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2 **Identifying Urban Functional Areas and Their Dynamic Changes in Beijing:**
3 **Using Multiyear Transit Smart Card Data**

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36

37 **Abstract**

38 A growing number of megacities have been experiencing changes to their landscape due to rapid
39 urbanisation trajectories and travel behaviour dynamics. Therefore, it is of great significance to
40 investigate the distribution and evolution of a city's urban functional areas over different periods
41 of time. Although the smart card automated fare collection system (SCAFC) is already widely
42 used, few studies have used smart card data to infer information about changes in urban functional
43 areas, particularly in developing countries. Thus, this research aims to delineate the dynamic
44 changes that have occurred in urban functional areas based on passengers' travel patterns, using
45 Beijing as a case study. We established a Bayesian framework and applied a Gaussian mixture
46 model (GMM) derived from transit smart card data in order to gain insight into passengers' travel
47 patterns at station level and then identify the dynamic changes in their corresponding urban
48 functional areas. Our results show that Beijing can be clustered into five different functional areas
49 based on the analysis of corresponding transit station functions, namely: multimodal interchange
50 hub and leisure area; residential area; employment area; mixed but mainly residential area; and a
51 mixed residential and employment area. In addition, we found that urban functional areas have
52 experienced slight changes between 2014 and 2017. The findings can be used to inform urban
53 planning strategies designed to tackle urban spatial structure issues, as well as guiding future
54 policy evaluation of urban landscape pattern use.

55

56 **Keywords**

57 Urban functional areas; Dynamic changes; Urban planning; Travel pattern; Smart card data;
58 Beijing

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62 **1. Introduction**

63 Urbanisation leads to rapid growth on a city scale, and a large number of people tend to move
64 to the city seeking a better working and living environment. Urban immigration causes the
65 socio-economic attributes of different regions in a city to change dramatically, and it is therefore
66 necessary for city planners, economists and resource managers to comprehensively understand the
67 distribution of, and changes in, urban functional areas (Pham et al., 2011). However, some
68 traditional urban structure detection methods, such as remote sensing images (Heiden et al., 2012;
69 Van de Voorde, Jacquet, and Canters, 2011), primarily concentrate on the changes in urban
70 physical structure, but these cannot accurately reflect the socio-economic composition of urban
71 areas revealed by urban mobility patterns (Chen et al., 2017). In addition, functional changes in a
72 city happen relatively slowly. Therefore, only examining data for a single year may not precisely
73 reflect the dynamic changes in a city's urban functional areas. Furthermore, the systematic
74 collection of long-term data would require a massive investment of manpower, time and material
75 resources, which would be a significant constraint on conducting the relevant research. With the
76 rapid development of big data, it has increasingly been applied in different fields of urban studies.
77 These studies involve, for example, the use of mobile data (Sagl et al., 2014), social network data
78 (Hasnat et al., 2018), and smart card data (Zhao et al., 2018), and have been validated in multiple
79 cities. To take the smart card data as an example, it consists of a large amount of spatio-temporal
80 information on users' long-term activity, which makes it possible to study cities at the individual
81 level, while the huge volume of data also increases the accuracy of the research. At the same time,
82 these data are by-products of residents' activities, which have low acquisition costs but consist of
83 long-term information. Therefore, methods based on big data can be seen as an effective way to

84 measure the dynamic changes in urban functional areas.

85 *****Please insert Figure 1 here*****

86

87 Beijing has a geographical area of 16,808 square kilometres. The total number of usual
88 residents living in Beijing was 21.54 million in 2018. Transport emissions and traffic jams are
89 currently two primary issues in the city (Wang et al., 2015; Cao et al., 2017). In order to alleviate
90 traffic congestion caused mainly by rapid urbanisation and an increase in private car usage, the
91 urban transit system has been dramatically developed to tackle the resulting issues (Jiang et al.,
92 2017). The Beijing transit system comprised 22 lines and 278 stations (all transfer stations are
93 only counted once) by the end of 2017 (Fig. 1) (Beijing Transport Institute, 2018). The total
94 mileage of Beijing transit is predicted to reach 1,000 kilometres, and the annual ridership to reach
95 4.53 billion, by the end of 2020, according to Beijing's Urban Master Plan (2016-2030) edited by
96 Beijing's Municipal Commission of Planning and Natural Resources. Along with the development
97 of the transit system, use of the smart card automated fare collection system (SCAFC) has become
98 widespread, enabling a large amount of smart card data to be collected. In Beijing, smart cards can
99 be used for different transport modes, such as buses and the metro, although this study primarily
100 focuses on the data relating to travel by metro. The average amount of daily SCAFC data
101 generated exceeds 5 million, consisting of data on more than 2.8 million passengers, which
102 includes trips that started by bus, but involved transferring to the metro. The metro has become
103 one of the most important sustainable transport modes for urban residents, while the large amount
104 of SCAFC data generated from it has revealed urban mobility patterns particularly well (Pelletier
105 et al., 2011; Wang et al., 2018).The aim of this paper is to delineate the dynamic changes that have

106 occurred in urban functional areas, based on passengers' travel patterns, using Beijing as a case
107 study. As urban functional development is a relatively slow process, in order to study the dynamic
108 changes in urban functional areas, this paper also identifies the socio-economic attributes of urban
109 areas for different periods of time by using multi-year smart card data and analyses the evolution
110 of urban functional areas between 2014 and 2017. The paper is organised as follows: the relevant
111 literature is reviewed in section 2; section 3 describes the methods used; section 4 and section 5
112 present the modelling results and a discussion about passenger travel patterns and the resulting
113 inferences for the corresponding urban functional areas; and the last section draws conclusions.

114

115 **2. Literature review**

116 The application of smart card data in analysing travel behaviours does not have a long
117 history, largely because the new data sources like smart card data have only recently been
118 available. The large volume of individual level data provides us with a new lens through which to
119 examine the dynamics of human movement (Zhong et al., 2014), and thus a more comprehensive
120 view of urban dynamics. Taking advantage of the disaggregated spatio-temporal information (Gan
121 et al., 2018), studies using smart card data have been divided into various sub-types, such as travel
122 behaviours (Zhao et al., 2017; Kieu et al., 2015), urban structure (Zhong et al., 2014), station
123 hierarchies (Roth et al., 2011; Zhang et al., 2019) and local environment inferences (Chen et al.,
124 2009). However, the ideas underlying these applications are the same, that is to use human
125 movement as a sensor with which to disclose intangible urban patterns.

126 The fundamental aim of studies that use smart card data is to reveal passengers' travel
127 patterns, including their origin-destinations, journey length, travel frequency etc. Because different

128 travel purposes exhibit various travel patterns, the purpose of trips can be inferred and detected
129 (Zou et al., 2018) by differentiating the regularity and variability of spatiotemporal characteristics.
130 The most intuitive case is that trips relating to work and education usually take place during peak
131 times, while entertainment trips are made during off-peak times (Lee and Hickman, 2014). For
132 example, Alsger and colleagues (2018) proposed the logical inference framework with which to
133 infer the purposes of trips on public transport and deduced five different trip purposes (work,
134 home, education, shopping and recreational) in Brisbane, Queensland. Furthermore, classifying
135 passengers into different clusters derived from their travel patterns can infer their socio-economic
136 attributes (Goulet-Langlois., 2016; Zhu et al., 2018), and enable analysis of potential factors which
137 may affect passengers' travel elasticity (e.g. avoid travelling at peak times) (Halvorsen et al., 2016;
138 Huang et al., 2019).

139 In addition, to some extent, knowledge about the association between transit passengers'
140 travel patterns and their travel purpose can be extended to reveal the dynamics of the surrounding
141 urban functional areas based on the corresponding transit stations (Alsger et al., 2018). More
142 specifically, the frequencies with which passengers visit transit stations can be used to infer which
143 areas they live or work in (Hasan, 2013). Furthermore, information about regional clustering of
144 job-housing distribution around transit stations can be obtained by analysing high-frequency
145 passengers' individual job-housing distribution (Ma, 2017; Huang et al., 2018). Moreover, transit
146 stations located in a transport hub (i.e. multimodal interchange hub) or entertainment areas are
147 more likely to attract low-frequency passengers, and the regularity of passengers' travel patterns
148 for this type of transit station is weaker compared to commuters' travel patterns.

149 Station ridership patterns means the time series of ridership entry to and exit from the station.

150 The regularity of a ridership pattern often changes over time (Zhong et al., 2016; Li et al., 2017).
151 Some studies show that the built environment around transit stations is statistically significantly
152 associated with station ridership patterns (Ma et al., 2018; Taylor et al., 2009; Thompson and
153 Brown, 2006). Similar results have also been found in the case studies of Shenzhen (Gong, 2017),
154 Nanjing (Gan et al., 2020), and Sydney (Blainey, 2013). In the case of Beijing, Zhu et al. (2019)
155 also pointed out that there is a significant relation between station ridership patterns and the built
156 environment during peak times. Meanwhile, Zhong et al. (2014) investigated passenger volume at
157 station entrances and exits to infer the dynamics of the urban functional areas around the
158 corresponding transit stations. Similar results were also obtained by Long and Thill (2015) using
159 combined smart card and household travel survey data to provide a new approach to identifying
160 the dynamics operating in urban functional areas, particularly with regard to jobs-housing
161 relationships in Beijing.

