

RESEARCH ARTICLE



Assessment of Risks Associated with Elevated Metro Rail Projects by using Fuzzy Failure Mode and Effect Analysis

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Abstract

Objective: To identify the risk factors in metro projects through literature reviews and interviews and to assess identified risks using Fuzzy FMEA.

Method: An under construction elevated metro viaduct is documented, and Fuzzy FMEA is used to assess risks identified through the study. **Findings:** The application of Fuzzy FMEA in elevated metro construction was demonstrated and conclusions were drawn from the findings of the study. It was identified that risks under physical and economic category are high and construction risk fall between low and medium post mitigation. **Novelty:** This study highlights the critical aspects of risks in elevated metro projects in India; also, it provides mitigation strategies to each of the independent variable to keep the risk and time under control.

Keywords: Risk management; Risk assessment; metro rail; Elevated metro rail; FMEA; Fuzzy FMEA

1 Introduction

According to the India census conducted in 2021, 35.39% of Indians live in urban areas. By 2050, it's expected to rise to 60%. In the last ten years, 15 metro rail projects have been started, 6 new metro projects are being built, and 11 cities have proposed metro projects in India to increase the availability of public transportation. As a form of public transportation, metro rail projects frequently experience problems like late completion and delays in their planning and execution in spite significance and need⁽¹⁾. Line 2 of Jaipur Metro is delayed as approvals in predesign stage are pending from the state government side. The construction of underground section of metro rail phase 2 in Chennai is predicted to be delayed by minimum of 9 months due to delay in tendering process. Land acquisition challenges for ISBT metro depot in Patna forecasts schedule delay in completion of the project. Change of scope of work in metro service proposed between Ahmedabad and Gandhinagar cost a total of 9000 crore rupees escalation due to delay with an approximated per day delay cost of 40 lakh rupees. Mumbai Metro 3 underground was delayed by almost two years due to financial crunch if after procurement of about 60% of metro 3 project cost as loan from Japan International Cooperation Agency (JICA). The Kochi Metro phase II project is at hold from 2018

after Detailed Project Report approval which will cause schedule and cost escalations. Risks in construction phase are higher than design phase⁽²⁾. The complicated engineering geological context that metro development typically takes place in can lead to a number of risk events. By taking the appropriate mitigation measures during the design and planning phases, risks in a building project can be minimized or transferred from one partner to another Hence research-based risk analysis is required during the metro construction process to reduce and control risks⁽³⁻⁷⁾. Literature on possible risk and various analysis tools available will assist this paper⁽⁴⁾. Previous works cover underground and elevated metro projects⁽⁵⁾, involve multiple aspects to assess namely time cost quality⁽⁶⁾ and multiple risk categories⁽⁷⁾. Identifying major risk categories and in depth analysis of each category is not covered in the reference literature. Also, risk identification and analysis to metro rail project specific to schedule constraints is unavailable. The finding showed that risk assessment using fuzzy FMEA provides more accurate and corrective action prioritization is better performed than traditional FMEA.⁽⁸⁻¹⁰⁾ Similarly, the use of Fuzzy FMEA as a risk assessment tool is not established. This study aims to be case specific in listing and analysing the risks associated with elevated viaduct construction of metro projects and in application of the Fuzzy FMEA as risk analysis tool.

2 Methodology

As part of the initial study, the current predicted risks in elevated metro rail construction industry are explored through a structured questionnaire survey. According to Iarossi (2006), the questionnaire survey method is considered to be cost effective and time saving for achieving better results in shorter duration. Relative Importance Index (RII) method is used to rank the identified risk categories.

The research proceeds to a case specific field study on metro viaduct construction to collect primary data values for probability, impact, weightage and detection of the risk. The target population for the survey was Site engineers, Structural engineers, Construction managers, Safety mangers and Designers. Risks have many aspects and it is necessary to consider various perspectives to the same. Designers are aware of risks that can happen in preconstruction and redoes that can cause delays in construction phase. Whereas, a safety manager deals with risks in terms of labour safety, injuries and accidents that can occur. A site engineer has knowledge of day to day challenges whereas a structural engineer can elaborate on civil oriented risks that has occurred or might occur at site. A construction manager can give overall insight of risks at various levels from casting to delivery to execution. A total of 70 responses were collected from Chennai to support the study. Using these linguistic terms, the identified risks have been defined as low, medium, high, very high and critical according to their RPN and Fuzzy RPN values.

