





MODULE 4: STANDARDS/TECHNICAL REFERENCE FOR AUTONOMOUS VEHICLES

Nicholas Ho Institute of System Science, NUS







- 1. Brief Introduction to Standards
- 2. Sharing and elaboration on selected standards topics (e.g. SAE-J3016, TR-68-1/2/3)
- 3. Pop Quiz



Introduction to Technical Standards





- Definition: Standards are published documents that establish specifications and procedures designed to ensure the reliability of the materials, products, methods, and/or services people use every day. Standards address a range of issues, including but not limited to various protocols that help ensure product functionality and compatibility, facilitate interoperability and support consumer safety and public health
- Examples of well-known technical standards:
 ISO, SAE, IATF, GSMA, IEC, NIST, TR



Importance of Technical Standards





A basis for mutual understanding

A basis for the introduction of new technologies and innovations

Ensure compatibility

Facilitate communication, measurement, commerce and manufacturing

Speeds time-to-market

Facilitate business interaction

Enable companies to comply with relevant laws and regulations

Ensure interoperability







SHARING AND ELABORATION ON SELECTED STANDARDS TOPICS (E.G. SAE-J3016, TR-68)







1. SAE INTERNATIONAL – J3016

Taxonomy and Definitions for Terms Related to Driving Automation Systems for On-Road Motor Vehicles







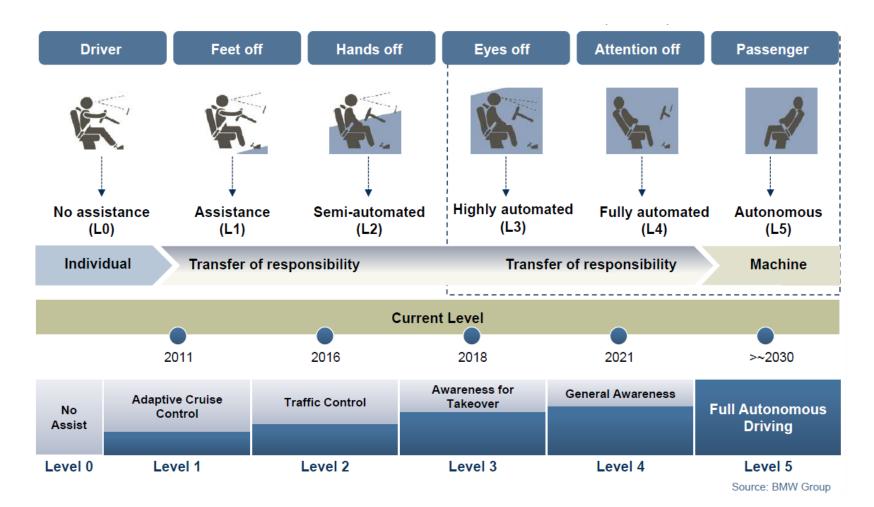
- Freely available via SAE website
- Provides a classification (Level 0 to Level 5)
 describing the full range of levels of driving automation in
 on-road motor vehicles and includes functional
 definitions for advanced levels of driving automation
 and related terms and definitions
- Does not provide specifications for and does not impose requirements on driving automation systems



The 5 Levels of Autonomous Driving









Dynamic Driving Task (DDT)





- Includes all real-time operational and tactical functions
 required to operate a vehicle in on-road traffic, excluding the
 strategic functions such as trip scheduling and selection of
 destinations and waypoints, and including without limitation:
 - 1. Lateral vehicle motion control via **steering** (operational)
 - Longitudinal vehicle motion control via acceleration and deceleration (operational)
 - 3. Monitoring the driving environment via object and event detection, recognition, classification, and response preparation (operational and tactical)
 - 4. Object and event response execution (operational and tactical)
 - 5. Maneuver planning (tactical)
 - **6. Enhancing conspicuity** via lighting, signaling and gesturing, etc. (tactical)