162 In summary, we can see that smart card data can be used to help analyse travel patterns at
163 both disaggregated and aggregated levels. Passengers' travel patterns can also further reflect the
164 dynamics of urban functional areas, particularly around transit stations. That is to say, the built
165 environment around the transit station shows an association with its ridership pattern; inferences
166 about the urban functional areas can be made by analysing ridership patterns for the corresponding
167 transit stations. Previous empirical studies (e.g., Ma et al., 2017; Alsger et al., 2018; Gan et al.,
168 2020) have shown the validity of these deductive results.

169 However, most existing literature has two limitations. First, it only considers either an
170 analysis of individual travel behaviour pattern or a station-oriented clustering analysis of ridership
171 patterns when attempting to detect characteristics of stations. Second, most existing literature has

172 focused more on high-frequency passengers. Less attention has been paid to low-frequency
173 passengers, mainly due to a lack of sufficient spatio-temporal information, which may reduce the
174 extent to which it can accurately reflect the dynamics of urban functional areas. Therefore, to
175 bridge these gaps, this paper also contributes to the existing theories in two ways. Firstly, we
176 include both individual travel patterns and station ridership patterns in the analysis, in order to
177 provide planners and policymakers with a more finely-grained picture of station functional areas
178 and their dynamic changes. Secondly, we consider both low-frequency and high-frequency
179 passengers' travel patterns. The particular significance of considering different types of travel
180 patterns is that it improves the accuracy of identifying the dynamics operating in urban functional
181 areas.

182

183 **3. Methods**

184 *3.1. Spatio-temporal travel probability*

185 Each passenger's long-term travel data reflects his/her travel pattern, which is derived from
186 the frequency of the passenger's visits to different transit stations (Hasan, 2013). However, the
187 aforementioned type of research has not taken different time periods into consideration. Building
188 on the aforementioned basic approach, this paper takes into account visiting frequencies during
189 different periods of time for different transit stations, and calculates travel probability under
190 different spatio-temporal circumstances, following Bayesian theory (Zhong et al., 2014; Alsger et
191 al., 2018).

192 More detailed processes are described below:

193 (1) Record the long-term travel database of each passenger identified by different smart card
194 numbers based on SCAFC data, which contains all the travel records of the passenger during 5

195 working days from 2014 to 2017, respectively.

196 (2) Calculate the number of days on which they used the metro, and the frequencies of entry
197 and exit for different transit stations during different periods for each passenger.

198 (3) Use the aforementioned statistical data to calculate the probability of visiting frequencies
199 of the station for each passenger during a given period of time.

200 Taking the calculation of the probability of a passenger entering the station S during the time
201 period T , given as $P(Entry|S,T)$, as an example, first let:

$$P(Metro|T) = Day_{metro} / Day_{all} \quad (1)$$

202 Equation (1) shows the probability of a passenger using the metro during the time period T .

203 Where

204 Day_{all} indicates the number of days of SCAFC data.

205 Day_{metro} is the number of days the passenger used the metro to travel during the time period T .

206 We then select the passenger's travel record for using the metro during the time period T to
207 calculate the entry frequency R_o from the station S .

$$P(Entry|S,T,Metro) = R_o / R_{all} \quad (2)$$

208

209 Equation (2) shows the probability of a passenger entering the station S during the time period T .

210 Where

211 R_o indicates the entry frequency for the station S .

212 R_{all} is the total amount of entry frequencies for all stations.

213

$$\begin{aligned} &P(Entry|S,T) \\ &= P(Entry|S,T,Metro) \\ &= P(Metro|T) \times P(Entry|S,T,Metro) \end{aligned} \quad (3)$$

214 Therefore, the probability of a passenger entering the station S during the time period T can be
215 obtained as shown in equation (3).

216 Likewise, the probability of a passenger exiting a station during a given time period T' can also be
217 calculated following the same steps.

218

219 3.2. Gaussian mixture model (GMM)

220 In recent years, mixture models have been widely applied in the field of SCAFC data mining
221 (Briand et al., 2017; Mohamed et al., 2017). Unlike the traditional clustering method, for instance,
222 based on Euclidean distance, mixture models assume that different indicators follow a specified
223 distribution, and complete the clustering process by analysing multiple mixed distributions. In this
224 paper, we use the Gaussian mixture model (GMM) to complete the cluster process (Reynolds et al.,
225 2000; Zivkovic., 2004).

226 The underlying principle of the GMM is to fit the data with multiple Gaussian distributions
227 which is shown as follows:

$$X_i | Z_{ik} = 1 \sim N(\mu_k, \sigma_k) \quad (4)$$

228 In formula (4), $Z_{ik} = 1$ means the sample i belongs to the cluster k , then the sample i
229 follows the corresponding Gaussian distribution with the parameter μ_k and σ_k .

230 When a sample obeys the Mixture Gaussian Distribution, it can be represented by several
231 Gaussian distributions with different parameters, each of which is called component i ($i=1,2,\dots,k$)
232 and is denoted by $N(\mu_k, \sigma_k)$.

233 We use π_k to represent the probability that sample i belongs to component k , which means
234 that the sample obeys the Gaussian distribution with the parameter μ_k and σ_k . If we take the
235 sum of all the components $N(\mu_k, \sigma_k)$ and multiply by the probability π_k , we can obtain the

236 probability of sample X_i which is shown in equation (5):

$$X_i \sim \sum_k \pi_k N(\mu_k, \sigma_k) \quad (5)$$

237 If we multiply the probability of samples i ($i=1,2,\dots,I$), where I indicates the total number of
238 samples, we can obtain the likelihood functions $L(X)$ of the total samples as shown in equation
239 (6):

$$L(X) = \prod_I \sum_k \pi_k N(\mu_k, \sigma_k) \quad (6)$$

240

241 When the likelihood functions achieve the maximum value, this enables us to obtain the
242 cluster result and the centre of each cluster. The expectation-maximisation algorithm (EM) is used
243 to analyse the model, and the Davies-Bouldin Index (DBI) and Silhouette Coefficient (SC) are
244 used to decide on the number of clusters (Davies & Bouldin, 1979; Rousseeuw, 1987).

245

246 **4. Data description and parameter selection**

247 *4.1. Data description*

248 The dataset in this paper is comprised of Beijing rail transit AFC data from 2014 to 2017, for
249 the same week of each year, and contains more than 0.1 billion travel records and more than 10
250 million different card holders. The data is divided into five categories, namely: smart card ID
251 (Grant_Card_Code); trip start time (Entry_Time); trip end time (Deal_Time), trip start station
252 (Entry_Station) and trip end station (Exit_Station). As shown in Table 2, the AFC data contains the
253 spatio-temporal information about rail transit passengers.

254

255 *****Please insert Table 1 here*****

256

257

258 *4.2. Time period selection*

259 The ridership pattern is roughly the same for the different working days in each of the four
260 years when the passenger flow is measured at 30 minute intervals. As shown in Figure 2, there is a
261 peak in ridership both in the morning and in the evening, while the ridership between the morning
262 and evening peaks remains stable. Therefore, we chose 6:00 to 10:00 for the morning peak period,
263 10:00 to 16:00 for the off-peak period, and 16:00 to 20:00 for the evening peak period, which
264 correspond to the red, green and blue areas in Figure 2.

265

266

267 *****Please insert Figure 2 here*****

268

269 *4.3. Travel probability division*

270 The travel probability calculated by the method described in section 3.1 is continuous, and it
271 is therefore difficult to obtain a full and accurate understanding of passengers' travel patterns from
272 it. Therefore, the travel probability is divided into three levels, based on two assumptions:

273 Assumption 1: Most passengers travel by rail transit in the morning and evening periods only
274 once.

275 Assumption 2: Most passengers have only one Origin-Destination (OD) in the morning and
276 evening periods.

277 To verify the two assumptions, we calculate the proportion of passengers with different travel
278 times during different periods and the proportion of passengers who visited different stations at
279 different times during each year, and we then calculate and use the average value.

280

281 *****Please insert Figure 3 here*****

282

283 As shown in Figure 3, more than 90% of passengers travelled only once in the morning and
284 evening periods, and more than 75% of passengers used only one entry station and one exit station,
285 indicating that most of the passengers have a stable OD in the morning and evening periods;
286 therefore, the aforementioned two assumptions have been verified. For most of the passengers, the
287 travel probability only relates to the number of travel days based on the two assumptions.
288 Therefore, this paper takes typical passengers who travelled only once and had a stable OD in the
289 morning and evening periods as normal, to determine the passenger travel probability.

290 In this paper, travel probability is defined as either a low probability (0, 0.4], a mid
291 probability (0.4, 0.7], or a high probability (0.7, 1]. For typical passengers, low probability (0,0.4]
292 means that they travel by rail transit no more than two days a week during that period. This type of
293 travel is mostly for shopping or entertainment (*Goulet-Langlois., 2016*). Mid probability (0.4, 0.7]
294 indicates that the passenger travels on three days a week, and high probability (0.7, 1] indicates
295 that the passenger travels on at least four days a week, most of whom are commuters (*Huang et al.,*
296 *2018*).

