

# IoT for Predictive Assets Monitoring and Maintenance: An implementation strategy for the UK Rail Industry

## Abstract

*With about 100% increase in rail service usage over the last 20 years, it is pertinent that rail infrastructure continues to function at an optimal level to avoid service disruptions, cancellations or delays due to unforeseen asset breakdown. In an endeavour to propose a strategy for the implementation of Internet of Things (IoT) in rail asset maintenance, a qualitative methodology was adopted through a series of focus-group workshops to identify the priority areas and enabling digital technologies for IoT implementation. The methods of data collection included audio recording, note-taking, and concept mapping. The audio records were transcribed and used for thematic analysis, while the concept maps were integrated for conceptual modelling and analysis. This paper presents an implementation strategy for IoT for rail assets maintenance with focus on priority areas such as real-time condition monitoring using IoT sensors, predictive maintenance, remote inspection, and integrated asset data management platform.*

**Keywords:** Internet of things, predictive maintenance, remote inspection, rail assets, augmented reality

## 1 Introduction

About 3.23% of all planned rail journeys in the UK were cancelled in 2016, resulting in over £28 million claims by unsatisfied rail service customers [1]. With a forecast of 14% increase in passenger demand and 22% increase in freight tonnage forecast by 2021, it is important to place the focus of rail assets management on the needs of passengers and customers. Reliable rail assets performance is essential for customers satisfaction, business growth and economic development [2]. The UK government plays a major role in supporting the delivery of safe, reliable and efficient rail service operation with a projected £3.74 billion support including the Passenger Transport Executive (PTE) grants between from 2018 to 2019 [3]. According to the Office of Rail Regulation (ORR), Network Rail has made up to 40% savings on the running cost of rail assets over the last 10 years [3]. However, current approaches of rail assets maintenance, such as manual routine inspection by lineside workers and corrective maintenance, are labour intensive and inefficient for the current and future challenges of the rail industry [4]. Furthermore, the routine-inspection approach is not cost-effective because it sometimes entails the searching of areas with no faults

31 and often the detection of already failed or failing rail assets. As such, there is a need to develop  
32 ways for efficient assets monitoring and maintenance.

33 The motivation for this study is based on the need for more efficient ways of acquiring information  
34 about rail assets condition as well as improve the methods of asset inspection. Efficient rail assets  
35 maintenance requires timely information for proactive intervention to prevent the breakdown of  
36 rail assets and unplanned maintenance activities. Another limitation of the current maintenance  
37 approaches such as ‘find and fix’ and ‘report of asset failures by train drivers’ is the lack of timely  
38 information about the performance and condition of assets, which leads to maintenance  
39 inefficiency, rail service interruption and ultimately, poor customers’ satisfaction [5, 1]. In  
40 addition, some current approaches require the deployment of rail inspection operatives to high-  
41 risk areas of rail assets to perform routine checks, which has health and safety hazards on the  
42 workers [6, 1]. Efficient rail assets monitoring and maintenance require innovative methods of  
43 data collection, processing and analysis for timely information about the present and possible  
44 future condition of rail assets.

45 Internet of Things (IoT) is the network of uniquely identifiable objects that enables physical  
46 objects to connect and exchange data within the existing internet infrastructure [7]. IoT is an  
47 emerging digital technology with prospects of providing timely information and control of rail  
48 assets through IoT actuators, sensors and hardware devices [8]. Although there exist many  
49 advanced methods of monitoring rail assets and detecting defects, for example, Thaduri et al., [9]  
50 identified a potential domain for big data analytics in rail assets information management. Antony  
51 and Nasira [10] showcased a clustering approach, a technique of data mining for enabling  
52 predictive maintenance of rail assets using failure data of rail assets. There are also a number of  
53 technology-based rail asset inspection such as the use of Unmanned Autonomous Vehicle (UAV),  
54 IoT sensors, infrared and visible images registration and rail-robot based remote three-dimensional  
55 system for rail assets inspection [11, 12, 13]. Despite the existence of some IoT-related  
56 technologies and systems in the rail industry, there is still a lack of holistic implementation strategy  
57 for IoT, which has essential characteristics such as interoperable communication protocol and  
58 holistic integration into the information network, in rail asset maintenance [14].

59 IoT-based digital rail asset inspection, monitoring, and control have tremendous potential to  
60 improve maintenance efficiency, prevent assets breakdown, ensure rail service reliability, reduce  
61 maintenance cost and enhance workforces and passenger's safety. Based on this premise, it can be  
62 acknowledged that IoT implementation has potential tremendous benefits for rail assets  
63 management, despite these potential benefits, the implementation of IoT for rail assets  
64 maintenance requires a sound understanding of the opportunities and risks involved in IoT  
65 implementation [15]. Also, the design and development of IoT systems for optimum effectiveness  
66 could be challenging especially for a risky industry such as rail [16]. The potential opportunities  
67 for implementing IoT technology in rail is hinged on its capability for real-time data collection and  
68 processing [17]. Hence, it is pertinent to answer the following research questions: (RQ-1) what are  
69 the problem areas in rail asset maintenance? (RQ-2) what are the priority problem areas for IoT  
70 implementation? (RQ-3) how can IoT be implemented for rail asset maintenance?

71 Based on the foregoing, this study aims to formulate an implementation strategy targeted at the  
72 development of an integrated solution for rail asset condition monitoring and predictive  
73 maintenance. Accordingly, the specific objectives of this study are to:

- 74 1. Identify the priority areas for the implementation of the internet of things in rail assets  
75 maintenance.
- 76 2. Formulate a strategy using enabling digital technologies for implementing IoT in rail assets  
77 maintenance.

78 This study adopts a qualitative methodology through two rounds of focus group workshops held  
79 with expert innovation engineers in rail assets maintenance, and expert researchers in digital  
80 technologies. A conceptual analysis was done to identify potential opportunities, enablers, and  
81 barriers to the implementation of IoT-based rail assets maintenance.

## 82 **2 Internet of Things and Rail Assets Maintenance**

83 Rail asset monitoring and maintenance remain one of the critical challenges facing railway  
84 infrastructure in terms of cost-effectiveness, workforce safety and operational efficiency [18]. A  
85 major cause of this critical challenge is the lack of adequate and timely information for planning  
86 efficient maintenance operations, which often results in late response to failing assets, unscheduled

87 interruption of operation and train service delays [1]. Secondly, the means to data acquisition for  
88 understanding the condition of rail assets remains risky, rail assets operatives still enter danger-  
89 zones for conducting rail assets inspection and maintenance [19]. This current situation  
90 necessitates the development of new approaches to ensure a completely safe working condition  
91 for rail assets operatives and deliver reliable services to rail assets user.

92 In terms of priority for improvement, rail passengers voted punctuality, reliability and journey  
93 times ahead of on-train experience, at-station experience and ticketing/pricing [20]. With 1.718  
94 billion journeys on the UK rail network in 2016 coupled with further rail network expansion  
95 projects such as High Speed 2 (HS2), punctuality and reliability of rail services are expedient to  
96 meet up with the growing need for increased capacity of rail transportation [3]. Generally, the  
97 reliability of rail services depends on the performance of rail assets such as tracks, stations, power,  
98 communication and signalling facilities [21, 22]. Understanding rail assets performance enables  
99 pre-emptive maintenance practices, however, it also requires the consistent and continuous  
100 gathering of information about the current and possible future conditions of assets [23].  
101 Consequently, there is a need for more pervasive data acquisition, aggregation analytics and  
102 management [24, 25].

## 103 **2.1 Problem Areas in Rail Assets Maintenance**

104 As part of the efforts of developing rail technical strategy for control period 6 (CP6: 2019-2024),  
105 the Network Rail has published a number of challenge statements for research and development  
106 priority areas. Network Rail is the owner and operator of Britain’s main rail network, and it  
107 manages the railway infrastructure including about 20,000 miles of rail track, thousands of tunnels,  
108 signals, level crossing and points, about 30,000 bridges and 20 of the largest stations in England,  
109 Scotland and Wales [26, 27]. The strategic business plan of the Network Rail for CP6 is focused  
110 on achieving various targets to ensure a safe, reliable, efficient and growing railway [27].

111 As part of the activities for this study, several “Network Rail Challenge Statements” were reviewed  
112 to fully understand the scope and research needs of Network Rail’s problem areas. Following the  
113 review, nine problem areas were selected in a way to avoid similar problem areas and to cover as  
114 much areas as possible. A summary of the selected problem areas is given in Table 1