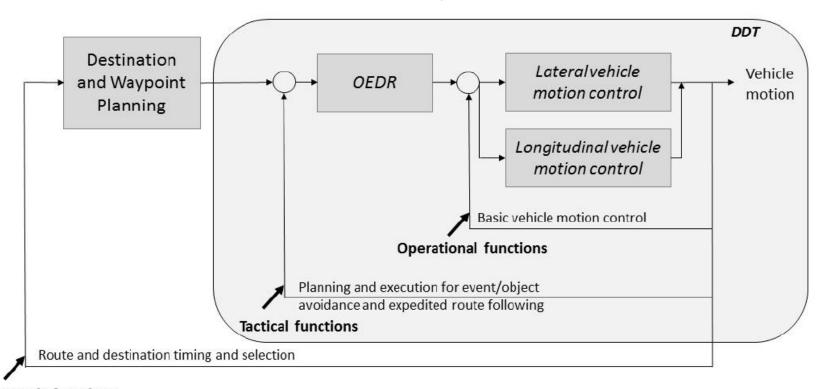






Schematic (not a control diagram) view of driving task showing DDT portion

OEDR = object and event detection, recognition, classification, and response



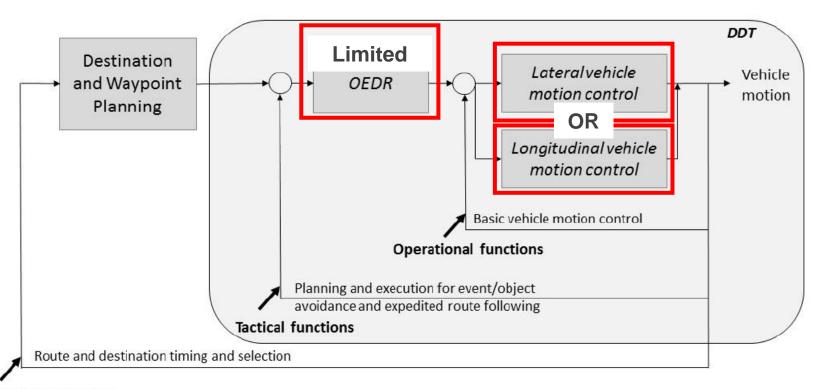
Strategic functions







For Level 1



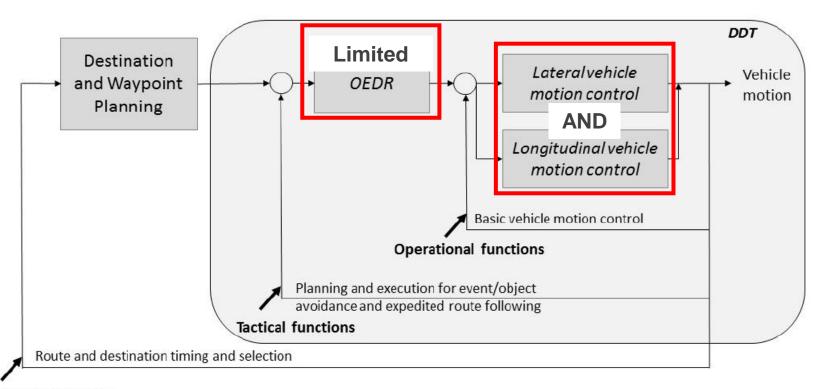
Strategic functions







For Level 2



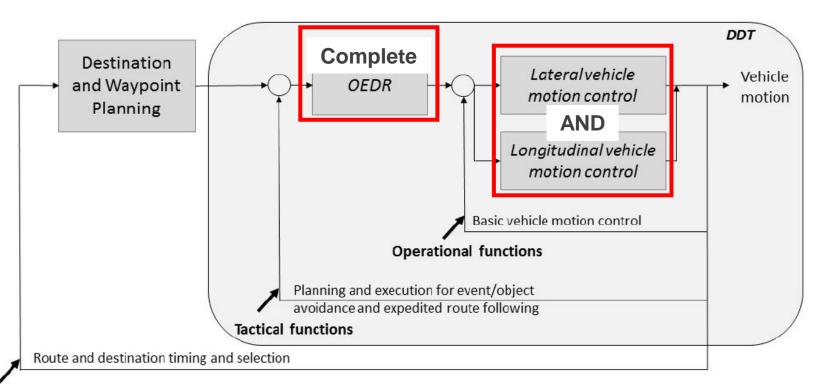
Strategic functions







For Levels 3-5



Strategic functions







	Driving	DDT
Types of effort involved	Strategic, Tactical, and Operational	Tactical and Operational only

- Driving entails a variety of decisions and actions, which may or may not involve a vehicle being in motion, or even being in an active lane of traffic
- Strategic effort involves trip planning, such as deciding whether, when and where to go, how to travel, best routes to take, etc
- DDT is a subset of driving







- Define as the response by the user to either perform the DDT or achieve a minimal risk condition after occurrence of a DDT performance-relevant system failure(s) or upon operational design domain (ODD) exit, or the response by an ADS to achieve minimal risk condition (MRC), given the same circumstances
 - ❖ ODD is defined as operating conditions under which a given driving automation system or feature thereof is specifically designed to function, including, but not limited to, environmental, geographical, and time-of-day restrictions, and/or the requisite presence or absence of certain traffic or roadway characteristics
 - MRC is defined as a condition to which a user or an ADS may bring a vehicle after performing the DDT fallback in order to reduce the risk of a crash when a given trip cannot or should not be completed



DDT Fallback; E.g.





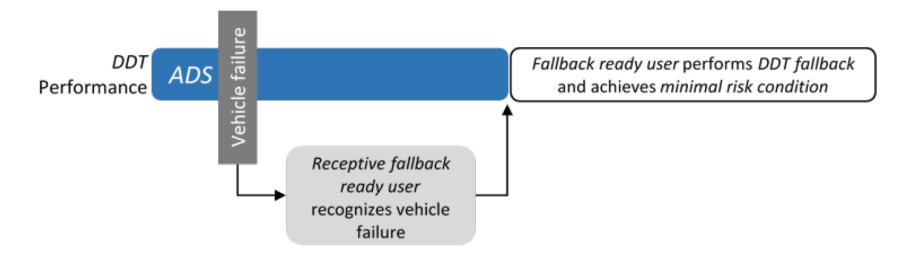
- 1. A level 1 adaptive cruise control (ACC) feature experiences a system failure that causes the feature to stop performing its intended function. The human driver performs the DDT fallback by resuming performance of the complete DDT
- 2. A level 3 ADS (Automated Driving System) feature that performs the entire DDT during traffic jams on freeways is not able to do so when it encounters a crash scene and therefore issues a request to intervene to the DDT fallback-ready user. S/he responds by taking over performance of the entire DDT in order to maneuver around the crash scene (Note that in this example, a minimal risk condition is not needed or achieved)
- 3. A level 4 ADS-dedicated vehicle (ADS-DV) that performs the entire DDT within a geo-fenced city center experiences a DDT performance-relevant system failure. In response, the ADS-DV performs the DDT fallback by turning on the hazard flashers, maneuvering the vehicle to the road shoulder and parking it, before automatically summoning emergency assistance (Note that in this example, the ADS-DV automatically achieves a minimal risk condition)



DDT Fallback Illustrative Examples:







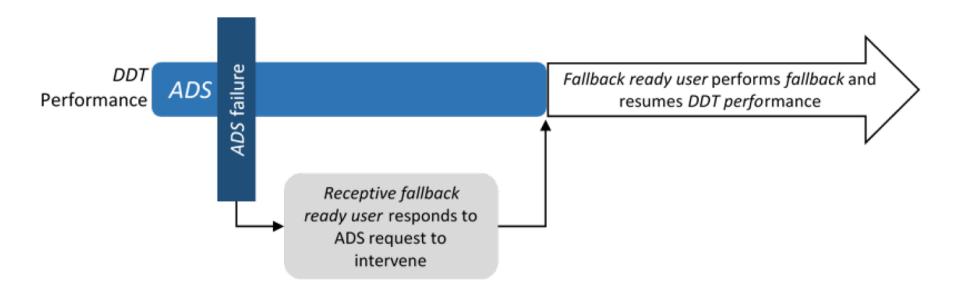
Sample use case sequence at Level 3 showing ADS engaged and occurrence of a vehicle system failure that prevents continued DDT performance. User performs fallback and achieves a minimal risk condition



DDT Fallback Illustrative Examples:







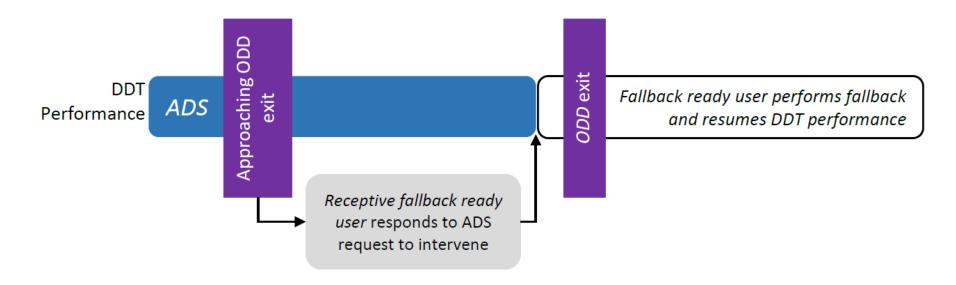
Sample use case sequence at Level 3 showing ADS engaged and occurrence of an ADS system failure that does not prevent continued DDT performance. User performs the fallback and resumes DDT performance



DDT Fallback Illustrative Examples:







Sample use case sequence at Level 3 showing ADS engaged and occurrence of exiting the ODD that does not prevent continued DDT performance.

