

## 3

5

11

14

15



## 16 **Abstract**

17 Coseismic landslides have been responsible for destroyed buildings and structures, dislocated  
18 roads and bridges, cut off of pipelines and lifelines, and tens of thousands of deaths. Newmark's  
19 method is widely applied to assess the permanent displacement along a potential slide surface to  
20 determine the coseismic responses of the slope. The  $M_w$  6.1 (USGS) earthquake in Ludian,  
21 Yunnan Province, China in 2014 has caused widespread landslides and provided the ideal data  
22 sets to conduct a regional analysis of coseismic stability of slopes. The data sets include the  
23 topography, shear strength, and ground shaking of the study area. All of these data sets are  
24 digitized and rasterized at 30m grid spacing using ArcGIS and combined in a dynamic slope  
25 model based on Newmark permanent-deformation analysis. The application of Barton model was  
26 then applied in the permanent-deformation analysis. According to a method of inexact reasoning,  
27 comparisons are made between the predicted displacements and a comprehensive inventory of  
28 landslides triggered by the Ludian earthquake to map the spatial variability in certainty factors. A  
29 coseismic landslide hazard map is then produced based on the spatial distribution of the values of  
30 certainty factors. Such map can be applied to predict the hazard zone of the region and provide  
31 guidelines for making decisions regarding infrastructure development and post-earthquake  
32 reconstruction.

33

34 *Keywords:* Earthquakes; Landslides; Newmark's method; Barton model; Certainty factors;  
35 Seismic hazards

36



## 37 1. Introduction

38 One of the major causes of landslides is recognized as the earthquake. Coseismic landslide  
 39 hazards have drawn increasing attention in recent years (i.e. Jibson et al., 1998; Khazai and Sitar,  
 40 2004; Qi et al., 2010, 2011, 2012; Xu et al., 2013; Chen et al., 2012; Yuan et al., 2014). In fact,  
 41 the damage caused by seismically triggered landslides is sometimes more severe than the  
 42 damage direct from the earthquake (Keefer, 1984). Estimating where is likely to trigger  
 43 landslides under a specific shaking condition plays an important role in regional seismic hazard  
 44 assessment (Jibson et al., 1998). Pseudostatic analysis formalized by Terzhagi (1950) and finite-  
 45 element modeling applied by Clough and Chopra (1966) were employed to assess the seismic  
 46 stability of slopes in early efforts. Newmark (1965) first introduced a relatively simple and  
 47 practical method, still commonly used, to estimate the coseismic permanent-displacements of  
 48 slopes. Studies showed that Newmark's method yields reasonable and practical results when  
 49 modeling the dynamic performance of natural slopes (Wilson and Keefer, 1983; Wieczorek et al.,  
 50 1985; Jibson et al., 1998, 2000; Pradel et al., 2005). Such applications generally start from an  
 51 analysis of the dynamic stability of slopes that is quantified as the critical acceleration. Barton  
 52 model has been widely used in rock mechanics and engineering field to predict the shear strength  
 53 of rock joints, which plays a crucial role in the calculation of critical acceleration. To better  
 54 estimate the dynamic stability of slopes, we introduce the Barton model into a Newmark analysis.  
 55 An improved modeling method is developed using data from the 2014 Ludian earthquake in  
 56 Yunnan Province, Southwestern China. Additionally, we present a method of inexact reasoning,  
 57 certainty factor model, to produce a probabilistic coseismic landslide hazard map.

58 This paper briefly introduces the site characteristics and the spatial distribution of triggered  
 59 landslides, describes the modeling method used for the analysis of seismic slope stability, then



60 presents the mapping procedure of the seismic slope-failure probability, and finally discusses the  
61 results of the seismic hazard assessment and the application of the modeling procedure.

62

## 63 2. Study area

64 The epicenter of the 2014  $M_w$  6.1 Ludian earthquake is located in the southeastern margin of  
65 the Tibetan plateau. A rectangular area lying immediately around the epicenter and containing  
66 dense concentrations of induced landslides was chosen for study. Elevation in the study area  
67 ranges from 785 m to 3,085 m above the sea. There are three rivers, the Niulanjiang River, the  
68 Shaba River and the Longquan River passing through the area. The topography ranges from flat  
69 in river valleys to nearly erect in the slopes on the side of the rivers. The Niulanjiang River,  
70 flowing from southeast (SE) to the northwest (NW), where according to Chen et al. (2015),  
71 incises down to a depth between 1,200 m and 3,300 m, resulting in about 80% of the slopes with  
72 gradients greater than 40° distributed along the banks. Predominant geologic units of the study  
73 area vary in the era from Proterozoic to Mesozoic, including basalt, sandstone, shale, limestone,  
74 dolomite, and slate.

75 A landslide inventory containing 1,415 landslides (Fig. 1) was posed through comparison  
76 between pre-earthquake and post-earthquake satellite images. The majority of landslides  
77 triggered in this earthquake were shallow flow-like landslides (less than 3 m deep) developing in  
78 particularly dense concentrations along steeply incised river valleys. The total area of these  
79 interpreted landslides was 7.01 km<sup>2</sup> within a study area of 705 km<sup>2</sup>. A detailed study showed that  
80 846 of the mapped landslides were greater than 1,000 m<sup>2</sup>, occupying 6.74 km<sup>2</sup> and accounting  
81 for 96.1% of the total landslide area, out of which 279 of the mapped landslides were greater  
82 than 5,000 m<sup>2</sup>, occupying 5.37 km<sup>2</sup> and accounting for 76.6% of the total landslide area.



83

### 84 **3. Methodology**

#### 85 3.1 Modeling method

86 In the context of the analysis of the dynamic stability of a slope, Newmark (1965) proposed a  
 87 permanent-displacement analysis that bridges the gap between simplistic pseudostatic analysis  
 88 and sophisticated, but generally impractical finite-element modeling (Jibson, 1993). Newmark's  
 89 method simulates a landslide as a rigid-plastic friction block having a known critical acceleration  
 90 on an inclined plane (Fig. 2), and then calculates the cumulative permanent displacement of the  
 91 block as it is subjected to an acceleration-time history of an earthquake. Newmark (1965)  
 92 showed that the dynamic stability of a slope is related to the critical acceleration of a potential  
 93 landslide block, and it can be expressed as a simple function of the static factor of safety and the  
 94 landslide geometry as below:

$$a_c = (FS - 1)g \sin \alpha \quad (1)$$

95 where  $a_c$  is critical acceleration in terms of  $g$ , the acceleration due to earth's gravity,  $FS$  is static  
 96 factor of safety, and  $\alpha$  is the angle from the horizontal that the center of the slide block moves  
 97 when displacement first occurs. For a planar slip surface parallel to the slope, this angle can  
 98 generally be approximated as the slope angle.

99 Natural slopes often develop a group of shallow unloading joints (Fig. 3) that parallel to the  
 100 surface due to valley incisions (Gu, 1979; Hoek and Bray, 1981). Studies showed that rock  
 101 slopes behave as collapsing and sliding failure of the shallow unloading joints under strong  
 102 earthquakes, and 90% of coseismic landslides are concentrated in the shallow of slopes (Harp  
 103 and Jibson, 1996; Khazai and Sitar, 2003; Dai et al., 2011; Tang et al., 2015). According to Qi et  
 104 al. (2012), there are two typical kinds of earthquake triggered landslides, i.e., (a) shallow flow-



like landslides with depth less than 3 m in general and (b) thrown landslides occurred at the crest of the slope. For both types, the unstable rock blocks are often cut and activated along the rock joints. Therefore, the static factor of safety in terms of the critical acceleration in these conditions is related to the peak shear strength of the rock joints. For the purpose of regional stable analysis, we use a limit-equilibrium model of an infinite slope (Fig. 2) referring to the simplification of Jibson et al. (1998) on Newmark's method. On this occasion, the value of the static factor of safety against sliding which is given by the ratio of resisting to driving force is determined by conventional analysis with no consideration of horizontal or inclined accelerations, expressed as:

$$FS = \frac{\text{Resisting force}}{\text{Driving force}} = \frac{\tau L}{mg \sin \alpha} = \frac{\tau L}{\gamma L t \sin \alpha} = \frac{\tau}{\gamma t \sin \alpha} \quad (2)$$

where  $\tau$  is peak shear strength of the rock joint,  $\gamma$  is unit weight of the rock mass, and  $t$  is the thickness of the failure rock block.

For a Newmark analysis, it has been customary to describe the shear strength of rocks not rock joints in terms of Coulomb's constants for friction and cohesion. However, both are not only stress dependent variables, but also scale dependent (Barton and Choubey, 1977). According to Barton (1973), a more satisfactory empirical relationship for predicting the peak shear strength of a joint can be written as follows:

$$\tau = \sigma_n \tan [JRC \log_{10} \left( \frac{JCS}{\sigma_n} \right) + \phi_b] \quad (3)$$

where  $\sigma_n$  is effective normal stress,  $JRC$  is joint roughness coefficient,  $JCS$  is joint wall compressive strength,  $\phi_b$  is basic friction angle.

The effective normal stress ( $\sigma_n$ ) generated by the gravity acting on the rock block is as follows:

$$\sigma_n = \frac{mg \cos \alpha}{L} = \frac{\gamma L t \cos \alpha}{L} = \gamma t \cos \alpha \quad (4)$$



123 Considering the impact of size effect on  $JRC$  and  $JCS$ , formulations were developed by Barton  
 124 and Bandis (1982) and are shown as below:

$$JRC_n = JRC_0 \left( \frac{L_n}{L_0} \right)^{-0.02 JRC_0} \quad (5)$$

$$JCS_n = JCS_0 \left( \frac{L_n}{L_0} \right)^{-0.03 JRC_0} \quad (6)$$

125 where the nomenclature adopted incorporates the  $(l)$  and  $(n)$  for laboratory scale and in situ scale  
 126 values respectively.

127 Hence the static factor of safety ( $FS$ ) of a slope can be written as:

$$\begin{aligned} FS &= \frac{\tau}{\gamma t \sin \alpha} = \frac{\sigma_n \tan [JRC_n \log_{10} \left( \frac{JCS_n}{\sigma_n} \right) + \phi_b]}{\gamma t \sin \alpha} \\ &= \frac{\gamma t \cos \alpha \tan [JRC_n \log_{10} \left( \frac{JCS_n}{\gamma t \cos \alpha} \right) + \phi_b]}{\gamma t \sin \alpha} \\ &= \frac{\tan [JRC_n \log_{10} \left( \frac{JCS_n}{\gamma t \cos \alpha} \right) + \phi_b]}{\tan \alpha} \end{aligned} \quad (7)$$

128 After knowing the slope angle and the static factor of safety, the critical acceleration of a slope  
 129 can be determined. Once the earthquake acceleration-time history has been selected, those  
 130 portions of the record lying above the critical acceleration  $a_c$  (Fig. 4a) are integrated once to  
 131 derive a velocity profile (Fig. 4b), which in turn is integrated a second time to obtain the  
 132 cumulative displacement profile of the block (Fig. 4c). Users then judge the dynamic  
 133 performance of a slope based on the magnitude of the Newmark displacement. The detailed  
 134 procedure of conducting a Newmark analysis with Barton model is discussed in the following  
 135 sections.

