

1   **Capacity-Constrained Network Performance Model for Urban Rail**  
2   **Systems**

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**1 ABSTRACT**

2 This paper proposes a general Network Performance Model (NPM) for urban rail systems performance  
3 monitoring using smart card data. NPM is a schedule-based network loading model with strict capacity  
4 constraints and boarding priorities. It distributes passengers over the network given origin-destination  
5 (OD) demand, operations, route choice, and effective train capacity. A Bayesian simulation-based opti-  
6 mization method for calibrating the effective train capacity is introduced, which explicitly recognizes that  
7 capacity may be different at different stations depending on congestion levels. Case studies with data from  
8 the Mass Transit Railway (MTR) network in Hong Kong are used to validate the model and illustrate its  
9 applicability. NPM is validated using left behind survey data and exit passenger flow extracted from smart  
10 card data. The use of NPM for performance monitoring is demonstrated by analyzing the spatial-temporal  
11 crowding patterns in the system and evaluating dispatching strategies.

12

13 *Keywords:* Urban railway systems; effective train capacity; simulation-based optimization; network load-  
14 ing; performance monitoring; dispatching strategy

## 1 INTRODUCTION

2 Increases in ridership are outpacing capacity in many large urban rail transit systems, including Hong  
3 Kong, London, New York, and Beijing (1). Crowding at stations and on trains is a concern due to its  
4 impact on safety, service quality, and operating efficiency. Monitoring network performance (e.g. waiting  
5 time on platforms, load on trains, etc.) is essential to help agencies and operators in understanding the  
6 system, informing passengers, and improving operating strategies.

7 Compared to traditional survey methods for service performance evaluation, data from automated  
8 fare collection (AFC) and automated vehicle location (AVL) systems provide ample opportunities for  
9 analysis in areas such as travel behavior, operations planning, and monitoring, etc. (2, 3). For perfor-  
10 mance monitoring, some performance indicators can be directly derived from automated data, including  
11 vehicle-kilometers, vehicle-hours, travel time reliability, OD demand, etc. (4, 5). However, the problem of  
12 determining vehicle load and passenger waiting times is not trivial. Recently, a number of methods have  
13 been proposed to monitor passenger waiting times, left behind at stations, and vehicle loads, using AFC  
14 and AVL data (6). Network loading or assignment models can also be used. The main difference between  
15 network loading and assignment models lies in their behavioral assumptions. Network loading models  
16 assume that travel choices are known, while assignment models estimate the travel choices through user  
17 equilibrium criteria (network loading is a key component of transit assignment models).

18 Network assignment models are mainly used for planning applications. Nuzzolo et al. (7) proposed  
19 a dynamic schedule-based assignment model to simulate the within-day and day-to-day learning process  
20 of passengers' route choice. Nuzzolo et al. (8) proposed a mesoscopic transit modeling framework named  
21 "DYBUS2" to provide real-time short-term predictions of network performance. Recently, Yao et al. (9)  
22 developed an agent-based simulation model for the Beijing metro system. The applicability of these mod-  
23 els for performance monitoring is limited. For performance monitoring, the interest is on the performance  
24 of the system on a particular day, which represents just one realization of operating conditions. Hence,  
25 finding an equilibrium solution is not actually applicable. Network loading models are more appropriate  
26 for this purpose.

27 Network loading models provide detailed performance at different levels (station, line, train, pas-  
28 senger) given OD flows, path choices and operating conditions. Therefore, they are suitable for modeling  
29 the performance of a particular day. For example, Grube et al. (10) developed an event-based network  
30 loading model to simulate metro systems in Santiago de Chile. However, since such approaches have to  
31 be applied at the network level, they require assumptions about train capacity (as assignment models also  
32 do). Determining the "actual" train capacity is not trivial. Studies found that train capacity may vary de-  
33 pending on the crowding levels in trains and on platforms (11, 12). Ma et al. (6) showed that ignoring the  
34 "varied" train capacity results in biased estimates of left behind (highlighting the importance of network  
35 loading models to capture this varied capacity in their representation of the system).

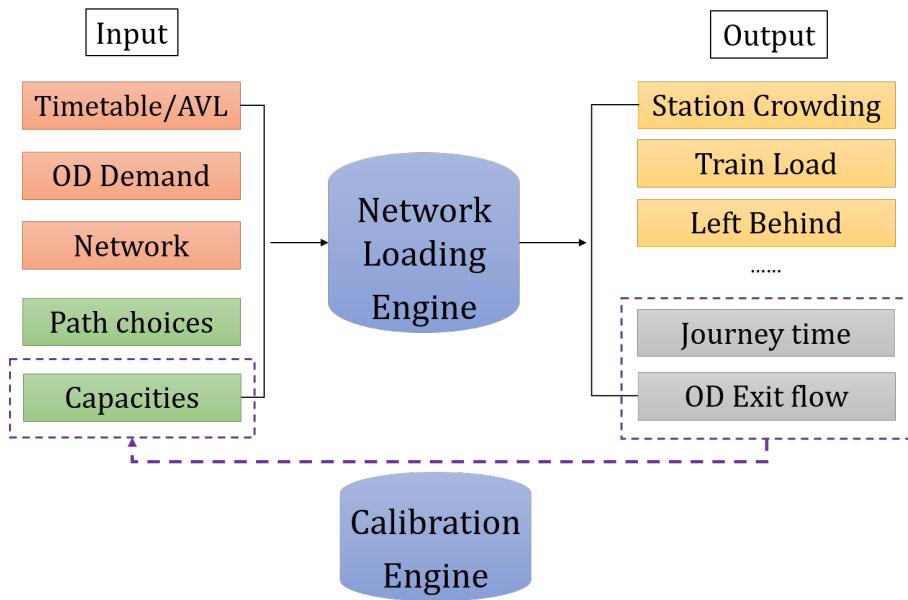
36 The paper develops a capacity-constrained, schedule-based network performance model (NPM),  
37 introduces a flexible train capacity model (called *effective* capacity hereafter), and proposes an optimiza-  
38 tion methodology to calibrate effective train capacities using AFC data. NPM models detailed passengers'  
39 trajectories, including access and egress, queuing, transferring, boarding, alighting, and left behind. The  
40 contribution of this paper is threefold:

- 41 • Develops a data-driven metro network performance model with explicit effective train capacity con-  
42 straints and boarding priorities, where the effective train capacity varies by station depending on  
43 congestion levels
- 44 • Proposes a simulation-based optimization method to calibrate the effective train capacity using AFC  
45 and AVL data
- 46 • Validates the NPM and demonstrates its applicability using data from the heavily-congested metro  
47 system in Hong Kong.