User performs the fallback and resumes DDT performance



DDT Fallback Illustrative Examples:







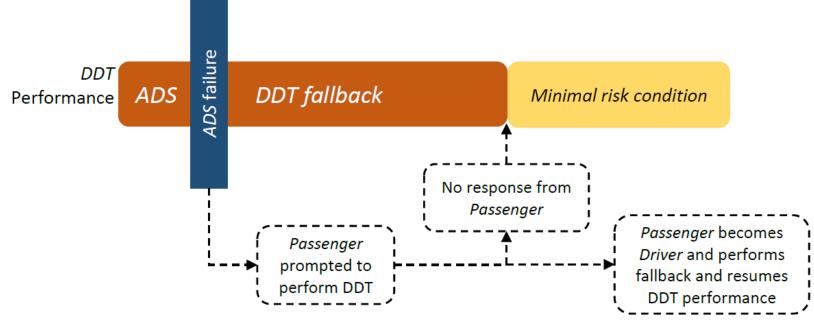
Sample use case sequence at Level 4 showing ADS engaged and occurrence of a vehicle system failure that prevents continued DDT performance. ADS performs the fallback and achieves a minimal risk condition



DDT Fallback Illustrative Examples:







NOTE: Dotted lines represent optional conditions.

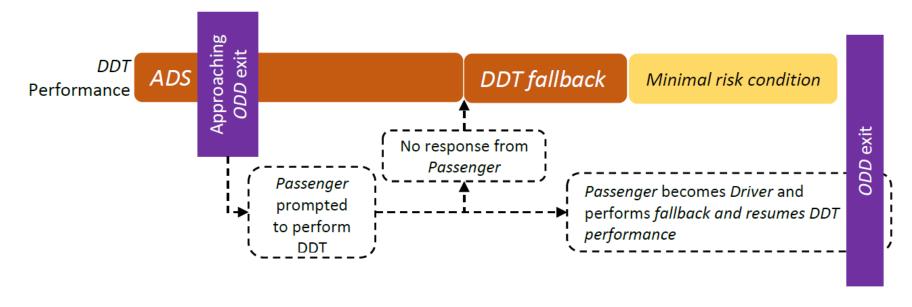
Sample use case sequence at Level 4 showing ADS engaged and occurrence of an ADS failure that does not prevent continued DDT performance by an available human user. The ADS feature may prompt a passenger seated in the driver's seat (if available) to resume DDT performance; if no driver's seat with receptive passenger, the ADS automatically achieves a minimal risk condition



DDT Fallback Illustrative Examples:







Use case sequence at Level 4 showing ADS engaged with ODD exit, which does not prevent continued DDT performance by an available human user. The ADS feature may prompt a passenger seated in the driver's seat (if available) to resume DDT performance; if no driver's seat with receptive passenger, the ADS automatically achieves a minimal risk condition



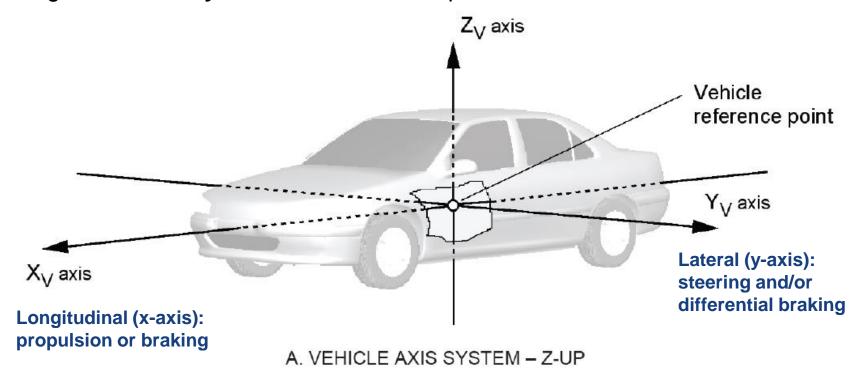
Lateral and Longitudinal Vehicle Motion Control





Lateral & Longitudinal Vehicle Motion Control:

DDT subtask comprising the activities necessary for the real-time, sustained regulation of the **y-axis and x-axis** component of vehicle motion





Taxonomy of Driving Automation





			DDT			
Level	Name	Narrative definition	Sustained lateral and longitudinal vehicle motion control	OEDR	DDT fallback	ODD
Driver performs part or all of the DDT						
0	No Driving Automation	The performance by the <i>driver</i> of the entire <i>DDT</i> , even when enhanced by <i>active safety systems</i> .	Driver	Driver	Driver	n/a
1	Driver Assistance	The sustained and ODD-specific execution by a driving automation system of either the lateral or the longitudinal vehicle motion control subtask of the DDT (but not both simultaneously) with the expectation that the driver performs the remainder of the DDT.	either the <i>lateral</i> or the <i>ntrol</i> subtask of the DDT with the expectation that Driver and System			
2	Partial Driving Automation	The sustained and ODD-specific execution by a driving automation system of both the lateral and longitudinal vehicle motion control subtasks of the DDT with the expectation that the driver completes the OEDR subtask and supervises the driving automation system.	Driver	Driver	Limited	
ADS	ADS ("System") performs the entire DDT (while engaged)					
3	Conditional Driving Automation	The sustained and ODD-specific performance by an ADS of the entire DDT with the expectation that the DDT fallback-ready user is receptive to ADS-issued requests to intervene, as well as to DDT performance-relevant system failures in other vehicle systems, and will respond appropriately.	System	System	Fallback- ready user (becomes the driver during fallback)	Limited
4	High Driving Automation	The sustained and ODD-specific performance by an ADS of the entire DDT and DDT fallback without any expectation that a user will respond to a request to intervene.	System	System	System	Limited
5	Full Driving Automation	The sustained and unconditional (i.e., not ODD- specific) performance by an ADS of the entire DDT and DDT fallback without any expectation that a user will respond to a request to intervene.	System	System	System	Unlimited

