

## **A Petri net approach to assess the effects of railway maintenance on track availability**

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### **Abstract**

The railway infrastructure includes a portfolio of assets which are subjected to degradation and failure processes due to both usage and aging. As a consequence of degradation and failures, speed restrictions and line closures may be imposed to control the risk of derailment. Such actions have a direct impact on service as they lead to delays and journey cancellations. Maintenance is implemented to control the state of the assets. Different maintenance strategies determine different asset conditions and performance profiles, and consequently a different impact on service. This paper presents a simulation tool based on Petri nets, which combines degradation and maintenance processes to predict the future track geometry conditions, including the probability of those failure modes leading to speed restrictions and line closures. Such a model is a valuable feature of an effective infrastructure asset management system which intends to support cost-effective informed decisions on railway maintenance.

### **Keywords chosen from ICE Publishing list**

Railway Systems; Maintenance & Inspection; Mathematical Modelling.

### **List of notation**

This is an example created from parts of other articles, it is not designed to be read for sense.

$T_i$	transition node in the Petri net
$P_i$	place node in the Petri net
$\sigma_{op}$	threshold of standard deviation for track vertical alignment inducing opportunistic maintenance
$\sigma_{rm}$	threshold of standard deviation for track vertical alignment inducing routine maintenance
$\sigma_{sr}$	threshold of standard deviation for track vertical alignment inducing speed restriction
$\sigma_{lc}$	threshold of standard deviation for track vertical alignment inducing line closure
$\sigma_{g,op}$	threshold of standard deviation for track gauge inducing opportunistic maintenance
$\sigma_{g,rm}$	threshold of standard deviation for track gauge inducing routine maintenance
$\sigma_{g,er}$	threshold of standard deviation for track gauge inducing emergency maintenance
$\sigma_{g,ir}$	threshold of standard deviation for track gauge inducing immediate maintenance
$\beta, \eta$	parameters of Weibull distribution, shape parameter and scale parameter respectively

## 1 1. Introduction

2 The ultimate aim of a railway system is the transport of people and goods at the  
3 required level of service and safety. The railway comprises a variety of heterogeneous  
4 assets which are subject to degradation and failures due to usage and aging. As a  
5 consequence of degradation and failures, speed restrictions and line closures may be  
6 imposed to control the risk of derailment. Such actions have a direct impact on service  
7 as they lead to delays and journey cancellations. To control the state of the assets  
8 maintenance strategies must be developed which specify the inspection and  
9 intervention activities to be performed, and the rules for their implementation. Different  
10 strategies will determine different asset conditions and performance profiles, and  
11 consequently a different impact on service. The capability to evaluate such an impact is  
12 paramount for a cost-effective planning of maintenance interventions. In (Burkhalter,  
13 Martani, & Adey, 2018) the impact of speed restrictions or line closures being imposed  
14 is considered when computing the costs and benefits of intervention plans. Here the  
15 probabilities of an object requiring a speed restriction or a line closure is computed by  
16 means of fault tree analysis (an object being either a component, such as a bridge or a  
17 switch, or a track section) and used to evaluate the risk related to a given intervention  
18 program. In (Moreu, Spencer Jr., Foutch, & Scola, 2017) the authors develop a  
19 framework to prioritise maintenance interventions on railroad bridge networks. The  
20 operational costs associated to the probability that the bridges will exceed the “service  
21 limit states” depending on the maintenance decision are minimised.

22 This paper presents a modelling approach based on the Petri net method, which  
23 combines the degradation, failure and intervention processes to predict the future track  
24 geometry conditions, including the probability of those failure modes leading to speed  
25 restrictions and line closures. The approach enables the asset response to a variety of  
26 potential maintenance strategies to be investigated and predicted. The model is state-  
27 based, where states which are relevant from a maintenance perspective are explicitly

28 modelled. Of those states, the ones which correspond to the imposition of speed  
29 restrictions and line closures are particularly relevant for their impact on service. Due to  
30 the stochastic nature of the modelled processes, stochastic simulation via the Monte  
31 Carlo method is the most appropriate approach to analyse and solve the model.  
32 Statistics are collected on the probability that the asset is in any of the modelled states  
33 and on the number of interventions performed during a given time horizon. With such  
34 models, a wide range of maintenance strategies can be analysed. The resulting  
35 probability, number and duration of speed restrictions and line closures are an  
36 indicative measure of the effects that a given maintenance strategy will have on  
37 service. Such statistics can be then used directly, or within an optimisation procedure,  
38 to support the planning and development of maintenance strategies to achieve given  
39 service performance targets.

#### 40 **1.1 Track geometry degradation and maintenance**

41 Track geometry, both vertical and horizontal, strongly affects the quality and safety of  
42 the ride. Track geometry is periodically inspected by running Track Recording Vehicles  
43 along the network. The vehicle measures the location of the rails and provides the  
44 variations of the rails vertical and horizontal position, gauge, twist and cyclic top over  
45 1/8th mile section. Measurements, particularly the ones related to the vertical  
46 alignment, are then used to categorise the track in terms of quality bands, to plan  
47 maintenance and, if necessary, to take actions such as speed restrictions and line  
48 closure to control the risk of derailment. The track's components responsible for  
49 keeping the required track geometry are the ballast, sleepers and fastenings.  
50 Specifically, while vertical alignment defects are mainly attributable to degradation of  
51 the ballast, gauge, horizontal alignment, cross-level and twist defects are mainly due to  
52 degradation and failure of sleepers and fastenings. Gauge widening is the effect of  
53 multiple sleepers/fastenings failures. To maintain those components means to keep  
54 track geometry to acceptable levels. Although the degradation and maintenance

55 processes affecting these components are very different, many dependencies arise  
56 due to common processes such as inspection, opportunistic maintenance and  
57 combined renewal. However, most of the models presented in the literature address  
58 the modelling of degradation and maintenance of each component individually.

59 In order to represent different degradation states, the transitions between these states  
60 and the restorative actions provided by the maintenance processes, the model must  
61 accommodate a state-based approach. Due to the variability of the times for  
62 degradation and maintenance to occur it should also be stochastic. The main  
63 approaches utilised in the literature to model degradation and maintenance are Monte  
64 Carlo simulation methods using either statistical models or state-based models to  
65 describe the asset degradation and the effects of maintenance activities. As an  
66 example of state-based approaches, Markov models have been developed in Meier  
67 Hirmer et al. (2009), Bai et al. (2013) and Prescott and Andrews (2013a) to represent  
68 track geometry degradation and its maintenance processes. Markov-based models are  
69 stochastic models capable of describing dynamic systems for which future states  
70 depend only on the current state. The history of what has occurred in the past is  
71 irrelevant to future behaviour. The size of a Markov model can increase considerably  
72 with the number of components to consider. An alternative modelling technique to the  
73 Markov approach is the Petri net (PN) method. PNs are a formalisms to model discrete  
74 event dynamic systems with concurrencies and dependencies (Murata, 1989; David  
75 and Alla, 2010). Andrews (2012) presents a PN to model ballast degradation and  
76 maintenance for a 1/8<sup>th</sup> of mile section of track. The author first analyses track  
77 geometry data from inspection and maintenance records so to evaluate the distribution  
78 of times to degrade from/to different states of interest from a maintenance perspective.  
79 These distributions are then used to sample the times to degrade of the ballast. A  
80 similar model is presented by Prescott and Andrews, (2013b) who develop a PN  
81 combining degradation, inspection, maintenance and renewal processes for ballast on

82 a railway network with different regions each one supervised by a regional  
83 maintenance engineer. Andrews et al. (2014) apply the previously developed PN model  
84 to predict the state of the track geometry over any specified asset management  
85 strategy. In addition the model is capable of computing the expected whole life costs. In  
86 (Lake et al., 2000a,b) the authors develop a simulation model to predict the distribution  
87 of groups of failed timber sleepers in a track section for different renewal strategies.  
88 The sleepers' lifetime is assumed to follow a 2-parameter Weibull distribution, and the  
89 renewal strategies are based on the minimum number of adjacent sleepers failed and  
90 the frequency of intervention. The same model is applied in (Yun and Ferreira, 2003) to  
91 a track with 1000 sleepers. Zhao et al. (2007) evaluate the reliability of a segment of  
92 sleepers modelled as a k-out-of-n system, where the lifetime of the sleepers is  
93 assimilated to a 2-parameter Weibull distribution.  
94 The aforementioned models focus on individual components of the track system, either  
95 the ballast or the sleepers. Therefore, dependencies induced by common processes  
96 such as inspection, opportunistic maintenance and combined renewal of multiple  
97 components and adjacent track sections would require a framework that combines the  
98 individual models into one. A modular representation is presented in this paper, where  
99 independent modules for modelling the degradation of the vertical alignment and gauge  
100 are then combined to predict track geometry response to maintenance. The models  
101 include a representation of the degraded states and corresponding actions that have a  
102 direct impact on service. These are conditions that, according to the stakeholders'  
103 policies, require the imposition of speed restrictions or line closures.

## 104 **2. Track geometry model**

105 The track geometry model consists of two modules which represent vertical geometry  
106 and gauge degradation respectively, and the corresponding maintenance actions that  
107 can be performed. Variations in vertical alignment is mainly due to ballast degradation,  
108 while sleepers and fastenings failures are mainly responsible for gauge spreading. The

109 modelling approach adopted is based on the PN method. In the following, a brief  
110 introduction on PN is given to enable a better understanding of the proposed model.