297

298 *4.4. Passengers' travel patterns*

299 Figure 4 shows the number of passengers with different travel probabilities during different
300 time periods from 2014 to 2017. As can be seen from the figure, there are a large number of low
301 probability passengers travelling during different time periods. These passengers travelled in a
302 more random way and did not exhibit stable travel patterns. However, the ridership pattern
303 measured at 30 minute intervals is relatively stable, as shown in Figure 2, which indicates that
304 although the travel mode choice at the individual level was irregular, the ridership pattern within

305 the network as a whole remained regular.

306

307 *****Please insert Figure 4 here*****

308

309 The number of high probability passengers in the morning period is the largest among the
310 three types of travel probability, indicating that rail transit ridership during the morning period is
311 regular, while the number of low probability passengers also indicates that rail transit provides an
312 important alternative method of travel. During the evening period, the number of low probability
313 passengers is largest, while the number of high probability passengers is lower than during the
314 morning period, which indicates that the regularity of ridership in the evening period is weaker
315 than that in the morning period, suggesting that passengers were more likely to use other modes of
316 travel during the evening period. Low probability passengers form the majority during the
317 off-peak period, which indicates that most passengers only occasionally travel by metro during
318 that time, unlike during the morning and evening period when most passengers are regulars.

319 **5. Urban functional area detection**

320 *5.1. Feature selection*

321 Information about the characteristics of a transit station can be obtained from both passenger
322 travel patterns and the station ridership pattern. Therefore, this paper uses two types of indicators
323 to identify the characteristics of a station. Table 2 shows how the station characteristics were
324 selected and identified.

325

326 *****Please insert Table 2 here*****

327

328

329 Following Geng and Yang (2017), *Entry* and *Exit* represent the total number of passengers

330 entering and exiting the station in three different time periods. The *Interval* covers morning,
 331 off-peak and evening time periods. The entering station flow entropy value, given as
 332 $Entropy_{Entry}$, and exiting station flow entropy value, given as $Entropy_{Exit}$, are calculated as
 333 shown below:

$$334 \quad Entropy_{Entry} = - \sum_{interval} (Entry_{interval} / Entry) * \log_3(Entry_{interval} / Entry) \quad (7)$$

$$336 \quad Entropy_{Exit} = - \sum_{interval} (Exit_{interval} / Exit) * \log_3(Exit_{interval} / Exit) \quad (8)$$

338
 339 For the passenger travel pattern indicators, the proportion of high probability passengers and
 340 low probability passengers reflects the regularity of passengers visiting each of the stations. The
 341 higher the proportion of high probability passengers is, the stronger the ridership regularity of the
 342 station. This indicates that the station is more likely to be used for commuting purposes.
 343 Conversely, the higher the proportion of low probability passengers is, the weaker the ridership
 344 regularity of the station. This infers that the station is more likely to be used for a transport hub
 345 (i.e. multimodal interchange hub) and/or an entertainment purpose.

346 For the station ridership pattern indicators, the proportion of passengers who enter the station
 347 either in the morning or evening periods gives an indication of the characteristics of that station.
 348 The higher the proportion of passengers entering a station in the morning and evening periods is,
 349 the higher the likelihood that the station serves residential passengers, meaning that the station is
 350 located in a residential area. However, the station could serve working passengers, which means
 351 that it is more likely to be located in an employment area.

352 The entropy value for entering or exiting the station reflects the distribution of all-day
 353 ridership. The smaller the entropy value is, the more likely it is that the station will have an

354 unbalanced distribution of all-day ridership. This indicates that there would be a peak time for
355 ridership each day. In contrast, the larger the entropy value is, the more likely the station is to have
356 a balanced distribution of all-day ridership, meaning that there is no obvious peak time for
357 ridership each day.

358
359

360 5.2. Cluster analysis

361 We calculated statistics for 11 features of each station for each year and input them into the
362 model. The meanings of the features, denoted as F1 to F11, can be found in Table 2. Because the
363 same station may belong to a different cluster during different years, in order to compare the data,
364 each station for each year is treated as the sample unit in this paper.

365 As mentioned in Section 3.2, the Davies-Bouldin Index (DBI) and Silhouette Coefficient (SC)
366 were used to decide on the number of clusters and evaluate the cluster performance of the GMM
367 model (Davies & Bouldin, 1979; Rousseeuw, 1987). The smaller the DBI and the greater the SC,
368 the greater the clustering result.

369
370

371 *****Please insert Figure 5 here*****

372
373

374 As shown in Figure 5, when the number of clusters is 5, the DBI of the GMM has the
375 smallest value, while the SC of the GMM has the greater value. Therefore, we classified the
376 stations into 5 clusters based on the GMM model. The cluster centres of travel and ridership
377 pattern indicators are shown in Figures 6 and 7, respectively.

378
379

380 *****Please insert Figure 6 here*****

381
382
383
384
385

*****Please insert Figure 7 here*****

386 **Cluster 1: Multimodal interchange hubs and leisure cluster.** Cluster 1 is shown by a
387 yellow bar in Figure 6 and Figure 7. In Figure 6, F1 and F2 represent the proportion of low
388 probability passengers in the evening and morning periods, and the F1 and F2 values of Cluster 1
389 ranked the highest among the five clusters, which indicates that these types of stations have the
390 highest proportion of low probability passengers and the lowest proportion of high probability
391 passengers in the morning and evening period out of the five clusters. F6 denotes the proportion of
392 low probability passengers out of the total passengers within a day, and the value of this cluster is
393 approximately 0.8, which means 80 per cent of the passengers are classified as low probability
394 passengers throughout the day and visit these station irregularly. In Figure 7, F10 and F11
395 represent the entropy value for entering and exiting a station, both the entry and exit entropy
396 values of stations in Cluster 1 are high, and the exiting station entropy of this cluster is the highest
397 out of the five clusters, which indicates that the distribution of ridership is balanced throughout the
398 day and there is no obvious peak period. Cluster 1 stations include Beijing south railway station
399 (Fig.8 (A)), Beijing west railway station (Fig.8 (B)), Tiananmen east station and Tiananmen west
400 station (Fig.8 (D)), which are typical traffic hubs and scenic areas where tourist attractions are
401 located. Therefore, the stations in Cluster 1 are characterised as multimodal interchange hubs and
402 leisure clusters, and the areas where these stations are located comprise traffic hubs and/or
403 entertainment areas of the city.

404 **Cluster 2: Residential cluster.** This cluster is shown as a blue bar in Figure 6 and Figure 7.
405 In Figure 6, F1 and F2 represent the proportion of low probability passengers in the evening and

406 morning period, while F3, F4 and F5 represent the proportion of high probability passengers in the
407 evening period, morning period and throughout the day. The F1 and F2 values of Cluster 2 are low,
408 indicating that these types of stations have a lower proportion of low probability passengers in the
409 morning and evening periods, while the F3 and F4 values of this cluster are high, indicating that
410 these types of stations have a higher proportion of high probability passengers in the morning and
411 evening periods. The F5 value of this cluster is the highest among the five clusters, which means
412 that these types of stations have the highest proportion of high probability passengers in the
413 whole-day period. All of the five features show that passengers who visit these stations follow a
414 regular travel pattern. In Figure 7, F8 and F9 indicate the proportion of passengers entering a
415 station out of the total passengers during evening and morning peak times. The F8 value of Cluster
416 2 is the lowest, while the F9 value of Cluster 2 is the highest among the five clusters. This means
417 the station ridership pattern of these kinds of stations is dominated by entry-station passengers in
418 the morning, and by exit-station passengers in the evening. Moreover, the passenger flow in and
419 out of these stations varies greatly during the two periods. F10 and F11 represent the entropy
420 values for entering and exiting a station. Stations in this cluster have the lowest F10 and F11
421 values, indicating that the ridership is concentrated throughout the day. The Cluster 2 stations
422 include Tiantongyuan station, Huilongguan station, and Pingguoyuan station, which are located in
423 typical residential areas. Therefore, the key characteristic of stations in Cluster 2 is that they are
424 residential, and stations in this cluster are located in urban residential areas.

425 **Cluster 3: Employment cluster.** This cluster is shown as a light blue bar in Figure 6 and
426 Figure 7. In Figure 6, all seven features of Cluster 3 are approximately equal to those of Cluster 2,
427 which means that passengers visiting stations in Cluster 3 exhibited a regular travel pattern, like

428 those who visited stations in Cluster 2. In Figure 7, the ridership pattern for Cluster 3 stations
429 contrasts with that of Cluster 2 stations, with the former having the highest F8 and the lowest F 9
430 values, indicating that the ridership patterns of these stations are comprised mainly of exit-station
431 passengers in the morning and entry-station passengers in the evening, while the passenger flow in
432 and out of the stations varies greatly. Both entry-station and exit-station entropy values are greater
433 only than those of Cluster 2. Cluster 3 stations include Zhongguancun station (Fig.8 (E)), and
434 Guomao station (Fig.8 (G)), which are located in typical employment areas. Thus, stations in
435 Cluster 3 are characterised as employment clusters and stations in this cluster are located in urban
436 employment areas.