### 136 3.2 Static factor of safety



137 Considering that the mapped landslides greater than 1,000 m<sup>2</sup> occupy 96.1% of the total  
 138 landslide area, we selected a 30 m×30 m digital elevation model (DEM) ASTER Global Digital  
 139 Elevation Model (<https://doi.org/10.5067/ASTER/ASTGTM.002>, last accessed July 16, 2018)  
 140 that is capable of facilitating the subsequent hazard analysis. A basic slope algorithm was applied  
 141 to the DEM to produce a slope map (Fig. 5), where the slope is identified as the steepest  
 142 downhill descent from the cell to its neighbors (Burrough and McDonell, 1998). The slopes  
 143 range from greater than 60° in the banks of the Niulanjiang River, the Shaba River and the  
 144 Longquan River, to less than 20° in moderate and low mountains and hills in north and east.

145 Digital geologic map from China Geological Survey (GCS) was rasterized at 30 m grid  
 146 spacing for assigning material properties throughout the study area. According to the literature  
 147 researches, we found that  $JRC_0$  and  $JCS_0$  depend strongly on the lithology. Representative values  
 148 of  $\gamma$ ,  $JRC_0$ ,  $JCS_0$  and  $\phi_b$  assigned to each rock type exposed in the area can normally be  
 149 estimated with the help of the test data listed in Table 1. The selected values were near the  
 150 middle of the ranges represented in the references. These  $JRC_0$  and  $JCS_0$  are considered in  
 151 laboratory scale, for the length of 100mm as  $L_0$ . For each grid cell in regional analysis,  $L_n$ , the  
 152 length of engineering dimension, can generally be approximated as  $\frac{30m}{\cos\alpha}$ , where 30 m is the cell  
 153 size of the raster grid and  $\alpha$  is the slope angle. The values of  $JRC_n$  and  $JCS_n$ , then, are calculated  
 154 by inserting values from  $JRC_0$ ,  $JCS_0$ ,  $L_0$ , and  $L_n$  into Eq. (5) and Eq. (6). Fig. 6 shows the  $JRC_0$   
 155 (Fig. 6a) and  $JCS_0$  (Fig. 6b) values assigned to the rock types exposed in the study area, while  
 156 Fig. 7a and Fig. 7b show the  $JRC_n$  and  $JCS_n$  values respectively. The basic-friction-angle ( $\phi_b$ )  
 157 map and unit weight ( $\gamma$ ) map are shown as Fig. 8 and Fig. 9 respectively.

158 For simplicity, the thickness of the modeled block  $t$  was taken to be 3 m, which reflects the  
 159 typical slope failures of the Ludian earthquake. The static factor-of-safety map was produced by





160 combining these data layers ( $\alpha$ ,  $JRC_n$ ,  $JCS_n$ ,  $\phi_b$ , and  $\gamma$ ) in Eq. (7). In the initial iteration of the  
 161 calculation, static factors of safety ranged from 0.09 to 125.27. Grid cells in steep areas with  
 162 static factors of safety less than 1 indicate that the slopes are statically unstable, but do not  
 163 necessarily mean that the slopes are moving under the earthquake shaking. In this condition, to  
 164 avoid conservative results, we did not increase the strengths of rock types having statically  
 165 unstable cells, either, adjust strengths of other rock types to preserve the relative strength  
 166 differences between rock types. Instead we assigned a minimal static factor of safety as 1.01,  
 167 merely above limit equilibrium, to these slopes, to avoid a negative value of the critical  
 168 acceleration  $a_c$ . According to Keefer (1984), most landslides triggered by earthquakes occur  
 169 with a slope of  $5^\circ$  at least. Static factors of safety resulting from slopes less than  $5^\circ$  were very  
 170 high, and these slopes that were impossible to have failures under the Ludian earthquake did not  
 171 produce a statistically significant sample to the analysis. Therefore, slopes less than  $5^\circ$  were not  
 172 analyzed during the second iteration. After the adjustment, the static factors of safety ranged  
 173 from 1.0 to 8.5, as shown in Fig. 10.

### 174 3.3 Critical acceleration

175 According to Newmark (1965), a pseudostatic analysis in terms of the static factor of safety  
 176 and the slope angle was employed to calculate the critical acceleration of a potential landslide.  
 177 The critical-acceleration map (Fig. 11) was produced by combining the static factor of safety and  
 178 the slope angle in Eq. (1).

179 The critical acceleration that results in a static factor of safety of 1.0 and initiates a sliding of a  
 180 slope in a limit-equilibrium analysis is derived from the intrinsic slope properties (topography  
 181 and lithology), regardless which ground shaking is given. Therefore, the critical-acceleration  
 182 map indicates the susceptibility of the coseismic landslides (Jibson et al., 1998). The calculated



critical accelerations range from  $6.35\text{ g}$  in areas that are more susceptible to coseismic landslides, to almost zero in areas with lower susceptibility.

### 3.4 Shake map

There were 23 strong-motion stations within 100 km of the Ludian earthquake epicenter. Each station record included three components of the peak ground acceleration (*PGA*), in south-north direction, east-west direction and up-down direction respectively. We calculated the average *PGA* of the two horizontal components of each strong-motion recording, and then plotted a contour map (Fig. 12) using an Inverse Distance Weighted (IDW) interpolation algorithm. This method assumes that the variable of the average *PGA* being mapped decreases in influence with distance from its sampled location. Inverse Distance Weighted (IDW) interpolation determines cell values using a linearly weighted combination of a set of sample stations (Watson and Philip, 1985). The weight is a function of inverse distance. In addition, considering that input stations far away from the cell location where the prediction is being made may have poor or no spatial correlation, we eliminated the input stations out of 100 km from the calculation.

### 3.5 Newmark displacement

In a real landslide hazard case, it is impossible to conduct a rigorous Newmark analysis when accelerometer records are unavailable. It is also impractical and time consuming to produce a displacement in each cell during the regional analysis. Therefore, empirical regressions (Ambraseys and Menu, 1988; Jibson, 1993; Jibson et al., 1998; Saygili and Rathje, 2008; Rathje and Saygili, 2009; Hsieh and Lee, 2011) were proposed to estimate Newmark displacement as a function of the critical acceleration and peak ground acceleration or Arias intensity. Among those empirical estimations, Rathje and Saygili (2009) developed a scalar model for



displacement in terms of the critical acceleration ( $a_c$ ), peak ground acceleration ( $PGA$ ) and moment magnitude ( $M_w$ ) based on analysis of over 2,000 strong motions.

$$\ln D = 4.89 - 4.85 \left( \frac{a_c}{PGA} \right) - 19.64 \left( \frac{a_c}{PGA} \right)^2 + 42.49 \left( \frac{a_c}{PGA} \right)^3 - 29.06 \left( \frac{a_c}{PGA} \right)^4 + 0.72 \ln(PGA) + 0.89(M_w - 6) \quad (8)$$

where  $D$  is predicted displacement in units of  $cm$ ,  $a_c$  and  $PGA$  are in units of  $g$ .

This model is a preferred displacement model at a specific site where acceleration-time recordings are not available. The incorporating multiple ground motion parameters in the analysis typically results in less variability in the prediction of displacement (Rathje and Saygili, 2009).

The Newmark displacement (Fig. 13) in each cell was calculated by combining corresponding values of the critical acceleration, peak ground acceleration and moment magnitude in Eq (8). Predicted displacements range from 0 cm to 123 cm.

### 3.6 Certainty factor and coseismic landslide hazard map

According to Jibson et al. (1998), predicted displacements provide an index of seismic performance of slopes, but do not correspond directly to measurable slope movements in the field. Therefore, larger predicted displacements do not necessarily relate to greater incidence of slope failures. To produce a coseismic landslide hazard map, we chose a model of inexact reasoning, the certainty factor model (CFM), which was created by Shortliffe and Buchanan (1975) and improved by Hecherman (1986), to explore the relationship between the landslide occurrences and the predicted displacements. The CFM was created as a numerical method, which was initially used by MYCIN, a backward chaining expert system in medicine (Shortliffe and Buchanan, 1975), for managing uncertainty in a rule-based system. In this model, the certainty factor  $CF$  represents the net belief in a hypothesis  $H$  based on the evidence  $E$



(Hecherman, 1986). Certainty factors range between -1 and 1. A  $CF$  with a value of -1 means total disbelief, whereas a  $CF$  with a value of 1 means total belief. Values greater than 0 favor the hypothesis while values less than 0 favor the negation of the hypothesis. According to Hecherman (1986), there is a probabilistic interpretation for  $CF$  shown as below:

$$CF = \begin{cases} \frac{p(H|E) - p(H)}{p(H|E)[1 - p(H)]}, & p(H|E) > p(H) \\ \frac{p(H|E) - p(H)}{p(H)[1 - p(H|E)]}, & p(H|E) < p(H) \end{cases} \quad (9)$$

where  $CF$  is the certainty factor,  $p(H|E)$  denotes the conditional probability for the case of a posterior hypothesis that relies on evidence, the posterior probability, and  $p(H)$  is the prior probability before any evidence is known. In the displacement analysis,  $p(H|E)$  was defined as the proportion of the landslide area within a specific displacement area while  $p(H)$  was defined as the proportion of the landslide area within the entire study area excluding the slopes less than  $5^\circ$ . In this way, values of  $CF$  represent the probability of coseismic landslides. Positive values correspond to an increase in probability in a slope failure while negative quantities correspond to a decrease in probability. Greater positive values indicate higher probability of coseismic landslides.

Given this definition, we could produce a coseismic landslide hazard map in terms of certainty factors. First, displacement cells in every 1 cm were grouped into bins, such that all cells having displacements between 0 cm and 1 cm were grouped into the first bin; those having displacements between 1 cm and 2 cm were grouped into the second bin, and so on. The displacements were grouped into 123 bins, from 0 cm to 123 cm except for 122 cm (no predicted displacement in 122 cm). Later, we calculated the proportion of landslide cells in each bin. This proportion was considered the posterior probability of each bin as defined. The prior probability



246 calculated by dividing the entire landslide area by the entire study area is same in each bin.  
 247 Finally, values of  $CF$  were computed in each bin by using Eq. (9) to combine corresponding  
 248 values of the posterior probability and prior probability. Certainty factors range from -1.00 to  
 249 0.83. Values of  $CF$  indicate probabilities of landslide occurrence of each bin in the study area  
 250 and provide the basis for producing a coseismic landslide hazard map.

251 As shown in the hazard map for the Ludian earthquake (Fig. 14), most of the actual triggered  
 252 landslides lie in the higher probability areas with  $CF$  values greater than 0.60. The interpreted  
 253 landslides are covered on the map to demonstrate the good fit for predicted probabilities of  
 254 coseismic landslides.

