

1        Discrete element analyses of a realistic-shaped rock block  
2                    impacting against a soil buffering layer

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13

14 **Abstract:** This study is devoted to understanding the impact of irregularly-shaped rock  
15 blocks against a soil buffering layer above a rock shed via numerical simulations by discrete  
16 element method (DEM). In the DEM model, the rock block is represented by an assembly of  
17 densely packed and bonded spherical particles with the block shape reconstructed from the  
18 laser scanning results of a real rock block. The soil buffering layer is modeled as a loose  
19 packing of cohesionless frictional spherical particles, while the rock shed is simplified as a  
20 layer of fixed particles. The DEM model is firstly validated by modelling the impact of a  
21 cubic block against a soil buffering layer. Then, it is employed to investigate the dynamic  
22 interaction between a realistic-shaped rock block and the soil buffering layer. The numerical  
23 results show that the geometry of the contact surface between the rock block and soil layer  
24 can play a significant influence on the impact force of the rock block and the force acting on  
25 the rock shed. For the tested conditions, the distribution of stress on the rock shed can be well  
26 described by the Gaussian function, which seems to be independent on the geometry of the  
27 contact surface. In addition, the simplification of realistic-shaped rock blocks as spheres in  
28 traditional DEM modelling approaches can significantly underestimate of the impact force.  
29 The established modeling strategy serves as a starting point for investigating the rock block  
30 shape. The proposed results can contribute to the choice of buffering layer for designing the  
31 rock shed.

32 **Keywords:** irregular rock block; impact; soil buffering layer; discrete element method;  
33 impact force

## 34 **1 Introduction**

35 Rockfall is one of the most frequently occurring natural hazards in mountainous areas. It  
36 involves detachment of rock blocks from a steep slope or cliff and rapid downslope  
37 movements, which can induce significant risk to human lives, infrastructures and lifeline  
38 facilities because of the high kinetic energy and undefined trajectory (Crosta and Agliardi  
39 2004). To mitigate such a hazard, rock sheds, embankments and retaining walls have been  
40 widely constructed (Volkwein et al. 2011; Lambert and Bourrier 2013). These protection  
41 systems generally consist of a load-carrying primary structure (e.g. concrete slab) and a  
42 granular buffering layer (usually soil or gravel) (Labiouse et al. 1996; Pichler et al. 2005;  
43 Lambert et al. 2009). The soil buffering layer plays a vital role in dissipating the impact  
44 energy of the falling rock block and reducing the impact pressure. Thus, a better  
45 understanding of the response of rock block impact against a soil buffering layer can  
46 contribute to an effective design of mitigating structures.

47 Over the past three decades, a large number of experimental and theoretical studies have  
48 been conducted to investigate the dynamic interaction between a rock block and a soil  
49 buffering layer (Labiouse et al. 1996; Calvetti et al. 2005; di Prisco and Vecchiotti 2006;  
50 Lambert et al. 2009; Calvetti and di Prisco 2012). In these studies, some important factors of  
51 the rock block impact process (e.g. buffering soil thickness, block mass and velocity) have  
52 been investigated intensively, aiming at producing scaling laws for the impact forces and  
53 penetration depth. Up to now, several empirical methods have been developed to estimate  
54 these quantities in engineering practice, such as the Chinese, Japanese and Swiss design

55 codes (Ministry of Transport of the People's Republic of China 1995; Japan Road Association  
56 2000; ASTRA 2008), in which the realistic rock block is simplified as an equal-volume  
57 sphere. In addition, numerical modelling using the discrete element method (DEM) (Cundall  
58 and Strack 1979) has also been used to analyze rock block impact from the microscopic to the  
59 macroscopic scale (Calvetti et al. 2005; Bourrier et al. 2010; Roethlin et al. 2013; Breugnot et  
60 al. 2016; Effeindzourou et al. 2017; Zhang et al. 2017a; Shen et al. 2019). With the help of  
61 DEM, the force chains evolution, energy transformation and dissipation of the soil layer have  
62 been analyzed in detail.

63 In the aforementioned studies, the rock block is consistently considered as a sphere,  
64 ellipsoid or cylinder. Actually, the shapes of real rock blocks can be highly irregular  
65 resembling cube, pyramid, prism, octahedron, wedge and disc (Fityus et al. 2013). In addition,  
66 several studies in the literature have indicated that the rock block shape has a great influence  
67 on its dynamics, impact force and the penetration depth (Degago et al. 2008; Glover et al.  
68 2015; Breugnot et al. 2016; Gao and Meguid 2018a; Gao and Meguid 2018c; Yan et al. 2018;  
69 Shen et al. 2019). The experimental results of Degago et al. (2008) and the numerical results  
70 of Breugnot et al. (2016) show that a pyramidal block penetrates deeper than a spherical  
71 block. Shen et al. (2019) investigated the influence of block sphericity on the impact forces  
72 and penetration depth via the discrete element method (DEM). Their results illustrate that the  
73 impact force increases, while the penetration depth decreases linearly with the block  
74 sphericity. However, in these studies, the rock block is still simplified as a regular shape,  
75 failing to evaluate the effect of block morphology. Hence, more comprehensive analyses are

76 needed to analyze the impact of a rock block against a soil layer by considering the real block  
77 shape.

78 The laser scanner (LS) method has been widely used to reconstruct the geometry of  
79 realistic rock blocks (Asahina and Taylor 2011; Wei et al. 2017; Paixão et al. 2018) by a  
80 workflow consisting of three steps. Firstly, a LS is used to generate a point cloud of the rock  
81 block. Then, the point cloud is cleaned by deleting erroneous points, reducing the number of  
82 points and filling voids. Finally, a triangular mesh, representing the block surface, is  
83 produced from the point cloud via a meshing algorithm. Based on the obtained mesh, the  
84 block can be constructed by the mathematical filling method (i.e. discrete element cluster  
85 method) in DEM (Shi et al. 2015; Wei et al. 2018; Zhou et al. 2018) which has been widely  
86 used to reconstruct irregular rock blocks and to investigate the effect of rock particle shape  
87 (Gao and Meguid 2018a; Gao and Meguid 2018b; Zhang et al. 2018). The corresponding  
88 results demonstrate the effectiveness of discrete element cluster method for modelling  
89 realistic-shaped rock blocks.

90 In the present study, the impact of a realistic-shaped rock block against a soil buffering  
91 layer has been investigated by discrete element modelling. The purpose is to establish a DEM  
92 model to quantify the impact of realistic-shaped rock blocks and evaluate the consequence of  
93 simplifying the real rock block as equal-volume sphere in engineering practice. The paper is  
94 organized as follows: Section 2 presents a brief introduction of the DEM theory. Section 3  
95 illustrates the DEM model configurations and the reconstruction of a realistic-shaped rock  
96 block via the LS and discrete element cluster methods. Section 4 performs DEM model

97 validation and a parametric study of realistic-shaped rock block. Section 5 discusses  
98 quantitatively the difference arising from the irregularity of rock block. Finally, some  
99 conclusions on the capability of DEM to model the rock block impact process are provided in  
100 Section 6.

## 101 **2 Particle contact model**

102 The open source DEM code ESyS-Particle (Weatherley et al. 2014) was used to run all  
103 the simulations presented in this study. This code has been widely employed to analyze the  
104 mechanical behavior of solids, such as soil and rock (Xu et al. 2015; Zhao et al. 2015; Guo  
105 and Zhao 2016; Liu et al. 2017; Shen et al. 2017; Zhao et al. 2017; Shen et al. 2018; Du et al.  
106 2020). In the context of DEM, the materials are commonly mimicked as a collection of rigid  
107 spherical particles. The translational and rotational motions of each particle are governed by  
108 the Newton's second law of motion as:

$$109 \quad F_i = m_i \frac{d^2}{dt^2} \mathbf{r}_i \quad (1)$$

$$110 \quad M_i = I_i \frac{d^2}{dt^2} \boldsymbol{\omega}_i \quad (2)$$

111 where  $F_i$  is the resultant force acting on particle  $i$ ;  $\mathbf{r}_i$  is the position of its centroid;  $m_i$  is the  
112 particle mass;  $M_i$  is the resultant moment acting on the particle;  $\boldsymbol{\omega}_i$  is the angular velocity  
113 and  $I_i$  is the moment of inertia.

114 The interactions between two contacting particles can be computed by the linear elastic  
115 spring-dashpot and parallel bond models for frictional and bonded contacts, respectively  
116 (Potyondy and Cundall 2004). For the frictional particle contact, the normal contact force ( $F_n$ )  
117 is calculated as,

118  $F_n = k_n u_n + F_n^d$  (3)

119 where  $u_n$  is the overlapping distance between the two particles in contact;  $k_n$  is the normal  
 120 contact stiffness and  $F_n^d$  is the normal damping force. The normal contact stiffness is  
 121 defined as  $k_n = \pi E_p (R_A + R_B) / 4$  with  $E_p$  being the particle Young's modulus,  $R_A$  and  $R_B$   
 122 being the radii of the two particles.

123 The normal damping force ( $F_n^d$ ) is used to replicate energy dissipation induced by the  
 124 plastic deformation of particles in the normal direction of contact, which can be calculated as,

125  $F_n^d = -2\beta \sqrt{0.5(m_A + m_B)k_n} v_n$  (4)

126 where  $\beta$  is the damping coefficient;  $m_A$  and  $m_B$  are the mass of the two contacting particles;  $v_n$   
 127 is the relative velocity between particles in the normal direction.

128 For the frictional particle contact, the tangential contact force at the current time step  
 129 ( $F_s^n$ ) is calculated incrementally as,

130  $F_s^n = F_s^{n-1} + (\Delta F_{s1} + \Delta F_{s2})$  (5)

131 where  $F_s^{n-1}$  is the tangential force at the previous iteration time step.  $\Delta F_{s1}$  is calculated as  
 132  $\Delta u_s k_s$  with  $k_s$  being the tangential contact stiffness and  $\Delta u_s$  being the incremental tangential  
 133 displacement. The tangential stiffness is calculated as  $k_s = \pi E (R_A + R_B) / (8(1+\nu))$  with  $\nu$   
 134 being the particle Poisson's ratio.  $\Delta F_{s2}$  is the tangential force related to the rotation of  
 135 particle contact plane. A detailed description of these two tangential force terms can be found  
 136 in Wang and Mora (2009).

137 The magnitude of the tangential force is limited by the Coulomb's friction law as,

138  $|F_s| \leq \mu |F_n|$  (6)

139 where  $\mu$  is the friction coefficient of particle contact.

140 For the bonded particle contact, the interactions between two particles are calculated

141 after Wang (2009) as:

$$142 \quad F_{bn} = k_{bn} \cdot \Delta l_n \quad (7)$$

$$143 \quad F_{bs} = k_{bs} \cdot \Delta l_s \quad (8)$$

$$144 \quad M_b = k_b \cdot \Delta \alpha_b \quad M_t = k_t \cdot \Delta \alpha_t \quad (9)$$

145 where  $F_{bn}$ ,  $F_{bs}$  are the normal and tangential bonding forces;  $M_b$  and  $M_t$  are the bending  
146 and twisting moments, respectively.  $k_{bn} = \pi E_b l_0 / 4$ ,  $k_{bs} = \pi E_b l_0 / (8(1 + \nu))$ ,  $k_b = \pi E_b l_0^3 / 64$   
147 and  $k_t = \pi E_b l_0^3 / (64(1 + \nu))$  are the corresponding bonding stiffness in the normal, tangential,  
148 bending and twisting directions, with  $E_b$  being the bond Young's modulus,  $\nu$  being the  
149 Poisson's ratio.  $l_0$  is the initial distance between particle centers.  $\Delta l_n$ ,  $\Delta l_s$ ,  $\Delta \alpha_b$  and  $\Delta \alpha_t$  are the  
150 relative displacements between the bonded particles in the normal, tangential, bending and  
151 twisting directions with respect to the initial particle positions.

152 The criterion of bond breakage is determined as follows:

$$153 \quad \frac{F_{bn}}{F_{bnMax}} + \frac{F_{bs}}{F_{bsMax}} + \frac{M_b}{M_{bMax}} + \frac{M_t}{M_{tMax}} \geq 1 \quad (10)$$

154 where  $F_{bnMax}$ ,  $F_{bsMax}$ ,  $M_{bMax}$  and  $M_{tMax}$  are the maximum normal and shear bonding forces,

155 bending and twisting moments, respectively. They can be calculated as  $F_{bnMax} = \pi c l_0^2 / 4$ ,

156  $F_{bsMax} = \pi c l_0^2 / 4$ ,  $M_{bMax} = \pi c l_0^3 / 32$  and  $M_{tMax} = \pi c l_0^3 / 16$ , with  $c$  being the cohesive strength

157 of the particle bond. In the present study,  $c$  is set to an extremely high value (e.g.  $10^{20}$  MPa)

158 to avoid the fragmentation of rock block during impact.



### 159 **3 DEM model of rock block impact against soil layer**

#### 160 **3.1 Modelling of realistic-shaped rock block**

161 In this study, the realistic-shaped rock block is reconstructed via the laser scanner and  
162 discrete element cluster method (see Fig. 1). The LS apparatus PT-J200 (Wei et al. 2017)  
163 used to obtain the spatial coordinates of points on the exterior surface of rock block is shown  
164 in Fig. 1 (a). It has a scanning accuracy of 0.02 mm. The tested rock block (Fig. 1 (b1)) is an  
165 elongated limestone rock block. The longest, intermediate and shortest axis dimensions are  
166 9.5 cm, 5.7 cm and 3.8 cm, respectively. This small rock block will be enlarged in the  
167 numerical simulations to represent large rock boulders generally observed in the field. The  
168 reason to choose such a rock block is that its shape is significantly different from a sphere,  
169 which is more realistic and helpful for the initial evaluation of the reliability of simplifying  
170 the real rock blocks as equal-volume sphere. The steps to reconstruct the realistic-shaped rock  
171 block are as follows: firstly, the LS apparatus is employed to obtain the point cloud of the  
172 rock block surface (Fig. 1 (b2)). Then, the cloud points are used to generate the triangular  
173 meshes for the actual geometry of rock block via the Delaunay triangulation method  
174 (Delaunay 1934) (Fig. 1 (b3)). Meanwhile, the meshes are enlarged to reach the block  
175 dimensions of 1.59 m, 0.95 m and 0.63 m in the longest, intermediate and shortest axis,  
176 respectively. Finally, the rock block is reconstructed by fitting spheres inside the triangular  
177 meshes using the random packing code GenGeo (Shao 2017). The reconstructed rock block is  
178 shown in Fig. 1 (b4).