The remainder of the paper is organized as follows: Section 2 introduces the network performance model. The route choice and effective train capacity models, as well as the calibration methodology, are discussed in Section 3. Case studies are presented in Section 4 to validate the NPM performance and demonstrate its functionality. Section 6 concludes the paper and discusses future research directions.

## 5 NETWORK PERFORMANCE MODEL

Figure 1 provides an overview of the main structure of NPM. It consists of four main components: the input, the network loading engine, the output of various performance indicators, and the calibration engine. The calibration engine provides the capability to calibrate model parameters using reality available data. Green squares in the input section represent the parameters to be calibrated. Gray squares in the output section indicate model outputs that are also directly observable from AFC data (and hence, can be used for calibration and validation purposes). The calibration engine compares the output journey times and OD exit flows to the observed values (ground truth) and uses the difference to adjust model parameters (e.g. effective capacity).



**FIGURE 1:** Structure of the network performance model

## 14 Inputs

The NPM inputs include dynamic OD demand, path choice fractions, train movement information, train capacity, and access/egress/transfer walking time. Table 1 summarizes the data inputs. It is assumed that the system is closed. The AFC data contains passenger's tap-in and tap-out times and stations (the complete OD entry demand by time period). The timetable provides the planned train arrival and departure information, while the AVL data provides the actual ones. The walk time is assumed to be normally distributed with the mean and variance calculated from field observations.

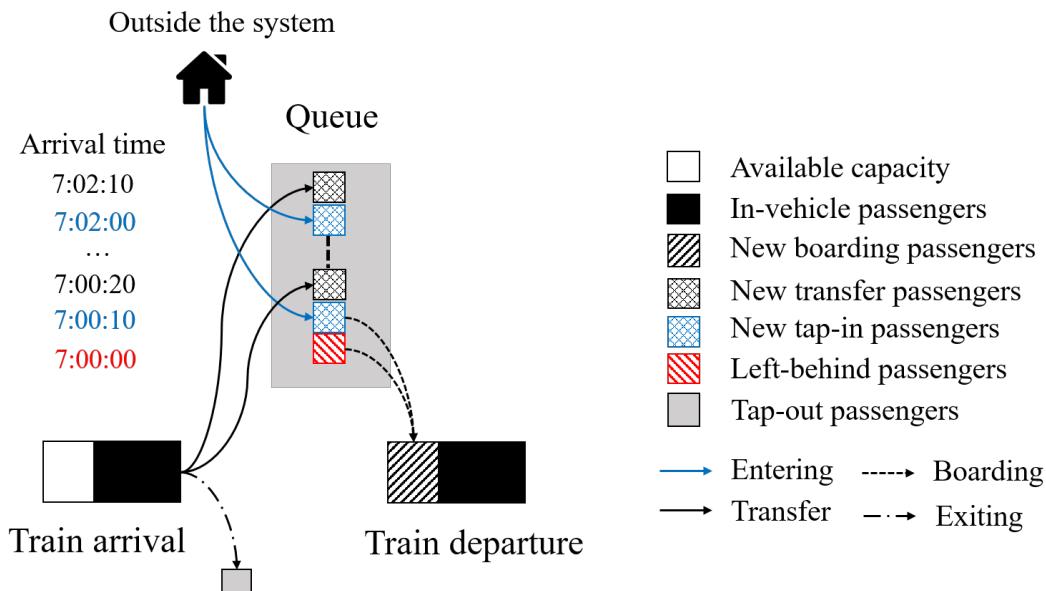
**TABLE 1:** Input variables and data sources

Input variables	Sources
OD entry demand	AFC data
Path choice	Section 2.2.4
Train movement	Timetable or AVL data
Train capacity	Section 2.2.5
Access/egress/transfer walk time	Measured by on-site observations or estimated from AFC/AVL data (13)

## 1 Network loading

2 Figure 2 summarizes the main structure of the network loading model. Three objects are defined: trains,  
3 queues, and passengers. Trains are characterized by routes, runs, current locations, and capacities. Pas-  
4 sengers are queued based on their arrival times. Three different types of passengers are represented:  
5 left-behind passengers who were denied boarding from previous trains, new tap-in passengers from out-  
6 side the system, and new transfer passengers from other lines. The left-behind passengers are usually at  
7 the head of the queue.

8 An event-based modeling framework is used to load the passengers onto the network. Two types  
9 of events are considered: train arrivals and train departures. The events are sorted by time and processed  
10 sequentially until all events are successfully completed during the analysis period. When a train arrives  
11 at a station, the offloaded passengers either transfer or exit. Transfer passengers join the boarding queue.  
12 When a train departs a station, passengers are loaded on the train up to its available capacity based on a  
13 First Come First Serve (FCFS) principle.

**FIGURE 2:** Structure of the network loading model

## 14 Preprocessing

15 Train event lists (arrivals and departures) are generated according to the actual train movement data from  
16 AVL (or timetable). Each event contains a train ID, occurrence time, and location (platform). A passenger

1 is randomly assigned to a route based on the corresponding path choice probability estimated from a path  
 2 choice model. Random access and egress times are generated given corresponding distributions.