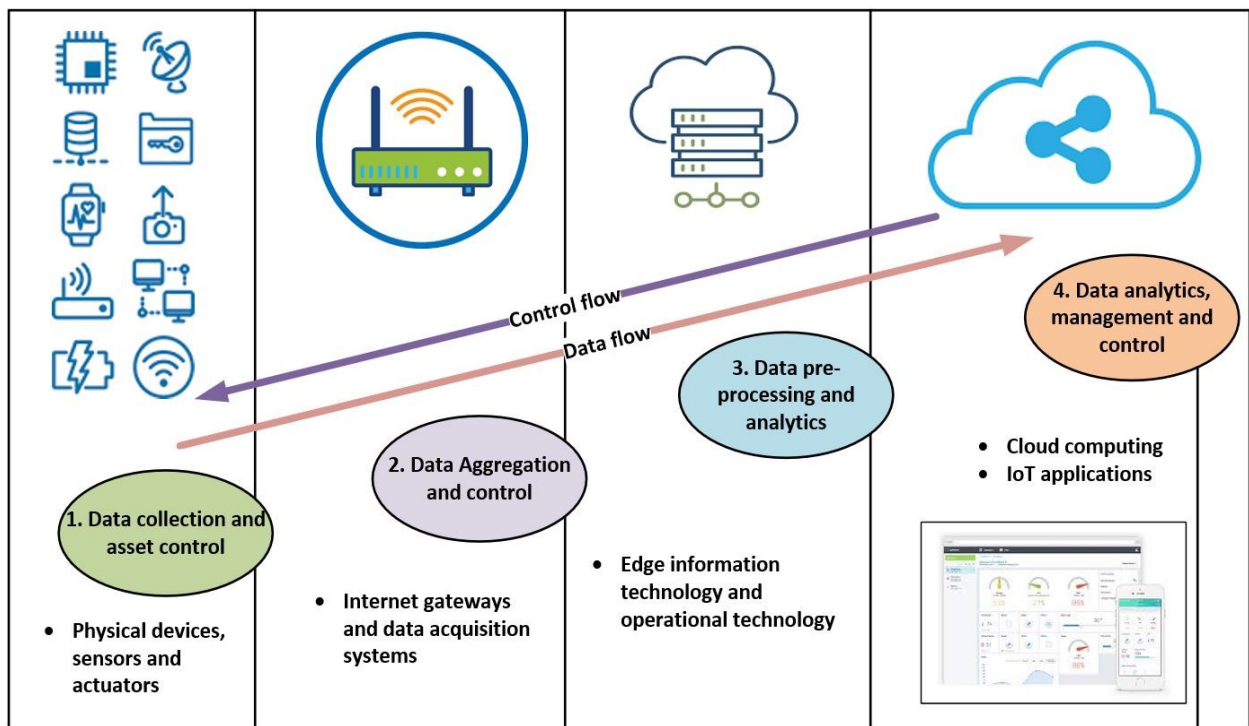
115 ***Table 1: Shortcomings of current maintenance approaches (Source: Network Rail)***

	Problem areas	Current approaches	Shortcomings
1	Detection of geotechnical asset failure by means other than train drivers or lineside staff	<ul style="list-style-type: none"> <li>Manual inspection by site examiner</li> <li>Report from train drivers</li> <li>Data collection for specific projects</li> </ul>	<ul style="list-style-type: none"> <li>Subjective and sometimes unreliable datasets</li> <li>Late identification of failing assets</li> <li>Lack of holistic understanding</li> </ul>
2	Intelligent assets and condition monitoring	<ul style="list-style-type: none"> <li>Find and fix approach</li> <li>Corrective maintenance</li> </ul>	<ul style="list-style-type: none"> <li>Late mitigation of asset failure</li> <li>The high cost of maintenance</li> </ul>
3	Lineside asset management	<ul style="list-style-type: none"> <li>Manual inspection</li> <li>Ellipse asset inventory repository</li> </ul>	<ul style="list-style-type: none"> <li>Lack of proactive measures</li> <li>Lack of timely information</li> </ul>
4	Safe and effective lineside inspections	<ul style="list-style-type: none"> <li>Manual inspection by lineside workers</li> <li>Repetitive tasks</li> <li>Partial assessment of the condition</li> </ul>	<ul style="list-style-type: none"> <li>Unsafe working conditions for workers</li> <li>Poor quality of data</li> <li>Lack of full understanding of asset condition</li> </ul>
5	Enabling transition to predict and prevent maintenance regimes	<ul style="list-style-type: none"> <li>Corrective maintenance</li> <li>Non-compliance of required track access for maintenance</li> </ul>	<ul style="list-style-type: none"> <li>Lack of data quality</li> <li>The high cost of maintenance</li> <li>Lack of predictive capabilities</li> </ul>
6	Automating inspection and maintenance activities to remove the workforce from high-risk areas and improved data capture	<ul style="list-style-type: none"> <li>Manual maintenance of high-risk areas by the workforce</li> <li>Manual methods of data collection</li> </ul>	<ul style="list-style-type: none"> <li>High workforce safety risks</li> <li>Low cost-efficiency</li> <li>Unsustainable for increased train services</li> </ul>
7	Improved application of friction management to prevent defects, derailment and extend rail life	<ul style="list-style-type: none"> <li>Manual friction management methods</li> <li>Report by train drivers</li> </ul>	<ul style="list-style-type: none"> <li>Wearing of track</li> <li>High risk of derailment</li> </ul>
8	Railhead squats	<ul style="list-style-type: none"> <li>Corrective maintenance</li> <li>Poor analysis of causes</li> </ul>	<ul style="list-style-type: none"> <li>High-cost implication</li> <li>Risk of train accidents</li> </ul>
9	Re-profiling rail to remove defects and extend rail life	<ul style="list-style-type: none"> <li>Manual methods of fixing Rail Contact Fatigue (RCF)</li> </ul>	<ul style="list-style-type: none"> <li>The high development of RCF defects</li> <li>The high cost of re-railing sites with severe RCF defects</li> </ul>

116 Concisely, a common shortcoming of the current approaches is the lack of efficient ways of  
117 consistently acquiring up-to-date information about the conditions of rail assets, which affects the  
118 possibility of providing timely intervention to failing assets and subjects rail maintenance  
119 workforce to risky operations in danger zones. The opportunity of matching the current problem  
120 areas in rail asset maintenance with digital solutions in IoT-based systems was conceived as the  
121 goal of this study because of the huge transformational potentials that lie in an IoT-based system  
122 for rail assets maintenance.

123 **2.2 IoT-based System for Rail Asset Maintenance**

124 IoT-based applications are designed for automation of information acquisition, sense-making, and  
 125 control of the physical asset [28]. As laid out in Figure 1, an IoT system typically comprises of  
 126 four levels of data and control flow between physical devices and IoT applications [29]. The four  
 127 levels include physical devices such as sensors and actuators for data acquisition and asset control,  
 128 IoT gateway devices for data aggregation or segregation, edge/fog Information Technology (IT)  
 129 and Operational Technology (OT) for data processing, analytics and control, and lastly, the cloud  
 130 technology IoT application for data and control management [30, 31]. IoT systems encompass the  
 131 synchronised interaction of hardware, software, networking and communication components to  
 132 provide real-time intelligence and control of the physical asset and environment [32]. IoT has been  
 133 used to provide context aware information for users in a manufacturing industrial setting [33].  
 134 Alexopoulos et al., [34] concluded that Industrial IoT system architectures share some common  
 135 characteristics such as layered architectures, event driven and context aware approaches.



136  
 137 **Figure 1:** Data flow and control flow in IoT System architecture

138 A desirable goal in rail asset maintenance is the ability to capture timely information about the  
 139 condition of assets and assuage the maintenance procedure of or automate the control, repair or

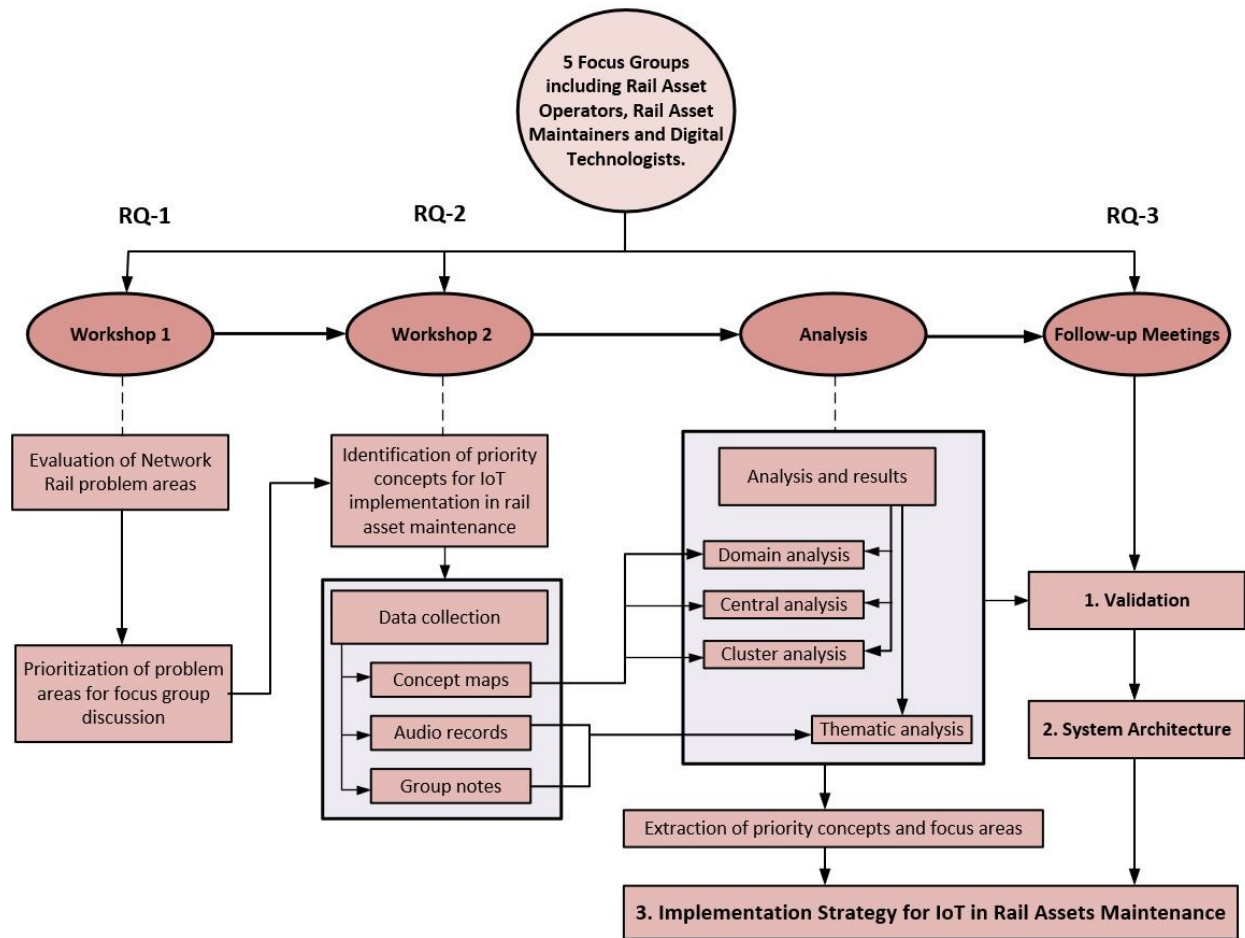
140 replacement of the components of such assets. This goal is in perfect alignment with the core  
141 capabilities of IoT system, which can ensure the connectivity to billions of hardware devices such  
142 as sensors, actuators and user-tools for rail asset monitoring, management and control [35]. IoT  
143 hardware devices are connected through the software infrastructure, which is characterised by  
144 three main components viz; the cyber-model, big data analytics and the IoT application [36]. The  
145 cyber-model component is described as the virtual representation of the physical assets, while the  
146 big data analytics and software application components are responsible converting data to useful  
147 information and defining the functionality of the IoT system [37, 38].