437 **Cluster 4: Mixed but mainly residential cluster.** This cluster is shown by an orange bar in
438 Figure 6 and Figure 7. The proportion of high probability passengers using such stations, which is
439 indicated by F3, F4 and F5, is lower than for stations in Cluster 2 and Cluster 3; however,
440 compared to Cluster 1, Cluster 4 has lower F1, F2, and F6 values and higher F3, F4, and F5 values,
441 which means these stations have more high probability passengers and fewer low probability
442 passengers. To an extent, passengers who visited such stations display a regular travel pattern.
443 However, compared to passengers at stations near employment or residential areas, they have
444 more choice of travel modes, apart from rail transit. From the perspective of station ridership
445 patterns, that of stations in Cluster 4 is similar to Cluster 3, which is characterised as residential.
446 However, the entropy values are at a middling level, suggesting that the ridership concentration
447 distribution was not significant throughout the day. Therefore, the key characteristic of these
448 stations is residential-oriented and stations in this cluster are located in urban mixed but mainly
449 residential areas.

450 **Cluster 5: Mixed employment and residential cluster.** This cluster is shown by a gray bar
451 in Figure 6 and Figure 7. In Figure 6, all seven features of Cluster 5 are approximately equal to
452 those of Cluster 4, indicating that the passenger types served by these kinds of stations are similar
453 to those of Cluster 4. In Figure 7, the F8 and F9 values are around 0.5, which means the number of
454 passengers entering and exiting these types of stations is roughly the same during the peak period.
455 At the same time, in Figure 7, the F10 and F11 values are the highest among the five clusters,
456 indicating that the entropy of passengers is large and the passenger flow distribution is relatively
457 average throughout the day. Stations in this cluster serve both working and residential passengers.
458 Therefore, these kinds of stations are classified as mixed residential and employment stations, and
459 hence they are located in mixed employment and residential areas.

460

461 *****Please insert Figure 8 here*****

462

463

464 5.3. *Spatial distribution*

465 The characteristics of stations reflect the function of the city around the station (Gan et al.,
466 2018; Zhao et al., 2018; Zhu et al., 2018). Figure 8 shows the spatial distribution of stations in
467 different clusters. The results enable us to gain greater insight into the evolution of urban
468 functional areas in Beijing between 2014 and 2017.

469 From 2014 to 2017, the city had a clear circular structure and this has not changed
470 significantly. The core area of the city (also the centre of the rail transit network) is the most
471 scenic area, containing world-famous landmarks such as Tiananmen Square. It also includes
472 transportation hubs such as Beijing West Railway Station and Beijing South Railway Station.
473 There are two typical urban employment areas located in the area between the core area and the

474 fourth ring road (Fig.8): Zhongguancun Technology Park (Fig.8 (E)) and Guomao (central
475 business area of Beijing), Fig.8 (G)). The remaining areas are mainly mixed employment and
476 residential areas adjacent to the two typical employment areas. It is worth noting that mixed
477 employment and residential areas are mainly distributed in the north of Beijing, while the south is
478 mainly residential. The outer ring of the city's fourth ring road is comprised mainly of residential
479 areas, while another typical employment area, called Wangjing (Fig.8(F)), is located in the
480 northeast. There is also an isolated mixed employment and residential area surrounded by
481 residential areas in the southwest, known as Fengtai Technology Park (Fig.8 (H)). Beijing
482 Economic-Technological Development Area (Fig.8 (I)), which is made up of an employment area
483 and two surrounding mixed employment and residential areas, is located in the southeast. These
484 two areas are important employment areas in the south of the city; however, they have not been
485 identified as typical employment areas, like Zhongguancun Technology Park (Fig.8 (E)) and
486 Guomao (Fig.8 (G)), for many years.

487 According to the spatial distribution of various urban functional areas in Beijing over the
488 years studied, we found that there is a significant imbalance between jobs and housing in Beijing
489 in general. More jobs are concentrated in the urban central areas, while only a small proportion of
490 jobs are distributed in the outer part of the city. The outer part of the city contains more residential
491 areas. Therefore, this may also lead to long distance commuting and traffic congestion (Zhao and
492 Hu, 2019), and cause air pollution, particularly for people who travel by private vehicles (Cao et
493 al., 2017). To some extent, these results also reflect the combined issue of car dependence and
494 housing affordability (Cao and Hickman, 2018; Dewita et al., 2018, 2020), as well as inferring
495 potential issues associated with transport-related social inequity (Cao, 2019; Cao and Hickman,

496 2019, 2020; Zhao and Cao, 2020; Zhang et al., 2018). On the other hand, the expansion of jobs
497 from the typical employment area to the surrounding area has relieved traffic congestion in the city.
498 In the near future, it will be necessary to continue to create and extend job opportunities to the
499 outer areas, at least in Beijing. Mixed employment and residential cluster areas, in which mixed
500 employment and residential cluster stations are located, are important in terms of creating more
501 jobs, because these areas already have a relatively good supply of jobs close to residential areas.
502 Thus, encouraging the expansion of jobs within the outer part of the city is an effective way to
503 reduce urban traffic congestion, as well as reducing transport-related social inequity, particularly
504 for the low-income migrants (Zhao and Cao, 2020).

505 In terms of the residential areas, it is necessary to constantly improve the surrounding
506 services and facilities, such as shopping malls, hospitals, and schools, etc., as this can effectively
507 enhance the living standards of local residents, and can also generate a large number of job
508 opportunities, which can be filled by local residents in order to reduce the travel distance between
509 their workplace and home, and thus in turn reduce traffic congestion.

510 With regards to transport interchange hubs and tourism business areas, the management of
511 floating populations should be improved. More services and facilities need to be provided in these
512 areas, such as information centres, restaurants, and hotels, etc.

513

514 *5.4. Evolution process*

515

516

517 *****Please insert Figure 9 here*****

518

519

520 The evolution of each area's urban function is shown in Figure 9. For example, the areas that
521 were residential areas in 2014 were mainly still residential in 2015, while a few areas had

522 transformed into mixed but mainly residential areas. The general trend of evolution is that the
523 urban functional areas are in accordance with the order of their spatial distribution. As shown in
524 Figure 9, residential areas (Cluster 2) can only transform into mixed but mainly residential areas
525 (Cluster 4) in four years, and only the mixed but mainly residential areas (Cluster 4) can transform
526 into residential areas (Cluster 2). Mixed employment and residential areas (Cluster 5) are more
527 complicated. On the one hand, they can transform into employment areas (Cluster 3) or mixed but
528 mainly residential areas (Cluster 4). On the other hand, the aforementioned two areas can
529 transform into mixed employment and residential areas.

530 The aforementioned phenomenon indicates that the evolution of urban functional areas has to
531 follow a process, and this process is longest in relation to the transition from a residential area to
532 an employment area. Therefore, it is difficult to transform a residential area into an employment
533 area in a short time, but mixed employment and residential areas often have a good foundation,
534 making it easier to change the urban function of these areas. Currently, the development of the
535 southern part and the northern part of Beijing is unbalanced. A large number of employment areas
536 are concentrated in the north, while the southern part of the city is comprised mainly of residential
537 areas. In order to achieve a better balance between the north and the south, the development of the
538 southern part of the city should focus on the Fengtai Technology Park and Beijing
539 Economic-Technological Development Area according to the general law of evolution. These two
540 areas both have mixed employment and residential areas, and the Beijing Economic-Technological
541 Development Area already has an employment area. The aim should be to improve transportation,
542 policy, and other factors in these two areas, so that they will attract more jobs, and effectively
543 change the function of the southern part of the city.

544

545 **6. Conclusions**

546 This paper identified the characteristics of stations based on SCAFC data, and then detected
547 the spatial distribution of different urban functional areas. Using multi-year data enabled us to
548 arrive at the general law of urban functional areas spatial distribution and dynamics. Advice was
549 given on the further development of Beijing's urban areas.

550 This research makes a fivefold contribution. First, smart card data have long been used to
551 analyse passenger capacity, and visualise and predict travel behaviour, such as the origin and
552 destination (OD) trajectories. This study extended the aforementioned research to infer urban
553 functional areas based on passengers' travel patterns and ridership patterns at metro stations.
554 Second, different types of unsupervised machine learning approaches/clustering approaches have
555 been employed to assist in finding and increasing the accuracy of the number of clusters. Third,
556 most of the existing research only considers high-frequency passengers, and pays little attention to
557 low-frequency passengers (Ma, 2017; Huang et al., 2018). This paper applied a method for
558 calculating the spatio-temporal travel probability by following Bayesian theory, which measured
559 the travel patterns of low-frequency passengers and high-frequency passengers according to the
560 same rule. Fourth, in this paper, 11 features were selected: features 1 – 7 reflect the travel patterns
561 of passengers who visited the station based on spatio-temporal travel probability; while features 8
562 – 11 reflect the station ridership patterns. The GMM cluster method was used to identify the
563 characteristics of the station based on the 11 features so that both individual travel patterns and
564 station ridership patterns could be considered. Finally, we identified the function of the urban
565 areas based on the station cluster results. Using multi-year SCAFC data allowed us not only to

566 determine the function of the urban areas across the spatial distribution of each year, but also to
567 chart the evolution process. Through undertaking cluster analysis using the features of individual
568 travel patterns and station ridership patterns, we found that Beijing's functional areas can be
569 divided into five categories, namely: multimodal interchange hub and leisure area; residential area;
570 employment area; mixed but mainly residential area; and a mixed residential and employment area.
571 Residential or mixed but mainly residential areas served by transit stations were primarily
572 distributed in outer Beijing between the fourth ring road and the sixth ring road, whereas mixed
573 residential and employment areas were located in inner Beijing. Meanwhile, urban functional
574 areas experienced slight changes between 2014 and 2017.

