	\$ 50,000
	- Roadside to TMC Communication - DS 3	\$ 50,000
	<b>Sub Total</b>	<b>\$ 100,000</b>
<b>Capital Investment</b>	<b>Roadway Basic Surveillance Equipment</b>	<b>Cost</b>
	- 50 Loops @ \$8,000	\$ 400,000
	- 10 Video Cameras @ \$40,000	\$ 400,000
	- 10 Camera Poles @ \$40,000	\$ 400,000
	<b>Sub Total</b>	<b>\$ 1,200,000</b>
<b>Operations and Maintenance</b>	<b>Roadway Basic Surveillance Equipment</b>	<b>Cost</b>
	- Loop Maintenance @ 10% Capital Cost	\$ 40,000
	- Camera Equipment Maintenance @ 2% Capital	\$ 16,000
	<b>Sub Total</b>	<b>\$ 56,000</b>

**Table 2.6-4. Cost for Traffic Information Dissemination Market Package**

<b>Traffic Information Dissemination Market Package (10VMS)</b>		
<b>Capital Investment</b>	<b>TMC Traffic Information Dissemination</b>	<b>Cost</b>
	- Hardware (1 Workstation)	\$ 10,000
	- Software	\$ 24,000
	- Integration	\$ 110,000
	- Roadside to TMC Communication - DS 0	\$ 1,000
	<b>Sub Total</b>	<b>\$ 145,000</b>
<b>Operations and Maintenance</b>	<b>TMC Traffic Information Dissemination</b>	<b>Cost</b>
	- 1 Operator @ \$100,000	\$ 100,000
	- Maintenance @ 5 Capital Cost	\$ 7,000
	- Roadside to TMC Communication - DS 3	\$ 3,000
	<b>Sub Total</b>	<b>\$ 110,000</b>
<b>Capital Investment</b>	<b>Roadway Traffic Information Equipment</b>	<b>Cost</b>
	- 10 Variable Message Signs @ \$100,00	\$ 1,000,000
	- 10 VMS Support Structures @ \$150,000	\$ 1,500,000
	<b>Sub Total</b>	<b>\$ 2,500,000</b>
<b>Operations and Maintenance</b>	<b>Roadway Traffic Information Equipment</b>	<b>Cost</b>
	- Maintenance @ 5% Capital Cost	\$ 125,000
	<b>Sub Total</b>	<b>\$ 125,000</b>

## **2.6.2 Freeway-Arterial Coordination (Using User Service Requirements)**

In this scenario, the State and City traffic management agencies agreed to work together to better manage traffic congestion situations. *This scenario illustrates the use of user service requirements as an approach for guiding the development of functional requirements for a system.*

### **Background**

A major challenge to managers of traffic signal control systems is the coordination of traffic control strategies across transportation facilities operated by different agencies. Coordination between different transportation facilities includes: freeway and surface street coordination, coordination of surface street networks in adjacent jurisdictions, and coordination of surface streets and bridges and tunnels. When traffic flow in one portion of the transportation network breaks down, delays and congestion can spill over into other transportation facilities. By coordinating information and control strategies, traveler safety and travel times can be improved while reducing delays and traffic congestion by balancing the traffic loads between resources.

Freeway-Arterial coordination is effective when the demand in one transportation facility which is approaching capacity can be balanced with excess capacity available in an adjacent transportation facility. By managing and balancing the traffic demand in both networks, delays and congestion in both networks can be minimized. One issue related to freeway-arterial coordination is that of non-recurring delays and traffic on the mainline freeway. Vehicles on the freeway will tend to divert onto alternate routes to reach their destination when congestion occurs on the mainline. These routes may include parallel service roads and arterials in the vicinity of the freeway. This situation generally results in increased traffic demand on service roads and arterials, possibly increasing beyond the capacity of the existing roadway and the signal timing patterns, resulting in significant traffic congestion on the surface streets. The surface street managers, unaware of the delays on the freeways, cannot adjust the signal timing patterns in time to handle the increased volumes, and the resulting traffic congestion cannot be prevented from spreading to other roadways within their jurisdiction.

Another problem which occurs is the ramp metering rate at a freeway entrance may not be able to accommodate the traffic demand at the on-ramp, resulting in the queue on the ramp spilling back onto the surface street network. The spill-back may cause a breakdown of the traffic flow on the service road or of the signalized intersections upstream from the ramp entrance. With the latter situation, vehicles are unable to enter the on-ramp because of the upstream queue. They might block the intersection or create further spill-back on all the approaches to the signalized intersection, resulting in further congestion and delays.

### **This Scenario**

In this scenario, the City traffic engineering agency responsible for traffic management on the parallel arterials met with the State DOT to discuss how they can better respond to incident-related increased demand situations. The City operates a Traffic Management Center containing a centralized computerized traffic signal control system. Timing plans are implemented on a time-

of-day, day-of-week basis. Currently, the City's traffic signal control system operates independently of the State's Freeway Management System, i.e., it is wholly self-contained and does not communicate with any other agency transportation management system.

The State DOT and City traffic engineering agency agreed in principle to improve communications to better manage traffic during major incident situations. A task force was appointed to investigate the situation and report back to decision-makers in both agencies. The Freeway-Arterial scenario is illustrated in figure 2.6-6.

### **2.6.2.1 Identification of Problems and Needs**

The first job of the joint task force was to identify and refine all of the relevant transportation needs, objectives or problems.

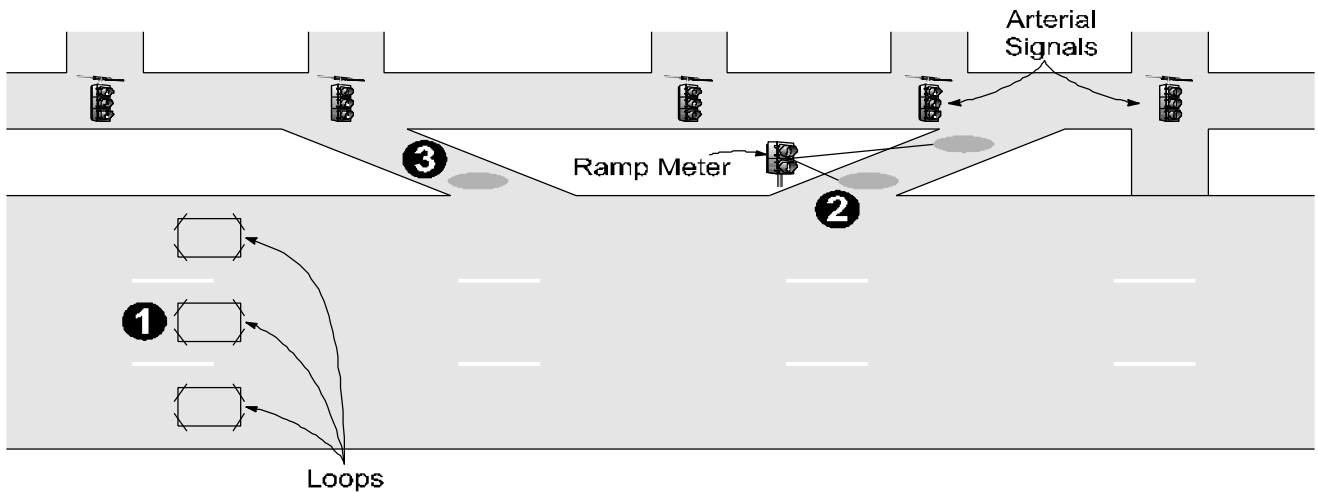
#### **Existing System**

The State DOT operates a freeway management system which includes ramp meters at the freeway entrances and detectors on the mainline. The traffic signals at the freeway exit ramps are also operated by the State. The State's freeway management system and the State's traffic signal control system do not currently communicate with each other. Additionally, the City traffic engineering agency operates the traffic signals along an arterial that runs parallel to the freeway. The City traffic signal system and the State's freeway management systems do not currently communicate with each other.

#### **Objectives**

The State and City agencies agreed to upgrade their systems to cooperate on handling of incident traffic management. The task force identified the following needs:

- ◆ The City must know as soon as possible when a freeway incident has occurred that has the potential to cause major traffic diversions from the freeway to parallel arterials.
- ◆ The City must develop incident response signal timing plans that will accommodate larger through traffic volumes on the arterial. The timing at traffic signals downstream of freeway ramp exits will be especially critical.
- ◆ Drivers need to be informed in advance of freeway entrance ramps when a major incident exists on a nearby downstream freeway link so they may select alternative routes.
- ◆ Information on current arterial conditions needs to be disseminated to the public to avoid inadvertently causing an even worse problem as a result of too much diversion to arterials.
- ◆ If sufficient capacity exists in the arterial system, traffic can be diverted from the freeway to the arterial system to improve overall traffic flow through the corridor.
- ◆ The ramp metering rate can be adjusted to allow increased flow of vehicles onto the freeway system (assuming there is sufficient available capacity), thus reducing congestion on the arterial system.



- 1** Incident on mainline freeway will result in more vehicles on the arterial. One alternative is to adjust the signal timings on the arterial to accommodate additional traffic volume.
- 2** Queues on the entrance ramps to the freeway backs-up onto surface streets. One alternative is to adjust ramp metering rate.
- 3** Queues on the exit ramp extend onto freeway. One alternative is to adjust signal timing.

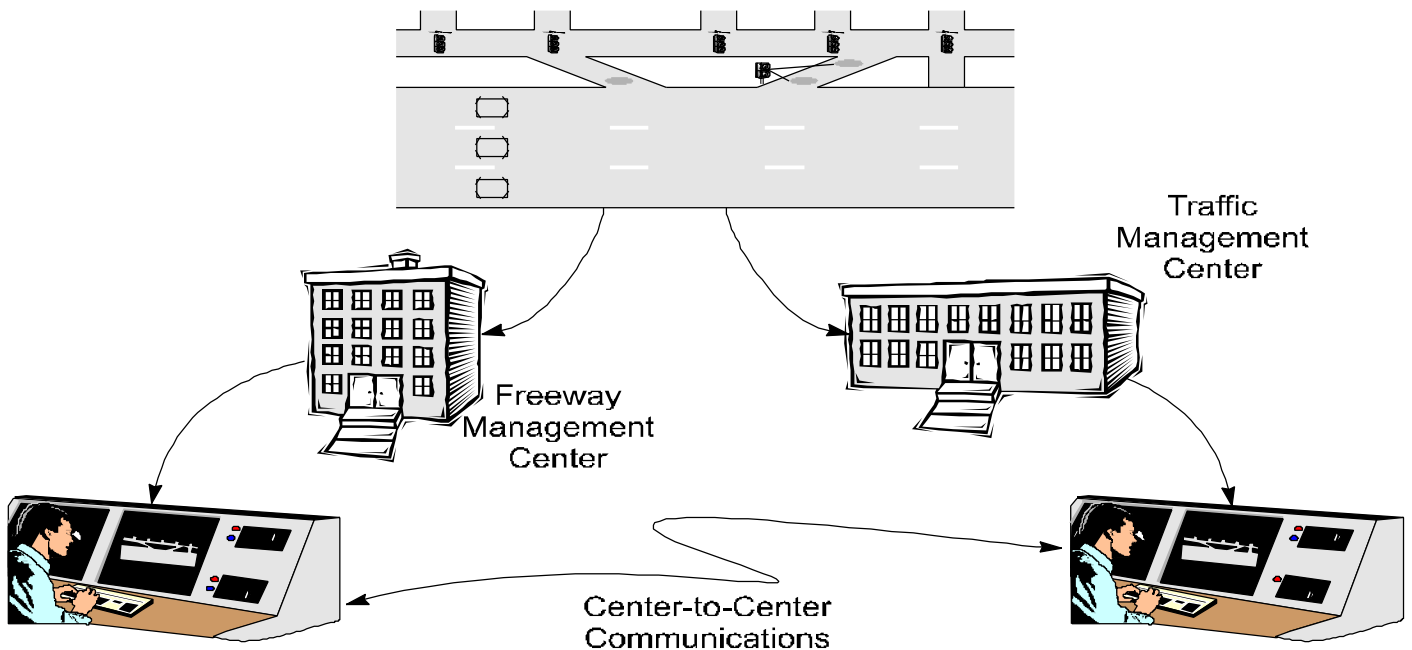


Figure 2.6-6 Freeway-Arterial Coordination Scenario

- ◆ The signal timing of the traffic signal downstream of the exit ramp and the arterial signals further downstream can be adjusted to increase the flow of vehicles onto the arterial system, thus reducing queues at the freeway exit ramp.

In addition, the State and City agencies have been approached by an Information Service Provider (ISP) who would like to disseminate real-time traffic information for the region to travelers, via local radio and television broadcasters.

### **2.6.2.2 Identification of Solutions**

Freeway-Arterial coordination is successful when the respective facility managers are aware of traffic conditions on each other's portion of the transportation network, and they coordinate a timely response according to those conditions. Coordination between the two networks will involve using the field devices (VMS, ramp meters, signal controllers, CCTV, etc.) on their respective systems to implement cooperative responses.

One alternative to integrating the freeway management system and the arterial traffic signal control system is to develop new software on both systems which would handle communications and requests for signal timing or ramp meter adjustment. A second alternative is to introduce an ancillary system which would manage communications between the State's freeway management system and the City's traffic signal control system. A third alternative is to consider placing the traffic signals at the freeway entrance and exit ramps, currently under control of the State, under the jurisdiction of the City, which would enable the City to coordinate their operations. The third alternative also requires that the City have access to the operational status of the freeway system.

The task force also agreed to investigate the **Traffic Control, Incident Management, and En-Route Driver Information** user services to determine if their underlying requirements and physical and logical architecture definition could be used to support the planning and design of the project.

### **Other Considerations**

The task force also identified several capabilities that might be included in the solution.

- ◆ Inclusion of the arterial operations center as a node on a wide area network that will allow freeway incident alarm messages to be received at the arterial operations center, and allow the arterial operators to communicate with traveler information service providers
- ◆ Dial-in capability that will allow arterial signal system operators to monitor the freeway status map and selected freeway video surveillance cameras on monitors
- ◆ Development of arterial incident response timing plans that incorporate gating (storing traffic upstream of congested locations) and reverse progression (to clear queues and help prevent intersection blockage) strategies

- ◆ Installation of variable message signs on key arterials in advance of freeway entrance ramps
- ◆ Installation of video cameras at critical locations along arterials
- ◆ Agreement on information that will be exchanged (queue lengths, travel speeds, estimated duration of delay, ramp metering rate, signal timing pattern in effect, signal splits, etc.), and how information will be exchanged (communications media, protocol, data format, etc.)
- ◆ Development of operating agreements detailing responsibilities during incident situations. This includes agreement on common control strategies for handling delays and problems as they occur, agreement in advance on what thresholds will trigger certain control strategies to be placed into effect, and agreement that control strategies should be employed judiciously such that they provide an overall benefit to the transportation network. For example, freeway managers should not encourage motorists to use the service roads or arterials if excess capacity is not available on the surface street network. Conversely, the ramp metering rate for the on-ramp should not be increased if it is determined that the impact on the mainline freeway will have a significant adverse effect.

The State and City have agreed to investigate the use of ITS standards for communications. The City has also agreed to allow the State to collect regional traffic data and provide it to an ISP in the future – this deployment will be used as a model for the rest of the State.

### **2.6.2.3 Planning and Design**

At this point, the State DOT, acting on behalf of the State and City, procured the services of a consultant to plan, design and implement the solutions identified above. The State and City agencies asked the consultant to use the selection and tailoring of user service requirements as way to guide the development of functional requirements for the project. The Travel and Transportation Management user services that apply to this scenario are Traffic Control, Incident Management, and En-Route Driver Information. A Functional Description document was prepared, along with an Operations Plan detailing the operating agreements referred to above.

#### **User Service Requirements Illustration**

User services are defined in the National ITS Architecture Traceability document. As an example, a list of requirements from Appendix A of the Traceability document that defines the “Traffic Control” user service in detail is provided below with the specific requirements selected to be applied in this design shown as bolded. Similar tables were produced for the other two user services that were investigated. Appendix B of the Traceability document was then used to select the process specifications (P-specs) that correspond to the selected user service requirements. These were used in the preparation of the Functional Description document, along with many additional locally derived requirements and operational concepts forwarded from the task force.

The physical data flows needed to implement the necessary portions of the Traffic Control user service were selected from Appendix A of the Physical Architecture document and were

incorporated into the procurement specification by the consultant. An example of this is provided below.

**TRAFFIC CONTROL (EXCERPT)**  
 Traffic Control provides the capability to efficiently manage the movement of traffic on streets and highways. Four functions are provided which are **(1) Traffic Flow Optimization**, **(2) Traffic Surveillance**, **(3) Control Function**, and **(4) Provide Information**. This will also include control of network signal systems with eventual integration of freeway control.

**1.6.1 Traffic Control shall include a Flow Optimize function to provide the capability to optimize traffic flow.**

**1.6.1.1 The Flow Optimize function shall employ control strategies that seek to maximize traffic-movement efficiency.**

**1.6.1.1.1 Traffic-movement control shall manage movement of traffic on streets.**

**1.6.1.1.2 Traffic-movement control shall manage movement of traffic on highways.**

1.6.1.1.3 Traffic-movement control shall include the goal of minimizing delay times.

1.6.1.1.4 Traffic-movement control shall include the goal of minimizing energy use.

1.6.1.1.5 Traffic-movement control shall include the goal of minimizing air quality impacts due to traffic.

.....

**1.6.1.3 Flow optimize shall be implemented in a manner that seeks to optimize traffic movement over a large geographic area.**

1.6.1.4 Flow optimize shall include a Control function that is responsive to both the current demand as well as the expected demand.

1.6.1.5 Flow Optimize shall provide the capability to predict travel patterns.

**1.6.1.6 The Control Function shall include the use of data acquired from traffic surveillance as feedback to the control strategies.**

1.6.1.7 Implementation of the Control Function shall include strategies that account for at least: Human factors and Driver/traveler behavior and expectancies.

1.6.2 Traffic Control shall include a Traffic Surveillance function.

.....

**1.6.3.1 The Device Control Function shall include a "real-time" traffic-adaptive control capability.**

**1.6.3.2 The real-time traffic-adaptive control portion of the Control Function shall be an area wide control to include several jurisdictions.**

**1.6.3.2.1 The area wide control shall be implemented in an integrated and consistent manner that avoids the issuance of conflicting controls.**

1.6.3.2.2 The area wide control shall be implemented in a manner that permits the following types of vehicles to have preference over other vehicles being controlled; Transit, HOV, Emergency Medical Service Vehicles.

.....

**1.6.3.3.1 Device Control shall include the capability to control traffic signalization, including rapid modification of signalization parameters to respond to traffic requirements.**

1.6.3.3.2 Device Control shall include the capability to control dynamically traffic signing .

**1.6.3.3.3 Device Control shall include the capability to control freeway ramp metering.**

1.6.3.3.4 Device Control shall include the capability to exercise dynamic control over the infrastructure (such as reversible-lanes, turning restrictions, etc.).

.....

**1.6.4 The Control Function shall provide traffic control information to other elements of the ITS, including but not limited to: Independent Service Provider, In-vehicle navigation, Trip planning, En-Route Driver Information, Routing systems, and Fleet management systems.**

**Physical Data Flows Required Selected from Appendix A of Physical Architecture. (Example)**



Traffic Management to Information Service Provider: traffic information messages
Traffic Management to Other Traffic Management Center: Traffic Management Center coordination messages
Traffic Management to Roadway Subsystem: signage data messages
Traffic Management to Traffic Operations Personnel: traffic operations data messages
Traffic Operations Personnel to Traffic Management: traffic control commands messages

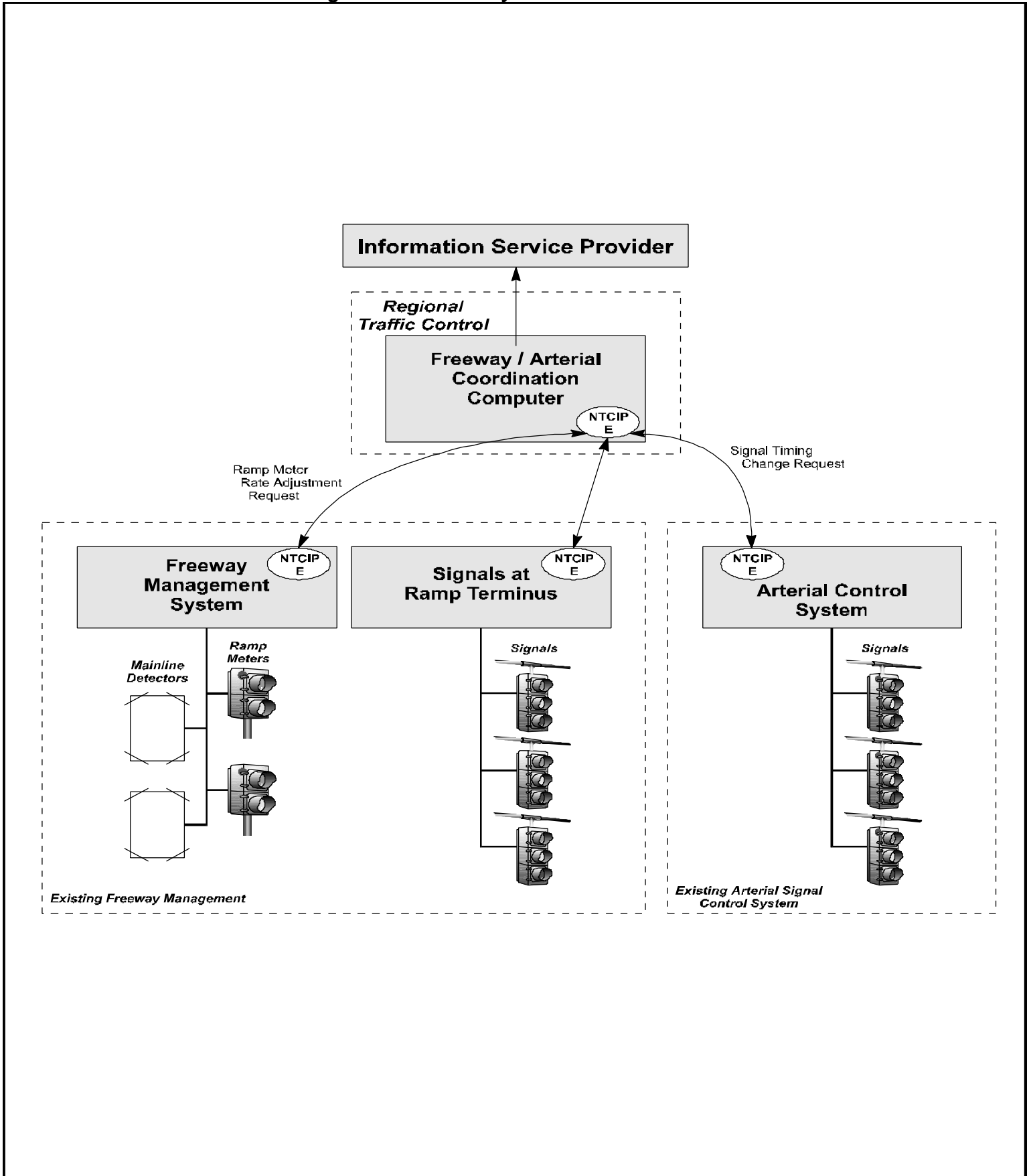
### **Applicable Standards - NTCIP Class E**

The NTCIP Class E Profile - Center-to-Center “E”xchange - is intended for data exchange between transportation management centers. The Class E profile will be compatible with Internet community standards and is designed for high-speed communications. The NTCIP Class E Profile addresses the need for a protocol that satisfies the communication requirements between transportation management centers, and includes information service providers. The primary feature of this profile is the reliable transfer of data and support for routing between network nodes in a secure environment. The Class E Profile can also be used for the reliable exchange of data between field devices and controllers that are on public data networks. (See Standard Requirements Package 6: Traffic Management Subsystem to Other Centers.)

