

1 **Comparative Analysis of** $\mu(I)$ **and Voellmy-Type Grain Flow Rheologies in**

2 **Geophysical Mass Flows: Insights from Theoretical and Real Case Studies**

- 3 Yu Zhuang^{1,2}, Brian W. McArdell³, Perry Bartelt^{1,2}
- 4 ¹WSL Institute for Snow and Avalanche Research SLF, Davos Dorf, Switzerland
- ² Climate Change, Extremes and Natural Hazards in Alpine Regions Research Centre CERC
- 6 ³ Swiss Federal Institute for Forest, Snow and Landscape Research WSL, Birmensdorf, Switzerland
- 7 Corresponding author: Yu Zhuang (yu.zhuang@slf.ch)
- 8 **Abstract**
- 9 The experimental-based $\mu(I)$ rheology is now prevalent to describe the movement of gravitational mass

10 flows. Here, we reformulate $\mu(I)$ rheology as a Voellmy-type relationship to illustrate its physical 11 implications. Through one-dimensional block modeling and a real case study, we explore the equivalence 12 between $\mu(I)$ and widely-used Voellmy-type grain flow rheologies. Results indicate that $\mu(I)$ 13 rheology utilizes a dimensionless inertial number to mimic contributions of granular 14 temperature/fluctuation energy. In terms of Voellmy, the $\mu(I)$ rheolgy contains a velocity-dependent 15 turbulent friction coefficient modelling shear thinning behavior. This turbulent friction assumes the 16 production and decay of fluctuation energy are in balance, exhibiting no difference during accelerative 17 and dipositional phases. The constant Coulomb friction coefficient prevents $\mu(I)$ rheology from 18 accurately modeling the dispositional characteristics of actual mass flows. Our results highlight the 19 strengths and limitations of both $\mu(I)$ and Voellmy rheologies, bolstering the theoretical foundation of 20 mass flow modeling while revealing practical engineering challenges.

21 **Keywords:** $\mu(I)$ rheology; Voellmy-Type Grain Flow Rheologies; Geophysical Mass Flows;

22 Avalanche risk assessment

1. Introduction

- 45 entrainment (Sovilla & Bartelt, 2002, Bartelt et al., 2018a), frictional heating and phase changes (Valero
- 46 et al., 2015; Bartelt et al., 2018b), they are somewhat more advanced than discrete element approaches
- 47 and thus have been widely used to assess mass flow hazard.
- 48 The Voellmy rheology (Voellmy, 1995) has a long tradition in the hazard mitigation community and
- 49 is applied to predict the velocity and runout of avalanches and debris flows (Hungr, 1995; Schraml et al.,
- 50 2015; Aaron et al., 2019; Zhuang et al., 2020). It defines the relationship $\mu(V)=S/N$ as follows:

51
$$
\mu(V) = \frac{s}{N} = \mu_s + \frac{v^2}{\xi_0 h}
$$
 (1)

52 where μ_s considers the Coulomb friction at "stopping", v is the flowing velocity, ξ_0 the "turbulent" friction parameter; h the flowing height. Voellmy considers μ_s to describe the "solid" behavior of the flowing mass, whereas ξ_0 represents the "fluid"-like behavior. Because the Voellmy model is grounded in clear physical principles and involves only two parameters, it is frequently used in hazard mitigation. However, a major issue with the Voellmy model is that the travel resistance of mass flows varies significantly with the flow regime (Gruber and Bartelt, 1998). In the Voellmy model, each flow regime requires a distinct set of calibrated flow parameters; there is no universal parameter set available, rendering the Voellmy approach somewhat makeshift. To address this issue, multiple researchers have suggested incorporating the concept of granular temperature (fluctuation energy *R*) to accurately model the flow of granular materials across both dense and fluidized flow regimes (Haff, 1983; Jenkins & Savage, 1983; Jenkins & Mancini, 1987; Gubler, 1987; Buser & Bartelt, 2009). This approach involves adding an extra differential equation to account for the generation and dissipation of kinetic energy due to random particle movements (Bartelt et al., 2006). The fluctuation energy arises from shear-work rate $65 \quad W_f$ and decays by dissipative granular interactions (Haff, 1983):

66
$$
\frac{dR(t)}{dt} = \alpha W_f(t) - \beta(R)R(t)
$$
 (2)