### 111 **2.1 The Petri net method.**

112 A PN (Murata, 1989; David and Alla 2010) is a bi-partite graph with nodes called places  
113 and transitions. Places are represented as circles while transitions are represented as  
114 rectangles. Places model possible states for a component/system, while transitions  
115 model events that cause the system state to change. *Input* and *output* arcs connect  
116 places to transitions and vice versa, and are represented by arrows. Tokens are held in  
117 places; the number of tokens in a place  $P_i$  is called *marking* of  $P_i$  and is indicated by  
118  $m_{P_i}$ . The number and distribution of tokens across the PN, called marking of the PN,  
119 represent the system state at a given time. Transitions are responsible for “consuming”  
120 tokens from the input places, and “producing” tokens into the output places thus  
121 determining a change in the marking. This is referred to as “*firing*” of the transition and  
122 corresponds to the occurrence of the event modelled by the transition. The number of  
123 tokens consumed and produced depends on the multiplicity of the input and output  
124 arcs respectively. An additional type of arc called *inhibitor* is often used to forbid the  
125 firing of a transitions under given conditions. Inhibitor arcs are as arcs with a circle end  
126 rather than an arrow end. The rules according to which transitions fire are as follows:

- 127 • First, a transition is enabled to fire if (1) the number of tokens in each input  
128 place is at least equal to the multiplicity of the corresponding input arc, and (2)  
129 the places connected by an inhibitor arc contain a number of tokens lower than  
130 the multiplicity of the inhibitor arc.
- 131 • When firing, the transition “consumes” a number of tokens from the input places  
132 equal to the input arcs multiplicity, and “produce” a number of tokens into the  
133 output places equal to the output arcs multiplicity.

134 Figure 1 gives an example of a simple PN where transition T1 has two input places P1  
135 and P3, one place connected by inhibitor arc, P2, and two output places P4 and P5.

136 Examples of marking which do not enable T1 are given in Figure 1-a and 1-b, while  
137 firing is enabled for marking in Figure 1-c.

138 FIGURE 1 HERE

139 **Figure 1 PN with different possible markings.**

140

141

142 Transitions can be immediate or timed. Timed transitions, once enabled, will only fire  
143 when a given firing time interval has elapsed. Figure 2 shows a PN with timed transition  
144 T1 and associated firing time interval  $\Delta t$  before firing (2-a) at a given time  $t$ , and after  
145 firing (2-b) at time  $t+\Delta t$ .

146 FIGURE 2 HERE.

147 **Figure 2 PN with timed transition, before (a) and after (b) firing.**

148

149 The firing time interval can be either deterministic or stochastic. Events or processes  
150 affected by randomness, such as the degradation or failure of a component, are  
151 modelled by stochastic transitions whose firing time intervals are sampled from  
152 appropriate stochastic distributions. Multiple distributions can be associated to the  
153 same transition, and the appropriate one is selected based on the marking of specific  
154 places called *conditional places*. In a PN representation, a transition is linked to its  
155 conditional place by a dotted arrow. This feature is useful to represent events whose  
156 distribution of times of occurrence changes depending on some given condition. The  
157 mode in which a transition fires, referred to as *firing mode*, can be standard or non-  
158 standard. According to a standard firing mode, a transition consumes and produces  
159 tokens only according to the multiplicity of the input and output arcs. If a non-standard  
160 firing mode is associated to a transition, then the new marking is evaluated according  
161 to a given firing mode function. An explanatory example of a PN where a transition has  
162 a non-standard firing mode is given in Figure 3. The PN consists of one transition T1,  
163 with one input place, P1, three output places, P2 to P4, and one conditional place, P5.

164 FIGURE 3 HERE

165 **Figure 3 Petri net with a transition having multiple firing time functions and a non-**  
166 **standard firing mode.**  
167

168 T1 is a timed stochastic transition whose firing time  $t$  can be sampled from one out of  
169 two Weibull distributions  $W_1(\beta_1, \eta_1)$  and  $W_1(\beta_1, \eta_1)$  depending on the marking of  
170 conditional place P5,  $m_{P5}$ . The new marking resulting from firing of T1 is also random.  
171 Each output place has a given probability  $\alpha_i$  of receiving a token after firing of T1. When  
172 T1 fires, it will sample a random number  $p$  from a uniform distribution between 0 and 1.  
173 Depending on the value  $p$ , a token will be added to one out of the three output places  
174 P2 to P4. Such type of transition is called *routing probabilistic* transition. It can be used  
175 to represent maintenance actions whose effectiveness is uncertain. The symbols used  
176 to represent the different types of transitions are showed in Figure 4.

177 FIGURE 4 HERE.

178 **Figure 4 Symbols used for different types of transitions.**  
179

## 180 **2.2 Model for vertical alignment: ballast**

181 The degradation of the ballast is modelled as a phased process. The conditions of the  
182 ballast are implied by the values of the standard deviation (SD) of the vertical alignment  
183 provided by the Track Recording Vehicles. The SD of the vertical alignment is therefore  
184 considered the indicator of the ballast conditions. Once degraded conditions are  
185 revealed by inspection, then the appropriate maintenance action is scheduled and  
186 performed at the required time. The model therefore includes ballast deterioration,  
187 inspection, routine and opportunistic maintenance, and emergency repair.

188 **Degradation process.** Figure 5 represents the degradation process.

189 FIGURE 5 HERE

190 **Figure 5 PN representing ballast degradation.**  
191

192 Degradation is modelled as a phased process where a number of discrete states which  
193 are relevant from a maintenance perspective are considered. These states are

194 represented by places P1 to P7. Each state represents a severity degradation level and  
195 is characterised by a threshold value for the SD of the vertical alignment. If the  
196 corresponding SD value is reached, then the state is entered. A different urgency of  
197 intervention is associate to each degradation level. Three approaches to maintenance  
198 are modelled, namely routine, opportunistic and emergency (or corrective)  
199 maintenance. Routine maintenance is a scheduled intervention often planned weeks or  
200 months ahead of execution. Opportunistic maintenance means that once a routine  
201 intervention is going to be carried out on a given section, adjacent sections which are in  
202 a condition close enough to require routine maintenance will be also included in the  
203 intervention. Finally, an emergency intervention is carried out when inspection reveals  
204 a degraded condition which could potentially cause a derailment. In such  
205 circumstances a speed restriction or even a line closure is imposed immediately, and  
206 intervention is performed as soon as possible. Place P1 indicates new conditions (or  
207 following renewal). Place P2 represents a state where opportunistic maintenance is  
208 possible. The corresponding threshold of the SD is  $\sigma_{op}$ . Place P3 models a state  
209 requiring routine maintenance to be scheduled and performed within a given period of  
210 time. The SD threshold is  $\sigma_{rm}$ . Place P5 and P6 represent two levels of degradation  
211 such that a speed restriction or line closure respectively must be imposed to control the  
212 risk of derailment while an emergency intervention is scheduled. These are very  
213 undesirable states that, if revealed, cause a disruption to the railway service, whereas if  
214 not detected could constitute potentially hazardous situations. P5 and P6 are entered  
215 when the threshold values  $\sigma_{sr}$  or  $\sigma_{lc}$  are exceeded respectively. It is possible that, if the  
216 inspection process reveals that the track is in a state which will soon reach  $\sigma_{sr}$ , an  
217 emergency repair might be carried out to avoid reaching the undesirable state requiring  
218 speed restriction. This state is represented by place P4 with threshold  $\sigma_{crit}$ . After  
219 maintenance, track geometry is never restored to as good as new conditions. Place P7  
220 is used here to indicate the best possible state achievable following repair. The time to

221 degrade from one state to the next depends on the value chosen for each SD threshold  
222 and is ruled by stochastic transitions T1 to T6. A set of firing time distributions is  
223 associated to each of these transitions. The distribution of times to degrade from one  
224 state to the next depends on the value of these thresholds. Therefore, depending on  
225 the SD threshold, the appropriate distribution is selected for each of transitions T1 to  
226 T6. The SD thresholds triggering a speed restriction or a line closure for a given track  
227 category are usually fixed for safety reasons. The thresholds for opportunistic  $\sigma_{op}$  and  
228 routine maintenance  $\sigma_{rm}$  instead can be varied to investigate the effects of more or less  
229 conservative approaches to condition-based maintenance on the track long-term  
230 behaviour. Different values of  $\sigma_{op}$  determine different distributions of times to degrade  
231 associated to transitions T1, T2 and T6, while different values of  $\sigma_{rm}$  determine different  
232 distributions associated to transitions T2 and T3 (or T4 if the critical state coincides with  
233 the state requiring a speed restriction). In order to automate the selection of different  
234 values for  $\sigma_{op}$  and  $\sigma_{rm}$ , and the appropriate distributions for the corresponding  
235 transitions, places P15 and P16 are introduced (Figure 6). If a correspondence is  
236 established between their marking and given values of  $\sigma_{op}$  and  $\sigma_{rm}$ , then P15 and P16  
237 can be used as conditional places for transitions T1 to T4, and T6. For example, if two  
238 potential values are considered for  $\sigma_{op}$ , then two distributions are associated to each of  
239 transitions T1, T2 and T6. Depending on the marking of P15, the appropriate  
240 distribution will be selected between the available two for each of the above transitions.

241 FIGURE 6 HERE

242 **Figure 6 PN accounting for different SD thresholds triggering opportunistic and routine**  
243 **maintenance.**  
244

245 **Inspection process.** The periodic inspection process is represented by loop P19-T18-  
246 P20-T17-P19 in Figure 7.

247 FIGURE 7 HERE

248 **Figure 7 PN describing ballast degradation and inspection.**  
249

250 When inspection is not performed, place P20 is marked while place P19 is empty; such  
251 marking will enable transition T17 that will fire after the specified time interval  $\vartheta_1$ .  
252 Transition T17 is a timed deterministic transition and the time interval  $\vartheta_1$  depends on  
253 the marking of place P18 which defines the inspection strategy. By firing, T17 will  
254 remove the token from place P20 and add a token in place P19 indicating that the track  
255 is now under inspection and degraded states, if any, can be revealed. Places P8 to  
256 P12 represent the revealed states corresponding to each possible degraded condition.  
257 **Intervention processes.** Only once a degraded condition has been revealed,  
258 maintenance can be scheduled and carried out with different urgency depending on the  
259 level of degradation detected. The PN in Figure 8 includes the intervention activities  
260 that can be performed on the ballast to restore geometry conditions.