#### **2.6.2.4 Funding, Procurement and Implementation**

In consultation with the task force, the consultant then completed preparation of the design Plans, Specifications, and Cost Estimates (PS&Es). The State and County have decided to implement a regional traffic control concept and will use the NTCIP Class E as a standard for communicating information between systems. The State will fund the development and installation of a Regional Traffic Control subsystem to act as a gateway between the Freeway Management System, the Arterial Traffic Signal Control Systems, and the ISP. The County and State will upgrade their computer systems to be compatible with the NTCIP Class E Profile. In addition, the Regional Traffic Control subsystem will integrate communications and control between the State’s freeway intersection control elements. Figure 2.6-7 depicts the integration of the two systems which will enable the solutions identified by the task force.

Figure 2.6-7 Freeway-Arterial Coordination



### **2.6.3 Transit Vehicle Priority (Using Market Packages)**

Signal priority for transit vehicles can be of the greatest benefit to buses that are behind schedule, providing a way for a bus to make up time along a route. When a bus is behind schedule, it can request priority – extension of the green phase – allowing passage through the intersection.

Transit vehicle priority provides real-time coordination between the surface street traffic management system and the transit management system. Integration of these two systems can reduce overall delay, improve the consistency of transit travel times and headways, improve traveler mobility, and increase economic productivity. The most obvious benefit, however, is to travelers on buses who will experience more consistent travel times on routes, and fewer delays at stops and transfer points. Benefit to the traffic signal control agency comes in the form of additional surveillance data, including route travel times and vehicle probe data.

*This scenario illustrates the use and tailoring of market packages and their supporting cost analysis and highlights the integration of traffic and transit agency systems.*

#### **2.6.3.1 Identification of Needs or Problems**

##### **Existing Systems**

The County Department of Transportation manages both a fleet of buses and the traffic signal control system. Separate bureaus within the County operate the buses and the traffic signal control system. Recently the county transit bureau has developed a prototype bus Automated Vehicle Location (AVL) system based on Automated Vehicle Identification (AVI) technology. The County's traffic signal control system is being upgraded incrementally to NTCIP communications.

##### **Objectives**

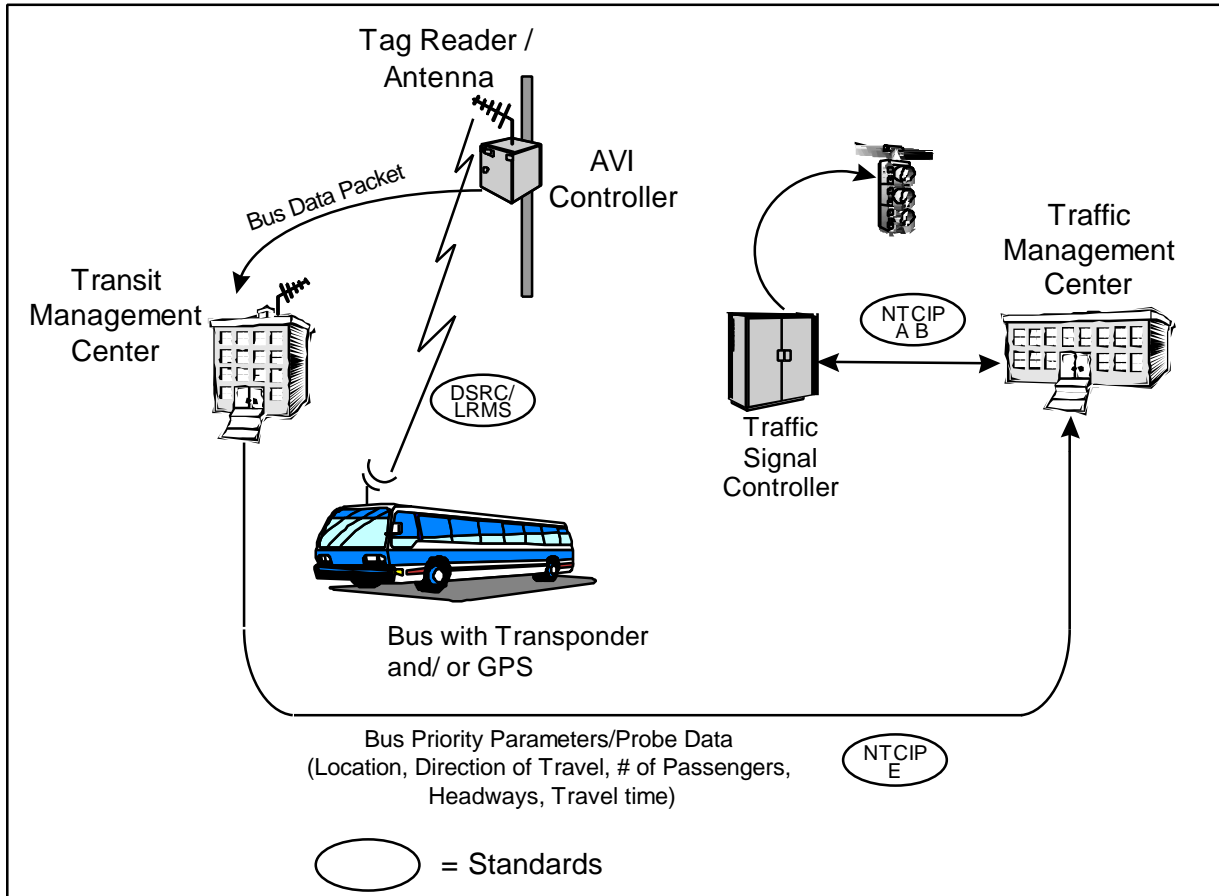
- ◆ The county transit bureau would like to implement a bus priority system. A transportation study has determined that coordinating the traffic signal control system and a transit agency bus AVL system would lead to improved efficiency of the transportation network and benefit the public.
- ◆ The traffic signal control bureau wants to investigate and potentially implement a system that uses the buses as probes to collect traffic flow information and route travel times.

#### **2.6.3.2 Identification of Solutions**

A task force was formed within the County to improve coordination between the separate bureaus and to investigate the feasibility of joint projects that would address the objectives of each. Given the objectives, the task force decided to investigate National ITS Architecture market packages as a method of identifying possible solutions while ensuring the desired level of functionality.

There are two distinct ways to handle priority systems and both of these methods are supported by the National ITS Architecture. The first approach involves real-time communications between the transit management center and the traffic management center (the center-to-center approach). As the transit vehicle is tracked by the transit system (for example, using an AVL

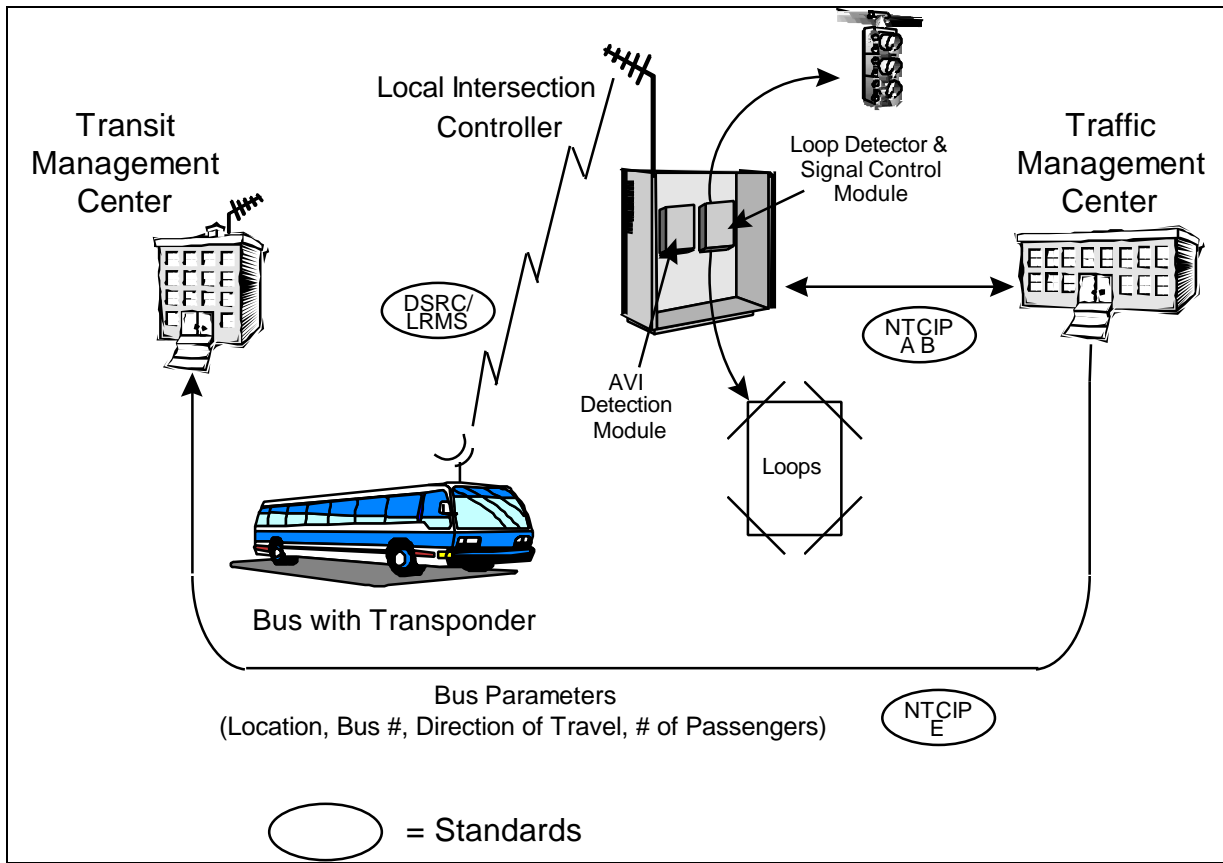
system), its location and priority parameters are sent to the traffic management center. Traffic signal control is then handled at the traffic management center which controls the signals. At the transit management center, algorithms might compare the deviation of the transit vehicle from its schedule and determine whether a signal priority request is warranted. Thresholds may be instituted to optimize priority requests. These may include: priority when a transit vehicle is behind schedule, time-of-day, or number of passengers on the bus. The signal priority request and bus parameters are then sent to the traffic management center. At the traffic management center, algorithms might determine the current status of the traffic signal controller (for example, is a green phase already available?), and calculate the potential effects on traffic flow prior to changing the signal timing pattern at the traffic signal controller. If the traffic algorithm determines that a change at the signal controller will minimally impact traffic, the proper timing changes can be sent to the controller. At the traffic signal controller, the timing changes are executed, the status of the signal priority is sent back to the transit management center, and the bus proceeds through the signalized intersection. A major advantage of this approach is that more sophisticated traffic management strategies can be implemented. This approach is shown in figure 2.6-8.



**Figure 2.6-8. Signal Priority For Transit Vehicles Scenario - Center-to-Center Approach**

A second approach involves using local communication between the transit vehicle and the intersection controller (the local coordination approach). In this approach, a transit vehicle communicates priority requests directly to the traffic signal controller, without involvement of the

traffic management center. Local coordination requires a device aboard the transit vehicle (such as a tag or transponder) which will indicate the vehicle's approach to the signal, a tag/transponder reader, and a device at the traffic signal controller (an AVI interface module) that receives the request and provides the signal priority. A major advantage of this approach is its relative simplicity, and the costs are potentially lower, since communication with the traffic management center is not necessary. A major disadvantage of this approach is that it may provide signal priority whether it is needed or not and consequently may disrupt traffic. This approach is illustrated in figure 2.6-9.



**Figure 2.6-9. Signal Priority For Transit Vehicles - Local Coordination Approach**

Based upon these identified solutions, two market packages were selected, **Multi-modal Coordination** and **Probe Surveillance**. These are discussed in more detail in section 2.6.3.3. Taken in combination, these market packages will accomplish the transit vehicle priority solution using local control and provide for future development of center-to-center coordination.

### Other Considerations

AVI systems can be enhanced through the use of the Global Positioning System (GPS). A GPS receiver in a vehicle uses a satellite constellation to determine the location of the vehicle. The

GPS receiver can provide the capability to continuously monitor the location of the vehicle. However, GPS can only tell the vehicle where it (the vehicle) is; it cannot communicate the vehicle's location to the transit management center without a communications link. Therefore, an agency considering a GPS-based solution must develop a wireless wide area communications network to support the communication of information between the vehicle and the transit management center.

When developing a transit priority system, regional standards need to be developed to ensure inter-vendor interoperability and the ability to communicate. Adoption of standards by a region can facilitate the use of transit vehicles or emergency vehicles across jurisdictional boundaries. For transit vehicle priority, regional standards will be necessary if multiple traffic agencies or multiple transit agencies exist within the region. A similar need exists for the adoption of standards by a region if a single transit agency serves multiple jurisdictions.

Finally, agreements between agencies need to be developed to address when signal priority will be granted. For example, the agreement may be that buses will only be granted priority if the vehicle is more than a certain number of minutes behind schedule. Or, the traffic signal controller will grant priority only if the traffic demand on the cross street is within a certain threshold, and only after minimum traffic signal clearance intervals are met. Judicious application of transit priority is necessary to avoid adverse impact to the transportation network.

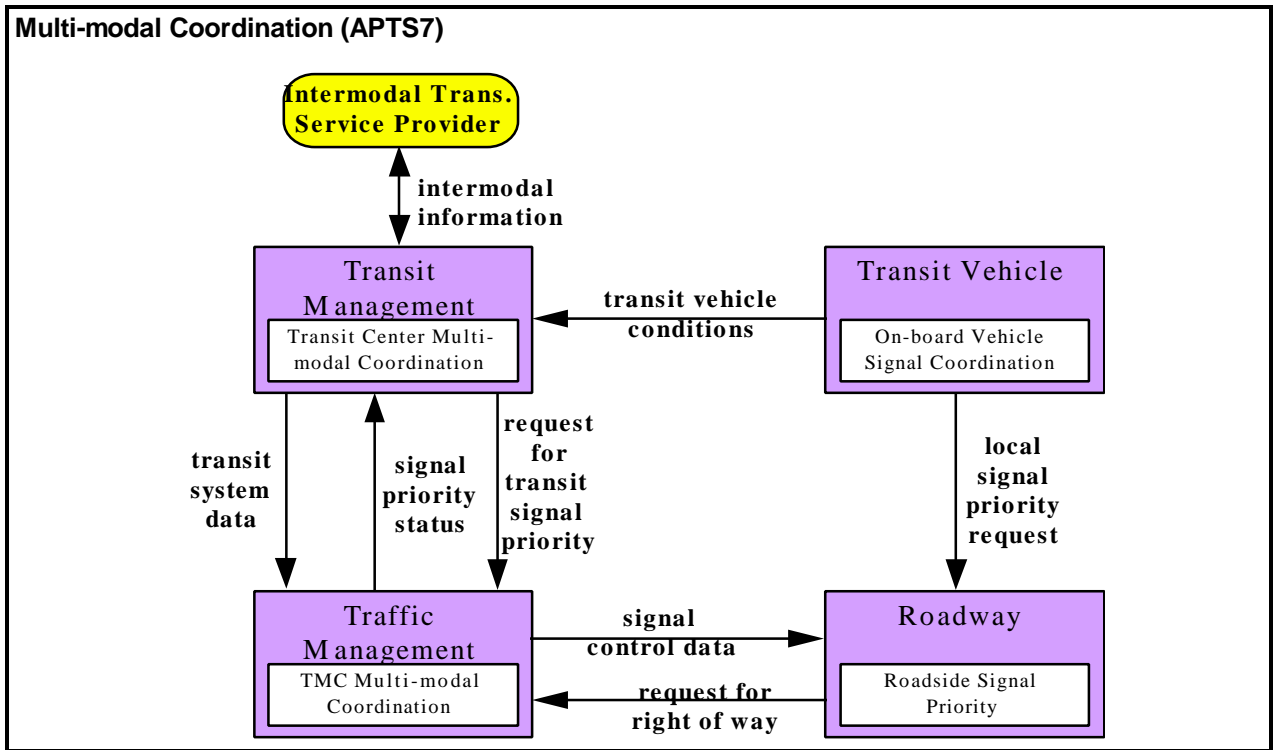
### **2.6.3.3 Planning and Design of the Solution**

After the County identified and selected the Multi-modal Coordination and Probe Surveillance market packages, they had to tailor them to eliminate unnecessary equipment packages and data flows that were not going to be implemented (as discussed below). Additionally, flows that may be needed in the future were planned for, leaving in the necessary "hooks" for later implementation.

#### **Market Package Tailoring Illustration**

##### **Multi-Modal Coordination Market Package**

The transit vehicle priority function is provided in the National ITS Architecture by the Multi-Modal Coordination market package. This market package supports communications between multiple transit agencies and traffic agencies to improve the coordination between the different modes of transportation and improve the performance of the overall transportation network. Further descriptions of this market package can be found in the National ITS Architecture *Implementation Strategy* document. Figure 2.6-10 shows the Multi-Modal Coordination Market Package.



**Figure 2.6-10. Multi-modal Coordination Market Package (From Appendix A of the Implementation Strategy)**

Based on the functional requirements of the County, the Market Package, Equipment Packages, and Data Flows were tailored as follows.

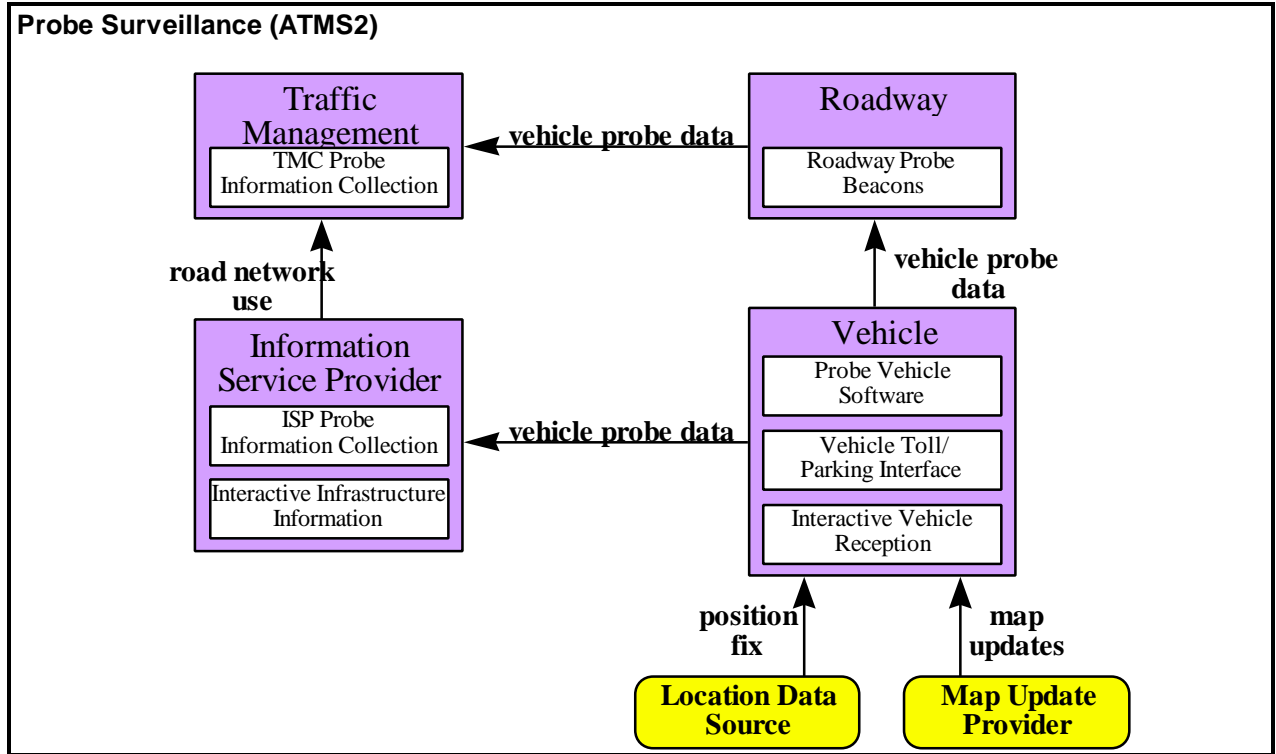
<b>TAILORING APTS7</b>		
<b><u>SUBSYSTEM</u></b>	<b><u>EQUIPMENT PACKAGE</u></b>	<b><u>IN/OUT/FUTURE</u></b>
Transit Management	Transit Center Multi-modal Coordination	FUTURE
Traffic Management	TMC Multi-modal Coordination	IN
Transit Vehicle	On-board Vehicle Signal Coordination	IN
Roadway	Roadside Signal Priority	IN
Intermodal Trans. Service Provider - Terminator	N/A	OUT

<b>TAILORING APTS7</b>		
<b><u>SUBSYSTEM: FROM -&gt;</u></b> <b><u>TO</u></b>	<b><u>PHYSICAL DATA FLOW</u></b>	<b><u>IN/OUT/FUTURE</u></b>
Transit Management -> Traffic Management	transit system data	FUTURE
	request for transit signal priority	FUTURE
Traffic Management -> Transit Management	signal priority status	FUTURE
Traffic Management -> Roadway	signal control data	IN
Roadway -> Traffic Management	request for right of way	IN
Transit Vehicle -> Roadway	local signal priority request	IN
Transit Vehicle -> Transit Management	transit vehicle conditions	FUTURE
Intermodal Trans. Service Provider <-> Transit Mgmt	intermodal information	OUT

### **Probe Surveillance Market Package**

The Probe Surveillance market package complements the Network Surveillance market package and provides the same fundamental benefits. This market package, however, does not require an extensive distributed roadside infrastructure to be deployed, as required by the network surveillance package, and may be a cost-effective alternative. This market package consists of transponders on vehicles, roadside beacons, dedicated short-range communications equipment on vehicles and along the roadways, and communication lines to a traffic center. Other vehicles with transponders may include emergency vehicles or transit vehicles. Communications media required may include dedicated short-range communications (beacon-tag), cellular-based digital, or analog cellular. Data collected from this market package include travel time, speed, and road conditions. The Probe Surveillance Market Package is shown in figure 2.6-11.