3 *Train arrivals*

4 For an arrival event, the train offloads passengers who reach their destination or need to transfer at the  
 5 station and updates its state (e.g. train load and in-vehicle passengers). For passengers who reach their  
 6 destinations, their tap out times are calculated by adding their egress time. For those who transfer at the  
 7 station, their arrival times at the next platform are calculated based on the transfer time distribution. The  
 8 transfer passengers are added to the waiting queue in order of their arrival times.

9 *Train departures*

10 For departure events, the queue on the platform is updated by the new tap-in passengers, that is, passengers  
 11 who arrive at the platform after the last train departed are added into the queue based on their arrival times.  
 12 Passengers board the train according to an FCFS discipline until the train reaches its capacity. Passengers  
 13 who cannot board are left behind and wait in the queue for the next train. The states of the train and the  
 14 waiting queue are updated accordingly.

15 *Route choice*

16 Route choice is usually modeled using the discrete choice framework, which assumes that decision makers  
 17 maximize their utilities when making choices (14). The multinomial logit (MNL) model is a typical  
 18 example of discrete choice models. For path choice problems, the C-logit model is often used. The C-  
 19 logit is a variation of the MNL model which corrects for the fact that alternatives may not be independent  
 20 due to path overlap. The C-logit incorporates an additional "cost" attribute, the commonality factor (CF),  
 21 in the utility (15). The probability of choosing path  $i$  is given by:

$$P_i = \frac{\exp(\beta_X \cdot X_i + \beta_{CF} \cdot CF_i)}{\sum_{j \in \mathbb{W}} \exp(\beta_X \cdot X_j + \beta_{CF} \cdot CF_j)}, \quad (1)$$

22 where,  $X_i$  is the attribute vector of path  $i$ , such as in-vehicle time, number of transfers, etc.  $\mathbb{W}$  is the set of  
 23 all alternative paths for the same OD pair.  $\beta_X$  and  $\beta_{CF}$  are the corresponding coefficients to be estimated.  
 24  $CF_i$  is the commonality factor of path  $i$ , defined as:

$$CF_i = \ln \sum_{j \in \mathbb{W}} \left( \frac{L_{i,j}}{L_i L_j} \right)^\gamma, \quad (2)$$

25 where,  $L_{i,j}$  is the number of common stations of paths  $i$  and  $j$ .  $L_i$  and  $L_j$  are the number of stations for  
 26 paths  $i$  and  $j$ , respectively.  $\gamma$  is a positive constant which is determined based on empirical studies (16). In  
 27 practice, the estimation of the route choice model parameters is based on survey data. Recent studies have  
 28 also proposed estimation methods based on AFC data (17–20).

29 *Effective capacity*

30 Train capacity is a vague concept. Normally trains may not reach their designed physical capacity for  
 31 various reasons (e.g. passengers may decide not to board due to the crowding (12)). Therefore, assuming  
 32 a fixed physical capacity may not be a reasonable assumption in real-world situations. In this paper,  
 33 we introduce the concept of *effective capacity*, which is the train capacity actually being utilized under  
 34 crowding situations. Effective capacity is determined by three factors: a) waiting passenger distribution  
 35 on the platform, b) train load and distribution across the train, and c) passengers' willingness to board a  
 36 crowded train. Thus, train capacity is not constant but may vary across stations. We use the term *effective*  
 37 *capacity* to differentiate it from the physical fixed train capacity. Effective capacity, as defined in this

paper, is dynamic and changes depending on the crowding state of the train and the platform.

Based on previous studies, two factors are included in the effective capacity ( $C^e$ ) model: the current train load when a train arrives at the platform (denoted as  $L$ ) (11); and the number of queuing passengers on the platform (denoted as  $Q$ ) (21). The base capacity of train  $i$  is  $C_i = \theta_0 n_i$ , where  $n_i$  is the number of cars of train  $i$ .  $C_i$  can be seen as the train load that represents acceptable service standards. At congested stations, passengers may still board a train even if it is already crowded (11), which makes the actual train load exceed  $C_i$ . Therefore, the effective capacity of train  $i$  at platform  $j$  ( $C_{i,j}^e$ ) can be formulated as:

$$C_{i,j}^e = \begin{cases} \theta_0 n_i + \theta_1 L_{i,j} + \theta_2 Q_j & \text{if platform } j \text{ is in the list of congested stations} \\ \theta_0 n_i & \text{otherwise} \end{cases} \quad \forall i, j \quad (3)$$

The congested stations and time periods can be identified using AFC data (6). The term *platform* means a combination of station+line+direction.  $\theta_0$ ,  $\theta_1$  and  $\theta_2$  are the parameters to be estimated.  $\theta_0$  is a measurement of the service standard (passengers/car).  $C^e$  at congested stations and for congested trains is expected to be higher than that of stations/trains with less crowding, hence  $\theta_1$  and  $\theta_2$  should be positive. Although a linear model is used here, the proposed approach is quite general and can accommodate more complex relationships between  $C^e$  and  $L$ ,  $Q$ .

## MODEL CALIBRATION

We illustrate the calibration approach using the effective capacity model, assuming two available ground-truth information: observed OD exit flows and observed journey time distribution (JTD). The calibration problem is formulated as an optimization problem. The objective function has two parts: the square error between model-derived OD exit flows and the observations, and the difference between model-derived and observed JTD. The optimization problem is formulated as:

$$\min_{\theta_1, \theta_2} w_1 \sum_{i,j,t} (q^{i,j_t} - \tilde{q}^{i,j_t})^2 + w_2 \sum_{i,j,t} D_{\text{KL}}(f_{i,j_t}(x) || \tilde{f}_{i,j_t}(x)) \quad (4a)$$

$$\text{s.t. } q^{i,j_t}, f_{i,j_t}(x) = \text{Network Loading}(\theta_0, \theta_1, \theta_2) \quad \forall i, j, t \quad (4b)$$