148 There are many existing and potential use cases for IoT implementation in some aspects of rail  
149 asset maintenance, however, there is a lack of study, which proffers an implementation strategy  
150 for holistic IoT-based system in rail asset maintenance. This constitutes a knowledge gap which  
151 this study explores through a qualitative approach to address the problem areas in rail asset  
152 maintenance through IoT implementation.

### 153 **3 Methodology**

154 This study adopted a qualitative methodology, which is underpinned by the subjectivism [39]. A  
155 subjectivist philosophical stance was adopted because the process of rail asset maintenance is  
156 mainly driven by people and supported by technology. Hence, it is important consider the  
157 implementation of IoT for rail asset maintenance as a socio-technical phenomenon, which can be  
158 addressed through a qualitative methodology [40]. Qualitative methodologies rely on techniques  
159 such as interviews and focus groups, for collecting subjective data from individuals to understand  
160 the various perspectives of a phenomenon [41, 42]. Figure 2 shows the proposed methodological  
161 framework for the qualitative inquiry in this study, which involved two focus group workshops,  
162 laboratory-based research analysis and follow up meetings, and was used to develop the  
163 implementation strategy for IoT in rail asset maintenance. For the purpose of answering RQ-1, the  
164 first workshop was held to evaluate some problem areas (see section 2.1) in rail assets maintenance  
165 and to prioritize the problem areas according to the importance and interest attached to them by  
166 the focus group expert participants. Five focus groups were formed for the first workshop as well  
167 as the second workshop, which was held for the purpose of answering RQ-2. The five focus groups

168 each comprised of four individuals with at least one rail asset operator, rail asset maintenance  
 169 expert and digital technologies expert.



170  
 171 **Figure 2: Proposed Methodological Framework of Qualitative Inquiry**

172 The second workshop was used to gather spontaneous ideas and concepts of IoT implementation  
 173 from the diverse perspectives of the participants. In identifying the priority concepts for IoT  
 174 implementation in rail asset maintenance, a focus was placed on addressing the immediate problem  
 175 areas of rail asset maintenance as well as long term benefits of IoT implementation [43]. As  
 176 highlighted in section 2.1, the nine problem areas, which were selected from a pool of Network  
 177 Rail’s asset maintenance challenge statements, were further streamlined to five problems areas  
 178 through a simple voting activity by the participants at the first focus group workshop. RQ-3 was  
 179 answered through three follow-up meetings, which were held to validate the output of the  
 180 workshops, formulate an implementation strategy and develop a conceptual system architecture.



### 181 **3.1 Focus Group Design**

182 The focus groups were recruited as part of the stakeholder's engagement process for the project in  
183 which this study was conducted. The stakeholders were selected from three main groups, which  
184 included: rail asset maintenance experts, rail asset operators and digital technologies developers.  
185 Several pre-selection criteria were set to ensure that the focus group participants had the required  
186 knowledge for the purpose of this study. The pre-selection criteria included an expertise in any of  
187 the stakeholder groups, minimum of three years' experience, and prior knowledge of rail asset  
188 maintenance. Each focus group included at least one participant from each stakeholder group to  
189 ensure heterogeneity and convergence of opinions from various perspectives.

190 The five selected problem areas were used to group the workshop participants into five focus  
191 groups. Although the focus group participants had prior knowledge of the rail asset maintenance  
192 problems areas, the focus group activities began with the reevaluation of the problem areas for new  
193 insights and identify potential solutions within the domain of IoT implementation. Other focus  
194 group activities include the identification of IoT implementation opportunities, potential barriers  
195 and enabling technologies.

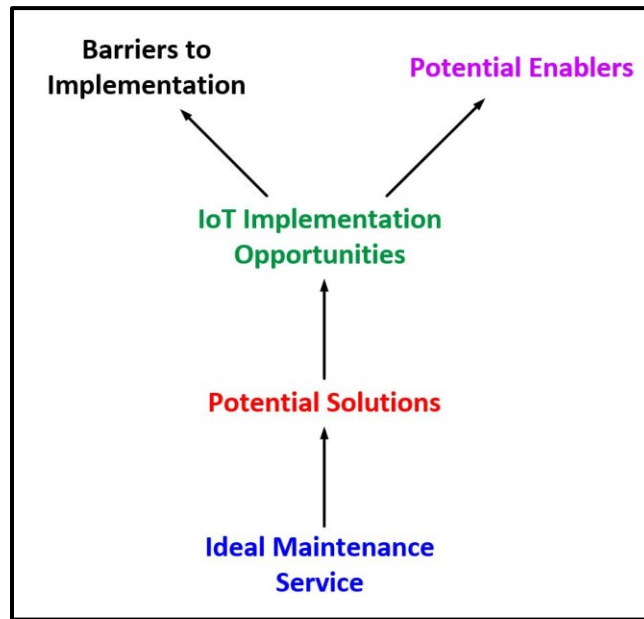
### 196 **3.2 Data Collection**

197 This study ensured triangulation in data sources in order to enhance the reliability of the acquired  
198 data and validity of the proposed methodological approach. Ensuring triangulation in data sources  
199 also transcends to triangulation in analysis and ensures overall methodological robustness in  
200 qualitative research. Three main data techniques viz concept mapping, audio recording and note  
201 taking were used to capture the technological, physical and socio-economical concepts of IoT  
202 implementation in rail assets maintenance. The focus group data were collected and used in line  
203 with the research ethics guidelines and General Data Protection Regulation (GDPR).

### 204 **3.3 Concept Mapping**

205 The concepts and links were initially formed by each focus group using multiple coloured sticky  
206 notes on wall posters. Five key questions were asked, and the concept link model shown in figure  
207 3 was used to form the links. The five key questions include: (1) what does an ideal maintenance  
208 service mean to you; (2) what are the potential solutions to achieve this ideal situation; (3) what

209 are the opportunities for IoT implementation to achieve this solution; (4) what are the potential  
210 barriers to implementation; (5) what are the potential enablers of this opportunity. Figure 3 shows  
211 the concept mapping model used to form the links between concepts. The conceptual modelling  
212 tool was used to execute domain, central and cluster analysis of the concept.

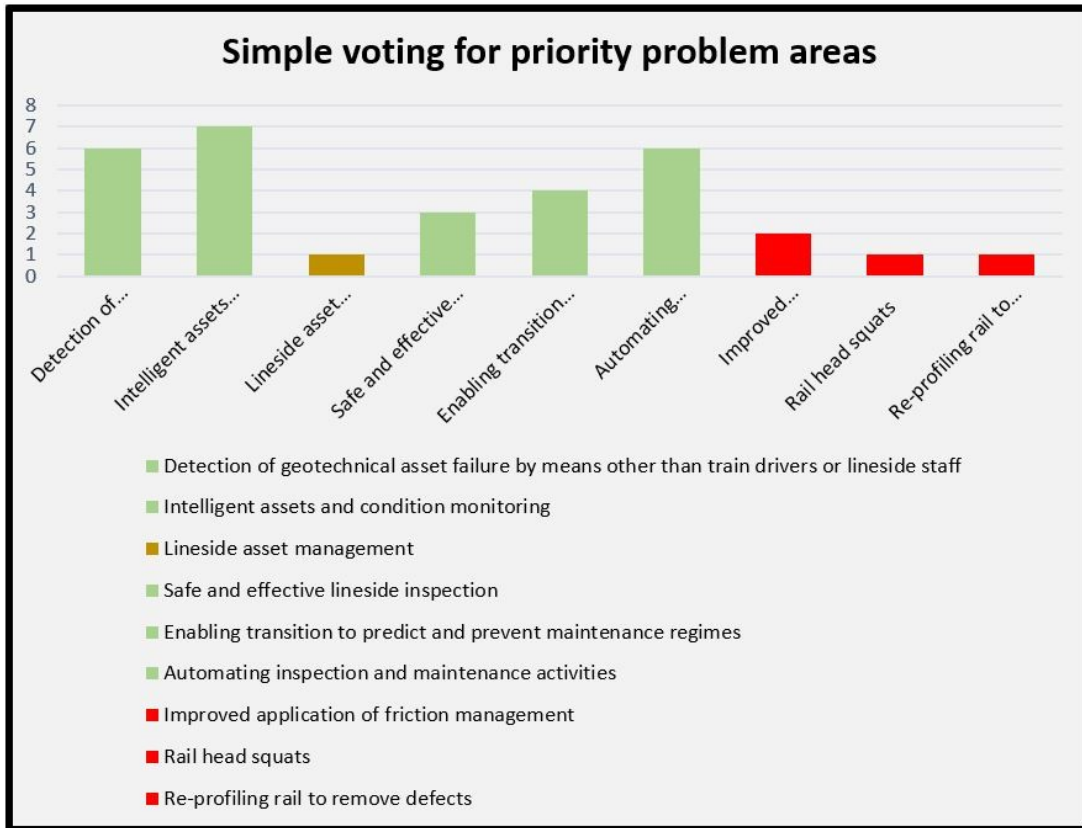


213

214 *Figure 3: Technique for conceptual modelling of IoT implementation*

## 215 **4 Results and Analysis**

216 In order to select five problem areas in rail asset maintenance for the focus group discussions, nine  
217 problem areas were compared using a simple priority exercise by the focus group participants.  
218 Figure 4 shows the five selected problem areas (green). The three problem areas shown in red were  
219 not chosen because they had two votes or less, though, item three (lineside asset management),  
220 which had 1 vote, was merged with item four because of the similarity in context.