**Figure 2.6-11. Probe Surveillance Market Package  
(From Appendix A of the Implementation Strategy)**

This market package contains some equipment packages which are not going to be implemented based on current needs. However, future growth is not excluded by leaving in the “hooks” to these equipment packages. Since there is no Information Service Provider, the ISP equipment packages “ISP Probe Information Collection,” and “Interactive Infrastructure Information” are disregarded. The equipment packages in the vehicle subsystem are reserved for future use as GPS-based technology matures. Although not addressed in the figure, vehicle probe data or traffic information flows can be provided directly from Traffic Management to Transit Management.

The County tailored the Equipment Packages and physical data flows for this Transit Vehicle Priority project to look like the following:

<b>TAILORING ATMS2</b>		
<b><u>SUBSYSTEM</u></b>	<b><u>EQUIPMENT PACKAGE</u></b>	<b><u>IN/OUT/FUTURE</u></b>
Traffic Management	TMC Probe Information Collection	IN
Information Service Provider	ISP Probe Information Collection	OUT
	Interactive Infrastructure Information	OUT
Roadway	Roadway Probe Beacons	FUTURE
Vehicle	Probe Vehicle Software	FUTURE
	Vehicle Toll/Parking Interface	FUTURE
	Interactive Vehicle Reception	FUTURE
Location Data Source - Terminator	N/A	FUTURE
Map Update Provider - Terminator	N/A	OUT

Having determined the appropriate equipment packages, the physical data flows were tailored.

<b>TAILORING ATMS2</b>		
<b><u>SUBSYSTEM: FROM -&gt; TO</u></b>	<b><u>PHYSICAL DATA FLOW</u></b>	<b><u>IN/OUT/FUTURE</u></b>
Roadway -> Traffic Management	vehicle probe data	FUTURE
Information Service Provider -> Traffic Management	road network use	OUT
Vehicle -> Roadway	vehicle probe data	FUTURE
Vehicle -> Information Service Provider	vehicle probe data	OUT
Location Data Source -> Vehicle	position fix	FUTURE

Map Update Provider -> Vehicle	map updates	OUT
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## **Identify Standards**

The following ITS Standards which may impact these market packages were identified.

### **National Transportation Communications for ITS Protocol (NTCIP)**

At the traffic signal controller, NTCIP is emerging as the prevailing communications protocol between the traffic management center and the controller. Standard types of controllers that can currently support transit vehicle priority include the Model 170 controller, the NEMA controller, and the 2070 controller either through preemption inputs or plug-in modules. A number of NEMA controllers also offer several programmable control techniques to handle transit vehicle priority.

### **Transit Communications Interface Protocol (TCIP)**

Another communication standard that may be applicable is the Transit Communications Interface Profile (TCIP). TCIP standards development effort has been created to address the needs of the transit community. The primary goal of TCIP is to define the data interfaces among transit-related applications, and to facilitate the transmission of data between disparate departments, agencies, and transportation management centers. The TCIP development will augment NTCIP with transit-related information.

TCIP will define the information flows message sets and/or additional class profiles need to exchange transit information among roadside devices, transit vehicles, and transit operations centers. It is expected that the final set of specifications for TCIP will be completely compatible with NTCIP.

### **Dedicated Short Range Communications (DSRC)**

The DSRC standards define the command structures and communications requirements between roadside beacons and on-board equipment such as transponders and tags. Technologies available for DSRC include infrared (IR) and radio frequency (RF) beacons.

### **Location Reference Message Specification (LRMS)**

LRMS is an emerging standard which will allow computer systems to share geographic location information in a consistent manner. LRMS supports the communication of geographic location data in a number of formats. A few examples include: point location (e.g. longitude, latitude), point along a roadway or rail (e.g. milepost), landmark (e.g. at Exit 56), and intersection (e.g. at the corner of Main and Broad Streets). LRMS has been developed to support both communications in a wireless and non-wireless environment.

The County will keep abreast of these standards efforts during the design and implementation phases to determine their readiness and applicability to the project.

#### **2.6.3.4 Funding, Procurement and Implementation**

The County has decided to implement a local coordination approach in the short-term. This is a cost effective solution which will generate early results. However, the County has decided to implement GPS technology for the future and has determined that a mix of GPS and AVI will

facilitate using the buses as surveillance probes. In the future, when the GPS capabilities have been added, a center-to-center approach will be used to communicate bus location and priority parameters.

**Cost Analysis**

To illustrate the short term solution cost for the traffic signal control bureau, only the portion allocated to the traffic management center (versus the transit management center) and the traffic signal control system will be estimated. The *Cost Analysis* document from the National ITS Architecture provides an estimate of the costs, both capital and recurring, needed to enable the Multi-Modal Coordination and Probe Surveillance market packages. These costs are summarized in table 2.6-5. For more information on generating costs, please refer to section 2.6.1.4.

**Cost Assumptions**

- ◆ 25 Intersections
- ◆ Software is off-the-shelf.
- ◆ Communications are leased from a communications service provider.

**Table 2.6-5. Summary Cost for Transit Vehicle Priority Scenario**

<b>Transit Vehicle Priority Scenario</b>		
<b>Initial Capital Investment (By Market Package)</b>	<b>Equipment Package</b>	<b>Cost</b>
Multi-modal Coordination	- TMC Multi-modal Coordination	\$ 131,000
Multi-modal Coordination	- Roadside Signal Priority	\$ 325,000
Probe Surveillance	- TMC Probe Information Collection	\$ 180,000
	<b>Total Capital Investment</b>	<b>\$ 636,000</b>
<b>Operations and Maintenance (By Market Package)</b>	<b>Equipment Package</b>	<b>Cost</b>
Multi-modal Coordination	- TMC Multi-modal Coordination	\$ 158,000
Multi-modal Coordination	- Roadside Signal Priority	\$ 1,000
Probe Surveillance	- TMC Probe Information Collection	\$ 70,000
	<b>Total Operations &amp; Maintenance Cost / Year</b>	<b>\$ 229,000</b>

## 2.7 Summary

This section presented the key concepts of the National ITS Architecture and discussed in some detail how it can be applied to traffic signal control project development activities. A set of three traffic signal project application scenarios were presented which used realistic examples to illustrate these methods.

### **Some of the key themes of this section include:**

- ◆ The key concepts and elements of the National ITS Architecture as presented in sections 2.4.1-2.4.5 are interrelated and traceable in a variety of ways.
- ◆ The National ITS Architecture tools are intended to augment and support existing ITS project development processes, and should be applied with engineering judgment in that context.
- ◆ There are many ways to apply the National ITS Architecture to the project development process.
- ◆ The National ITS Architecture tools are most applicable in the early stages of project development.
- ◆ The National ITS Architecture can be used to provide project developers with additional options to consider for information exchanges and functionality that may not have initially been conceived at the outset of the project.
- ◆ Using the National ITS Architecture should not be viewed as an all-or-nothing requirement; rather, the material can be used as is, tailored, dropped, or added to as appropriate for the situation.
- ◆ The National ITS Architecture is available in several formats, including paper documents, Microsoft Access™ relational databases, and a linked HTML model, which provides access through a linked model.
- ◆ Several entry points or methods are also available which make accessing the applicable information more convenient.

A summary of how the National ITS Architecture can be used to support project development activities and the most relevant resource material is provided below:

### **Identification of Needs or Problems (Section 2.5.1)**

- √ The National ITS Architecture can assist agencies in identifying ITS goals and objectives that are specific to their needs.

- √ The Vision Statement can also serve to foster general ideas about the types of local needs and problem that ITS can be used to address.

Useful National ITS Architecture Documents: Mission Definition, Vision Statement

### Identification of Solutions (Section 2.5.2)

- √ Agencies can use two major approaches for identifying possible solutions that are supported by the National ITS Architecture.
  - ◆ User Services
  - ◆ Market Packages
- √ Evaluation and Implementation Strategy documents have supporting information that can be referenced.

Useful National ITS Architecture Documents: Traceability Matrix, Implementation Strategy, Performance and Benefits Study

### Planning and Design of the Solution (Section 2.5.3)

- √ The National ITS Architecture can be used as an input to defining project or system functional requirements. Potential approaches include:
  - ◆ *User service requirements* - The user service requirements associated with the proposed solution can be evaluated for their applicability to the project.
  - ◆ *Market packages* - The high-level architecture defined using the market packages can be further refined by examining the logical architecture elements that support these subsystems and architecture flows.
  - ◆ *Physical Architecture Subsystems* - Agencies can determine the relevant subsystems associated with a given project and use this as an entry point to accessing the underlying architecture definition.
- √ The physical architecture can be used to support the definition of the information exchange requirements for a given project.
- √ The Standards Requirements document contains detailed information on the requirements for 12 high-priority standards packages, which can be helpful towards the identification of standards for a given project.

Useful National ITS Architecture Documents: Logical Architecture, Physical Architecture, Traceability, Theory of Operations, Communications Document, Standards Requirements Document

**Funding, Procurement, and Implementation (Section 2.5.4)**

- √ The Cost Analysis can be used to help estimate planning-level costs for the project. These costs should be applied cautiously and should not be used as a recipe for determining the actual costs of ITS deployments.
- √ The evaluation documents and the Implementation Strategy can also be used as a general resource during this final phase of project development.

Useful National ITS Architecture Documents: Physical Architecture, Implementation Strategy, Cost Analysis



### 3. Regional ITS Planning

Just as individual highways fit into a larger regional transportation system, individual systems that support the functions of traffic signal control should fit into a larger regional transportation management context. Because the sharing of information between agencies and the coordination of operations are central characteristics of ITS, a regional approach is particularly desirable. Regional ITS planning activities and investment decisions should be carried out within the framework of the overall transportation planning process and need to be viewed in that context.

#### **Why is regional ITS planning a good idea <sup>1</sup>?**

- ◆ It provides a mechanism for bringing stakeholders together to address transportation operations and management issues of mutual concern.
- ◆ It promotes greater consideration of systems management and operations as part of a region's overall approach to meeting transportation needs.
- ◆ It facilitates decisions on which ITS services and strategies apply to local needs and transportation problems.
- ◆ It allows agencies to coordinate efforts such that future projects will be compatible, resulting in cost savings and easier integration of systems over time.
- ◆ It facilitates reaching agreements between agencies on future operational strategies and information exchanges to be pursued.
- ◆ It fosters consideration of and attention to detail which is required to ensure coordinated and cost-effective operation of ITS.
- ◆ It provides an opportunity to coordinate long term implementation of ITS and establish general deployment strategies and priorities.

The National ITS Architecture provides an excellent departure point for those engaged in a regional ITS planning process. The results of this process will set forth how individual transportation management systems operated by different agencies in different jurisdictions should work together to provide better transportation management services to the traveling public. These activities provide a framework for thinking about the needed relationships among institutions, as well as technical issues such as the information needs of each transportation management agency, the sources of that information, and how that information can best be exchanged between the different agencies.

The processes discussed below provide a way of approaching regional ITS planning in a systematic way, using material from the National ITS Architecture as a guide and departure point. Use of these or similar processes in regional ITS planning, and following the processes

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<sup>1</sup> Adapted from "Integrating Intelligent Transportation Systems within the Planning Process: An Interim Handbook", TransCore, August 1997, pages 2-8 and 5-2.

discussed in Chapter 2 to develop individual projects, allows for sensible evolution of an improved regional transportation management system that will accommodate emerging national standards and best practices.

Ideally, the planning activities discussed in this section would be carried out prior to the implementation of individual projects as discussed in section 2. Projects that are developed after regional ITS planning decisions have been made can be designed to implement a portion of the overall ITS strategy and can make use of the information exchanges already decided upon. However, regional ITS planning activities do not always occur prior to the implementation of specific projects. Projects that are implemented without the guidance of regional ITS planning can still make use of the National ITS Architecture as described in section 2.

This section is not intended to cover all aspects of the transportation planning process and the activities and products which comprise it. For further information on how ITS should be included within the planning process, refer to the Interim Handbook on Integrating Intelligent Transportation Systems within the Planning Process (TransCore, August 1997).

Regional ITS planning can be done using a two-phase approach: 1) concept planning, and 2) implementation planning. The material that follows discusses the activities that are involved in each of these steps and points out where National ITS Architecture material can be helpful. For completeness, short sections are then provided for project deployment and evaluation, which are necessary to implement and monitor the effectiveness of the initiatives decided upon in the planning process.

### **3.1 Concept Planning**

Concept planning addresses the questions of what transportation management systems and improvements are needed in the region, and how individual systems can be integrated so that individual agencies can do a better job of providing services to the public. Concept planning supports the development of a consensus for a regional transportation management strategy. A useful analogy is to think of it as a strategic plan. Strategic plan development is typically a participative process that results in a vision and strategy for the future for an organization. Similarly, regional ITS concept planning should result in a vision and strategy that reflects the needs of the various stakeholders in a region, and builds upon systems and relationships already in place.

Concept planning should consider the problems as well as the existing transportation goals and objectives of a region as determined through the transportation planning process, and use these as a basis to compile a set of relevant ITS or transportation management goals, objectives, and solutions. It may be advisable to revisit some of the assumptions in the existing plan, however, to see whether new players can be identified who have a stake in ITS, and to broaden the definition of transportation needs to account for the expanded capabilities of ITS. This periodic review and revision fits with the overall regional transportation planning process.

Typical steps involved in concept planning include:

- ◆ Stakeholder identification
- ◆ Identification of existing ITS or transportation management functions
- ◆ Identification of regional needs
- ◆ Identification of needed ITS or transportation management functions and improvements

Products of concept planning may include:

- ◆ A mission statement
- ◆ A vision statement
- ◆ Needed transportation management functions and improvements
- ◆ Assessment measures
- ◆ A strawman regional architecture

### **3.1.1 Stakeholder Identification**

The list of stakeholders will naturally include all of the traditional transportation management agencies in a region, including the state highway or transportation department, county and city operating agencies, and public transportation agencies. The Metropolitan Planning Organization (MPO) is clearly also an important stakeholder. Effective transportation management planning also includes consideration of the views of other agencies, such as emergency service providers (ambulance, fire, police) and private traveler information service providers.

Concept planning provides stakeholders with a process for identifying transportation problems as well as potential ITS or transportation management solutions to the problems. Identifying what is needed before determining how to do it is an important aspect of both planning and systems engineering. Looking at needs from the perspectives of different stakeholders is necessary to ensure that the total requirements of a regional transportation management system are considered as the system concept emerges and projects are planned and implemented.

### **3.1.2 Identification of Existing ITS or Transportation Management Functions**

This is a comprehensive inventory of existing and planned projects/systems in a region. Information sharing or integration with other systems, whether existing or planned, should be identified. Existing systems may be characterized by:

- ◆ The services provided
- ◆ The stakeholders involved and their responsibilities
- ◆ The technologies in place
- ◆ The control and communications structure within the system.
- ◆ The opportunity to include infrastructure into planned traditional transportation

improvement projects (e.g., incorporating conduit into roadway re-construction jobs)

- ◆ Information flows, including both information sources and recipients
- ◆ Operating characteristics and responsibilities

### 3.1.3 Identification of Regional Needs

Regional transportation problems and needs that can potentially be addressed through ITS or transportation management solutions should be identified in the form of concise statements, such as reduce accidents at freeway ramp entrances, or improve detection of ice on bridges. These needs should be developed in the context of the needs, goals, and objectives already developed as part of the region's transportation planning process, because these have already been agreed on by the region's transportation stakeholders.

Specific objectives and measures of effectiveness (MOEs) can also be identified at this stage for use in future performance assessment. MOEs may be either qualitative or quantitative. Each objective identified through the concept planning process should have at least one MOE associated with it. The relative weights to be put on the MOEs by the various stakeholders may be quite different. The explicit assessment of these weights can form the basis for consensus building among the stakeholders to develop common goals and cooperative programs.

### 3.1.4 Identification of Needed ITS Functions and Improvements

Once needs have been determined, solutions can be identified. These solutions, or services, should be detailed enough to be useful in defining projects, identifying their interdependencies, and in guiding regional ITS architecture development. To facilitate the latter, the information sharing possibilities associated with each service should be identified. As defined in Section 2.5, ITS user services and market packages are useful categorizations that help identify transportation management solutions.

### 3.1.5 Concept Planning Products

As a method for documenting the outcome of the various steps discussed above, possible products from a concept planning effort include: a mission statement, vision statement, a regional ITS improvement plan, and a strawman architecture. As steps in regional ITS planning, these products begin to document the big picture of the future to guide future ITS project plans and implementations.

A *mission statement* is a concise, unambiguous statement of the primary goal or goals of the regional system. It should be brief, only a few paragraphs in length.

Useful National ITS Architecture Document: Mission Definition
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A *vision statement* contains narrative text providing a non-technical description of the system concept from the viewpoint of various key user groups. It describes what the system will be like in

the future, ranging anywhere from a 5- to 20-year period. It may highlight specific areas, such as information and communications; public transit; commercial vehicles; cooperation and coordination of systems; demand management; freeway management; incident management; and emergency services. A vision statement should use layman's language understandable to all stakeholders and may include magazine-style vignettes to convey descriptions of future scenarios for the general public.

Useful National ITS Architecture Document: Vision

A *regional ITS improvement plan* can be in the form of tables that depict the region's transportation management goals, objectives and assessment measures; existing ITS functions or services that address these goals and objectives; new services or improvements to be provided; and the information sharing characteristics of each.

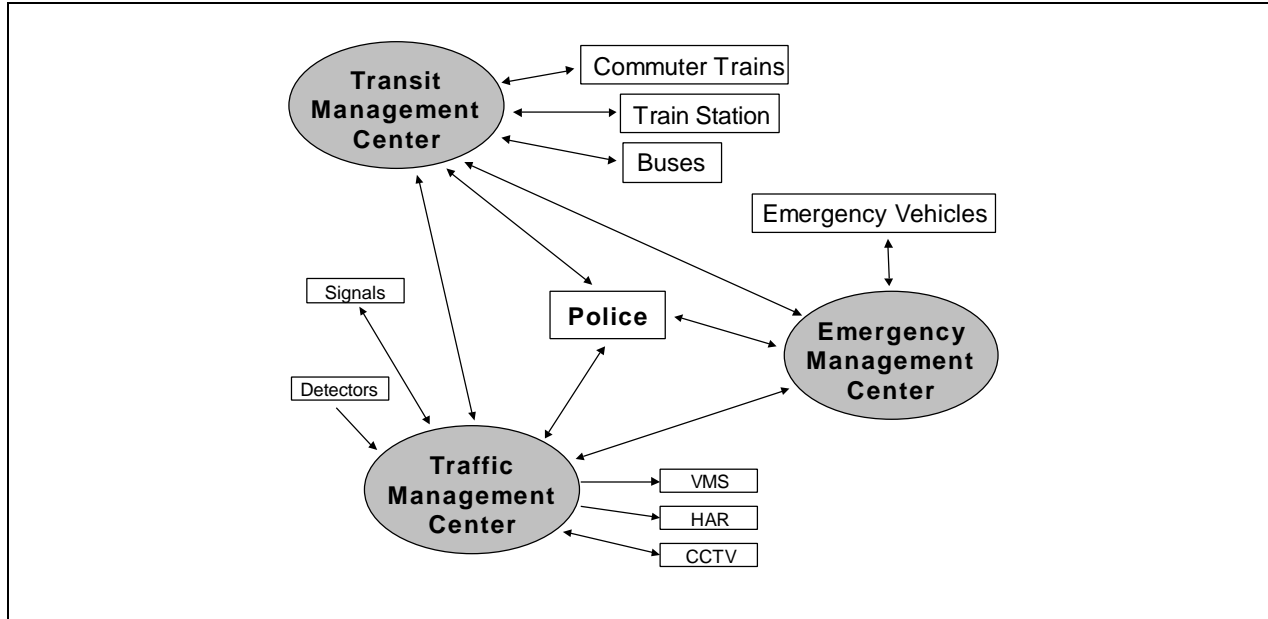
Useful National ITS Architecture Documents: Mission Definition, Implementation Strategy, Traceability

A *strawman architecture* is a concept that helps to spur communication among those involved in the development of the regional transportation management system. It provides a starting point for discussions, development, and definition. This can take many forms, but typically represents an informal, immature view of the final implementation. It is based on experience and expertise gained from earlier system implementations, as well as current and future system requirements determined through the concept planning process.

A strawman architecture may illustrate:

- ◆ Transportation agencies and service providers involved with ITS deployment
- ◆ Applicable communications (center-to-center, center-to-roadside, center-to-vehicle, and vehicle-to-roadside) required to facilitate effective ITS
- ◆ Field ITS devices, both existing and planned

Figure 3.1-1 shows an example of a portion of a strawman regional architecture.



**Figure 3.1-1. Example Strawman Regional Architecture**

Useful National ITS Architecture Documents: Physical Architecture, Implementation Strategy

## 3.2 Implementation Planning

Implementation planning addresses the questions of how the stakeholder organizations in a region can organize to implement the results of the concept planning process. Just as strategic plans typically spawn an action plan, so should a regional ITS concept planning process lead to regional ITS implementation planning.