### 179 3.2 Model configurations of rock block impact

180 The DEM model configurations of rock block impacting against a soil layer are shown  
181 in Fig. 2. In the DEM model, the soil layer is modeled as an assembly of cohesionless rigid  
182 spherical particles obtained by gravitational deposition. The layer, confined by four lateral  
183 walls and a layer of fixed particles (bottom floor), has dimensions of 2.1 m in thickness, 11.0  
184 m in length and width. The fixed particles are used to represent the concrete slab, which  
185 ignores the deformation of bottom slab. The rock blocks tested in this study are presented in  
186 Fig. 3, including a cubic block (B-1), a realistic-shaped block (B-2) and its volume-equivalent  
187 sphere (B-3). The cubic block has a relatively larger mass than other blocks as it is chosen  
188 according to the experimental study of Pichler et al. (2005), so that the DEM model can be  
189 validated by comparing the numerical results of cube impact with their experimental results.  
190 To demonstrate the effect of rock block shape, the equal-volume spherical block (B-3) of the  
191 realistic-shaped rock block (B-2) has also been tested. The input parameters of the DEM  
192 model are listed in Table 1. The particles density in blocks B-1, B-2, B-3 are set differently so  
193 that the bulk density of these rock blocks is  $2700 \text{ kg/m}^3$ . The other parameters are the same as  
194 those in Shen et al. (2019). Due to the rotation of particles in the soil layer is inhibited, the  
195 friction angle of the granular soil is close to  $45^\circ$  (Calvetti 2008).

196 During the simulation, the rock block is positioned in the middle and just above the  
197 surface of the soil buffering layer. In the analysis, the block impacts against the soil layer  
198 with four different impact velocities ( $v_0$ ), as summarized in Table 2. The cubic rock block  
199 collides onto the soil layer with a tip. To investigate the effect of rock block shape, the

200 realistic-shaped rock block is used to impact vertically against the soil layer with different  
201 impact orientations,  $L^+$ ,  $L^-$ ,  $I^+$ ,  $I^-$ ,  $S^+$  and  $S^-$ , respectively (see Fig. 3 (b) and Fig. 4). In fact, the  
202 cases of B-2-C1 and B-2-C2 can be considered as tip impact. The cases of B-2-C3, B-2-C4  
203 and B-2-C5 can be considered as wedge impact. The case of B-2-C6 can be considered as  
204 face impact. Because the oblique impact is not the most detrimental situation, the oblique  
205 impact of rock blocks is not considered in this study. In addition, this study mainly focuses on  
206 the maximum impact force of the rock block and the maximum bottom force. Thus, the  
207 rotation of rock block after the initial impact has not been analyzed.

## 208 **4 Results**

209 In this study, the cubic rock block (B-1) is firstly tested (Sections 4.1) as a model  
210 validation against the experimental and theoretical results reported in Pichler et al. (2005).  
211 Then, the impact of realistic-shaped rock block (B-2) will be investigated in detail with  
212 respect to the impact force, the force chains, the bottom force and the bottom stress  
213 distribution (Sections 4.2–4.5). In addition, to evaluate the reliability of simplifying a real  
214 rock block as a sphere, the numerical results for B-2 have been compared with that for the  
215 equal-volume sphere impact (B-3).

### 216 **4.1 DEM model validation**

217 To verify whether the DEM model can mimic the impact of a rock block, a series of  
218 simulations are conducted with the cubic rock block (B-1). In these simulations, the rock  
219 block (B-1) impacts the soil layer by a tip with various impact velocities. The corresponding  
220 numerical results are analyzed and compared with the experimental and theoretical results in

221 Pichler et al. (2005) and Calvetti and di Prisco (2012). The main focus is on the evolution of  
 222 impact force ( $F_{block}$ ), the maximum impact force ( $F_{block}^{\max}$ ) and the final penetration depth of the  
 223 rock block ( $Z_{block}^{\max}$ ).

224 Fig. 5 shows the evolution of the impact force of the rock block (B-1) in the  
 225 experimental and numerical tests of  $h_f = 8.55$  m. It can be seen that the numerical results can  
 226 match well the experimental results. In particular, the numerical simulation can capture the  
 227 characteristics of peak impact force in the experiment. In addition, the impact duration,  
 228 defined as the time period over which the rock block encounters a significant impact force  
 229 (i.e.  $> 0$ ), is almost identical in the experimental and numerical tests.

230 According to Pichler et al. (2005), for a cubic rock block of volume ( $V$ ) impacting  
 231 against a soil layer with a tip at velocity ( $v_0$ ),  $Z_{block}^{\max}$  can be calculated as

$$232 \quad Z_{block}^{\max} = d \left( \frac{103500h_f}{R + 19180h_f} \right)^{1/2} \quad (11)$$

233 where  $d$  is the diameter of the equivalent projectile of the cubic rock block ( $d = 1.05(V)^{1/3}$ ),  
 234  $R$  is the strength-like indentation resistance of soil buffering layer and  $h_f$  is the equivalent  
 235 falling height of rock block ( $h_f = v_0^2/2g$ ).

236 In addition,  $F_{block}^{\max}$  and  $Z_{block}^{\max}$  satisfy the following relationship,

$$237 \quad \frac{mv_0^2}{F_{block}^{\max}d} = \frac{Z_{block}^{\max}}{d} \quad (12)$$

238 where  $m$  is the mass of the cubic rock block.

239 Therefore, according to Eqs. (11) and (12),  $F_{block}^{\max}$  and  $Z_{block}^{\max}$  can be estimated as,

$$240 \quad F_{block}^{\max} = \frac{mv_0^2}{1.05(V)^{1/3}} \left( \frac{R + 19180h_f}{103500h_f} \right)^{1/2} \quad (13)$$

$$Z_{block}^{max} = 1.05(V)^{1/3} \left( \frac{103500h_f}{R + 19180h_f} \right)^{1/2} \quad (14)$$

The comparison of the numerical results and the theoretical results of Eqs. (13) and (14) is shown in Fig. 6. It can be seen that both the maximum impact force ( $F_{block}^{max}$ ) and final penetration depth ( $Z_{block}^{max}$ ) increase with the equivalent falling height, due to the increasing impact velocity. In addition, the general increasing trends of  $F_{block}^{max}$  and  $Z_{block}^{max}$  can be well fitted by the theoretical formula (Eqs. (13) and (14)) with the indentation resistance of the soil layer in the DEM model equal to  $1.07 \times 10^7$  Pa. This value of indentation resistance is close to the experimental ones found in Pichler et al. (2005) (ca.  $4.58 \times 10^6$  -  $1.86 \times 10^7$  Pa), indicating that the soil properties of the DEM sample used in this research can approximately match that of the gravel used in the experimental study of Pichler et al. (2005).

To verify if the DEM model can reproduce the interaction between the soil layer and the concrete slab, the impact process of a spherical rock block with diameter of 0.9 m and mass of 850 kg onto the soil layer at  $h_f = 36.5$  m is simulated. The contact stress ( $\Delta\sigma$ ) between the soil layer and the bottom floor center is computed and compared with the experimental results of Calvetti and di Prisco (2012). as shown in Fig. 7. The comparison between the impact force of this study and that of Calvetti and di Prisco (2012) has been detailed in Shen et al. (2019), which will not be repeated herein. As the bottom floor is fixed, the peak of the numerical result is 4.5% larger than that of the experimental result (see Fig. 7). In addition,  $\Delta\sigma$  in the numerical simulation decreases to zero earlier than in the experiment. However, the general evolution pattern of  $\Delta\sigma$  in the numerical simulation is the same as in the experiment.

Overall, the agreement between the numerical results and the experimental and

262 theoretical results indicates that the DEM model can be used to investigate the impact of a  
263 rock block against a soil layer covering a concrete slab.

#### 264 **4.2 Impact force on the rock block**

265 Fig. 8 presents the evolution of impact force ( $F_{block}$ ) for the cases of a realistic rock  
266 block (B-2) impacting against the soil layer at different orientations ( $v_0 = 30$  m/s). After  
267 colliding onto the soil layer, the impact force firstly increases to the peak value within a short  
268 time and then decreases gradually to zero. The impact duration is smaller than 0.05 s. The  
269 numerical results in Fig. 8 also show that the rock block shape has a great influence on the  
270 impact force and impact duration, due to the variation of the geometry of impact surface. For  
271 the test of rock block face impact (B-2-C6), the impact force is much larger and the impact  
272 duration is much shorter than other cases. For the test of tip impact (B-2-C1), the impact  
273 force becomes the smallest and the impact duration is the longest. The impact duration of B-3  
274 is larger than that of B-2-C1, while it is smaller than other cases. According to Zhang et al.  
275 (2017b), this phenomenon is actually related to the number of soil particles ( $N_{bc}$ ) contacting  
276 with the rock block and the force chains formed in the soil buffering layer at impact. In the  
277 current study, the evolution of  $N_{bc}$  is shown in Fig. 9. It can be seen that  $N_{bc}$  evolves similarly  
278 as the impact force. Once the rock block touches the soil layer,  $N_{bc}$  increases sharply to the  
279 peak in a short time. The time at which  $N_{bc}$  reaches the peak value is the same as that for the  
280 impact force. In addition, the maximum value of  $N_{bc}$  for the case of B-2-C6 is obviously  
281 larger than that for B-2-C1 and B-3. For face impact, the rock block can have more contacts  
282 with the soil particles. Therefore, these soil particles are less likely to be pushed laterally due

283 to lateral confinement imposed by other stressed particles (Zhang et al. 2017b). Hence, the  
284 force chains in the soil buffering layer can maintain stable at interactions with the rock block,  
285 leading to greater impact force and shorter impact duration. On the contrary, for tip impact,  
286 the rock block has relatively small contact surface areas to the soil layer and the number of  
287 block-particle contacts is small. Thus, the number of force chains formed in the soil layer is  
288 relatively small, leading to smaller impact force and longer impact duration.

289 Fig. 10 presents the relationship between the maximum impact force ( $F_{block}^{max}$ ) and the  
290 impact velocity ( $v_0$ ) for the realistic shaped rock block (B-2) and its equal-volume sphere  
291 (B-3). As expected, the results exhibit an increase of the maximum impact force with the  
292 impact velocity, due to the increase of kinetic energy at impact. At a given impact velocity,  
293 the maximum impact force depends significantly on the geometry of the impact surface.  
294 Generally, the maximum impact force of a face impact (i.e. B-2-C6) is larger than that of a tip  
295 impact (i.e. B-2-C1). In addition, as the impact velocity increases, the difference of maximum  
296 impact forces for the tests of different impact surfaces becomes more obvious. From Fig. 10,  
297 it can also be seen that the maximum impact force of the realistic-shaped rock block (B-2) is  
298 different from that of the corresponding equal-volume sphere (B-3) (e.g. the cases of B-2-C1  
299 and B-2-C6). The maximum impact force B-2-C1 is smaller than that of B-3, while the  
300 maximum impact force of B-2-C6 is much larger than that of B-3. The ratios of the maximum  
301 impact force of B-2 to that of B-3 under condition of different impact velocities are listed in  
302 Table 3. For the tests of  $v_0 = 10.0$  m/s, the maximum impact force of B-2-C6 is 1.71 times  
303 larger than that of B-3. As  $v_0$  increases to 30.0 m/s, the maximum impact force of B-2-C6 can

304 be 2.2 times that of B-3. The ratio of the maximum impact force of B-2 to that of B-3 is  
305 similar to the results of Breugnot et al. (2016), although the shape and mass of rock blocks  
306 tested are different. The current numerical results indicate that the irregularity of rock block  
307 has a significant influence on the impact force of rock block, especially for high-speed  
308 impacts. The maximum impact force of a realistic-shaped rock block can be quite larger than  
309 that of its equal-volume sphere. This is especially evident for the rock block impacting with a  
310 face.

### 311 **4.3 Contact force chains and strain energy**

312 The contact force chains formed in the soil layer at the time instant corresponding to the  
313 peak impact force for the realistic-shaped rock block impacting at  $v_0 = 30$  m/s are presented  
314 in Fig. 11. Here, the force chain is defined as a network of discontinuous lines connecting the  
315 centers of particles in contact. The thickness of these lines is proportional to the magnitude of  
316 contact force. It can be seen that the force chains formed in the soil layer for the B-2-C6  
317 simulation are more than for the case of B-2-C1. From Fig. 11, it can be seen that the  
318 confining effect by the surrounding particles is similar to that in a shallow foundation for  
319 different ratios between the foundation width and the thickness of the soil layer. In other  
320 words, a small contact area is similar to a point load where small number of horizontal force  
321 chains exist in the soil layer, while a large one tends to oedometric loading conditions where  
322 large number of horizontal force chains exist in the soil layer. From Fig. 11, it can also be  
323 seen that for the B-2-C1 case, the force wave has reached the bottom floor at the peak impact  
324 force time, because it takes a much longer time for the peak of impact force to be reached



325 (see Fig. 8), giving time for the force wave to cross the layer. However, for the other cases,  
326 the force wave has not reached the bottom floor, in accordance with the experimental results  
327 of Calvetti and di Prisco (2012). This indicates that for the case of tip impact, the block-soil  
328 interaction can be affected by the bottom floor, while for the cases of wedge and face impact,  
329 the block-soil interaction is unaffected by the presence of the bottom floor.