221

222 **Figure 4:** Priority selection of problem areas based on simple voting by participant

223 In this study, three types of qualitative data including concept maps, audio records, and notes were  
 224 collected from the focus group workshops. The audio records were transcribed and analysed using  
 225 Nvivo to identify the emerging themes while the concept maps were developed and analysed using  
 226 the Banxia decision explorer tool. It includes the opportunities for IoT implementation in rail assets  
 227 monitoring, the challenges of implementing IoT and the potential solutions to address these  
 228 challenges.

229 The distribution of the participants in the five focus groups is shown in Table 2, according to the  
 230 problem areas addressed at the first focus group. The problem areas and focus groups were retained  
 231 for the initial sessions second focus group workshop, however, a cross-group rotation was  
 232 conducted to identify consistencies, clarify and reach consensus about priority concepts of IoT  
 233 implementation as discussed across the focus groups. The data collected during the focus group  
 234 activities were analysed and used to formulate the IoT implementation strategy through follow up  
 235 meetings with the participants.

236 **Table 2:** Description of focus problem areas and expertise of participants

FG-ID	Problem areas	Description	No of participants	Expertise of participants (ID)
FG-1	Detection of Geotechnical Asset Failure by means other than Train drivers or lineside staff	Use of LiDAR scans to assess and monitor changes in geotechnical assets Cross-disciplinary data usage to monitor cross-level features on embankments.	4	A. Rail innovation manager (P1A) B. Associate professor in big data analytics and AI (P1B) C. Research associate in IoT for Rail assets management (P1C) D. Rail systems and technology engineer (P1D)
FG-2	Intelligent Assets and Condition Monitoring	Improve asset management process and train service timetable reliability Reduce the number of train delays/cancellation and reduce maintenance cost	4	A. Head of IoT and data services (P2A) B. Business development lead (P2B) C. Associate professor in Big data application development (P2C) D. Research associate in immersive technologies and Big Data application development (P2D)
FG-3	Safe and effective lineside inspection	New data sources for safe and effective inspection methods	4	A. Head of rail assurance (P3A) B. Innovation manager (P3B) C. Associate professor in Machine learning (P3C) D. Engineering Manager (P3D)
FG-4	Automating inspection and maintenance activities to remove the workforce from high-risk areas and improved data capture	Integration of disparate data sources and additional insights on existing data for remote condition monitoring and predictive maintenance	4	A. Strategic development manager (P4A) B. Sustainable engineer manager (P4B) C. Head of rail engineering (P4C) D. Associate professor in Big data and artificial intelligence (P4D) E. Solutions Architect (P4E)
FG-5	Enabling transition to predict and prevent maintenance regimes	Improved safety of inspecting high-risk areas Develop technologies to automate and mechanise inspection processes. Improved data collection and analytics.	4	A. Engineering Manager (P5A) B. Research Associate in Artificial Intelligence for Construction (P5B) C. Graduate civil engineer (P5C) D. Senior carbon manager (P5D)

237

## 238 4.1 Conceptual Modelling

239 Conceptual modelling is an important means of strategy formulation between information systems  
 240 analysts and end users [44]. Typically, concept maps consist of nodes and links, which signifies  
 241 the concepts and the relationships between them respectively [45]. Concept mapping is a technique  
 242 for strategy formulation in information systems development [46]. Emerging from the personal

243 construct theory, concept mapping is used to conceptualise and visualise people's perceptions and  
244 views pertaining to the research questions [47]. Specifically, for focus group data acquisition,  
245 cognitive mapping promotes a common understanding of the effect of individual ideas on the  
246 research questions, re-examine and make new connections between concepts through consensus  
247 activities [48].

248 The concept modelling was executed in Banxia decision explorer tool, which allows the mapping  
249 of concept data generated by the various focus groups in a comprehensive model. Figure 5 shows  
250 the comprehensive conceptual model developed from the focus group workshops. A total of 151  
251 concepts including the ideal situations, potential solutions, implementation opportunities, potential  
252 barriers, and enablers were developed in the model. The model shows how the concepts emerged  
253 through the technique described in Figure 4. The conceptual modelling tool was used to execute  
254 domain, central and cluster analysis of the concept.



## 259 4.2 Domain Analysis

260 Domain analysis is used to examine the importance of concepts based on the number of other  
 261 concepts with a direct link to a particular concept and returns the concepts with the highest number  
 262 of links [47]. The domain analysis for the comprehensive concept map was executed using the  
 263 analysis functionality in the Banxia decision explorer tool. A list of the top twenty priority concepts  
 264 to the implementation of IoT in rail asset maintenance as well as the domain scores are presented  
 265 in Table 3 according to the domain analysis.

266 **Table 3:** Top 20 Priority Concepts according to Domain Analysis

No.	Top 20 Priority Concepts according to Domain Analysis	Domain score
1	<b>110 Creating a common data environment across the rail industry ***</b>	27 links
2	<b>116 Enable predictive assets maintenance through machine learning ***</b>	19 links
3	<b>118 Real-time condition monitoring using IoT sensors ***</b>	19 links
4	<b>144 Automation of assets control and maintenance using robotic-IoT ***</b>	18 links
5	<b>38 Remote inspection using IoT- wearable augmented reality ***</b>	15 links
6	9 Link maintenance data with components store	5 links
7	<b>65 Digitalize and integrate existing asset information ***</b>	5 links
8	115 Automatic fault detection using IoT sensors	5 links
9	<b>143 Adopt of Building Information Modelling ***</b>	5 links
10	31 Machine learning for condition prediction	4 links
11	33 Monitor assets performance using embedded IoT sensors	4 links
12	102 Monitor geotechnical soil parameters using IoT devices	4 links
13	<b>147 Optimization of service operations using IoT systems ***</b>	4 links
14	<b>7 Identifying failure patterns through machine learning ***</b>	3 links
15	46 Digitalization of record cards	3 links
16	24 Remote expert assistant using HoloLens AR	3 links
17	28 Laser scanning to optimize available access	3 links
18	40 End-to-end automation of asset management	3 links
19	46 Digital visual representation of assets	3 links
20	58 Plain line pattern recognition	3 links

267 (Note: Asterisk shows Concepts that are common in both domain and central analysis)

268 In order to ensure the validity of this analytical approach, another approach known as the central  
 269 analysis is conducted. The concepts shown in bold with asterisks are common to both the domain  
 270 and central analysis, these concepts are considered a core priority for this study.

### 271 4.3 Central Analysis

272 In contrast to the domain analysis, which is used to examine the priority of concepts based on the  
 273 number of direct links to other concepts, the central analysis is used to examine a deeper level of  
 274 the importance of concepts by considering the importance of the successive layers of linked  
 275 concept [47]. Table 4 shows the top 20 priority concepts according to the central analysis and  
 276 reveals a 45% agreement with the domain analysis with the core priority concepts, which occurred  
 277 in both domain and central analysis, shown in bold and asterisked.