The steps involved in a typical implementation planning process may include:

- ◆ Stakeholder identification
- ◆ Development of a regional ITS architecture
- ◆ Identification of operational requirements
- ◆ Linking regional implementation plans with the region's transportation plan
- ◆ Time phasing of projects
- ◆ Developing regional technology agreements

The results of implementation planning will provide a roadmap for how to deploy an integrated, multi-modal transportation management system for a region. By identifying needed interfaces among systems in a region, agencies and service providers can incorporate them into their system requirements to accommodate integration with future ITS applications and systems. This prevents time-consuming and costly retrofits that might otherwise occur.

### **3.2.1 Stakeholder Identification**

The development of an implementation plan should be supported by the same stakeholder organizations involved in concept planning. However, the representatives of these organizations that should participate in this stage will typically be individuals knowledgeable about the operations of the different transportation systems in the region. A structure that involves a steering committee, consisting of senior representatives from stakeholder organizations, and a technical committee, consisting of experienced operations personnel from these organizations, will serve the implementation planning process well.

Active participation during this stage is critical. Support will be needed for inclusion of ITS projects in the region's capital plan and, most importantly, to achieve buy-in to the operational concepts being formulated.

### **3.2.2 Development of a Regional Architecture**

A regional architecture is a framework that provides a top-down approach for defining a regional transportation management system. A regional architecture will foster a logical and organized approach to regional ITS implementation and operation.

Regional ITS architecture development should build from the results of concept planning. The architecture should meld existing systems and services with new systems, services and improvements identified during concept planning. The regional architecture should:

- ◆ Identify the different transportation management systems in a region and how they will interact
- ◆ Allow multiple agencies, service providers, and users to communicate
- ◆ Show the responsibilities of the different organizations and service providers involved in the system
- ◆ Identify communications and data flows among participants
- ◆ Support development of open systems (i.e., systems with interfaces that use standard or known communications protocols)
- ◆ Incorporate the use of existing or planned systems
- ◆ Enable synergy among the different systems
- ◆ Allow for accommodation of new technologies in the future
- ◆ Provide a framework for multiple design choices
- ◆ Minimize ambiguity of system design
- ◆ Provide structure for future planning and growth
- ◆ Facilitate future system compatibility and interoperability

The architecture should identify all important physical transportation subsystems (by stakeholder/agency) and external system interfaces and should show information flows between them. A

functional description of each of the subsystems should also be developed. The architecture representation(s) should reflect both the existing and the proposed future ITS situation.

Using the logical and physical architecture concepts discussed in section 2 and in the National ITS Architecture documents will assist agencies in the process of developing a regional architecture. Figure 3.2-1 shows how the physical architecture diagram from the National ITS Architecture can be used as the starting point for a depiction of a regional physical architecture.

The process of implementation planning will require that more detail on the interface requirements for each of the participating agencies be specified. Figure 3.2-2 shows an example of how the overall interface requirements vary among the four traffic management systems in a hypothetical region called Anytown. The architecture flows that are allocated are associated with the Network Surveillance, Regional Traffic Control, and Traffic Information Dissemination Market Packages. As can be seen, no two agencies have precisely the same set of allocated architecture flow requirements since each agency has individual needs and resources for ITS applications. Developing this level of detail will enable each participating agency to view how they fit into the overall transportation management picture in the region.

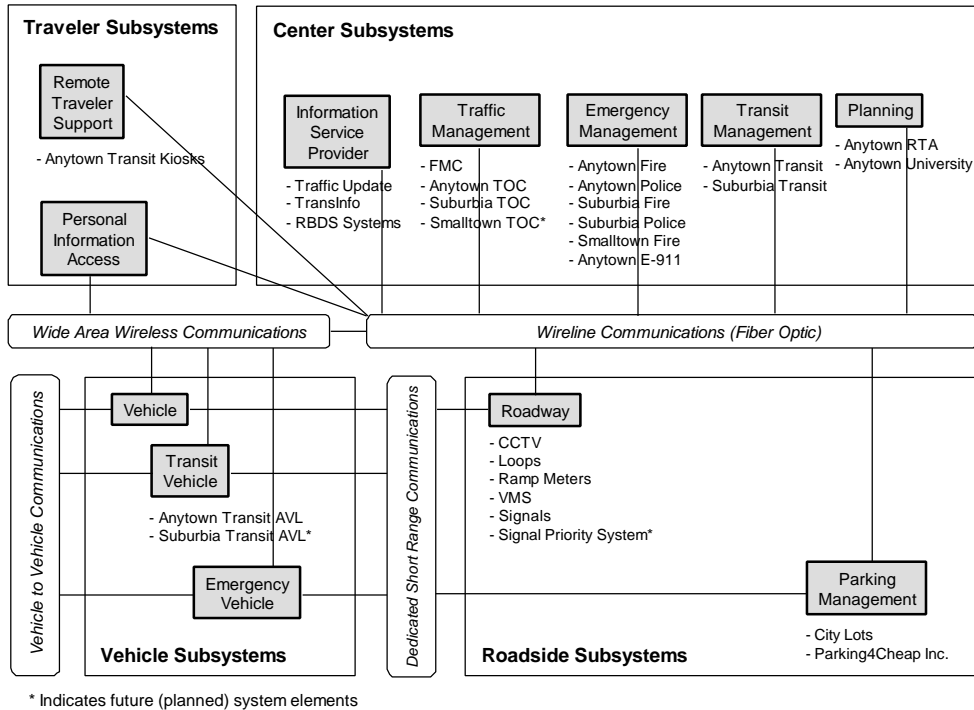
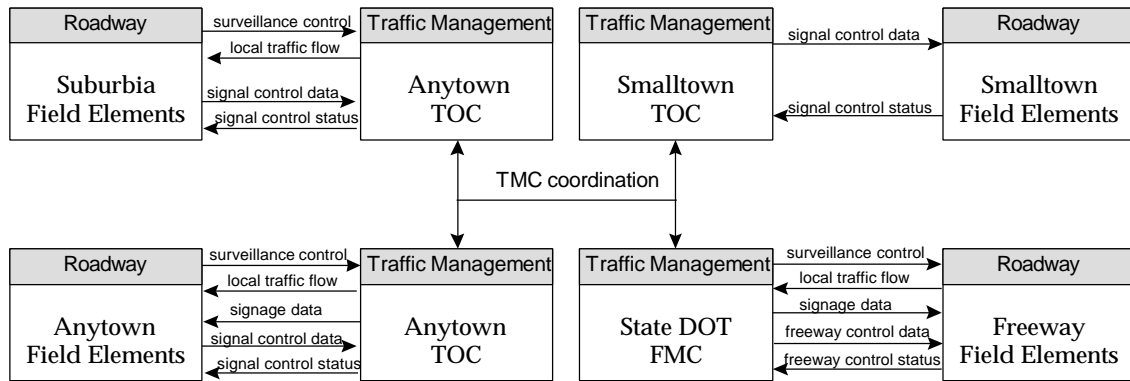


Figure 3.2-1. Example Regional Physical Architecture





**Figure 3.2-2. Regional Traffic Control Architecture Flows Applied in the Anytown Region**

There are several ways to define the regional architecture at the appropriate level of detail by using the National ITS Architecture information as a starting point. One potential method is illustrated below:

## Using the National ITS Architecture to Guide Regional Architecture Development

1. Determine the general subsystems from the National ITS Architecture which roughly correspond to regional stakeholders or service providers and populate with actual agency names. More than one agency may be identified for each subsystem at this point. Figure 3.2-1 provides an example of this initial step. (Step 4 handles the case where stakeholders or systems don't map to - or are not addressed by - the National ITS Architecture)
2. Create a top-level physical architecture based on the identification of major information flows (architecture flows from the National ITS Architecture) between stakeholders that are consistent with the existing systems and the regional ITS improvement plan. This can be accomplished in several ways, depending on the extent of existing ITS services and information sharing and the level of detail and organizational approach of the regional ITS improvement plan. Two potential ways to do this are:
  - (a) Look at the relevant interfaces contained in the physical architecture to determine and document the architecture flows which roughly correspond to the regional ITS improvement plan. Combine these into a single representation.
  - (b) Determine which market packages most closely represent the existing ITS situation and the regional ITS improvement plan. Use the market package diagrams to identify and document the most relevant subsystems, architecture flows, and important external interfaces. Combine and consolidate these diagrams into a single view.
3. Reevaluate the physical architecture carried over from the previous step . Delete or modify the portions of the National ITS Architecture (information flows, subsystems, or external interfaces, or functions) which upon further review don't apply to the region or are not consistent with the regional ITS improvement plan.
4. Incorporate any auxiliary specific local requirements or issues ( information flows, subsystems, external interfaces, or functions) which are not addressed by the National ITS Architecture that exist or are a part of the regional ITS improvement plan.
5. Add detail or create diagrams that show the interactions and information exchanges of specific agencies within the region, in accordance with the operations requirements or concept of operations (roles and responsibilities) decided upon. (See 3.2.3 for more discussion of operations requirements.) Figure 3.2-2 provides an example of this step.
6. Document the major functions carried out in each subsystem.

Useful National ITS Architecture Documents: Logical Architecture, Volumes 1 and 3, Physical Architecture, Implementation Strategy, Cost Analysis

### **3.2.3 Operations Requirements**

A critical part of implementation planning is the identification of operational requirements of the planned systems prior to implementation. Development of operational requirements requires forward thinking by agencies and service providers. Issues to be addressed may include: the roles and responsibilities of the different organizations, development of a concept of operations, identification of funding requirements, interactions during incidents or special events, and other operations and maintenance (O&M) considerations. This includes establishing requirements or agreements on information sharing and traffic device control responsibilities and authority (e.g., deciding if back-up control capability is desired given a loss of power or failure condition). These decisions will be factored into the regional architecture and will also flow-down through ITS deployment projects as they are phased in.

Because many ITS services and strategies involve communication and coordination, this step of planning for operations cannot be overlooked. In the case of ITS, much more is involved than just thinking about how an individual project is to be operated and maintained (by a single agency) after it is constructed. The importance of this planning is that a shared operational concept will be established that will facilitate the future working relationships between agencies and service providers.

The concept of regional transportation management can significantly impact the O&M activities of agencies and traveler information service providers. In some cases, it may increase operations and maintenance costs with the introduction of additional equipment and new technology. Increased costs may arise from the need for additional staff (or staff training) to operate the systems and additional (and potentially more expensive) maintenance for these new systems. The increased investment in operations and maintenance should eventually result in lower user costs due to improved system efficiency.

Identification of O&M requirements is crucial to the success of a project. The development of O&M requirements should involve those most knowledgeable about these issues, namely the personnel responsible for day-to-day operations and maintenance activities in the different agencies.

The Theory of Operations document can be used to illustrate the sharing of information between subsystems which is relevant in determining the working relationships needed between different agencies in order to implement the planned ITS improvements. This type of information can be invaluable in developing an overall concept of operations.

Useful National ITS Architecture Document: Theory of Operations
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### **3.2.4 Linkage to the Transportation Plan**

Implementation planning describes how a regional transportation management system will evolve. Vital to this characterization is how to package this gradual evolution in terms of projects and funding. The transportation planning process addresses the relative priority of investments in

various transportation improvements, and it is imperative that relevant information from implementation planning be considered as part that process. Potential opportunities for leveraging resources, such as adding ITS surveillance and communications infrastructure to facility reconstruction or capacity expansion projects already planned, should also be explored.

It is important that reasonable estimates of the benefits and costs of specific ITS or transportation management improvements be provided so that these improvements can be considered fairly as part of the transportation planning process. The National ITS Architecture development effort produced information that can assist that process.

#### **3.2.4.1 Benefits**

The National ITS Architecture also contains material that identifies the likely benefits of integrating market packages and the context where these benefits may accrue. Tables showing the likely benefits and context where benefits may accrue for each market package are provided in the Performance and Benefits Study and the Implementation Strategy. Additional resources for ITS benefits information are listed in the References section.

Useful National ITS Architecture Documents: Performance Benefits Study, Implementation Strategy

#### **3.2.4.2 Costs**

As a tool to assist in the estimation of costs, the National ITS Architecture documentation contains a series of spreadsheets. Although these should not be used for actual project cost estimation purposes, they are useful to help agencies estimate ballpark costs for planning purposes. Examples of how these spreadsheets can be used to estimate costs of market packages were provided in section 2.6.

Useful National ITS Architecture Document: Cost Analysis

#### Financial Opportunities and Constraints

Linkage with the capital plan will also require analysis of revenue sources and benefit streams associated with the regional system implementation. This step is where the potential role for public/private partnerships can be considered and weighed.

The physical architecture identifies the interconnections among different transportation subsystems and can assist agencies in determining common components of systems. This may point out opportunities for sharing resources. Common examples include a communications infrastructure, surveillance devices, and traveler information systems. An individual agency may be able to reduce costs by sharing these components while minimizing capital and operating costs.

Useful National ITS Architecture Document: Implementation Strategy

### 3.2.5 Time Phasing

Because it is unlikely that an entire regional transportation management system will be deployed under a single project, implementation planning should also address prioritization and time phasing of projects. This can be based on a number of criteria such as political issues, cost, amount of impact, and user visibility. The first components that should be implemented are generally those that:

- ◆ Fulfill common functions such as surveillance and communications
- ◆ Have the potential to provide early visible benefits to the user such as reliable traveler information

Projects need to be defined in sufficient detail so that benefits and costs can be reasonably estimated. Other elements of the candidate project definition include identification of funding sources, both for capital and recurring operations and maintenance costs, and identification of potential implementation impediments.

### 3.2.6 Regional Technology Agreements

A review and assessment of existing and emerging technologies should also be conducted to allow agencies to make good choices among the different technology or deployment options. For example, regional choices on technologies or standards may be required for the telecommunications infrastructure, electronic toll tags, signal controllers and interfaces, electronic fare media, and specialized mobile radio systems.

Standards should be identified to provide for interoperability of systems and interchangeability of components. Identification of standards should consider the current status of ITS standards development activities, and determine how and when these can best be incorporated into the designs of the regional system and individual projects. Establishing regional agreements prior to the issuance of national standards allows for compatibility of systems to be realized sooner at the local level. After national standards are completed for various interfaces, the regional stakeholders are likely to want to eventually transition to them (although not all interfaces will be the subject of a national standards activity and regional standardization may be sufficient in some cases). The benefits of using national standards include:

- ◆ Compatible and interoperable ITS deployments
- ◆ Lower deployment risks, thus stimulating public and private interest in ITS
- ◆ Reduced product costs by providing an incentive for multiple suppliers
- ◆ Widened markets for suppliers

Standards development is an ongoing process. As agencies and vendors become educated in the implementation of standards, the risk and cost associated with system integration should be reduced.

It is sometimes difficult to identify which standards exist and are relevant. The following four-step process is recommended for choosing the appropriate standards:

1. Develop the regional architecture. Major interfaces and the interface requirements will be defined as part of this step.
2. Review publicly available information on ITS standards to determine the status of standards work that is of interest. (See section 5 for more details on where to find this information).
3. Talk to the organizations involved in relevant standards work, such as AASHTO, the Institute of Transportation Engineers, ITS America, and other standards developing organizations.
4. Select the standards that specify each of the major interfaces of interest.

Regional technology agreements may also specify design options to be followed. Tables provided in section 4.5 of the National ITS Architecture Implementation Strategy outline some of the major design options for each of the market packages.

Useful National ITS Architecture Document: Implementation Strategy

### **3.3 Project Deployment**

Regional concept and implementation planning leads to project deployments that fit within a regional transportation management context. Material in the National ITS Architecture documents also provides agencies with insight on deployment issues, as discussed previously in section 2.

Project deployment includes detailed design development, procurement, and implementation. Deployment may also be linked with other capital improvements, such as including conduit for communication links in roadway re-construction projects. Some helpful project deployment hints are provided in section 4 of this document.

### **3.4 Evaluation**

Evaluation involves measuring and documenting the quantitative and qualitative impacts and benefits that are derived from the proposed implementations. An ongoing evaluation process should be developed that allows for assessment of progress against the measures of effectiveness developed in the concept planning stage.

It can be very difficult to measure quantitative benefits of many ITS services and improvements because of the uncertain nature of travel demand on any given day at any given time. Consequently, qualitative and anecdotal measures can be very useful in illustrating the benefits of many ITS services, especially to agency decision-makers and political representatives.

Useful National ITS Architecture Documents: Performance and Benefits Study, Evaluation Results



## 4. Lessons Learned / Best Practices

This section provides some advice from experience on how to best develop and implement advanced traffic signal control projects from agencies that have developed and implemented ITS projects, or are currently developing or implementing ITS projects. Information contained in this section was derived from phone interviews, focus group sessions, site visits with agencies, and from the experiences of several consultant organizations. The lessons learned and best practices in this section are not intended to be guidance or direction from DOT, but are provided as helpful information.

### 4.1 Teamwork and Coordination

Teamwork and coordination, involving all stakeholders, plus selecting and empowering the right kind of program manager and staff, may very well be your key to success.

*Teamwork & Coordination may be your Key to Program Success*

#### 4.1.1 Regional Coordination

In order to be most effective, advanced traffic signal control systems must be cooperatively defined and operated in a coordinated manner with other transportation operating agencies in the same and neighboring jurisdictions, with transit operating authorities, with emergency services providers, and with other entities whose operations are impacted by the operation of the traffic management system. This will call for use of the team approach, involving as many of the stakeholders as possible, in the development of the program and individual projects, and a building of trust and working relationships throughout the process, all of which must be carried forward into the actual operation of the system if full benefits to the public are to be realized.

#### Some key lessons and best practices:

- ◆ Include all stakeholders in regional planning and project development phases of ITS programs.
- ◆ Involving a regional planning organization with a decision making body and technical support committees is a key to success of regional coordination.
- ◆ Direct focus at current and potential ITS projects rather than at broad ITS themes.
- ◆ Involve police and other public safety agencies early in the planning/development process.
- ◆ Visit traffic operations centers in other regions to learn about the benefits of ITS projects. Use the information gathered to get buy-in from agency decision makers and other stakeholders. Even better, get the decision makers to make the visits and see the benefits for themselves.



- ◆ Address the region's needs in ITS projects , rather than just deploying technology for technology's sake.
- ◆ Perform public outreach. Emphasize the cost related benefits of ITS projects to justify ITS to the public.

- ◆ Share the cost of ITS project staff, facilities, and equipment with other ITS stakeholders in your region. The term for this is “Resource Sharing”.
- ◆ Consider the time required to get a Memorandum of Understanding (MOU) developed and signed by all major stakeholders. Legal issues take a considerable amount of time to resolve.

It is important to appreciate the fact that ITS deployment programs differ in many respects from the traditional highway and street projects which state and local DOT's have for many years developed, constructed, and maintained. It follows that the *process* through which ITS programs are developed must also differ from that which has been used in the past.

*An open development process, involving all stakeholders, featuring the team approach and leading to the building of consensus, trust, and good working relationships, is essential.*

This building of consensus, of trust, and of working relationships will all take special effort on the part of those developing the program; it will consume more staff time and will significantly lengthen project development time. However, it is essential for success. As noted in sections 1 and 2, use of the National ITS Architecture tools can help to offset the additional time by savings in staff time and project development time.

#### **4.1.2 The Program Development Team**

It is important that support for ITS traffic management programs be built and maintained as the development process moves along. This support will be vital as various approvals are sought including approval to include the program as a part of the Regional and State Transportation Improvement Plan, approvals for funding, and approvals of individual projects. That support will also be vital as the program moves forward into procurement, through system integration and into actual operation, for highly successful operation will only be achieved through a spirit of cooperation and accommodation, through the coordination of activities of the many operating entities. And the best way to develop and to maintain that support is through a continued involvement of the many stakeholder entities throughout the entire development process. This group of stakeholders can be referred to as the Program Development Team.

*Develop a broadly based Program Development Team involving as many stakeholders as possible. Keep the Team actively involved throughout the development of the program; let the Team share in the ownership, the responsibilities, the credit associated with the program.*

The role of the team in the development of the program is a critical consideration. Let the team members help in shaping the program; let the team members be a part of moving the program forward; let the team members feel a sense of ownership of the program and a responsibility for the program; let the team members share in taking credit for the success of the program.

**Some key lessons and best practices:**

- ◆ Involve the stakeholders throughout the program development process, although staff should become more technical or more detail oriented as work progresses.
- ◆ Form separate, but coordinated groups within the Program Development Team to address planning, design, procurement, and operations.
- ◆ Carefully define group charters and objectives to heighten productivity and speed results.
- ◆ Share project successes and credit for successes.

### 4.1.3 The Program Manager

Many operating agencies that have successfully deployed and operated ITS programs have attributed much of their success to a common key point, the presence of a “champion” - a person who fully understands the benefits that can accrue from the program, one who is fully committed to the program, one who is willing to “go the extra step” to see the program fully deployed and operational, and one who is skilled in convincing others of the value of the program.

**Some key lessons:**

- ◆ Insure continuity of project management.
- ◆ Select a well-qualified program manager.

The program manager should have a background in transportation engineering and in traffic management. Training in systems engineering and program management disciplines would be beneficial. He/she should possess both communications and people skills, as well as being computer literate. It is important that the “champion” hold a relatively high position within the organization, and be respected both within and outside of the organization.

*Assign a well qualified “champion” as Program/Project Manager.*

*Program management continuity will be crucial to program outcome.*

### 4.1.4 Staffing the Program

Selection of the key staff to support regional transportation planning and to perform the project development work is very important. These must be staff that have basic transportation management experience and may be trained to achieve some basic knowledge of National ITS Architecture application.

**Some key lessons and best practices:**

- ◆ Address staffing issues early. Prior to the start of an ITS project, ensure that adequate, technically qualified staff are available to the project manager.

- ◆ Involve the agency that governs hiring as early as possible.
- ◆ Do not underestimate the time requirements involved in the training of public agency staff.
- ◆ Involve operations and maintenance personnel in all phases of ITS project planning and deployment so that their roles, responsibilities, and needs are accurately defined and addressed.
- ◆ Include procurement personnel at the beginning of the project. Procurement is as important a phase of the project development as the design and build phases.
- ◆ Involve legal staffs early in the process to prevent fatal flaws such as non-conformance with federal, state, and local laws and regulations.