where,  $q^{i,j_t}$  represents the number of passengers arriving from station  $i$  and exiting at station  $j$  during time interval  $t$  (i.e. OD exit flows).  $\tilde{q}^{i,j_t}$  is the observed OD exit flow extracted from AFC data.  $w_1$  and  $w_2$  are the weights to balance the scale and the importance of the two parts.  $f_{i,j_t}(x)$  is the probability density function of the estimated JTD of passengers who come from station  $i$  and exit at station  $j$  during time interval  $t$ .  $\tilde{f}_{i,j_t}(x)$  the observed JTD obtained from AFC data. Eq. 4b indicates that  $q^{i,j_t}$  and  $f_{i,j_t}(x)$  are obtained from the network loading model with  $\theta_0$ ,  $\theta_1$ , and  $\theta_2$  as inputs. The difference of the two distributions is expressed using Kullback-Leibler (KL) divergence ( $D_{\text{KL}}$ ):

$$D_{\text{KL}}(f_{i,j_t}(x) || \tilde{f}_{i,j_t}(x)) = \int_x f_{i,j_t}(x) \cdot \log \frac{f_{i,j_t}(x)}{\tilde{f}_{i,j_t}(x)} dx. \quad (5)$$

Solving the problem in Eq. 4 is a black-box optimization problem because of the non-analytical nature of the network loading process. In this study, a Bayesian Simulation-based Optimization (BSO) method (22) is applied. The BSO works by constructing a posterior distribution (surrogate function) that best approximates the objective function. As the number of observations grows, the posterior distribution improves, and the algorithm becomes more certain of which regions in the parameter space are worth exploring. Given the general optimization approach, more sophisticated effective capacity models could also be explored using the proposed BSO method.

## 1 APPLICATIONS

2 NPM can be used to monitor performance at four dimensions: measuring crowding, diagnosing crowding  
 3 causes, evaluating dispatching strategies, and evaluating network resilience.

### 4 Crowding patterns

5 Crowding is one of the most important metrics for evaluating the level of service, safety, etc. The crowding  
 6 indicators, directly obtained from NPM outputs, are summarized in Table 2. All indicators are time-  
 7 dependent with flexible aggregated intervals. The left behind rate is the probability of not boarding on  
 8 the first train, which can be calculated as the number of passengers who have been left behind at least  
 9 once divided by the total number of boarding passengers at the platform during a specific time period.  
 10 The number of times left behind is the number of trains missed after the first train due to crowding on the  
 11 trains.

12 Other service quality indicators can also be output by NPM, such as the availability of seats, the  
 13 number of standing passengers, and journey time reliability.

**TABLE 2:** Crowding indicators

Train	Train load
	Waiting time
Platform	Number of times left behind
	Left behind rate (% of passengers left behind)
	Queue length
Link	Link flow

### 14 Crowding sources

15 Since the NPM models passengers' travel behavior at the individual level, the complete trajectories of  
 16 all passengers are recorded. To diagnose the formation of crowding, the NPM can trace the sources of  
 17 passengers on each link and passengers exiting at each station. The information about where passengers  
 18 come from and how they contribute to loads at critical links of the system can inform operators to develop  
 19 specific demand management strategies, such as promotions (2), peak pricing, etc.

### 20 Dispatching strategies

21 Train dispatching strategies (e.g., headway adjustment, express trains) are basic instruments transit op-  
 22 erators use on the supply side to deal with crowding or improve service reliability. Evaluating different  
 23 train dispatching strategies can provide useful insights for improving service performance. NPM can be  
 24 used to analyze network performance under different train dispatching strategies, such as express trains at  
 25 different times during the peak. Such trains may skip stops in order to provide more capacity at crowded  
 26 stations.