278 **Table 4:** Top 20 central concepts from the conceptual model

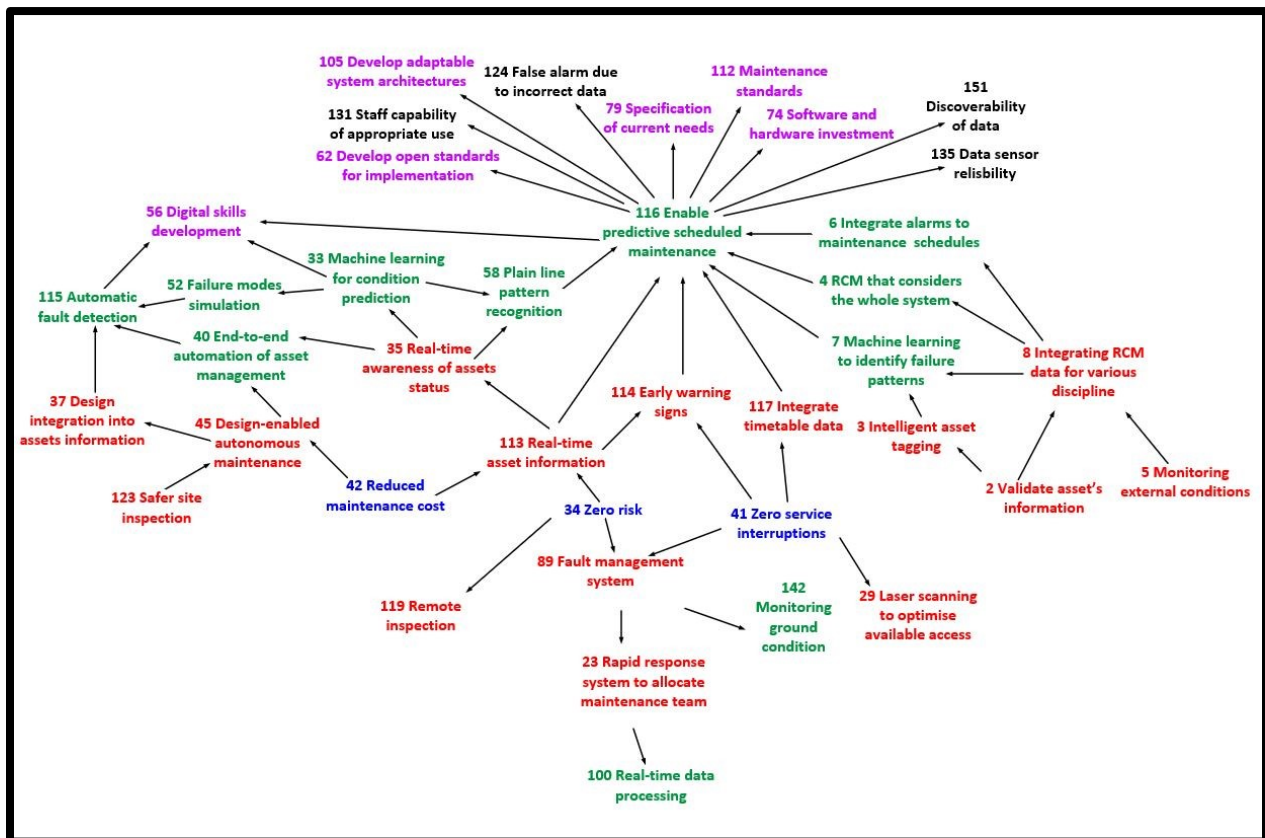
No.	Top 20 priority areas for IoT implementation in rail service	Central score
1	<b>116 Enable predictive assets maintenance through machine learning ***</b>	38 from 73 concepts
2	<b>144 Automation of rail assets inspection and maintenance ***</b>	35 from 67 concepts
3	<b>118 Real-time condition monitoring using IoT sensors ***</b>	34 from 62 concepts
4	<b>110 Creating a common data environment across the rail industry ***</b>	31 from 39 concepts
5	<b>38 Remote inspection using IoT- wearable augmented reality ***</b>	26 from 47 concepts
6	<b>143 Adopt of Building Information Modelling ***</b>	22 from 44 concepts
7	32 Integrate wearable technology with augmented reality	20 from 42 concepts
8	111 Combining BIM, VR and IoT sensors	19 from 42 concepts
9	20 Fixing LiDAR assets monitor to rolling stock	19 from 42 concepts
10	121 Improve data intelligence through IoT applications	18 from 39 concepts
11	104 Integrate train embedded manufactured sensors into IoT system	18 from 39 concepts
12	95 Integrate maintenance team data management system	18 from 37 concepts
13	68 Use more open data sources	18 from 39 concepts
14	67 Collect more data using interferometric synthetic aperture radar	18 from 37 concepts
15	64 Integrate rail track design information	18 from 37 concepts
16	61 Digitalize and integrate geotechnical reports	18 from 37 concepts
17	<b>147 Optimization of service operations using IoT systems ***</b>	17 from 37 concepts
18	<b>65 Digitalize and integrate existing asset information ***</b>	17 from 37 concepts
19	<b>7 Identifying failure patterns through machine learning ***</b>	17 from 38 concepts
20	6 Integrate alarms to maintenance schedules	17 from 38 concepts



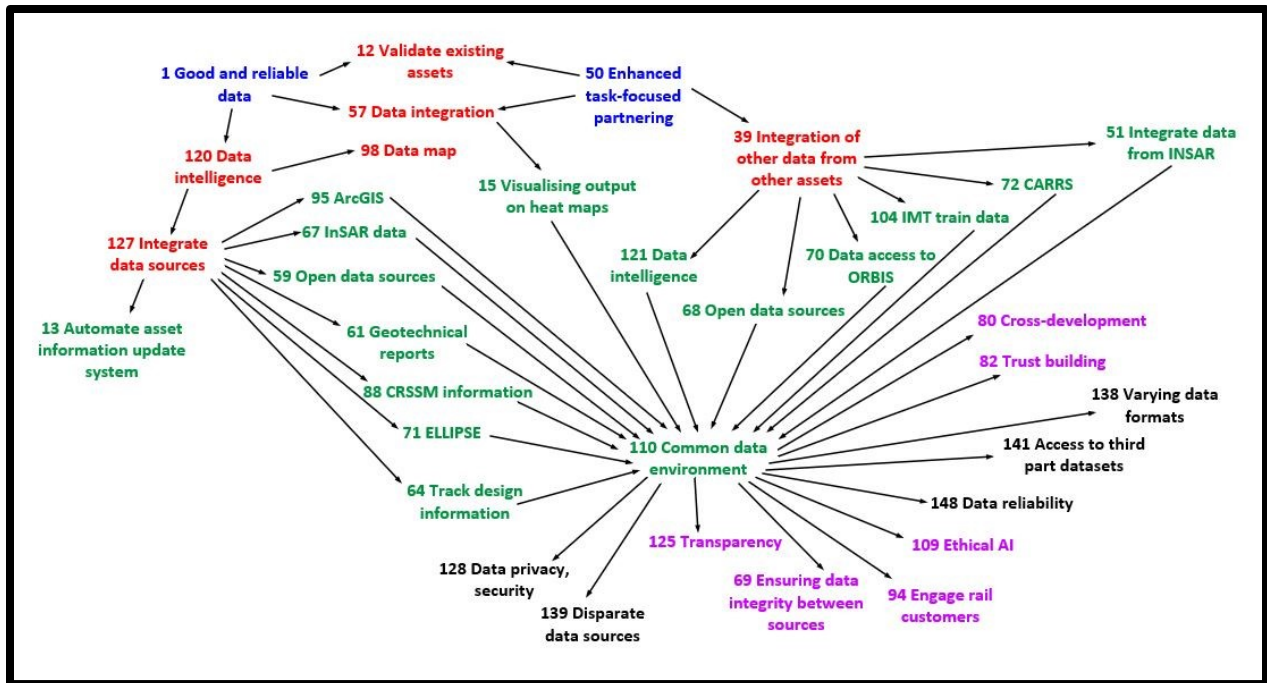
279 Aside from revealing 9 core priority concepts, the central analysis also placed 5 of 9 core priority  
 280 concepts as the topmost core priority concepts in 100% agreement with the domain analysis,  
 281 however, the order of priority of the topmost 5 core priority concepts varies between both analyses  
 282 as shown in Table 3 and 4. The final analysis conducted on the conceptual model is cluster analysis.

#### 283 4.4 Cluster Analysis

284 Cluster analysis is a technique for classifying concepts with the same or similar focus [49]. The  
 285 concepts classified into focus areas based on the similarity in context and the connections drawn  
 286 from the concept map [50]. Using the cluster technique, five major focus areas, which were  
 287 consistent with the topmost core priority concepts from the domain and central analysis, were  
 288 identified in the cluster analysis. The five focus areas thus identified include: (1) enabling  
 289 predictive maintenance; (2) developing a common data environment (3) enabling remote access  
 290 and inspection of assets (4) enabling real-time assets condition monitoring (5) automation of  
 291 maintenance activities. Figure 7 and 8 show cluster 1 and cluster 2 respectively.



292  
 293  
 294 **Figure 6:** Cluster 1 (Enabling predictive scheduled maintenance)



295  
296

297 **Figure 7:** Cluster 2 (Developing a common data environment)

298 **4.5 Thematic Analysis**

299 A thematic analysis was conducted to consolidate the result obtained from the analysis of the  
 300 conceptual model, gain further understanding of the context of the identified concepts and ensure  
 301 the validity of the proposed qualitative approach. The audio data acquired from the focus group  
 302 workshop was transcribed using NVivo 12 Software. Due to the availability of the existing five  
 303 focus areas, no attempt was made to formulate new or additional themes, however, the validity of  
 304 the existing focus areas was tested by attempting to find additional concepts in the transcripts  
 305 which do not have any relevance to the five focus areas. No additional concept was found to be  
 306 uncaptured or irrelevant to the focus areas and as a result, the conceptual model was deemed  
 307 suitable as a reliable qualitative approach.

308 Subsequently, the transcripts were used to trace the focus groups were the concepts emerged or  
 309 occurred and to consolidate the context of the concepts in developing the implementation strategy.  
 310 Table 5 shows the consolidated list of concepts as well as the focus groups where the concepts  
 311 came up. The following section presents the proposed implementation strategy for IoT in the UK  
 312 railway industry for asset maintenance.

