

\*Text highlighted in **Green** is new (introduced by the framework). Uncolored text was in the participant's original requirements.\*

#### 1. TITLE: Safety Penalties for Traffic Signal Control

SYSTEM\_REQUIREMENT: The RL system must incorporate penalties to discourage unsafe behaviors in traffic signal control.

IMPLEMENTATION\_DETAILS:

- \* Penalty discourages excessive queue lengths to prevent congestion and rear-end collisions

- \* Penalty discourages frequent or abrupt signal changes to prevent erratic phase transitions

- \* A constraint assigns a probability that a previously applied action will be reapplied consecutively with a default probability of 25% in Atari-like environments.

RATIONALE: Penalties ensure the RL agent does not learn unsafe behaviors that could lead to congestion, confusion, or accidents.

#### 2. TITLE: Weighted Reward Function for Safety

SYSTEM\_REQUIREMENT: The system must use a weighted reward function to prioritize safety constraints appropriately.

IMPLEMENTATION\_DETAILS:

- \* Weights are assigned to each safety-related variable based on criticality

- \* Red-light violations are assigned a higher penalty than signal switching frequency

- \* Adaptive penalty scaling is used in online learning to adjust weights dynamically based on real-time traffic conditions such as peak pedestrian crossing times.

RATIONALE: A weighted system ensures that safety-critical violations receive higher penalties, maintaining a balance between optimization and safety.

#### 3. TITLE: Normalization and Clipping for Safe Reward Scaling

SYSTEM\_REQUIREMENT: The system must normalize and clip rewards to prevent the agent from favoring unsafe high-reward actions.

IMPLEMENTATION\_DETAILS:

- \* Each reward component is normalized to prevent bias

- \* Safety-related penalties are weighted to dominate reward scaling

- \* Reward and action clipping prevents extreme values that could bias policy towards unsafe actions.

RATIONALE: Ensuring that no single high-reward action leads to unsafe decisions maintains a stable and safe learning process.

#### 4. TITLE: Real-time Safety Monitoring and Anomaly Detection

SYSTEM\_REQUIREMENT: The system must implement real-time monitoring and anomaly detection mechanisms.

IMPLEMENTATION\_DETAILS:

- \* A real-time monitoring system is in place for both maintainability and safety

- \* Anomaly Detection Systems utilize statistical models and AI-based detectors to identify deviations from normal traffic patterns and trigger corrective actions

\* An explainable RL model enables a supervisory controller to monitor and override unsafe actions.

RATIONALE: Continuous monitoring helps detect and mitigate unsafe agent behaviors in real-world scenarios.

#### 5. TITLE: Predefined Safety Constraints for Traffic Signal Control

SYSTEM\_REQUIREMENT: The system must enforce predefined safety constraints during execution.

IMPLEMENTATION\_DETAILS:

\* Minimum and maximum signal duration constraints

\* Queue length and spillback prevention measures

\* Safe phase transitions using vehicle speed monitoring

\* Long-horizon sensors monitor overspeeding cars from a distance.

RATIONALE: Predefined safety constraints help prevent unsafe traffic situations and ensure predictable behavior.

#### 6. TITLE: Safe Mode and Fallback Mechanisms

SYSTEM\_REQUIREMENT: The system must include fallback mechanisms for handling failures or unsafe behaviors.

IMPLEMENTATION\_DETAILS:

\* A predefined Safe Mode is activated when the RL agent fails

\* Safe Mode is either human-designed or achieved using a prevalidated agent

\* Emergency Stop Mechanism allows immediate suspension of RL control and reverts to a predefined safe state.

RATIONALE: Ensuring that there is a fallback mechanism prevents catastrophic failures in case the RL agent behaves unpredictably.

#### 7. TITLE: Human-in-the-Loop for Supervision

SYSTEM\_REQUIREMENT: The system must allow human intervention when necessary.

IMPLEMENTATION\_DETAILS:

\* Human operators can override the RL system at any time

\* Emergency Stop Mechanism provides a hard override

\* Traffic control panels allow operators to manually set signal phases

\* Intervention is warranted in cases of embedded system failures, sensor malfunctions, pedestrian-triggered emergency stops, unexpected weather conditions, or RL policy drift.

RATIONALE: Human oversight is essential for ensuring safe operation, especially in unpredictable or emergency situations.

#### 8. TITLE: Out-of-Distribution (OOD) Input Detection

SYSTEM\_REQUIREMENT: The system must detect and respond to out-of-distribution inputs.

IMPLEMENTATION\_DETAILS:

\* Statistical models built from realistic simulations detect deviations from expected inputs.

RATIONALE: Detecting anomalies helps ensure the system does not behave unpredictably in unfamiliar situations.

#### 9. TITLE: Anomaly Detection for Multi-Agent Failures

SYSTEM\_REQUIREMENT: The system must detect failures in other agents to prevent cascading failures.

IMPLEMENTATION\_DETAILS:

Anomaly Detection System is used to monitor multi-agent interactions.

RATIONALE: Detecting failures in other agents prevents compounding safety risks in multi-agent environments.

#### 10. TITLE: Safety in Ongoing Adaptation and Exploration

SYSTEM\_REQUIREMENT: The system must validate safety during ongoing adaptation and exploration.