Summary of Driving Automation Levels

Note that: Level 5 "full driving automation" is the inverse analog of level 0 "no driving automation"

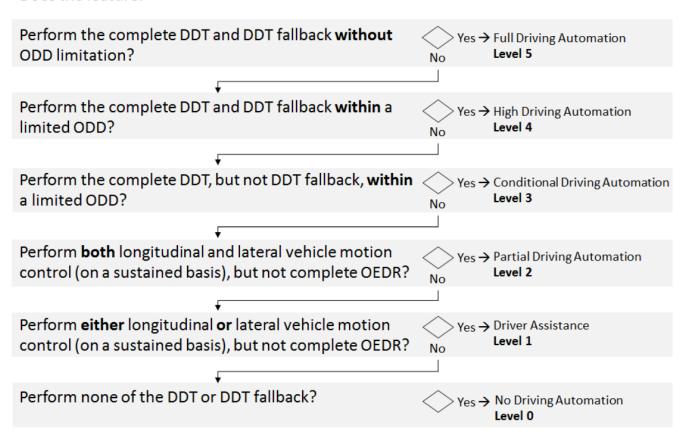


Taxonomy of Driving Automation





Does the feature:



Simplified logic flow diagram for assigning driving automation level to a feature



Taxonomy of Driving Automation





	No Driving Automation	Engaged Level of Driving Automation					
0		1	2	3	4	5	
In-vehicle user	Driver			DDT fallback- ready user	Passenger		
Remote User	Remote D	Driver		DDT fallback- ready user	Driverless operation dispatcher		

User roles while a driving automation system is engaged



Taxonomy of Driving Automation; E.g.





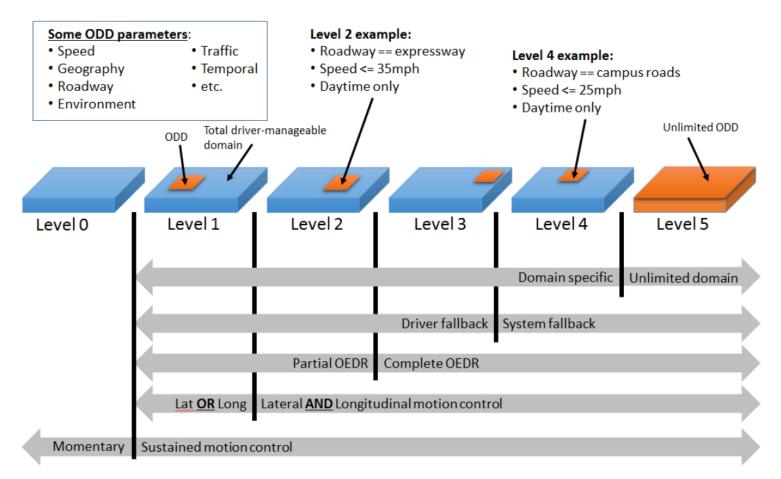
- If the driving automation system performs the sustained longitudinal and/or lateral vehicle motion control subtasks of the DDT, the driver does not do so, although s/he is expected to complete the DDT. This division of roles corresponds to levels 1 and 2
- If the driving automation system performs the entire DDT, the user does not do so. However, if a DDT fallback-ready user is expected to take over the DDT when a DDT performance-relevant system failure occurs or when the driving automation system is about to leave its operational design domain (ODD), then that user is expected to be receptive and able to resume DDT performance when alerted to the need to do so. This division of roles corresponds to level 3
- Lastly, if a driving automation system can perform the entire DDT and DDT fallback either within a prescribed ODD or in all drivermanageable on-road driving situations (unlimited ODD), then any users present in the vehicle while the ADS is engaged are passengers. This division of roles corresponds to levels 4 and 5



Operational Design Domain (ODD); E.g.







ODD relative to driving automation levels



Request to Intervene





- The situation where a system can no longer perform the DDT, SAE J3016 indicates the system should issue a "request to intervene"; defined as:
 - "Notification by an ADS to a fallback-ready user indicating that s/he should promptly perform the DDT fallback, which may entail resuming manual operation of the vehicle (i.e., becoming a driver again), or achieving a minimal risk condition if the vehicle is not drivable."
- Example: "A level 3 ADS experiences a DDT performance-relevant system failure in one of its radar sensors, which prevents it from reliably detecting objects in the vehicle's pathway. The ADS responds by issuing a request to intervene to the DDT fallback-ready user. The ADS continues to perform the DDT, while reducing vehicle speed, for several seconds to allow time for the DDT fallback-ready user to resume operation of the vehicle in an orderly manner."



Failure Mitigation Strategy (FMS)





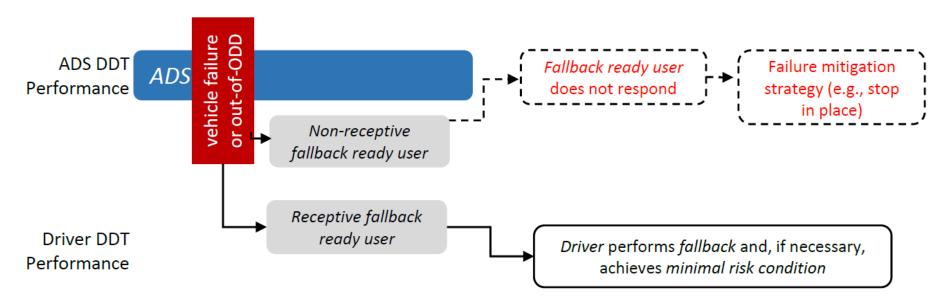
- FMS: "strategy designed to bring the vehicle to a controlled stop wherever the vehicle happens to be, if the driver fails to supervise the feature's performance (level 2), or if the fallbackready user fails to perform the fallback when prompted (level 3)."
 - E.g. if the fallback-ready user of a level 3 traffic jam feature fails to respond to a request to intervene after traffic clears (an out-of-ODD condition), the vehicle may have a failure mitigation strategy designed to bring the vehicle to a controlled stop in its present lane of travel and turn on the hazard lamps
- FMS is different from minimal risk condition achievement and is not part of the fallback function assigned to a level 4 or 5 ADS, because it occurs after the ADS has disengaged or been incapacitated by a rare, catastrophic event
 - E.g. loss of backup power after initial power failure or incapacitation of the ADS's computing capability, which render it incapable of performing the fallback and achieving a minimal risk condition



