

# 1 **Failure impact analysis of isolation valves in a water distribution network**

2 Haixing Liu<sup>1</sup>, Tom Walski<sup>2</sup>, Guangtao Fu<sup>3</sup>, Chi Zhang<sup>4</sup>

3

4 <sup>1</sup> Associate Research Fellow. School of Hydraulic Engineering, Dalian University of  
5 Technology, Dalian, Liaoning, 116023, China. E-mail: lhx\_526@163.com

6 <sup>2</sup> Senior Product Manager, Bentley Systems, 3 Brian's Place, Naticoke, PA, 18634. E-mail:  
7 tom.walski@bentley.com

8 <sup>3</sup> Senior Lecturer, Center for Water Systems, College of Engineering, Mathematics, and  
9 Physical Sciences, University of Exeter, North Park Rd., Exeter EX4 4QF, UK. E-mail:  
10 g.fu@exeter.ac.uk

11 <sup>4</sup> Professor, School of Hydraulic Engineering, Dalian University of Technology, Dalian,  
12 Liaoning, 116023, China. E-mail: czhang@dlut.edu.cn

13

14 Corresponding author: Chi Zhang

15

## 16 **Abstract**

17 Isolation valves are crucial components of water distribution systems for separating pipe  
18 segments from the network for repair or maintenance purpose. This paper looks at the impacts  
19 of isolation valves failure on the three indicators including number of valves that are needed to  
20 isolate a distribution system segment, the size of distribution system segments and the shortfall  
21 in meeting demands during failure. A network with various isolation valve configurations in  
22 terms of the density of valves is used as a case study. The results obtained from the case study  
23 show that the failure of an isolation valve has substantially varying impacts on system  
24 performance during a shutdown. The density of valves in the network determines impacts of  
25 inoperable valves on a shutdown. Generally speaking, a higher density of isolation valves leads  
26 to the less impact of valve failure. Finally, several conclusions drawn from the critical valve  
27 analysis in this study could be applied to guide the isolation valve maintenance and  
28 management.

29 Keywords: water distribution system, isolation valves, failure, criticality analysis

## 30 **Introduction**

### 31 **Background**

32 Failures of water mains caused by pipe breaks regularly occur in drinking water distribution  
33 systems. Isolation valves prevent the effects of individual events from spreading throughout  
34 the system. Instead the incidents can be isolated to small distribution system segments (Walski,  
35 1993) which can minimize their impact. Thus, isolation valves are critical for minimizing the

36 adverse impacts of pipe breaks and repairs. There are general guidelines for valve placement  
37 in a water distribution system such as valve spacing (GLUMB, 1992). Such guidance has been  
38 available since the early days of drinking water distribution systems. For example, Folwell  
39 (1917) wrote “These [valves] can be placed any desired distance apart but one on each line at  
40 each corner or at intervals of 500 to 750 feet apart where blocks are longer than this...” It may  
41 be better to discuss valving in terms of the number of valves at each intersection rather than  
42 spacing (Walski, 2002), though there is no globally accepted value for the “right” number of  
43 valves at an intersection.

44 With the exception of a few papers (Trietsch and Vreeburg, 2006; Blokker et al., 2011), the  
45 impact of the failure of valves is generally not considered. Valves can fail for a variety of  
46 reasons when they are needed to be closed. This could be due to a broken valve stem or other  
47 mechanical problem (e.g. rounded operating nut), inability to locate the valve (e.g. cover paved  
48 over), or inability to turn/reach the valves due to an obstruction (e.g. a blocked valve box).  
49 Baird (2011) reported that one estimate indicated that, in American utilities, as many as 40%  
50 of distribution system valves are inoperable if they are not tested and repaired/replaced every  
51 five years. Therefore, there is a need to analyze the impacts of valve failures for informed  
52 decision making on operational and planning problems of water distribution networks.

53 This paper investigates the impact of valve failures on system performance represented by  
54 several indicators of isolation success. It shows how the impacts depend on the initial density  
55 of valves. The paper is organized as follows. First, the valve-related literature is reviewed in  
56 the next sub-section. Second, the assessment process and the evaluation indicators are

57 introduced in the method section. Moreover, a case study is performed based on the indicators  
58 developed in the previous section. Finally, conclusions are drawn.

## 59 **Literature review**

60 Valving has not received a great deal of attention in the research literature in the field of water  
61 distribution system design, compared to such topics as pipe sizing, tank sizing/siting or pump  
62 scheduling. Of course, water system operators had been employing this concept of using valves  
63 to isolate breaks ever since the development of the first systems, as illustrated in previous  
64 studies (Walski, 1994; Walski et al., 2006). Rosenthal et al. (2002), Creaco et al. (2010),  
65 Giustolisi et al.(2008), Jun et al. (2007), Kao and Li (2007), Trietsch and Vreeburg (2006) and  
66 Zhuang et al. (2013) investigated methods to analyze shutdowns with valving. However, few  
67 attempts have been made to assess how the water distribution system performance such as  
68 reliability is affected by valve failures.

69 Early research into reliability simulated shutdowns by removing individual pipes from a  
70 network model without regard for the location of valves. However, the concept of a distribution  
71 systems segment defined by valves, which was described by Walski (1993), can be used to  
72 study the impact of valve failures. Walski (1993) defined a segment as “the smallest portion of  
73 a water distribution system that can be isolated by closing valves”. The ‘N Valves’  
74 configuration is a valve layout fashion where the number of valves is equal to the linked pipes  
75 at a junction, and ‘N-1 Valves’ is a fashion of valving one less than the linked pipes (Walski et  
76 al., 2006), as shown in Figure 1. Several researchers including Jun and Loganathan (2007),  
77 Giustolisi and Savic (2010), Alvisi et al. (2011) and researchers from Bentley Systems (2016)

78 developed methods to automatically identify distribution system segments.

79 Valve failure impact is normally assessed based on failure performance in consideration of  
80 failure probability (Jun et al., 2007; Blokker et al., 2011). However, assigning a likelihood to  
81 valve failure, can be very difficult for many water distribution systems due to lack of  
82 knowledge and data in practice. In this paper, the focus of this study is shifted from  
83 understanding the valve failure to understanding the consequence and impact of such a failure  
84 should it occur, no matter how big or small its likelihood is.

85 A number of indicators can be used in relation to the valve placement problem. Deb et al. (2006)  
86 developed criteria for valve locations based on system reliability. They concluded  
87 “improvements in the distribution system reliability to minimize customer interruptions can be  
88 achieved by increasing the reliability of valves and by adding new valves in critical locations.”  
89 Walski (2011) presented an approach to determine the best number of valves in a system based  
90 on economic considerations. KWR carried out a series of studies regarding the valve reliability  
91 analysis using performance indicators, e.g. Customer Minutes Lost (CML), which is defined  
92 as the average time of the year when the customer cannot receive any water (Trietsch and  
93 Mesman, 2004; Trietsch and Vreeburg, 2005; Trietsch and Vreeburg, 2006; Blokker et al.,  
94 2011). Their methodology identified critical valves based on CML. However, there are few  
95 studies to use hydraulic performance related metrics, which allow for analyzing the direct  
96 impact (i.e. in the failure area) and the indirect impact (i.e. other areas where demand/pressure  
97 shortfalls are caused by the isolation) at the same time. This paper employs system property  
98 metrics and hydraulic performance related metrics including: 1) the operability of the isolation

99 of an incident area (i.e., the number of isolation valves); 2) the surrogate indicator of a failure  
100 impact (i.e., segment length); and 3) the impact on pressure dependent water supply based on  
101 the hydraulic simulation. These indicators are then used to identify the critical valves.

## 102 **Methods**

### 103 **Identifying critical isolation valves**

104 Critical isolation valve identification aims to find out which failing valve would result in the  
105 most significant impact on the network. Failed valve refers to a normally open isolation valve  
106 being inoperable when needed to separate part of the network where an accidental event occurs  
107 (e.g. pipe breaks). When a valve fails, in order to be still able to isolate the incident area, the  
108 nearest downstream or upstream isolation valves are operated instead to substitute the failed  
109 isolation valve. The procedure to identify critical isolation valves is described here:

110 *Step 1.* A valve failure scenario is set up via an assumption that a specific isolation valve is  
111 failing in the network. The failing isolation valve cannot be closed when required. Failing  
112 isolation valves are analyzed one by one in each failure scenario in this study. A base case  
113 scenario with all isolation valves in operation is also considered to compare with the failing  
114 isolation valve scenarios(Creaco et al., 2012).