255

#### 256 4. Results and Discussion

257 The predicted displacements represent the cumulative sliding displacements for a given  
 258 acceleration-time history. Based on the statistically significant sizes of the area of each  
 259 displacement shown in Fig. 15, we conclude that the study area would probably suffer from  
 260 different types of coseismic landslides. The vast majority of area are from displacements that less  
 261 than the middle of the ranges. Displacements around 60 cm have the largest area, and  
 262 displacements less than 2 cm have the second largest area, while displacements greater than 90  
 263 cm occupy a very small area. Jibson et al. (1998) supposed that shallow falls and slides in brittle,  
 264 weakly cemented materials would fail at a relatively small displacement, while slumps and block  
 265 slides in more compliant materials would likely fail at a larger displacement. That is to say, the  
 266 study area is more susceptible to rock falls and shallow, disrupted slides that fail at a relatively  
 267 small displacement, while the study area is with a lower probability subjected to coherent, deep-  
 268 seated slides that would fail at a larger displacement. Indeed, the majority of landslides triggered



269 by the Ludian earthquake were shallow, disrupted slides and rock falls (Zhou et al., 2016).  
270 Although few catastrophic rock avalanches, such as the Hongshiyan landslide (Chang et al.,  
271 2017), occurred in the field, they did not produce statistically significant samples that could  
272 meaningfully contribute to the model, which was consistent with the statistic results as discussed  
273 previously. Therefore, the model should relate well to typical kinds of earthquake-induced  
274 landslides in the study area, meanwhile demonstrate its potential utility to predict the probability  
275 of other types of landslides.

276 For each value of  $CF$ , the proportion of landslide area was plotted as a dot in Fig. 16. The data  
277 was fitted by a second order exponential growth function. The fitting appears to be very good:  
278 the proportion of landslide area within each  $CF$ -value area increases exponentially with the  
279 increase of the value of  $CF$ . When the value of  $CF$  is reaching 1.0 (total belief) in Fig. 16, the  
280 proportion of landslide area is monotonically getting close to 1.0, which means the probability of  
281 a slope failure is growing and a landslide would probably occur. Such a procedure is consistent  
282 with the interpretation of the certainty factor theory. Therefore, the CFM demonstrates the  
283 capability of its representation and predicting approach for a probabilistic hazard analysis of  
284 coseismic landslides.

285 When fitting the results of shear tests using Coulomb's linear relation, the shear strengths vary  
286 widely from high normal stress in laboratory to low normal stress in the field (Barton, 1973). We  
287 introduced Barton model into the Newmark analysis to reduce the variability of shear strengths  
288 in terms of Coulomb's constants. And we considered the impact of scale effects by using Eq. (5)  
289 and Eq. (6), which helps to prevent Newmark's method from underestimating the shear strength  
290 of geologic units in a regional analysis. In addition, for Barton model, the joint roughness  
291 coefficient ( $JRC$ ) could be estimated from tilt tests or from matching of Barton joint standard



roughness profiles that were regarded by the International Society for Rock Mechanics (ISRM, 1978), while the joint wall compressive strength (*JCS*) could be estimated by Schmidt hammer index tests. These tests are helpful to make a quick estimate of the shear strength in situ, which could facilitate using Newmark's method in an emergency hazard and risk assessment after an earthquake.

Shear strengths assigned to the geologic units were from results of hundreds of shear tests from the references. Although the assigned shear strengths would have uncertainty in some way, the good fit of the spatial distribution of coseismic landslides shown by the probabilistic hazard map (Fig. 15) demonstrates the practicability of Barton model in the analysis.

## 5. Conclusion

Newmark's method is a useful, physically based model to estimate the seismic stability of natural slopes. Mapping procedure of data from the Ludian earthquake shows the feasibility of Barton model in a Newmark analysis. Such method decreases the uncertainty of shear strengths in a Newmark model and provides practical applications in regional seismic hazard assessment. We also consider the size effect of shear strength parameters, such as the joint roughness coefficient (*JRC*) and the joint wall compressive strength (*JCS*) in a regional analysis. Moreover, the linkage of Newmark displacements to certainty factor model improves the utility of Newmark's method to predict the probabilistic hazard of coseismic landslides.

## Acknowledgements

This work is supported by Natural Science Foundation of China under Grants of Nos. 41825018 and 41672307, Science and Technology Service Network Initiative under Grant No.



315 KFJ-EW-ST5-094, and the sponsorship from the China Scholarship Council (No.  
316 201704910537).  
317





## 318 **References**

- 319 Alejano, L. R., González, J. and Muralha, J.: Comparison of different techniques of tilt testing  
 320 and basic friction angle variability assessment. *Rock mechanics and rock engineering* 45(6),  
 321 1023-1035, 2012.
- 322 Alejano, L. R., Perucho, Á., Olalla, C. and Jiménez, R.: Rock engineering and rock mechanics:  
 323 structures in and on rock masses. CRC Press, Boca Raton, Florida, 615-1148, 2014.
- 324 Ambraseys, N. N. and Menu, J. M.: Earthquake-induced ground displacements. *Earthquake*  
 325 *engineering and structural dynamics* 16(7), 985-1006, 1988.
- 326 Bandis, S. C., Lumsden, A. C. and Barton, N. R.: Fundamentals of rock joint deformation.  
 327 *International Journal of Rock Mechanics and Mining Sciences & Geomechanics Abstracts*  
 328 20(6), 249-268, 1983.
- 329 Barton, N.: Review of a new shear-strength criterion for rock joints. *Engineering geology* 7(4),  
 330 287-332, 1973.
- 331 Barton, N. and Bandis, S.: Effects of block size on the shear behavior of jointed rock. Keynote  
 332 Lecture in the 23rd US Symposium on Rock Mechanics (USRMS). American Rock  
 333 Mechanics Association, Berkeley, California, 739-760, 1982.
- 334 Barton, N. and Choubey, V.: The shear strength of rock joints in theory and practice. *Rock*  
 335 *mechanics* 10(1-2), 1-54, 1977.
- 336 Bilgin, H. A. and Pasamehmetoglu, A. G.: Shear behaviour of shale joints under heat in direct  
 337 shear. In Barton N. and Stephansson O. (Eds.), *Rock joints*. CRC Press, Rotterdam, 179-183,  
 338 1990.
- 339 Burrough P. A. and McDonnell R. A.: Principles of geographical information systems (2nd  
 340 Edition). Oxford University Press, New York, 190, 1998.



- 341 Chang, Z. F., Chang, H., Yang, S. Y., Chen, G. and Li, J. L.: Characteristics and formation  
 342 mechanism of large rock avalanches triggered by the Ludian Ms6.5 earthquake at Hongshiyan  
 343 and Ganjiazhai. *Seismology and Geology* 39(5), 1030-1047, 2017 (in Chinese with English  
 344 abstract).
- 345 Chen, X. L., Ran, H. L. and Yang, W. T.: Evaluation of factors controlling large earthquake-  
 346 induced landslides by the Wenchuan earthquake. *Natural Hazards and Earth System Sciences*,  
 347 12(12), 3645-3657, 2012.
- 348 Chen, X. L., Zhou, Q. and Liu, C. G.: Distribution pattern of coseismic landslides triggered by  
 349 the 2014 Ludian, Yunnan, China Mw6.1 earthquake: special controlling conditions of local  
 350 topography. *Landslides* 12(6), 1159-1168, 2015.
- 351 Clough, R. W. and Chopra, A. K.: Earthquake stress analysis in earth dams. *ASCE Journal of the*  
 352 *Engineering Mechanics Division* 92, 197-211, 1966.
- 353 Coulson, J.H.: Shear strength of flat surfaces in rock. In Cording, E. J. (Ed.), *Stability of Rock*  
 354 *Slopes*. 13th Symposium on Rock Mechanics, Urbana, Illinois, 77-105, 1972.
- 355 Dai, F. C., Xu, C., Yao, X., Xu, L., Tu, X. B. and Gong, Q. M.: Spatial distribution of landslides  
 356 triggered by the 2008 Ms 8.0 Wenchuan earthquake, China. *Journal of Asian Earth Sciences*  
 357 40(4), 883-895, 2011.
- 358 Giusepone, F. and da Silva, L. A. A.: Hoek & Brown and Barton & Bandis Criteria Applied to a  
 359 Planar Sliding at a Dolomite Mine in Gandarela Synclinal. In *ISRM Conference on Rock*  
 360 *Mechanics for Natural Resources and Infrastructure-SBMR 2014*. International Society for  
 361 *Rock Mechanics*, 2014.
- 362 Gu, D. Z.: *Engineering geomechanics of rock mass*. Science Press, Beijing, China, 1979 (in  
 363 Chinese).



- 364 Harp, E. L. and Jibson, R. W.: Landslides triggered by the 1994 Northridge, California,  
 365 earthquake. *Bulletin of the Seismological Society of America* 86(1B), S319-S332, 1996.
- 366 Heckerman, D.: Probabilistic interpretations for MYCIN's certainty factors. In Kanal, L. N. and  
 367 Lemmer, J. F. (Eds), *Machine Intelligence and Pattern Recognition 4*, North-Holland, 167-  
 368 196, 1986.
- 369 Hsieh, S. Y. and Lee, C. T.: Empirical estimation of the Newmark displacement from the Arias  
 370 intensity and critical acceleration. *Engineering Geology* 122(1-2), 34-42, 2011.
- 371 Hoek, E. and Bray, J. D.: *Rock slope engineering*. CRC Press, 1981.
- 372 ISRM (International Society for Rock Mechanics): Suggested Methods for the Quantitative  
 373 Description of Discontinuities in Rock Masses. *International Journal of Rock Mechanics and*  
 374 *Mining Sciences & Geomechanics Abstracts* 15, 319-368, 1978.
- 375 Jibson, R. W.: Predicting earthquake-induced landslide displacements using Newmark's sliding  
 376 block analysis. *Transportation research record* 1411, 9-17, 1993.
- 377 Jibson, R. W., Harp, E. L. and Michael, J. A.: A method for producing digital probabilistic  
 378 seismic landslide hazard maps: an example from the Los Angeles, California, area. US  
 379 Geological Survey. Open-File Rep. 98-113. 17 pp., 1998.
- 380 Jibson, R. W., Harp, E. L. and Michael, J. A.: A method for producing digital probabilistic  
 381 seismic landslide hazard maps. *Engineering Geology* 58(3-4), 271-289, 2000.
- 382 Keefer, D. K.: Landslides caused by earthquakes. *Geological Society of America Bulletin* 95(4),  
 383 406-421, 1984.
- 384 Khazai, B. and Sitar, N.: Evaluation of factors controlling earthquake-induced landslides caused  
 385 by Chi-Chi earthquake and comparison with the Northridge and Loma Prieta events.  
 386 *Engineering geology* 71(1-2), 79-95, 2004.