330 The impact of rock block onto a granular layer also involves evolution and  
331 transformation of a series of energy components (Zhang et al. 2017a). During the impact, the  
332 kinetic energy of the rock block is gradually transferred into the soil buffering layer, inducing  
333 the increase of the kinetic energy of soil particles ( $E_{kl}$ ) and strain energy ( $E_{sl}$ ) stored at the  
334 particle contacts. The strain energy ( $E_{sl}$ ) is highly related to the number and stability of force  
335 chains formed in the granular layer. The more stable the force chains are, the larger the strain  
336 energy, the more resistance the granular layer can give to the rock block. The evolutions of  
337  $E_{kl}$  and  $E_{sl}$  for the tests of B-2 impacting onto the soil layer at  $h_f = 30.0$  m/s is shown in  
338 Fig. 12. It is clear that  $E_{kl}$  and  $E_{sl}$  evolves similarly as the impact force. Once the rock  
339 block touches the soil layer,  $E_{kl}$  and  $E_{sl}$  increases sharply to the peak in a short time. The  
340 time at which  $E_{sl}$  reaches the peak value is the same as that for the impact force. In addition,  
341 it is obvious that the maximum strain energy and kinetic energy of B-2-C6 is larger than that  
342 of B-2-C1. This indicates that there are more stable force chains formed in the soil layer for  
343 the test of B-2-C6. For the test B-2-C6, the rock block encounters more resistance from the  
344 soil layer, which verifies the above discussion of the impact force.

#### 345 4.4 Impact-induced bottom force

346 Fig. 13 shows the evolution of bottom force ( $F_{bott}$ ) for the cases of B-2 impacting against  
347 the soil layer with different orientations. The bottom force is the result of the interaction  
348 between the bottom floor and the stress wave induced by the impact of the rock block  
349 (Calvetti et al. 2005). In the current analysis,  $F_{bott}$  is defined as the vertical component of the  
350 total contact force between the soil layer and the bottom floor. As shown in Fig. 13, for all  
351 tests, the increase of  $F_{bott}$  is delayed by 0.01 s due to the propagation of impact-induced stress  
352 wave within the soil buffering layer. This indicates that the propagation velocity of the stress  
353 wave within in the soil layer is 210 m/s, which is independent of the geometry of impact face.  
354 After  $t = 0.01$  s,  $F_{bott}$  firstly increases quickly to the peak value, and then decreases to zero  
355 and eventually becomes negative. The negative value is due to the separation between the soil  
356 particles and the bottom floor, which has been detailed in Shen et al. (2019) and Zhang et al.  
357 (2017a). Even though the impact surface varies, the evolution pattern of the bottom force for  
358 the realistic-shaped rock block is the same as its equal-volume sphere. However, from Fig. 13,  
359 it can be seen that the geometry of impact surface influences the maximum positive bottom  
360 force significantly as well the rate of  $F_{bott}$  increase. The maximum bottom force ( $F_{bott}^{max}$ ) of a  
361 face impact (i.e. B-2-C6) is greater than that for the tip impact. In fact, this phenomenon is  
362 related to the number and stability of force chains formed in the soil layer (Zhang et al. 2017a;  
363 Su et al. 2018), because the buckling (instability) of force chain is associated with the energy  
364 dissipation of the granular layer. For the case of face impact, there are more force chains  
365 forming and more particles stressed in the soil layer (see Fig. 11). The force chains are more

366 stable and less likely to buckle, leading to less energy dissipation. Thus, more strain energy  
367 can be transmitted by the force chains to the bottom force, leading to a larger bottom force.

368 The maximum bottom forces ( $F_{bott}^{max}$ ) for the tests on rock block (B-2) and its  
369 equal-volume sphere (B-3) are summarized in Fig. 14. The results show that  $F_{bott}^{max}$  increases  
370 with the impact velocity, which is in line with the increasing pattern of the maximum impact  
371 force. In addition,  $F_{bott}^{max}$  exhibits a clear dependence on the geometry of impact surface.  
372 Generally, the  $F_{bott}^{max}$  of face impact (i.e. B-2-C6) is larger than that of tip impact (e.g.  
373 B-2-C1), especially at a high impact velocity. From Fig. 14, it can also be seen that  $F_{bott}^{max}$  of  
374 the realistic-shaped rock block (B-2) is different from that for its equal-volume sphere (B-3).  
375 The maximum bottom force of B-2-C1 is smaller than that of B-3, while the maximum  
376 bottom force for the case of B-2-C6 is larger than that for B-3. The ratios of the maximum  
377 bottom force of B-2 to that of B-1 under different impact velocities are listed in Table 4. In  
378 addition, the ratio increases with the impact velocity. The maximum bottom force of the  
379 realistic-shaped rock block can be 1.49 times that of the corresponding equal-volume sphere.

380 By comparing Fig. 10 and Fig. 14, it can be found that the maximum bottom force ( $F_{bott}^{max}$ )  
381 is larger than the maximum impact force ( $F_{block}^{max}$ ). This is due to the dynamic amplification of  
382 loading in the soil buffering layer which can lead to a maximum bottom force much larger  
383 than the corresponding maximum impact force (Calvetti et al. 2005). The ratio of  $F_{bott}^{max}$  to  
384  $F_{block}^{max}$ , defined as amplification ratio ( $\alpha = F_{bott}^{max} / F_{block}^{max}$ ), has been widely used in engineering  
385 practice to estimate the bottom force (Japan Road Association 2000; ASTRA 2008). The  
386 amplification ratios for the tests of B-2 and B-3 impacting at various velocities are

387 summarized in Fig. 15 and Table 5. The amplification ratio of sphere impact (B-3) is close to  
388 2.0, which matches well the experimental and numerical results reported in the literature  
389 (Zhang et al. 2017a) where spherical rock blocks impacting onto a 2.0 m thickness layer were  
390 tested. However, it can be seen that the amplification ratio depends on the impact velocity  
391 and the geometry of impact surface. As the impact velocity increases, the amplification ratio  
392 decreases. This is because the impact force is more sensitive to the impact velocity in  
393 comparison with the bottom force (see Fig. 10 and Fig. 14). In addition, the amplification  
394 ratios of the realistic-shaped rock block are different from that of its equal-volume sphere.  
395 The amplification ratio of B-2-C1 is larger than that of B-3, while the amplification ratio of  
396 B-2-C6 is smaller than that of B-3. This is because the influence of the impact face on the  
397 impact force is more significant than on the bottom force (see Fig. 8 and Fig. 13).

#### 398 **4.5 Bottom stress distribution**

399 The contact stress between the soil layer and the bottom floor is also important as it  
400 determines the deformation of concrete slab beneath the soil layer (Calvetti and di Prisco  
401 2012). To analyze the bottom stress distribution, the bottom floor is mapped as a  $11 \times 11$   
402 element grid (see Fig. 16). The average normal stress ( $\sigma$ ) at the  $i$ -th mesh cell is calculated as  
403  $F_i/S_i$ , where  $F_i$  is the vertical component of the contact forces between the bottom floor and  
404 the soil particles and  $S_i$  is the area of the  $i$ -th mesh cell. For simplification, the normal stresses  
405 of the grid cells at the bottom center and along the X-axis and Y-axis of the bottom floor  
406 (grey meshes in Fig. 16) are evaluated. The distributions of maximum normal stresses ( $\sigma_x^{\max}$ )  
407 and ( $\sigma_y^{\max}$ ) along X-axis and Y-axis are plotted in Fig. 17. It can be seen that the geometry of

408 the impact has a significant influence on the peak of stress distribution. The peak of the stress  
409 distribution of face impact (B-2-C6) is larger than that of tip impact (B-2-C1). However, the  
410 impact surface has little influence on the distribution pattern of  $\sigma_x^{\max}$  and  $\sigma_y^{\max}$ . The peak  
411 value occurring just at the bottom center ( $x = 0.0$  and  $y = 0.0$ ).  $\sigma_x^{\max}$  and  $\sigma_y^{\max}$  decreases  
412 with the distance from the bottom center. As the distance increases to 3 m,  $\sigma_x^{\max}$  and  $\sigma_y^{\max}$   
413 decrease almost by 90% compared to the peak value. It is worth noting that the distribution of  
414 maximum normal stress is not axisymmetric due to the irregularity of impact surface, which  
415 means that the maximum stresses at cells of the same distance from the bottom center are  
416 different. This is evident for the test of B-2-C1. Even though an axisymmetric block is used  
417 (i.e. B-3), the distribution of maximum normal stress is not axisymmetric (see Fig. 17) due to  
418 the anisotropy of the soil layer. However, the numerical data can be well fitted by the  
419 Gaussian function as,

$$420 \quad \sigma_x^{\max} = \sigma_0 + Ae^{-\frac{2(x-x_c)^2}{b^2}} \quad (15)$$

421 where  $\sigma_0$  is the bottom asymptote of the fitting function;  $A$  is height of the curve's peak;  $x_c$   
422 is the position of the center of the peak and  $b$  is standard deviation. As shown in Fig. 17, for  
423 tests of realistic-shaped rock block (B-2) impacting against the soil layer with various impact  
424 orientations, the numerical data match well with the Gaussian function ( $R^2 > 0.98$ ). This  
425 indicates that the Gaussian function can be used to describe the stress distribution on the  
426 bottom floor induced by the impact of realistic-shaped rock blocks. It should be noted that  
427 this distribution is obtained by calculating the maximum stresses on each cell. However, the  
428 maximum stress acting on each cell occurs at different time. Theoretically, the central cell is

429 the very first to reach the maximum stress, but when the maximum stress is reached on other  
430 cells, the stress in the central cell has diminished. Therefore, the bottom force calculated by  
431 the distribution of maximum normal stress is overestimated.

432 The maximum normal stresses ( $\sigma_{x=0.0}^{\max}$ ) acting on the bottom center ( $x = 0.0$  m) for B-2  
433 and B-3 impacting at various velocities are presented in Fig. 18. The numerical results show  
434 that  $\sigma_{x=0.0}^{\max}$  exhibits a clear dependence on the impact velocity and orientation. For all the  
435 tests of B-2 and B-3,  $\sigma_{x=0.0}^{\max}$  increases with the impact velocity. For a given impact velocity,  
436  $\sigma_{x=0.0}^{\max}$  varies with the geometry of impact orientation.  $\sigma_{x=0.0}^{\max}$  for face impact (B-2-C6) is  
437 larger than that of tip impact (B-2-C1), this becoming more and more obvious as the impact  
438 velocity increases. In addition,  $\sigma_{x=0.0}^{\max}$  of a realistic-shaped rock block can be very different  
439 from its equal-volume sphere. Generally,  $\sigma_{x=0.0}^{\max}$  of face impact (B-2-C6) is larger than that  
440 of the equal-volume sphere (B-3), while  $\sigma_{x=0.0}^{\max}$  of tip impact (B-2-C1) is smaller than that  
441 for B-3. In particular, for high-speed impact,  $\sigma_{x=0.0}^{\max}$  of realistic-shaped rock block can be 2.0  
442 times as that for the equal-volume sphere impact.

443 Fig. 19 shows the relationship between  $\sigma_{x=0.0}^{\max}$  and  $F_{block}^{\max}$  for tests of B-2 and B-3  
444 impacting against the soil layer at different velocities. Although the geometry of impact  
445 surface varies,  $\sigma_{x=0.0}^{\max}$  increases linearly with the maximum impact force ( $F_{block}^{\max}$ ). The slope  
446 of the fitting line is 0.23, which is the same as the data reported in Shen et al. (2019). This  
447 indicates that  $\sigma_{x=0.0}^{\max}$  can be estimated via multiplying  $F_{block}^{\max}$  by a unique coefficient which is  
448 independent of the impact velocity, the rock block shape and mass at least for a simplified  
449 layer. This coefficient appears to be an intrinsic property of the soil buffering layer even if we

450 only tested a limited set of conditions. Hence, this coefficient can be evaluated by using  
451 spherical rock block impact test for estimating the bottom center stress of realistic-shaped  
452 rock block impacts. Once the maximum stress on the center is estimated, the maximum stress  
453 distribution could be obtained based on the Gaussian function. Thus, the concrete slab can be  
454 designed based on the maximum stress distribution.

## 455 **5 Discussion**

456 In the literature, many researchers have conducted a lot of experimental and numerical  
457 studies to investigate the impact of spherical projectile onto a granular bed (Katsuragi and  
458 Durian 2007; Katsuragi and Durian 2013; Kang et al. 2018). The corresponding results  
459 indicate that the impact force of a sphere can be interpreted by the generalized Poncelet force  
460 law (Katsuragi and Durian 2007). It involves a depth-dependent force term induced by  
461 inter-particle friction and a velocity-dependent force term arising from the projectile-particle  
462 collision. The depth-dependent force depends on the volume of particles displaced by the  
463 projectile, which is similar to the Archimedes' law (Kang et al. 2018). The  
464 velocity-dependent force is related to the impact face (Katsuragi and Durian 2013). The  
465 larger the area of impact face is, the larger the velocity-dependent force will be. In this study,  
466 penetrating volume (PV) is defined to quantify the difference between various impact cases.  
467 PV is calculated as the volume of rock block immersed in the soil layer when assuming that  
468 the penetration depth has reached one-tenth of the diameter of the equal-volume sphere (B-3)  
469 (see Fig. 20). Therefore, larger the penetrating volume (PV) means the larger impact face area  
470 and volume of particles displaced by the projectile. This will lead to larger impact force. The

471 penetrating volumes of B-2 and B-3 are calculated and summarized in Fig. 20. It is clear that  
472 the PV of B-2-C6 is obviously larger than that of B-3. Hence, the impact force of B-2-C6 is  
473 larger than that of B-3. On the contrary, due to the smaller PV, the impact force of B-2-C1 is  
474 smaller than that of B-3. The PV for other cases (i.e. B-2-C2, B-2-C3, B-2-C4, and B-2-C5)  
475 are close to each other. Hence, the impact force for these cases are close to one another. In  
476 addition, the numerical results illustrate that the maximum bottom force increases with the  
477 penetration volume. The testing case of B-2-C3 is an exception, because the impact has  
478 induced the rotation of the block due to the highly asymmetrical impact area (see Fig. 20).

## 479 **6 Conclusions**

480 This study established a numerical model to quantify the impact of a realistic-shaped  
481 rock block against a soil buffering layer via the discrete element method. The realistic-shaped  
482 rock block is reconstructed by the laser scanner and the discrete element cluster methods. The  
483 numerical model was first validated, and then used to investigate the mechanical response of  
484 realistic-shaped rock block impact. A series of simulations for the realistic-shaped rock block  
485 impacting onto the soil layer with various impact surfaces and velocities have been conducted.  
486 The corresponding numerical results have been compared with that for the equal-volume  
487 spherical block of the realistic-shaped rock block which is a common assumption used in  
488 many studies.