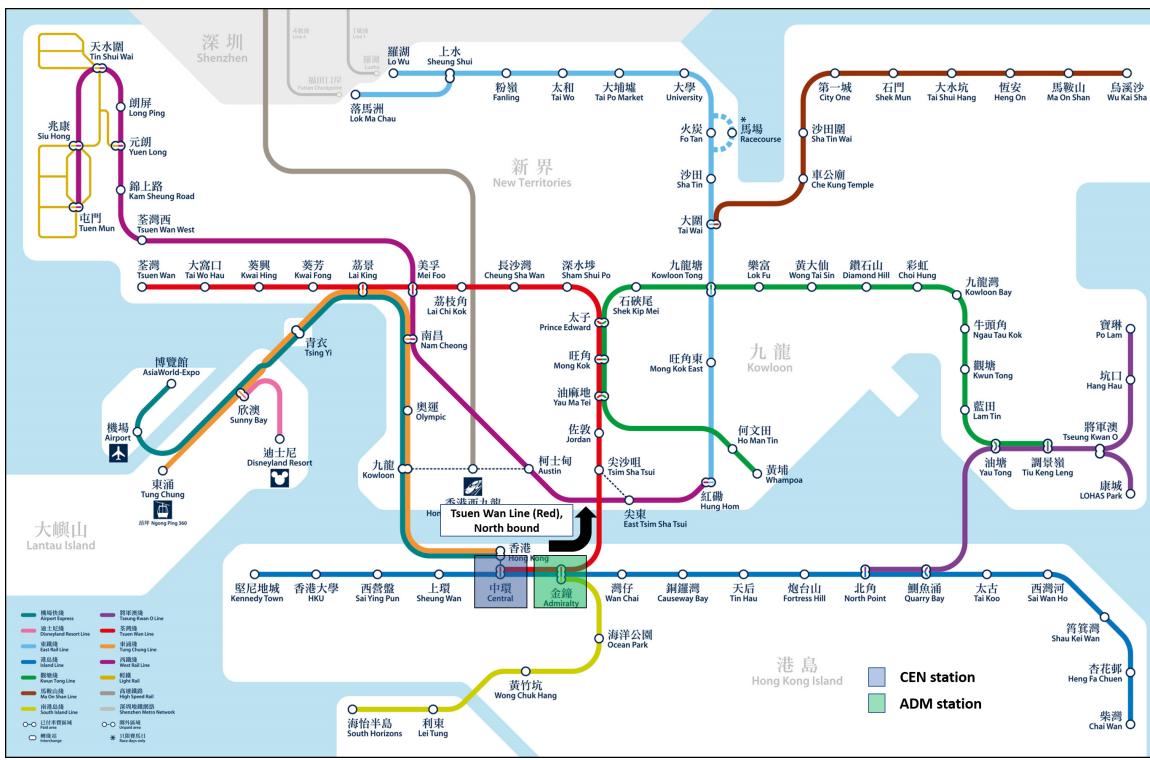
### 27 Network resilience

28 Network resilience is the ability of the system to provide and maintain an acceptable level of service in  
 29 the face of disruptions and other challenges to normal operations, such as incidents, large scale natural  
 30 disasters, special events, etc. Metro systems in large cities are facing more and more service disruptions  
 31 due to increasing demand and aging infrastructure. These problems cause serious safety concerns and  
 32 service performance deterioration. The agencies are using various strategies, from demand management  
 33 to infrastructure improvements, to prevent disruptions and mitigate their impacts. Approaches based on  
 34 passenger information are still emerging as strategies transit agencies use to deal with disruptions. NPM

- 1 can be used to analyze network resilience by comparing the performance indicators (e.g. waiting time)
- 2 given different actions that operators may take when disruptions occur, such as providing information and
- 3 dispatching shuttle buses.

#### 4 CASE STUDY

5 The NPM was demonstrated and validated using data from the MTR system in Hong Kong (Figure 3). The  
 6 system serves the urbanized areas of Hong Kong Island, Kowloon, and the New Territories, and consists  
 7 of 11 lines with 218.2 km (135.6 mi) of rail, 159 stations, including 91 heavy rail stations and 68 light rail  
 8 stops. The network serves over 5 million trips on an average weekday. For the urban heavy rail lines, trip  
 9 transactions are recorded when entering and exiting the system. The Admiralty (ADM) station is one of  
 10 the most crowded stations, with high volumes of passengers boarding and transferring there. In this case  
 11 study, the airport express and light rail transit services were not considered since they are separated from  
 12 the urban heavy rail lines. Passengers who enter the urban heavy rail lines from the airport express and  
 13 light rail services need to tap-in again.



**FIGURE 3:** Hong Kong MTR metro system map

#### 14 System settings

15 AFC data from a weekday in March 2017 is used to generate the OD entry demand and conduct effective  
 16 capacity calibration. Since AVL data is not available for all lines, the timetable was used to provide  
 17 train movement information (the actual train movements may differ from the timetable). Considering  
 18 the high on-time performance of the MTR system (99.9 percent on-time rate)(23), this is a reasonable  
 19 approximation. Since the evening peak is the most congested period, we only consider the period from  
 20 17:00 to 20:00 for model application. The warm-up and cool-down times are both set as 1 hour. The  
 21 running time is about 15 minutes on a personal computer with a 3.6GHz CPU and 32GB of RAM.

1 **Model Calibration**

2 The route choice model used to calculate path choice fractions for various OD pairs was estimated using  
 3 data from a survey of MTR users (16). A total of 31,640 passengers participated in the survey, with 26,996  
 4 valid responses. The model estimation results are shown in Table 3. The main explanatory variables are  
 5 the total in-vehicle time, relative walk time, and the number of transfers. The relative walk time is defined  
 6 as the total walk time (access + transfers + egress) divided by the map distance of the path. All variables  
 7 are statistically significant with expected signs. Routes with high in-vehicle, walk, and transfer times are  
 8 less likely to be chosen by passengers. Based on the estimated parameters, the path shares for all paths for  
 9 the OD pairs in the MTR system were calculated.

**TABLE 3:** Route choice model estimation results

	Estimate	Std. Error	t-value	
In-vehicle time	-0.147	0.011	-13.64	***
Relative walk time	-1.271	0.278	-4.56	***
Number of transfers	-0.573	0.084	-6.18	***
CF	-3.679	1.273	-2.89	**
$\rho^2 = 0.54$				

\*\*\*: p<0.01; \*\*:p<0.05.

10 The optimization problem (Eq. 4) is used for effective capacity calibration. The weights in the  
 11 objective function were set to  $w_1 = 1$  and  $w_2 = 1000$  for the error in OD exit flows and JTD, respectively.  
 12 The optimal coefficients are  $\theta_0^* = 231.6$ ,  $\theta_1^* = 0.0732$ , and  $\theta_2^* = 0.0607$ . The value of  $\theta_0^*$  is close to the  
 13 MTR standard (230 passengers/car). The signs of  $\theta_1^*$  and  $\theta_2^*$  are consistent with the discussion in the  
 14 previous section.

15 For comparison purposes, a fixed train capacity model is used as the benchmark to compare with  
 16 the effective capacity model. The fixed capacity for train  $i$  at platform  $j$  ( $C_{i,j}^f$ ) is defined as:

$$C_{i,j}^f = \theta_f n_i \quad \forall i, j \quad (6)$$

17 We test three different values of  $\theta_f$  for comparison, that is,  $\theta_f = 230$ ,  $\theta_f = 245$ , and  $\theta_f = 260$   
 18 passengers/car.