- 387 NASA/METI/AIST/Japan Spacesystems and U.S./Japan ASTER Science Team: ASTER Global  
 388 Digital Elevation Model version 2. NASA EOSDIS Land Processes DAAC, [https://doi:](https://doi.org/10.5067/ASTER/ASTGTM.002)  
 389 10.5067/ASTER/ASTGTM.002 (last accessed July 16, 2018), 2009.
- 390 Newmark, N. M.: Effects of earthquakes on dams and embankments. *Geotechnique* 15(2), 139-  
 391 160, 1965.
- 392 Pradel, D., Smith, P. M., Stewart, J. P. and Raad, G.: Case history of landslide movement during  
 393 the Northridge earthquake. *Journal of Geotechnical and Geoenvironmental Engineering*  
 394 131(11), 1360-1369, 2005.
- 395 Priest, S. D.: *Discontinuity analysis for rock engineering*. Springer Science & Business Media,  
 396 B.V., Dordrecht, 320, 2012.
- 397 Qi, S. W., Xu, Q., Lan, H. X., Zhang, B. and Liu, J. Y.: Spatial distribution analysis of landslides  
 398 triggered by 2008.5.12 Wenchuan Earthquake, China, *Engineering Geology* 116 (1-2),  
 399 95~108, 2010.
- 400 Qi, S. W., Xu, Q., Zhang, B., Zhou, Y. D., Lan, H. X. and Li, L. H.: Source characteristics of  
 401 long runout rock avalanches triggered by the 2008 Wenchuan earthquake, China, *Journal of*  
 402 *Asian Earth Sciences* 40 (4), 896~906, 2011.
- 403 Qi, S. W., Yan, C. G. and Liu, C. L.: Two typical types of earthquake triggered landslides and  
 404 their mechanisms. In *Landslides and Engineered Slopes: Protecting Society through Improved*  
 405 *Understanding*, ISBN 978-0-415-63303-1, 2012.
- 406 Rathje, E. M. and Saygili, G.: Probabilistic assessment of earthquake-induced sliding  
 407 displacements of natural slopes. *Bulletin of the New Zealand Society for Earthquake*  
 408 *Engineering* 42(1), 18-27, 2009.



- 409 Saygili, G. and Rathje, E. M.: Empirical predictive models for earthquake-induced sliding  
 410 displacements of slopes. *Journal of Geotechnical and Geoenvironmental Engineering* 134(6),  
 411 790-803, 2008.
- 412 Shortliffe, E. H. and Buchanan, B. G.: A model of inexact reasoning in medicine. *Mathematical*  
 413 *Biosciences* 23, 351-379, 1975.
- 414 Singh, T. N., Kainthola, A. and Venkatesh, A.: Correlation between point load index and  
 415 uniaxial compressive strength for different rock types. *Rock Mechanics and Rock*  
 416 *Engineering* 45(2), 259-264, 2012.
- 417 Tang, C., Ma, G., Chang, M., Li, W., Zhang, D., Jia, T. and Zhou, Z.: Landslides triggered by the  
 418 20 April 2013 Lushan earthquake, Sichuan Province, China. *Engineering Geology* 187, 45-55,  
 419 2015.
- 420 Terzaghi, K.: Mechanism of landslides. In Paige, S. (Ed.), *Application of Geology to*  
 421 *Engineering Practice (Berkey Volume)*. Geological Society of America, New York, NY, 83-  
 422 123, 1950.
- 423 Watson, D. F. and Philip, G. M.: A Refinement of Inverse Distance Weighted Interpolation.  
 424 *Geoprocessing* 2, 315–327, 1985.
- 425 Wieczorek, G. F., Wilson, R. C. and Harp, E. L.: Map showing slope stability during earthquakes  
 426 in San Mateo County, California. U.S. Geological Survey Miscellaneous Investigations Map  
 427 I-1257-E, scale 1:62,500, 1985.
- 428 Wilson, R. C. and Keefer, D. K.: Dynamic analysis of a slope failure from the 6 August 1979  
 429 Coyote Lake, California, earthquake. *Bulletin of the Seismological Society of America* 73(3),  
 430 863-877, 1983.



- 431 Xu, C., Xu, X., Zhou, B., and Yu, G.: Revisions of the M 8.0 Wenchuan earthquake seismic  
 432 intensity map based on co-seismic landslide abundance. *Natural Hazards*, 69(3), 1459-1476,  
 433 2013.
- 434 Yong, R., Ye, J., Liang, Q. F., Huang, M. and Du, S. G.: Estimation of the joint roughness  
 435 coefficient (JRC) of rock joints by vector similarity measures. *Bulletin of Engineering*  
 436 *Geology and the Environment* 77, 735-749, 2018.
- 437 Yuan, R. M., Tang, C. L., Hu, J. C., and Xu, X. W.: Mechanism of the Donghekou landslide  
 438 triggered by the 2008 Wenchuan earthquake revealed by discrete element modeling. *Natural*  
 439 *Hazards and Earth System Sciences*, 14(5), 1195-1205, 2014.
- 440 Zhou, S. H., Chen, G. Q. and Fang, L. G.: Distribution pattern of landslides triggered by the  
 441 2014 Ludian earthquake of China: Implications for regional threshold topography and the  
 442 seismogenic fault identification. *ISPRS International Journal of Geo-Information* 5(4), 46,  
 443 2016.
- 444



445 **Figure Captions**

446 **Fig. 1.** Map of the study area showing interpreted landslides.

447 **Fig. 2.** Conceptual sliding-block model of a Newmark analysis.

448 **Fig. 3.** A schematic diagram showing shadow unloading joints in the slope.

449 **Fig. 4.** Demonstration of the Newmark-analysis algorithm (adapted from Wilson and Keefer,  
 450 1983)

451 **Fig. 5.** Slope map derived from the DEM of the study area.

452 **Fig. 6.** (a)  $JRC_0$  and (b)  $JCS_0$  assigned to rock types in the study area.

453 **Fig. 7.** (a)  $JRC_n$  component and (b)  $JCS_n$  component of shear strength assigned to rock types in  
 454 the study area.

455 **Fig. 8.** Basic-friction-angle ( $\phi_b$ ) component of shear strength assigned to rock types in the study  
 456 area.

457 **Fig. 9.** Unit weight ( $\gamma$ ) assigned to rock types in the study area.

458 **Fig. 10.** Static factor-of-safety map of the study area.

459 **Fig. 11.** Map showing critical accelerations in the study area.

460 **Fig. 12.** Contour map of peak ground acceleration ( $PGA$ ) produced by the Ludian earthquake in  
 461 the study area.  $PGA$  values shown are in  $g$ .

462 **Fig. 13.** Map showing predicted displacements in the study area.

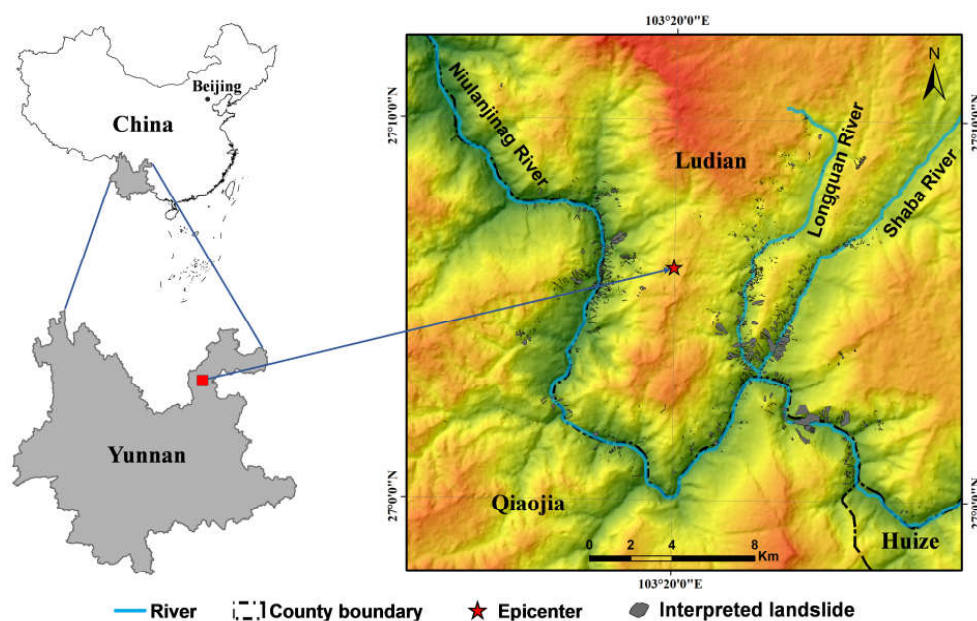
463 **Fig. 14.** Map showing probability of coseismic landslides in the Ludian earthquake. Probability  
 464 is portrayed in terms of values of  $CF$ .

465 **Fig. 15.** Statistics data display the area of each predicted displacement.

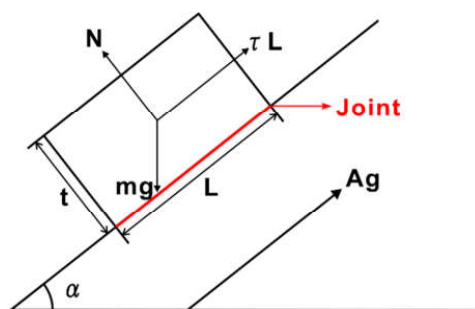


466 **Fig. 16.** Proportion of the area of landslides lying in each  $CF$ -value area. A dot shows the  
467 proportion of landslide area within an area of  $CF$  value; the red line is the fitting curve of the  
468 data using second order exponential growth function.





**Fig. 1.** Map of the study area showing interpreted landslides.



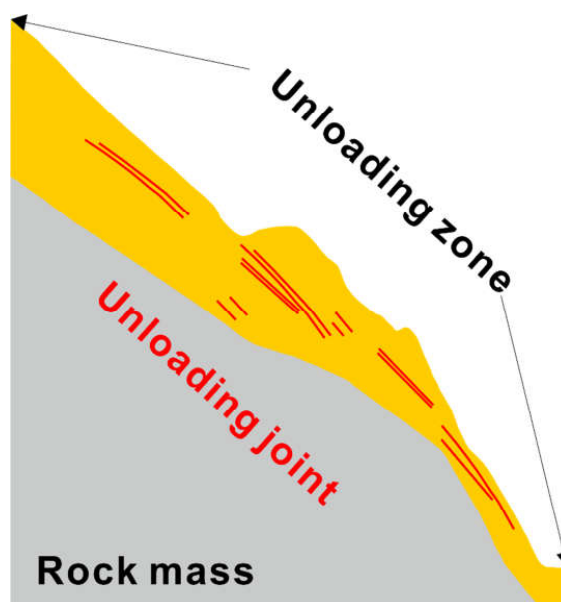
472

473 **Fig. 2.** Conceptual sliding-block model of a Newmark analysis. The potential landslide is

474 modeled as a rigid-plastic block resting on an inclined plane at an angle ( $\alpha$ ) from the horizontal.

475 The base of the block is subjected to an earthquake ground acceleration that is denoted by  $A_g$ .

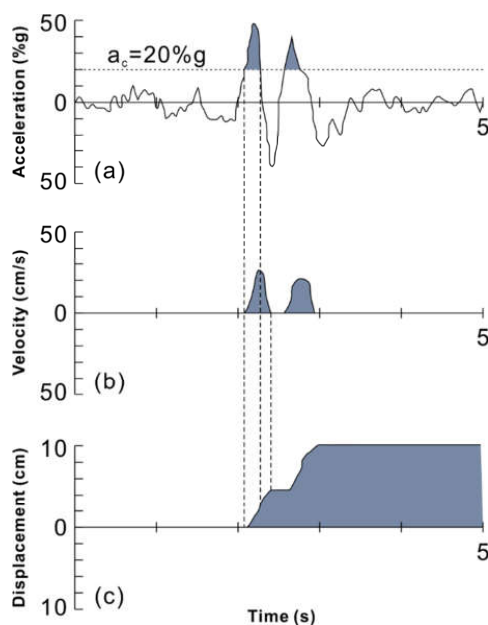
476



477

478 **Fig. 3.** A schematic diagram showing shadow unloading joints in the slope.