DDT Fallback vs Failure Mitigation Strategy (FMS)







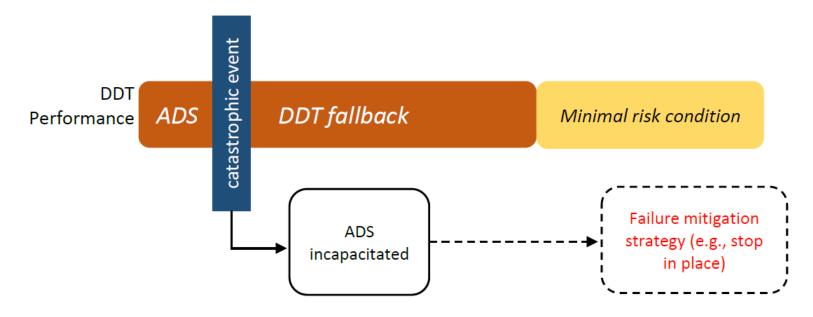
Use case sequence for a **Level 3** feature showing ADS engaged, **occurrence of a failure or out-of-ODD condition**, and the fallback-ready user performing the **fallback**, **or**, if the fallback-ready user fails to do so, **a failure mitigation strategy**, such as stop-in-lane (Note: Dotted lines represent failure mitigation strategy)



DDT Fallback vs Failure Mitigation Strategy (FMS)







Use case sequence at Level 4 showing ADS engaged and will perform DDT fallback and achieve minimal risk condition as per normal. However, in the event of a catastrophic event (e.g. complete power failure), the system will adopt a FMS. (Note: Dotted lines represent failure mitigation strategy)



Practical Use of SAE J3016 in Europe





AdaptIVe (Automated driving applications and technologies for Intelligent Vehicles) Project

- Co-funded by the European Commission as part of the Seventh Framework Programme with €14.3 million supported by the European Council for Automotive R&D, EUCAR
- 29 partners from 8 countries France, Germany, Greece, Italy, Spain, Sweden, The Netherlands, United Kingdom; including 11 original equipment manufacturers, 4 suppliers, 11 research institutes and universities, and 3 small/medium enterprises
- Objectives include human factors issues, evaluation methods, and legal aspects
- Deliverable D2.1 System Classification and Glossary
 - Describes harmonization of levels between BASt, VDA, and SAE
 - Applies these harmonized levels and SAE J3016 supporting terms



Practical Use of SAE J3016 in US





CAMP AVR (Crash Avoidance Metrics Partnership Automated Vehicle Research) Project

- Cooperative Research Agreement with NHTSA (i.e. National Highway Traffic Safety Administration)
- <u>Consortium members:</u> Ford Motor Company, General Motors, Nissan, Mercedes-Benz, Toyota, and Volkswagen Group of America
- Objectives included: functional descriptions of automation levels, list of potential driving automation features, level-specific safety principles, potential objective test methods for evaluating driving automation systems
- CAMP AVR Consortium incorporated the SAE J3016 levels and supporting terms and embellished upon them
- Final report has been submitted to NHTSA







2. SINGAPORE STANDARDS COUNCIL – TR-68-1/2/3





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Purpose of TR-68-1 (Basic Behaviour):

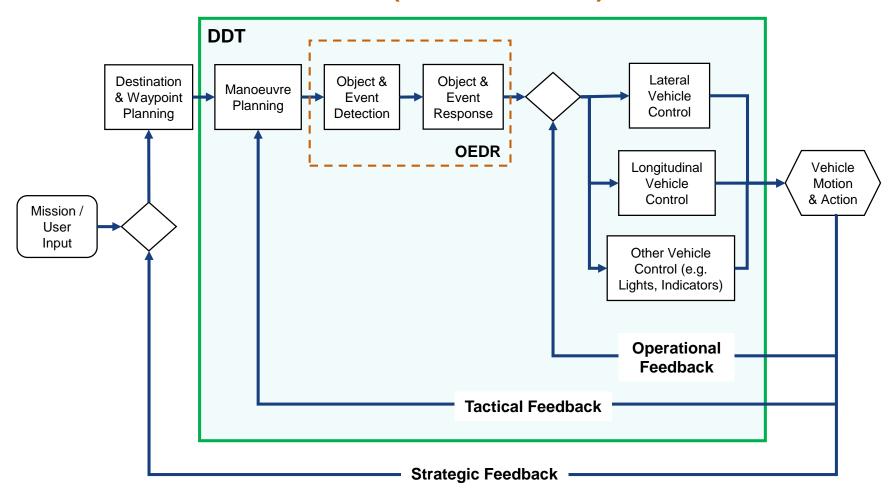
- Describes required AV basic driving behaviours
 - DDT and behavior controlled by the ADS of an AV
 - Conduct of AV driving
 - Road signs, markings and traffic signals interpretation
- Definitions adapted from SAE J3016_2018
- Applicable to the following parties:
 - a) AV-related companies (i.e. developers/operators, manufacturers, suppliers)
 - b) Relevant govt organizations (e.g. LTA, TP)
 - vehicle testing, inspection and certification organizations (e.g. VICOM, STA)
 - d) Motor insurance companies
 - e) Service and data providers (e.g. SingTel, Starhub)







DDT Process Flow Chart (TR-68 Version):



Content and Graphics adapted from TR-68-1







Assumptions made for TR-68-1 (Safety):

- a) AVs will be deployed on existing infrastructure (i.e. public roads with current traffic facilities) together with other non-autonomous vehicles (i.e. Level 0 and 1), pedestrians, bicycles and PMDs
- b) Current driving rules and regulations will apply to all AVs (e.g. road traffic rules, Highway Code, traffic facilities)
- c) No on-board human operator will be involved in the AV operations; this TR does not consider the human-AV interface
- d) AVs are expected to only depend on on-vehicle systems to provide safe operation. In other words, if any critical events occur (e.g. malfunctions, power loss, cyberattacks), the AVs cannot rely on any offvehicle systems (e.g. wireless communications) to execute safety measures
- e) The responsibility for ensuring a safe vehicle deployment will be bore by the AV developer/operator. This includes validation and verification of the AV and other relevant systems