261 FIGURE 8 HERE

262 **Figure 8 PN describing ballast degradation, inspection and maintenance processes.**  
263

264 These are represented by transitions T12 to T16. Specifically, T12 to T14 indicate the  
265 imposition of a speed restriction or line closure, and the scheduling and execution of an  
266 emergency intervention. T15 and T16 represent the scheduling and execution of a  
267 routine intervention. In order to account for the randomness in the effectiveness of  
268 tamping, the output state after firing of T16 (execution of routine tamping) is randomly  
269 selected among places P2, P3, P4 and P7. Transition T16 will therefore add a token to  
270 one of places P2, P3, P4 and P7, each with a given probability. Since the effectiveness  
271 of tamping strongly depends on the maintenance history, this probability changes with  
272 the number of tamping intervention performed, and thus depends on the marking of  
273 place P14. The latter is simply used to count the number of tamping that have been  
274 performed. In case of an emergency intervention which is often a manual tamping, a  
275 good state (place P7) is usually restored. It is worth specifying that the model explicitly  
276 represents speed restrictions and line closures due to unplanned maintenance, namely  
277 emergency interventions that are triggered when track geometry has degraded above a

278 given limit. At its current stage the model does not explicitly account for the section  
279 closures to carry out routine maintenance, nor the speed restrictions that are often  
280 imposed after a renewal as these are considered as 'planned'.  
281 Since the ballast degradation rates increases with the number of tamping interventions  
282 previously performed, the marking of place P14 will affect the parameters of the  
283 distributions associated to transitions T1 to T6. The time for ballast renewal depends  
284 on the renewal strategy adopted. Renewal can be based on age or maintenance  
285 history. In the first case, the ballast is renewed after a fixed number of years, and  
286 transition T35 is used, with a deterministic firing time equal to the ballast lifetime. If  
287 renewal is based on the past maintenance, then the ballast is renewed as soon as a  
288 maximum number of tamping interventions are performed. Transition T37 is used,  
289 which is enabled as soon as the marking of place P14 reaches the threshold  $N_{\text{tamp,max}}$ .  
290 A third renewal strategy can be considered, according to which ballast is renewed as  
291 soon as the sleepers in the same sections are recommended for renewal. Transition  
292 T36 is used in this case; it provides a link between the ballast PN module and the PN  
293 module for sleepers presented in the next section. Place P37 is a conditional place for  
294 the renewal transitions T35, T36 and T37. Depending on its marking, one of the three  
295 renewal options can be selected. For example, if marking of P37 is 1, then transition  
296 T35 is enabled, namely ballast renewal is based on ballast age. If marking of P37 is 2,  
297 then transition T37 is enabled, namely ballast renewal is based on past maintenance.  
298 Finally, if marking of P37 is 3, then transition T36 is enabled, namely the ballast is  
299 renewed when all sleepers (and consequently fastenings as well) within the 1/8<sup>th</sup> mile  
300 section are scheduled for renewal. The conditions for sleepers/fastenings renewal are  
301 described in the following section.

### 302 **2.3 Model for track gauge: sleepers and fastenings.**

303 This model represents the effects of sleepers and fastenings failures on gauge  
304 widening. Individual ineffective sleepers or elements of the fastening system do not

305 have a direct effect on gauge widening. It is only when a number of elements in a given  
306 length of track are ineffective that the gauge will actually spread to a level that will  
307 eventually lead to a potential derailment risk. Inspection by Track Recording Vehicles  
308 only reveals group of failed components that have already caused the gauge to spread,  
309 while detection of isolated failed elements relies on visual inspection. Possible  
310 interventions are replacement of clips and/or rail pads, and spot re-sleepering.

311 **Degradation process.** The different degraded states in the PN, correspond to different  
312 levels of gauge widening requiring intervention with different levels of urgency. Each  
313 level corresponds to a given number of ineffective elements within a certain length of  
314 track (Figure 9). Failure dependencies between sleepers and fastenings are not  
315 currently accounted for in the model.

316 FIGURE 9 HERE

317 **Figure 9 PN for gauge degradation.**

318

319 The considered section ( $1/8^{\text{th}}$  of mile) is therefore divided into clusters of consecutive  
320 sleepers/fastenings. If the assumption is that a failed sleeper has the same effect on  
321 gauge widening as a pair of failed fastenings, then the cluster size is equivalent to the  
322 number of consecutive sleepers and/or fastenings whose failure will determine a line  
323 closure. Here, the clusters' size corresponds to a single track length containing 10  
324 consecutive sleepers and 20 fastenings (2 per sleeper). As  $1/8^{\text{th}}$  of a mile single track  
325 section contains typically 300 sleepers (and corresponding 600 fastenings), it follows  
326 that each  $1/8^{\text{th}}$  of a mile section contains 30 clusters. The model currently assumes that  
327 gauge widening is due to a failure of multiple elements within the same cluster, but  
328 does not account for the situation when elements at the edges of two adjacent clusters  
329 fail. Coloured tokens are used to represent each cluster which is defined by the  
330 following attributes: an ID to uniquely identify the cluster, the cluster's size (as defined  
331 previously), the number of working sleepers  $N_{sl,s}$  and fastening components  $N_{f,s}$ , the  
332 number of ineffective sleepers  $N_{sl,i}$  and fastening components  $N_{f,i}$ , the total number of

333 ineffective elements  $N_{tot,i}$ . The IDs are given to each cluster in order, e.g. 1,2,3... so  
334 that it is possible to identify adjacent clusters. The number of working components in  
335 each cluster can decrease over time, while sleepers and/or elements of the fastenings  
336 become ineffective. The value of each token is therefore updated every time a  
337 component fails, by decreasing the number of working elements and increasing the  
338 number of failed elements. In order to avoid confusion with the standard tokens, the  
339 coloured tokens defined above are referred to as token-cluster. Five levels of gauge  
340 widening have been considered and are represented by places P21 to P25. Thresholds  
341  $g_{op}$ ,  $g_{rm}$ ,  $g_{er}$  and  $g_{ir}$  are associated to places P22 to P25 and correspond to gauge  
342 conditions requiring opportunistic, routine, emergency and immediate interventions.  
343 P21 corresponds to no gauge widening. Degradation from one state to the next is  
344 caused by failure of components in the same cluster. When a specified number of  
345 components within the same cluster have failed, then the corresponding token-cluster  
346 is moved to the next degraded state through the transition.

347 **Inspection process.** The inspection process, depicted in Figure 10, has the same  
348 features as described above for the ballast module, except that here also visual  
349 inspection can be considered (loop P32-T31-P33-T32).

350 FIGURE 10 HERE

351 **Figure 10 PN for gauge degradation and inspection.**

352

353 Upon inspection the current gauge level is revealed. This is represented by one or  
354 more among transitions T23 to T26 firing and adding a token-cluster to the  
355 corresponding output place (P26 to P29).

356 **Intervention process.** Once the gauge level has been revealed, then maintenance is  
357 scheduled and performed, this being modelled by means of transitions T27 to T30 as  
358 shown in Figure 11.

359 FIGURE 11

360 **Figure 11 PN for gauge degradation, inspection and maintenance.**

361

362 Transitions T28 to T30 represent routine, emergency and immediate interventions  
363 respectively. T27 models the opportunistic maintenance which is only possible if a  
364 routine intervention is already planned to replace an adjacent group of  
365 sleepers/fastenings. Places P30 and P31 are used to simply keep track of the number  
366 of sleepers and fastenings replaced respectively. When an intervention is scheduled,  
367 only failed components are replaced. This means that functioning fastenings holding a  
368 failed sleepers are not replaced along with the sleeper; this however is not always the  
369 case in reality. Two renewal policies are considered, either based on age or conditions.  
370 Transition T33 represent age-based renewal and it fires when the sleepers lifetime is  
371 reached. T34 models a condition-based renewal. This transitions 'checks' the marking  
372 of places P26 to P29. Specifically, places P26 to P29 will (potentially) contain one or  
373 more token-cluster. For each of these places, the number of failed sleepers contained  
374 in each cluster is counted. If the overall number of ineffective sleepers is above a given  
375 threshold, then renewal is recommended. Place P35 is a conditional place for both  
376 transitions T33 and T34, and its marking determines the renewal strategy to be  
377 selected. For example, marking of P35 equal to 1 corresponds to time based renewal,  
378 thus transition T33 is enabled. If marking of P35 is 2, then the selected renewal  
379 strategy is based on conditions, thus transition T35 is enabled. After renewal (firing of  
380 either T33 or T34) the overall state of the system is reset to new. When the section is  
381 recommended for renewal, place P36 will receive a token. This place is used to link the  
382 gauge module to the ballast module when combined renewal is considered.

#### 383 **2.4 Modules assembly**

384 The PN models for vertical alignment and gauge described above, can be combined  
385 into one model by considering the dependencies resulting from the inspection and the  
386 renewal processes. The resulting model is depicted in Figure 12, where place P36 in  
387 the gauge module is input to transition T36 in the ballast module. T36 represents the

388 event of a combined ballast and sleepers/fastenings renewal driven by sleepers.  
389 Indeed, a necessary condition for T36 to fire is that place P36 is marked. This  
390 circumstance occurs when sleepers (and consequently also fastenings) are  
391 recommended for renewal. This can be due to either sleepers' age, in which case  
392 transition T33 fires and adds a token to place P36, or sleepers' conditions, in which  
393 case transition T34 fires and adds a token to place P36.

394 FIGURE 12 HERE

395 **Figure 1 PN combining ballast and gauge models.**  
396

## 397 **2.5 Model analysis**

398 The PN models presented in this work contain several non-conventional features that  
399 cannot be accommodated by software commercially available for the construction and  
400 execution of PN models. Therefore, a bespoke programme have been developed in a  
401 C++ environment, that accounts for the additional features introduced in the models.  
402 The behaviour of the track system over time is intrinsically stochastic, thus simulation  
403 via the Monte Carlo method is the most suitable analysis technique. The Monte Carlo  
404 method consists of running a number of simulations duplicating the system behaviour.  
405 This process can be seen as a statistical experiment where each simulation is one  
406 observation of the system. This approach requires the knowledge of the distributions of  
407 times of occurrence of all the significant events which determine the evolution of the  
408 system state over time (transitions). For each stochastic transition, the firing time is  
409 sampled from the associated stochastic distribution.  
410 Here, 2-parameter Weibull distributions are associated to stochastic transitions  
411 representing components degradation or failure, while lognormal distribution is  
412 generally used for the distribution of times to schedule and perform maintenance. The  
413 2-parameter Weibull cumulative distribution function is given by Equation 1.

$$414 \quad F(t) = 1 - e^{-\left(\frac{t}{\eta}\right)^\beta} \quad (1)$$

415 where  $\eta$  is the scale parameter and  $\beta$  is the shape parameter. The scale parameter is  
416 the time at which 63.2% of the population failed (or degraded to a given state). The  
417 shape parameter is indicative of the rate of degradation. Values of  $\beta > 1$  indicates that  
418 the degradation rate increases with time; this is typical of components subject to wear  
419 and ageing. A value of  $\beta = 1$  instead is typical of components exhibiting a constant  
420 degradation (or failure) rate. In this last case the Weibull distribution becomes a  
421 negative-exponential distribution and the scale parameter represents the mean time to  
422 failure of the component.