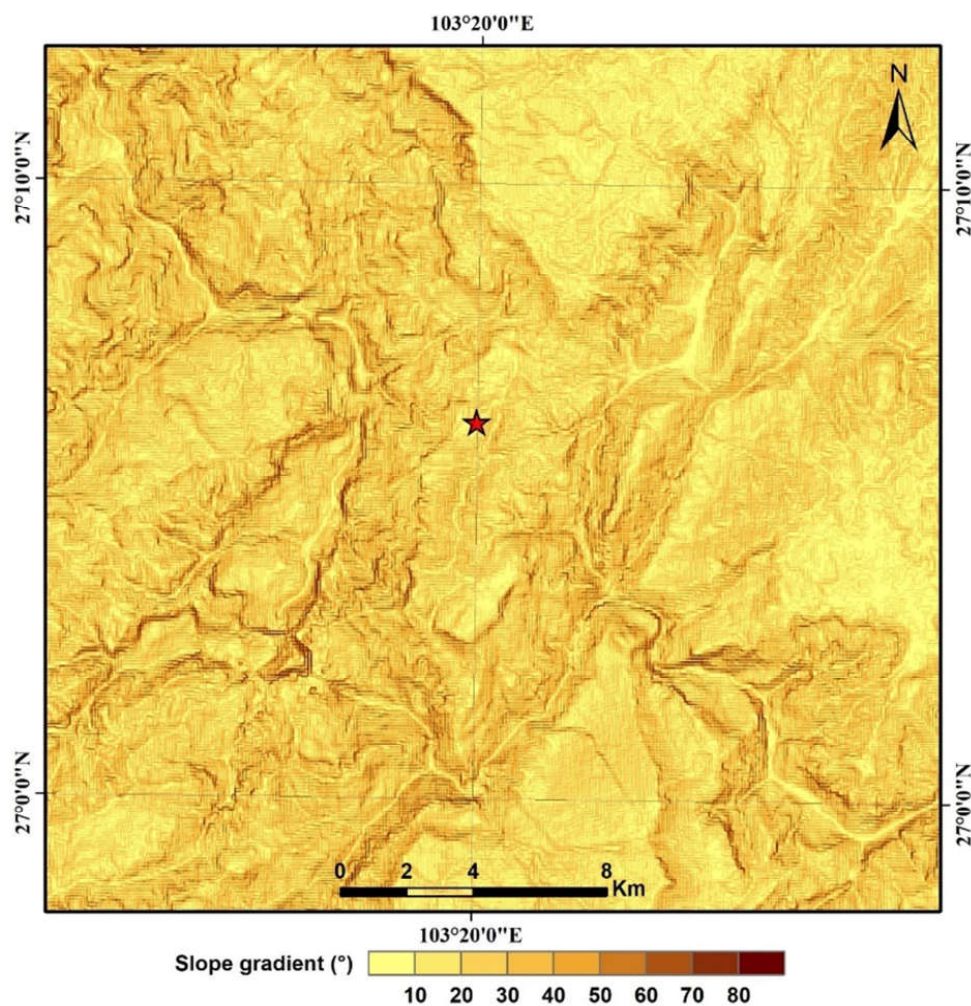
479



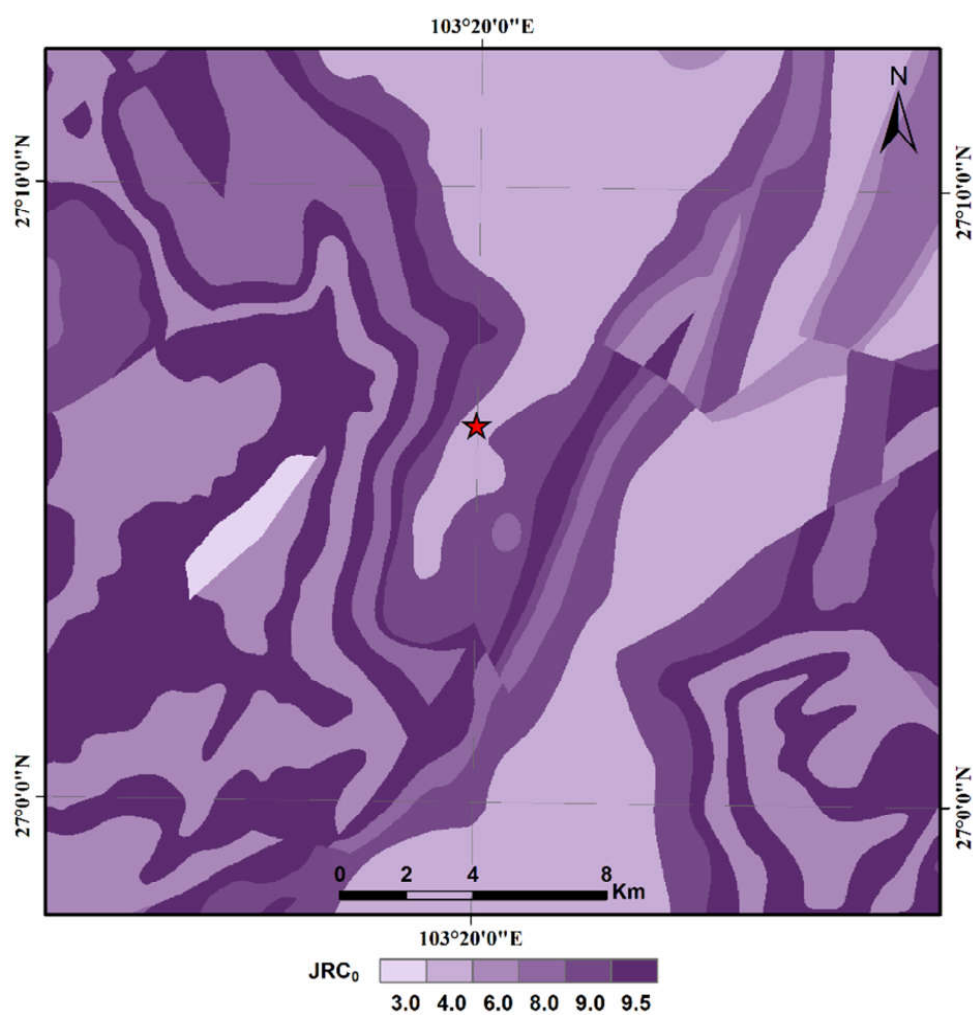
480

481 **Fig. 4.** Demonstration of the Newmark-analysis algorithm (adapted from Wilson and Keefer,  
 482 1983): (a) Acceleration-time history with critical acceleration (horizontal dotted line) of 20%g  
 483 superimposed. (b) Velocity of block versus time. (c) Displacement of block versus time.

484



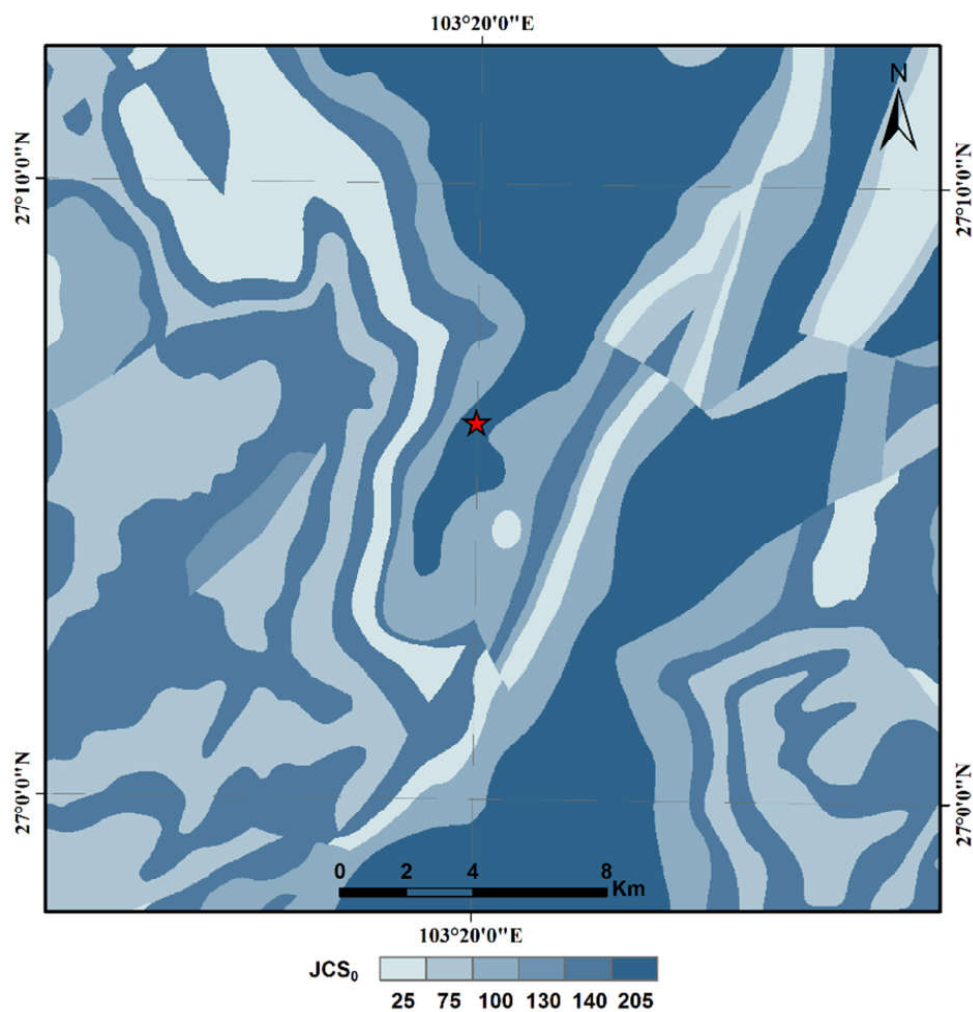
**Fig. 5.** Slope map derived from the DEM of the study area.