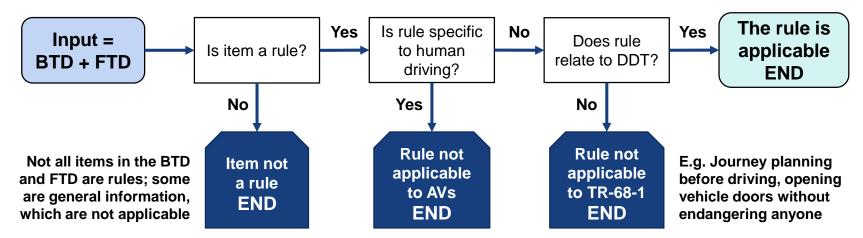
Content adapted from TR-68-1







Filtering Rules Applicable to AV Driving Behaviour:



E.g. rules that target undesirable human emotions/actions (like road rage, drink drive, tailgating, reckless overtaking), rules that describes how humans perform physical actions (like checking blind spots, turning the steering wheel)

BTD = Singapore's Basic Theory of Driving

FTD = Singapore's Final Theory of Driving







What happens if AV faces dilemmas (common in current driving situations)? Examples of dilemmas:

- Preventing harm
- Maintaining traffic movements
- Conflicting rules (e.g. various driving rules result in different required actions to a given situation)

Two Directives for Automated Driving to resolve dilemmas:

A. Prime Directive: To ensure safety

Able to violate driving rules to avoid any harmful events

B. Secondary Directive: To ensure free movement of traffic

Able to violate driving rules if not doing so will lead to unnecessary traffic obstruction, provided if Rule A still applies (i.e. no unreasonable safety risks taken)

Content adapted from TR-68-1

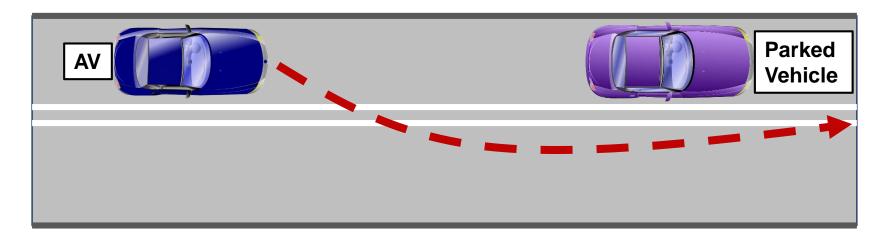






Examples of Application of Directives for Automated Driving to resolve dilemmas; E.g. 1:

- Violate driving rules by crossing the double white line to overtake an illegally parked car in order to ensure free movement of traffic.
- Prime directive still applies; no foreseen danger inflicted if action is carried out



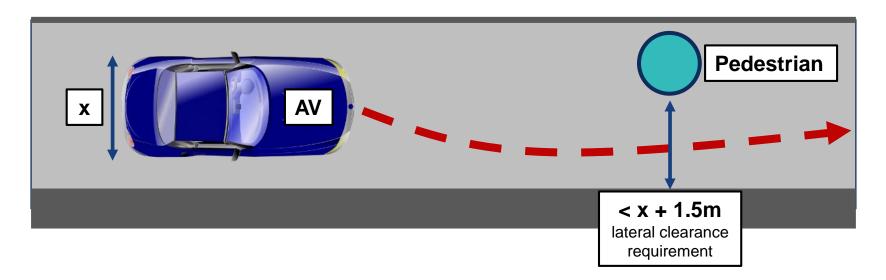






Examples of Application of Directives for Automated Driving to resolve dilemmas; E.g. 2:

- Violating a rule pertaining to lateral clearance requirement; able to proceed as long as physical clearance is sufficient. This ensure free movement of traffic
- Prime directive still applies; no foreseen danger inflicted if action is carried out



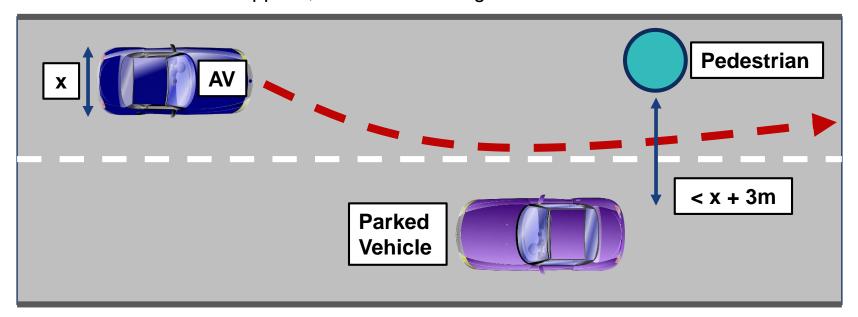






Examples of Application of Directives for Automated Driving to resolve dilemmas; E.g. 3:

- If violating rules are necessary, it must be done minimally
- Violating more lateral clearance toward one actor (e.g. parked car) and less toward a more vulnerable actor (e.g. pedestrian)
- Prime directive still applies; no foreseen danger inflicted if action is carried out



Content and Graphics adapted from TR-68-1







Conduct of DDT by AVs Pertaining to the Interpretation of rules:

- Hand signals AVs must be able to detect and recognize hand signals by humans (e.g. police officers, other road users, construction/school traffic facilitators) and respond accordingly
- Vehicles on Emergency Calls Able to detect and respond to such vehicles (i.e. ambulances, police cars)
- Use of Mapping and Adherence to Traffic Signs and Road Markings – All relevant traffic signs and road markings can be found in the BTD







Purpose of TR-68-2 (Safety):

- Describes a set of minimal safety requirements to be met by AV developers, manufacturers and/or operators
- Focuses on Quality and Safety
 Management Systems
- Applicable to the following parties:
 - a) AV developers/operators
 - b) Relevant govt organizations (e.g. LTA, TP)
 - vehicle testing, inspection and certification organizations (e.g. VICOM, STA)
 - d) Engineering and consulting companies (e.g. ST Engineering)