2.1 Case Study

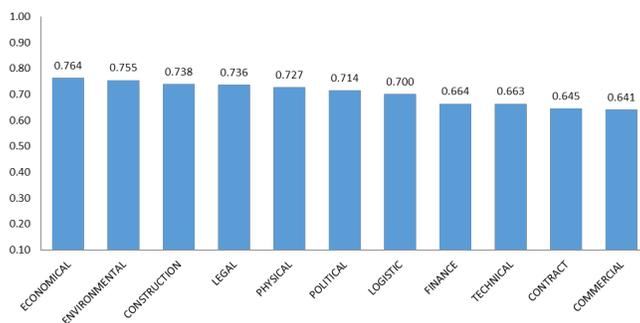


Fig 1. RII Values for Risk Categories

The values of RII of each category of risk are calculated and plotted in Figure 1. The mean from RII was identified to be 0.716. So considering categories above the mean value the top 5 categories of risk are Table 1 identified to be Economic, Environmental, Construction, Legal and Physical. In these categories Environmental and Legal category of risk are specific to the region of study whereas economic, construction and physical risks are general to metro projects in a region. Thus, Economical, Construction and Legal risk categories are considered for further assessment, while case specific mitigation strategies will be provided to environmental and legal risk categories. Risks associated with Economic, Construction and Physical categories with RII value above 0.716 are mentioned in the table below in Table 1.

Risks in a project will impact directly on one or more of the triple constraints namely Cost, Time and Quality. This paper focuses on risk in metro projects that have direct impact on time (schedule). Thus identified risk was further shortlisted to identify risks with direct impact on schedule of metro projects as shown in Table 1.

Table 1. Identified Risk Vs Risk Impact Category

Risk Identification		Risk Impact Category		
S. No	Risk Description	Cost	Schedule	Quality
ECONOMICAL				
1	Change in supplier/contractor	•	•	•
2	Inflation or variation in material prices	•		
CONSTRUCTION				
1	Casting of pile	•	•	•
2	Pier cap	•	•	•
3	Segment storage	•	•	•
4	Segment erection		•	
5	Obligatory span	•	•	•
PHYSICAL				
1	Shortage of resources	•	•	•
2	Labour injuries		•	
3	Damage to equipment	•	•	

Elevated metro corridors risk increases with increase in height. Chennai metro phase II which is under construction is the tallest viaduct in India at 37 m high. Located at the Alandur junction this metro corridor is planned to cross over an existing Kathipara flyover (Asia’s largest clover shape flyover) and completed Phase I corridor of Chennai Metro. Phase 2 route spanning across existing junction and metro line involves four twin piers cast *in situ*. The pier head is prefabricated and erected on the piers. The obligatory span is curvilinear and spans across these piers. Six twin piers with span ranging from 60-100 is considered for the study. The total length of viaduct between these piers is 413m. The proposed route is being constructed above a full time functioning flyover and two operational metro lines. Hence, *in situ* casting of balanced cantilever method of construction is chosen for the span.

Phase I of metro project above Kathipara flyover has an existing *in situ* cast balanced cantilever method of constructed span. The BCM segments obligatory span is straight. BCM construction technique has been implemented in Kochi; Kerala. The Kochi metro’s structure includes a 90-meter bridge that is not supported by pillars and is built over a railroad track. It is a curved design. The 200 m-long structure has two 65 m-long concrete spans that balance out the 90 m-long span on either end.

In a survey questionnaire, many risk variables were written out in relation to the various identified major activities. In this part, an expert must express their judgement of the importance of the risk, the likelihood that it will occur, the seriousness of the behaviours, and the detection values. To achieve the purpose, questionnaire was produced in which survey participant will have to fill out the frequency of occurrence, severity level of the risk factor determined and detection in the questionnaire form. A set of population with experience varying from fresher’s to more than 10 years of experience professionals from client, general consultants and contractors were chosen. About 42% of the responses are from professionals with expertise of more than 10 years in the field of metro construction and a cumulative of 78% of professionals is above 5 years of experience.