575 The results derived from this paper could be very useful for Beijing's urban planners.
576 According to the research results, the Fengtai Technology Park and Beijing's
577 Economic-Technological Development Area could perhaps provide the key to effectively
578 alleviating the imbalance between the north and the south of the city . These two areas already
579 account for a significant number of jobs, and they would be likely to attract more jobs if
580 transportation links and policy measures were improved, thereby promoting the development of the
581 southern part of the city and achieving a more equal balance between north and south Beijing.
582 Furthermore, it would provide an incentive for people to move to the south of the city, thus helping
583 to reduce the pressures on urban land and traffic congestion.

584 In terms of policy implications, this research would enable urban planners to understand the
585 urban functional area dynamics more accurately and easily. Urban planners could formulate
586 appropriate policies for different functional areas to promote city development in order to improve
587 the living standards of residents, and provide better travel services for floating people and tourists,

588 while reducing traffic congestion. The effects of policies on different areas could also be evaluated
589 by detecting functional areas dynamics after policy implementation.

590 However, the paper has two limitations. First, observable urban dynamics often take place
591 over a long time span. Thus, the four year time span from 2014 to 2017 used in this research could
592 be seen as a relatively short time window and only small changes were detected, as was apparent
593 from the results shown in Figure 9. We were limited by the data availability, but analysis covering
594 a longer time period of, for example, ten years could be undertaken in a future study when data
595 becomes available. Second, the model that we propose for identifying urban functional area
596 dynamics based on smart card data produces the results that simulate urban functional area
597 dynamics without testing and comparing them to actual changes that occurred during the years
598 between 2014 and 2017. This limitation could be addressed in future research.

599

600 **Data Availability**

601 The smart card data derived from Beijing Transportation Information Centre are confidential, and
602 will therefore not be made publicly accessible.

603

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744 cardholders by mining smart card transaction data in Beijing subway. *Transportation*, 45(3),
745 919-944.

746

747

Table 1.

Examples of AFC data

Grant_Card_Code	Entry_Time	Deal_Time	Entry_Station	Exit_Station
1020	2016/2/29 17:25	2016/2/29 17:36	Hujialou	Qingnianlu
1020	2016/3/2 17:29	2016/3/2 17:42	Hujialou	Qingnianlu
1020	2016/3/3 17:21	2016/3/3 17:30	Hujialou	Qingnianlu
1032	2016/2/29 7:35	2016/2/29 8:01	Jinsong	Huixinxijie
1032	2016/2/29 18:04	2016/2/29 18:28	Taiyanggong	Jinsong
1032	2016/3/1 7:42	2016/3/1 8:07	Jinsong	Huixinxijie
.....				

748

749

Table 2.

Feature selection and identification of station characteristics

Scale	Index Name	Meaning	Range
Passenger travel pattern	F1	Proportion of low probability passengers to total passengers at evening peak time	[0,1]
	F2	Proportion of low probability passengers to total passengers at morning peak time	[0,1]
	F3	Proportion of high probability passengers to total passengers at evening peak time	[0,1]
	F4	Proportion of high probability passengers to total passengers at morning peak time	[0,1]
	F5	Proportion of high probability passengers to total passengers within a day	[0,1]
	F6	Proportion of low probability passengers to total passengers within a day	[0,1]
	F7	Proportion of mid probability passengers to total passengers within a day	[0,1]
Station ridership pattern	F8	Proportion of passengers entering station to total passengers at evening peak time	[0,1]
	F9	Proportion of passengers entering station to total passengers at morning peak time	[0,1]
	F10	The entropy value for entering station	[0,1]
	F11	The entropy value for exiting station	[0,1]

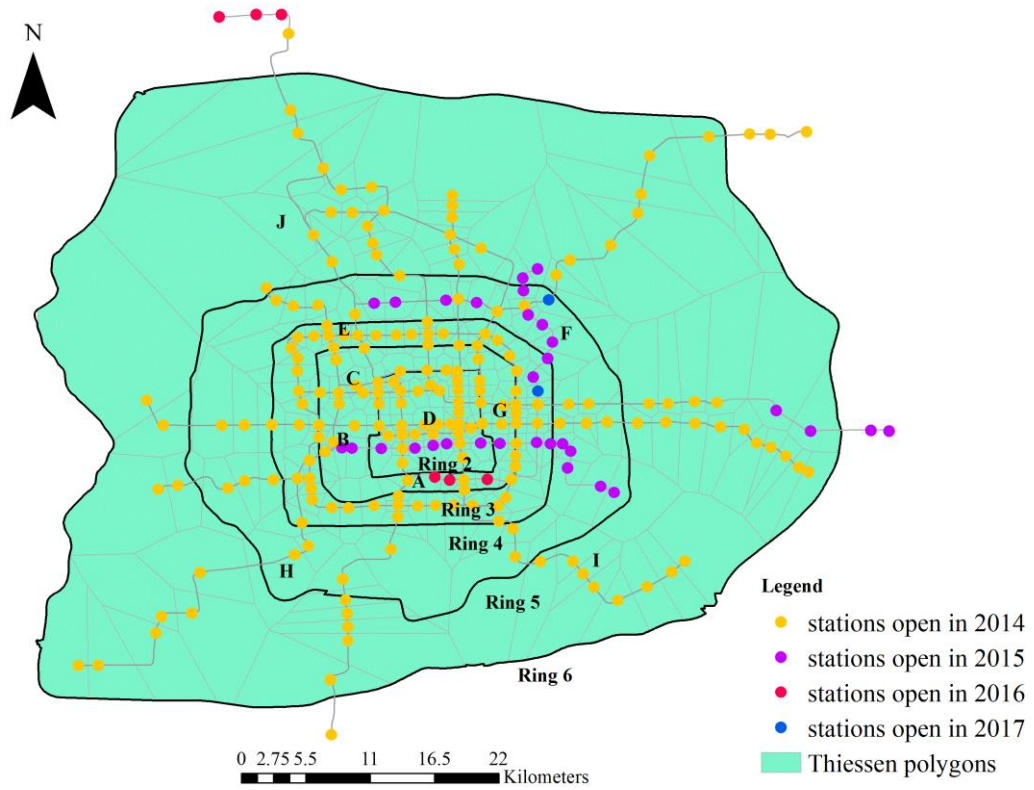


Fig. 1. Metro stations and lines in Beijing (2014-2017)

(Please note that T2\T3 terminal stations are not included in the map)

(A: Beijing south railway station; B: Beijing west railway station; C: Beijing zoo; D: Tiananmen square; E: Zhongguancun technology park; F: Wangjing; G: Guomao; H: Fengtai technology park; I: Beijing economic-technological development area; J:

Xierqi)