## 4.2 Project Development Process

Fundamental steps used by transportation agencies in the formulation and implementation of projects involve assessing problems or needs, the search for and selection of a solution, design of the project, and finally, the funding, procurement and implementation. These are the same process steps described in section 2.

### 4.2.1 Identification of Needs or Problems

In developing any ITS project, one must keep in mind the age-old axiom: Let the problem drive the solution.

#### **Some key lessons and best practices:**

- ◆ Gaining consensus on the project definition, users, user needs, and user requirements can take several passes.
- ◆ Consider use of focus groups to help determine users, user needs, and technologies involved.

A thorough analysis of the operational problems being experienced needs to be made early in the process. The exact nature, the magnitude, and the extent of the problem; and the conditions that are causing the problem, need to be fully understood before even beginning to consider the solutions.

*Use a needs-driven approach in developing the program and always LET THE PROBLEM DRIVE THE SOLUTION.*

This needs-driven approach becomes particularly important in ITS projects. It has been noted all too frequently that, in the consuming drive to bring high technology systems to the transportation scene, the process has been reversed, resulting in an approach in which one finds high technology “solutions” in search of a problem. This can result in a high cost project that falls short of doing the job that needs to be done.

## 4.2.2 Identification of Solutions

As a first step in the development of solutions, key individuals involved with the program should become thoroughly knowledgeable on what solutions (generically) have worked for others. It is also important that staff be aware of those which have not worked and why they have not worked. There are several ways to do this and possibilities include: communicating with other agencies who are operating ITS applications, attendance at Federal Highway Administration and Federal Transit Administration courses, a review of the literature, attendance at seminars, workshops and conferences covering the subject, and seeking advice from your FHWA Division or FTA Region Offices. Courses may be provided as part of the ITS professional capacity building program: see the Office of Traffic Management and ITS Application web page at <http://www.fhwa.dot.gov/hst/pcb/itscord1.htm>. Whatever the means, getting key project staff “up-to-speed” on ITS applications to traffic management problems is a critical activity that must be carried out.

The project staff that are knowledgeable of ITS solutions to traffic management, including traffic signal control, problems must be engaged in identification of the more favorable solutions to the problems being addressed. From this list of solutions, the trade-offs of costs and benefits plus any other impacts and considerations such as impact on maintenance and operations staffing and costs, of the solutions should be addressed and recommendations prepared. The recommendations coming out of this activity will be a key input to transportation planning process, see Section 3.

Some key lessons and best practices:

- ◆ Act to ensure that key staff are up-to-speed on ITS applications. The first verbal contacts for further information on this should be directed to your FHWA Division or FTA Region Offices.
- ◆ Consider operational and maintenance impact as well as capital cost and potential benefits.

## 4.2.3 Planning and Design of the Solution

Detailed design of the project should proceed based upon those systems which have been defined in the solution definition and analysis. During the project design phase, as the full implications of using specific hardware/software systems come more into focus, it may be necessary to rethink some of the decisions reflected in prior planning. It is fully appropriate - in fact, it should be viewed as a responsibility, to make trade-offs, and appropriate changes in the project at this point in the project development process. Some of these trade-offs will be in traffic signal control system configuration alternatives as described in section 2.

There are two general approaches which have been taken in deploying traffic management systems, and thus, in the defining of the project to be implemented: (1) the full deployment approach in which the entire traffic management system is deployed under one construction contract, or one design-build contract, and (2) a staged project approach in which separate contracts are awarded for the construction of a number of stand-alone subsystems, which when completed, will comprise the comprehensive traffic management system.

The “Full Deployment” procurement approach requires funding for the deployment of the traffic management system in its entirety under one contract. This approach will produce the entire system as a whole, rather than as the combination of a series of individually contracted sub-systems. With one contractor having responsibility for the entire system, the integration problems should be minimized, thus helping to ensure interoperability. The components of the system must be made to work together before the contractor’s performance is accepted and full payment is made, so there is the potential of the contractor to play down the importance of those problems associated with the integration of complex systems. However, with carefully-planned, progress payments tied to specific accomplishment milestones of contractor performance, the pressure on the contractor is reduced somewhat. Higher levels of annual funding, always difficult to secure in today’s environment of funding shortfalls, are required for this project approach. The operating staff is also suddenly faced with the operation of the entire system all at once and there is no time for staff to grow into that level of operation through operating smaller, less complex sub-systems. Advance arrangements need to be made for operations and maintenance training.

Under “Staged”, “Incremental” or ‘Evolutionary” approach, a series of projects, each consisting of a stand-alone subsystem capable of delivering benefits, are constructed under separate contracts over a period of time. Each subsequent sub-system is integrated with those which have preceded it, evolving into the comprehensive system. One of the major areas that must be addressed up front is definition of the communications facility or capability that will handle the long-term needs of the transportation system. The greatest risk of the staged project approach has to do with those problems associated the integration of new systems with those which are already on-line, and with the assignment for accountability of that function. When two subsystems can’t be integrated and one or both subsystems have to be modified, the costs may increase substantially. However, there are advantages. Available funding levels are less of a problem, as projects to match available funding levels can be spaced out over a period of time. There is the opportunity to select “ winners”, those projects on which there is a high probability of success, as early projects with very visible benefits. Systems come on-line at a more manageable pace. There are the advantages associated with evolution: building staff skills, evolving operational procedures, and building inter-agency working relationships can be accomplished along with the development of the system; the concept of traffic management is allowed to grow and mature as the overall system evolves; traffic management measures are introduced to the public in smaller, perhaps more acceptable, increments.

#### **Some best practices for defining the project:**

- ◆ Use an open architecture based on the National ITS Architecture and ITS standards as the basis for design.
- ◆ If you are considering adding adaptive control to your system, make sure that you can switch it on and off, or can run on a time of day schedule. Make sure you have a fall back position if you are not satisfied with the adaptive control, and that the technology is compatible with traffic signal control equipment standards in your region.
- ◆ Several agencies have concluded that a process of phased implementation for ITS projects is optimal. It may not be necessary to deploy all the planned technologies, functions, and equipment needed for your new traffic signal control system initially. Incremental deployment will allow agencies to manage budget and staffing level growth. For a phased implementation the system must be designed initially for the addition of future functionality and incremental expansion.
- ◆ Be realistic about your capabilities and get help accordingly. Use integrators and

consultants to assist in the project.

- ◆ Conduct a communications study to make sure that future requirements are accommodated by the system design (i.e. number and type of devices: computers, controllers, cameras, variable message signs, etc.). Communications analysis can easily be overlooked when most of the design discussions center around the central computer / traffic management center needs and field element considerations. Overlooking this area can be a costly mistake for replacement of inadequate communications.
- ◆ Build only what you can realistically maintain. During the design and build phases of the project, maintain realistic maintainability/reliability expectations.
- ◆ Do not rush the project planning, requirements, and specification phases. To avoid delays during the development and installation phases, define the project requirements clearly. Also design to the needs that have been defined. Always keep the needs developed and approved through the planning phases sharply in focus.
- ◆ In order to ensure the reliability and functionality of enabling technologies, it is recommended that the agency developing ITS applications fully investigate previous applications of candidate technologies in real world applications. These investigations should include discussions and/or site visits to agencies that have previously deployed the technologies. It is also important that these investigations be carried out independently of the vendors.
- ◆ Performance standards for all system components must be defined.

### **Some key lessons about implementing advanced traffic signal control functions**

- ◆ Emergency Vehicle Preemption
  - If you are planning to add emergency vehicle preemption to your system, consider doing it area-wide to realize the greatest benefits.
  - Make sure you consider and address the issue of latency -- i.e. how long it takes the system to recover from a preemption request. Specify that the system shall re-synchronize within a certain number of cycles - one cycle versus three or four cycles.
  - Make sure that you consider signals near railroad at-grade crossings / light-rail crossings when considering preemption.
- ◆ Transit Vehicle Priority
  - Perform a transportation study to limit the number of bus routes to include in the priority strategy. Bus priority for routes should be implemented judiciously to maximize the benefits to bus passengers and reduce the overall cost and impact on the traffic system and traffic network.
  - In one region, the planning period took about two years longer than originally expected. But the extra time spent was well worth it to reach consensus among the involved parties and to articulate and include each party's anticipated benefits in the strategic plan.
  - Bus priority needs to be flexible. It should be something that can be scheduled according to time-of-day, switched on and off, or simply requested as needed to help alleviate bus "bunching" or to help restore scheduled headways.

◆ Camera Surveillance

- Camera systems have been a great success in one city, in terms of traffic management improvement and in terms of raising the public's awareness of traffic management in the city. Camera video in this city is routed to the media and broadcast to the public. The city recommends developing a policy about what video signals can be provided to the media. The city has determined that it is important to be able to restrict video to the media under certain situations, namely during enforcement activities, and handling of incidents.

It is essential that ITS systems be designed to do the job needed to solve the transportation problem, to provide for compatibility of operation with a variety of systems being operated by other transportation-related entities, to provide for interoperability with those other systems, and to be designed so that they can be reasonably modified and/or expanded in the future.

## **4.2.4 Funding, Procurement, and Implementation**

### **4.2.4.1 The Schedule**

The schedule must be well thought out, be realistic, clearly show task inter-relationships, and be in a form which can be easily communicated and understood. It must have the commitment of the project team. It should be used on a continuing basis as one of the most powerful tools in managing the project. All reasonable steps should be taken by all parties to adhere to the schedule. It should be up-dated and adjusted when slippage's do occur.

#### **Some key lessons and best practices:**

- ◆ Do not adopt an optimistic schedule.
- ◆ Define frequent and realistic milestones to use in assessing progress against the schedule.
- ◆ Unambiguously define all milestones.
- ◆ Define each milestone so that reaching it is clearly identifiable.
- ◆ Make reasonable efforts to keep the project on schedule. However, never cut schedules for reviews of design documentation, for preliminary and final design review presentations by the contractor, for system integration, or for thorough testing, in the factory, at the first field site and at every field site. When needed to preserve these critical activities, extend the schedule.

### **4.2.4.2 Funding the Program**

Obtaining funding for the project is one of the most critical responsibilities of the project manager and his/her higher management. It is essential that he/she "think funding" from the inception of the program, seeking out every opportunity to secure funding from a variety of sources for the various elements of the overall program. One goal should be to secure funding from a number of sources---the more the better---for the commitment of funding assures that there is a support for the overall program from that funding source. The commitment of funding from private sources,



through public/private partnerships or other arrangements, further strengthens the program insofar as competing for funds from public sources.

*Develop a broad-based funding package, with funding coming from as many sources as possible.*

It is important that the project get into the programming process as early as possible in the project development phase, in order that funding will, in fact, be available at the time the project is ready for construction. While many ITS projects in the past were funded without going through the Transportation Improvement Planning (TIP) process (since they were funded as under a research or operational test environment), steps should be taken to have the project included in the TIP, in order to ensure eligibility for funding. Projects need to be entered into the programming stream to obtain funding from other sources.

It is also important to keep in mind that traffic management projects carry with them the obligation to operate and maintain the systems. Thus, it is important to not only obtain capital outlay funding, but also to secure the commitment for covering the on-going operating and maintenance costs.

*Identify funding sources, and carry projects into the programming processes at the earliest possible stage of project development. Secure approvals for staffing levels to operate systems, and for funding to cover other on-going operating and maintenance cost, such as contract maintenance.*

#### **4.2.4.3 Agency / Contractor Interaction and Other Issues**

Many agencies strive to keep the contractor “at a distance” which would work well in a perfect world where requirements are perfectly described and understood and where the contractor’s design is perfectly described and understood. Lacking this perfect world, developing a cooperative working relationship between agency and contractor is most likely to yield a system that meets agency requirements. In such a relationship, it is appropriate that rules be established to limit information going to the contractor from agency staff and other agency representatives to “interpretations of the requirements,” and within the contract scope. Included must be the admonition that only through contracting officer direction may the scope of the contract be changed.

#### **Some key lessons and best practices:**

- ◆ Don’t simply take a vendor’s or contractor’s advice or word on the capabilities of a system or piece of equipment. Ask them: “Has the (system / software / equipment) been used in a traffic signal control system before? Has the (system / software / equipment) been used to perform this (task / function) before?” Be sure to obtain references as to where these applications were and what agencies were involved and then talk to those references.
- ◆ Make sure the company from which you are purchasing services or equipment from is financially sound. Check business and technical references. Talk to others in the field who have done what you are planning to do.
- ◆ Maintain focus on the system’s final configuration definition. Keep the system developer’s focus on the requirements of the final product, not just the next deliverable.

- ◆ Take the time needed to review important project requirements. For larger projects, allow the contractor / equipment vendors at least two passes (one draft, one final) to develop the user requirements and the equipment and software specifications. For smaller projects, one pass may suffice. Arrange in the contractor's work statement for audio/visual presentations of the draft and final designs to agency staff, plus other agency representatives and project stakeholders. This is helpful in identifying requirements misinterpretations.
- ◆ Allow sufficient time for a comprehensive review of draft and final versions of specifications and requirements.
- ◆ When significant amounts of software development are involved, arrange to have one or two key staff and expert software engineer representatives sit in on the contractor's internal software design walk throughs, since these cover how the system will work in some detail and may highlight misinterpretations.

#### **4.2.4.4 Managing the Program**

There are many lessons that have been learned on ITS projects and on other kinds of projects, including those from program management efforts of other civil and defense agencies. Although most ITS projects are much smaller in scope than most defense projects, many of the lessons apply. Most of the system engineering tools that other agencies have used are beyond the scope of this document, but guidance on courses or seminars that describe application of those tools to ITS projects is available from the FHWA Division or FTA Region Offices.

#### **Some key lessons and best practices:**

- ◆ Look for success stories in the ITS field prior to starting your ITS project. Learn from projects related to what you are trying to do – what are the benefits? Was it cost effective? Also check out the benefits reference documents. This will help you to support your project as it develops.
- ◆ Provide upper management and decision makers with real examples of successfully deployed ITS projects. This is a way for agencies to overcome resistance to ITS technologies. Example projects should relate to the unique transportation problems in your region.
- ◆ Use the design/build process to get systems operating early whenever appropriate. However, it is important to separate the design aspects of the project from the build by thorough review of all design aspects. The review time required for a design should not be underestimated.
- ◆ Manage project and system expectations. They need to be realistic and achievable with available funding, time (schedule), and staffing.
- ◆ Exceeding the costs estimated for software development is highly probable and a major problem in the industry. Cost overruns are common in ITS projects. Agencies need to be prepared for these overruns by developing contingency plans. Contractors can only base realistic software development cost on detailed requirements and specifications.
- ◆ Use technical proposals and preliminary and final design reviews to achieve compatible agency and contractor interpretations of requirements as early as possible. Differing interpretations will yield false starts and wasted effort, time and money.

- ◆ As unanticipated problems occur, the schedule slips, staff once available becomes unavailable, budgets appear inadequate - a few words of advice:
  - Take a step back and take a look at the big picture to reassess where the project stands. Back away from trying to cope with numerous details and topics with which you may not be completely familiar.
  - Revisit your project plan. To help bring the project back on track, all parties involved will need to be honest about achieving project expectations, and about assessing what can be realistically accomplished with available resources.
  - Be reasonable about deliverables, schedule, scope, and requirements.
  - Focus on the system features that will bring the most benefit. Consider dropping less significant aspects of the project.
  - Focus on what has been accomplished so far, rather than on how much is left to do. Other staff may need reassurance. Positive motivation can be very helpful to your team, and help you get through a crisis.
  - Create an environment that encourages solutions, rather than focusing on problems. Establish an environment in which your agency, the equipment vendors, and contractors can cooperate to complete the project successfully.
- ◆ Share your successes, and share credit for your successes.
- ◆ Learn and share lessons from all projects. Create an environment where engineers from different backgrounds and projects have an opportunity to share their experiences with each other – begin a “brown bag” lunch program or project / technologies discussion group.
- ◆ It is critical that initial ITS project deployments provide immediate, visible and significant benefits. Failure to do this will make it harder to secure funds for future ITS projects.
- ◆ Reduce the risk of failure by deploying ITS projects incrementally and by using proven technologies.
- ◆ Document control is very important. Track and control project documentation. Use a numbering scheme, such as PROJECT-TASK-YEAR-DOCUMENT NUMBER-REVISION LEVEL.
- ◆ Share your funding experiences for design, construction, operations and maintenance.
- ◆ Share your experience using Federal-aid funding for operations cost and how to work with your metropolitan planning organizations (MPOs) to get their support.

#### **4.2.4.5 System Integration and Testing**

Being very thorough in the integration and testing of your system will be as important, perhaps more important, than anything else you do on the project, including writing complete and accurate specifications. System integration and testing will be needed at different levels. During development, integration and test will be accomplished the first time and must be very thorough, testing against every requirement. This testing may include rigorous testing, analyses and demonstrations. Acceptance testing in the field need not test every requirement, but must ensure that the deliverable is acceptable.

### **Some key lessons and best practices:**

- ◆ Integration of existing / working technologies is hard enough without introducing new and untried technologies.
- ◆ Systems can be built incrementally, however, any necessary communications equipment needs to be in place for integration with prior and future increments.
- ◆ Integration needs to be done in a controlled environment (e.g. design or factory acceptance tests) to isolate problems and system bugs. Interfaces with some devices may have to be emulated for early integration efforts.
- ◆ Do integration in steps – add one component at a time. Do not wait until the end of the project to integrate all of the system components, since it would be extremely difficult to isolate problems. Integration and testing can easily take 30-40% of the time and resources of a project.
- ◆ Take the time to thoroughly debug and test a few units in the field prior to deploying a large number in the field. Require contractors to successfully conduct acceptance tests on each major deliverable, witnessed by the agency's representatives prior to acceptance by the agency.
- ◆ When changes are made in some area of a design, keep in mind that there may be desirable and undesirable consequences of the change that may ripple through the design, and testing must ensure that the device, unit, or subsystem still functions properly after the change.
- ◆ Perform operational and maintenance training early. Use those trained staff in hands-on roles for operational and maintenance testing, particularly final development test in the factory and final acceptance test at the first field site. This must be written into the contract since contractors will otherwise not allow non-contractor staff to touch their equipment.

## **4.3 Procurement and Contracting**

Traffic management agencies face many impediments in the procurement and contracting of developing projects, as procedures and controls and measures which have been put into place over the years for highway construction projects have had to be accommodated. However, there is some relief for these impediments. This section sheds some light on the more common problems that have been experienced, and some of the solutions that have been developed.

### **4.3.1 Autonomy in the Procurement Process**

In some agencies, it has been practice to clearly separate the procurement function from those who will use the goods or services procured. This autonomy in the procurement process is seen as providing certain assurances relative to the proper expenditure and management of public funds. However, because of the technical complexity of most ITS systems, and the need for these systems to be interoperable, technical and operational advice is critical in making wise procurement decisions.

Transportation management agencies should balance the need for autonomy in procurement with the obvious need for those with the technical and operational knowledge of ITS systems to participate in the procurement process. A sufficient degree of autonomy can be maintained while still involving technical staff, by adopting a team approach to procurement, which would include technical advisers and budget and procurement personnel. By bringing both sides together, each can gain a better understanding of the knowledge each brings to the discussions.

*It is crucial in ITS procurements that technical/operational, budgetary, and management elements be involved in proposal evaluation with each presenting its findings to a selection board. Bids from contractors that are not judged responsible companies able to perform or with technical proposals that are not technically acceptable should be rejected.*

This will allow the technical advisers to make recommendations on the extent to which or even whether the types of technology and systems available will meet agency needs, and the procurement specialists to outline budget, financial, and procurement restrictions that may impact how the type of technology or service is to be procured.

### **4.3.2 Selection of the Contracting Approach**

The selection of a particular contracting arrangement for deploying ITS traffic management systems is critical to the successful deployment of these systems, and, ultimately, to the successful operation of these systems. Three contracting approaches to the deployment of these systems, discussed below, have been used; the use of each has met with varying degrees of success. See also a paper on innovative contracting for ITS projects [Innovative Contracting Practices for ITS, April 1997] and another paper on procurement regulations and contracting options [FHWA Federal-Aid ITS Procurement Regulations and Contracting Options, August 1997] both available on the FHWA ITS web page . This paper, available in hardcopy from NTIS or electronically from the Turner Fairbanks Highway Research Center web page, is a valuable resource. Figure 1 of that paper identifies four basic contract types, their possible application, and their approval requirements. Three of those approaches are discussed below.

#### Conventional PS&E/Contract Bid Approach

In this approach, the designer develops specifications for both software and hardware, and these are included in the PS&E (Procurement Specification and Estimate) package and RFP (Request For Procurement). A contract for the construction, hardware, and software to deploy the system is then let in the manner of a conventional highway contract. This contracting approach may be appropriate for procurement and contractor installation of field devices and hardware. However, for design, development, integration and system engineering services, this approach has resulted in some problems in the past. Hardware/software incompatibilities have arisen, and these systems have not performed as anticipated. In some cases, major modifications in hardware and/or software was called for in order to produce working systems. Resolution of issues relative to the accountability for these deficiencies, and of the responsibility for the development and deployment of corrective measures have proven to be particularly difficult in many cases. In general, this approach does not work well for technology acquisition.

#### System Manager Approach

Under the system manager approach, a consultant is engaged to develop the software and hardware specifications for the traffic signal control system, and to produce a PS&E for the project. Contracting for the system manager's services falls under the Engineering and Design Services contract category which includes services like program and construction management, engineering, design, and surveying. Using the PS&E developed by the system manager, a contract for furnishing and installing hardware, and for other required items is let, using traditional contracting procedures as in the contract-bid category of contracting. Here, a key difference comes into play: the software/hardware consultant's responsibilities carry into the deployment phase of the system under this approach. The consultant is responsible for the final design and development of software and for integrating it with the hardware as it is installed, and for providing documentation and training to operating staff in the use of the integrated system. Several advantages to the system manager approach have been noted:

- ◆ The process includes competitive bidding, with all of its benefits, for the furnishing and installing of hardware, and for facility and electrical construction.
- ◆ Access to those developing the system software, and agency control over system development, are greatly facilitated. If the control system hardware is included with the software bid, a hardware contractor who does not produce software could win the bid. The hardware company will subcontract the software to a software company. The client then has very limited access and control over the system development and may not be able to ensure that the system meets its requirements.
- ◆ The system manager approach gives the flexibility to incorporate the latest technologies into the system, as well as to provide integration with other traffic control systems which may be operating on other roadway networks. It is important to avoid the low-bid syndrome, where the software is designed to do the absolute minimum required to meet the specifications rather than take advantage of the latest thinking and processes in a rapidly evolving technological market.