115 *Step 2.* Several indicators (described below) are calculated for each isolation segment, first  
116 assuming all valves are operable.

117 *Step 3.* Then each valve is failing. This results in the two segments that were connected by the  
118 valve being merged into a single new, larger segment. The indicators are then calculated. A

119 comparison is made between the indicators with and without the valve in service.

## 120 **Evaluation indicators**

121 Due to isolation valves closure, a set of independent segments, not connected to any source, is  
122 set up. The effect of isolation valves on the system performance is reflected by the impacted  
123 segments (Mugume et al., 2015). The importance of any valve is determined not by the value  
124 of an indicator but by the change in the value when the valve shifts from operable to inoperable.

125 The indicators are adopted in this study including

- 126 1. Number of isolation elements needed to successfully isolate a segment,
- 127 2. Segment length and
- 128 3. System supply shortfall (i.e. demand not satisfied), both instantaneously and over an  
129 extended time.

130 The first two indicators are the property related metrics representing the characteristics of the  
131 segments that are assessed, and the third is an indicator of hydraulic performance. The  
132 definitions of the indicators are as follows,

133 *Number of isolation elements* is the number of valves that are used to isolate a segment. In the  
134 model, isolation elements could include a variety of valves, such as isolation valve, pressure  
135 reducing valve, flow control valve, etc. Note that the flow/pressure control devices cannot  
136 function as the isolation devices in reality, but they are usually accompanied by isolation valves  
137 (e.g. gate valves and butterfly valves) for maintenance/repair use. In the model, the isolation  
138 valves around the control devices are not explicitly included, so the control devices could be  
139 allowed to serve as the boundary of the segment. The indicator of number of isolation elements

140 can represent the complexity of closing valves when isolating an incident area. The more valves  
141 are needed to close, the more time one spends on locating and operating and the greater the  
142 likelihood that one or more of the valves will be inoperable. Ideally only two valves should be  
143 required but four is usually considered an acceptable number.

144 *Segment length* represents the total length of pipes in a segment. The segment length indicator  
145 can be related to the number of customers out of service, assuming customers are relatively  
146 evenly distributed, and also gives an indication of likelihood that any segment will need to be  
147 shut down due to a pipe break. The larger the segment length (assuming a uniform break rate  
148 per km per year) is, the greater the likelihood it will need to be shut down.

149 *System demand shortfall* is the difference between total demand and total water actually  
150 supplied for all demand nodes during a segment shutdown. System demand shortfall results  
151 give an indication of the system hydraulic performance in terms of the amount of demand met  
152 when the shutdown of a segment occurs.

153 System demand shortfall includes: 1) demands at nodes that are not connected to the source  
154 plus 2) the amount of water not supplied due to inadequate pressure. Pressure dependent  
155 demand (PDD) analysis has an ability of quantifying the system performance when an  
156 abnormal event occurs. Therefore, the PDD method applied to the critical valve  
157 identification/regulation and pipe design is recommended by many researchers (Tucciarelli et  
158 al., 1999; Wu and Walski, 2006; Giustolisi et al., 2008; Creaco et al., 2010). With PDD, a  
159 continuous relationship between demand met and pressure is used, and the supply becomes a  
160 constant below the minimum pressure or above the pressure threshold. Supply is deemed to be



161 independent of nodal pressure when above the threshold (Giustolisi et al., 2008). The  
 162 relationship between supply and pressure used in this study is a power function, and some  
 163 alternative formulations can be found in Wagner et al. (1988), Fujiwara and Ganesharajah  
 164 (1993) and Tucciarelli et al. (1999). The mathematical expression used here (Wu et al., 2009;  
 165 BentleySystems, 2016) is given in Equation 1.

$$166 \quad Q_i^s = \begin{cases} 0 & H_i \leq 0 \\ \left(\frac{H_i}{H_{ri}}\right)^\alpha Q_{ri} & 0 < H_i < H_t \\ \left(\frac{H_t}{H_{ri}}\right)^\alpha Q_{ri} & H_i \geq H_t \end{cases} \quad (1)$$

167 where  $H_i$  is the calculated pressure at node  $i$ ;  $Q_{ri}$  is the requested demand or reference  
 168 demand at node  $i$ ;  $Q_i^s$  is the calculated demand (actual supply) at node  $i$ ;  $H_{ri}$  is the  
 169 reference pressure that is deemed to supply full requested/reference demand;  $H_t$  is the  
 170 pressure threshold above which the supply is independent of nodal pressure;  $\alpha$  is the  
 171 exponent of pressure demand relationship. For this formulation of the relationship between  
 172 pressure and demand, Equation 1 provides more flexible uses for a PDD analysis than that in  
 173 Wagner et al. (1988). For example, leakage and fire flow could continuously increase when the  
 174 actual pressure exceeds the reference pressure ( $H_{ri}$ ). Also, the reference pressure and the  
 175 pressure threshold ( $H_t$ ) could be set equally, i.e.  $H_{ri} = H_t$ , which is consistent with the  
 176 formulation in Wagner et al. (1988).

177 Steady state and extended period simulations (EPS) are used to calculate the system demand  
 178 shortfall. Steady state runs are useful for identifying the results of outages which are not  
 179 particularly long (e.g. less than an hour). With extended period simulation runs, the effects of

180 the shutdown on tanks draining (or filling) are determined. EPS runs are much more likely to  
181 have nodes that become disconnected such that the hydraulic calculations will not balance. The  
182 analyses based on connectivity only and steady state runs are snapshots which give shortfall in  
183 flow units (e.g. liter per second), while the EPS runs calculate shortfall in volume units (e.g.  
184 cubic meter).

185 In this study, segmentation and PDD methods are implemented using Bentley WaterGEMS  
186 software (Jun and Loganathan, 2007; Wu et al., 2009). The alternative software tools include  
187 KWR OptiValves, Innovyze InfoWorks, etc. The Criticality module calculates the basic  
188 indicators' values for all segments. In some cases, the systems become so disconnected because  
189 of valve closures that the hydraulic equations cannot be solved and independent manual  
190 calculations are implemented for calculating shortfall.

## 191 **Case study**

192 The case study network consists of 279 pipes and 188 junctions, where the total pipe length is  
193 21 km and the diameter ranging from 101 mm to 203 mm. There are two pumps feeding water  
194 to the network from the lower elevation reservoir at the northeast side of the system and a tank  
195 located at the southwest side, as shown in Figure 2. The pump controls are determined by tank  
196 water level. In the model the demands are loaded at mid-pipe rather than at cross junctions  
197 because the customers are located along a pipe, not at junctions and that difference is important  
198 in the valve segmentation calculations. The demand pattern shown in Figure 3 is consistent for  
199 all demand nodes in extended period simulation runs.

200 In this network layout, only isolation valves are used as isolation elements, and four

201 configurations of isolation valves are set up according to gradually decreased density of  
202 isolation valves, as shown in Table 1. Other than N Valves and N-1 Valves fashions introduced  
203 previously, Limited Valves and Scarce Valves fashions subsequently reduce valves on the basis  
204 of the N-1 Valves. For the valve configurations, the valve elimination is based on the prior,  
205 more valves configuration. For example, N-1 Valves is transformed into Limited Valves by the  
206 reduction of a few valves. The missing valves usually tend to be the valve placed on the  
207 upstream pipe (i.e. the pipe where water most commonly flows to the node).

208 In Equation 1, the exponent of the function is set to 0.5. The pressure threshold is set to 20 m,  
209 above which the demand is fully met.  $H_{ri}$  is set to the same value with the pressure threshold  
210 ( $H_t$ ).

## 211 **Results**

212 This section shows the impact of a single valve failure on the three indicators described above.

### 213 **Number of isolation elements**

214 Figure 4 shows the results of the number of isolation elements with and without a valve failure.  
215 The black columns represent the number of isolation elements when the isolation valves are in  
216 operation, while grey column heights are the total number of isolation elements when one  
217 isolation valve is out of service. For the N Valves configuration, most pipe segments can be  
218 isolated by two valves in the all isolation valves operating case. When one of the isolation  
219 valves is failing, the number of isolation elements will increase to three for “T” shape  
220 intersections or four for the cross junctions (see Figure 4a). For the N-1 Valves configuration,  
221 the greatest increase in the number of isolation elements is 2, while the increase is 5 for the

222 Scarce Valves configuration. The isolation elements indicator changes fairly largely for  
223 different valve configurations and the greatest value of the indicator corresponds to different  
224 failed valve scenarios, which indicates that the critical isolation valve identified by the isolation  
225 elements indicator is highly related to valve layout and network topology.