489 The obtained numerical results illustrate that the irregularity of realistic-shaped rock  
490 blocks can lead to three kinds of impacts, namely the tip, edge and face impacts. The  
491 geometry of the contact surface between the rock block and the soil layer influences the



492 impact force, the bottom force and the bottom center stress significantly. The face impact  
493 results in short impact duration and large maximum impact force, bottom force and bottom  
494 center stress. The amplification ratio of the soil layer also exhibits a clear dependence on the  
495 geometry of impact orientation. However, the geometry of contact surface has little influence  
496 on the distribution of peak stress on the bottom floor, which can be well described by the  
497 Gaussian distribution function. In addition, the peak stress at the bottom center correlates  
498 linearly with the maximum impact force. The ratio of the peak stress at the bottom center to  
499 the maximum impact force is independent of the impact velocity and the geometry of contact  
500 surface. The numerical results also indicate that the simplification of the realistic-shaped rock  
501 block as equal-volume sphere can underestimate of the maximum impact force (i.e. 2 times),  
502 especially for high-speed rock block impact. The established numerical model and the results  
503 obtained in this study can give some new insights into the designing practices of effective soil  
504 buffering layers for rockfall hazards mitigations.

505       It should be noted that the numerical model employed in this study was calibrated based  
506 on a specific soil layer. The influence of soil characteristics (friction angle, compaction,  
507 fabric and diffusion angle) on the impact force and load distribution on the slab were not  
508 investigated. At the same time, the concrete slab is perfectly rigid and positioned at a fixed  
509 depth. Therefore, someone who would like to use the numerical model and results of this  
510 study in engineering practices should firstly carefully verify the soil characteristics.

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- 640
- 641

## 642 Captions

643 Fig. 1. (a) 3D laser scanner and (b) steps to reconstruct a realistic-shaped rock block.

644 Fig. 2. Numerical model configurations, (a) front view, (b) top view. The rock block is  
645 modeled as an assembly of bonded spherical particles, and the soil buffering layer is modeled  
646 as an assembly of polydisperse spherical particles obtained by gravitational deposition. The  
647 bulk density of the soil layer is  $1514.9 \text{ kg/m}^3$ .

648 Fig. 3. Different rock blocks used in the simulations (B-1, B-2, and B-3). The particles  
649 constituting rock blocks are colored based on their radii.  $L$ ,  $I$  and  $S$  are the longest,  
650 intermediate and shortest principal geometric axes of the realistic-shaped rock block.

651 Fig. 4. Impact cases of the realistic-shaped rock block (B-2).

652 Fig. 5 Evolution of the acceleration of the rock block (B-1) in the experimental (Pichler et al.  
653 2005) and numerical tests ( $h_f = 8.55 \text{ m}$ ).

654 Fig. 6. Comparisons between the numerical results in this study and the theoretical data in  
655 Pichler et al. (2005) for the cubic block impact: (a) maximum impact force, (b) final  
656 penetration depth.

657 Fig. 7 Evolution of the bottom center stress for the test of a spherical rock block with  
658 diameter of  $0.9 \text{ m}$  and mass of  $850 \text{ kg}$  impacting onto the soil layer at  $h_f = 36.5 \text{ m}$ . The  
659 experimental results are those reported in Calvetti and di Prisco (2012).

660 Fig. 8. Evolution of the impact force ( $F_{block}$ ) for the rock block (B-2) impacting against the  
661 soil layer with different impact surfaces ( $v_0 = 30 \text{ m/s}$ ) and for the spherical equal-volume  
662 (B-3).

663 Fig. 9. Evolution of the number of soil particles ( $N_{bc}$ ) contacting with the realistic-shaped  
664 rock block ( $v_0 = 30 \text{ m/s}$ ).

665 Fig. 10. Dependence of the maximum impact force ( $F_{block}^{max}$ ) on the impact velocity ( $v_0$ ) for the  
666 rock block (B-2) and its equal-volume sphere (B-3). The solid lines are power-law fittings to  
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668 Fig. 11. Contact force chains formed in the soil layer at the time instant corresponding to the  
669 peak impact force for the realistic-shaped rock block impacting at  $v_0 = 30 \text{ m/s}$ . Here, the force  
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671 The thickness of these lines is proportional to the magnitude of contact force.

672 Fig. 12. Evolutions of the strain energy (a) and kinetic energy (b) of the soil particles for the  
673 rock block (B-2) impacting against the soil layer with different orientations ( $v_0 = 30 \text{ m/s}$ ).

674 Fig. 13. Evolution of the bottom force ( $F_{bott}$ ) for the rock block (B-2) impacting against the  
675 soil layer with different orientations ( $v_0 = 30 \text{ m/s}$ ).

676 Fig. 14. Dependence of the maximum bottom force ( $F_{\text{bottom}}^{\text{max}}$ ) on the impact velocity ( $v_0$ ) for the  
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678 Fig. 15. Ratios of the maximum bottom force to the maximum impact force of rock block B-2  
679 and B-3 impacting against the soil layer with various velocities.

680 Fig. 16. Discretization of the bottom floor for stress evaluation. The studied region, along the  
681 X and Y axial directions, is colored grey.

682 Fig. 17. Distribution of the peak normal stress along the X (a) and Y (b) axis of the bottom  
683 for the rock block (B-2) impacting against the soil layer at  $v_0 = 30$  m/s.

684 Fig. 18. Relationship between the maximum stress ( $\sigma_{x=0.0}^{\text{max}}$ ) acting on the bottom center ( $x =$   
685  $0.0$  m) and the impact velocity ( $v_0$ ) for impacts of realistic-shaped rock block (B-2) and its  
686 equal-volume sphere (B-3).

687 Fig. 19. Relationship between the maximum stress ( $\sigma_{x=0.0}^{\text{max}}$ ) acting on the bottom center and the  
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689 Fig. 20. Penetrating volume (PV) of rock blocks when assuming that the penetrating depth  
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699 Table 5 Amplification ratio of the soil layer for tests with B-2 and B-3 with various velocities.

700



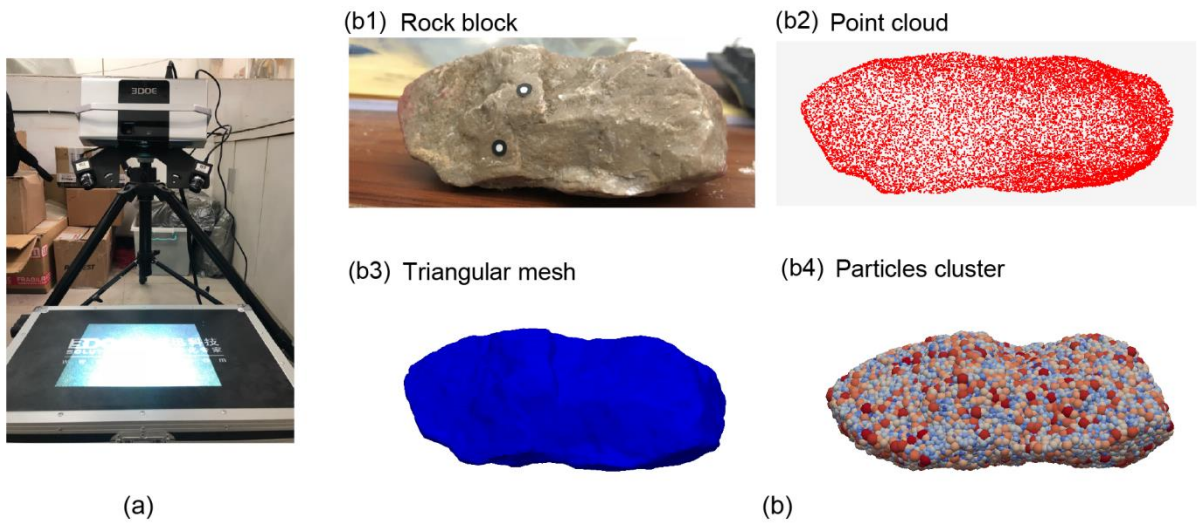
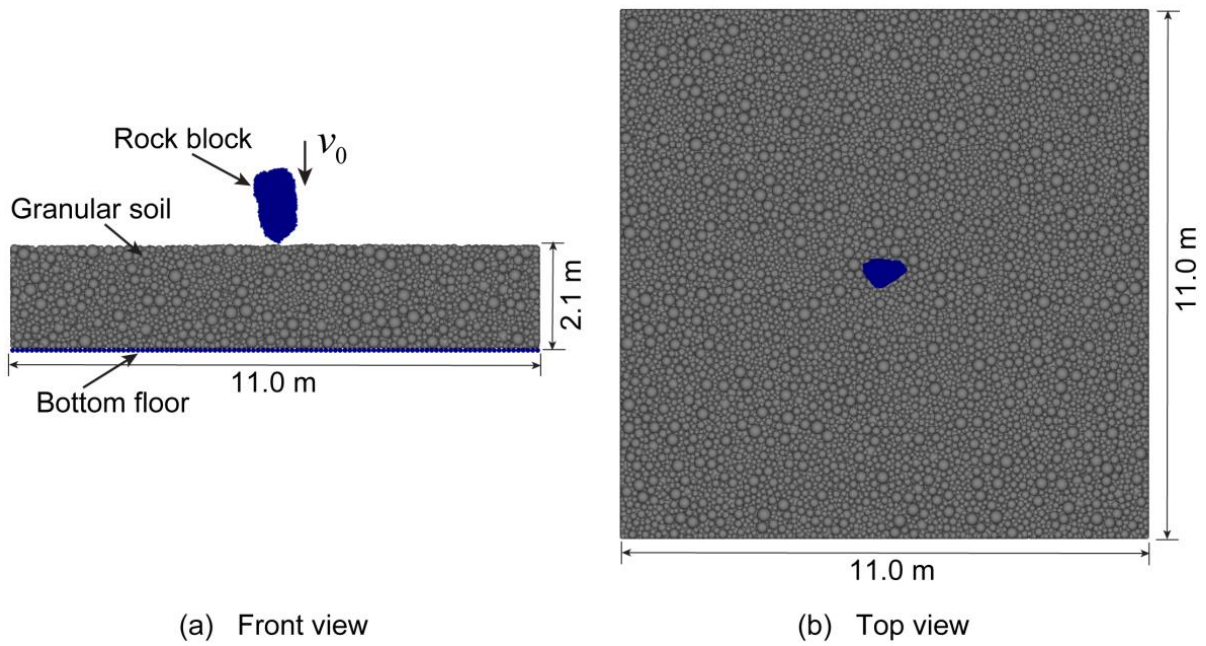


Fig. 1. (a) 3D laser scanner and (b) steps to reconstruct a realistic-shaped rock block.



(a) Front view  
(b) Top view

Fig. 2. Numerical model configuration, (a) front view, (b) top view. The rock block is modeled as an assembly of bonded spherical particles, and the soil buffering layer is modeled as an assembly of polydisperse spherical particles obtained by gravitational deposition. The bulk density of the soil layer is  $1514.9 \text{ kg/m}^3$ .

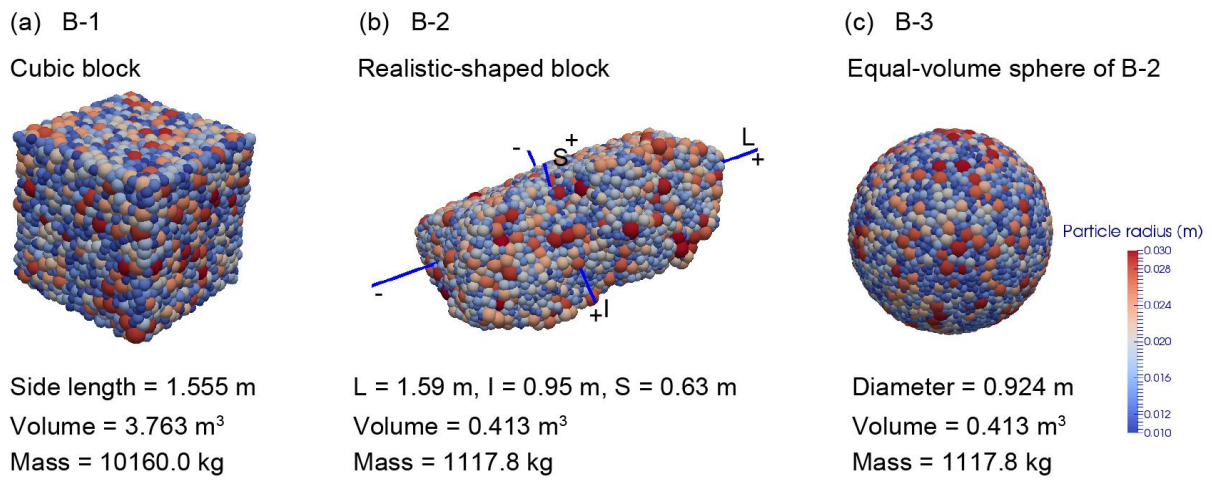


Fig. 3. Different rock blocks used in the simulations (B-1, B-2, and B-3). The particles constituting rock blocks are colored based on their radii.  $L$ ,  $I$  and  $S$  are the longest, intermediate and shortest principal geometric axes of the realistic-shaped rock block.