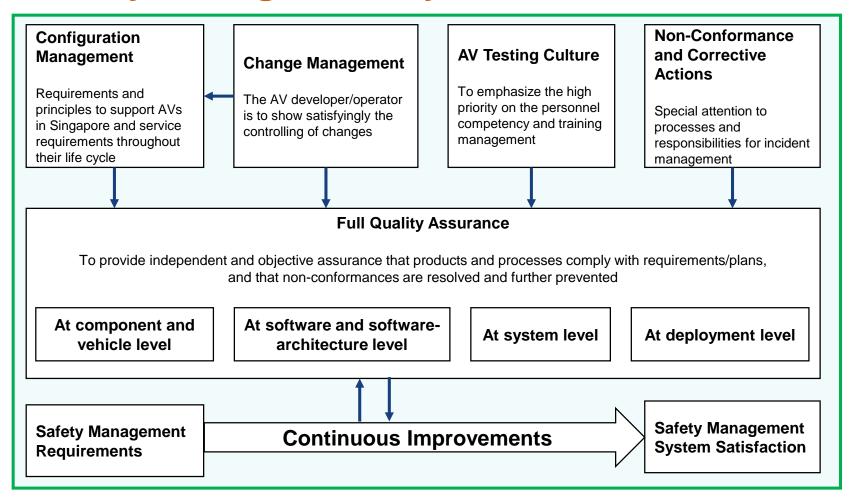


TR-68 Part 2: Safety





Quality Management System Overview



Content and Graphics adapted from TR-68-2

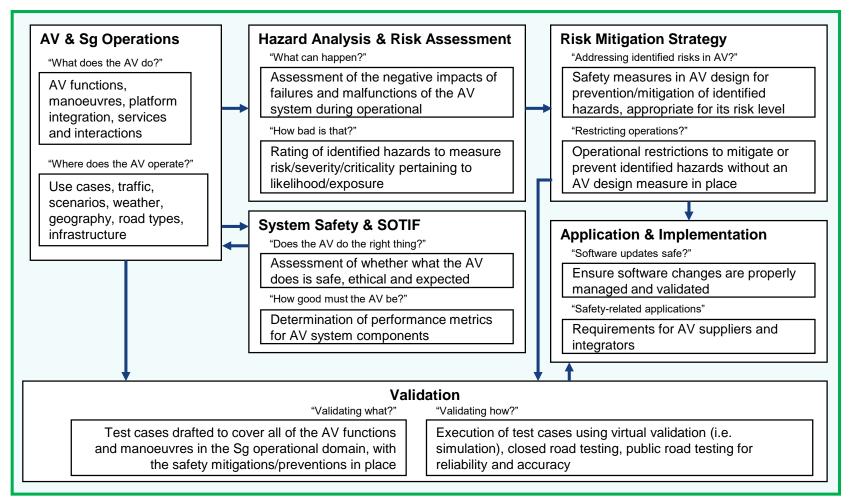


TR-68 Part 2: Safety





Safety Management System Overview



SOTIF = Safety of the Intended Functionality

Content and Graphics adapted from TR-68-2



TR-68 Part 2: Safety





Other Considerations in TR-68-2

- a) Human Machine Interface (HMI) within safety systems
 - AVs of L4/5 (in SAE terms) should exclude safety roles for humans
 - Assume as though there are no human occupants in AVs for use cases relevant to TR, as passengers are occupied with non-driving activities
 - Hence, necessary for a remote takeover to be possible without involving the passengers pertaining to safety measures
- b) Artificial Intelligence (AI) within safety systems
 - > The application of AI has the potential to enhance safety. However......
 - Explicitly prohibit usage of Al during AV operations to influence the system safety and for other intended safety functions
 - Usage of Al allowed during development and testing phases as long as it does not compromise the safety aspect of the AV (e.g. collecting and transferring data from AV to a test platform located outside the AV. This test platform utilizes AI to optimize the AV performance)
 - Usage of Al allowed in non-safety related parts of the system; functional independence necessary

Content adapted from TR-68-2







Purpose of TR-68-3 (Cybersecurity):

- TR for enhanced cybersecurity framework for AVs
 - Sg does not manufacture vehicles; dependent on AV developer/operator for security-by-design processes
 - Independent approach required to ensure foolproof cybersecurity (i.e. conducting cybersecurity assessment of AVs before deploying them on the roads)
- 2 tiers of cybersecurity safeguards:
 - A. Cybersecurity Principles
 - B. Cybersecurity Assessment Framework

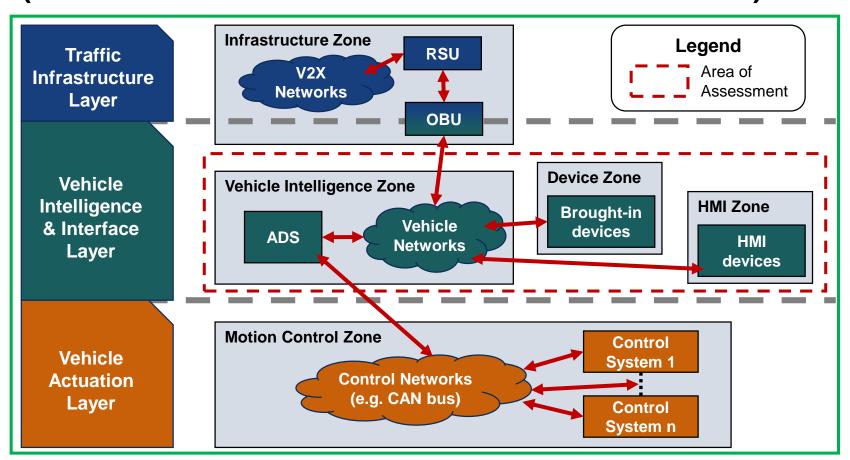






AV Security Zone

(includes area of assessment covered in this TR)



RSU = roadside units, OBU = On-Board Unit, V2X = Vehicle to everything, ADS = Automated Driving System, CAN = Controller Area Network

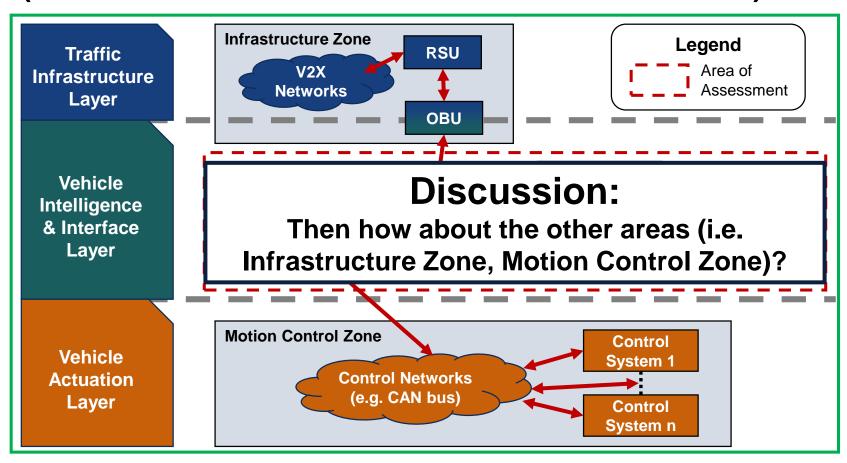






AV Security Zone

(includes area of assessment covered in this TR)