67 where α governs the production and β governs the decay of the fluctuation energy. It is possible to 68 express the friction parameters (μ_s , ξ) as a function of the fluctuation energy, named $\mu(R)$ rheology. 69 Within the Voellmy framework, the $\mu(R)$ rheology has the form (Christen et al., 2010): $\mu(R) = \mu_S(R) + \frac{v^2}{\varepsilon(R)}$ 70 $\mu(R) = \mu_s(R) + \frac{\nu}{\xi(R)h}$ (3) 71 where $\mu_s(R) = \mu_s e^{-\frac{R(t)}{R_0}}$, $\xi(R) = \xi_0 e^{\frac{R(t)}{R_0}}$, the parameter R_0 scales the fluctuation energy. This $\mu(R)$ 72 rheology has the advantage of modeling shear-thinning in avalanche flows, showing a better agreement 73 with observed front velocities and mapped deposition patterns of avalanches than the classic Voellmy 74 approach (Preuth et al., 2010; Bartelt et al., 2012). 75 Recently, the $\mu(I)$ rheology is newly proposed to describe the motion of geophysical flows. It arose 76 directly from the study of small-scale granular experiments (GDR MIDI, 2004; Jop et al., 2006): $\mu(I) = \frac{S}{N}$ $\mu(I) = \frac{s}{N} = \mu_s + \frac{(\mu_2 - \mu_s)}{\frac{I_0}{I_0} + 1}$ (4) 78 Similar to Voellmy, the model consists of two parts. The first part consists of the stopping friction μ_s . 79 The second term is controlled by the inertial number I_n which is defined as: $I_n = \frac{5}{2}$ 2ℎ νd 80 $I_n = \frac{3}{2h} \frac{\partial u}{\sqrt{g_z h}}$ (5) 81 where d is the granule diameter and g_z the slope perpendicular component of gravity. The model 82 contains two additional constant parameters, I_0 and μ_2 , which can be considered the friction at large 83 I_n . Because of its well-established experimental foundation, the $\mu(I)$ model has become popular in the 84 granular mechanics community and is applied in hazard practice (e.g., Longo et al., 2019; Liu et al., 85 2022). Although there is broad interest and advocacy for its use, the physical implications of the $\mu(I)$ 86 rheology are not completely understood, which restricts its widespread adoption.

87 In this study, we reformulate the $\mu(I)$ rheology as a Voellmy-type relationship. Through one-88 dimensional block modeling, we investigate the equivalence and difference between the $\mu(I)$ and

105
$$
\xi(I) = \frac{v[z_{10}h\sqrt{g_zh}+5vd]}{5(\mu_z-\mu_s)d}
$$
 (7)

106 Different from the constant ξ_0 value in the Voellmy, $\xi(I)$ is changing during the flowing process, and

107 is dependent on the flowing velocity and height (Fig. 1b).

108

Figure 1. $\mu(I)$ vs $\mu(V)$ rheology for typical snow avalanche conditions, $v=20$ m/s and $\rho=300$ kg/m³. 110 For this example, we take $\mu_s = 0.2679 = \tan(15^\circ)$ and $\mu_2 = 0.8391 = \tan(40^\circ)$. (a) The curve $I_0 = 2.0$ plotted 111 against $\mu(V)$ with ξ_0 =2000 m/s². Note the strong similarity between the $\mu(I)$ and $\mu(V)$ approaches 112 in *S* vs *N* space. (b) Comparison of the $\mu(I)$ vs $\mu(V)$ rheologies in velocity space. $\xi(I)$ increases with 113 velocity; $\xi(V)=\xi_0$ is constant. In the shaded region 20m/s $\le v \le 30$ m/s, the $\xi(I)$ and $\xi(V)$ values 114 are similar.

115 **2.2 One-dimensional block modeling analysis**

116 The turbulent friction coefficient $\xi(I)$ is velocity-dependent. According to Fig. 1, the primary reason 117 for the similarity of the two results is the selected velocity for the comparison $v=20$ m/s. For velocities 118 outside this range, the $\xi(I)$ and $\xi(V)=\xi_0$ =constant values differ (Fig. 1b). Therefore, to investigate the

119 difference between $\mu(I)$ and $\mu(V, R)$, we must study the models over a wide range of velocities typical

120 for a specific geophysical flow from initiation to runout.

121 For this purpose, we construct a one-dimensional block model. A block of height *h* and mass *m*

122 starts from rest on a steep slope of 35° (release zone). After 30 s the block enters a transition zone of 20°,

123 where it begins to decelerate. After 90 s the block enters a flat runout zone and stops. We calculate the

124 speed and location of the block's center-of-mass; friction is given by $\mu(I)$, $\mu(V)$ and $\mu(R)$. The

125 governing ordinary differential equations for this model are:

$$
\frac{d\,x(t)}{dt} = v(t) \tag{8}
$$

127
$$
\frac{d v(t)}{dt} = g_x(t) - \mu(I, V, R)g_z(t)
$$
 (9)

128 where $x(t)$ is the flowing distance, $v(t)$ is the flowing velocity, and (g_x, g_z) are the components of

- gravity acceleration.
- We consider the motion of the center-of-mass to represent the motion of a granular, geophysical
- flow. Such simple, one-dimensional sliding block models of avalanche flow have been used extensively
- 132 to calculate hazard maps (Perla et al., 1980). This approach allows us to compare the $\mu(I)$ and $\mu(V, R)$
- rheologies in velocity space.
- **2.3 Case study of a historical avalanche**