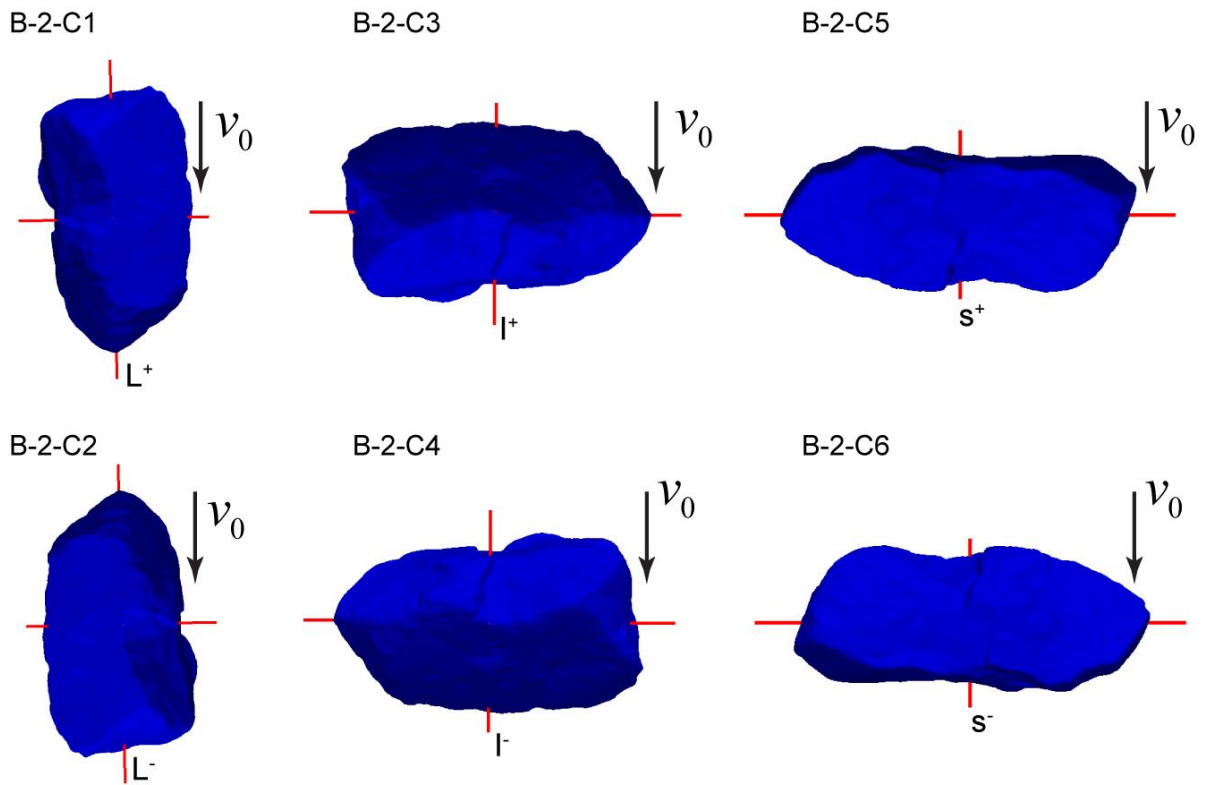


Fig. 4. Impact cases of the realistic-shaped rock block (B-2).

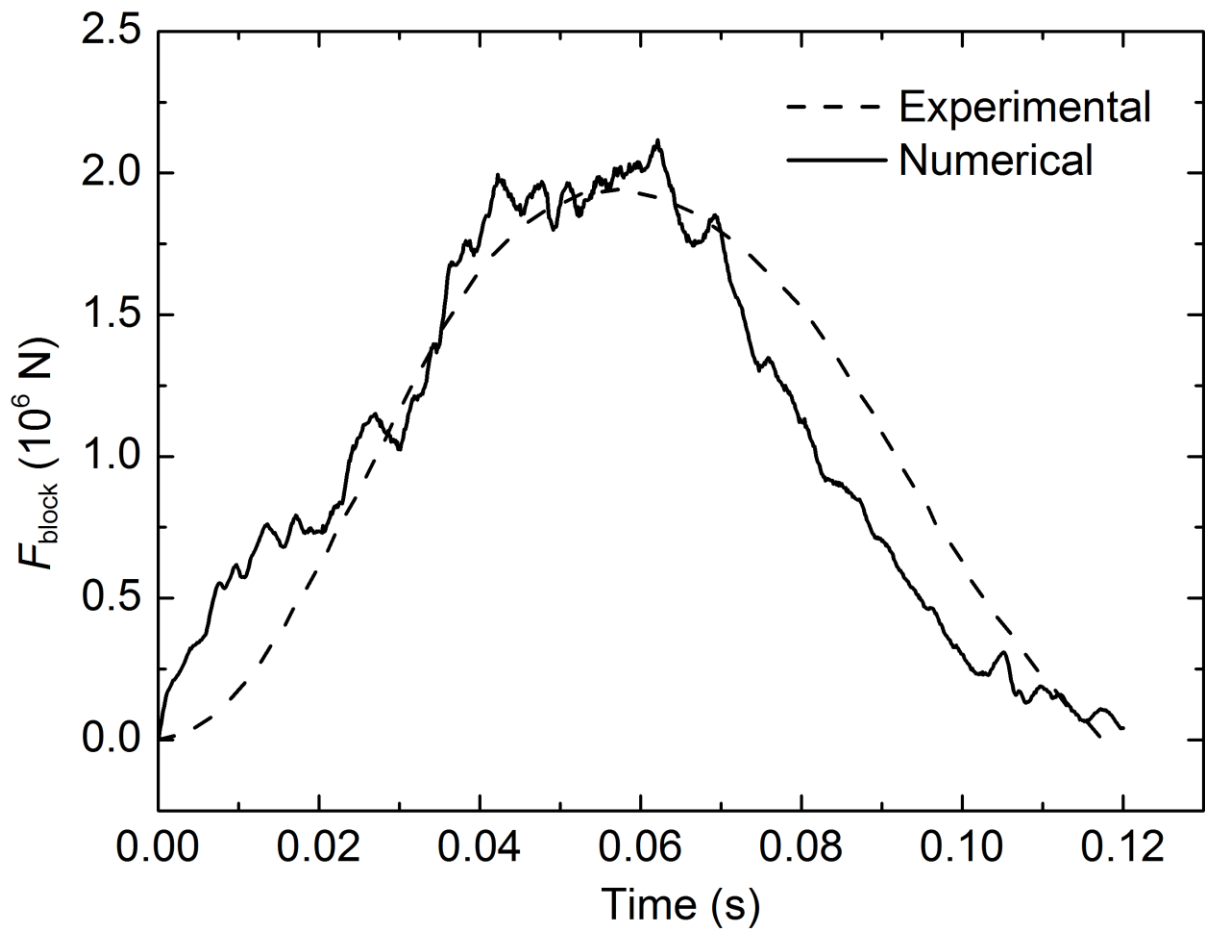


Fig. 5 Evolution of the impact force of the rock block (B-1) in the experimental (Pichler et al. 2005) and numerical tests ( $h_f = 8.55$  m).

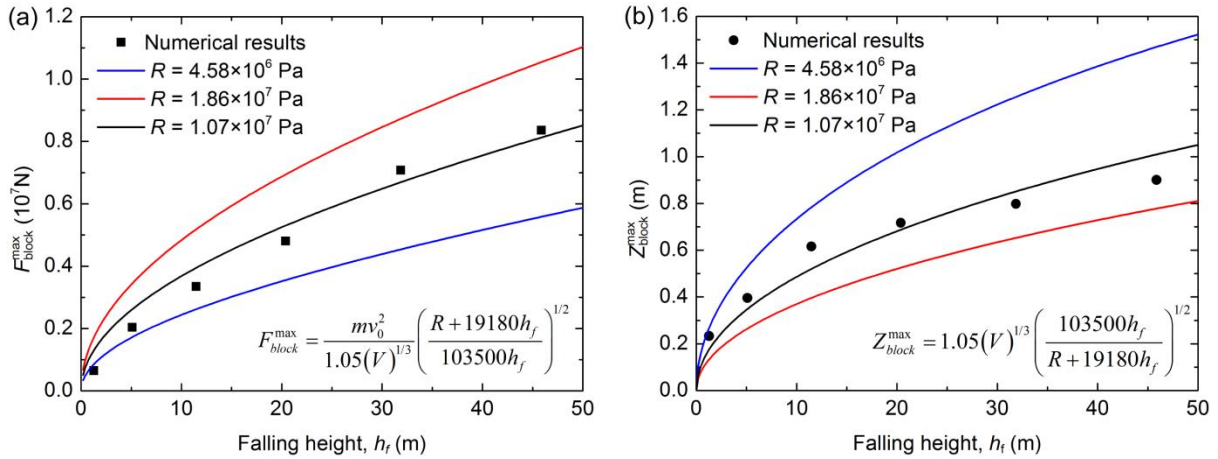


Fig. 6. Comparisons between the numerical results in this study and the theoretical data in Pichler et al. (2005) for the cubic block impact: (a) maximum impact force, (b) final penetration depth.

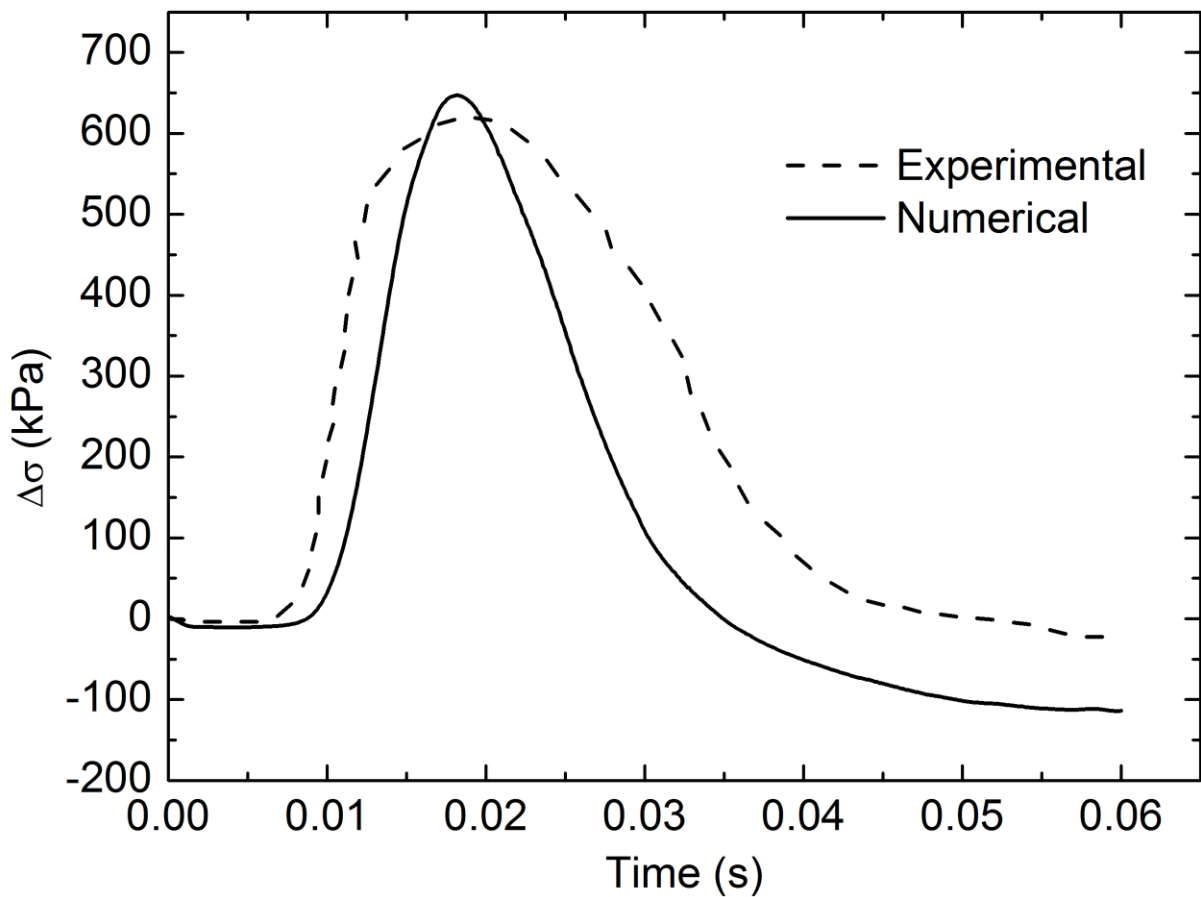


Fig. 7 Evolution of the bottom center stress for the test of a spherical rock block with diameter of 0.9 m and mass of 850 kg impacting onto the soil layer at  $h_f = 36.5$ . The experimental results is that reported in Calvetti and di Prisco (2012).

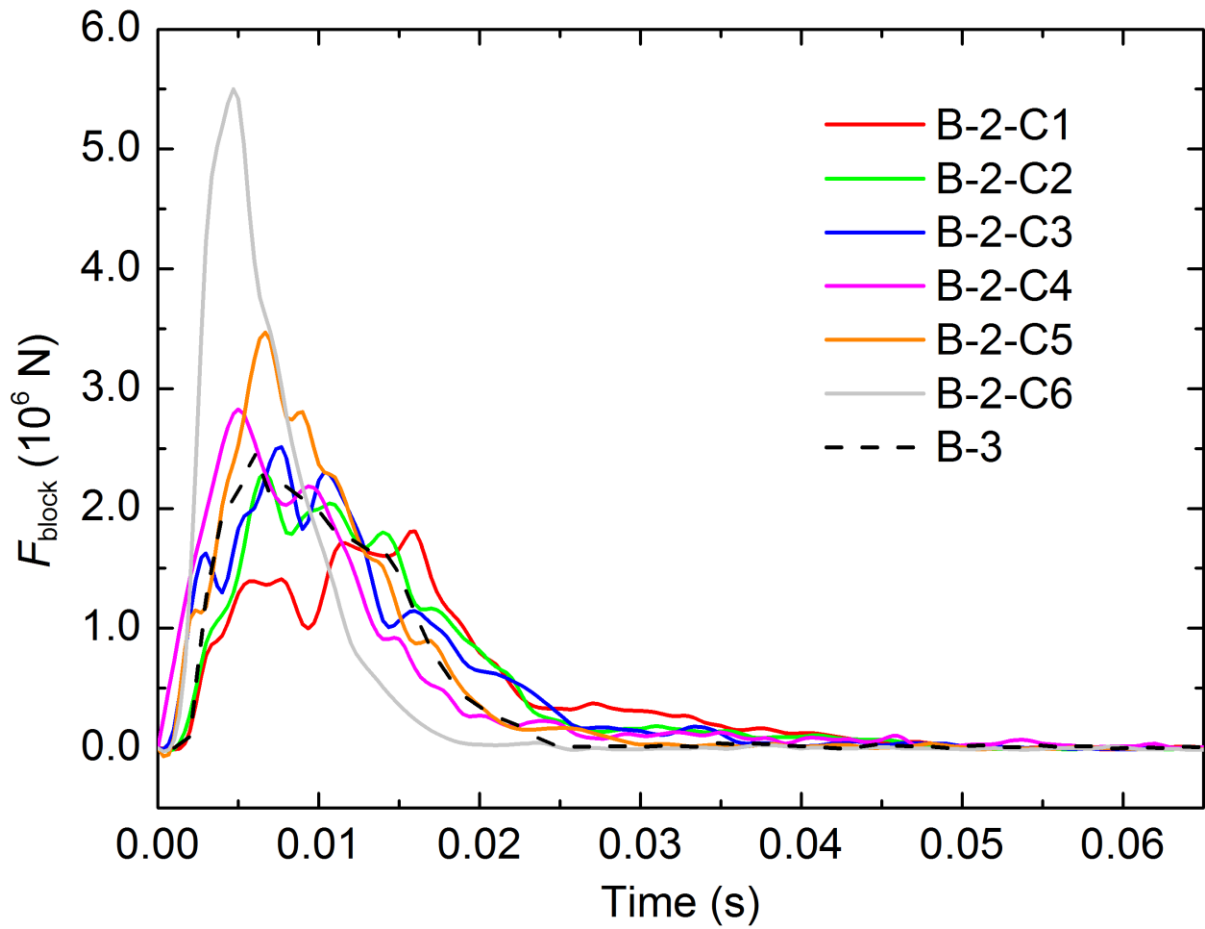


Fig. 8. Evolution of the impact force ( $F_{block}$ ) for the rock block (B-2) impacting against the soil layer with different impact surfaces ( $v_0 = 30$  m/s) and for the spherical equal-volume (B-3)