423 From the cumulative distribution the firing time is evaluated by first generating a  
424 random number  $X$  uniformly distributed between 0 and 1, and then equating it to the  
425 cumulative probability as in Equation 2,

$$426 \quad F(t) = 1 - e^{-\left(\frac{t}{\eta}\right)^\beta} = X \quad (2)$$

427 from which the time is obtained as in Equation 3

$$428 \quad t = \eta[-\ln X]^{\frac{1}{\beta}}. \quad (3)$$

429 Each simulation represents a lifecycle of the track section. During each simulation, the  
430 marking of all places and the firing of all transitions of interest in the PN is monitored.

431 This enables the following statistics to be evaluated:

- 432 • Number of routine maintenance actions,
- 433 • Number/duration/probability of speed restrictions and line closures,
- 434 • Probability of being in any of the possible states (good/requiring routine  
435 maintenance/requiring emergency intervention),
- 436 • Average time of section renewal.

### 437 **3. Model application**

438 The effects of a range of different maintenance policies on track geometry have been  
439 investigated through simulation of the PN model for a number of combinations of the  
440 maintenance parameters. Table 1 contains the value of the parameters related to the

441 inspection frequency  $\vartheta_i$ , the time to perform routine maintenance and emergency  
 442 intervention (mean  $\mu_i$  and variance  $s_i^2$  of the corresponding lognormal distributions) for  
 443 both vertical alignment and gauge.

444 **Table 1. Maintenance parameters.**

Inspection (days)	$\Theta_1=15$		$\Theta_2=30$		$\Theta_3=120$	
Routine (days)	$\mu_{rm,1}=20$	$s_{rm,1}^2=5$	$\mu_{rm,2}=45$	$s_{rm,2}^2=10$	$\mu_{rm,3}=60$	$s_{rm,3}^2=10$
Emergency (days)	$\mu_{em,1}=1$	$s_{em,1}^2=0.25$	$\mu_{em,2}=3$	$s_{em,2}^2=1$	$\mu_{em,3}=7$	$s_{em,3}^2=2$

445  
 446 Table 2 below specifies the thresholds on the SD of the vertical alignment triggering  
 447 opportunistic ( $\sigma_{op}$ ), routine ( $\sigma_{rm}$ ), emergency maintenance with speed restriction ( $\sigma_{sr}$ )  
 448 and emergency maintenance with line closure ( $\sigma_{lc}$ ). For this numerical application it has  
 449 been assumed that the thresholds for critical state is  $\sigma_{cr} = \sigma_{sr}$  (in simple terms, the next  
 450 degraded state after the one requiring routine maintenance, is the state requiring a  
 451 speed restriction. Transition T3 is therefore immediate.)

452 **Table 2. Thresholds of SD for vertical alignment and corresponding parameters of**  
 453 **Weibull distributions associated to transitions.**

SD thresholds		$\sigma_{op}$	$\sigma_{rm}$	$\sigma_{sr}$	$\sigma_{lc}$
	(1)		3.5	4.25	4.5
(2)		3.5	3.75	4.5	5
Transitions		T1 and T6	T2	T4	T5
Weibull parameters	(1)	$\beta=1.4, \eta=1000$	$\beta=1.55, \eta=300$	$\beta=1.6, \eta=400$	$\beta=1.7, \eta=300$
	(2)	$\beta=1.4, \eta=1000$	$\beta=1.45, \eta=500$	$\beta=1.6, \eta=500$	$\beta=1.7, \eta=300$

454  
 455 In this application two SD levels for routine maintenance  $\sigma_{rm}$  have been considered,  
 456 namely 4.25 and 3.75, while the other thresholds are left unchanged. Two approaches  
 457 have been adopted for selecting the SD thresholds. The first pushes the threshold for  
 458 routine maintenance closer to the limit triggering a speed restriction. The second  
 459 approach is more conservative, as it establishes a lower threshold for routine  
 460 interventions. To each pair of consecutive thresholds is associated a distribution of  
 461 times to degrade from one threshold level to the next. It is assumed that these times  
 462 are distributed according to a 2-parameter Weibull. Because two different values of  $\sigma_{rm}$   
 463 have been considered, this means that two different sets of parameters ( $\beta, \eta$ ) will be

464 associated to transitions T2 (from place P2 to place P3) and T3 (from place P3 to place  
 465 P4) one for each value of  $\sigma_{rm}$ . The Weibull parameters for transitions T1 to T6 are also  
 466 given in Table 2.

467 Concerning the gauge, in this application it is assumed that the number of consecutive  
 468 failed elements (sleepers and/or fastenings) that trigger a line closure and a speed  
 469 restriction is 10 and 8 sleepers and/or pairs of fastenings respectively. From the  
 470 definition of a cluster size as given in section 2.3 follows that each cluster contains 10  
 471 sleepers and 20 fastenings. While the thresholds on the number of consecutive failed  
 472 elements for speed restriction and line closure are kept unchanged, the number of  
 473 failed elements triggering a routine intervention,  $N_{f,min}$ , is varied. Specifically, three  
 474 different  $N_{f,min}$  values have been analysed, i.e. 2, 4 and 5. An opportunistic intervention  
 475 is possible if one or more ( $<N_{f,min}$ ) components fail. Speed restrictions and line closures  
 476 are followed by emergency and immediate interventions respectively. It is assumed  
 477 here that the lifetimes of the individual sleeper and fastenings follow a 2-parameter  
 478 Weibull distribution with parameters given in Table 3.

479 **Table 3. Weibull parameters for sleepers and fastenings lifetime.**

Concrete sleepers	$\beta=1.4, \eta=9125$
Fastenings	$\beta=1.2, \eta=3650$

480  
 481 The combinations of the maintenance parameters in Tables 1 with the two thresholds  
 482 used for  $\sigma_{rm}$  (Table 2) result in 54 strategies for maintaining the vertical alignment (C1  
 483 to C54); these are detailed in Table 4. The parameters in Table 1, combined with the  
 484 three values of  $N_{f,min}$  determine 81 strategies for gauge maintenance (S1 to S81) as  
 485 shown in Table 5. It is assumed that the ballast is renewed as soon as five out of eight  
 486 unit sections (1/8<sup>th</sup> mile) every mile of track has been tamped 15 times ( $N_{max,tamp}=15$ ).  
 487 Sleepers are renewed as soon as they reach their lifetime which, in this example is  
 488 assumed to be 35 years. It is also assumed that ballast, sleepers and fastening all start  
 489 from new conditions.

490 **Table 4 Strategies for maintaining the vertical alignment.**

ID	$\sigma_{rm1}=4.25$						ID	$\sigma_{rm2}=3.75$					
	$\Theta$	$\mu_{rm}$	$s_{rm}^2$	$\mu_{em}$	$s_{em}^2$	$N_{max,tamp}$		$\Theta$	$\mu_{rm}$	$s_{rm}^2$	$\mu_{em}$	$s_{em}^2$	$N_{max,tamp}$
C1	15	20	5	1	0.25	15	C28	15	20	5	1	0.25	15
C2	15	45	10	1	0.25	15	C29	15	45	10	1	0.25	15
C3	15	60	10	1	0.25	15	C30	15	60	10	1	0.25	15
C4	15	20	5	3	1	15	C31	15	20	5	3	1	15
C5	15	45	10	3	1	15	C32	15	45	10	3	1	15
C6	15	60	10	3	1	15	C33	15	60	10	3	1	15
C7	15	20	5	7	2	15	C34	15	20	5	7	2	15
C8	15	45	10	7	2	15	C35	15	45	10	7	2	15
C9	15	60	10	7	2	15	C36	15	60	10	7	2	15
C10 to C18	30	Same as C1 to C9					C37 to C45	30	Same as C28 to C36				
C19 to C27	120	Same as C1 to C9					C46 to C54	120	Same as C28 to C36				

491

492 **Table 5 Strategies for maintaining the gauge.**

ID	$\Theta = 15$				
	$N_{f,min}$	$\mu_{rm}$	$s_{rm}^2$	$\mu_{em}$	$s_{em}^2$
S1	2	20	5	1	0.25
S2	4	20	5	1	0.25
S3	5	20	5	1	0.25
S4	2	45	10	1	0.25
S5	4	45	10	1	0.25
S6	5	45	10	1	0.25
S7	2	60	10	1	0.25
S8	4	60	10	1	0.25
S9	5	60	10	1	0.25
S10 to S18	Same as S1 to S9			3	1
S19 to S27	Same as S1 to S9			7	2
ID	$\Theta = 30$				
	$N_{f,min}$	$\mu_{rm}$	$s_{rm}^2$	$\mu_{em}$	$s_{em}^2$
S28 to S54	Same as S1 to 27				
ID	$\Theta = 120$				
	$N_{f,min}$	$\mu_{rm}$	$s_{rm}^2$	$\mu_{em}$	$s_{em}^2$
S55 to S81	Same as S1 to 27				

493

494 **3.1 Results**

495 Convergence of results is reached after 500 simulations. In the following, simulation  
 496 results showing the effects on both track gauge and vertical alignment are presented  
 497 and discussed. Figures are given per mile of track, under the assumption of  
 498 homogeneous characteristics, and provide average values over the entire simulated  
 499 time. The simulated time varies as it depends on when renewal is required (a

500 simulation is stopped when the section is recommended for renewal). The  
501 computational time required to simulate all considered strategies, each 500 times is  
502 about 10 minutes. Figures 13 to 17 show the probability of being in good conditions  
503 (Figure 13), of a speed restriction being imposed (Figure 14), the average number of  
504 routine interventions (Figure 15) and opportunistic interventions (Figure 16), and the  
505 renewal times (Figure 17) for each maintenance strategy. The combination of the  
506 maintenance parameters corresponding to each strategy is also specified in each  
507 figure.