226 In Figure 4, the number of isolation elements increases (grey column height minus black  
227 column height) with the decrease in density of valves. The density of valves initially impacts  
228 the number of valves that need to be operated when all are operating, but the more significant  
229 problem is that as the density of valves decreases and a valve fails, the number of extra valves  
230 that must be operated increases. In this sense, having an inoperable isolation valve is equivalent  
231 to making the isolation valve configuration sparser. The network with reduced valves requires  
232 operation of more valves to isolate an incident area, which implies longer valve operating time  
233 and more valve failure risk.

234 The total height of the column in Figure 4 corresponds to the number of isolation valves needed  
235 for isolation when the targeted isolation valve fails. The maximum height in Figure 4d is 10.  
236 Investigation of the location of this 10-valve segment shows that it lies at the right of the  
237 network, linking the nearest segment to the tank, of which the other end extends into the meshed  
238 network (Seg-1 in Figure 5). This result is primarily contributed to 7 isolation valves by the  
239 meshed network that has lots of alternative paths. Therefore, it is inferred that the need for  
240 more isolation valves tends to occur in highly meshed networks with a scarce valve  
241 configuration.

242 The indicators statistics are calculated to investigate the changes of isolation elements for a

243 specific valve configuration and also to compare various isolation valve configurations. A  
244 summary of average numbers of isolation elements is shown in Table 2. If one of the valves  
245 fails, the isolation element count will increase in comparison with the count in operable  
246 scenarios. It is worth noting that on average more than one valve is needed to compensate for  
247 a single failed valve. The sparser the density of valves is, the more compensation valves are  
248 needed. The extra compensation valves reaches up to 104% for the Scarce Valves configuration.

### 249 **Segment length**

250 Figure 6 shows the results of the segment length indicator in the isolation valve operable (black  
251 column) and inoperable (grey column) states. The smaller segment length is chosen as a  
252 representative between the two segments that the target valve links when the valve is in the  
253 operable state, since a larger difference of this indicator could be shown before and after the  
254 valve failure. The segment length, when the valve is inoperable, is combined by the two  
255 segments that are linked by the failing valve. For most valve failure scenarios, segment length  
256 has an obvious change in all valve configurations. The greatest increase is derived from the  
257 valve failure at the round circle network (Seg-2 in Figure 5). In some way we cannot emphasize  
258 that the valves in that area are really critical, because it is located near the boundary of the  
259 network and does not impact any downstream segments, and the outskirts area usually has  
260 sparser users distributed along the pipes.

261 As can be seen in Figure 6a, the N Valves configuration has very small segment lengths when  
262 all valves are operating, and these segments usually appear at junctions, that is a cross junction  
263 is surrounded by four isolation valves in each incident pipe. If there are four valves at a cross,  
264 there are usually no customers connected in that segment. The segment around the junction

265 implies the lower failure ratio due to the shorter pipe length. In addition, from the point of view  
266 of the uniformity of segment length for linking segments, N-1 Valves and Limited Valves  
267 configurations show a good tradeoff that they don't have valve redundancy, such as the N  
268 Valves configuration ubiquitously has very small segments (the black columns in Figure 6a),  
269 nor as significant impact as the Scarce Valves configuration (the grey columns in Figure 6d).

270 Table 3 shows the statistical results of average segment length before and after an isolation  
271 valve fails. The segment length, in valve operable and inoperable states and the changes  
272 between them, increases with the decrease in the density of valves. The segment lengths exhibit  
273 considerable increases for all configurations (the relative changes of segment length are shown  
274 in the brackets in Table 3). In particular, in the N valves configuration, the segment length  
275 increases by about 4 times for a majority of failing valves.

### 276 **System supply shortfall**

277 Figure 7 shows the system supply shortfalls when the isolation valves are operating or failing.  
278 For all valve configurations, the supply shortfalls exhibit significant increase before and after  
279 one of the isolation valves fails. In the N valve configuration (Figure 7a), a number of supply  
280 shortfalls in the failure scenarios (i.e. black columns) are equal to zero, which indicates the  
281 isolated segments do not include any demands, nor induce the pressure drop below the  
282 prescribed pressure threshold (i.e. below 20 m) due to network shutdown.

283 In Figure 7d, there is a valve failure scenario which shows a far greater shortfall value than  
284 other failure scenarios. This isolation valve (i.e. Valve 79) is laid on the mains which links the  
285 tank and the reservoir, and in the Scarce Valves scenario this valve becomes the only existing

286 isolation valve for a long distance in that route. This segment of mains links two inlets of a  
287 large area of the network (that linking to Seg-4 in Figure 5, roughly one third of the network).  
288 If the isolation valve is failing, isolation of the new segment of mains puts all of the water users  
289 in the right bottom portion of network out of service. This isolation valve is critical in this case.  
290 In contrast, this valve also exists in the other three valve configurations but its failure does not  
291 have as large of an effect, and thus it implies that the criticality of an isolation valve is highly  
292 dependent on the valve layout.

293 The isolation valves with the great values of shortfall (Valve 43, 44, and 167 in Figure 7a,  
294 Valve 37 and 38 in Figure 7b, Valve 31 and 32 in Figure 7c) are consistently associated with  
295 a segment which includes a single link that connects an independent network to the mains ( the  
296 network linking to Seg-3 in Figure 5). These valves will result in a complete outage for a large  
297 portion of the network when one of them is failing. Therefore, it implies that the valves in the  
298 segment containing the inlet of a large, branched network are critical.

299 The shortfall values before and after one of the valves fails are shown in Table 4. Similarly,  
300 the results of shortfall in supply increase with the decrease in the density of valves. The  
301 changes of shortfall take on several times larger than the shortfall when all of the valves are  
302 operable. It demonstrates that segment shutdown when one valve fails could result in a much  
303 more significant impact than that of the operating valves (3~4 times larger in this case). The  
304 percentages in Tables 4 represent the percent of system demand that is not met.

### 305 **Extended period simulation analysis**

306 The segment isolated for a long period can be simulated in EPS. It is assumed that the period

307 of restoration or maintenance lasts for 24 hours in this study. Figure 8 demonstrates the results  
308 of the system supply shortfall indicator in EPS runs. In general, only a few valves can lead to  
309 a large shortfall. These valves which cause serious shortfalls appear to aggregate in  
310 approximately the same ranges for all configurations. Therefore, the shortfall values in this  
311 case are divided into 4 “ranges” with thresholds of 1,200 m<sup>3</sup>, 600 m<sup>3</sup>, and 200 m<sup>3</sup> (i.e. dashed  
312 line shown in Figure 8), which correspond to 72%, 36%, 12% of total supply, respectively.  
313 There are three valves leading to excess of 1200 m<sup>3</sup> in all four valve configurations. The  
314 shortfall values in the second range all concentrate between 600 m<sup>3</sup> and 800 m<sup>3</sup> except the  
315 Scarce Valves configuration. The shortfalls in the third range also have approximately similar  
316 values. Overall, we find strong correlations among the four valve configurations.

317 The locations of the isolation valves in the three most important zones are plotted in Figure  
318 9a, of which the system supply shortfalls are larger than 200 m<sup>3</sup> (see in Figure 8). The isolation  
319 valves (Valve-41, Valve-164, Valve-72) in Zone 1 in Figure 9a surround the pump station, and  
320 the detailed structure of Zone 1 is shown in Figure 9b. The valves in Zone 2 in Figure 9a are  
321 located in close proximity to the segment that is the only way linking between the pump station  
322 and tank, termed as key segment (shown in Figure 9c). Water users to the east of that segment  
323 can be supplied if the segment is shut down, but to the west, users will only be supplied until  
324 the tank drains. The supplied amount is equal to the initial volume of the tank. The third zone  
325 valves in Figure 9a are concentrated around a key segment that links the water source and a  
326 branched network with a single supply. The shortfall corresponds to the demand in the areas.  
327 In general, valves whose failure prevents the main pump station from supplying water are the  
328 most critical. When the main pump station cannot supply water, the remainder of the system



329 must be fed from the tank which has a finite capacity which is exhausted in a 24 hour period.

330 A larger tank or a faster repair would reduce that impact.

331 As the configuration of valves becomes sparse, the segments are enlarged. Thus more isolation  
332 valves become critical in order to isolate the important segments from the location needing to  
333 be shut down, according to Figures 8 and 9.