488

489

(a)



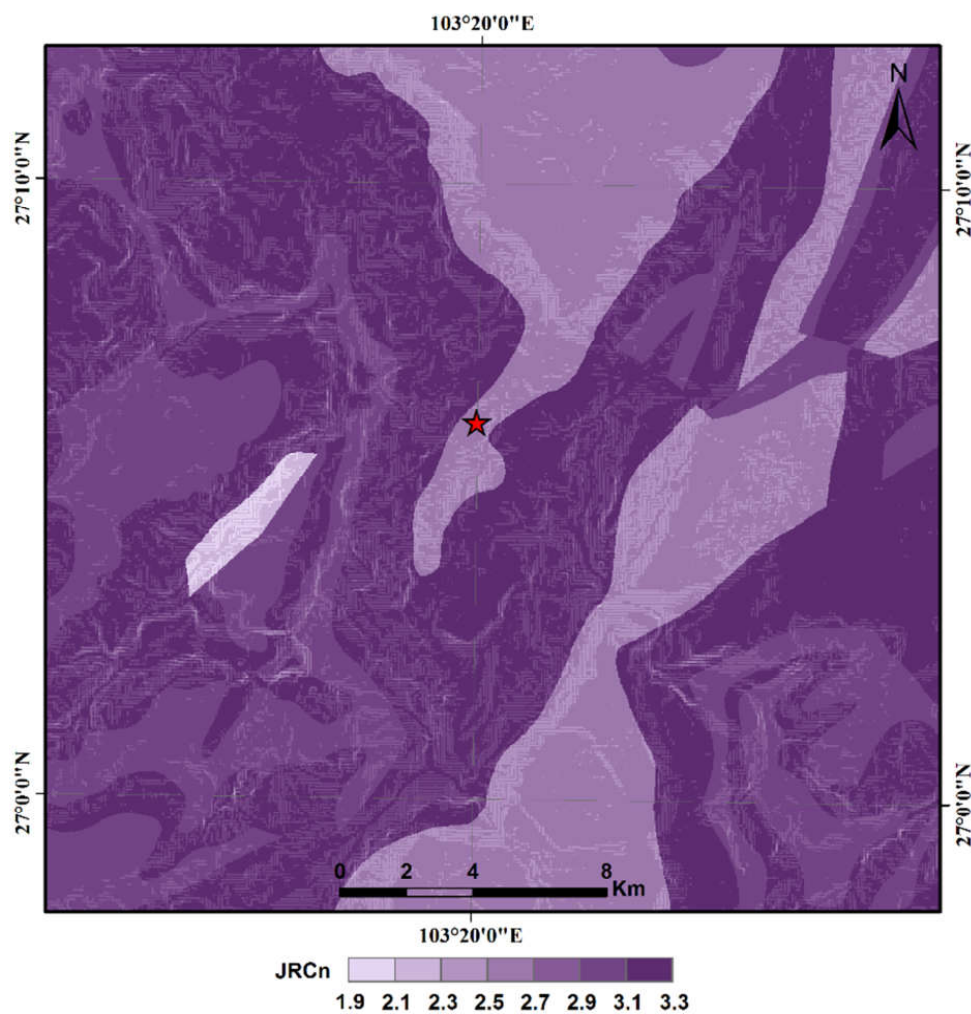
490

491

492 **Fig. 6.** (a)  $JRC_0$  and (b)  $JCS_0$  assigned to rock types in the study area.

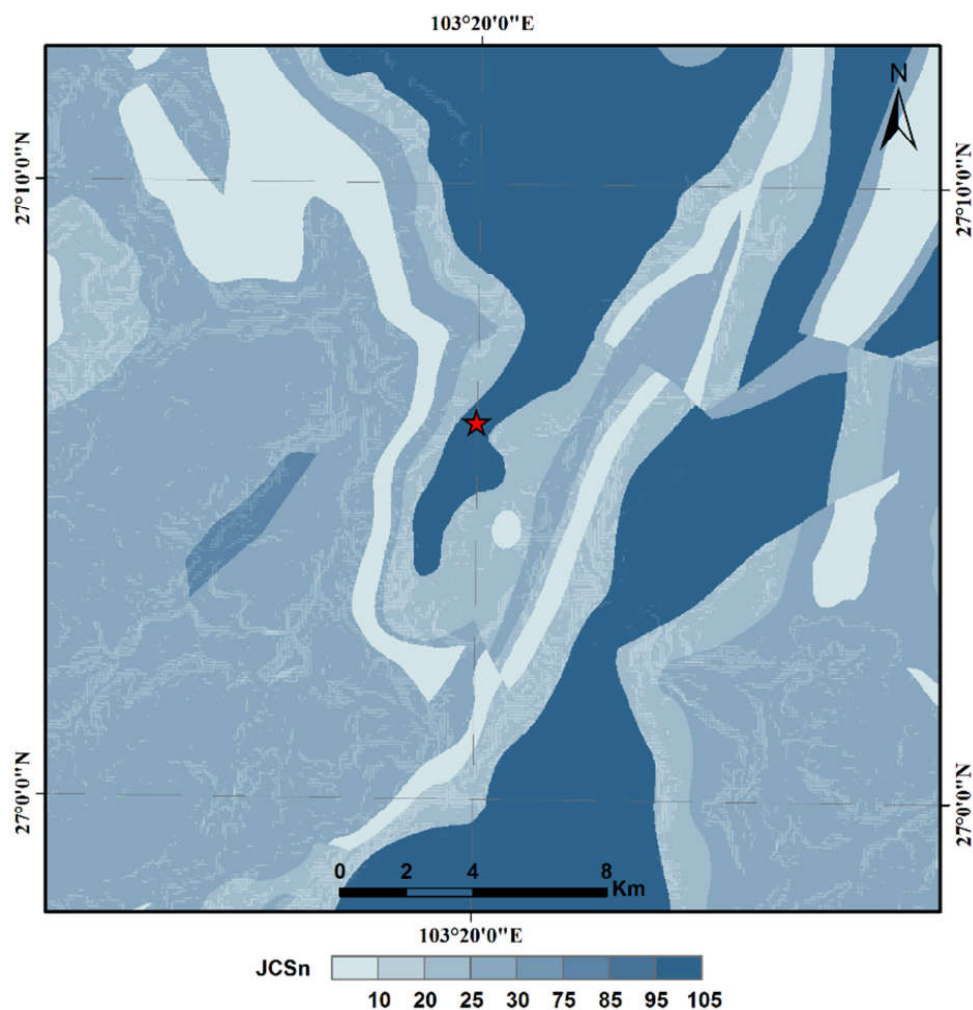
493





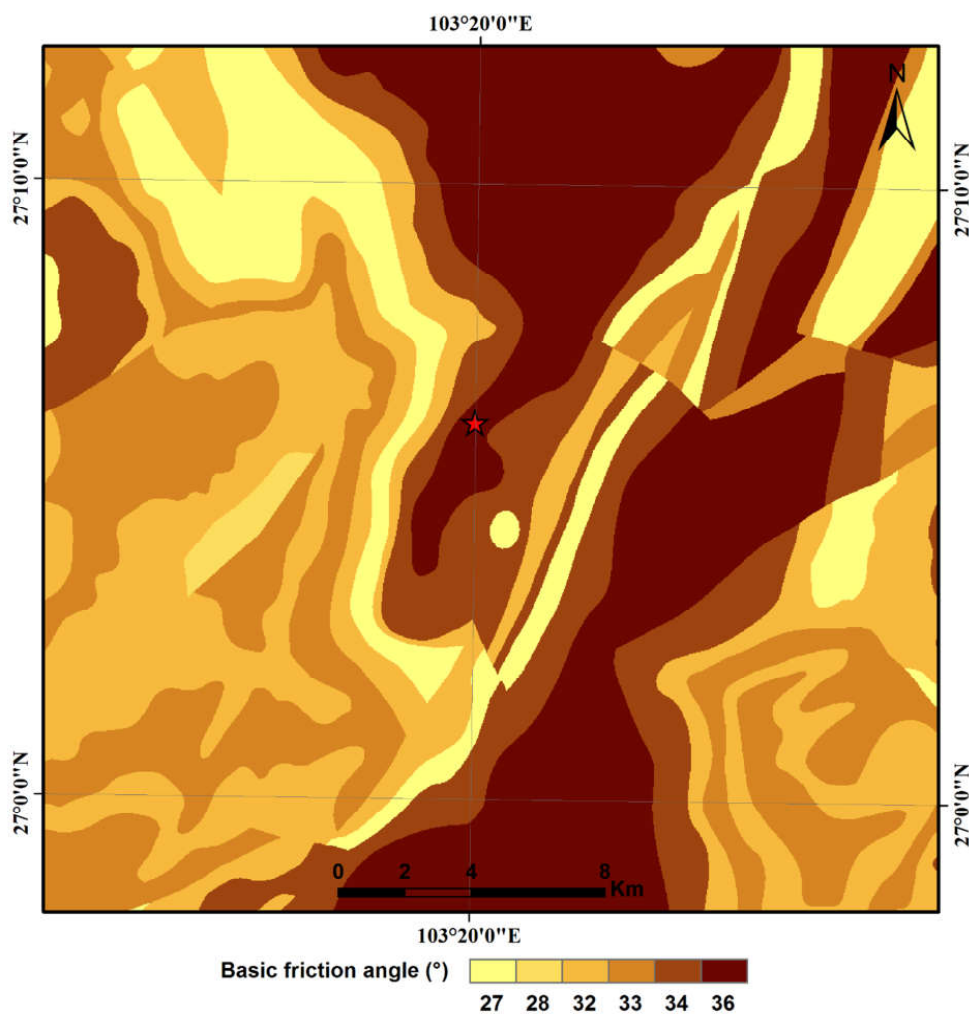
(a)



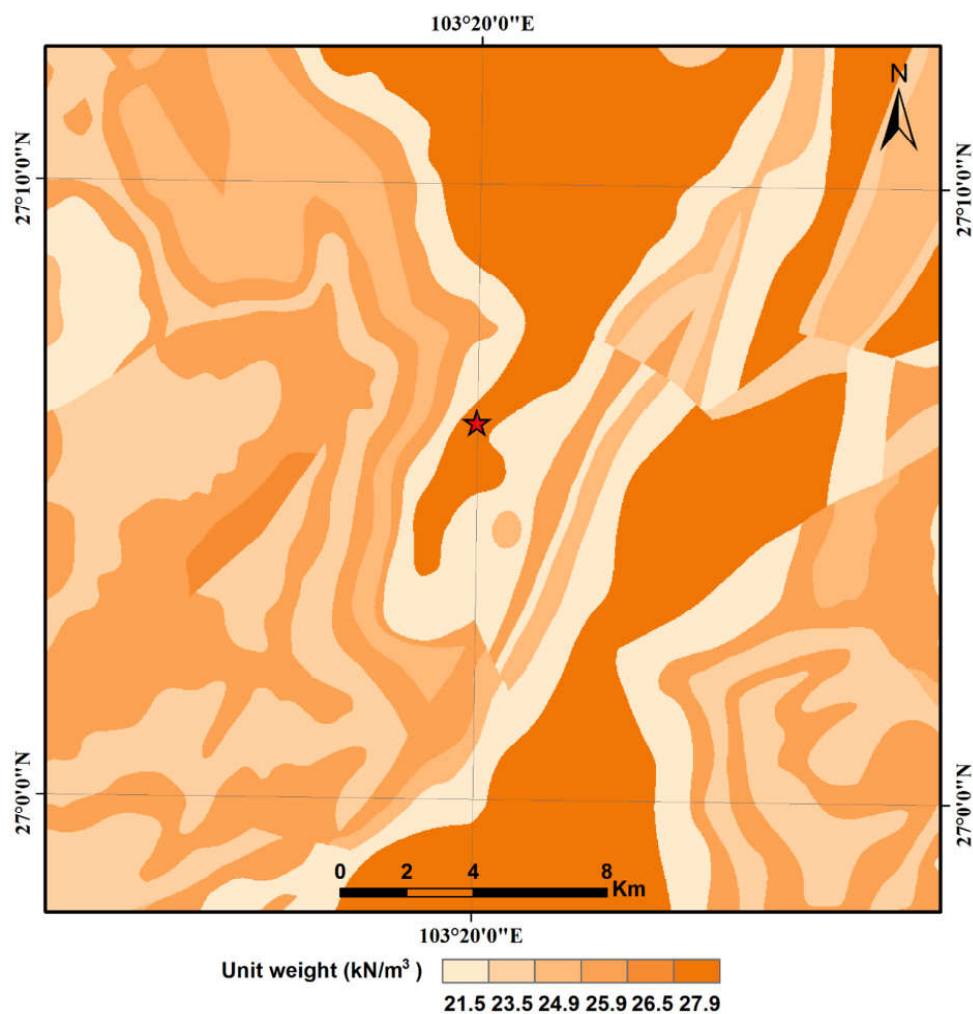


(b)