19 **Results**

20 *Model validation*

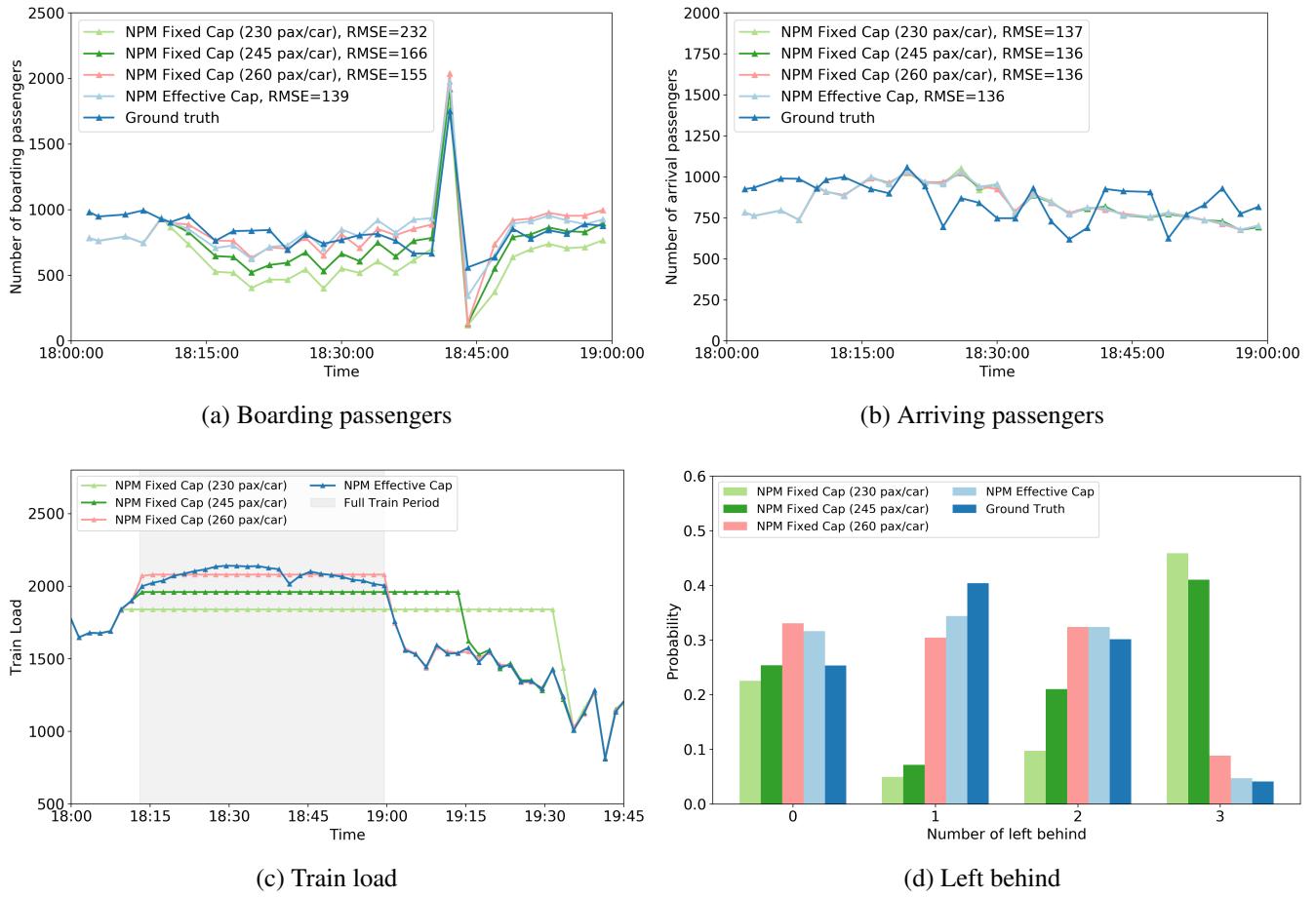
21 To validate the performance of NPM, field observations at ADM station (Tsuen Wan Line, north direction)  
 22 on the same day as the AFC data were used for comparison. The data were collected by MTR employees  
 23 who counted passengers on the platform during 18:00-19:00. Left behind passengers, the number of  
 24 arriving passengers (sum of the new tap-in and transfer passengers) and the number of passengers boarding  
 25 each train were recorded.

26 Figure 4 compares the fixed-capacity model, effective capacity model, and ground truth for differ-  
 27 ent indicators. The number of boarding and arriving passengers from the effective capacity model matches  
 28 the ground truth observations well as shown in Figure 4a and 4b. The peak in Figure 4a is due to an empty  
 29 train dispatched from the upstream terminal station, so that more capacity is available to serve the passen-  
 30 gers at the crowded ADM station. The Root Mean Square Error (RMSE) of the number of boarding and  
 31 arriving passengers for each train is reported. The arrival passenger curves (Figure 4b) for fixed capacity  
 32 and effective capacity models are nearly the same. This is expected because the number of arriving pas-

sengers mainly depends on the OD demand and path shares and these two inputs are the same for the fixed and effective capacity models. However, the estimates of boarding passengers from the effective capacity model are closer to the observed values compared to the fixed capacity model (Figure 4b). The results support the importance of using the effective capacity since boarding passengers are directly related to the train capacity.

A comparison of the train load between the fixed capacity and effective capacity models is shown in Figure 4c (ground truth train load data were not available). The trains at ADM station are always full from 18:15 to 19:00. Figure 4c shows that the effective capacity can capture the variability of the train load due to the change in crowding levels over time. Other studies, based on actual observations of train loads, also support this finding (11).