508 FIGURES 13, 14, 15, 16, 17 HERE.

509

510 **Figure 2 Probability of good state (ballast)**

511

512 **Figure 3 Probability of speed restriction imposed due to ballast degradation.**

513

514 **Figure 4 Number of routine interventions on ballast.**

515

516 **Figure 5 Number of opportunistic interventions on ballast.**

517

518 **Figure 6 Ballast renewal times in days.**

519

520 Results show that the parameter with a major influence on the asset performance is the  
521 threshold  $\sigma_m$  triggering routine maintenance, followed by the inspection frequency and  
522 the mean time to perform routine maintenance. The probability of being in good  
523 conditions is generally higher for lower thresholds  $\sigma_m$ , and decreases with increasing  
524 mean time to perform routine maintenance, while the probability of a speed restriction  
525 shows a complete opposite trend. This is because the longer it takes to perform routine  
526 maintenance, and the higher it is the likelihood that conditions will deteriorate further to  
527 a level requiring a speed restriction. Such condition, however, is only discovered  
528 through inspection; clearly the longer the inspection period, the less the probability of  
529 actually revealing such a state. The number of routine interventions is higher for lower

530 thresholds  $\sigma_{rm,2}$ , meaning also higher intervention costs. The renewal times are mainly  
531 affected by the threshold  $\sigma_{rm}$ ; higher  $\sigma_{rm}$  values determine higher renewal times. This is  
532 mainly due to the fact that the ballast degradation rate increases with the number of  
533 tamps performed, which is higher for lower thresholds  $\sigma_{rm}$ , as also shown in Figure 13.  
534 The renewal times obtained for  $\sigma_{rm,1}$  are in the range between 12490 and 13575 days,  
535 namely between 34,23 and 37,2 years, and always below 13000 days (35,6 years) for  
536 inspection period of 15 and 30 days. For the more conservative threshold  $\sigma_{rm,2}$  the  
537 renewal times lay between 9275 and 10225 days (25,4-28 years), and always below  
538 9750 days (26,7 years) for inspection period up to 30 days. The higher threshold  $\sigma_{rm,1}$ ,  
539 if combined with a more frequent inspection and a quicker response to the need for  
540 maintenance, enable longer ballast lifetime to be achieved. Given that the sleepers  
541 average lifetime is approximately 35 years, this also allows for ballast and sleepers  
542 renewal to be combined without any loss of sleepers useful life, or considerably  
543 frequent need for ballast tamping.  
544 Figures 18, 19 and 20 represents the probability of being in a state requiring routine  
545 maintenance, emergency intervention with a speed restriction and immediate  
546 intervention with line closure respectively, resulting from the implementation of each  
547 strategy.

548 FIGURES 18, 19, 20 HERE

549

550 **Figure 7 Probability of being in a state where gauge requires routine maintenance.**

551

552 **Figure 8 Probability of speed restrictions due to gauge degradation.**

553

554 **Figure 20 Probability of line closure due to gauge degradation.**

555

556 Results are clustered into three main groups based on the minimum number of  
557 components  $N_{f,min}$  triggering a routine intervention. Parameter  $N_{f,min}$  appears to play a  
558 fundamental role in determining the gauge response. The probability of requiring a

559 routine intervention decreases with  $N_{f,min}$  while the probability of requiring an  
560 emergency intervention given that a speed restriction or a line closure are imposed,  
561 increases. This trend can be explained by observing that the higher the threshold  
562 triggering routine maintenance, the higher is the chance that additional components,  
563 either sleepers or fastenings, will fail before a routine intervention is performed, thus  
564 causing the gauge to spread to a level requiring a speed restriction. Second to  $N_{f,min}$ ,  
565 the inspection frequency affect the gauge response, with its influence being more  
566 evident for the probability of a line closure, especially for higher values of  $N_{f,min}$ . This is  
567 because the worst the conditions, the faster the degradation.

568 Figure 21 shows the total number of sleepers replaced, while the number of fastenings  
569 replaced is given in Figure 22. Figure 23 depicts the number of grouped interventions  
570 involving sleepers and fastenings within multiple adjacent sections. Grouped  
571 interventions means that if a routine intervention is carried out for the elements within a  
572 cluster to restore the correct gauge, then ineffective sleepers and fastenings are also  
573 replaced within adjacent clusters where routine intervention has been scheduled for a  
574 later date, or opportunistic intervention is suitable. This allows taking advantage of the  
575 track possession. As expected, the lower the threshold  $N_{f,min}$ , the higher the number of  
576 sleepers replacement.

577 FIGURE 21 HERE

578

579 **Figure 21 Total number of sleepers replaced.**

580

581 FIGURE 22 HERE

582 **Figure 9 Total number of fastenings replaced.**

583

584 FIGURE 23 HERE

585 **Figure 10 Total number of grouped interventions (multiple sleepers and fastenings**  
586 **replacement).**

587

588 A different behaviour is instead observed for grouped interventions. The highest  
589 number of grouped interventions is always obtained for  $N_{f,\min} = 4$  and inspection  
590 frequencies of 15 and 30 days, regardless of the other maintenance parameters.  
591 Indeed, it will take longer for a section to enter a state requiring routine maintenance if  
592  $N_{f,\min} = 4$  than if  $N_{f,\min} = 2$ . This means that, before a section will need a routine  
593 intervention, it will be more likely that sleepers and fastenings in other locations along  
594 the line will have also failed if  $N_{f,\min} = 4$  than if  $N_{f,\min} = 2$ . However, if the threshold  
595 triggering routine maintenance is pushed closer to the one triggering an emergency  
596 interventions , as for  $N_{f,\min} = 5$ , then it is more likely that the section currently scheduled  
597 for a routine maintenance will degrade further to a state requiring an emergency action  
598 before a failure occur in any other location along the line. This observation is also  
599 supported by the fact that the probability of being in a state requiring a speed restriction  
600 and emergency intervention takes the higher value when  $N_{f,\min} = 5$  as shown in Figure  
601 16. If inspection intervals increase to 120 days, then it will take longer for the need for  
602 routine maintenance to be revealed. Therefore, when  $N_{f,\min} = 4$ , the section is more  
603 likely to degrade to a state requiring a speed restriction before inspection is performed.  
604 On the other hand, when  $N_{f,\min} = 2$ , longer inspection intervals means that failures in  
605 other locations along the line might occur before inspection is performed.

#### 606 **4. Conclusions**

607 In this paper a simulation tool based on Petri nets has been presented, which models  
608 track geometry degradation and the corresponding maintenance actions that can be  
609 performed. The model accounts for vertical alignment variations and gauge spreading  
610 due to ballast and sleepers/fastening failures respectively. The model enables the track  
611 geometry conditions, probability of failure modes leading to speed restrictions and line  
612 closures, and the number of interventions performed during a given time horizon to be  
613 predicted for a wide range of maintenance strategies. Along with the probability of  
614 speed restrictions and line closures being imposed, also the average number and

615 duration of such restrictive measures can be recorded during simulations. These  
616 provide indirect indication of the impact that different maintenance strategies will have  
617 on service if implemented. Although the proposed model does not directly quantify the  
618 delays and corresponding costs, it enables a comparison between different strategies  
619 to be drawn, based on the number of interventions (routine, opportunistic and  
620 emergency) and the unavailability of the track due to unplanned speed restrictions and  
621 line closures. Clearly, an actual evaluation of more detailed service performance  
622 measures which account for the actual delays and/or journey cancellations, will require  
623 the use of specific software that model the interactions between train services and  
624 infrastructure failures and maintenance such as OpenTrack, RailSys and TRAIL. The  
625 results obtained from the proposed model can be used within the aforementioned  
626 software to generate disruption scenarios that are directly linked to a given  
627 maintenance strategy. The model can also be used to gain insight into the potential  
628 effects of new maintenance strategies on the asset performance thus partly  
629 compensating for the lack of real data whose collection would require years if not  
630 decades.

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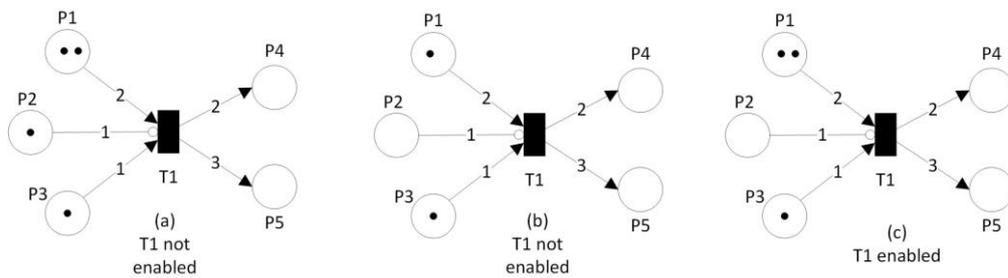
681 OpenTrack. OpenTrack Railway Technology Ltd. Gubelstr. 28, CH 8050 Zurich, Switzerland.