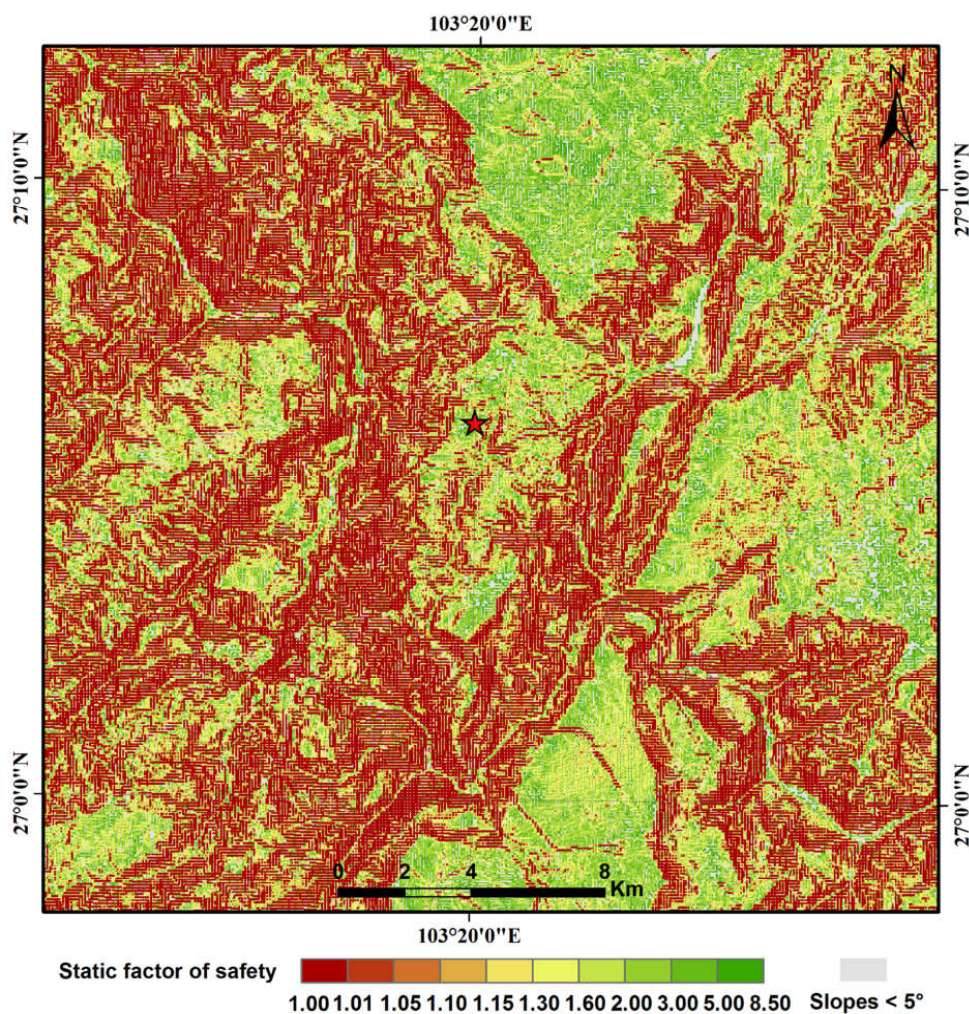
**Fig. 7.** (a)  $JRC_n$  component and (b)  $JCS_n$  component of shear strength assigned to rock types in the study area.