313 **Table 5:** Priority Concepts and Focus Areas for IoT Implementation in Rail Asset Maintenance

Themes		Focus Groups				
		1	2	3	4	5
<b>Enable predictive scheduled maintenance</b>						
1	Integrate alarms to maintenance schedules	✓			✓	
2	Develop machine learning algorithms to identify assets failure patterns					✓
3	Use machine learning to predict potential assets condition		✓			✓
4	Consider an integrated whole system for predictive condition monitoring		✓			
5	Integrate real-time sensor data for early warning signs in assets failure	✓	✓	✓	✓	✓
6	Plain line pattern recognition	✓	✓	✓		✓
7	Simulation of failure modes		✓	✓		✓
<b>Develop Common Data Environment (CDE) across the rail industry</b>						
8	Integrate assets design information into CDE		✓			✓
9	Integrate train design information and train embedded sensors data into CDE		✓			
10	Integrate data from interferometric synthetic aperture radar		✓	✓	✓	
11	Integrate maintenance staff communication and information system into CDE		✓		✓	
12	Visualise heat maps of maintenance tasks with responsible resources in CDE		✓			✓
13	Connect to open data sources for improved information system		✓			✓
14	Integrate geotechnical reports into CDE	✓	✓			
15	Integrate Geographic Information System (GIS) data into CDE	✓	✓			✓
<b>Remote access and inspection of assets</b>						
16	Digital visualisation of data from hardware sensors and monitors from a remote location				✓	
17	Assets information modelling	✓	✓			
18	Digital inspection of assets		✓	✓	✓	

19	Digitalise maintenance record cards	✓			✓	
20	Implementation of assets digital twin using real-time condition modelling		✓			
21	Enable remote expert assistant using augmented reality				✓	
22	Component level digital collaboration with components manufacturer or suppliers		✓			✓
<b>Real-time assets condition monitoring</b>						
23	Use Building Information Modelling (BIM) for real-time condition monitoring		✓		✓	
24	Automate asset information update system				✓	
25	Attach LiDAR scanners on passenger trains for continuous data acquisition		✓			
26	Integrate wearable technologies with IoT sensors and augmented reality devices			✓		
27	Develop real-time data analytics software		✓		✓	
28	Vegetation tracking using video analyses	✓			✓	
29	Train detection and real-time assets control				✓	
30	Combining BIM, Virtual Reality (VR) and IoT sensors for real-time asset visualisation		✓		✓	✓
<b>Automation of maintenance activities</b>						
31	Install vibration sensors for automatic train detection		✓	✓		✓
32	Automatic drone scan of flagged assets	✓			✓	✓
33	Automatic fault detection through sensors		✓	✓	✓	✓
34	Asset tagging using QR code/RFID for automatic identification			✓	✓	
35	End-to-end automation of asset management				✓	
36	Laser scanning to optimise available access		✓		✓	
37	Automate real-time data analytics and simulation		✓		✓	✓

## 315 **5 The Proposed Implementation Strategy for the Internet of Things in** 316 **Rail Asset Maintenance**

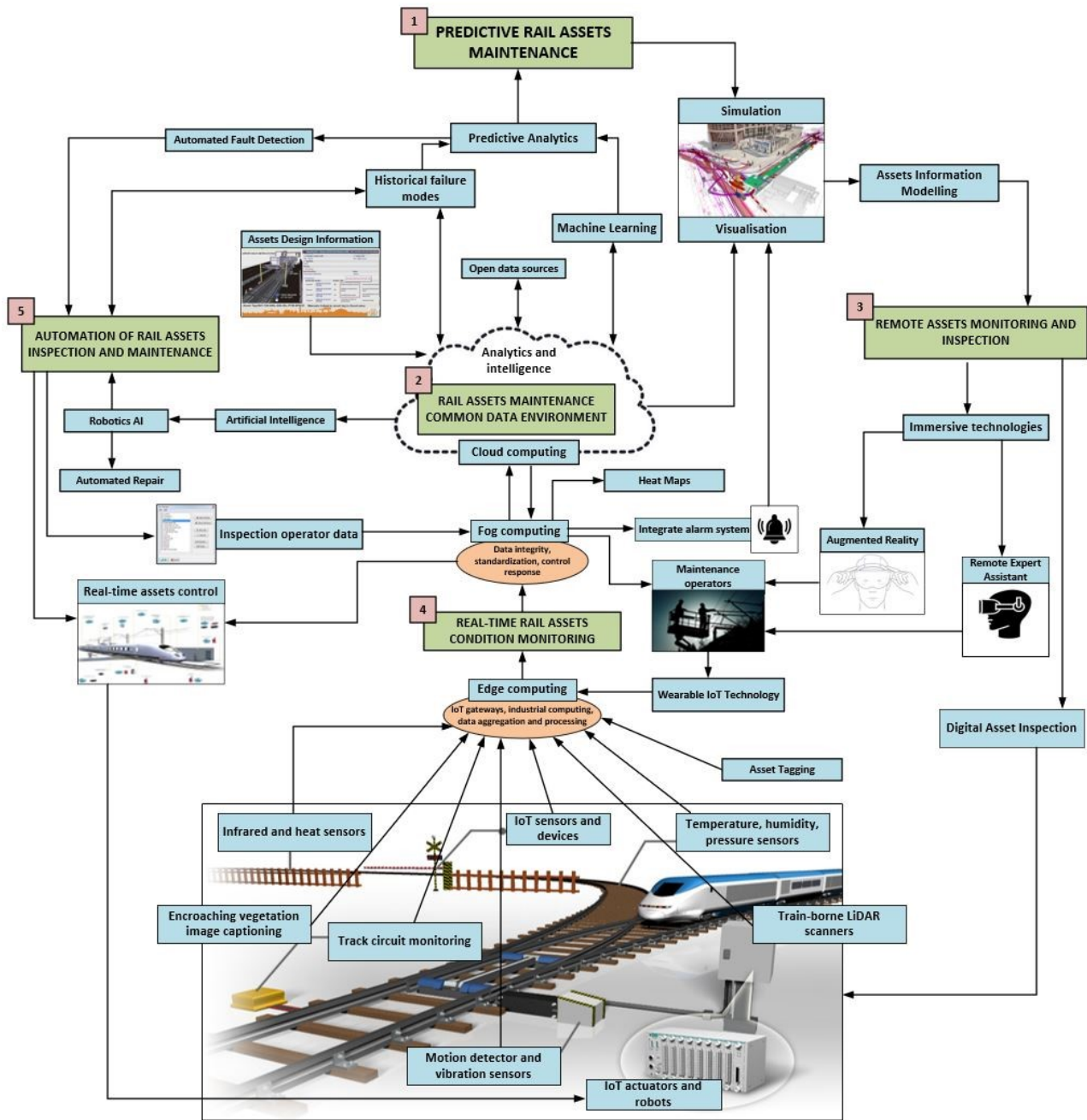
317 The focus group discussion involved participants from Network Rail. Network Rail owns and  
318 operates Britain's main rail network, and as part of its Strategic Business Plan for Control Period  
319 6 (i.e. 2019 to 2024), network rail plans to enable intelligent infrastructure through predictive  
320 maintenance. The essence of this study is to formulate an implementation strategy for Internet of  
321 things (IoT) towards enabling the intelligent infrastructure goal. This study mainly focused on  
322 developing a long-term strategy through the engagement of the rail industry experts.

323 Following the data analyses, three follow up meetings were held. The first meeting was held with  
324 the purpose of validating the output of focus group data analyses. The core priority areas, which  
325 were identified from the analyses of the focus group data were validated by 5 rail asset operation  
326 experts. The second follow-up meeting involved 8 participants including 4 digital technologies  
327 innovators and 4 rail asset maintenance innovators. The meeting participants conducted a  
328 brainstorming session to link the core priority areas together as a system with enabling digital  
329 technologies. The third follow-up meeting involved the formulation of an implementation strategy  
330 by 6 participants, who were also involved in the data analyses phase of this study. The transcripts  
331 of the focus group discussions were extracted to propose an implementation strategy through the  
332 inclusion of enabling digital technologies. Figure 8 shows the implementation strategy for IoT rail  
333 asset maintenance.

334 The five focus areas of this proposed implementation strategy include: (i) enabling predictive  
335 maintenance; (ii) developing a common data environment; (iii) enabling remote access and  
336 maintenance of assets; (iv) enabling real-time assets condition monitoring, and (v) automating of  
337 maintenance activities. The scope of this current paper is limited to the proposition of the  
338 implementation; however, further research is currently underway for developing the system  
339 architecture and working prototype for an IoT-based system for rail asset maintenance.

340 The following digital technologies, which are explained with relation to the focus areas of the  
341 proposed strategy in the subsequent sections, emerged as enabling technologies of the IoT  
342 implementation strategy for rail asset maintenance: (a) artificial intelligence; (b) augmented reality

343 (c) edge, fog and cloud computing (d) robotics, and; Asset Information Modelling (AIM).  
 344 Evidently, the implementation of an integrated IoT-based system along with the listed enabling  
 345 technologies in the UK railway industry requires careful investment choices massive hardware,  
 346 software, and networking infrastructure.



347

348 **Figure 8: Implementation Strategy for IoT in Rail Assets Maintenance**

349 Apart from the hardware IoT sensors and actuators, which have edge computing capabilities  
350 required for interfacing with rail assets for activities such as track circuit monitoring and  
351 encroaching vegetation image captioning, there are also hardware requirements for IoT gateway  
352 and storage devices to enable fog and cloud computing as well as for robotics and immersive  
353 technologies. Despite the complexities associated with the components of the implementation  
354 strategy being proposed in this study, a principled approach has been taken in this study to connect  
355 the major exploitable outputs in the proposed strategy.

356 The following subsection contains the discussion of the focus areas of the proposed  
357 implementation strategy in relation to the priority concepts and the enabling digital technologies.

### 358 **5.1 Enabling Predictive Maintenance using IoT and Rail Asset Failure Modes**

359 Enabling predictive maintenance of rail assets through IoT sensors and rail assets historical failure  
360 modes was the most important concept from the central analysis with 38 from 73 concepts, which  
361 makes predictive maintenance a central opportunity for the implementation of IoT in rail assets  
362 maintenance. The focus group experts identified the opportunity to revolutionise the current  
363 maintenance approach such as ‘find and fix’ to a more proactive approach such as ‘predict and  
364 prevent’ (Network Rail, 2019). Based on the availability of historical data of rail assets failure  
365 modes, it is advantageous to identify approaches that will enhance automatic detection of potential  
366 failures using a combined application of machine learning techniques and data from IoT sensors.