334 The critical isolation valves are usually associated with key segments. The isolation valves  
335 (Valve-153 and Valve-157 in Figure 9c) that are placed on the key segments correspond to the  
336 black columns in Figure 8a. It indicates there is a significant impact on the demand shortfall  
337 once this valve is closed. Moreover, another type of isolation valve that can induce the  
338 enormously incremental shortfall if it fails is located in the proximity of the key segment (e.g.  
339 Valve-35, Valve-36, Valve-37, and Valve-152 in Figure 9c).

340 Table 5 summarizes the supply shortfall in EPS runs. In general, there is an ascending trend  
341 of the impact on shortfalls with the decrease in the number of valves. The less the number of  
342 valves, the greater the degree of shortfall (i.e., the greater the percent of shortfall change). The  
343 Limited Valves configuration has a lower shortfall value than the N-1 Valves configuration in  
344 the valve operable state, due to some extreme values (see Figure 8) derived from the special  
345 position of valves. The volumes of shortfall in EPS are converted into mean flow rates in the  
346 24 hours horizon, allowing for a comparison with the results in the steady state. For the valve  
347 operable state, the EPS produces the moderate increase in the shortfall in comparison to that  
348 of the steady state simulation (Table 4), but for the valve inoperable state, the EPS exhibits a  
349 more significant impact on supply shortfall. That is because the tank that is drained within the

350 EPS enhances the influence of valve closure and also exacerbates the impact of valve failure.

## 351 **Discussion**

352 While increasing the number of valves leads to a more reliable system, not all valves are of  
353 equal importance. Failure of a valve adjacent to a pump station, tank, major transmission pipe  
354 or the beginning of a branched (i.e. tree shaped) portion of the system can have much greater  
355 impact than failure of a pipe in a highly looped portion of the system away from major facilities.

356 While valves on hydrant laterals are not included in this study, it is easy to see that those  
357 valves are especially important when they are located on major transmission pipes such that  
358 failure of a small valve can impact a major component of the system.

359 Identification of valves whose failure can have serious consequences can help water utilities  
360 prioritize valve maintenance work. Identification of key valves not only indicates where  
361 additional valves may be required during design but also where maintenance activity should be  
362 focused.

363 The three indicators used for a valve criticality analysis are introduced in this paper. The  
364 indicator of system supply shortfall is principally recommended because this indicator can  
365 directly reflect the impact of how much water cannot be supplied in the isolated area. Moreover,  
366 this indicator also takes into account the impact of the supply shortfall due to inducing more  
367 head loss. However, the indicators of segment length and number of isolation valves are two  
368 good surrogate measures when a well calibrated hydraulic model is not available or the massive  
369 hydraulic simulations are infeasible in large water network systems, e.g., in the valve reliability  
370 assessment and valve optimization placement. Also, the segment length indicator takes the

371 advantage of data accessibility over the indicators associated with impacted customer survey.  
372 The latter two approximately evaluate the impact of the failed valves on the system  
373 performance but are more straightforward and easy to use. The schedule of valve maintenance  
374 work could be also based on the priority with respect to different indicator results in the  
375 criticality analysis.

## 376 **Conclusions**

377 This paper presents a failure impact analysis method that can identify the most critical valves  
378 using a set of indicators in water distribution systems. In the method, one isolation valve in a  
379 network is assumed to fail in a failure scenario. Based on the valve failure scenarios, the  
380 performance of segments (or overall network) is examined by a set of three indicators which  
381 are the number of isolation valves needed for shutdown, segment length and system supply  
382 shortfall (for both an instantaneous and extended period). Using these indicators, it is possible  
383 to determine which isolation valves are most critical throughout the network. The case study is  
384 applied in a realistic water distribution network with four different valve configurations in  
385 terms of the density of valves. We can draw the following general conclusions in this study:

386 1) As more isolation valves are included in a system, the impact of the failure of any one valve  
387 becomes less severe. Specially, the three indicators consistently increase (i.e. performance  
388 becomes worse) with the decrease in the valve density.

389 2) Critical valves are often associated with key segments, i.e. the ones containing sources or  
390 linking a large portion of the network with a single inlet. In multiple source systems, tanks play  
391 a key role of minimizing the impact of segment outage at least for a short time period of outage.

392 3) The critical valves are strongly associated with network topology and valve layout. Isolation  
393 valve number is inherently crucial for water network management, and the proper placement  
394 of valves is able to mitigate the impact of incidents to a great extent.

395 4) The failure of some valves only affects a small area while the failure of others can have  
396 system-wide implications.

397 The number of valves is closely related to cost, both of valve construction and valve  
398 maintenance. Minimizing the number of valves, however, has a substantial effect on the  
399 indicators. There exists a tradeoff between cost and benefit of valve placement (Creaco et al.,  
400 2010). The future work is suggested to investigate how the impact of valve failure, and also the  
401 combination of multiple valve failures, is related to the cost of valve placement.

## 402 **Acknowledgements**

403 Bentley Systems provided the software to conduct the hydraulic simulation and valve  
404 segmentation. This study is financially supported by the National Natural Science Foundation  
405 of China (51320105010, 51579027), the National Science and Technology Major Project  
406 (2014ZX03005001), and Ministry of Water Resource of China (Grant No.201401014-2), which  
407 are greatly acknowledged. The authors thank three reviewers for their insightful and  
408 constructive comments which helped significantly improve the paper quality.

## 409 **References**

410 Alvisi, S., Creaco, E. and Franchini, M. (2011). Segment identification in water distribution systems, *Urban Water*  
411 *Journal*, 8(4), 203-217, 10.1080/1573062x.2011.595803.  
412 Baird, G. M. (2011). Managing Assets: When Going With the Flow Doesn't Save Money, *American Water Works*  
413 *Association. Journal*, 103(9), 18.

414 BentleySystems Bentley Systems Incorporated (2016). WaterGEMS. Exton, PA.

415 Blokker, M., Pieterse-Quirijns, I., Postmus, E., Marmelo, V. M. and Lourenço, L. (2011). Asset management of  
416 valves, *Water Asset Management International*, 7, 12-15.

417 Creaco, E., Franchini, M. and Alvisi, S. (2010). Optimal placement of isolation valves in water distribution systems  
418 based on valve cost and weighted average demand shortfall, *Water Resources Management*, 24(15), 4317-4338,  
419 doi:10.1007/s11269-010-9661-5.

420 Creaco, E., Franchini, M. and Alvisi, S. (2012). Evaluating Water Demand Shortfalls in Segment Analysis, *Water  
421 Resources Management*, 26(8), 2301-2321, 10.1007/s11269-012-0018-0.

422 Deb, A. K., Snyder, J., Hammell, J. O., McCammon, S. B. and Jun, H. (2006). Criteria for valve location and system  
423 reliability, American Water Works Association Research Foundation, Denver, Col.

424 Folwell, A. (1917). *Water Supply Engineering*, John Wiley and Sons, London.

425 Fujiwara, O. and Ganesharajah, T. (1993). Reliability assessment of water supply systems with storage and  
426 distribution networks, *Water Resources Research*, 29(8), 2917-2924.

427 Giustolisi, O., Kapelan, Z. and Savic, D. (2008). Extended Period Simulation Analysis Considering Valve Shutdowns,  
428 *Journal of Water Resources Planning and Management*, 134(6), 527-537, doi:10.1061/(ASCE)0733-  
429 9496(2008)134:6(527).

430 Giustolisi, O. and Savic, D. (2010). Identification of segments and optimal isolation valve system design in water  
431 distribution networks, *Urban Water Journal*, 7(1), 1-15, 10.1080/15730620903287530.

432 Giustolisi, O., Savic, D. and Kapelan, Z. (2008). Pressure-driven demand and leakage simulation for water  
433 distribution networks, *Journal of Hydraulic Engineering*, 134(5), 626-635, doi:10.1061/(ASCE)0733-  
434 9429(2008)134:5(626).

435 GLUMB (Great Lakes and Upper Mississippi River Board of State Public Health & Environmental Managers) (1992).  
436 Recommended Standards for Water Works. Albany, NY.

437 Jun, H. and Loganathan, G. (2007). Valve-Controlled Segments in Water Distribution Systems, *Journal of Water  
438 Resources Planning and Management*, 133(2), 145-155, doi:10.1061/(ASCE)0733-9496(2007)133:2(145).