RSU = roadside units, OBU = On-Board Unit, V2X = Vehicle to everything, ADS = Automated Driving System, CAN = Controller Area Network







Cybersecurity Key Principles:

Security-bydesign

- Cybersecurity considered from early development stages and integrated into the design
- Security practices should be built on established standards and proven methods
- Evaluated and certified products must be used at all times
- Design safeguards must be considered to account for potentially untrusted components

Defence-indepth

- Apply a holistic approach for security on the system architecture; this ensures a more complete and comprehensive protection
- E.g. compartmentalisation, multi-layered defence, multifactor authentication, multitier access control
- Do not rely on security by obscurity as a solution (i.e. design/implementation secrecy)

Continuous Operational Management & Oversight

- Cybersecurity operations cycle includes:
 Prevent/Predict (threat anticipation), Detect (threat discovery), Respond (mitigation and containment measures), and Recover
- Protection must be proactive; not static
- Mandatory continuous security updates and vulnerability management

Resiliency

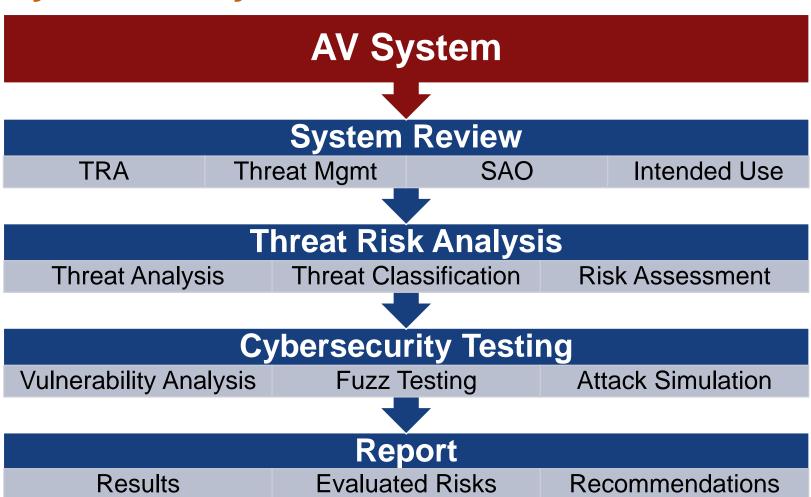
- Cybersecurity attack is a matter of when
- Hence, AV operations must be resilient to cybersecurity attacks
- About ensuring the preparedness and readiness of cybersecurity
- **E.g.** periodic design review, penetration test, consequence management







Cybersecurity Assessment Framework:



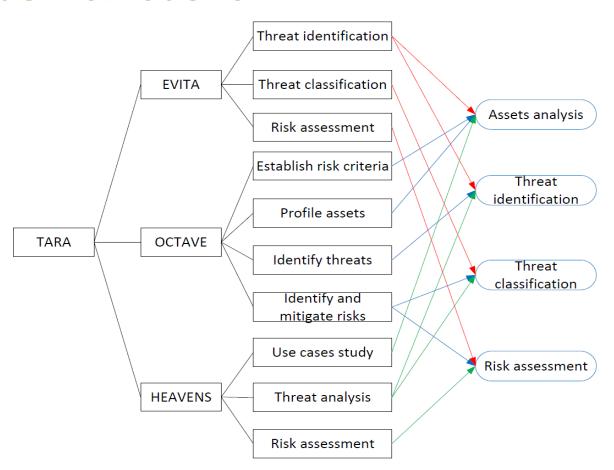
TRA = Threat Risk Assessment SAO = System Architecture Overview Content adapted from TR-68-3







Various Methods for TARA:



Graphics from On the Alignment of Safety and Security for Autonomous Vehicles by Cui, et al.

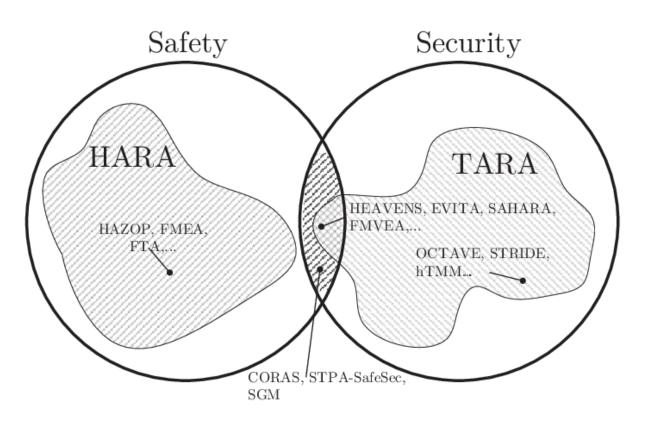
TARA = Threat Analysis & Risk Assessment, OCTAVE = Operationally Critical Threat, Asset, and Vulnerability Evaluation, EVITA = Esafety Vehicle Intrusion proTected Applications, HEAVENS = HEAling Vulnerabilities to Enhance Software Security and Safety







Classification of HARA (for Safety) and TARA (for Security) methods:



Graphics from Enhancement of Automotive Penetration Testing with Threat Analyses Results by Dürrwang, et al.











POP Quiz at Kahoot!





- Go to <u>www.kahoot.it</u> or download the Kahoot! App
- Key in the given Game PIN on the screen
- Answer the questions as instructed on screen







End of Module 4





THANK YOU for your kind attention!



Main References





- SAE International J3016
- Singapore Standards Council TR-68-1/2/3
- Cui, Jin & Sabaliauskaite, Giedre. (2017). On the Alignment of Safety and Security for Autonomous Vehicles
- Dürrwang, Jürgen & Braun, Johannes & Rumez, Marcel & Kriesten, Reiner & Pretschner, Alexander. (2018). Enhancement of Automotive Penetration Testing with Threat Analyses Results.
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