367 An expert in IoT and data services in FG-2 buttressed on the importance of digitising and  
368 exploiting existing voluminous data of rail assets failure to enabling predictive maintenance. This  
369 argument also emerged from FG-3, where a rail innovation manager argued that; *“it is important  
370 to integrate the full history of rail failure data such as Fault Management System FMS-2000 and  
371 study the failure modes to examine the capabilities of IoT sensors to pick up such failures, and  
372 what IoT system requirement is needed for monitoring such failure patterns”*. This means that the  
373 tendency of an asset to fail in the future can be inferred when the same variables. Historical failure  
374 data will enhance the development of IoT hardware sensors that have the capabilities to measure  
375 various parameters and compare with existing datasets to spot slight differences in the conditions  
376 of rail assets. A researcher in artificial intelligence in FG-5 added that the development of advanced  
377 machine learning techniques such as deep learning can facilitate predictive maintenance. This

378 means that the implementation of IoT will not only automate the acquisition of data from rail  
379 physical assets but also enhance the applicability of such data to flag slight variations between  
380 datasets and identify early warning signs.

381 Many participants argued that predictive maintenance exists in the rail industry. For example, the  
382 Network Rail's New Measurement Train (NMT) has the capability to identify the early warning  
383 signs in track faults such as track twist, cyclic top, and problem with gauges. The NMT can travel  
384 up to a speed of 125mph and capture about 10TB of data every 440 miles (Network Rail, 2017).  
385 The NMT enables Plain Line Pattern Recognition (PLPR), which uses image analysis to identify  
386 faults on tracks through laser sensors and cameras. Participants granted that innovations such as  
387 PLPR are important in enabling predictive maintenance in rail, however, a participant in FG-1  
388 noted that such innovations should not be discipline-based, he stated "*the application of PLPR can*  
389 *be extended for monitoring geotechnical assets because some track faults result from changes in*  
390 *geotechnical conditions...ground conditions can be monitored by integrating datasets such*  
391 *scanned images and soil parameters to flag potential geotechnical assets failures*". This makes a  
392 case for adopting the IoT implementation approach, which promotes data decentralisation and  
393 enables integrated predictive maintenance of the entire rail system. Participants agreed that the  
394 implementation of IoT in rail assets maintenance requires a holistic approach to ensure that the rail  
395 industry maximises all forms of acquired IoT data for an industry-wide application for predictive  
396 rail assets maintenance.

## 397 **5.2 Developing Common Data Environment for Rail Assets Management**

398 Many experts from all focus groups especially FG-2 opined that the development of a rail assets  
399 maintenance Common Data Environment (CDE), which came first with 27 links in the domain  
400 analysis, is an important opportunity for IoT implementation. The CDE, participants argued, will  
401 enable the holistic approach required for IoT-based rail assets maintenance and offer a smooth  
402 transition from the current discipline-based data silos system. An engineering manager in FG-5  
403 opined that "*the collection of data by various disciplines across the rail industry is currently not*  
404 *optimal... some disciplines collect and keep data for their own use although such data have*  
405 *relevance to other disciplines and can improve the overall rail maintenance system*"



406 For example, the methods of collecting and storing asset design information and maintenance track  
407 record have changed over the years and many records have been lost or currently exists with the  
408 disparaged application. Typically, in executing predictive maintenance through condition  
409 monitoring and machine learning, it is important to use sufficient and necessary amount of data  
410 for decision making by various disciplines in the rail industry [15]. A research associate in big data  
411 application development in FG-2 added that the integration of datasets across the various  
412 disciplines and assets in the rail industry would be a beneficial opportunity for IoT implementation.  
413 As a means to ensure data quality, integrity and cross-disciplinary harmonized data usage, IoT  
414 applications for rail asset maintenance should integrate various datasets such as train design  
415 information, train embedded sensors data and interferometric synthetic aperture radar data. A  
416 participant in FG-4 also noted that it is important to integrate maintenance staff communication  
417 and information system into CDE to ensure that relevant data and visualization can be quickly  
418 referenced and maintenance information can be tracked in real-time. He further stated that *“the*  
419 *CDE can facilitate optimal maintenance resource allocation and efficient visualization of*  
420 *maintenance heat maps through real-time data, open data sources and responsible resources”*  
421 FG-4.

422 Evidence from the literature suggests that System Information Modelling (SIM) for rail assets  
423 maintenance requires the digitization of rail infrastructure [51]. This means that the CDE requires  
424 adequate data flow into and out of the system for adequate representation of the rail assets  
425 condition and appropriate usage of big data for assets maintenance. A participant in FG-3 asserted  
426 that the integration of service timetable will be beneficial for optimization of maintenance access  
427 by monitoring assets usage trends.

428 Having identified some benefits of implementing CDE for IoT-based rail assets maintenance, the  
429 focus group participants discussed the available and potential data sources that could enhance IoT-  
430 based rail assets maintenance. Participants contributed from various perspectives that, while  
431 ensuring data integrity, all relevant datasets for rail assets maintenance such as geotechnical  
432 reports, assets design information, satellite images, data from sensors, maintenance management  
433 data, timetables, components availability data and maintenance resources should be integrated into  
434 the CDE. As opposed to the data silos system of discipline-based data collection and usage, the  
435 CDE will enhance data standardization and optimal usage across board in the rail industry.

### 436 **5.3 Ensuring Remote Monitoring of High-Risk Areas of Rail Assets**

437 The concept of enabling remote inspection of high-risk areas of rail assets consistently came fifth  
438 in both domain (15 links) and central analyses (26 from 47 concepts). With a genuine concern for  
439 the safety of rail assets operatives working in high-risk areas, some experts mentioned the  
440 importance of developing digital technologies such as AI, AR, and Robotics for conducting rail  
441 assets inspection and maintenance where possible. While buttressing the point of a rail solutions  
442 architect in FG4, who opined that digital technology cannot fully replace rail assets inspectors and  
443 human intervention can sometimes be necessary, however he agreed that *“although these*  
444 *technologies are important, they should be designed to support rail worker’s operations rather*  
445 *than replace the workers”* FG4.

446 In the opinion of an expert in FG-4, an important aspect of remote inspection is Assets Information  
447 Modelling (AIM), which enables the digital representation of physical assets in the virtual digital  
448 environment for seamless access to assets information. IoT is required in combination with AIM  
449 to create a technology known as *“digital twin”*, which enables a simultaneous replica of physical  
450 assets through seamless data collection through physical devices such as drones and IoT sensors  
451 for automatically updating the AIM. An engineering manager in FG-5 added that *“digital twin for*  
452 *rail assets requires the validation and modelling of existing rail assets and common data*  
453 *environment to enhance IoT data sources”*. A digital twin requires physical agents such as IoT  
454 sensors, drones, and robots to collect information from the physical assets and automatically  
455 update the virtual replica of the rail assets.

456 Experts discussed the importance of IoT sensors, cameras, LiDAR scanners, drones, AR and VR  
457 hardware to act as agents for interfacing between an asset’s physical environment and the digital  
458 twin of such asset to enhance bidirectional data flow for remote inspection. A research associate  
459 in artificial intelligence affirmed the possibility of *“identifying anomalies in physical assets using*  
460 *advanced AI techniques such as machine learning, image recognition and computer vision”* FG-  
461 5. Another idea noted from FG-2 captured the *“integration of GIS, InSAR, weather and train-*  
462 *mounted sensors rail assets virtual models to monitor earth movement and environmental effects*  
463 *on the assets”*. An expert in FG-3 also highlighted the possibility of using AR hardware devices  
464 like IoT sensors for real-time data acquisition. This can be used for *“digitalizing maintenance*  
465 *record cards”* FG-1, and *“remote digital inspection”* FG-2, FG-3, FG-4. Another opportunity

466 notable for IoT in rail assets maintenance is the “*support and supervision of onsite maintenance*  
467 *activities by remote expert*” FG-2. With the current rate of development in Augmented Reality  
468 (AR) technology and its application in other industries, experts discussed the possibility using AR  
469 to provide an immersive environment for rail assets maintenance experts to access and assess  
470 maintenance activities remotely. The key point here is to enable AR and IoT-based connectivity  
471 between onsite rail assets maintenance operatives and remote experts or supervisors in such a way  
472 that will integrate the visualisation of the real physical environment, virtual holographic models  
473 and real-time data from IoT sensors.

#### 474 **5.4 Facilitate Real-time Rail Asset Information System**

475 Having a real-time rail assets condition information system was the third most important  
476 opportunity in both the domain (19 links) and central analysis (34 from 62 concepts). Aside from  
477 having the capability to integrate data of various sources and formats in a common data  
478 environment, another opportunity identified by the experts for IoT adoption in rail assets  
479 maintenance is the possibility of integrating real-time data analytics in IoT application for easy  
480 conversion of raw sensor data to useful information. From the perspective of an expert in FG-4,  
481 “*automating data analytics and asset information update system is important for real-time assets*  
482 *condition monitoring*”, this, in essence, means that there is an opportunity to leverage on the real-  
483 time data analytics capabilities of IoT applications to create assets intelligence through “*alarm*  
484 *systems*” FG-2, “*just-in-time notification*” FG-4 and enable the deployment of onsite maintenance  
485 operatives for “*quick intervention*” FG-2 as and as at when required. An associate professor in AI  
486 and machine learning opined that “*to develop real-time data analytics system for a massive*  
487 *infrastructure with a vast amount of data can be tedious but not impossible...we just have to start*  
488 *from developing adaptable prototypes*” FG-4.