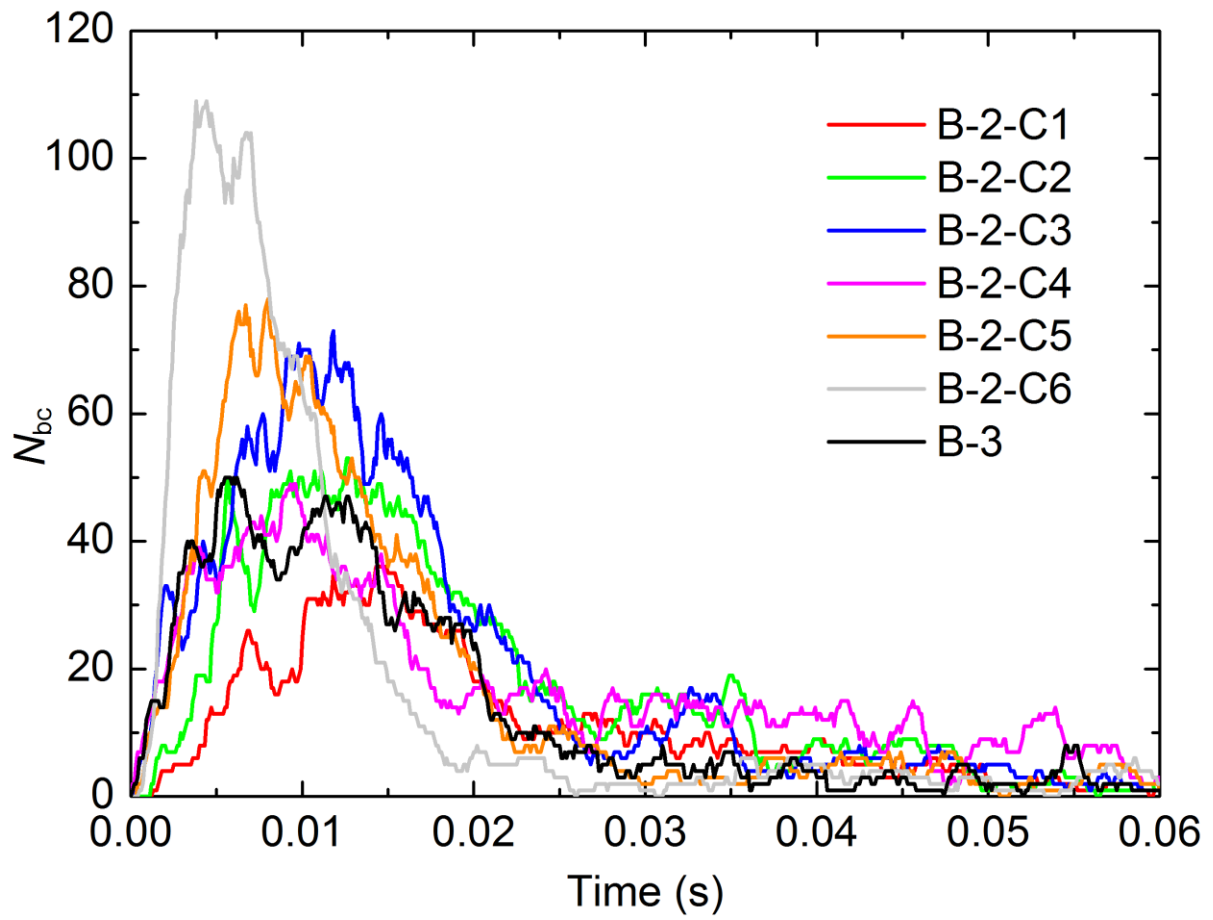


Fig. 9. Evolution of the number of soil particles ( $N_{bc}$ ) contacting with the realistic-shaped rock block ( $v_0 = 30$  m/s).



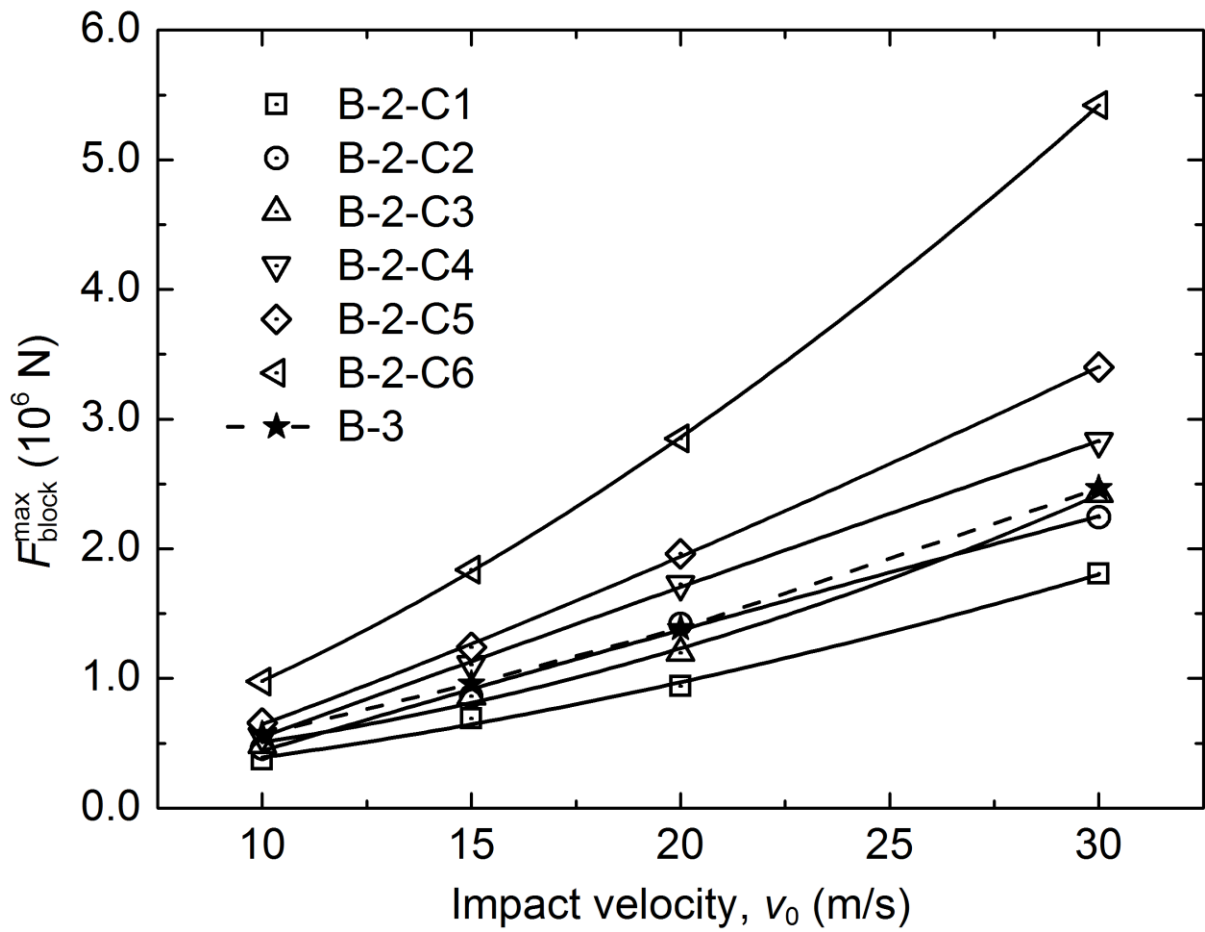


Fig. 10. Dependence of the maximum impact force ( $F_{block}^{max}$ ) on the impact velocity ( $v_0$ ) for the rock block (B-2) and its equal-volume sphere (B-3). The solid lines are power-law fittings to the numerical data.

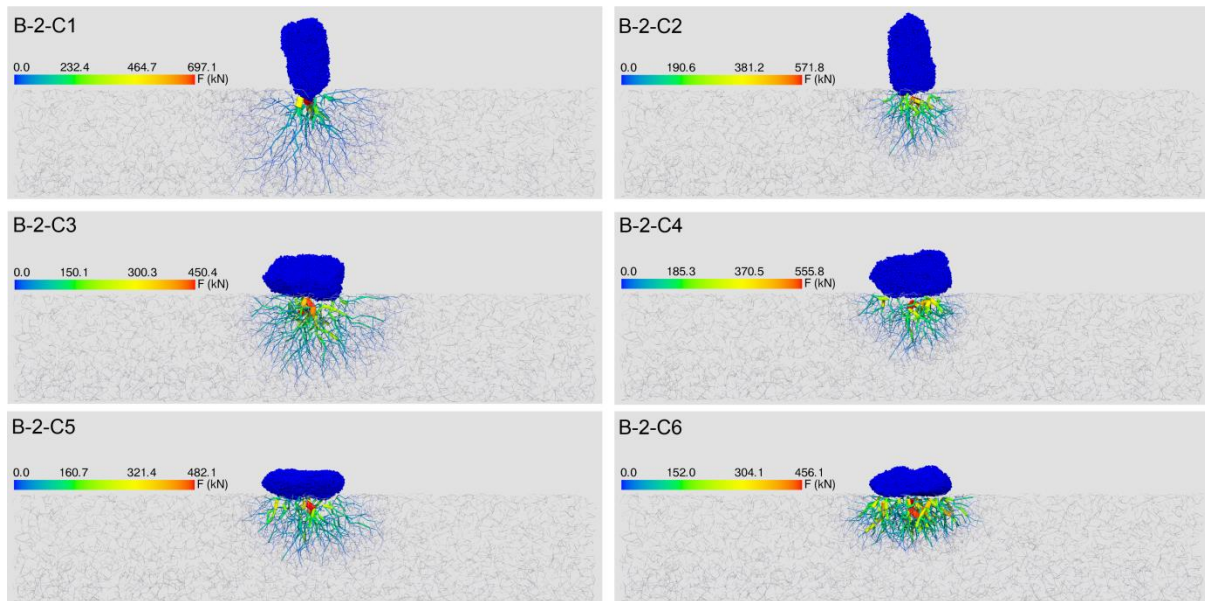


Fig. 11. Contact force chains formed in the soil layer at the time instant corresponding to the peak impact force for the realistic-shaped rock block impacting at  $v_0 = 30$  m/s. Here, the force chain is defined as a network of straight lines connecting the centers of contacting particles. The thickness of these lines is proportional to the magnitude of contact force.

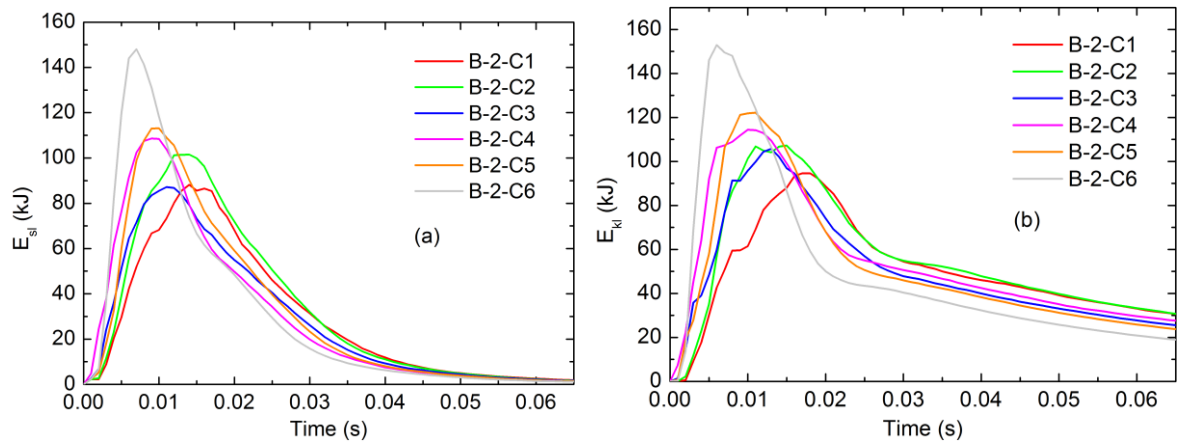


Fig. 12. Evolutions of the strain energy (a) and kinetic energy (b) of the soil particles for the rock block (B-2) impacting against the soil layer with different orientations ( $v_0 = 30$  m/s).