2.2 Data Analysis

In order to represent the Occurrence (O)_j, the likelihood (L_{ij}) of all risk sources for each activity j can be combined. The weightages (W_{ij}) of the risk sources of the activities are multiplied with their respective likelihoods to obtain the O for the activity. The relationship of computing the O as a weighted average is given below:

$$Occurance O_j = \sum_{L_{ij}w_{ij}, M i = 1 \text{ for all } j} \tag{1}$$

The effect a risk has on an activity’s time and cost can be used to describe its influence. This time and cost impact could be seen as the risk time and cost of the action. By taking into consideration the weighted average in accordance with the connection shown below, a calculation comparable to that of likelihood may be done to generate a single combined composite factor Severity (S)

as per the relationship given below:

$$Severity Si = \sum_{i,j} w_{ij} M_i = 1 \tag{2}$$

CIF (Severity) and CLF (Occurrence) were calculated for each attribute by using Equations (1) and (2) is tabulated in Table 2.

Table 2. Calculation of Severity and Occurrence

Risk Identification		Data Collection			Data Calculation	
S. No	Risk Description	Weightage	Impact	Probability	Severity (CIF)	Occurrence (CLF)
ECONOMIC						
1	Change in supplier/contract	0.970	0.62	0.60	0.600	0.579
CONSTRUCTION						
2	Casting of pile	0.772	0.57	0.46	0.439	0.357
3	Pier head	0.929	0.63	0.51	0.586	0.473
4	Segment casting	0.970	0.66	0.60	0.642	0.587
PHYSICAL						
5	Shortage of resources	0.960	0.70	0.67	0.669	0.641
6	Damage to equipment	0.912	0.56	0.45	0.508	0.414
7	Labour safety	0.912	0.56	0.47	0.508	0.425

The product of the factors severity (S), occurrence (O), and detection (D) yields the risk priority number (D). The higher the RPN, the greater the risk, according to FMEA. RPN value for identified risks is calculated as shown in Table 4.

2.3 By Using Fuzzy Failure Mode and Effect Analysis

One membership function had to be defined for all risk factors in order to transform every linguistic variable into fuzzy values. Triangular fuzzy numbers must be used to define the membership functions. In comparison to trapezoidal fuzzy, triangular fuzzy computation was rather straightforward. Based on the severity, likelihood of the risk, and likelihood of its discovery, the membership functions' values "Very Low ", "Low ", "Medium", "High", and "Very High" are defined. The linguistic scale's values were set in increments of 0.25 from 0 to 1.

Severity, occurrence, and identification of risk have values between 0 and 1. Both quantitative and qualitative descriptions of the dangers' levels of severity are required. For each of the seven key risk categories, the severity (S), occurrence (O), and detection (D) data collected from experts were used as inputs for the fuzzy technique using MATLAB software (Version R2014a). Software was used to develop five Membership functions and 125 rules. All 7 primary risk outputs are derived as fuzzy risk priority numbers (FRPN). In the Table 4, all values are tabulated.

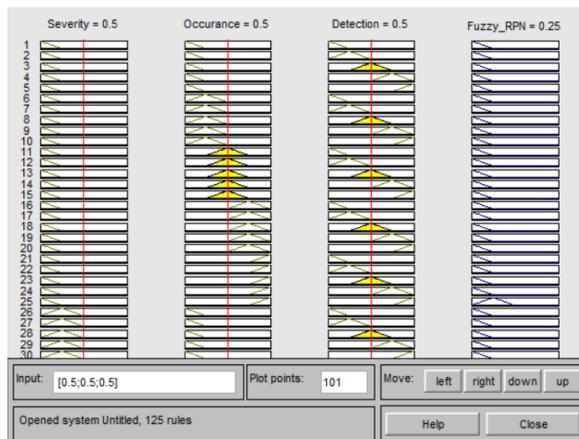


Fig 2. MATLAB Representation of FRPN for Risks

Table 3. Comparison of FMEA and Fuzzy FMEA for All 7 Risk Activities

Risk Category	Risk Description	Risk Priority Number			Risk Category	Risk Description	Fuzzy Risk Priority Number (SxOxD)		
		Quantitative (SxOxD)	Qualitative	Rank			Quantitative (SxOxD)	Qualitative	Fuzzy FMEA Rank
C	Segment Casting	0.419	Critical	1	C	Segment Castin	0.540	Critical	1
P	Shortage of Resources	0.314	Very high	2	P	Shortage of Resources	0.456	Critical	2
E	Change in Supplier/Contract	0.275	High	3	E	Change in Supplier/Contract	0.408	Critical	3
C	Pier Head	0.212	High	4	P	Labour Safety	0.270	High	4
P	Labour Safety	0.195	Medium	5	C	Pier Head	0.250	High	5
P	Damage to Equipment	0.175	Medium	6	P	Damage to Equipment	0.247	High	6
C	Casting of Pile	0.139	Medium	7	C	Casting of Pile	0.221	High	7