489 A similar concept to digital twin surfaced from discussions in FG-4, where a solution architect  
490 mentioned the use of “*Building Information Modelling with IoT sensors for real-time condition*  
491 *visualization*”. The idea of using Building Information Modelling (BIM) in combination with  
492 Virtual Reality (VR) and IoT for real-time visualization of holographic models of rail assets was  
493 also noted in FG-2. However, the research associate in immersive technologies further highlights  
494 a major challenge that “*BIM modeling tools are not currently synchronized with VR tools... some*  
495 *manual conversations are still needed for visualizing BIM models in VR formats*” FG-2. It can be

496 inferred from the foregoing that the development of enabling technologies that bridges the gaps  
497 between Computer-Aided-Design (CAD) models and immersive models, as well and between  
498 models and IoT real-time data would enhance the adaptability of IoT rail assets maintenance.

499 An associate professor with expert knowledge of machine learning also debated that, *“to integrate*  
500 *wearable IoT sensors and augmented reality devices can be used to validate the assets or the*  
501 *virtual model of the assets using machine learning”* FG-3. He further argued that the  
502 Convolutional Neural Network (CNN) is particularly useful for image recognition and can be used  
503 to measure variance between the conditions of assets. Another suggestion of visual data gathering  
504 from FG-2 entails *“the use of LiDAR scanners attached to a passenger train to monitor any slight*  
505 *displacement of an asset from its original position”*, however, the idea was questioned based on  
506 the ability of LiDAR scanners to record accurate data when attached to fast-moving trains with  
507 vibrations caused by the train movement and speed. An innovation manager in FG-3 stated that  
508 *“interesting research would be to investigate the possibility of enhancing train-borne LiDAR*  
509 *scanner data using motion and vibration sensors”*. The use of a train-borne LiDAR scanner can  
510 be used for tracking encroaching vegetation, displaced assets such as track and tunnels and so on.

## 511 **5.5 Automation of Rail Assets Maintenance**

512 The concept of automating rail assets maintenance activities is the second most important  
513 opportunity according to the central analysis conducted in this study with 35 from 67 concepts.  
514 The concept also came fourth in the domain analysis with 18 links. Despite the potential benefits  
515 of reducing the number of workers exposed to high-risk areas through remote assets inspection,  
516 experts further discussed the importance of enabling automated maintenance activities to optimize  
517 access for train service operations. With the idea of *“automating real-time data analytics and*  
518 *simulation”* FG-5 already existing in the debate, the argument of *“establishing end-to-end*  
519 *automation of asset maintenance”* using the actuating capability of IoT systems and robotic was  
520 established. Some experts in FG-3 and FG-4 discussed the significance of *“assets tagging such as*  
521 *QR codes or RFID for automatic identification”* such assets by digital systems.

522 As presented in figure 9, the idea of using machine learning in combination with rail assets  
523 historical failure modes, which was proposed to be situated in an integrated cloud-based CDE, was  
524 questioned based on the capability of the cloud system to create alert systems in good amount of  
525 response time if the maintenance activity can be quickly done by an onsite robot or an asset repair-

526 enabled train. In response to this, a researcher in AI for construction posited that *“IoT devices can*  
527 *have automatic fault detection ability for the assets by using edge or fog computing”*. This will  
528 enable the rail assets management system maximize the benefits for CDE-based failure modes  
529 learning as well as the rule-based deployment of automatic maintenance and control systems such  
530 as *“automatic drone scan of flagged assets”* and initiation of emergency protocol due to  
531 *“automatic fault detection”* by localized IoT-systems with fog computing capability as well as  
532 capability to push data to the cloud.

533 Summarily, the development of robotic systems for automatic maintenance activities was  
534 classified as a desirable future that can be enabled through the holistic implementation of IoT in  
535 rail assets maintenance.

## 536 **6 Implication for practice**

537 As this paper is a part of ongoing research for implementing an IoT-based system for rail asset  
538 maintenance, it is important to clearly understand the potential practical implications of the study.  
539 In this paper, a rigorous qualitative approach has been taken to propose an implementation strategy  
540 for an IoT-based system in rail asset maintenance, with clear exploitable integration of other  
541 relevant digital technologies. The implementation strategy proposed in this paper is set to enable  
542 predictive maintenance, data integration, remote inspection, real-time condition monitoring and  
543 automation of maintenance operations. With further development of the proposed strategy, there  
544 are vast opportunities for the UK railway industry to transform its approach to rail asset  
545 maintenance, ensure cost-effectiveness, operational efficiency and safety. Understandably, the  
546 implementation of the IoT-based system that is proposed in this study requires circumspect  
547 decision-making, however, this paper has outlined and clearly justified the need for the five major  
548 components of the proposed system. Using these five components, this paper is expected to guide  
549 the investment for gradual and extensible implementation of the system. Some prototypes of the  
550 entire proposed system can be developed and carefully introduced to ensure the safety of  
551 implementing technological innovation.

552 It should be noted that many of the problems being currently witnessed in rail asset maintenance  
553 stem from the lack or ineffective methods of information acquisition about the current and possible  
554 future conditions of rail asset. By implementing the system proposed in this study, rail asset  
555 managers will ensure the smooth operation of rail asset by providing adequate digital support for

556 maintenance operatives, who require early warning signs of potential asset damage to optimise  
557 maintenance schedule and ensure zero or minimal service interruption. Furthermore, while  
558 carrying out maintenance activities, the proposed system is capable of facilitating expert digital  
559 support, retrieve asset information and digitise maintenance records. If implemented, the proposed  
560 system will also remove the rail asset operatives from danger zones using remote inspection  
561 techniques and advancing the development of supervised robots and autonomous repair agents for  
562 activities in such zones.

563 The technology of the proposed system is set to revolutionise the approach the maintenance,  
564 although, there are concerns that the proposed system could replace a significant number of jobs  
565 and consequently result in risky over-dependence on technology. Furthermore, there are still  
566 ethical issues with the implementation of digital and artificial systems, which cannot be  
567 responsible for any misleading or wrong actions or decisions. These potential barriers to  
568 implementation are important considerations in the proposed strategy, which has been formulated  
569 using a bottom-up approach. Rail assets operators have been engaged in this study to ensure that  
570 only the technologies that will enhance the efficiency and accuracy of operations are included in  
571 the strategy. Though high-level automation will be achieved if the proposed strategy is  
572 accomplished, the human supervisory role has been integrated into the proposed strategy to ensure  
573 the safety of adoption, avoid ethical repercussion and deliver an efficient system for rail asset  
574 maintenance.

## 575 **7 Conclusion**

576 The rail industry plays an important role in sustainable economic growth through the distribution  
577 of goods and long-distance transportation of people. The UK economy will benefit from £85  
578 billion economic growth through private and public investments in the rail industry [52].  
579 Improvements in rail service performance will continue to increase economic activities, contribute  
580 to economic growth and further extend the demands for rail services [26]. With a forecast of 40%  
581 increase in rail service users by 2040, the challenges of rail assets management in meeting the  
582 growing demands and ensuring efficient, reliable and safe services, will continue to increase [27].  
583 Therefore, to enhance the ‘value for money’ for rail service customers, digital innovations,  
584 including IoT can be leveraged to manage rail assets with a focus on safety, reliability and,  
585 efficiency.

586 For the purpose of answering the research questions, this study adopted a qualitative methodology  
587 through focus group engagements and conceptual modelling. To address RQ-1 “*what are the*  
588 *problem areas in rail asset maintenance?*”, the problem areas in rail asset maintenance were  
589 identified and classified through a review of network rails challenge statements and an initial  
590 priority voting. The priority voting was used to select the problem areas, which formed the basis  
591 of the focus group discussions. The second research question (RQ-2) “*what are the priority*  
592 *problem areas for IoT implementation?*”, was addressed through robust analyses of the concepts,  
593 which were generated through the focus group discussions and conceptual mapping. Domain,  
594 central, clusters, and thematic analysis were conducted to identify the priority concepts and focus  
595 areas for the implementation strategy. Five focus areas were identified including predictive  
596 maintenance, remote inspection, real-time condition monitoring, maintenance automation, and  
597 data integration. The third research question (RQ-3) “*how can IoT be implemented for rail asset*  
598 *maintenance?*”, was addressed through the development of a system architecture and formulation  
599 of an IoT implementation strategy. A major contribution of the research is the establishment of  
600 practicable relationships between the problem areas in rail asset maintenance and the capabilities  
601 of digital technologies in an IoT-based system. This study identifies the exploitable focus areas as  
602 well as the important enabling digital technologies for IoT implementation in rail asset  
603 maintenance.

604 IoT-based digital rail asset management facilitates the efficient acquisition and optimal usage of  
605 information for sustainable assets operation [51]. To continuously ensure the safety of rail service  
606 customers and workforce, it is important to leverage digital means of understanding the conditions  
607 of rail assets, monitoring degradation and digitising failure patterns to enable predictive  
608 maintenance. Monitoring rail assets through safe and remote means also ensures reliable rail  
609 service by preventing unplanned assets maintenance and service interruptions. Hence, it is  
610 important to leverage on digital innovations for rail asset monitoring to enable optimised  
611 performance by learning from past and present efficiency trends to seamlessly deliver the ideal  
612 future for rail infrastructure, minimize rail asset failure, service interruption and enhance reliability  
613 index.

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