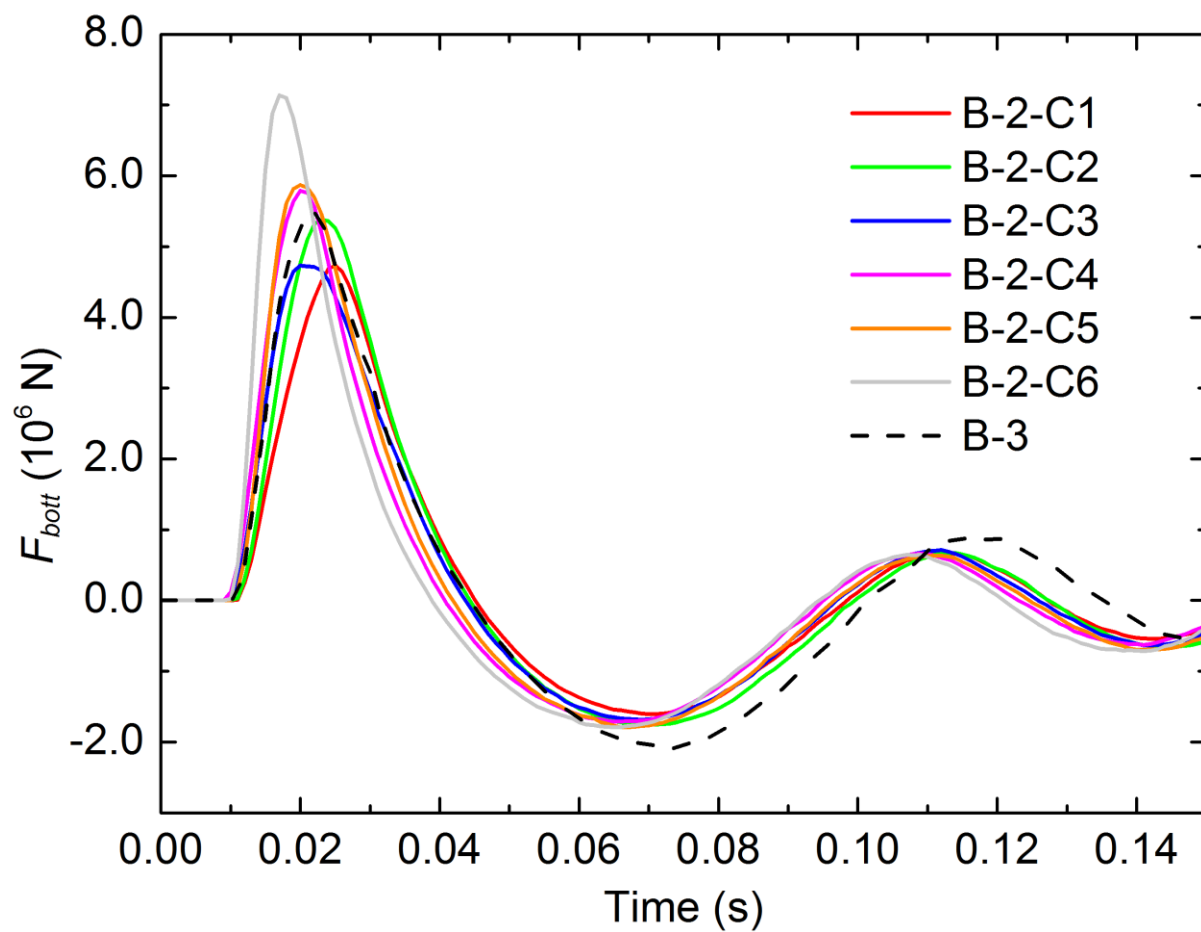


Fig. 13. Evolution of the bottom force ( $F_{bott}$ ) for the rock block (B-2) impacting against the soil layer with different orientations ( $v_0 = 30$  m/s).

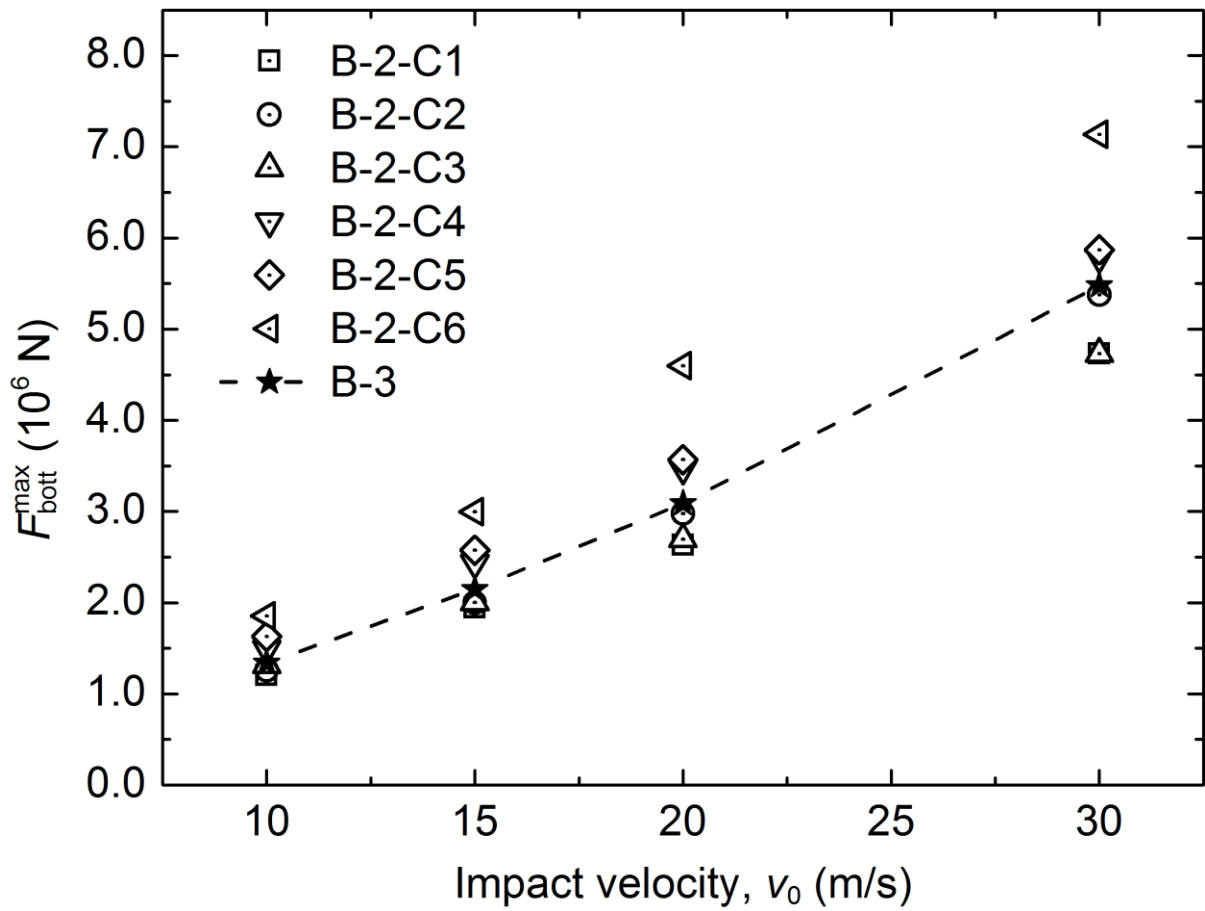


Fig. 14. Dependence of the maximum bottom force ( $F_{bott}^{max}$ ) on the impact velocity ( $v_0$ ) for the rock block (B-2) and its equal-volume sphere (B-3).

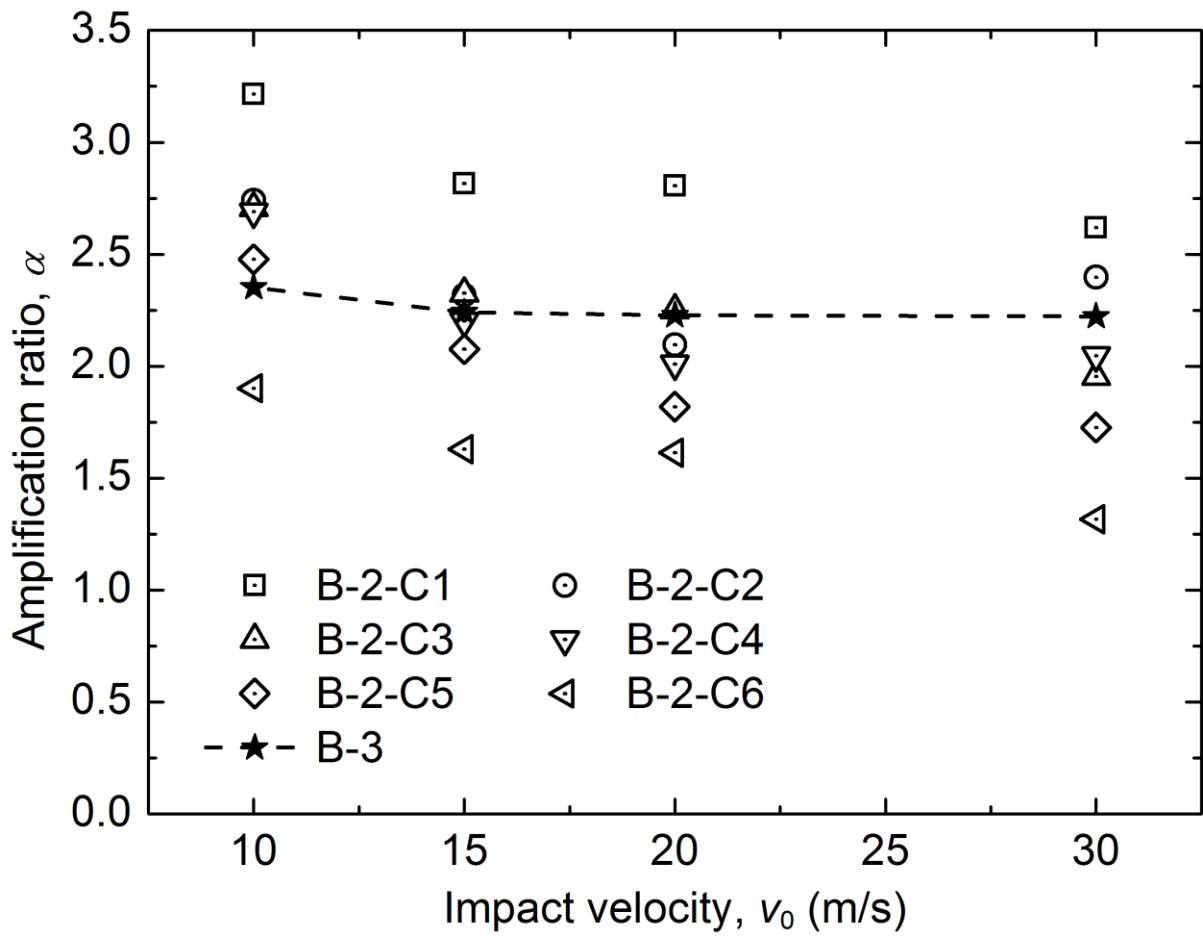


Fig. 15. Ratios of the maximum bottom force to the maximum impact force of rock block B-2 and B-3 impacting against the soil layer with various velocities.

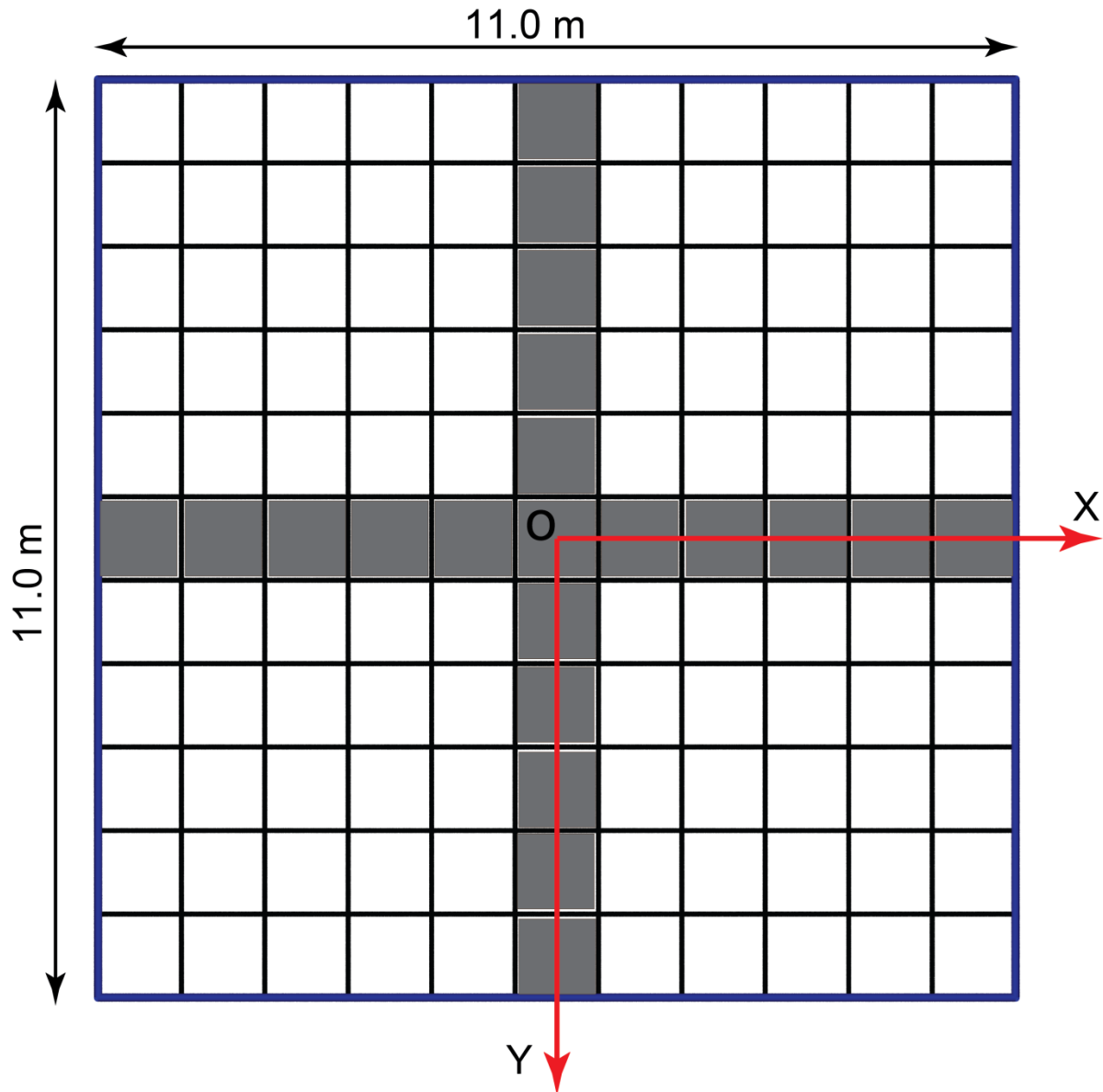


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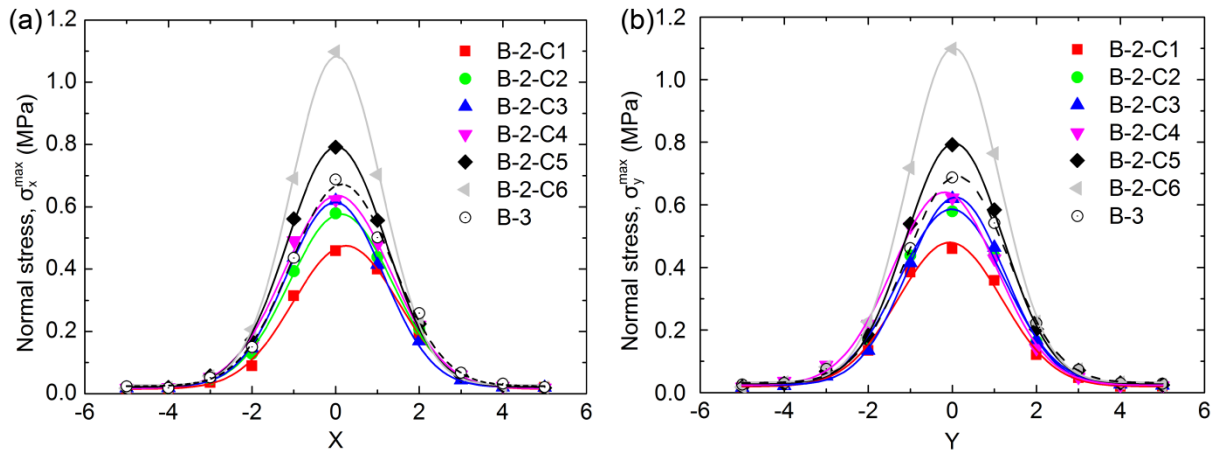


Fig. 17. Distribution of the peak normal stress along the X (a) and Y (b) axis of the bottom for the rock blocks (B-2) and (B-3) impacting against the soil layer at  $v_0 = 30$  m/s.