### Design/Build Approach

In this approach, a contractor is selected based on the contractor's qualifications and an assessment of the contractor's ability to perform followed by competitive negotiation. This single competitive contract is then awarded for design and construction of the project. This differs from the design-bid-build approach in that design-bid-build uses two sequential competitively awarded contracts, the first for design and the second for construction. The design/build approach traditionally combines the procurement procedures employed with the traditional engineering and design services contracts with those used in the traditional construction contracts, and thus embodies characteristics of both. These procedures may include pre-qualification, competitive sealed bidding, and award criteria based on price and other factors. It may be useful to require separate detailed technical proposals and cost/business proposals and evaluate technical proposals first. Then the predetermined selection criteria would include evaluation of the offerors' technical proposals that have been found to be acceptable, by a predefined set of criteria. This approach will provide indications of the each offeror's skills, understanding, and approach to the project. The negative is that the project requirements must be spelled out in the RFP so that the offerors can respond to them.

The design/build approach relies on the contractor to develop a design and then to build the project. The agency's role is to monitor the contractor's work. Generally this has worked for roadways and structures. However, it may have significant problems when applied to technology

acquisition depending on contract type (e.g., fixed price or cost type) and the nature of the relationship between the agency and contractor. If the agency has a hands-off approach to contract management, the contractor may design and build much of the system based on incorrect interpretations of requirements. Some of the work may be found to be unacceptable. Partnering of the agency and contractor so that requirements are properly interpreted and the design is reviewed by agency representatives and found acceptable, before construction and implementation work proceeds, can lead to positive results. However, if the entire contract is a fixed price type, the contractor has an incentive to interpret requirements, produce a design, and build the system to minimize the contractor's cost. A way to address this issue is to have the agency more directly involved in the clarification of requirements during contract performance. This, in turn, may increase the contract scope. Also, if the contractor subcontracts the software to be designed and built by another contractor, there may be lack of visibility into the software development process. This is likely to result in a lack of agency knowledge and control of the software and an unacceptable system.

FHWA established Special Experimental Project No. 14 , Innovative Contracting Practices (SEP-14) to enable agencies to implement and evaluate innovative contracting practices that maintain competition advantages while striving for quality and timeliness. Included under SEP-14 are Experimental Design-Build and Non-Experimental Cost-Plus-Time contracting innovations. Federal-aid funds may be used in design-build contracts when awarded with competitive bidding procedures and subject to FHWA approval under SEP-14.

*Give full consideration to the use of the System Manager Approach when deciding upon the contracting arrangement to use.*

### 4.3.3 Procurement Rules and Regulations

Although federal legislative requirements mandating the use of low bid procurements have been relaxed in recent years, many states still require its use for procuring many services and equipment. In addition, it is still the preferred method for acquiring construction services in the public sector. But there can be problems with accepting low bids for ITS systems and devices.

#### **Some key lessons about low bids:**

- ◆ An important problem with low bids: the equipment and software are frequently designed to do the absolute minimum required to meet the specifications rather than take advantage of the latest advances in technology.
- ◆ The design of the system provided by a low bidder may have many misinterpretations of the requirements with major cost increases for the corrections thus allowing the bidder to bid very low, with later scope increases. Specified requirements must be accurate and thorough. Even then a low bidding contractor will find ways to reduce costs by not meeting requirements or by misinterpreting requirements.
- ◆ Often systems that are low bid have limited expansion capabilities. These limitations are frequently not discovered until control elements are expanded or modified at a later date.
- ◆ As upgrades to the system hardware and software are needed in later years, there may be design problems that require very expensive redesign and expansion of the system.

Traditional transportation procurement approaches will usually not provide the flexibility necessary for acquiring ITS projects. In an effort to provide greater flexibility to state and local governments in their procurement procedures, the U.S. Office of Management and Budget established the Common Rule governing grants administration. The rule provides that states will spend and account for grant funds according to their own laws and procedures. While some procurement methods have very specific federal rules to be followed (particularly procurements for architect/engineering services for construction projects), there is considerable flexibility in most other procurement models.

Project team members should work together to select the most appropriate procurement mechanism, contracting lead agency, and contracting approach for any particular project. In selecting the procurement and contracting approach, the most favorable alternatives need to be compared side-by-side listing all pros and cons of each. Decisions relative to project team members, as well as procurement-related issues, need to be made early in the project development process since many facets of the project will be impacted by these decisions.

#### **4.3.4 Procuring Software**

Procuring software has always been complex and care must be exercised to control the risks inherent in this activity. There are many important topics to be informed of on software acquisition. As of 1998, U.S. DOT is preparing an ITS software acquisition guidance document. Some of the key topics covered include the following, all of which are important:

- ◆ Acquisition approaches
- ◆ Consideration of commercial-off-the-shelf (COTS) software with its pros and cons
- ◆ Importance of requirements
- ◆ Acceptance criteria
- ◆ Intellectual property rights
- ◆ Schedule issues

The document is built around people, management, and system themes that encourage partnering between the agency and software contractor to ensure understanding and translation of requirements into software.

Using “off-the-shelf” software packages and systems are often touted as low risk, but may or may not reduce risk. Making major changes to an existing software system may be quite difficult. Nevertheless, agencies should familiarize themselves with the different product offerings before issuing procurement documents since it may be possible to meet requirements while saving time and money. A key point - careful consideration should be given to requirements that might involve extensive new software development or extensive product offering changes because of the risk implications.

#### **4.3.5 Procuring Telecommunications**

Just as transportation is the backbone of our communities, serving to move people and goods from point to point, telecommunications is the backbone of ITS, serving to move information



among detectors, transportation management centers, and field devices. Telecommunications is vital and expensive. A new telecommunications system can be the highest cost item in an ITS deployment project. A telecommunications analysis including the three steps below should support telecommunications decisions:

- ◆ Requirements Definition
- ◆ Definition of Network Options
- ◆ Cost Analysis

The *Requirements Definition* step is the most important. Good decisions can only be made if care is taken during this step of the analysis. The product of requirements definition is a reasonable estimate of how much information needs to be moved from point to point throughout the system in its future fully deployed state. To do this, a rigorous estimation process that focuses on needs rather than possibilities must be followed. This must be supported by an understanding of the types of devices to be installed, where they will be, how many there will be, message sizes and frequencies, etc. Also, the region's plan for locating and communicating among transportation management centers must be understood. Perhaps the most fundamental question in requirements definition is whether the telecommunications system will serve the needs of a single agency, multiple transportation agencies in a region, or multiple government agencies within a jurisdiction or region. The latter two raise issues about ownership and cost participation, but should be considered from a good public policy perspective. The video requirement should be carefully considered. Among the questions to be critically examined: Who needs to see what images? How many images need to be seen at one time? What will the information be used for? Using the video images for commercial television broadcasts may imply need for higher quality than if they are only to be used to view incident scenes. Use of compressed digital video should always be explored, since recent improvements in compression algorithms produce images that approach the quality of full motion video transmissions. If the only use is to view incident scenes, transmission of lower quality, freeze-frame/slow-scan images may be adequate, and require much less communications capacity. For more information, reference the ITS JPO Telecommunications Resource Guide, Tab A, Telecommunications in Transportation, a Summary of Key Issues and Tab B, A Case for ITS Telecommunications Analysis.

The *Definition of Network Options* step involves defining different telecommunications network structures or architectures. For example, the information that needs to be passed back and forth will be very different if processing is distributed rather than centralized. Within the context of these different network structures or architectures, ownership and leasing options should be explored. Thinking broadly in terms of providing a telecommunications service rather than building a telecommunications infrastructure will open the door to consideration of a number of different options, including combinations of leased and owned infrastructure. This may also include resource sharing opportunities, in which access to public right-of-way is exchanged for a share of the telecommunications capacity being installed in the right-of-way. [Final Report on Telecommunications Shared Resources: Legal and Institutional Issues, 1997].

In the final *Cost Analysis* step, the cost implications of the different alternatives are detailed and compared. Ownership options involve higher installation and maintenance costs, which must be compared against the terms of the available leasing arrangements. Short term leasing deals, on the order of from five to ten years, may enable agencies to possibly obtain more favorable terms in the future, and also enable agencies to take better advantage of technological advances than they typically would be able to with a publicly owned system or longer term leasing deal.

A final but very important point is that typical transportation agency personnel seldom have the experience needed to support informed decisions about these issues. It may be imperative that this knowledge be acquired in the form of new staff or consulting assistance.

## 5. How Can I Find Out More?

Information on Intelligent Transportation Systems (ITS), the National ITS Architecture, and ITS Standards may be found at the locations described below. Additional helpful references are listed in the References section. You should also know that most Federal reports may also be obtained through:

National Technical Information Service (NTIS), Technology Administration, U.S. Department of Commerce, Springfield, VA 22161

Phone: 703-605-6000; FAX: 703-321-8547

World Wide Web at <<http://www.fedworld.gov/ntis/ntishome.html>>

### 5.1 How Can I Find Out More About ITS?

Contact the agencies listed below:

First verbal contacts should be to your local Federal Highway Administration Division Office or Federal Transit Administration Region Office. This should include queries relative to areas such as program, technical and policy. This office will work with you to schedule courses, seminars and possibly workshops on ITS topics.

#### **ITS Joint Program Office**

Federal Highway Administration, U.S. Department of Transportation, 400 Seventh Street SW, Washington, DC 20590

Phone: 202-366-9536; FAX: 202-366-3302

World Wide Web at <<http://www.its.dot.gov>>

This U.S.DOT ITS web page also provides links to numerous other sources of ITS-related information. With the wealth of information of all types on ITS available via the Internet, it is becoming important that the key staff involved in any ITS activity have access to Internet.

#### **Office of Traffic Management and Intelligent Transportation Systems Applications**

Federal Highway Administration, U.S. Department of Transportation, 400 Seventh Street SW, Washington, DC 20590

World Wide Web at <<http://www.fhwa.dot.gov/hst/its.htm>>

#### **Turner Fairbanks Highway Research Center**

Federal Highway Administration, U.S. Department of Transportation, 6300 Georgetown Pike, McLean, VA 22101

World Wide Web at <<http://www.tfhrc.gov>>

**Office of Mobility Innovation, Advanced Public Transportation Systems Division**  
Federal Transit Administration, U.S. Department of Transportation, 400 Seventh Street SW,  
Washington, DC 20590

Phone 202-366-4991

**Other sources include:**

**ITS America**

400 Virginia Avenue SW, Suite 800, Washington, DC 20024

Phone: 202-484-4847

World Wide Web at <<http://www.itsa.org>>

## **5.2 How Can I Find Out More About the National ITS Architecture?**

**Where do I look for information?** Again, first verbal contact should be with your FHWA Division or FTA Region Office.

**Information on the National ITS Architecture is available at the following locations:**

**National ITS Architecture Team**

The National ITS Architecture documentation and the linked HTML model are available on the World Wide Web at

<<http://www.odetics.com/itsarch/>>

**ITS Joint Program Office, Federal Highway Administration, U.S.DOT**

Documents that may be obtained from the Joint Program Office include:

- ◆ *The National ITS Architecture for ITS: A Framework for Integrated Transportation into the 21st Century*
- ◆ *Building the ITI: Putting the National ITS Architecture into Action*

These documents are available on the World Wide Web at <<http://www.its.dot.gov>>

This site also provides a variety of very informative information, like an overview of what ITS is, a large glossary, several other very informative reports.

**Contact your FHWA Division or FTA Region Office to inquire about training:**

A three day training course from the Federal Highway Administration is *Using the National ITS Architecture for Deployment Training Course*; this course has been prepared by the National ITS Architecture team and is informative about the Architecture and how to use it, with practical

interaction between students and the Architecture products on CD-ROM. Additional courses may become available.

### **Exploring The National ITS Architecture On Your Own:**

- ◆ Read the Executive Summary first. Then read the Implementation Strategy – start with chapter 4.
- ◆ Use the CD-ROM in concert with a “File Find” utility. Some “File Find” utilities will search the written material in a document for specific words. This will allow you to search the entire National ITS Architecture for specific information.
- ◆ Use the Market Packages as guides to the rest of the material in the National ITS Architecture or use them as a starting point. You can think of them as high-level ITS system designs which can be implemented as a project or sub-project.
- ◆ Read sections 2.4 and 2.5 of this document for more details on how to explore the material.

### **ITS America**

World Wide Web at <<http://www.itsa.org/public/archdocs/national.html>>

Hard copy versions of the National ITS Architecture documentation may also be purchased from the ITS America Bookstore. Specific National ITS Architecture volumes are available.

Phone: (202)-484-4584 or (800)-374-8472

The National ITS Architecture is also available on CD-ROM and includes an easy to use browser and search facility.

## **5.3 How Can I Find Out More About ITS Standards?**

**How can I find out the status of ITS standards development?** Again, first verbal contact should be with your FHWA Division or FTA Region Office.

**Detailed information on ITS Standards is available at the locations listed below:**

### **National Transportation Communications ITS Protocol (NTCIP)**

Contact the NTCIP Coordinator at the **National Electrical Manufacturers Organization (NEMA)**

Phone: (703) 841-3231; Fax: (703) 841-3331

World Wide Web at <<http://www.ntcip.org/standards>>

Copies of papers regarding the NTCIP standards currently available from NEMA include:

- ◆ *National Transportation Communications For ITS Protocol (NTCIP) Guide (Draft)*, December 1, 1996.
- ◆ *Center-to-Center Communications Requirements and Issues (White Paper)*, December 16, 1996
- ◆ *NTCIP White Paper, Center-To-Center Communications*, November 27, 1996

Copies of NTCIP standards may be purchased from NEMA. Those NTCIP standards currently available include:

- ◆ NTCIP Overview (NEMA TS3.1) - This publication provides an overview of the concepts and protocols for the NTCIP series of standards, which can be used to implement a working NTCIP-based transportation control system. This standard encompasses roadside device control, data collection, data routing, and file transfer services using various communication system topologies.
- ◆ Simple Transportation Management Protocol (NEMA TS3.2) - The Simple Transportation Management Framework (STMF) describes the framework used for managing and communicating information between management stations and transportation devices. It covers integrated management of transportation networks, networking devices and transportation specific equipment attached to NTCIP-based networks.
- ◆ NTCIP Class B Profile (NEMA TS3.3) - This communications protocol standard can be used for interconnecting transportation and traffic control equipment over low bandwidth channels. This standard establishes a common method of interconnecting ITS field equipment such as traffic controllers and dynamic message signs (DMS), defines the protocol and procedures for establishing communications between those components, and references common data sets to be used by all such equipment.
- ◆ Global Object Definitions (NEMA TS3.4) - The messaging between transportation management and field devices is accomplished by using the NTCIP Application Layer services to convey requests to access or modify values stored in a given device; these parameters and their values are referred to as objects. The purpose of this standard is to identify and provide those object definitions that may be supported by multiple device types (e.g., actuated signal controllers and variable message signs).
- ◆ Actuated Controller Unit Object Definitions (NEMA TS3.5, ASC) - This standard defines objects which are specific to actuated signal controller units.

- ◆ Object Definitions for Dynamic Message Signs (NEMA TS3.6, DMS) - This standard contains object definitions to support the functionality of DMSs used for transportation applications.

There are a total of sixteen of the NTCIP standards, ten more than listed above. For more information about NTCIP standards, please refer to Appendix A.

### **Transit Communications Interface Profiles (TCIP)**

Further information can be obtained from the following source:

World Wide Web at ..... <<http://www.tcip.org>>.

### **ITS America**

Contact ITS America for listing of all the ITS standards and status information on standards development.

ITS America, 400 Virginia Avenue SW, Suite 800, Washington, DC 20024

Phone: 202-484-4847

World Wide Web at <<http://www.itsa.org/notice.html>>

### **Other Standards**

#### **The American Association of State Highway and Transportation Officials (AASHTO)**

Suite 249, 444 North Capitol Street, NW, Washington, DC 20001

Focus: State-level Agency Participation and Roadside Infrastructure.

World Wide Web at .....<<http://www.aashto.org/main/>>

#### **The American Society for Testing & Materials (ASTM)**

Focus: Dedicated Short Range Communications (DSRC) systems.

World Wide Web at .....< [www.astm.org](http://www.astm.org)>.

#### **The Institute of Electrical and Electronics Engineers (IEEE)**

Focus: Electronics and Communications Message Sets.

World Wide Web at ..... <<http://stdsbbs.ieee.org/groups/sec32/index.html>>.

#### **The Institute of Transportation Engineers (ITE)**

525 School St., SW Suite 410, Washington, DC 20024-2797

Focus: Traffic Management and Transportation Planning systems.

Phone: (202) 554-8050

World Wide Web at <<http://www.ite.org/standards.htm>>

**The Society of Automotive Engineers (SAE)**

Focus: In-vehicle and Traveler Information

World Wide Web at < <http://www.sae.org/prodserv/standard/standards> >



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### Contributing Authors

Contributing authors include

- TransCore
- Mitretek Systems
- PB Farradyne
- Odetics
- Lockheed Martin
- David Roper

Final editing performed by Mitretek Systems.

### Reviewers

- FHWA ITS Joint Program Office
- FHWA Office of Traffic Operations and ITS Applications
- FHWA Region and Division Offices
- Mitretek Systems
- ITS Architecture Team
- Peer reviews by
  - David Roper
  - Ed Rowe
  - Richard Rossell
  - Richard Beaubien
  - Traffic Signal Control Focus Group Members

Plus numerous others.

## References

See Section 5 for web page URLs, phone numbers and addresses for the primary sources for most of these documents. Also, please be aware that most Federal reports may be obtained through:

National Technical Information Service (NTIS), Technology Administration, U.S. Department of Commerce, Springfield, VA 22161

Phone: 703-605-6000; FAX: 703-321-8547.

World Wide Web at <http://www.fedworld.gov/ntis/ntishome.html>

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***ITS Benefits: Continuing Successes and Operational Test Results***, 1997, Mitretek Systems, prepared for the U.S. Department of Transportation, Federal Highway Administration

***ITS Deployment Guidance for Transit Systems: Technical Edition***. This is an accompanying volume to this document intended for those involved in the planning, development, deployment and operation of transit management systems.

***ITS Software Acquisition Guidance***, 1998, Mitretek Systems, prepared for U.S. Department of Transportation, Federal Highway Administration

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**Traffic Control Systems, Standards Publication No. TS2-1992**, National Electrical Manufacturers Association, Washington, D.C., 1992.

**Using the National ITS Architecture for Deployment** Training Course, U.S. Department of Transportation, Federal Highway Administration -- This 3 day course given by the Architecture Team (Lockheed Martin and Odetics) gives the student the mechanics for implementing regional systems using the architecture.

## Appendix A. ITS Standards

### A.1 Overview

The intent of this appendix is to identify and describe existing and planned ITS standards that are applicable to traffic signal control systems. The need for these standards has been identified by transportation industry.

The development, promulgation, and adoption of standards is an issue of utmost importance in the use of a new technology. Adoption of standards can have a number of different effects. On one hand, the adoption of a technology in the marketplace can be stimulated. On the other hand, the further development of a technology could be frozen. Commercial broadcast television in the United States serves as an example of both of these effects.

Early adoption of standards for commercial TV in the United States allowed for explosive growth of industry here in the immediate post-World War II years. However, U.S. technology was frozen at a level that subsequently proved to be inferior to that achieved soon after in Europe. The technology of communicating data over telephone lines provides a counter example. New standards for increasingly fast data transmission over the phone lines periodically emerge, but the new modems that capitalize on these standards also generally operate according to the old ones if such operation is needed. This capability for backward compatibility increases the flexibility for all users of a technology, thus spurring both greater adoption on the marketplace and further technological advancement.

Standards development is critical to the success of implementing ITS. Well defined standards help agencies better prepare procurement specifications, Requests For Information (RFIs), and Requests For Proposals (RFPs). These standards need to be open instead of proprietary in order to allow for new technologies and new products from different manufacturers to be added. Open standards are generally owned by a public organization, or the underlying technology is licensed on a low-cost, non-discriminatory basis by its owner, and made available to anyone wanting the documentation for an interface. Open standards encourage interoperability of products from different manufacturers. Proprietary standards have restricted access, usually to the company that developed the standard or their chosen licensees.

Utilizing standards to ensure ITS interoperability and the interchangeability of like equipment will benefit the transportation industry by decreasing procurement costs (larger numbers of competing manufacturers will spur competition), increasing system flexibility, and providing easy upgrade paths.

Even though equipment standards are important, this section does not provide equipment-specific standards because of the vast number of different equipment technologies. In addition, the

establishment of strict standards for device-specifications is not only location-dependent but it would also restrict progress and innovation, and is therefore not desirable.

### **A.1.1 Previous work**

Several organizations have been tasked, voluntarily and through contracts, to develop ITS-related standards. Existing standards are generally based on the need of a particular industry or agency. The U.S. DOT subsequently awarded a contract to the Jet Propulsion Laboratories (JPL) to serve as the lead organization to:

- ◆ Collect ITS-related standards
- ◆ Create a database
- ◆ Organize the standards in the database
- ◆ Maintain and update the database content
- ◆ Provide interested parties with the entire content or excerpts of it

The content of this database is updated continuously and it can be visited on the ITS America Internet home page at:

**<http://www.itsa.org/notice.html>**

under the heading “Standards Catalog”.

## **A.2 Communication Standards**

This overview of communication standards is designed to provide the reader with information on ITS-related communications protocols. The communication standards presented allow agencies to transmit data from one device or system to another. Some of these standards currently exist or are very close to being completed, while others are either in an early development or planning stage.

### **A.2.1 Overview**

Since many interfaces have not been standardized, the U.S. DOT funded the development effort of creating standards for ITS technologies.

Some of these new standards for ITS are described below. The listing is neither complete nor does it indicate levels of importance.

#### **A.2.1.1 NTCIP**

The National Transportation Communications for ITS Protocol (NTCIP) was originally conceived to be an extension of the NEMA TS-2 Controller Standard covering traffic controller communications. The NEMA traffic control equipment manufacturers recognized that for true hardware interchangeability, the standard had to cover the more complex issues of systems interoperability and communications standards. As the NEMA development work grew, a general

industry forum evolved and ultimately the Federal Highway Administration (FHWA) identified the concerns of ITS designers.