Table 3 Ranks the RPN and Fuzzy RPN values for each of the seven identified risks. It is understood from the table that Segment casting which is a construction related activity falls under critical category of risk in both RPN and Fuzzy RPN and is ranked 1. Physical category of risk- Shortage of resources is high risk activity in RPN and Critical under fuzzy RPN and ranked 2. Economic related risk, change in supplier or contractor is ranked three with high risk under RPN and critical risk in fuzzy RPN. Construction risk pier head is ranked 4 in RPN and 5 in fuzzy RPN with high risk categorization. Physical risk- labor safety is ranked 5 with medium risk in RPN and ranked 4 in Fuzzy RPN with High risk categorization. Similarly, Damage to equipment and casting of pile which are physical and construction risk respectively are ranked 6 and 7 in RPN and Fuzzy RPN with medium and high categorization or risk.

3 Results and Discussion

The mitigation plan includes list of risk owns and risk actioners required to treat an identified risk. The major stakeholders in the metro rail project consider for case study includes CMRL- the client, AECON – the general consultant and Larsen and Toubro – the contractor. Strategies tabulated are upon interviews and questionnaire surveys conducted with professionals in the field of metro rail projects. Departments contacted include design team, civil team, structural consultants, procurement unit, quality assurance team, plant and machine, labour and contracts team, environmental assessment team, site engineers, safety department, erection team, casting and production team. Mitigations are listed to prevent or reduce the occurrence and severity of a risk. However constant monitoring and reporting during the execution phase is mandatory to ensure risks are under control.

4 Conclusion

This study identified variable factors and mitigation strategies to assess and mitigate risk by validating the use of fuzzy FMEA as a risk assessment technique in elevated metro construction projects. The risk priority number (RPN) is a function of three parameters: the severity of the failure's effect, the chance of occurrence, and the ease of detection for each failure. A risk's probability of occurrence, impact, or chance is all decreased by a lower RPN. Adopting mitigation strategies RPN values can be considerably reduced critical to low. Similarly, Fuzzy RPN values can be reduced from critical to medium or high. It is understood that variable namely impact and probability of a risk must be reduced in order to reduce the RPN values.

Change in supplier or contract is identified to have higher changes or occurrence with significant impact on the construction activities. Casting of pile, Pier head and Segment casting can be brought under low to medium risk zones if mitigated properly. Shortage of resources, Labour safety and Damage to equipment fall under high risk zones after mitigation. Hence, it is important to monitor these activities regularly. The concept is open for additional mitigation strategies that can further reduce the probability and impact on construction and thereby reduce its respective Fuzzy RPN values.