- **3.1 Rheology comparison using the one-dimensional block model**
- 149 (1) The $\mu(I)$ and $\mu(V)$ rheologies in velocity space
- 150 The direct comparison of $\mu(I)$ and $\mu(V)$ reveals that both models can produce similar runout (Fig. 2a),

165 Figure 2. The $\mu(I)$ vs $\mu(V)$ rheologies in velocity space. (a) Location of center-of-mass over time. In 167 the transition zone the Voellmy model with constant ξ_0 lags the $\mu(I)$ model. (b) Velocity over time. 168 With a constant ξ_0 the Voellmy model tends to a steady velocity, albeit a lower velocity than $\mu(I)$. At 169 the end of the transition zone, the Voellmy model predicts a higher (steady state) velocity. (c) *S*/*N* for 170 $\mu(I)$ and $\mu(V)$. The Voellmy model predicts higher friction before entering the transition zone. 171

172 (2) The Voellmy grain-flow equivalent to $\mu(I)$: The $\mu(R)$ grain flow rheology

10

211 **Figure 3.** Comparison between the $\mu(I)$ vs $\mu(R)$ rheologies. (a)-(c) show the calculated location of 212 center-of-mass, velocity and friction of the two rheologies. (d)-(e) Comparison between I_n and R/R_0 213 over time and flow velocity. (f) Calculated friction $\mu(I)$ vs $\mu(R)$ as a function of I_n and R/R_0 . (g)-(h) 214 Calculated $\mu(I)$ vs $\mu(R)$ as a function of the velocity and gravitational work rate. (i) Comparison 215 between $\xi(I)$ (Eq. 7) and $\xi(R)$.

216 **3.2 Rheology comparison using a real case study: Piz Cengalo avalanche**

217 We apply the $\mu(I)$, $\mu(V)$, and $\mu(R)$ rheologies to calculate the dynamics of the Piz Cengalo avalanche.

- 218 Modeling parameters are presented in Fig. 4. The $\mu(R)$ parameters are empirical values, which arise
- 219 from practical experience in Switzerland and have been widely used in rock-ice avalanche research. Here,
- 220 the Columb and turbulent friction coefficients $\langle \mu_s(R) \rangle$, $\xi(R)$ are both functions of the fluctuation
- 221 energy. In the $\mu(I)$ rheology, $I_0=0.3$ is a typical value from Pouliquen & Forterre (2002), Forterre &
- 222 Pouliquen (2003), and Jop et al. (2006), $d=1.0$ m and μ_2 =tan(40°)=0.839 arise from field investigations

- 223 of particle size and deposit distribution. The μ_s value and parameters in the $\mu(V)$ rheology are
- determined from inversion analysis that the calculated avalanche runout matches the actual condition.
- 225 For ease of comparison, the same Coulomb friction coefficients are applied in the $\mu(I)$ and $\mu(V)$
- rheologies.

 Figure 4. Rheology comparation with the Piz Cengalo avalanche. (a) Deposit structure arises from the laser scans. (b) Seismic signal analysis of the avalanche velocity, derived by Walter et al. 2020. (c)-(e) Modeled avalanche deposits with different rheologies. (4) Modeled avalanche velocity with different rheologies. Two maxima represent the locations derived by seismic signal analysis.

Modeling results of all three rheologies exhibit satisfactory runout distance, but there are deviations

distribution that very few materials are deposited on the steep slope.

4. Discussion and Implications

275 in real-world scenarios often cover a broad area with varying thicknesses, using a constant μ_s value is

unlikely to yield an accurate representation of the deposit structure.

- stochasticity into avalanche modelling. Clearly, it is impossible to precisely determine the position of
- every individual particle in an avalanche, contrary to what Discrete Element Modeling (DEM) might
- imply. Nonetheless, the behavior of the granular ensemble seems to be directed by a production/decay
- equation, which, even when estimated approximately, can impart a discernible trajectory to the avalanche
- process and deposition dynamic, thereby enhancing predictive accuracy of numerical models.
- These insights have practical implications for improving geophysical flow models, offering a more
- comprehensive understanding of flow behavior and its dependence on factors such as velocity, terrain
- features, and material properties. As we continue to refine our models, we move closer to more accurate
- assessments and mitigation of geophysical hazards.
- **Data availability**
- No data sets were used in this article.
- **Author contribution**
- Yu Zhuang did the numerical work and wrote the manuscript with contributions from all co-authors.
- Perry Bartelt designed the work, did the calculation and wrote the manuscript. Brian W. McArdell edited
- the manuscript.
- **Declaration of competing interest**
- The authors declare that they have no known competing financial interests or personal relationships that
- could have appeared to influence the work reported in this paper.

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