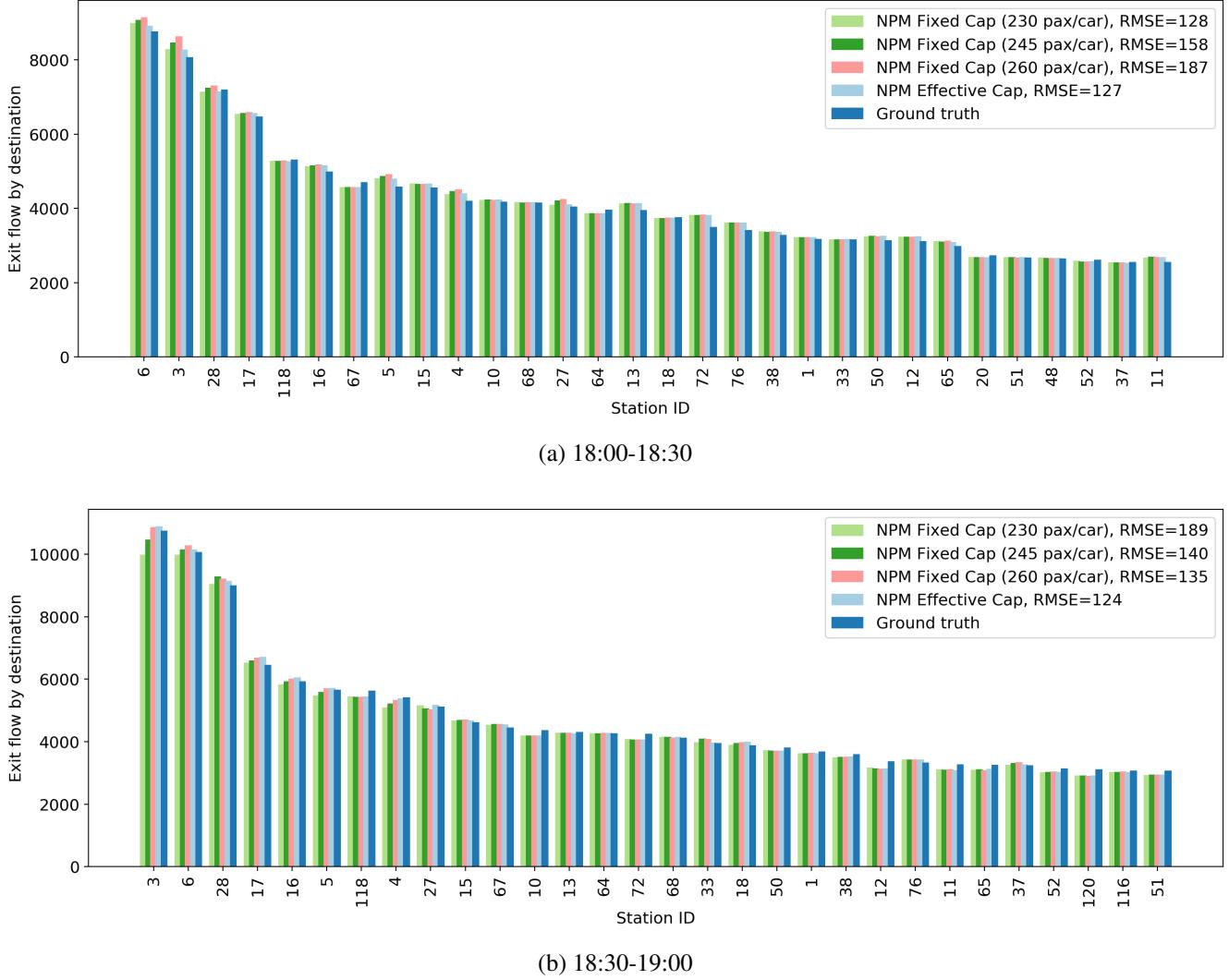
Figure 4d compares the percentage of passengers who are left behind different times according to the models and ground-truth observations. The effective capacity model provides a more accurate estimation of left behind than the fixed-capacity model, which is consistent with findings in Ma et al. (6).



**FIGURE 4:** Model validation at the ADM station, Tsuen Wan Line, northbound (18:00-19:00)

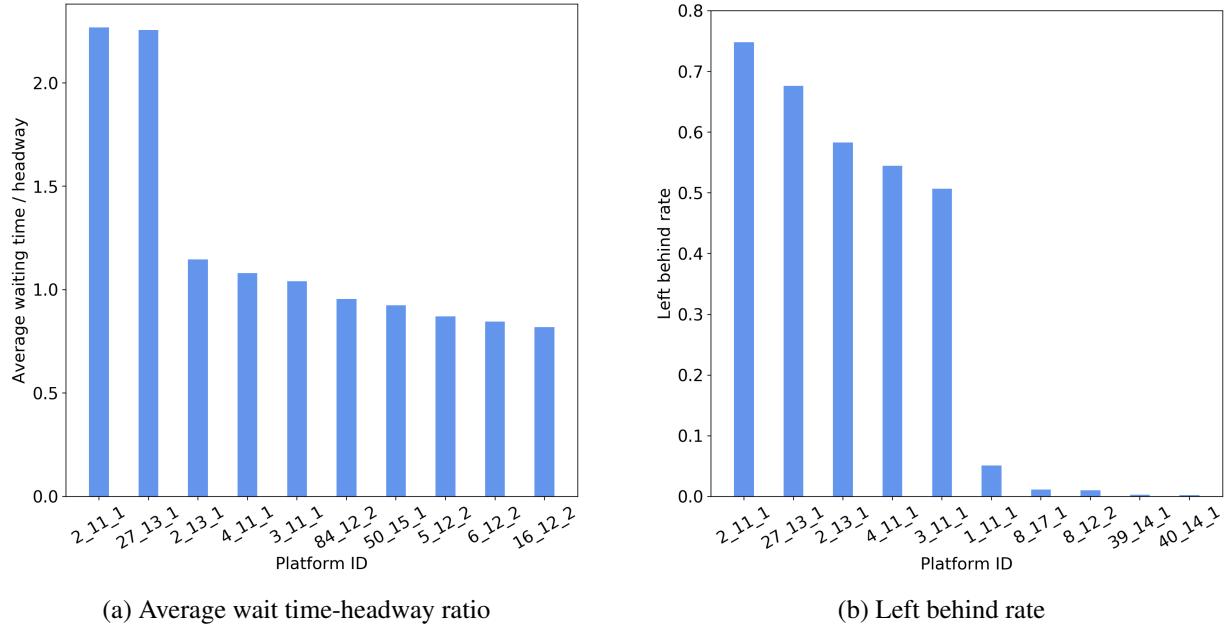
Figure 5 compares the exit flows from the NPM against the actual observations extracted from the AFC data. The top 30 stations in terms of exit flows are displayed. The RMSE of the exit flows for each model is also reported. The results from the effective capacity model match the ground truth well and outperform the fixed-capacity models.