IMPLEMENTATION\_DETAILS:

- \* Human-in-the-loop supervision allows overrides when necessary

- \* A replica network ensures stable learning in Deep Q-Network-based systems

- \* RL frameworks use callbacks to save model checkpoints at regular intervals based on performance.

RATIONALE: Ensuring safety during adaptation prevents learning-induced failures and maintains system stability.

#### 11. TITLE: Conservative Exploration for Safety

SYSTEM\_REQUIREMENT: The system must use conservative exploration techniques to balance learning and safety.

IMPLEMENTATION\_DETAILS:

- \* Conservative  $\epsilon$ -Greedy Exploration limits exploration probability based on risk factors

- \* Safety checkpoints are used to test models in digital twin environments before deployment

- \* If a new adaptation worsens safety metrics the system reverts to a previously validated safe policy

- \* Explainable RL is used to provide justifications for RL decisions.

RATIONALE: Conservative exploration reduces the risk of unsafe actions while still allowing learning and adaptation.

#### 12. TITLE: Uncertainty Estimation for Decision-Making

SYSTEM\_REQUIREMENT: The system must quantify and respond to uncertainty in decision-making.

IMPLEMENTATION\_DETAILS:

- \* Ensemble learning is used for confidence estimation

- \* A confidence-weighted learning rate dynamically adjusts learning based on detected uncertainty.

RATIONALE: Understanding and mitigating uncertainty ensures that the system does not take unsafe actions due to unreliable predictions.

#### 13. TITLE: Safety Metrics for Evaluation

SYSTEM\_REQUIREMENT: The system must track safety metrics and define acceptable thresholds.

IMPLEMENTATION\_DETAILS:

- \* Constraint Violation Rate (CVR) is used as a key safety metric

- \* CVR is calculated as  $(\text{number of violations} / \text{total decision steps}) * 100$

- \* CVR thresholds:  $\leq 1\%$  is normal  $\leq 3\%$  is high-uncertainty based on ISO 26262.

RATIONALE: Tracking safety metrics helps evaluate the effectiveness of safety mechanisms and ensures compliance with standards.

#### 14. TITLE: Safety Metrics Logging and Review

SYSTEM\_REQUIREMENT: The system must log and review safety metrics during deployment.

IMPLEMENTATION\_DETAILS:

- \* Periodic performance logging is conducted hourly or daily

- \* Additional logging is triggered by critical or medium-risk events such as anomalous traffic patterns or safety violations

- \* In high-risk cases, logging frequency increases to 5-15 minute intervals.

RATIONALE: Continuous logging and review of safety metrics ensure early detection of unsafe trends.

#### 15. TITLE: Performance Degradation Detection

SYSTEM\_REQUIREMENT: The system must detect when performance degrades and requires policy updates.

IMPLEMENTATION\_DETAILS:

- \* Primary indicator of safety degradation is an increase in Constraint Violation Rate (CVR)

- \* Detection of reward trend deviations such as continuous downward trends or rolling average drops beyond a threshold over time

- \* Safe fallback activation is triggered when degradation is detected.

RATIONALE: Detecting performance degradation ensures timely interventions to maintain safety.

#### 16. TITLE: Training Data Privacy Compliance

SYSTEM\_REQUIREMENT: Ensure that the training data does not include sensitive information such as proprietary operational data, PII, or safety-critical system logs.

IMPLEMENTATION\_DETAILS:

- \* Training data is strictly limited to state space and action representations ensuring no inclusion of sensitive information.

RATIONALE: Protecting privacy during training is crucial to preventing the unintentional exposure of sensitive or personally identifiable information.

#### 17. TITLE: Secure Data Transmission

SYSTEM\_REQUIREMENT: Implement robust encryption methods to secure data transmission between devices.

IMPLEMENTATION\_DETAILS:

Encryption algorithms like Grains and Trivium which are well-suited for embedded systems are used to protect transmitted data.

RATIONALE: Securing data transmission prevents unauthorized interception and ensures that any sensitive information handled remains protected.

#### 18. TITLE: Privacy-Preserving Sensor Selection

SYSTEM\_REQUIREMENT: Ensure that selected sensors provide necessary state information while avoiding the capture of identifiable data.

IMPLEMENTATION\_DETAILS:

\* LiDAR sensors are used instead of cameras to provide necessary state data without capturing personally identifiable information such as license plates or driver identities.

RATIONALE: Using privacy-preserving sensors reduces the risk of collecting unnecessary sensitive data, thereby improving compliance with privacy regulations.

#### 19. TITLE: Localized Data Storage Security

SYSTEM\_REQUIREMENT: Ensure that sensitive data is stored only in local infrastructure, reducing exposure to external threats.

IMPLEMENTATION\_DETAILS:

\* Data is stored using local infrastructure requiring physical security measures rather than software-based controls.

RATIONALE: Minimizing external access to stored data mitigates the risks of unauthorized retrieval and potential cyber threats.

#### 20. TITLE: Preprocessing-Based Data Protection

SYSTEM\_REQUIREMENT: Ensure that privacy protections are enforced at the preprocessing stage to prevent data leakage during model training and inference.

IMPLEMENTATION\_DETAILS:

\* Data leakage prevention depends on the sensor selection and the system responsible for preprocessing ensuring that sensitive data is not exposed downstream.

RATIONALE: Preventing sensitive data exposure during preprocessing helps mitigate risks related to privacy violations during training and inference.