439 Jun, H., Loganathan, G., Deb, A., Grayman, W. and Snyder, J. (2007). Valve Distribution and Impact Analysis in  
440 Water Distribution Systems, *Journal of Environmental Engineering*, 133(8), 790-799, doi:10.1061/(ASCE)0733-  
441 9372(2007)133:8(790).

442 Kao, J.-J. and Li, P.-H. (2007). A segment-based optimization model for water pipeline replacement, *Journal  
443 (American Water Works Association)*, 99(7), 83-95.

444 Mugume, S. N., Gomez, D. E., Fu, G., Farmani, R. and Butler, D. (2015). A global analysis approach for investigating  
445 structural resilience in urban drainage systems, *Water Research*, 81, 15-26,  
446 <http://dx.doi.org/10.1016/j.watres.2015.05.030>.

447 Rosenthal, L., Mesman, G. and De Koning, M. (2002). Key criteria for valve operation and maintenance, AWWA  
448 Research Foundation.

449 Trietsch, E. and Mesman, G. (2004). Reliability of valves and section isolation. Proceedings of the 4th IWA World  
450 Water Congress and Exhibition. Marrakech: 1-8.

451 Trietsch, E. and Vreeburg, J. (2006). Effect of valve failures on network reliability. 8th annual water distribution  
452 system analysis symposium, Cincinnati, Ohio, USA.

453 Trietsch, E. A. and Vreeburg, J. H. G. (2005). Reliability of valves and section isolation, *Water Science and  
454 Technology: Water Supply*, 5(2), 47-51.

455 Tucciarelli, T., Criminisi, A. and Termini, D. (1999). Leak Analysis in Pipeline Systems by Means of Optimal Valve  
456 Regulation, *Journal of hydraulic engineering*, 125(3), 277-285, doi:10.1061/(ASCE)0733-9429(1999)125:3(277).

457 Wagner, J. M., Shamir, U. and Marks, D. H. (1988). Water distribution reliability: simulation methods, *Journal of*

458 *Water Resources Planning and Management*, 114(3), 276-294.

459 Walski, T., Weiler, J. and Culver, T. (2006). Using Criticality Analysis to Identify Impact of Valve Location. *Water*  
460 *Distribution Systems Analysis Symposium*. Cincinnati, OH, American Society of Civil Engineers: 1-9.

461 Walski, T. M. (1993). Water distribution valve topology for reliability analysis, *Reliability Engineering & System*  
462 *Safety*, 42(1), 21-27, doi:org/10.1016/0951-8320(93)90051-Y.

463 Walski, T. M. (1994). Valves and Water Distribution System Reliability. AWWA Annual Conference, New York.

464 Walski, T. M. (2002). Issues in Providing Reliability in Water Distribution Systems. Proceedings of the ASCE  
465 Environmental and Water Resources Institute (EWRI) Annual Conference, Roanoke, Virginia.

466 Walski, T. M. (2011). How Many Isolation Valves are needed in a Water Distribution Systems. *Computers and*  
467 *Control in the Water Industry Conference*. Exeter, UK.

468 Wu, Z. Y. and Walski, T. (2006). Pressure dependent hydraulic modelling for water distribution systems under  
469 abnormal conditions. IWA WORLD WATER CONGRESS.

470 Wu, Z. Y., Wang, R. H., Walski, T. M., Yang, S. Y., Bowdler, D. and Baggett, C. C. (2009). Extended global-gradient  
471 algorithm for pressure-dependent water distribution analysis, *Journal of water resources planning and*  
472 *management*, 135(1), 13-22.

473 Zhuang, B., Lansey, K. and Kang, D. (2013). Resilience/Availability Analysis of Municipal Water Distribution System  
474 Incorporating Adaptive Pump Operation, *Journal of hydraulic engineering*, 139(5), 527-537,  
475 doi:10.1061/(ASCE)HY.1943-7900.0000676.

476

477

Table 1. The number of isolation valves and segments in various valve configurations

Configuration	Number of isolation valves	Number of segments
N Valves	183	157
N-1 Valves	130	104
Limited Valves	112	86
Scarce Valves	91	65

478

479

Table 2. Average number of isolation elements

Valve configuration	Average number of isolation elements when valves are operable	Average number of isolation elements when one valve is out of service	Incremental number of isolation elements
N valves	2.0	3.1	1.1 (55%) <sup>a</sup>
N-1 valves	2.3	3.8	1.5 (65%) <sup>a</sup>
Limited valves	2.5	4.4	1.9 (76%) <sup>a</sup>
Scarce valves	2.7	5.5	2.8 (104%) <sup>a</sup>

480 <sup>a</sup> Relative change of incremental number of isolation elements = the incremental number of  
481 isolation elements / the average number of isolation elements when valves are operable

482



483

Table 3. Average segment lengths

Valve configuration	Average segment length when valves are operable (m)	Segment length when one valve is out of service (m)	Segment length change (m)
N valves	12.6	61.1	48.5 (385%) <sup>a</sup>
N-1 valves	33.3	105.0	71.7 (215%) <sup>a</sup>
Limited valves	39.4	129.1	89.7 (228%) <sup>a</sup>
Scarce valves	60.3	188.0	127.7 (218%) <sup>a</sup>

484 <sup>a</sup> Relative change of segment length = change length / segment length in the valve operating  
485 state

486

487

488

Table 4. Average system supply shortfalls in steady state

Valve configuration	Shortfall when valves are operable		Shortfall when one valve is out of service		Shortfall change	
	(L/s)	(%)	(L/s)	(%)	(L/s)	(%)
N valves	0.09	0.5	0.35	1.8	0.26	1.3
N-1 valves	0.17	0.9	0.58	3.0	0.41	2.1
Limited valves	0.21	1.1	0.72	3.7	0.51	2.6
Scarce valves	0.32	1.7	0.99	5.1	0.67	3.4

489

490

491

492

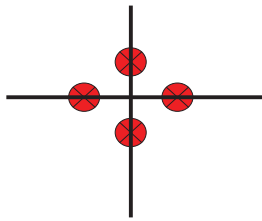
Table 5. Average system supply shortfalls in EPS

	Shortfall when valves are operable			Shortfall when one valve is out of service			Shortfall change		
	(m <sup>3</sup> )	(L/s)	(%)	(m <sup>3</sup> )	(L/s)	(%)	(m <sup>3</sup> )	(L/s)	(%)
N valves	16	0.19	1.0	73	0.84	4.4	57	0.65	3.4
N-1 valves	21	0.24	1.3	105	1.22	6.3	84	0.98	5.0
Limited valves	20	0.23	1.2	119	1.38	7.2	99	1.15	6.0
Scarce valves	38	0.44	2.3	182	2.11	10.9	144	1.67	8.6