S. NO	RISK CATEGORY	RISK TITLE	RISK IDENTIFICATION			RESPONSE STRATEGY - IMPACT			RESPONSE STRATEGY - PROBABILITY			RISK EVALUATION					
			RISK TITLE	REASONS OF RISK	RISK OWNER	Values from data collection	MITIGATION STRATEGY	RISK ACTIONER	Predicted values after mitigation (AVG)	QUANT	QUAL	SEVERITY	OCCURRENCE	DETECTION	RPN	FUZZY RPN	
			QUANT	QUAL	STRATEGY	MITIGATION STRATEGY	RISK ACTIONER	QUANT	QUAL	STRATEGY	MITIGATION STRATEGY	RISK ACTIONER	QUANT	QUAL	QUANT	QUAL	
1	PHYSICAL	SHORTAGE OF RESOURCES	0.697	HIGH	Reduce	<ul style="list-style-type: none"> - Backup team to be available in short notice - predict a schedule by holding meetings and understanding workers pulse 	Contractor	0.4		Avoid	<ul style="list-style-type: none"> - Increase pay - Make job included in the team - Incentive to motivate - accommodation and benefits 	Contractor	0.2				
					Reduce	<ul style="list-style-type: none"> - Work to be scheduled according to the availability of material - Reporting of material required for the next two days on daily basis is required - material manager to be appointed to document, report and raise claims for materials required and its usage 	Contractor	0.4		Avoid	<ul style="list-style-type: none"> - Calculate proper lead time - Assess and keep a record of safety - Proper material handling and inspections - Material manager at site should be assigned 	Contractor	0.2				
					Reduce	<ul style="list-style-type: none"> - Alternate methodologies to be adopted - Access possible delay factor - Alternate suppliers to be kept as backup - Source materials from multiple suppliers 	Contractor	0.4		Avoid	<ul style="list-style-type: none"> - Schedule procurement and dates based on lead time - Fine tune the procurement process - Producer for any further delay than the proposed date of delivery - Strict penalties and penalties for events in material or cost to be maintained 	Contractor	0.2				
					Reduce	<ul style="list-style-type: none"> - go Electric in place of diesel in place of fuel - Check for substitutes like hydrogen 	Contractor	0.4		Reduce	<ul style="list-style-type: none"> - Access required quantity of fuel and form proper connects and tie ups with supplier - Reduce dependency on fuel as much as possible 	Contractor	0.4				
					Avoid	<ul style="list-style-type: none"> - Support to be provided if failure reported to prevent collapse - Obstruct traffic and movement below construction in case of failure - Strategies to solve structural issues must be kept in hand prior to casting 	Contractor	0.6		Avoid	<ul style="list-style-type: none"> - Casting to be done simultaneously - Load calculation and volumes to be followed - Supervision of structural engineer 	Contractor	0.2				
2	CONSTRUCTION	Fall of object from height			Avoid	<ul style="list-style-type: none"> - regularly inspect conditions of the structure - Avoid intense works when traffic is at peak - Supervision throughout work - inspection of tools and workers at height is mandatory 	Contractor	0.4		Avoid	<ul style="list-style-type: none"> - proper training for handling equipment and materials - regular safety meetings required - proper supervision - safety net while working at height - use lanyards to prevent falls from falling - Limit tools and materials used at heights - Keeps floor mats around the toe Boards and rails around the scaffolding 	Contractor	0.2				
					Avoid	<ul style="list-style-type: none"> - Filling of gaps are noticed - post-casting to understand deviations and corrections required before proceeding to next casting 	Contractor	0.2		Avoid	<ul style="list-style-type: none"> - Moulds to be prepared and followed according to GFC drawings - Supervision and approval before casting required 	Contractor	0.2				

Fig 3. Risk Treatment Strategies for Independent Variables

Table 4. Comparison of FMEA and Fuzzy FMEA for All 7 Risk Activities Before and After Mitigation

Risk category	Risk description	Risk assessment							
		RPN				Fuzzy RPN			
		Value from Analysis	Data	Predicted values after Mitigation	Qual.	Value from Data Analysis	Data	Predicted values after Mitigation	Qual.
Physical	Shortage of resources	0.419	Critical	0.090	Low	0.54	Critical	0.222	High
Construction	Segment casting	0.314	Very high	0.086	Low	0.456	Critical	0.191	Medium
Economic	Change in supplier/contract	0.275	High	0.110	Medium	0.408	Critical	0.224	High
Construction	Pier head	0.212	High	0.053	Low	0.27	High	0.128	Medium
Physical	Labour safety	0.195	Medium	0.06	Low	0.25	High	0.212	High
Physical	Damage to equipment	0.175	Medium	0.055	Low	0.247	High	0.201	High
Construction	Casting of pile	0.139	Medium	0.021	Low	0.221	High	0.093	Low

Risk analysis is a critical step in risk management because it allows practitioners to assess risks that have an impact on the cost, quality, safety, and timeline of a project. This study is limited to identification and assesses risks in terms of time. This paper focuses on schedule risks that cause delay in construction of elevated metro rail projects. Though the upcoming metro corridor chosen for assessment of risk is connected to an existing station, the selected area for study has no station within the stretch. Hence, this paper is limited to risks associated with metro viaduct construction. This paper will cover economic, environmental, construction, legal and physical risks associated with elevated metro projects and risks associated with political, logistic, financial, technical, contractual and commercial are not covered.

The future scope of this research activity includes the development of risk analysis models using the fuzzy Analytical Hierarchy Process (AHP) and fuzzy Interpretative Structural Modelling (ISM). As the principle is generic, identical risk analysis models can be constructed for any building project.

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