682 RailSys. Rail Management Consultants GmbH. Luetzerodestrasse 10, 30161 Hannover,  
 683 Germany.

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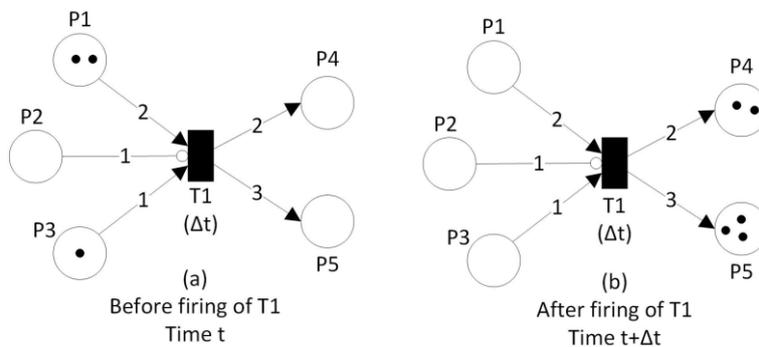
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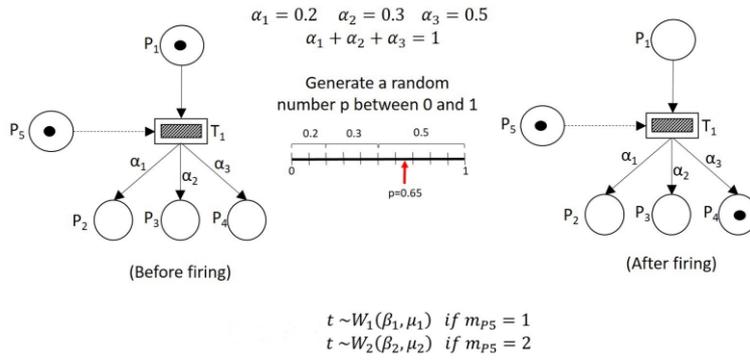
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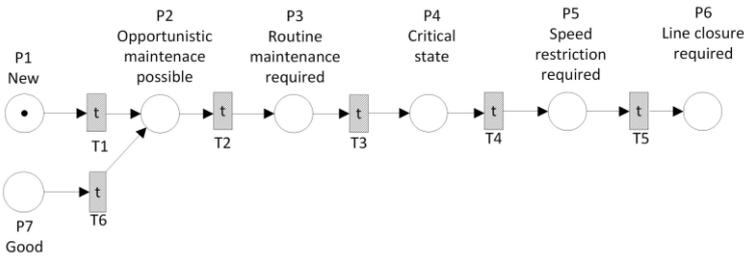
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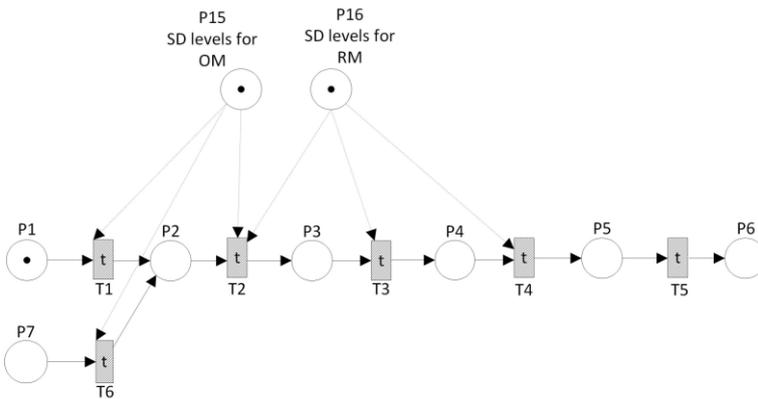
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Transitions with standard firing mode	Transitions with non-standard firing mode
Immediate transition	Immediate transition
Timed transition (deterministic or stochastic)	Timed transition (deterministic or stochastic)
Timed transition with associated set of firing time distributions	Timed transition with associated set of firing time distributions

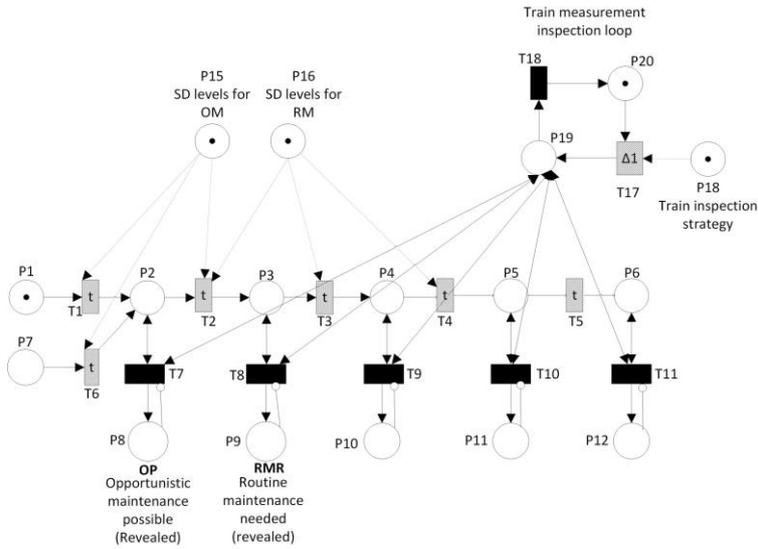
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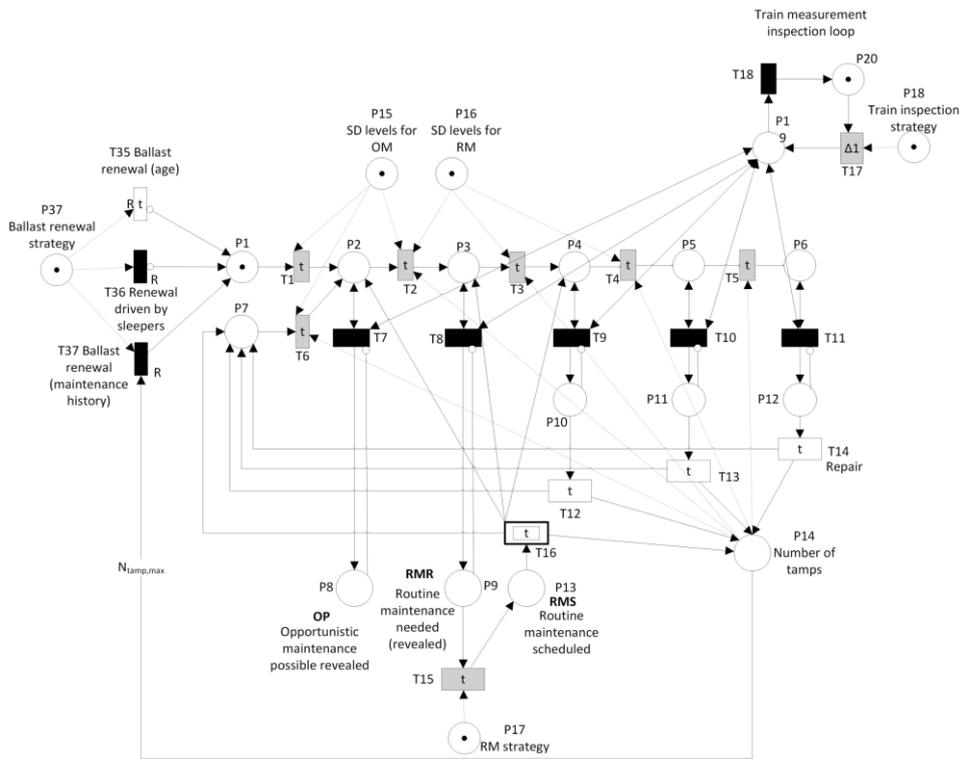