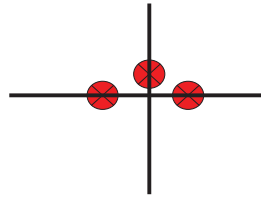
493

494

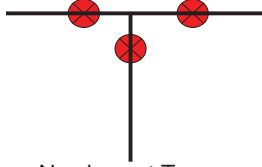
495



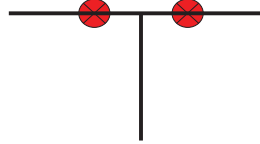
N valves at cross



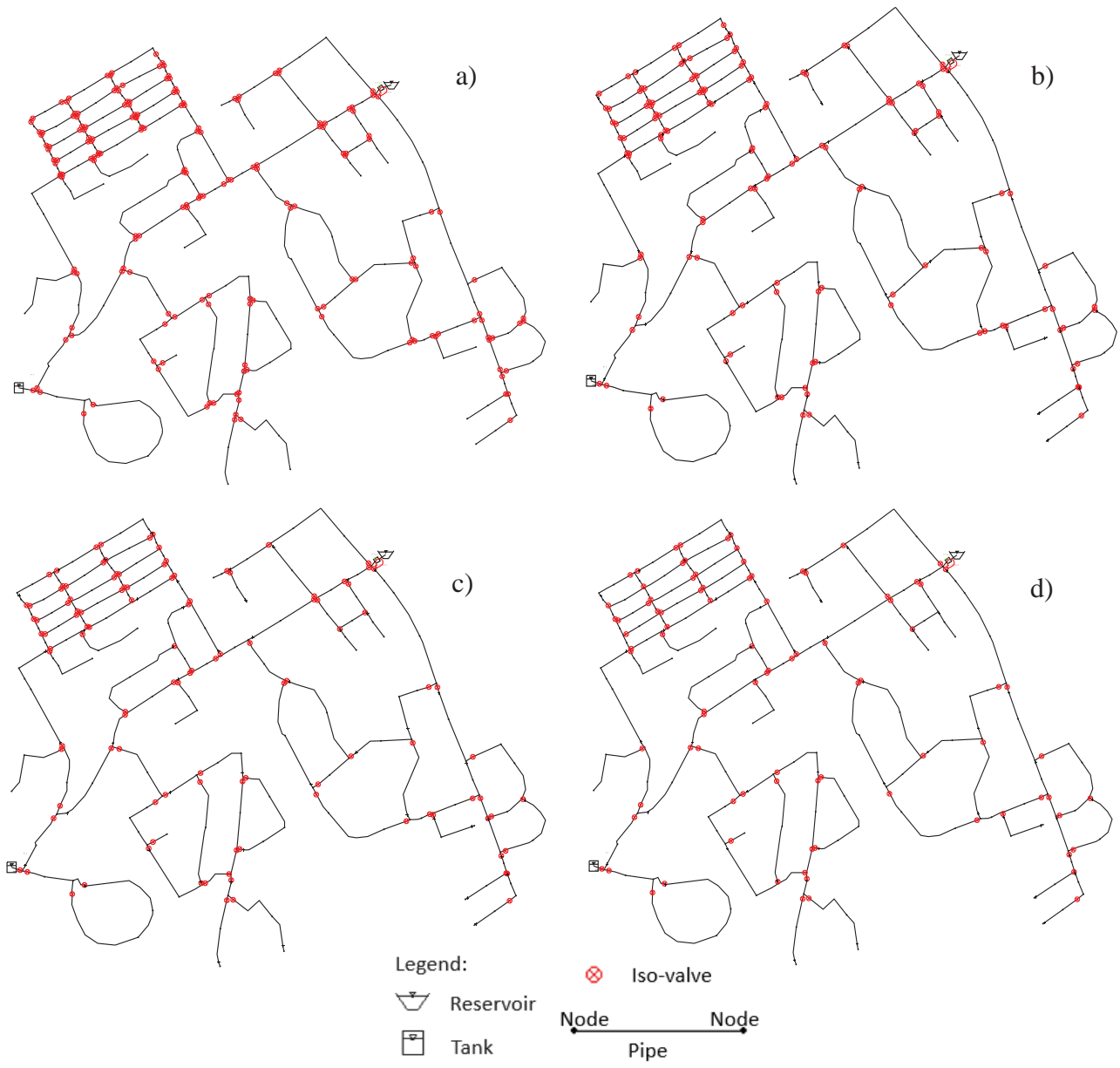
N-1 valves at cross

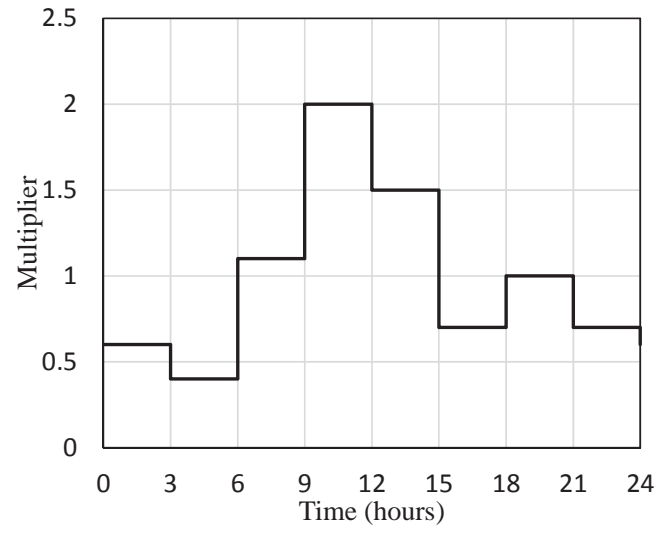


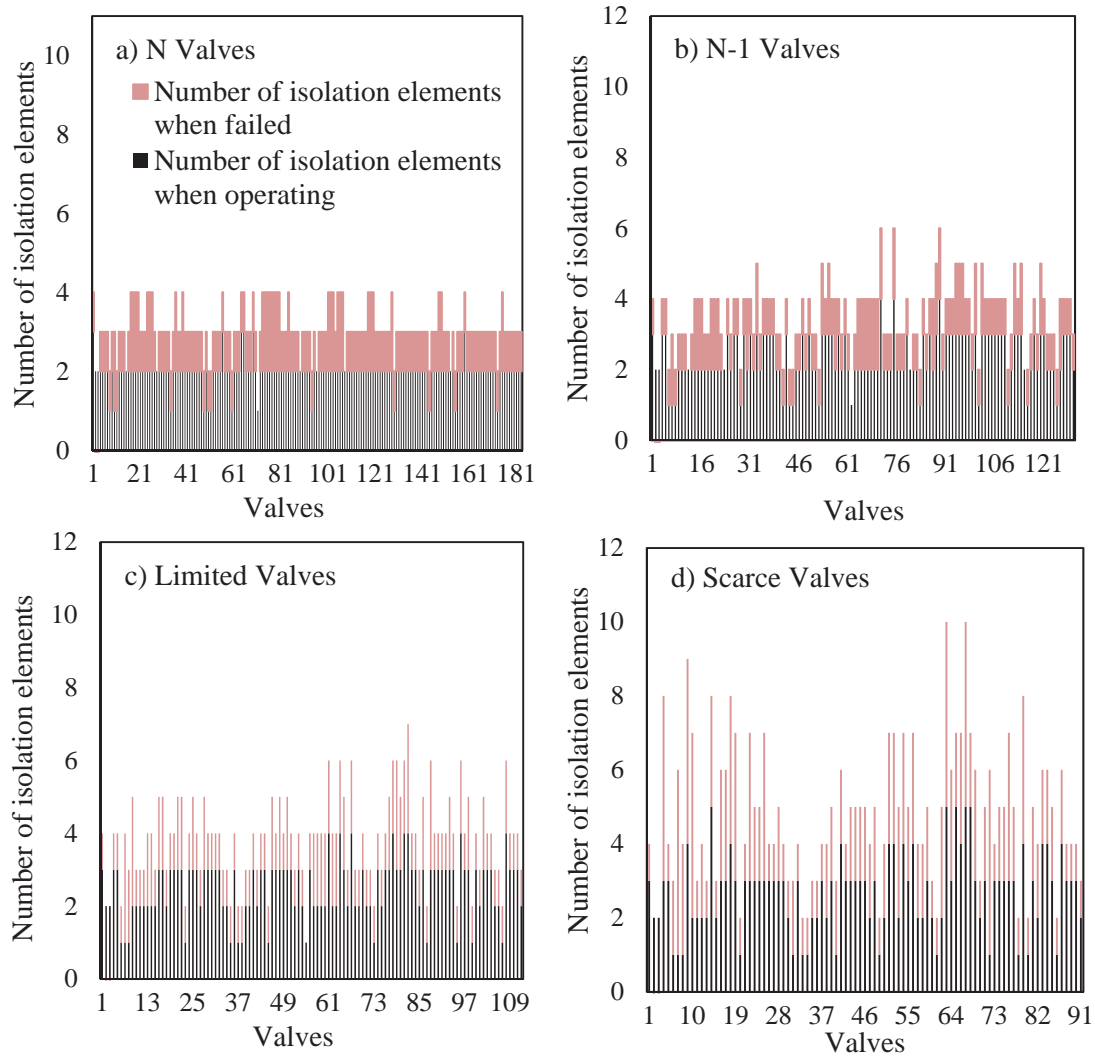
N valves at T

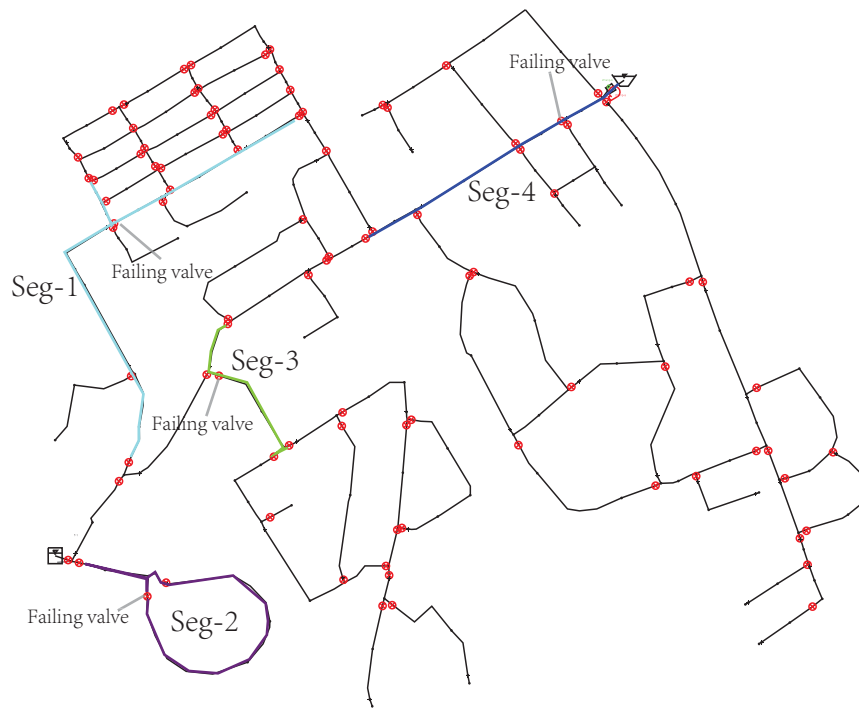


N-1 valves at T

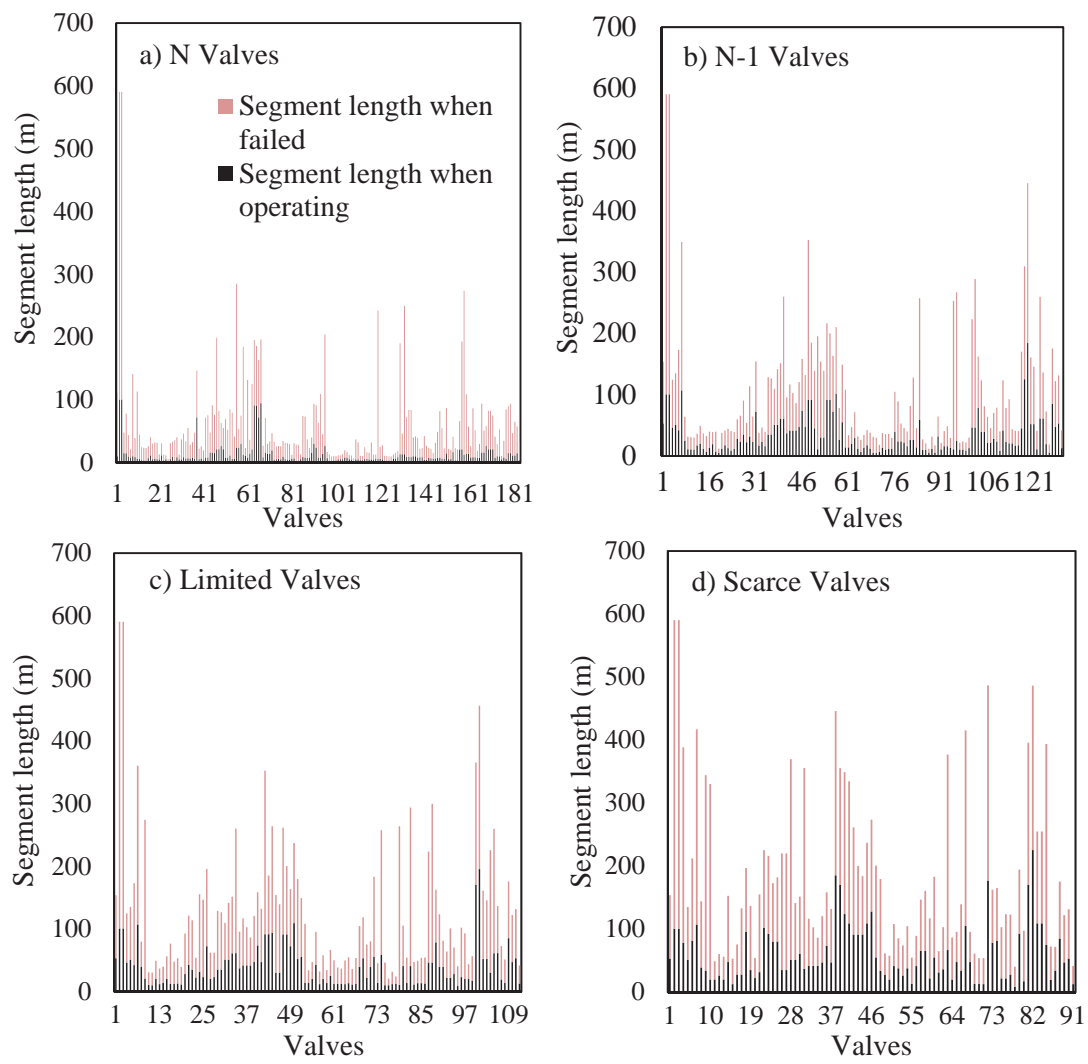


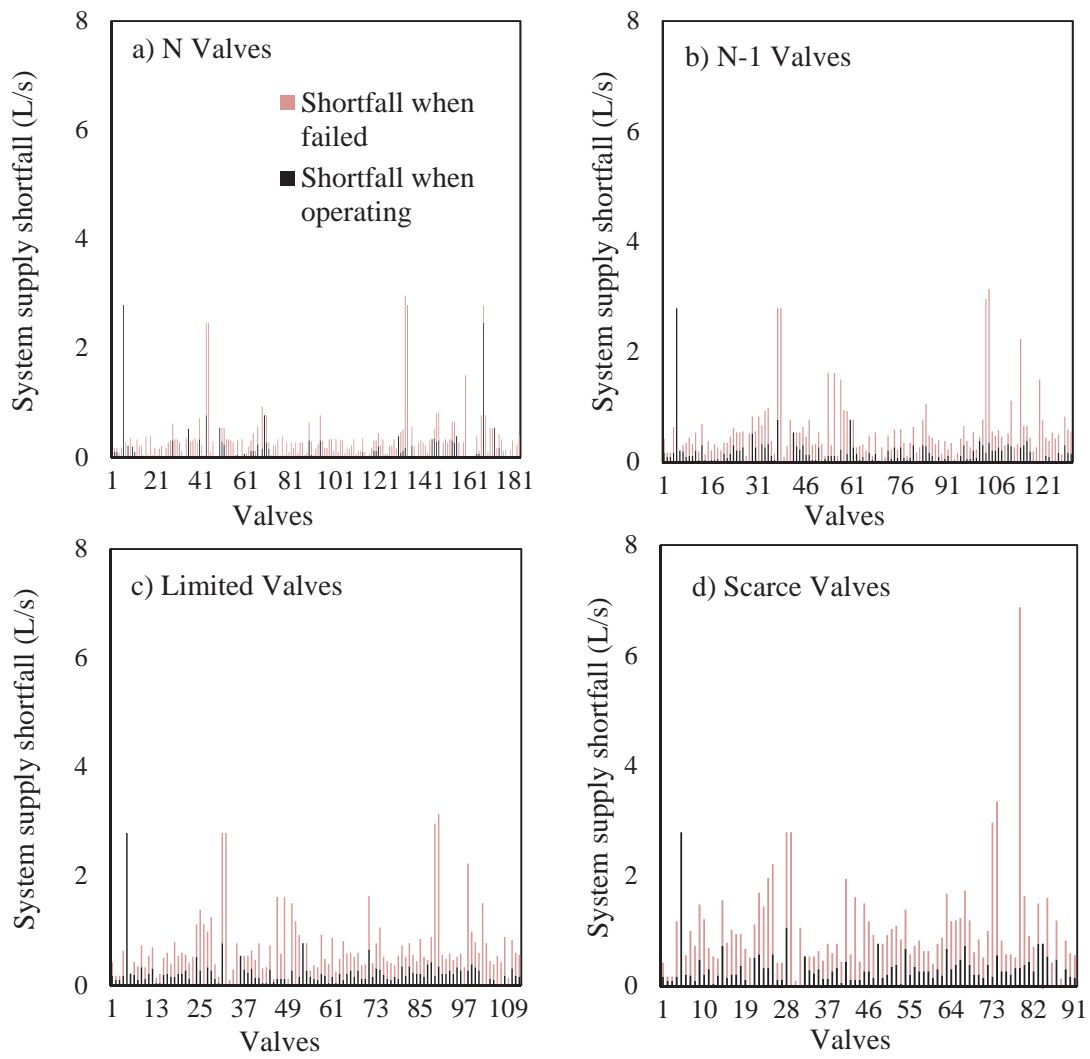


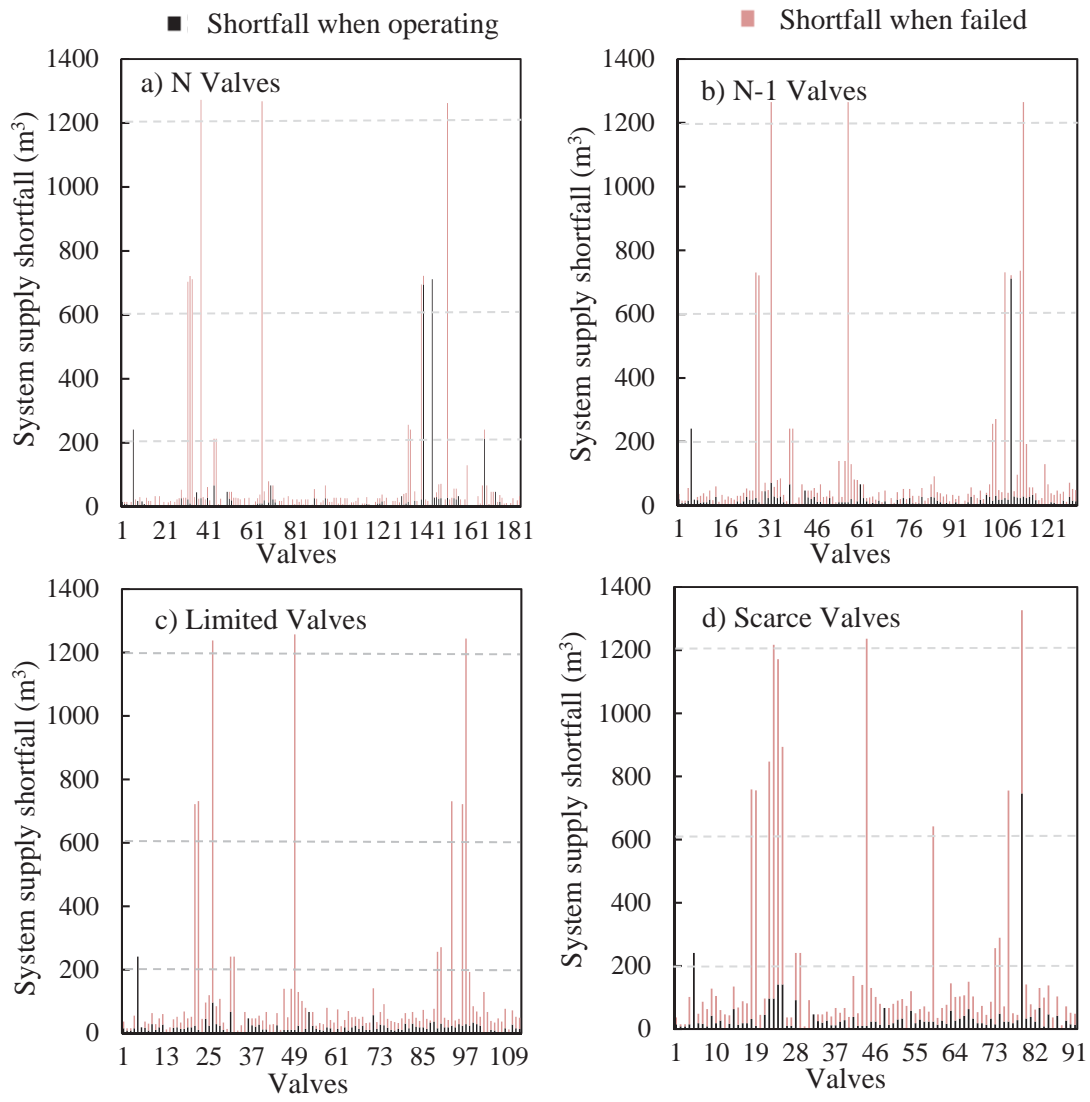