Overall, the proposed effective capacity NPM can capture real-world situations well and has the potential to be an effective tool for performance monitoring.

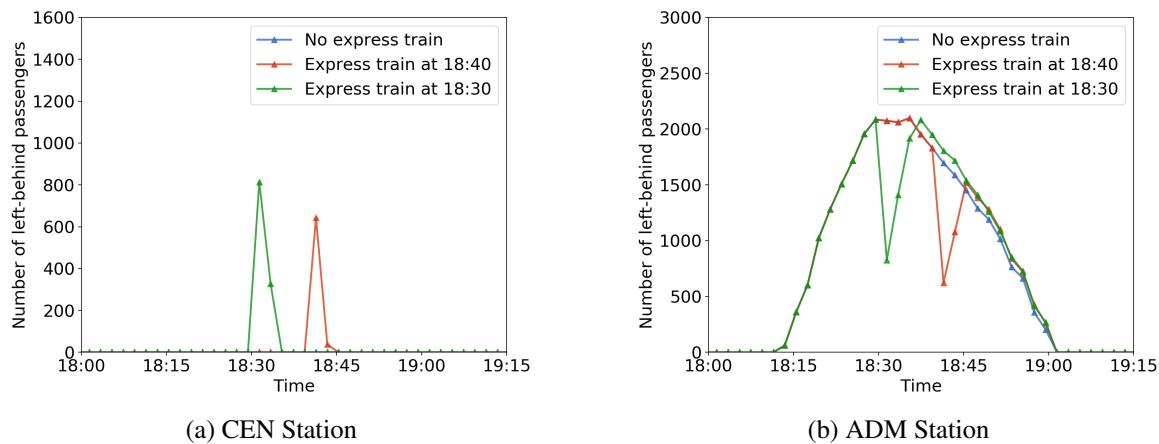
**FIGURE 5:** Exit flow comparison (18:00-19:00)

### 1 *Crowding analysis*

- 2 In a congested rail system, waiting times increase because of passengers left behind due to full trains.
- 3 Figure 6 shows the wait time-headway ratio and left behind rates for the top 10 crowding platforms in
- 4 the network. The wait time-headway ratio is defined as the passenger's average wait time divided by
- 5 the headway. Under normal conditions for operations with small headway variabilities and no capacity
- 6 constraints (assuming random passenger arrivals), the ratio has a value close to 0.5. The platform ID
- 7 in Figure 6 reflects the station ID + line ID + direction. For example, 2\_11\_1 is the platform at ADM
- 8 station serving the Tsuen Wan Line in the north direction. Figure 6a shows that, at platforms 27\_13\_1 and
- 9 2\_11\_1, passengers have to wait for an average of 2 headways. That means a passenger is expected to wait
- 10 for more than 2 trains to board. Figure 6b shows the top 10 platforms by their left behind rates (probability
- 11 to be left behind at least once). The most congested platform during the evening peak is at ADM station
- 12 (Tsuen Wan Line northbound). The platform has a left behind rate of about 0.75, consistent with the high
- 13 wait time-headway ratio shown in Figure 6a.

**FIGURE 6:** Network crowding patterns (18:00-19:00)**1 Evaluation of dispatching strategy**

2 A key application of NPM is the evaluation of different dispatching strategies. As shown in Figure 4a, an  
3 empty train is dispatched (express train) from CEN to ADM at 18:40 to serve a large number of passen-  
4 gers typically waiting at the ADM station. NPM can be used to test how effective such strategies are in  
5 relieving congestion. For comparison purposes, we also test two additional scenarios: a) no express train  
6 is dispatched; and b) the express train is dispatched at 18:30. Figure 7 compares the number of left-behind  
7 passengers at CEN and ADM, which are the first two stations on the Tsuen Wan Line, northbound. Dis-  
8 patching an express train transfers the congestion from ADM to CEN. The strategy temporally decreases  
9 the left-behind passengers at ADM. The dispatching time does not significantly influence the crowding  
10 patterns at ADM. However, the 18:30 dispatching seems to reduce the number of left behind more than  
11 the 18:40 dispatching as it targets better the peak of the crowding conditions.

**FIGURE 7:** Comparison of left-behind passengers for different dispatching strategies

**1 CONCLUSION**

2 The paper proposed a general Network Performance Model (NPM) for network performance monitoring.  
3 The major component of NPM is an event-driven network loading module, which is capable of simulating  
4 passengers' walking, queuing, boarding, and alighting processes. NPM can be used to infer crowding pat-  
5 terns and evaluate dispatching strategies. An important contribution of the paper is a method for calibrating  
6 train capacity, which explicitly recognizes that capacity may be different at different stations, depending  
7 on the crowding levels on the platform and the train. The model is applied using a case study with data  
8 from Hong Kong's MTR network. The results show that NPM is able to replicate actual conditions (based  
9 on AFC data and direct observations of crowding levels at one station). NPM was also used to evaluate  
10 the effectiveness of various dispatching strategies in reducing onboard crowding. The results highlight the  
11 importance of calibrating the train capacity and support the value of the model for performance monitor-  
12 ing and operating strategies evaluation. Future research should focus on jointly calibrating the parameters  
13 of the path choice and train capacity models. The effective train capacity model can also be improved to  
14 better reflect passengers' willingness to board. Further sensitivity tests on the impacts of inputs accuracy  
15 could also be interesting, particularly train operations.

**16 AUTHOR CONTRIBUTION STATEMENT**

17 The authors confirm contribution to the paper as follows: study conception and design: B. Mo, Z. Ma,  
18 H.N. Koutsopoulos, J. Zhao; data collection: B. Mo, Z. Ma; analysis and interpretation of results: B. Mo,  
19 Z. Ma, H.N. Koutsopoulos; draft manuscript preparation: B. Mo, Z. Ma, H.N. Koutsopoulos. All authors  
20 reviewed the results and approved the final version of the manuscript.

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