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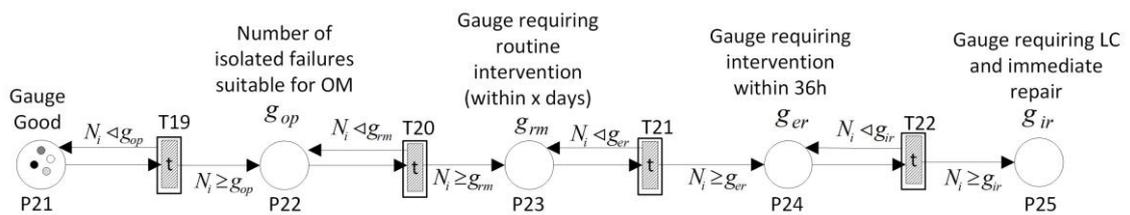
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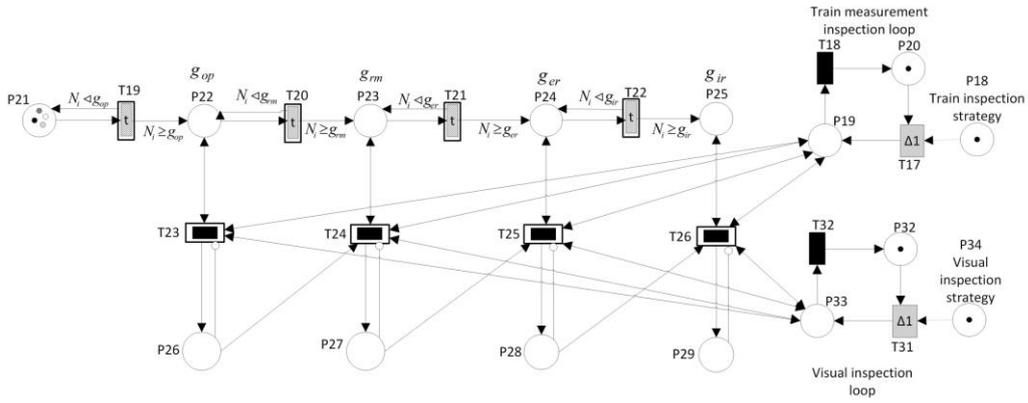
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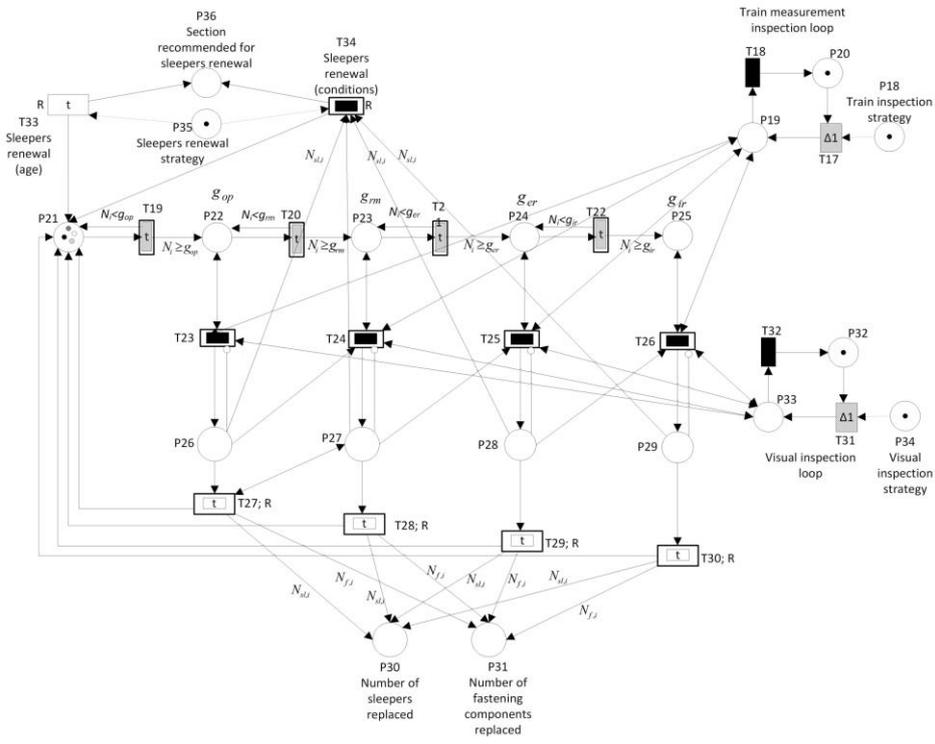
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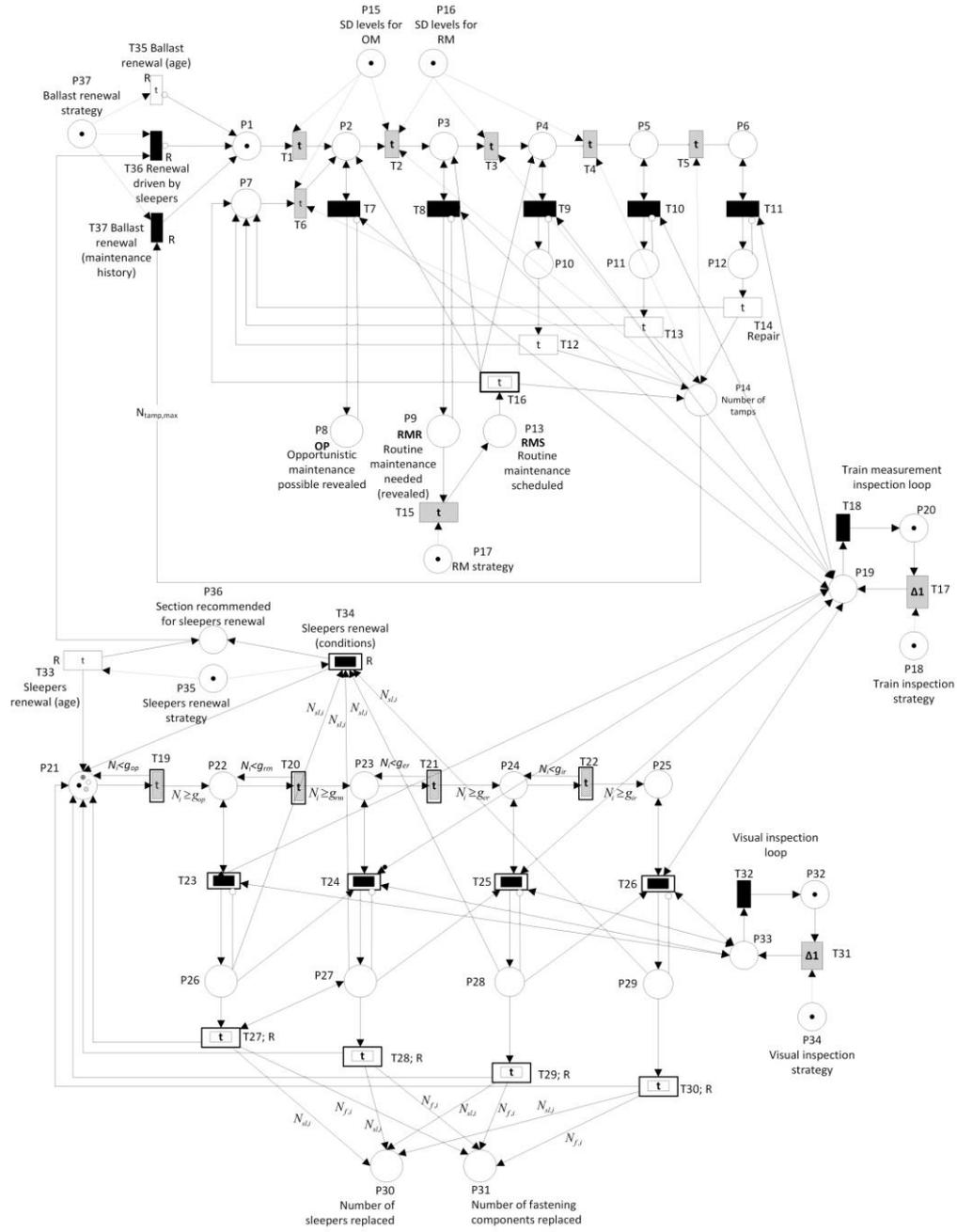
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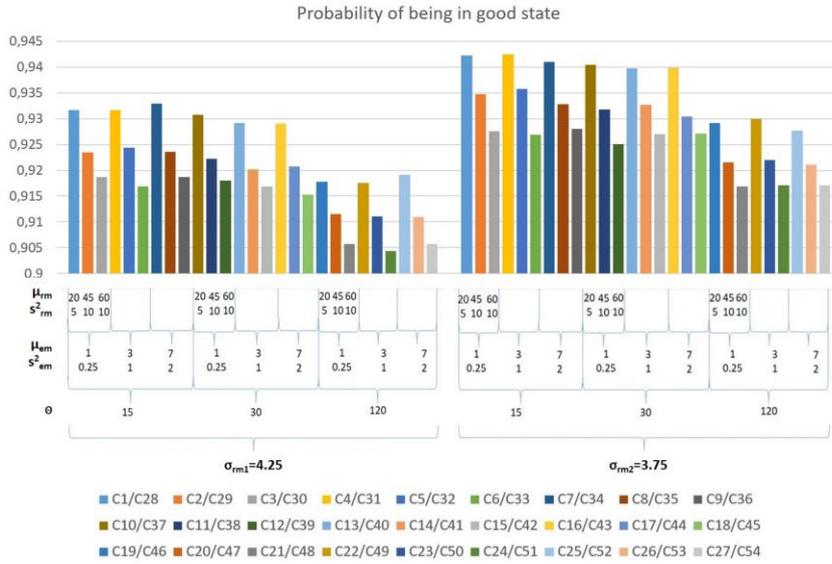


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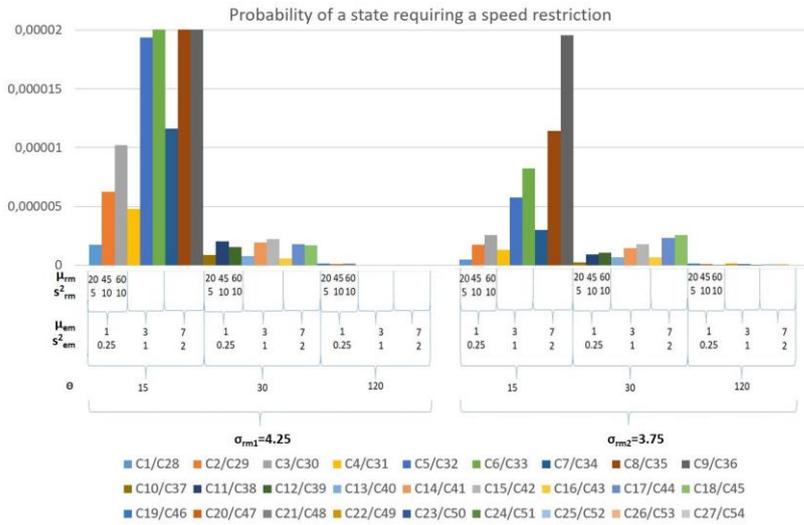
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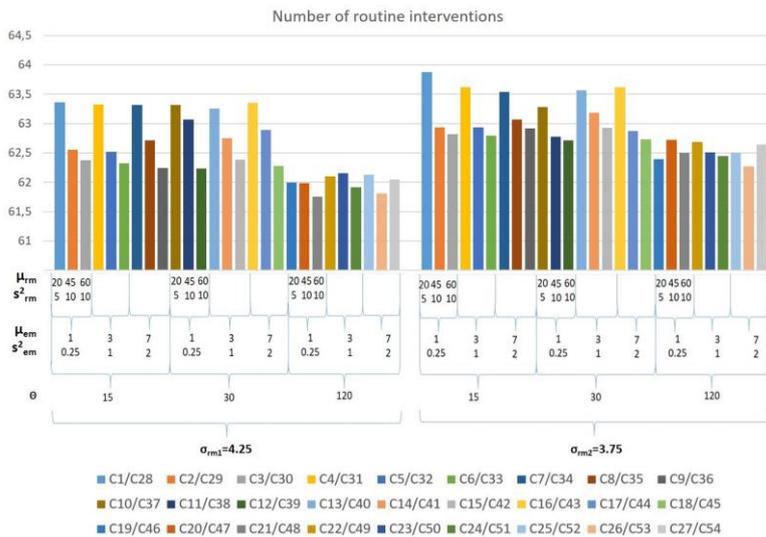
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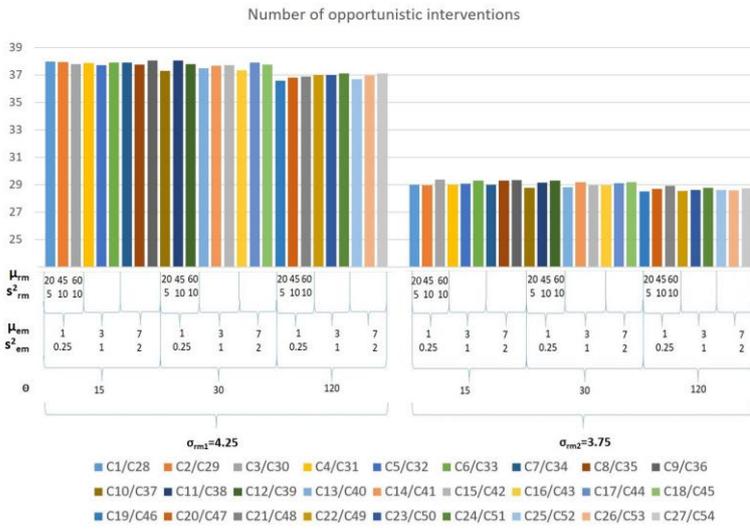