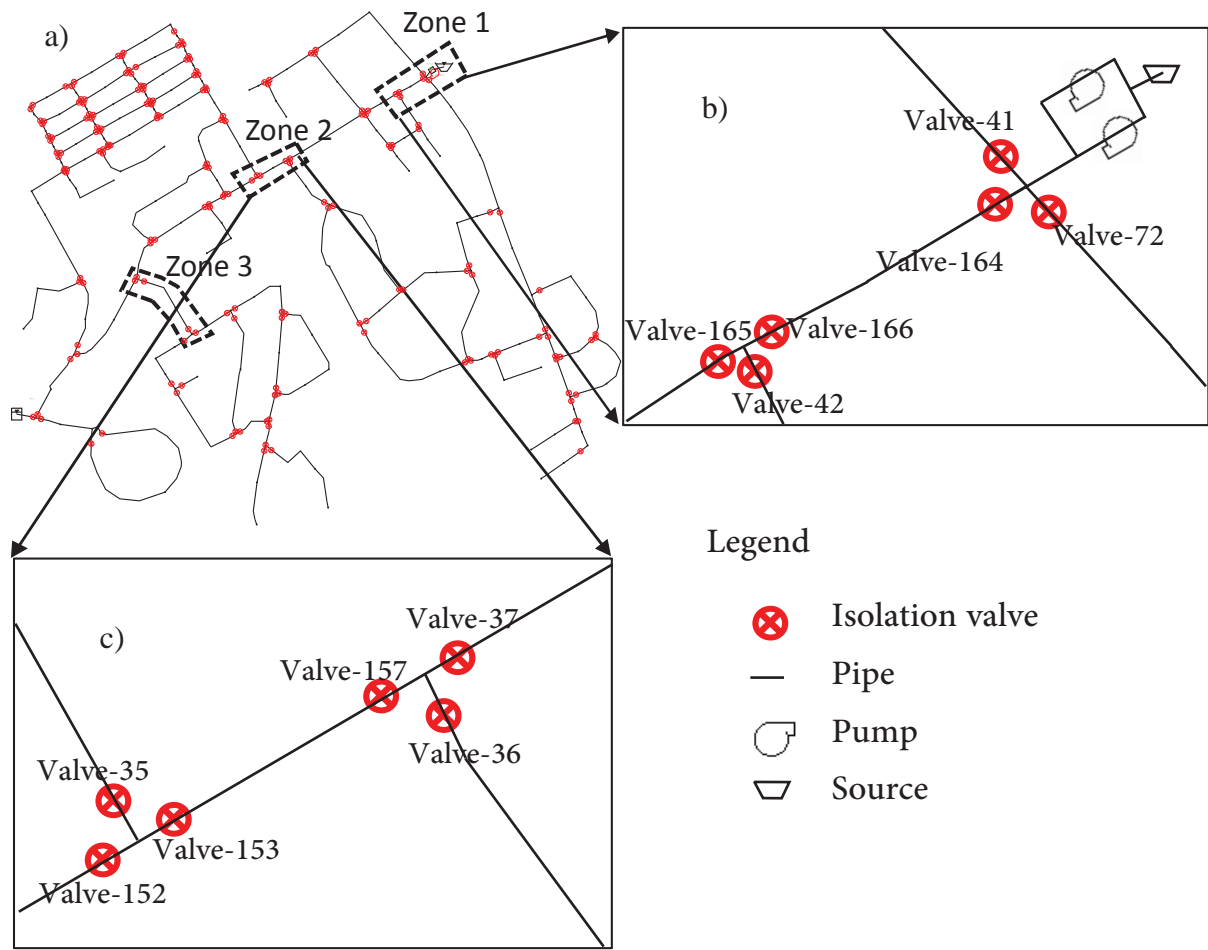


Figure 1. Valving approaches

Figure 2. The schematic of the case network and the four valve configurations considered: a) N Valves; b) N-1 Valves; c) Limited Valves; and d) Scarce Valves.

Figure 3. Hourly demand pattern for the case network

Figure 4. Number of isolation elements before and after one valve failed

Figure 5. The most significantly impacted segments. Seg-1 is the segment that includes the most isolation valves; Seg-2 is the longest segment (scaled in the model); Seg-4 and Seg-3 correspond to the segments with first largest shortfall and second largest shortfall in the steady state simulation, respectively.

Figure 6. Segment length variation before and after one valve failed

Figure 7. System supply shortfalls before and after one valve failed in steady state

Figure 8. System supply shortfalls before and after one valve failed in EPS

Figure 9. Location of critical isolation valves in extended period simulation