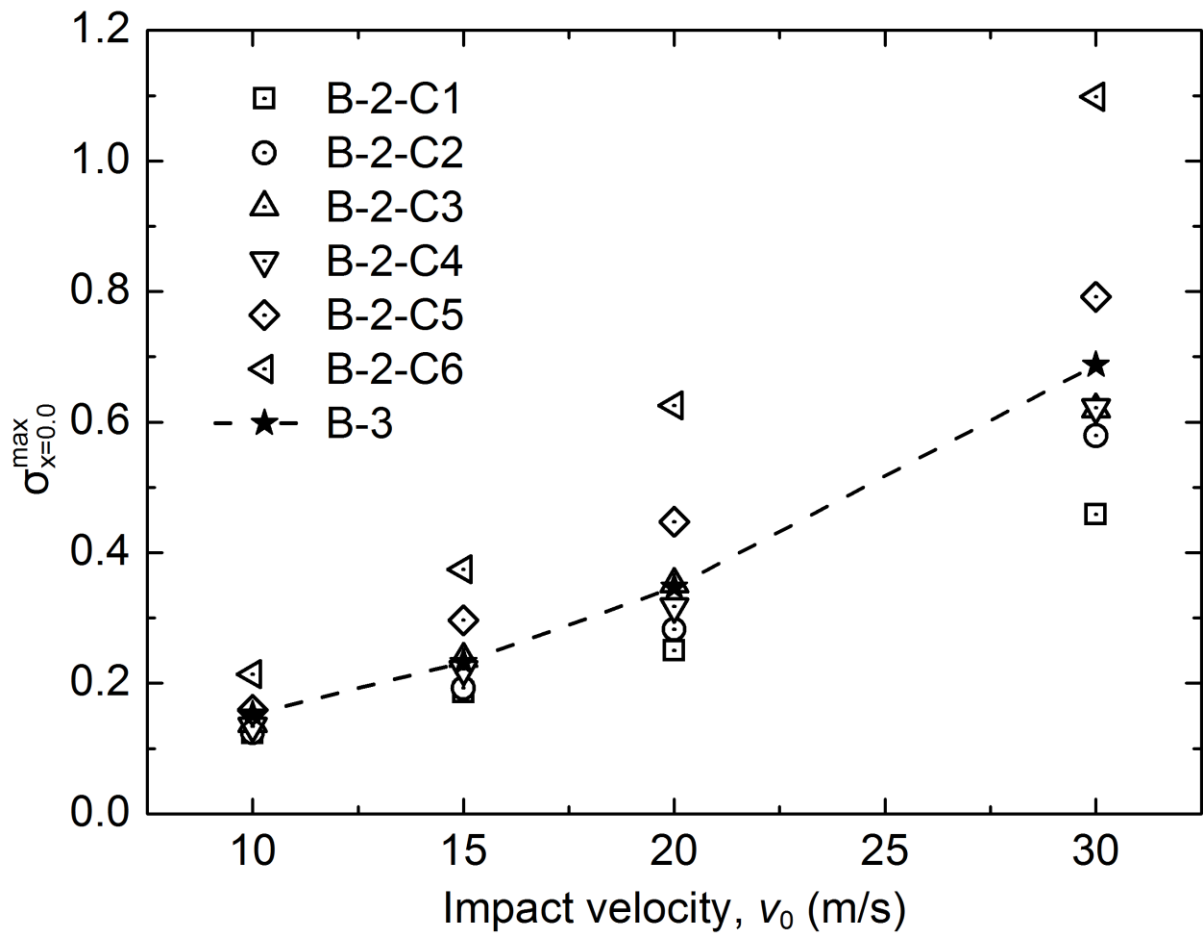


Fig. 18. Relationship between the maximum stress ( $\sigma_{x=0.0}^{\max}$ ) acting on the bottom center ( $x = 0.0$  m) and the impact velocity ( $v_0$ ) for impacts of realistic-shaped rock block (B-2) and its equal-volume sphere (B-3).

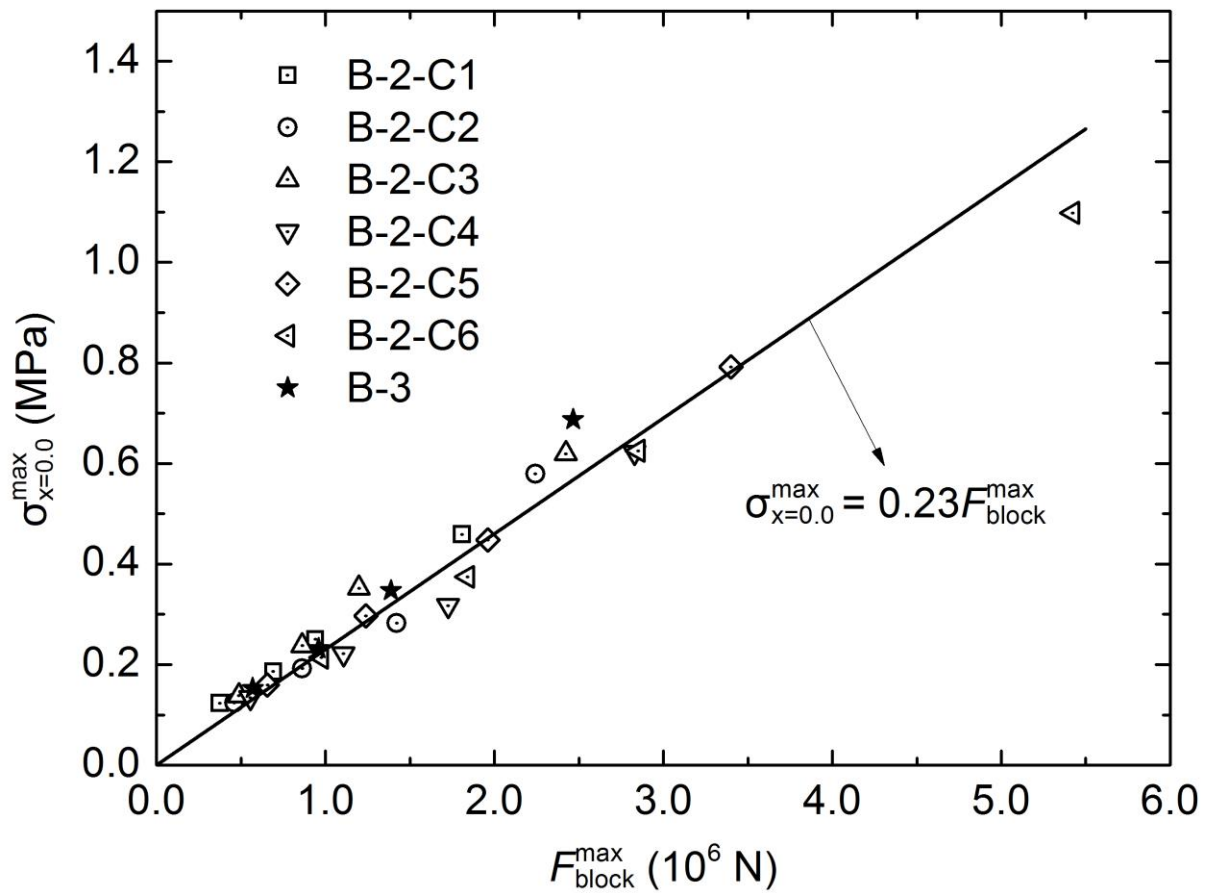


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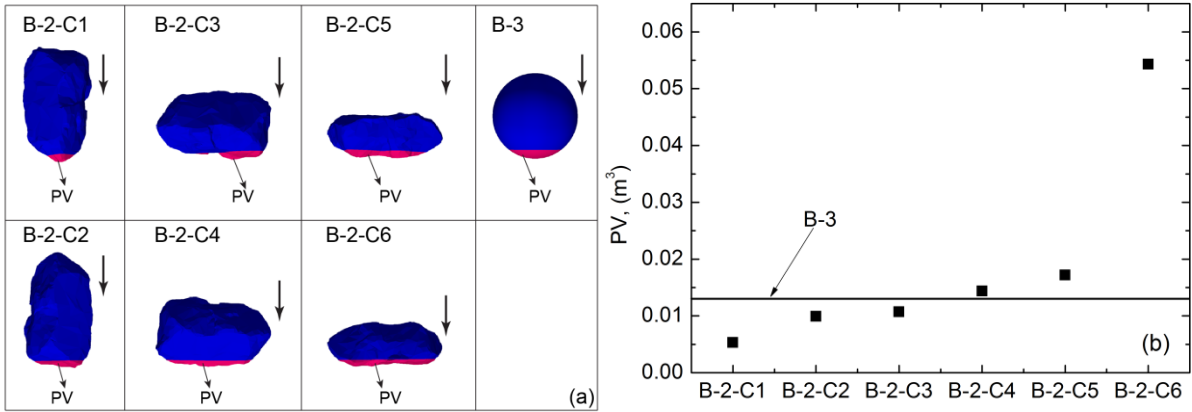


Fig. 20. Penetrating volume (PV) of rock blocks when assuming that the penetrating depth reaches one-tenth of the diameter of the equal-volume sphere (B-3).

Table 1. Input parameters used in the simulations. The particles densities in blocks B-1, B-2, B-3 are set differently so that the bulk density of rock block is 2700 kg/m<sup>3</sup>.

DEM parameters	Value	DEM parameters	Value
Soil particle radius (m)	0.05-0.15	Young's modulus of particle, $E_p$ (MPa)	$1 \times 10^2$
Slab particle radius (m)	0.05	Particle Poisson's ratio, $\nu$	0.25
Block particle radius (m)	0.01-0.03	Viscous damping coefficient, $\beta$	0.01
B-1 particle density (kg/m <sup>3</sup> )	5242.6	Particle friction coefficient, $\mu$	0.577
B-2 particle density (kg/m <sup>3</sup> )	5063.8	Cohesion of bonds, $c$ (MPa)	$1 \times 10^{20}$
B-3 particle density (kg/m <sup>3</sup> )	4461.5	Young's modulus of bonds, $E_b$ (MPa)	$1 \times 10^4$
Soil particle density, $\rho$ (kg/m <sup>3</sup> )	2650.0	Gravitational acceleration, $g$ (m/s <sup>2</sup> )	9.81
Slab particle density (kg/m <sup>3</sup> )	2650.0	Time step size, $\Delta t$ (s)	$1 \times 10^{-6}$

Table 2. Initial impact velocity of rock block impact

Vertical velocity, $v_0$ (m/s)	Equivalent falling height, $h_f$ (m)
10.0	5.1
15.0	11.5
20.0	20.4
30.0	45.9

Table 3 Ratio of the maximum impact force for B-2 to that for B-3 under condition of different initial impact velocities.

$v_0$ (m/s)	B-2-C1	B-2-C2	B-2-C3	B-2-C4	B-2-C5	B-2-C6
10.0	0.66	0.81	0.86	0.98	1.15	1.71
15.0	0.72	0.90	0.90	1.15	1.29	1.92
20.0	0.68	1.02	0.86	1.24	1.41	2.06
30.0	0.73	0.91	0.98	1.15	1.38	2.20

Table 4. Ratio of the maximum bottom force of B-2 to that of B-3 for different initial impact velocities.

$v_0$ (m/s)	B-2-C1	B-2-C2	B-2-C3	B-2-C4	B-2-C5	B-2-C6
10.0	0.90	0.94	0.98	1.12	1.22	1.39
15.0	0.91	0.93	0.93	1.13	1.20	1.40
20.0	0.85	0.96	0.87	1.12	1.16	1.49
30.0	0.86	0.98	0.86	1.06	1.07	1.30

Table 5 Amplification ratio of the soil layer for tests with B-2 and B-3 with various velocities.

$v_0$ (m/s)	B-2-C1	B-2-C2	B-2-C3	B-2-C4	B-2-C5	B-2-C6	B-3
10	3.22	2.74	2.71	2.69	2.48	1.90	2.35
15	2.82	2.32	2.33	2.20	2.08	1.63	2.24
20	2.81	2.10	2.25	2.01	1.82	1.61	2.23
30	2.62	2.40	1.95	2.05	1.73	1.32	2.22