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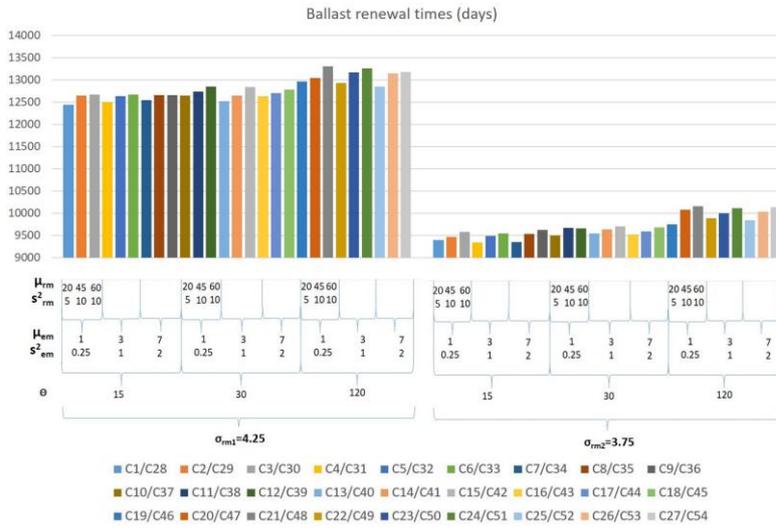
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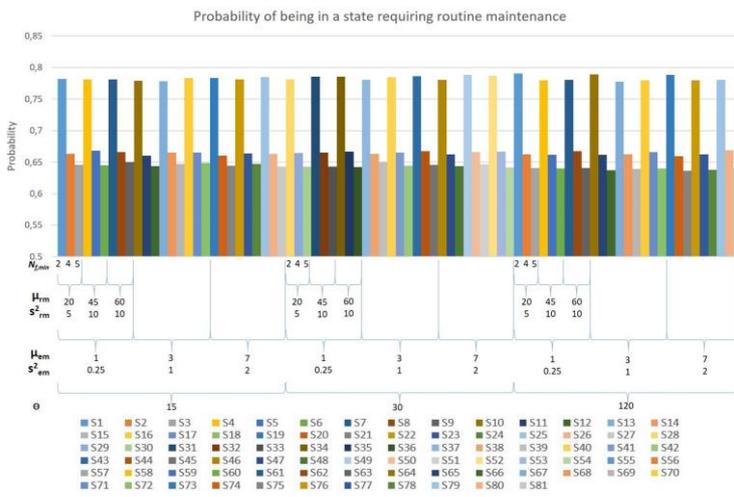
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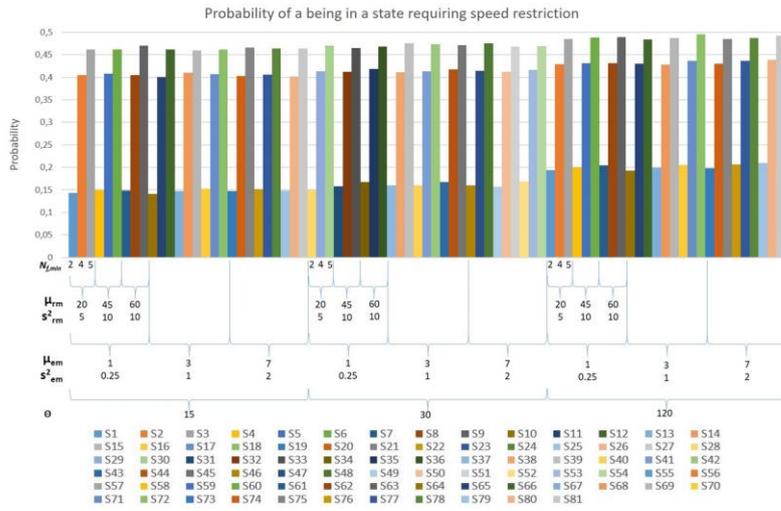
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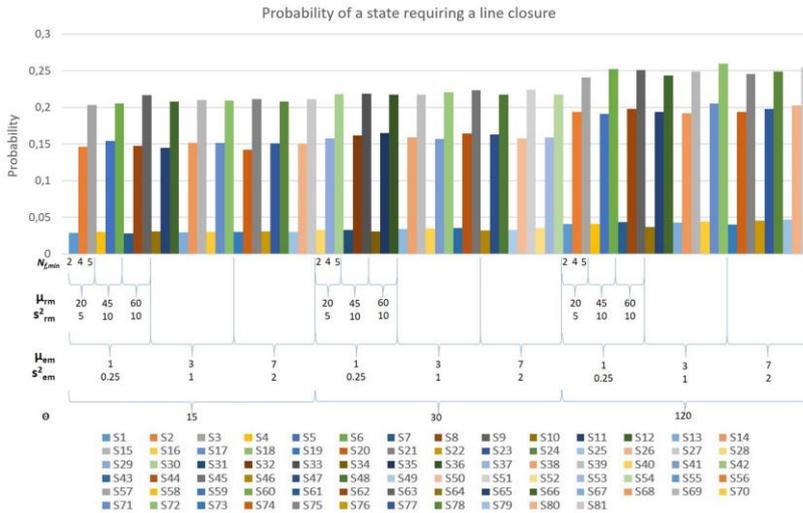
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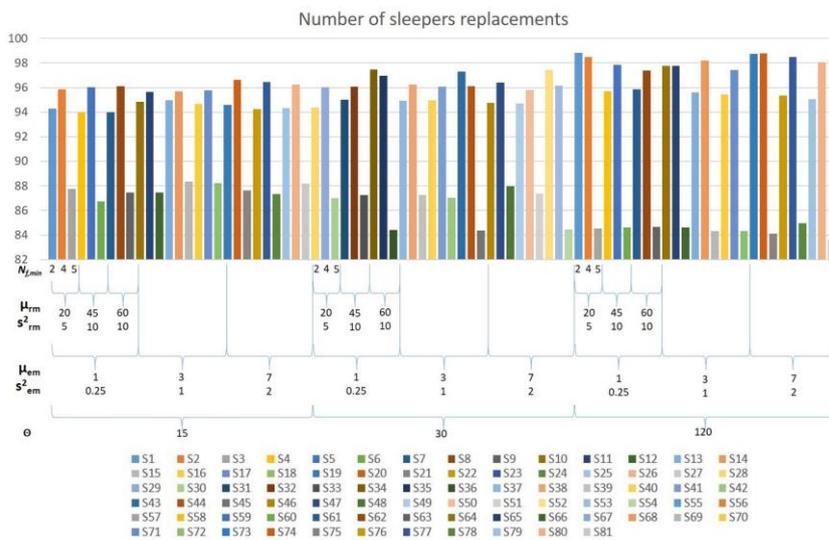
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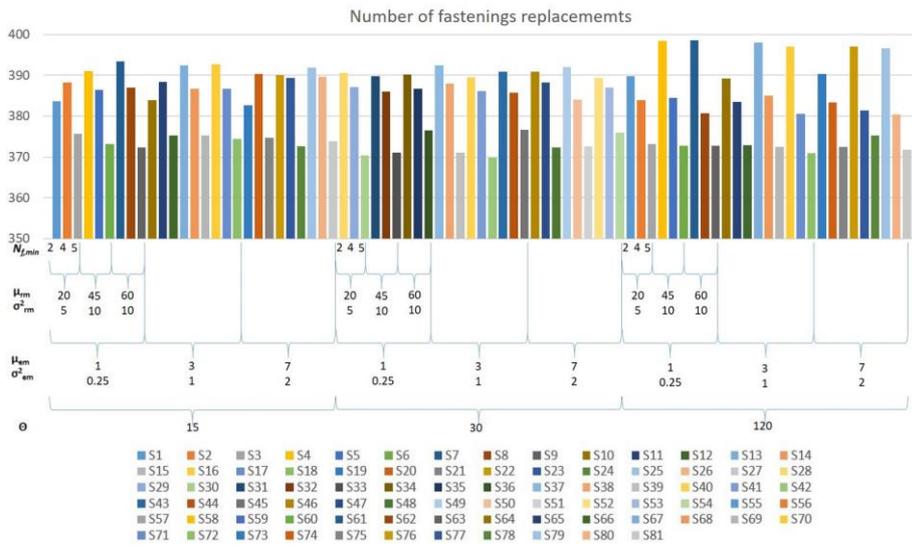
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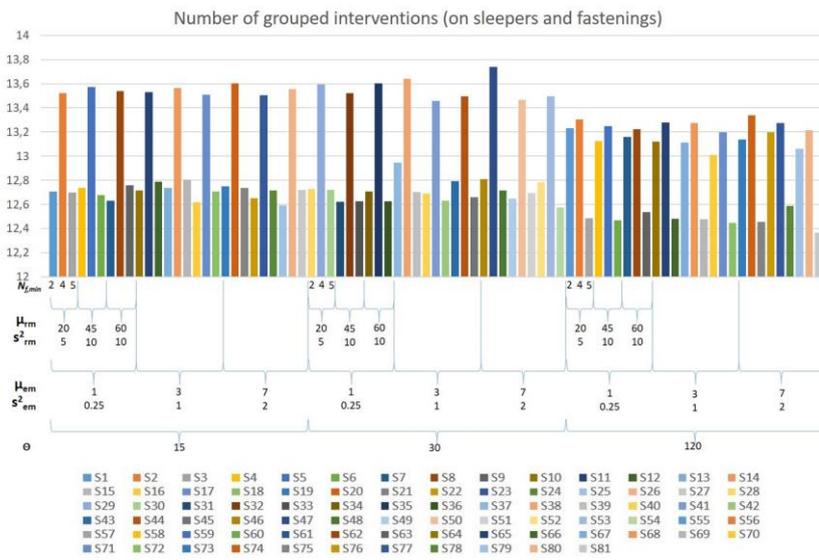
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