Today, the Joint NTCIP Committee, a steering committee consisting of members from three Standard Development Organizations (SDOs), NEMA, ITE, and AASHTO, is overseeing and directing all efforts with respect to NTCIP that are being executed within each of the above SDOs.

For ITS to be a reality, all the components that make up the traffic and transportation monitoring and control community must be able to communicate with a common, or at least understandable, language. The words that are spoken must have a clear and unambiguous meaning to everyone. The NTCIP development participants started out by defining a language needed for a traffic controller, and extended it to include Traffic Management Centers (TMCs). It has been further refined into an open set of protocols that meet the diverse needs of ITS.

This openness is achieved by embracing features of several existing worldwide communications standards established by the International Standards Organization (ISO), the International Telecommunications Union, Telecommunications Sector (ITU-T; formerly CCITT), and the Internet Engineering Task Force (IETF). These standards map onto the ISO Open Systems Interconnect Reference Model (OSI Model) that deals with how information can be passed through the various processing layers in an open system. The OSI Model breaks down the aspects of communications into seven layers or discrete functions to reduce complexity. Each layer is built upon its predecessor. These seven layers are shown in Figure A1.

Layer 7	Application Layer
Layer 6	Presentation Layer
Layer 5	Session Layer
Layer 4	Transport Layer
Layer 3	Network Layer
Layer 2	Data Link Layer
Layer 1	Physical Layer

**Figure A1: OSI Layers**

These seven layers can be viewed as forming two groups of functionality to support open communications. The first group (Layers 1-4) is responsible for data transport while the second group (Layers 5-7) is responsible for data processing.

Protocols utilized on the different layers of the OSI models are mostly existing computer standards that have been used for years within the industry. However, due to the nature of transportation infrastructures, a few new protocols and modifications to existing protocols had to be defined such as the development of the Simple Transportation Management Protocol (STMP), a new application layer protocol, and Point-to-MultiPoint Protocol (PMPP), which follows the existing Point-to-Point Protocol (PPP). PMPP has not yet been approved.

#### **A.2.1.1.1 Class Profiles**

Within the NTCIP there are various profile classes defined:

- ◆ A - Connectionless
- ◆ B - Central direct to field
- ◆ C - Connection oriented
- ◆ D - Dial-up
- ◆ E - Center to Center
- ◆ F - Alternate Center-to-Center

These classes are described below. The Class B Profile is the only Class Profile that has been standardized to date. Development of this standard has been completed and it has been balloted with the results indicating that the standard is acceptable. Manufacturers are developing compatible products and agencies are encouraged apply the standard.

#### **A.2.1.1.2 Class A Profile**

Class A is a suite of protocols allowing the connectionless transmission of data packets over a medium that does not require a permanent connection between two devices. For example, when sending two letters via regular mail, it cannot be ensured that both letters will take the same route (one letter might get from location A to location B via location C, while the other letter is sent via location D). The Class A Profile is based on existing protocols already in use by the Internet community and other network systems, therefore utilizing proven protocols. The only exception is the utilization of STMP as the application layer protocol and a modified form of the HDLC protocol that includes an initial protocol identifier (IPI) as the data link layer protocol.

The Class A Profile suite of protocols will use the Transmission Control Protocol (TCP) as its Transport Layer protocol to guarantee delivery or signal when a message cannot be delivered correctly. TCP uses sequence and acknowledge information and timers to make sure the individual frames are received and that they are put in their proper order. If a frame is garbled or lost, re-transmissions are attempted. If a frame cannot be delivered, the upper layer is notified. This class of service ensures data integrity and correctness; its primary use is for large data transfers.

This standard has not yet been approved but is in the process of being developed by device manufacturers in conjunction with users of these devices. This development process ensures that the devices utilizing this protocol will meet the requirements of the user community.

The main difference between the Class A Profile and the Class B Profile is that Class A messages can be routed through an intermediate device, e.g., from a central location to a field device.



#### **A.2.1.1.3 Class B Profile**

The NTCIP Class B Profile defines a set of communication protocols to be used in field devices and their management systems that are part of an Intelligent Transportation System. The profile provides for exchange of information between a primary station and each secondary station on a particular communications channel or subnet. The profile sets forth standards to allow devices to share a common interconnect, establish a common language for them to communicate and define the structure under which the data in these devices is structured and managed. It does not address the need for the exchange of information between devices on different subnets.

Class B provides for bandwidth efficient exchange of information between the primary station and each secondary station on the same physical link. Class B does not ensure delivery. Frames received with errors are discarded. If re-transmissions are needed, it is the responsibility of the Application Layer to provide them. This class of service is primarily intended for short command and reply messages where delivery time is a strong consideration.

The Class B Profile can be used to poll or transmit data to and from roadside devices such as traffic signal controllers, surveillance detectors, variable message signs, or preemption devices. It can also be used for communicating with traveler information kiosks or similar devices. A prerequisite is the direct connection of management center and roadside device, because the Class B Profile does not allow for routing of messages

#### **A.2.1.1.4 Class C Profile**

Class C is a profile providing connection-oriented services similar to the data transmission within the Internet. In fact, the Class C Profile includes the same protocols on the Network (using Internet Protocol or IP) and Transport (using TCP) Layers of the OSI model. This profile is not yet finalized but will probably not include the untested Simple Transportation Management Protocol (STMP), as required for the Class B and Class A Profiles. Instead, it will utilize the Simple Network Management Protocol (SNMP), TELNET, and the File Transfer Protocol (FTP), which are well-tested and implemented within the Internet and intranet networks.

Class C may seem to provide the ideal service; however, it imposes additional overhead. Before any information can be passed, a connection between the devices must be established. The connection procedure takes a certain amount of time. When the information transfer is completed, the connection must be formally closed.

The main difference between the Class C Profile and the Class B Profile is that Class C messages can be routed through an intermediate device, e.g., from a central location to a field device. Another aspect is the capability to “chop” large data files into smaller data packets (file transfer) and to sequence these packets so that they can be assembled correctly at the receiving end.

A variety of traffic signal applications can benefit from the Class A and/or Class C Profiles. Different types of field devices, such as traffic signal controller, video surveillance cameras, and variable message signs, from various different manufacturers could be connected to one

common communications line and still be controlled and monitored from the traffic management center. Currently, it is not possible to connect existing field devices that utilize different communications protocols to the same communications channel as NTCIP.

#### **A.2.1.1.5 Class D Profile**

The Class D Profile is intended for dial-up connections. The protocol will include security features such as dial-back. Development work on the Class D profile has not occurred yet.

#### **A.2.1.1.6 Class E Profile**

The Class E Profile specifies the suite of protocols that allows for center-to-center communications. The specification of this Profile is at a very preliminary stage and its anticipated development completion date is 1999. One of the first steps in developing this standard is the definition of the Transportation Management Data Dictionary (TMDD) specifying the content of data that needs to be transmitted between management centers.

Several different existing and emerging protocols, mostly specifying the application layer protocol and ultimately influencing the underlying layers of the OSI model, are under consideration for this profile but a consensus has not been reached.

The transportation industry can utilize this standard to ensure compatibility between multiple transportation management centers or service providers. The Class E Profile should not be used separately unless the data format of messages to be exchanged are known to both the transmitting and receiving management centers.

#### **A.2.1.1.7 Class F Profile**

Another NTCIP compatible and NTCIP-compliant method for center-to-center communications has been introduced. The introduction of a Class F Profile took place in December 1996 but the information regarding this proposed standard development effort has not yet been specified in writing.

#### **A.2.1.1.8 Message Sets**

NTCIP utilizes message sets that define how a particular function or parameter is defined and described, and what the allowed ranges are for each parameter (or objects as they are called). All objects have a unique name which is based on a location under a global tree. NEMA has a node (or branch) within the global tree and assigns unique names to each known and defined object. Because of the history, NEMA first tried to define signal controller objects, but detected very quickly that many objects (parameters and/or functions) are not unique to signal controller applications (e.g., time) and created another message set that contains common objects (referred to as Global Object Definitions). As of February 1998, five of these message sets have been completed and voted as acceptable and are available from NEMA (see section 5).

However, these have not reached a maturity level needed for final approval and publication by the Joint NTCIP Committee and for U.S. DOT rules requiring use in Federally funded ITS projects

beyond a trial basis. However, they are not expected to undergo any significant changes from testing and field trials. Manufacturers are developing compatible products and agencies are encouraged apply these standards.

#### **A.2.1.1.9 Future Developments**

NTCIP is envisioned to cover many different types of communications. The flexibility of NTCIP achieved through following the OSI Reference Model allows the expansion to various, not yet considered communications protocols on the different layers of the OSI model. Interoperability is provided by defined interface setups (APIs) that the layer protocols are required to follow.

#### **A.2.1.2 TCIP**

The Transit Communications Interface Profiles (TCIP) is a standards development effort that may consist of several suites of protocols and data message sets. TCIP's primary goal is the definition of data interfaces to both transit-related applications and the National ITS Architecture data flows. Transit-related application interfaces are anticipated to include the FTA National Transit GIS standard (under development, see below) and consider the Advanced Public Transit Systems (APTS) Map and Spatial Database User Requirement specifications (also under development) as well as the NTCIP, DSRC, and other standardization efforts. TCIP will be developed by addressing data flows as identified within the National ITS Architecture to the greatest extent possible. Interfaces needed for other transit-related applications that have not been addressed will also be identified.

The TCIP development effort is expected to augment the information management area of NTCIP with transit-related information and message formats that facilitate the exchange of transit information among operations centers, transit vehicles and the infrastructure. The TCIP will provide additional NTCIP Class Profiles or subsets of existing and planned Class Profiles, and the necessary bridges for information transfer from legacy transit systems to advanced information systems developed conforming to the National ITS Architecture. The characteristics of transit information exchange may be best served, for example, by one of the five NTCIP Class Profiles, by one of the Profiles of SAE J1708, or by TCIP. However, the main focus of TCIP will be the development of message formats to exchange transit information in a standardized manner.

The TCIP effort is lead by the Institute of Transportation Engineers (ITE) and supported by a large group of technical advisors consisting of members of the transit community such as FTA, APTS, and APTA. ITE is a recognized Standard Development Organization (SDO) that was awarded a contract by the US DOT to develop the TCIP standard. As of February 1998, the time frame currently scheduled for the TCIP development ends in 1998.

The following have been identified as preliminary targets for the TCIP work:

- 1.) data flows internally and externally:
  - a.) internal data flows: interdepartmental within a transit property or within the different branches (remote offices), Transit Management

- b.) external data flows: Center (TrMC) to transit vehicles, transit kiosks, and other items such as roadside transmitters  
TrMC to TMC or other centers such as service providers and financial agents (e.g., credit card companies and banks)
- 2.) static reference and dynamic data transfers:
- a.) static reference data flows: for example, route and bus stop inventory, schedule, fare, and spatial data transfers
- b.) dynamic data flows: for example, pre-trip itinerary planning, safety and security information, and detour and service delay data transfers  
TCIP will ensure interoperability and compatibility to NTCIP and SAE J1708/J1587 by creating gateway protocols, also termed application programming interfaces (APIs).

Further information can be obtained from the following source:

<http://www.tcip.org>

### **A.2.1.3 Dedicated Short Range Communications (DSRC)**

Dedicated Short Range Communications (DSRC) consists of short-range communications devices that are capable of transferring high rates of data over an air interface between mobile or stationary vehicles and normally stationary devices that are either mounted to structures along the roadway or are hand-held. One way of accomplishing these communications is through use of radio frequency (RF) beacons. RF beacon technology generally consists of a transponder (tag), transceiver (reader), and transceiver antenna (beacon). DSRC is also known as vehicle-roadside communications (VRC).

The National ITS Architecture program recognized the need for DSRC systems for those specific applications that require a close physical interaction between the vehicle and the roadside infrastructure, such as in toll collection, commercial vehicle electronic clearance and roadside safety inspection, etc. However, DSRC is considered inappropriate for applications such as route guidance that can be more efficiently served by wide-area ITS communications. Because of the dedicated nature and limited range of DSRC systems, the National ITS Architecture realizes that the costs of deploying DSRC will have to be absorbed by the ITS applications they support, including both public and private investment. The technical and applications aspects of DSRC are covered in the Communications, Physical Architecture and Theory of Operations documents produced by the National ITS Architecture program.

The following applications have been identified as candidates to utilize DSRC as a primary communications technique or mechanism:

- ◆ Electronic Toll and Parking Payments
- ◆ Commercial Vehicle Operations
  - International Border Clearance
  - Electronic Clearance
  - Safety Inspection

- Automated Equipment Identification and Freight Management
- Off-Line Verification
- ◆ Transit and Emergency Vehicle Operations
- ◆ Fleet Management
- ◆ Use of Vehicles as Probes to Obtain Link Travel Times
- ◆ In-Vehicle Signing
- ◆ Intersection Collision Avoidance and Automated Highway Systems
- ◆ Commercial Applications (e.g., drive-through purchases)
- ◆ Intersection Safety Warning

To encourage development of nationally, and perhaps internationally, compatible Intelligent Transportation Systems using DSRC, the ITS Joint Program Office (JPO) in the U.S. Department of Transportation has promoted the voluntary consensus development approach with wide private and public participation. Leading this effort are the American Society for Testing and Materials (ASTM) and Institute of Electrical and Electronic Engineers (IEEE).

### **A.3 Automated Vehicle Location (AVL) Systems**

The application of AVL is a very beneficial application in terms of implementing ITS technologies. It will enable fleet, transit and emergency services managers to manage vehicles in real-time with reference to the roadway network.

There are many AVL systems in existence. However, all of these AVL systems are proprietary, locking implementing agencies into a vendor-specific system. Most of these AVL systems have not been designed to allow for integration with an overall management system. Therefore, expansion to include upgrades, include other subsystems, or the integration of an AVL system into an overall management system will be very expensive.

The transportation industry has expressed the need for an AVL standard to allow for interoperability and integration of subsystems. The U.S. DOT placed AVL high on the priority list of standards that need to be developed for ITS technologies.

The Institute of Electrical and Electronic Engineers (IEEE) has been designated as the lead organization to develop the message set (applications standard) for AVL. However, other standards specifying the communications protocols are also needed.

Currently existing and planned standards usable for AVL are listed in the ITS Standards Catalog available on-line at the following World Wide Web site:

**<http://www.itsa.org>**

## Appendix B. Glossary

**Advanced Traffic Management Systems (ATMS)** - The Advanced Traffic Management System category of ITS functions. Includes adaptive traffic signal control, electronic road pricing, and toll collection.

**Advanced Traveler Information Systems (ATIS)** - The Advanced Traveler Information System category of ITS functions. Includes vehicle navigation, route guidance, in-vehicle signage, intermodal travel information, trip planning, and mayday communication.

**Algorithm** - A procedure, process, or rule for the solution of a problem in a finite number of steps. An algorithm may be a set of computational rules for the solution of a mathematical problem or for evaluating a function.

**Advanced Public Transportation Systems (APTS)** - The Advanced Public Transportation System category of the ITS functions. Includes vehicle location and schedule monitoring, real-time transit, ride-share and HOV information.

**Architecture Flow** - A grouping of data flows (from the logical architecture) that originate at one subsystem and end at another (in the physical architecture).

**Arterial System** - A linear sequence of signals on an arterial supervised to provide progressive flow in one or both directions.

**Automated Vehicle Identification (AVI)** - System that has three functional elements: a vehicle-mounted transponder (also known as a vehicle tag); roadside reader unit (also known as a tag reader); and a processing control unit.

**Automated Vehicle Location (AVL)** - A computerized system that tracks the current location of vehicles, buses, etc., enabling fleets to function more efficiently.

**Bus Priority** - Cycle-by-cycle timing of a traffic signal so the beginning and end times of green may be shifted to minimize delay to approaching buses. The normal sequence of signal displays is usually maintained.

**CCTV** - Closed Circuit Television

**Centralized System** - A computerized traffic signal control system in which the master computer, central communication facility, console, keyboard, and display equipment are all situated at a single location. From this center, the operating staff coordinate and control traffic signals and related traffic functions in the area.

**Closed-Loop Signal System** - A system that provides two-way communication between the intersection signal controller and its master controller. The master controller communicates to the traffic operations center.

**Command** - A signal (typically from the central computer or master controller) that initiates a control function.

**Communication System** - The composite of communication links and associated communications equipment which interconnect all the control and surveillance components of a traffic control system.

**Communications Addressing** - The process of selecting a specific receiving unit on a multidrop line or network so that the message can be sent to the unit alone.

**Communications Control Unit (CCU)** - The portion of a system that handles the communication processes. The CCU may be a software program or a separate hardware unit. It handles message transmission, errors, control functions, and other communication-related tasks.

**Congestion** - A freeway condition where traffic demand exceeds roadway capacity. Normally occurs during peak travel periods or when a traffic incident reduces capacity by creating a bottleneck.

**Council of ITS Standards** - The council established by ITS America (Standards and Protocol Committee) to coordinate the standards-setting efforts in USA and international. Includes representatives from ANSI, IEEE, SAE, ASTM, EIA, NAB, NEMA, TIA, ITE, and AASHTO.

**Cycle** - In a pretimed controller unit, a complete sequence of signal indications. In an actuated controller unit, a complete cycle is dependent on the presence of calls on all phases.

**Cycle Length** - The time required for one complete sequence of signal phases.

**Delay** - The retardation of traffic flow through a segment of roadway or intersection for a definite period of time.

**Demand** - The need for service, e.g., the number of vehicles desiring use of a given segment of roadway or intersection during a specified unit of time.

**Detector** - A device for indicating the presence or passage of vehicle or pedestrians. The general term is usually supplemented with a modifier; loop detector, magnetic detectors, etc. indicating type.

**Distributed System** - A control system in which individual computers are installed at each of the major control areas of a total system, and a supervising master is used to provide interface between the individual areas and to make decisions on timing patterns affecting two or more areas.

**Diversion** - An aspect of corridor control which refers to the directing of traffic from a corridor with excess demand to those with excess capacity.

**Diversion Strategy** - a strategy for diverting traffic that optimizes corridor operations in response to corridor incidents.

**Emergency Management** - The bundle of ITS user services that includes; emergency notification and personal security; and emergency vehicle management.

**Emergency Vehicle Preemption** - The transfer of the normal control of signals to a special signal control mode for emergency vehicles.

**Equipment Package** - A set of like functions (see *process specifications*) of a subsystem grouped together in the National ITS Architecture that represents an “implementable” package of hardware and software capabilities.

**Equipment Status Monitoring** - The ability to determine the operational characteristics of a remote device in terms of: *operating normally, malfunctions, communications errors, etc.*

**Field Equipment** - That equipment or hardware which is located on the street, such as an intersection controller assembly, signal heads, and detectors.

**Hardware** - The physical equipment in a computer system. (see *Software*).

**Highway Advisory Radio (HAR)** - Also know as Traveler’s Information Stations (TIS), or Traveler’s Advisory Radio (TAR). These systems provide travel or roadway information to motorists via their AM radio sets. The FCC regulates the use of HAR.

**Incident** - An occurrence in the traffic stream which causes a reduction in capacity or abnormal increase in demand. Common incidents include accidents, stalled vehicles, spilled loads, and special events.

**Intelligent Transportation Systems (ITS)** - The collection of transportation services and infrastructure that will implement the goals of ISTEA. ITS uses advanced technologies to provide the range of traffic-based user services.

**Intermodal Surface Transportation Efficiency Act of 1991 (ISTEA-91)** - A Congressional act whose purpose is to develop a National Intermodal Transportation System that is economical efficient and environmentally sound, provide the foundation to compete in the global economy and move people and goods in an energy efficient manner. Provides governmental basis for research and deployment of ITS technologies.

**International Organization for Standardization (ISO)** - An international standards organization. ANSI is the U.S. representative to ISO.

**Intersection** - The common area of roadways that meet or cross.

**Layer** - A breakdown or stratification of the physical architecture; comprised of the transportation layer and the communications layer.



**Local Controller: Pretimed** - A device that controls all timing intervals to a fixed pre-determined plan. Works best where traffic is predictable and constant.

**Local Controller: Full-Actuated** - A device that controls the length of all timing intervals based on detected traffic demand on the associated approach. Adjusts cycle and split to fit changing demand.

**Local Controller: Semi-Actuated** - A device that controls some approaches on the basis of detected traffic demand. Non-actuated phases receive minimum green interval that extends until interrupted by actuation on other phases.

**Logical Architecture** - The identification of system functional processes and information flows grouped to form particular transportation management functions. These processes are broken down into subprocesses and further into process specifications or p-specs.

**Mainline: Freeway** - The freeway proper as distinguished from the entrance ramps, exit ramps, and interchange geometry of the freeway.

**Market Package** - Within the National ITS Architecture, a set of equipment packages required to work together to deliver a given service and the major architecture flows between them and other important external systems.

**Measures of Effectiveness (MOE)** - The quantitative variables derived from traffic measurements that measure the improvement in traffic operations ranging from one signalized intersection to a complete system. Common MOEs are total travel time, total travel, number and recent of stops, delay, average speed, accident rate, and throughput.

**Metering** - Traffic control method or technique for regulating traffic flow.

**Metering Rate** - Number of vehicles allowed to enter a given section of roadway per unit time.

**National Transportation Communications for ITS Protocol (NTCIP)** - A family of protocols being developed for the transportation community.

**NEMA** - National Electrical Manufacturers Association, a standards development body.

**Occupancy** - Percent of time that a point on a roadway is occupied by a vehicle.

**Open Systems Interconnect Reference Model (OSI Model)** - A communications model established by the International Standards Organization (ISO) that breaks down the aspects of communications into seven layers or discrete functions to reduce complexity and provide support for open communications. The layers range from the physical layer to the application layer.

**Phase** - The portion of a traffic cycle allocated to any single combination of one or more traffic movements simultaneously receiving the right-of-way during one or more intervals.

**Phase Sequence** - A predetermined order in which the phases of a cycle occur.

**Physical Architecture** - The physical (versus functional) view or representation of a system.

**Preemption/Priority Systems** - Preemption control of normal signal timing plans applies in the following situations: priority for selected transit vehicles; preemption for emergency vehicles; and preemption for approaching trains at signals adjacent to railroad grade crossings.

**Process Specifications** - The lowest level of functional hierarchy, process specifications (also known as p-specs) are elemental functions that must be performed to satisfy user service requirements.