**Fig. 8.** Basic-friction-angle ( $\phi_b$ ) component of shear strength assigned to rock types in the study area.

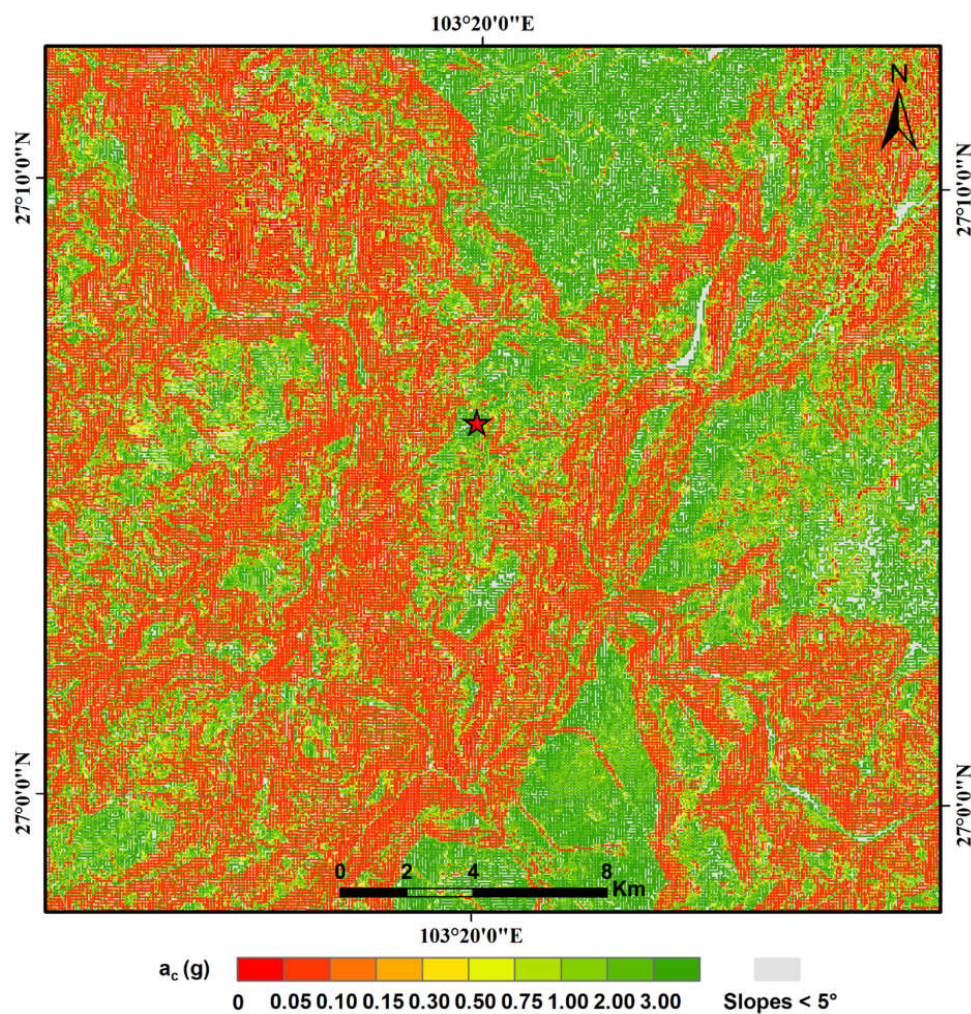


**Fig. 9.** Unit weight ( $\gamma$ ) assigned to rock types in the study area.

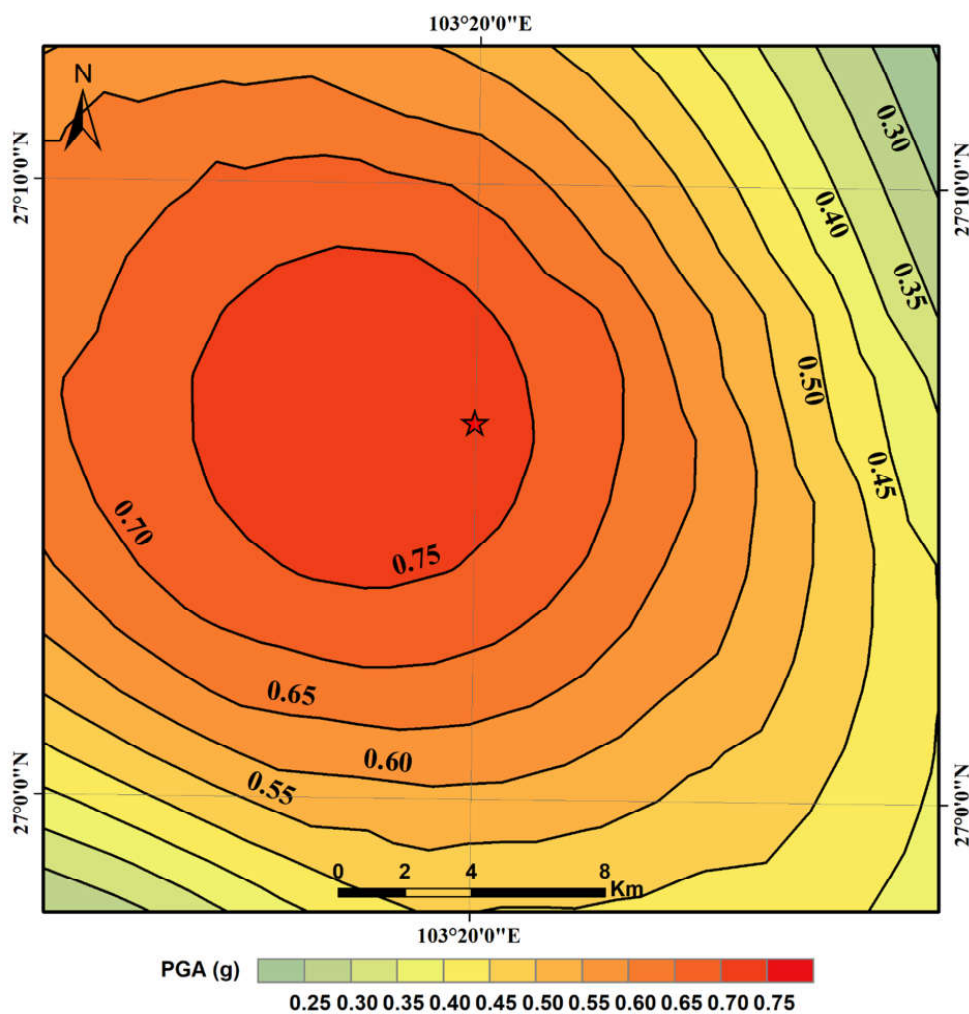


**Fig. 10.** Static factor-of-safety map of the study area.



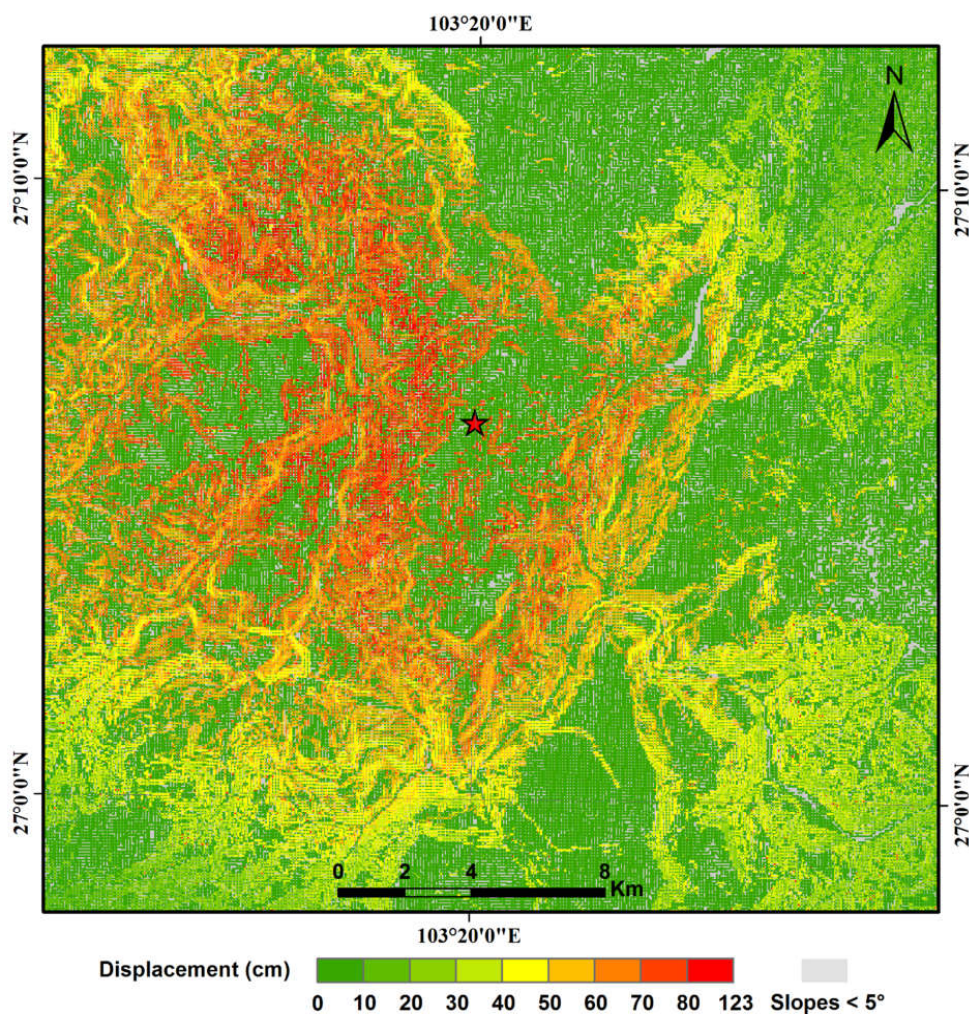


**Fig. 11.** Map showing critical accelerations in the study area.

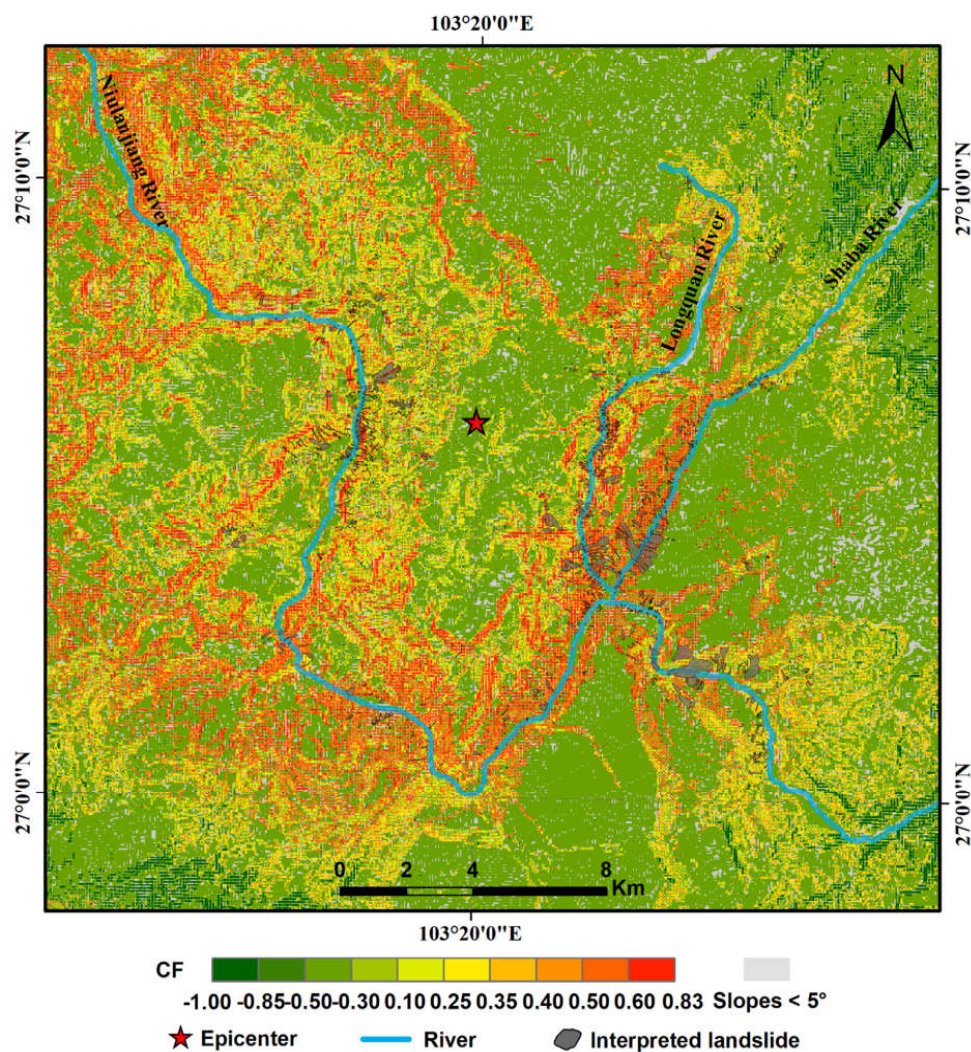


**Fig. 12.** Contour map of peak ground acceleration (*PGA*) produced by the Ludian earthquake in the study area. *PGA* values shown are in *g*.



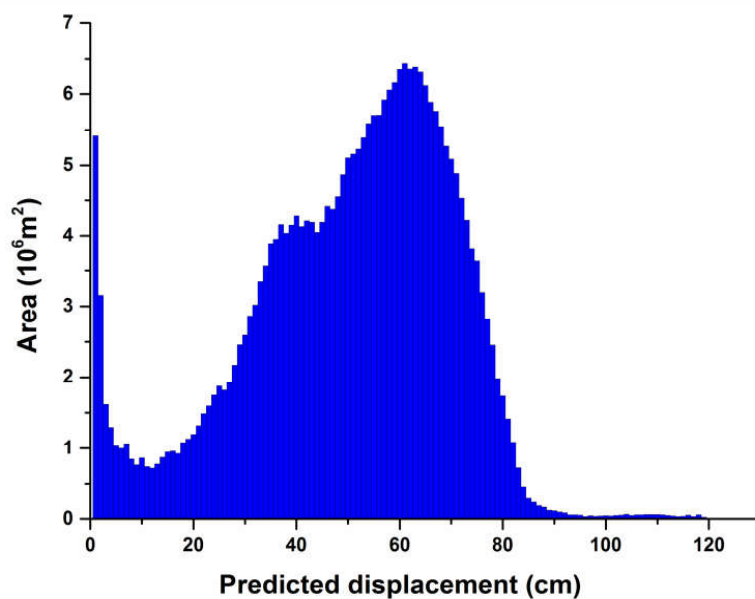


**Fig. 13.** Map showing predicted displacements in the study area.



**Fig. 14.** Map showing probability of coseismic landslides in the Ludian earthquake. Probability is portrayed in terms of values of *CF*.

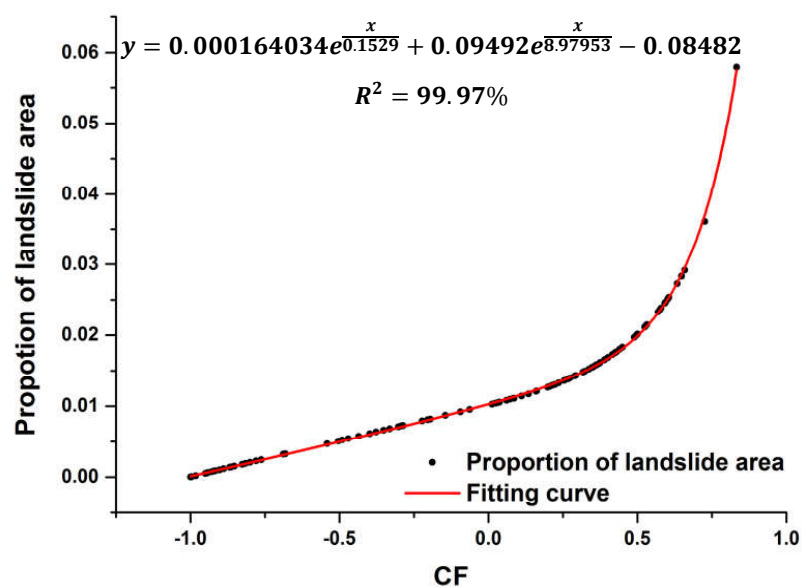




526

527 **Fig. 15.** Statistics data display the area of each predicted displacement.

528



529

530 **Fig. 16.** Proportion of the area of landslides lying in each *CF*-value area. A dot shows the  
 531 proportion of landslide area within an area of *CF* value; the red line is the fitting curve of the  
 532 data using second order exponential growth function.

533



534 **Table Captions**

535 **Table 1.** Shear strengths assigned to rock types in the study area

536

537



538 **Table 1**

539 Shear strengths assigned to rock types in the study area

Rock type	$\gamma$ (kN/m <sup>3</sup> )	$\varphi_b$	$JCS_0$ (MPa)	$JRC_0$	References
Slate	26.5	28°	130	3	Coulson, 1972
					Barton and Choubey, 1977
					Bandis et al., 1983
					Alejano et al., 2012
					Yong et al., 2018
Limestone	21.5	34°	100	9	Bandis et al., 1983
					Singh et al., 2012
					Yong et al., 2018
Basalt	27.9	36°	205	4	Coulson, 1972
					Barton and Choubey, 1977
					Alejano et al., 2014
Dolomite	25.9	32°	140	9.5	Singh et al., 2012
					Giusepone, 2014
					Alejano et al., 2014

540