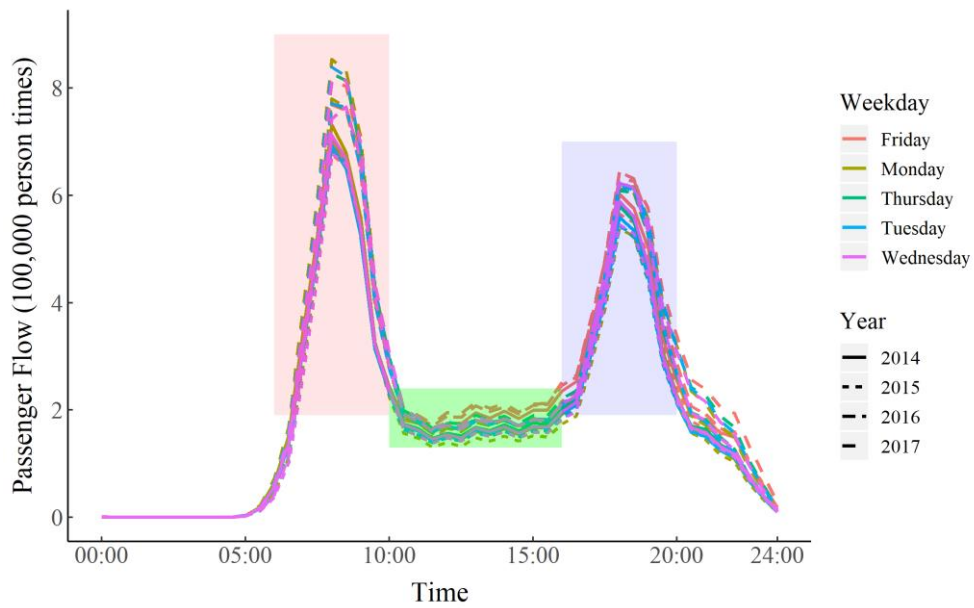


Fig. 2. Distribution of ridership for weekdays in each of the 4 year

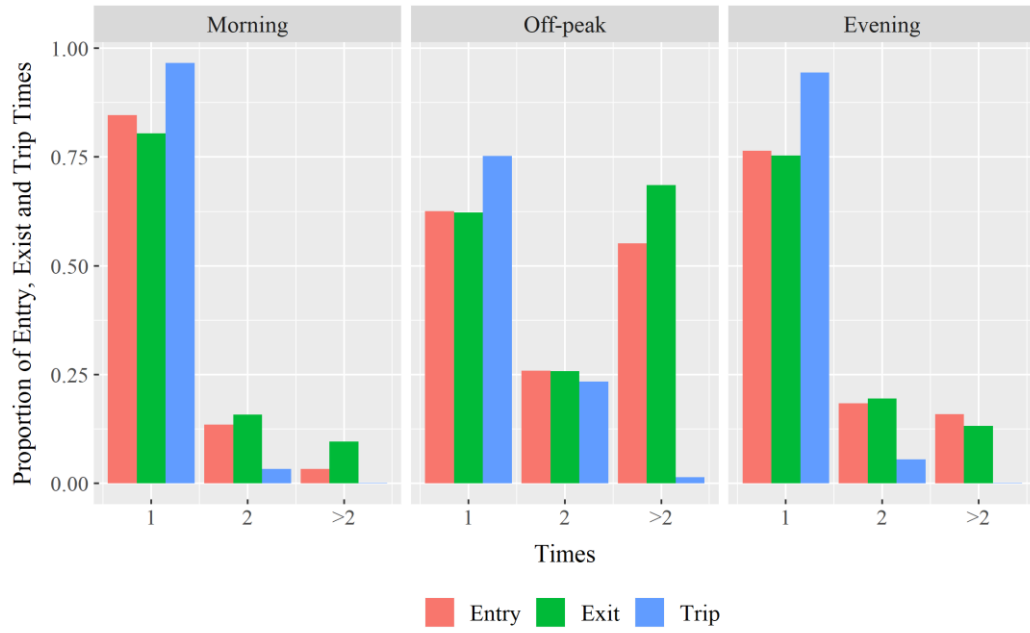


Fig. 3. Travel times and number of stations visited during different time periods

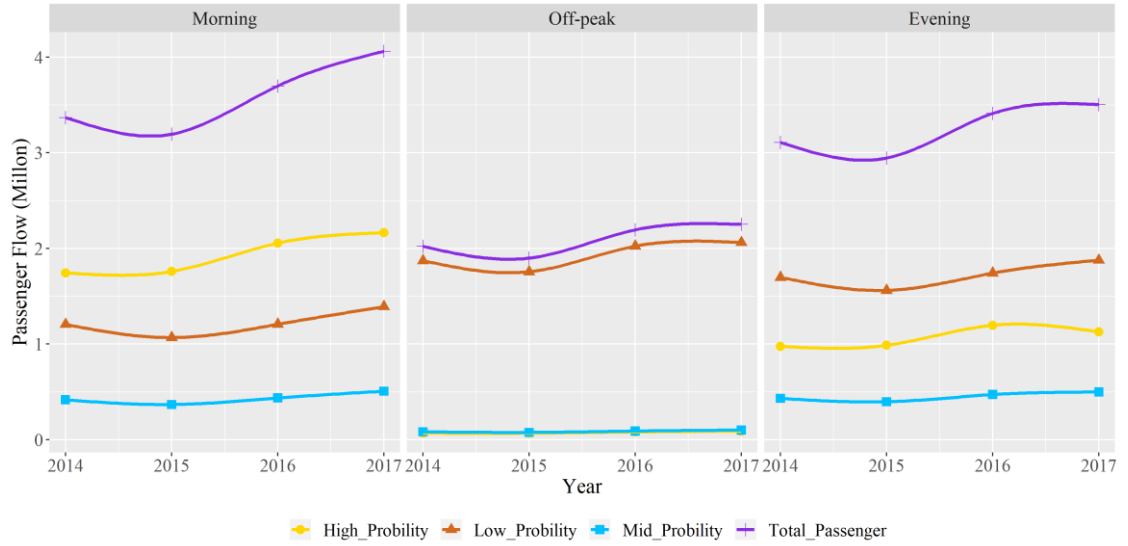


Fig. 4. Ridership travel probabilities during different periods

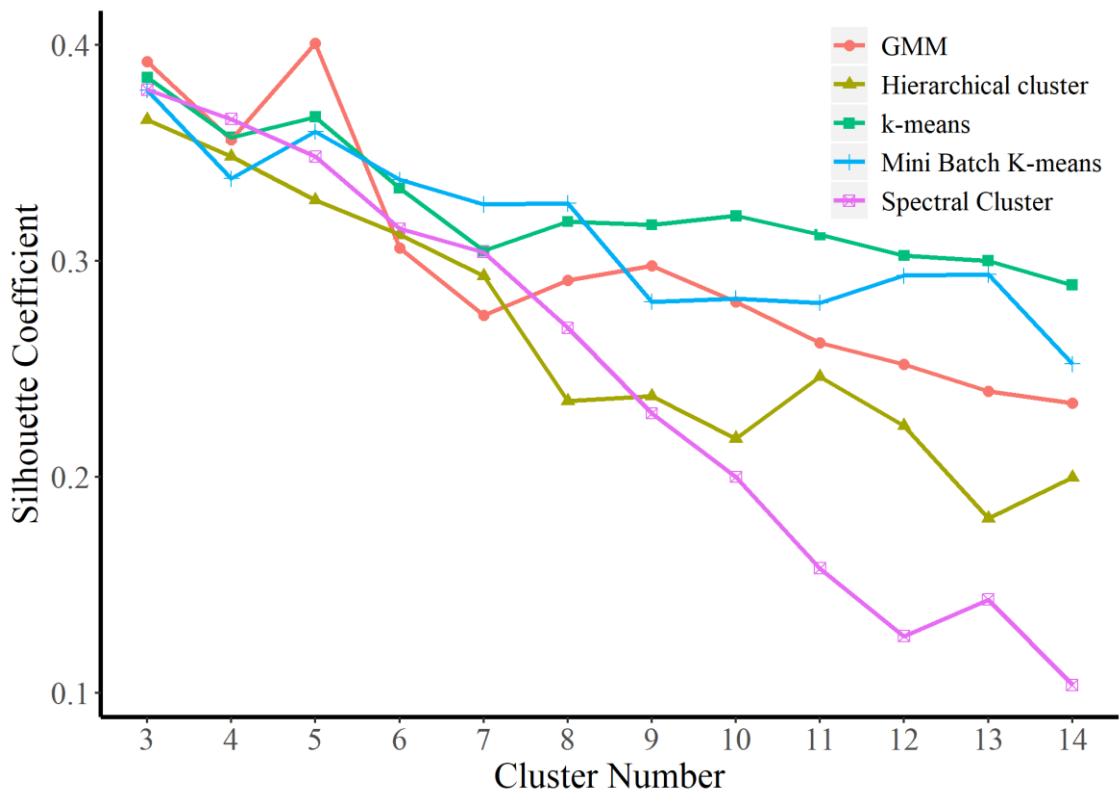
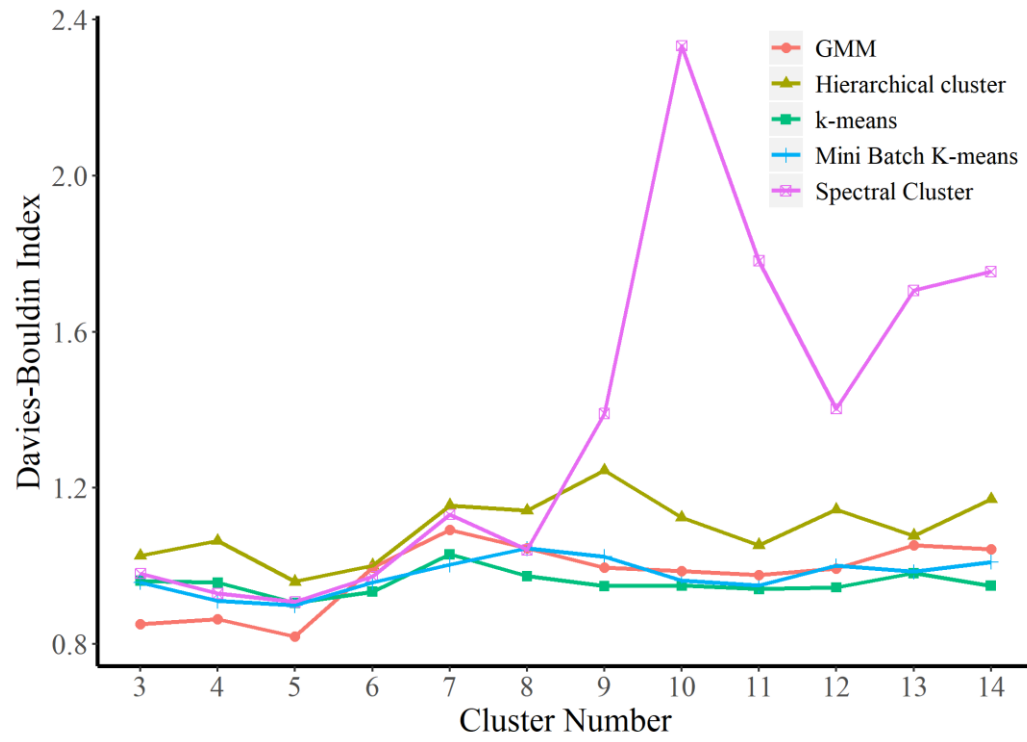