**Project Management** - A management process that transforms a design into an installed system. Uses management tools such as: contract administration; project scheduling; construction management; work breakdown structure; defined and budgeted work packages; project design reviews and audits; and costs/progress status reports. This process carries forward the implementation of the system design. Tasks include: procurement of subsystems, software, and equipment, contractor performance monitoring, documentation; design reviews, development, integration, development testing, acceptance testing; training, hands-on training, and turnover to user, followed by a warranty period covering design, construction, installation and operational

**Queue Length** - (1) Number of vehicles stopped in a lane behind the stopline at a traffic signal. (2) Number of vehicles that are stopped or moving in a line where the movement of each vehicle is constrained by that of the lead vehicle.

**Ramp Metering** - The most widely used form of freeway traffic control. It regulates the number of vehicles entering the freeway over a given time interval so that demand does not exceed capacity.

**Signal Priority Systems** - Priority control at signalized intersections are typically used for reduction of transit delay. Conditional signal priority for transit vehicles can be implemented through: phase/green extension; phase early start or red truncation; red interrupt or special phase; phase suppression or skipping; and window stretching.

**Software** - Various computer programs to facilitate the efficient operation of the system. Software items include: assemblers; compilers, generators; subroutines; libraries; operating systems; and application programs.

**Split** - The percentage of a cycle length allocated to each of the various phases in a single cycle.

**Subsystem** - A physical entity within the transportation layer of the National ITS Architecture.

**Supervisory Local Controller** - A control device ranging from a time-base coordination unit to a remote master controller that determines or alters interval duration and/or maintains timing relationships in a group of local controllers.

**Threshold** - A present level or value of a parameter which indicates that a change of activity will occur if the current value is above or below this level.

**Time-of-Day Operation (TOD)** - Signal timing plans selected according to time-of-day

**Timing Plan** - A set of cycle lengths, splits, and offsets within a section of signals. The particular timing for each intersection may vary with time-of-day within the plan.

**Traffic Signal Coordination** - the establishment of a definite timing relationship between adjacent traffic signals.

**Transit Communications Interface Profiles (TCIP)** - A subset of NTCIP protocols which are specific to the transit community.

**Urban Traffic Control System (UTCS)** - A widely deployed real-time traffic responsive system control system originally developed by the Federal Highway Administration (FHWA) and prototyped in Washington, D.C.

**User Service** - A categorization of ITS that represents what the system will do from a user's perspective. User services formed the basis for the National ITS Architecture development.

**User Service Bundles** - A collection of ITS user services that have common characteristics and can be deployed in a coordinated manner.

**User Service Requirement** - The decomposition of each user service into fundamental needs.

**Variable Message Sign (VMS)** - Signs that electronically or mechanically vary the visual word, number or symbolic display as traffic conditions warrant. Also referred to as changeable message signs or as dynamic message signs.

**Wide Area Network** - Any one of a number of technologies that provides geographically distant transfer.

## Appendix C. Physical Architecture Data Flows Associated With Traffic Signal Control

The physical architecture allocates the functionality defined in the logical architecture into subsystems based on the functional similarity of the process specifications and the typical locations of functions in transportation systems. By defining four subsystem classes (Traveler, Roadway, Center and Vehicle) and 19 subsystems, the National ITS Architecture provides a framework for development of a regional physical architecture. Once the subsystems of the physical architecture have been defined, and the interfaces required between them identified, a detailed system design can be developed.

Figure C-1 provides an illustration of the physical data flows into and out of the Traffic Management Subsystem.

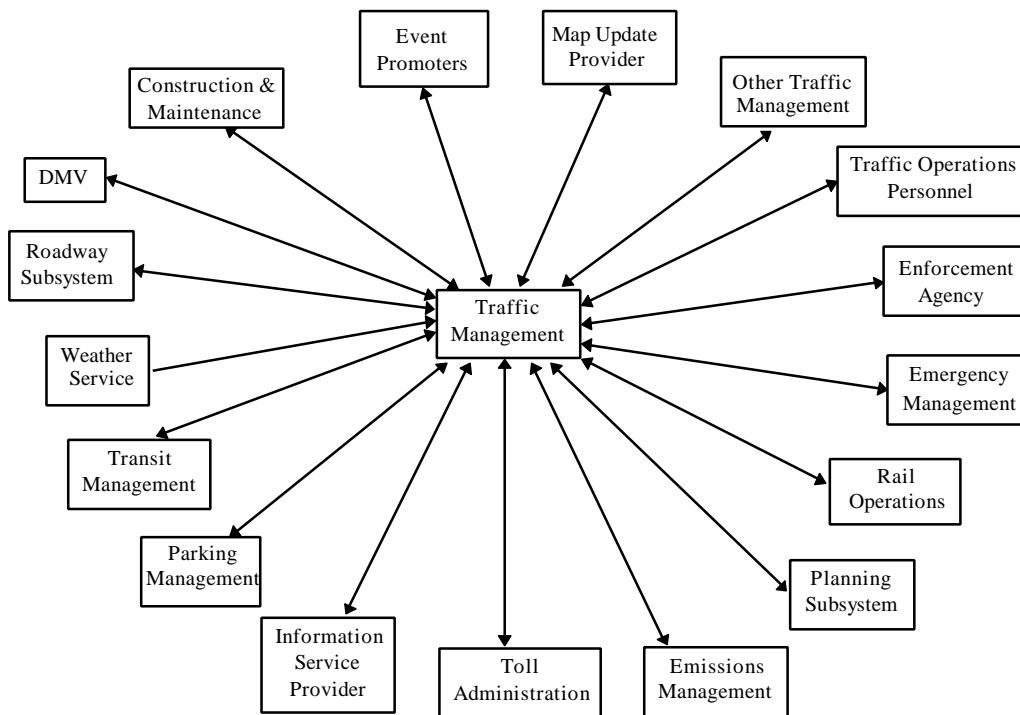


Figure C-1. Physical Data Flows for Traffic Management

The balance of Appendix C lists important physical data flows that may be associated with traffic signal control.<sup>1</sup> The format of each is as follows:

<sup>1</sup> This appendix was derived from the January 1997 version of the National ITS Architecture. Since this information is subject to change as updates are implemented, the reader should always consult and defer to the latest version of the National ITS Architecture (see section 5 of



- ◆ Logical Architecture Reference Flow: `incident_response_status`

**Emergency Vehicle Subsystem -> Roadway Subsystem**

*Physical Architecture Flow Name: emergency vehicle preemption request*

request to TMS for signal preemption either through roadside or directly to TMS

- ◆ Logical Architecture Reference Flow: emergency\_vehicle\_preemptions

**Emissions Management -> Traffic Management**

*Physical Architecture Flow Name: wide area statistical pollution information*

emissions from vehicles as measured at the roadside

- ◆ Logical Architecture Reference Flow: pollution\_state\_data
- ◆ Logical Architecture Reference Flow: pollution\_incident
- ◆ Logical Architecture Reference Flow: wide\_area\_pollution\_data

**Event Promoters -> Traffic Management**

*Physical Architecture Flow Name: event plans*

plans for major events impacting traffic

- ◆ Logical Architecture Reference Flow: fep\_event\_information

**Information Service Provider -> Traffic Management**

*Physical Architecture Flow Name: incident notification*

notification by a motorist of an incident on the roadway through the emergency network

- ◆ Logical Architecture Reference Flow: media\_incident\_data\_updates
- ◆ Logical Architecture Reference Flow: confirm\_incident\_data\_output

*Physical Architecture Flow Name: logged route plan*

route plan that may be used for demand management or optimal routing

- ◆ Logical Architecture Reference Flow: logged\_hazmat\_route
- ◆ Logical Architecture Reference Flow: low\_traffic\_route

*Physical Architecture Flow Name: request for traffic information*

request issued to agency which collects traffic data for traffic conditions

- ◆ Logical Architecture Reference Flow: request\_incident\_media\_data
- ◆ Logical Architecture Reference Flow: traffic\_data\_media\_request





**Planning Subsystem** -> **Traffic Management**

*Physical Architecture Flow Name:* *planning data*

data to Transportation Planners

- ◆ Logical Architecture Reference Flow: link\_data
- ◆ Logical Architecture Reference Flow: supply\_incident\_static\_data
- ◆ Logical Architecture Reference Flow: static\_data\_request
- ◆ Logical Architecture Reference Flow: supply\_traffic\_static\_data
- ◆ Logical Architecture Reference Flow: traffic\_data\_deployment\_request

**Rail Operations** -> **Traffic Management**

*Physical Architecture Flow Name:* *railroad advisories*

real-time notification of railway incidents

- ◆ Logical Architecture Reference Flow: fro\_incident\_notification

*Physical Architecture Flow Name:* *railroad schedules*

train schedules, maintenance schedules, and other information from the railroad that supports forecast of HRI closures.

- ◆ Logical Architecture Reference Flow: fro\_maintenance\_schedules
- ◆ Logical Architecture Reference Flow: fro\_train\_schedules

**Roadway Subsystem** -> **Traffic Management**

*Physical Architecture Flow Name:* *fault reports*

reports from signals and displays on the roadside which are not functioning properly

*Physical Architecture Flow Name:* *HOV data*

HOV data from roadside indicating information regarding vehicle occupancy in HOV lanes

- ◆ Logical Architecture Reference Flow: roadside\_fault\_data
- ◆ Logical Architecture Reference Flow: hov\_lane\_data\_input

*Physical Architecture Flow Name:* *hri status*

status of the highway-rail intersection equipment including both the current state or mode of operation and the current equipment condition

- ◆ Logical Architecture Reference Flow: hri\_guidance\_for\_beacon\_message
- ◆ Logical Architecture Reference Flow: hri\_guidance\_for\_vms

- ◆ Logical Architecture Reference Flow: hri\_status
- ◆ Logical Architecture Reference Flow: hri\_traffic\_data
- ◆ Logical Architecture Reference Flow: rail\_operations\_message
- ◆ Logical Architecture Reference Flow: traffic\_management\_request

*Physical Architecture Flow Name: incident data*

incident imagery and other data from roadside

- ◆ Logical Architecture Reference Flow: incident\_analysis\_data
- ◆ Logical Architecture Reference Flow: vehicle\_pollution\_alert
- ◆ Logical Architecture Reference Flow: vehicle\_pollution\_message\_for\_highways
- ◆ Logical Architecture Reference Flow: vehicle\_pollution\_message\_for\_roads

*Physical Architecture Flow Name: intersection blockage notification*

notification that a highway-rail intersection is obstructed and supporting information

- ◆ Logical Architecture Reference Flow: hri\_blockage
- ◆ Logical Architecture Reference Flow: intersection\_blocked

*Physical Architecture Flow Name: local traffic flow*

traffic flow over local streets

- ◆ Logical Architecture Reference Flow: traffic\_image\_data
- ◆ Logical Architecture Reference Flow: traffic\_sensor\_data

*Physical Architecture Flow Name: signal control status*

status of surface street signal controls

- ◆ Logical Architecture Reference Flow: indicator\_input\_data\_from\_roads

*Physical Architecture Flow Name: signal priority request*

request for priority at signal either generated by emergency vehicle or transit vehicle. May be dealt with at roadside or forwarded to TMC

- ◆ Logical Architecture Reference Flow: indicator\_input\_data\_from\_roads

**Toll Administration** -> **Traffic Management**

*Physical Architecture Flow Name: demand management price change response*

response to change request indicating level of compliance with request

- ◆ Logical Architecture Reference Flow: toll\_price\_changes\_response



**Traffic Management** -> **Other TM**

*Physical Architecture Flow Name:* TMC coordination

traffic information exchanged between TMCs. Normally could include congestion data, traffic data, signal timing plans, real-time signal control information

- ◆ Logical Architecture Reference Flow: totc\_data\_request
- ◆ Logical Architecture Reference Flow: totc\_identity
- ◆ Logical Architecture Reference Flow: totc\_transfer\_data

**Traffic Management** -> **Rail Operations**

*Physical Architecture Flow Name:* hri advisories

notification of Highway-Rail Intersection equipment failure, intersection blockage, or other condition requiring attention, and maintenance activities at or near highway rail intersections

- ◆ Logical Architecture Reference Flow: tro\_event\_schedules
- ◆ Logical Architecture Reference Flow: tro\_equipment\_status
- ◆ Logical Architecture Reference Flow: tro\_incident\_notification

**Traffic Management** -> **Roadway Subsystem**

*Physical Architecture Flow Name:* hri control data

HRI information transmitted at railroad grade crossings and within railroad operations

- ◆ Logical Architecture Reference Flow: rail\_operations\_advisories
- ◆ Logical Architecture Reference Flow: indicator\_sign\_control\_data\_for\_hri
- ◆ Logical Architecture Reference Flow: rail\_operations\_device\_command

*Physical Architecture Flow Name:* hri request

a request for HRI status or a specific control request intended to modify HRI operation

- ◆ Logical Architecture Reference Flow: hri\_traffic\_surveillance
- ◆ Logical Architecture Reference Flow: ro\_requests
- ◆ Logical Architecture Reference Flow: tms\_requests

*Physical Architecture Flow Name:* signage data

information sent to vehicles about traffic

- ◆ Logical Architecture Reference Flow: vehicle\_sign\_data

*Physical Architecture Flow Name:*                      *signal control data*

Control information to surface street signals

- ◆ Logical Architecture Reference Flow:                      *indicator\_control\_data\_for\_roads*
- ◆ Logical Architecture Reference Flow:                      *indicator\_control\_monitoring\_data\_for\_road*  
s

*Physical Architecture Flow Name:*                      *surveillance control*

control signals for surveillance devices

- ◆ Logical Architecture Reference Flow:                      *incident\_video\_image\_control*
- ◆ Logical Architecture Reference Flow:                      *traffic\_video\_camera\_control*

**Traffic Management**    ->                      **Operations Personnel**

*Physical Architecture Flow Name:*                      *traffic operations data*

data detailing performance of the road network including current and historical data

- ◆ Logical Architecture Reference Flow:                      *ttop\_video\_image\_output*
- ◆ Logical Architecture Reference Flow:                      *ttop\_traffic\_control\_information\_display*
- ◆ Logical Architecture Reference Flow:                      *ttop\_current\_indicator\_faults*
- ◆ Logical Architecture Reference Flow:                      *ttop\_undefined\_response\_details*
- ◆ Logical Architecture Reference Flow:                      *ttop\_possible\_incidents\_data*
- ◆ Logical Architecture Reference Flow:                      *ttop\_incident\_information\_display*
- ◆ Logical Architecture Reference Flow:                      *ttop\_defined\_incident\_responses\_data*
- ◆ Logical Architecture Reference Flow:                      *ttop\_possible\_defined\_response\_output*
- ◆ Logical Architecture Reference Flow:                      *ttop\_incident\_video\_image\_output*

**Traffic Management**    ->                      **Transit Management**

*Physical Architecture Flow Name:*                      *demand management price change request*

request to change the pricing for road facility use based on demand

- ◆ Logical Architecture Reference Flow:                      *transit\_services\_demand\_request*
- ◆ Logical Architecture Reference Flow:                      *transit\_conditions\_demand\_request*
- ◆ Logical Architecture Reference Flow:                      *transit\_services\_changes\_request*

*Physical Architecture Flow Name:* *signal priority status*

status of signal priority request functions at the roadside (e.g. enabled or disabled)

- ◆ Logical Architecture Reference Flow: transit\_highway\_priority\_given

*Physical Architecture Flow Name:* *traffic information*

congestion, pricing, and incident information

- ◆ Logical Architecture Reference Flow: prediction\_data

**Traffic Operations Personnel** -> **Traffic Management**

*Physical Architecture Flow Name:* *traffic control*

instructions to the TMC from an operator to adjust signal timing plans, change CMS or roadway signing, demand factors etc.

- ◆ Logical Architecture Reference Flow: ftop\_defined\_incident\_response\_data\_update
- ◆ Logical Architecture Reference Flow: ftop\_incident\_camera\_action\_request
- ◆ Logical Architecture Reference Flow: ftop\_incident\_data\_amendment
- ◆ Logical Architecture Reference Flow: ftop\_defined\_incident\_response\_data\_request
- ◆ Logical Architecture Reference Flow: ftop\_update\_defined\_incident\_responses
- ◆ Logical Architecture Reference Flow: ftop\_traffic\_information\_requests
- ◆ Logical Architecture Reference Flow: ftop\_incident\_information\_requests
- ◆ Logical Architecture Reference Flow: ftop\_video\_camera\_action\_request
- ◆ Logical Architecture Reference Flow: ftop\_traffic\_data\_parameter\_updates

**Transit Management** -> **Traffic Management**

*Physical Architecture Flow Name:* *request for transit signal priority*

request for signal priority either through roadside or directly to TMS

- ◆ Logical Architecture Reference Flow: transit\_highway\_overall\_priority

**Transit Vehicle Subsystem** -> **Roadway Subsystem**

*Physical Architecture Flow Name:* *local signal priority request*

request between vehicle and roadside

- ◆ Logical Architecture Reference Flow: transit\_vehicle\_roadway\_priority\_request

**Weather Service**

**-> Traffic Management**

*Physical Architecture Flow Name:*                      *weather information*

predicted and accumulated weather data

- ◆ Logical Architecture Reference Flow:                      from\_weather\_service
- ◆ Logical Architecture Reference Flow:                      fws\_current\_weather
- ◆ Logical Architecture Reference Flow:                      fws\_predicted\_weather

Useful National ITS Architecture Document: Physical Architecture



## Appendix D. National ITS Architecture Products

Provided below is a brief overview of all documents that are part of the National ITS Architecture.

**Vision Statement** Written in “magazine style”, the Vision Statement sketches a number of possible scenarios of ITS development over the next 20 years. It describes how travelers and system operators may be able to use and benefit from ITS technologies in their day-to-day activities. While the Vision Statement is not a technical document, it does describe the potential impact of ITS technologies on the management of the nation’s transportation system.

**Mission Definition** The first of the technical documents, the Mission Definition covers a broad range of ITS-related issues. It contains the overall mission of ITS deployment, as well as the operational concept, which deals with specific ITS goals and objectives; ITS user groups and other stakeholders; ITS user services; and potential sources for funding, operations and maintenance. The document also defines operational requirements at the system level, user requirements, performance requirements, and program requirements.

These concepts are important aspects of the National Architecture throughout the deployment process, since they provide the overall direction for the ITS program. Constant evaluation of a region’s ITS deployment against the national goals and objectives will ensure that regional ITS deployment is compatible with the philosophy of the National Architecture. The Mission Definition document is important for those that are involved with the initial concepts definition of an ITS system for a particular region.

**Logical Architecture** The Logical Architecture document contains three volumes: *Description* (Volume 1), *Process Specifications* (Volume 2), and *Data Dictionary* (Volume 3). These documents present a functional view of the ITS user services, contain diagrams that show processes and data flows among them, and define data elements, respectively.

**Physical Architecture** The Physical Architecture document describes the transportation and communications layers resulting from the partitioning of the processes within the logical architecture, presents architecture flow diagrams that show data passing among physical subsystems, and provides characteristics and constraints on the data flows.

**Theory Of Operations** This document provides a detailed narrative of the manner in which the architecture supports the ITS user services, described in the Mission Definition. It is a technical document, intended for engineers, operators, and others involved detailed systems design.

**Traceability Document** The Traceability Document is a technical document that is used in conjunction with and throughout the development of the Logical and Physical Architectures. It lists all the User Service Requirements (USR), which constitute the highest-level functional specifications for ITS, as provided by the U.S. Department of Transportation. In several tables, these USRs are mapped to the various logical and physical components of an ITS system. The document should be used primarily by those involved in detailed design.

**Implementation Strategy** The Implementation Strategy document ties the elements the National Architecture together, and is intended to assist ITS implementors at all levels with cost-effective, efficient ITS deployment.

**Standards Development Plan** This document discusses the issues that are involved in the development of system interface standards. It is primarily intended for Standards Development Organizations and system designers, and will be important at the integration step in the Systems Engineering Process.

**Standards Requirements** This is a set of 12 Standards Requirements Packages that presents detailed data flow and interface information pertaining to the priority standards packages that need to be developed to implement the architecture. It, too, is primarily intended for Standards Development Organizations and system designers, and will be important at the integration step in the Systems Engineering Process.

**Evaluatory Design** The Evaluatory Design document is intended to evaluate the National Architecture's performance, benefits, and costs for three conceptual scenarios at various points in time. The scenarios consist of "typical" deployment environments: urban, inter-urban, and rural. The entire document will assist you in developing an evaluation methodology for the architecture that you have developed for your particular region.

**Communications Document** This document provides a thorough analysis of the communications requirements of the National Architecture, and ITS in general, and includes a discussion of options for implementing various communications links. With the latest version of the National Architecture, an addendum to this document was published, detailing requirements for the Highway-Rail Intersections User Service. It is an important document for those involved in detailed design and integration during the Systems Engineering Process.

**Risk Analysis** This document presents an analysis of potential critical risks that may delay or prevent the deployment of ITS technologies, and recommends mitigation plans which will eliminate or reduce these risks to the deployment process. It is intended for implementors that are involved with the details of ITS deployment in their region, throughout the development of the Regional Architecture.

**Cost Analysis** The Cost Analysis document has two purposes. First, it develops a high-level cost estimate of the expenditures that are associated with implementing ITS components. Second, it is a costing tool for implementers, by providing unit prices and systems costs of ITS subsystems. There is significant correlation between the Cost Analysis and the Evaluatory Design documents; the Cost Analysis is based largely on the assumptions made for the three deployment scenarios (urban, inter-urban, and rural). The latest version of the National Architecture documents contains an addendum to the Cost Analysis, accounting for the Highway-Rail Intersection User Service. This is an important document for those involved in planning and design, and could be useful to those responsible for project management in the Systems Engineering Process, including funding and procurement.

**Performance and Benefits Study** This document assesses the technical performance of the National Architecture on a number of system-level and operational-level criteria. It could be

helpful in supporting the case for ITS deployment, as it provides a measure of the degree to which ITS can help achieve some regional transportation goals.

**Evaluation Results** This document contains a concise summary of the various evaluations that were performed in five other National Architecture documents: Evaluatory Design, Communications Analysis, Cost Analysis, Performance and Benefits, and Risk Analysis.

**Executive Summary** Provides an overview of the most important aspects of the National Architecture, most notably the Logical and Physical Architectures.