Fig. 5. DBI and SC for different numbers of clusters and different models

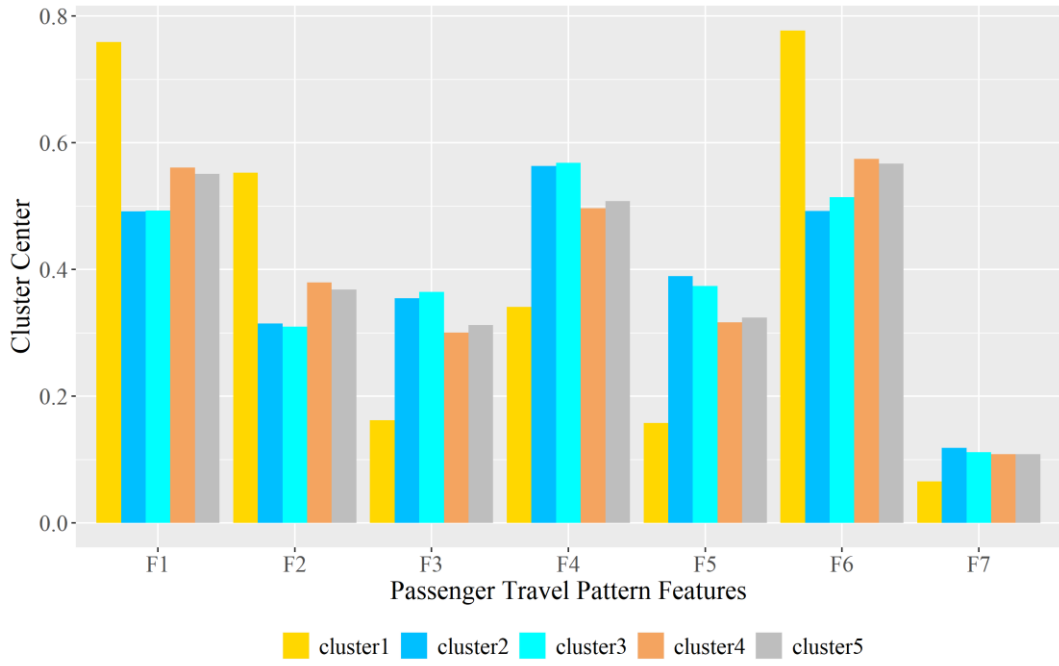


Fig. 6. Travel pattern indicators of each cluster centre

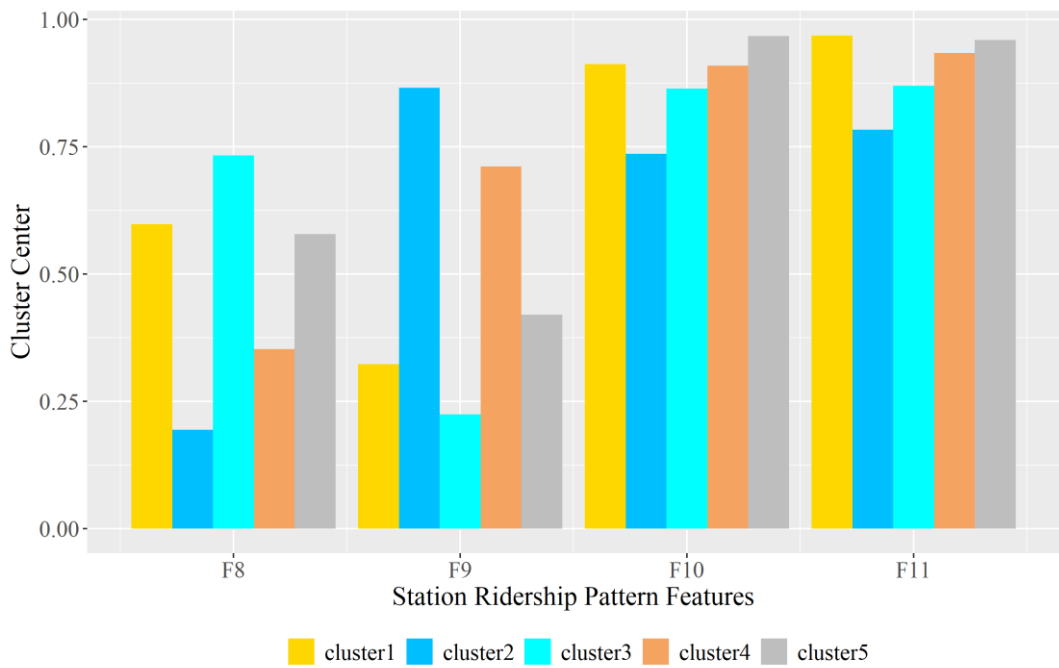
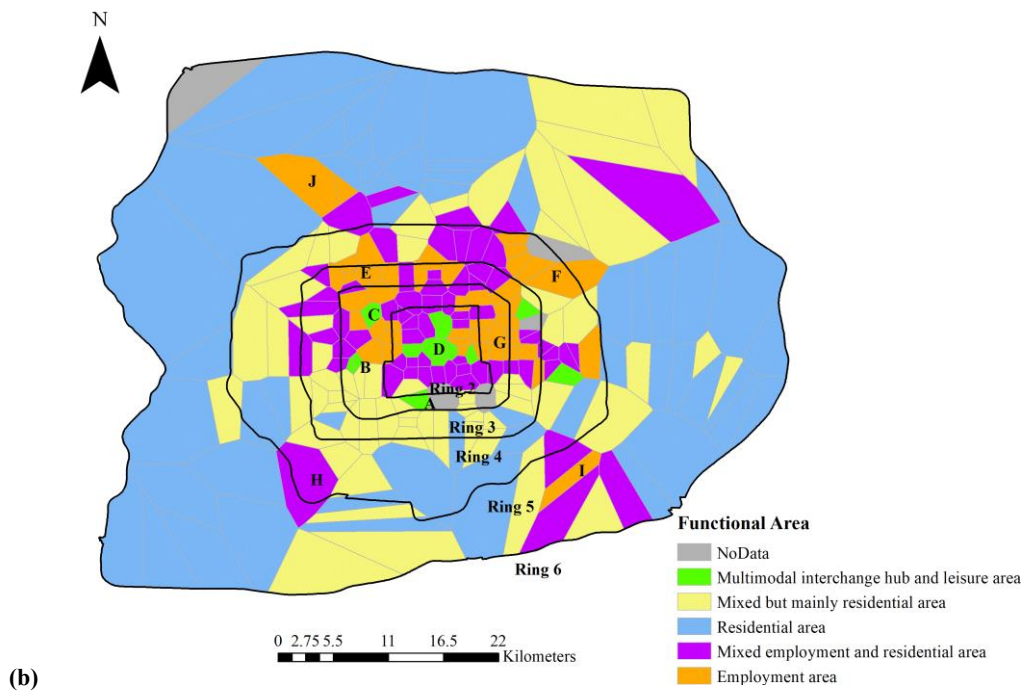
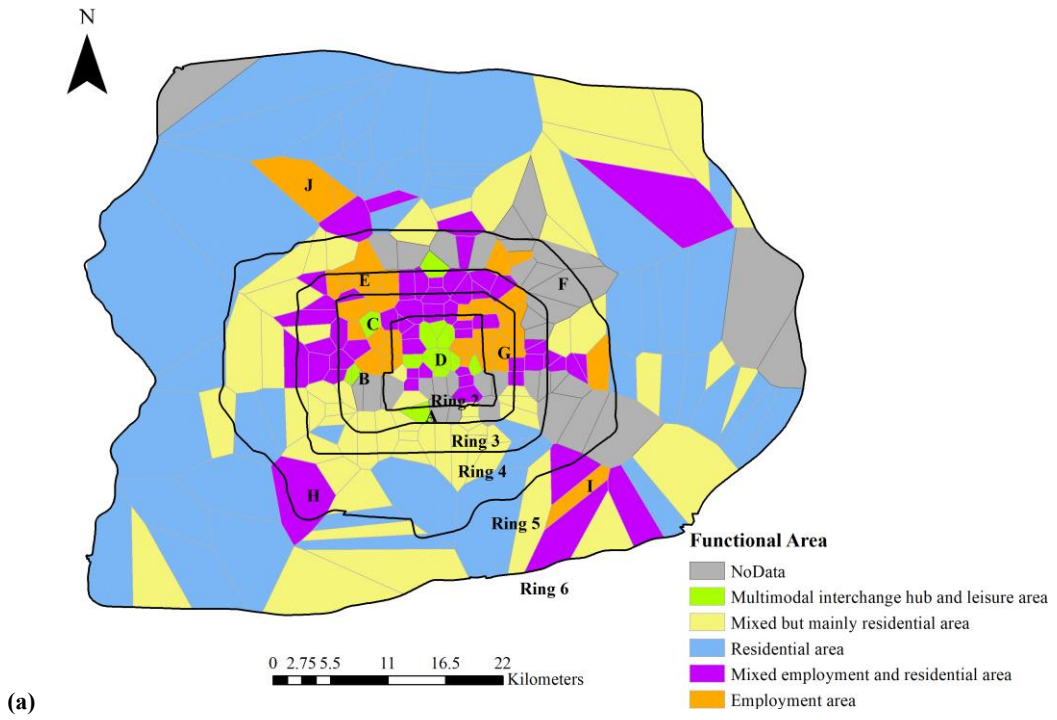


Fig. 7. Ridership pattern indicators of each cluster centre



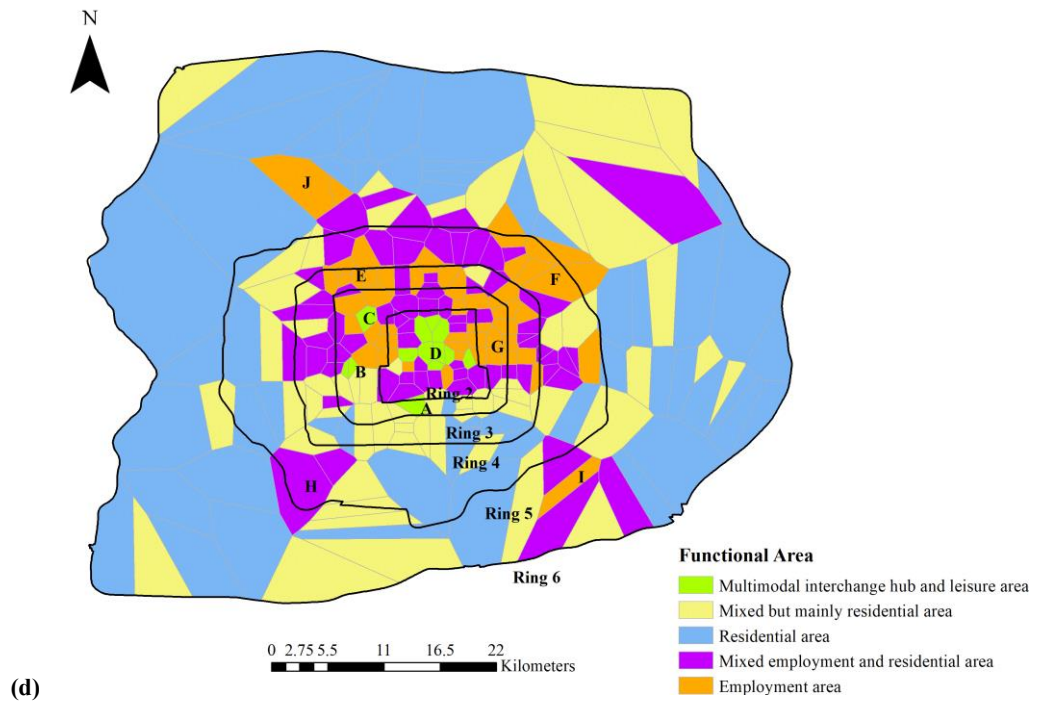
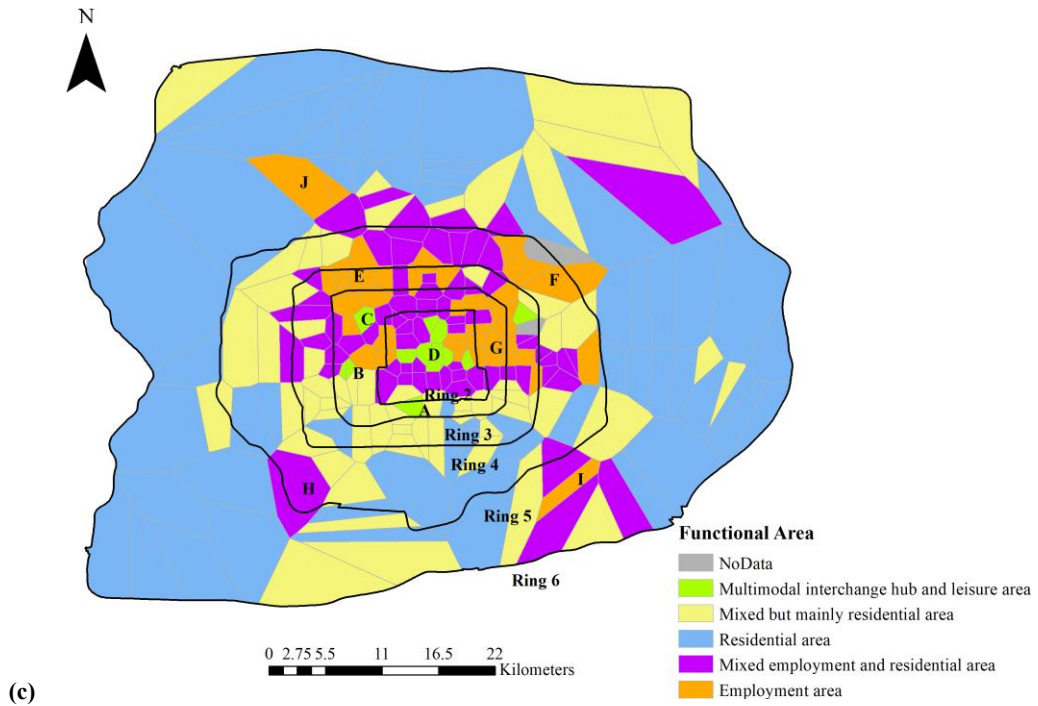


Fig. 8. Spatial distribution of different clusters

(a:2014, b:2015, c:2016, d:2017)

(A: Beijing South Railway Station; B: Beijing West Railway Station; C: Beijing Zoo; D: Tiananmen Square; E: Zhongguancun Technology Park; F: Wangjing; G: Guomao; H: Fengtai Technology Park; I: Beijing Economic-Technological Development Area; J: Xierqi)

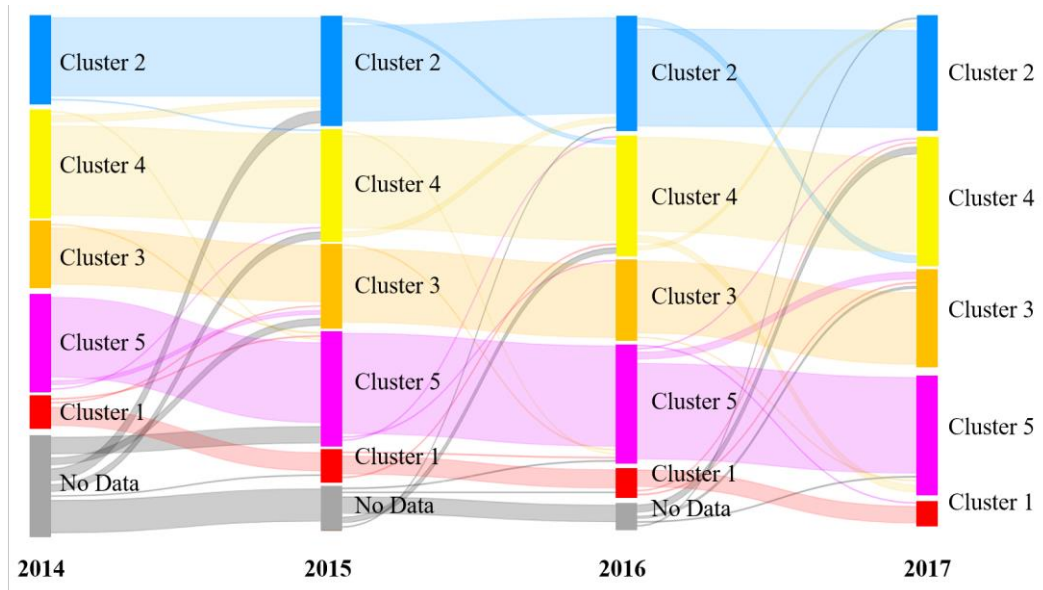


Fig. 9. The evolution process of different clusters of stations

(Cluster1: Multimodal interchange hub and leisure Area, Cluster 2: Residential area, Cluster 3: Employment area, Cluster 4: Mixed but mainly residential area, Cluster 5: Mixed residential and employment area, No Data: Stations not open yet)