

# 55<sup>th</sup> Rankine Lecture

Reprise in New Zealand 11-13 October 2016

## Hazard, Risk and Reliability in Geotechnical Practice

by

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## 3 key questions

- How can reliability and risk concepts help to ensure adequate safety while achieving cost-effective designs?
- What are the advantages and challenges of the hazard, risk and reliability approach?
- Why aren't reliability and risk concepts used more today?

## Strategy in answering these questions

Present examples that are so convincing that they will make you want to use some of the methods.

Show that probabilistic and deterministic analyses are, in many cases, necessary complements to each other.



# Contents of lecture

1. Basic concepts and early work
2. Reliability analyses to ensure adequate safety and lead to cost-effective design - "Real-life" cases
  - Design of piles for offshore installations
  - Debris flow in Barcelonnette Basin, France
  - Roşia Montaña tailings management facility
  - New Orleans levees
  - **Debris runout, slope failure due to earthquake**
- ~~3. Safety factor and definition of characteristic value~~
- ~~4. Observational method and Bayesian updating~~
5. Challenges and emerging topics
6. Summary and conclusions



# Basic definitions

Risk = f (Hazard and  
consequences)

Risk = f ( H, V, U )

H = Hazard (temporal  
probability of a threat)

V = Vulnerability of  
element(s) at risk

U = Utility (or value) of  
element(s) at risk

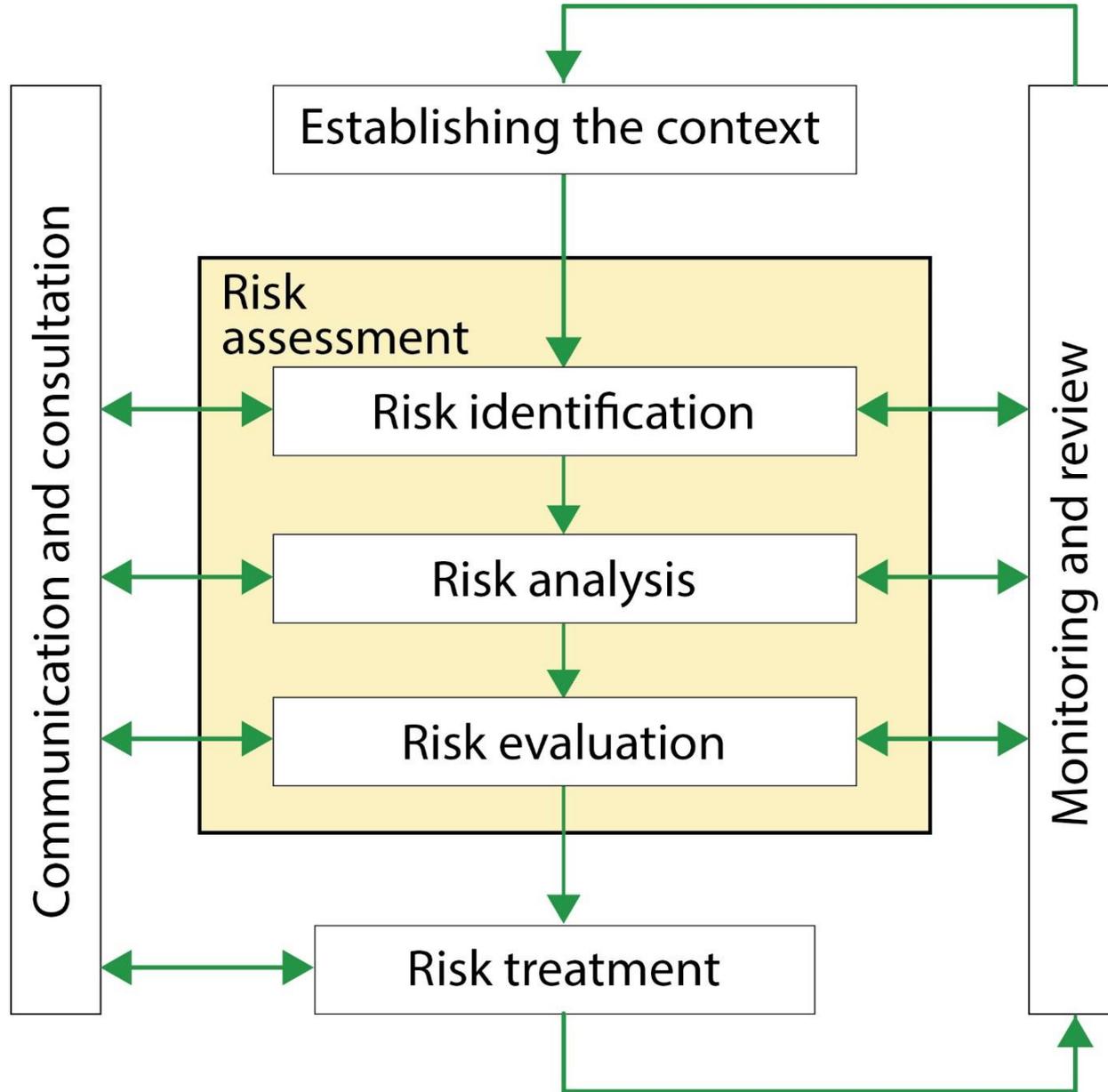


**Munkedal Sweden 2006**

**Thin layer of quick clay was not detected**



# Risk management process [ISO-3100:2009]



# ISO's definition of risk

**"Risk is the effect of uncertainties on objectives"**

New ISO FDIS 2394 (draft)

«General principles on reliability for structures»

- Spells out the purpose of the reliability approach: ensure a uniform margin of safety (i.e. probability of failure)
- Requires “risk-informed design”.
- Outlines the increasing need to “calibrate” the codes (i.e. safety factors)

Annex D Reliability of geotechnical structures



# Uncertainties

## Aleatory uncertainty

Inherent variability due to the natural randomness of a phenomenon (e.g. ocean wave height, wind force, geotechnical properties, earthquake characteristics) etc.

## Epistemic uncertainty

Due to lack of knowledge: it can be reduced by additional measurements or improved theories.



**Las Colinas. El Salvador (2001)**  
**Landslide following  $M = 7.6$  earthquake**



# Uncertainties

In all geotechnical assessments, one needs to deal with uncertainties, either implicitly or explicitly.

[Photo: SVV 2015]



**E18 expressway in Norway, February 2015  
Slide in quick clay causing bridge collapse**



# Early work

[Lumb, 1966]

Properties of four natural soils were shown to be random and essentially normally distributed: (grain size distribution, strength ( $s_u$  and  $\phi'$ ) and compressibility characteristics).

Lumb suggested, based on "what never fails":  
«a suitable value of probability of failure for design (bearing capacity) should be  $10^{-4}$  to  $10^{-5}$ )».



# Early work

[Wu and Kraft, 1967; 1970]

## Probability of foundation safety

A 'measure of safety' was found probabilistically for

- Excavation in clay
- Bearing capacity failure in clay
- Slope in clay
- Settlement in sand

The factor of safety is not a "unique quantity".

"Probability analysis leads to rational means of foundation design [...] and is a step forward to the optimum design of structures."

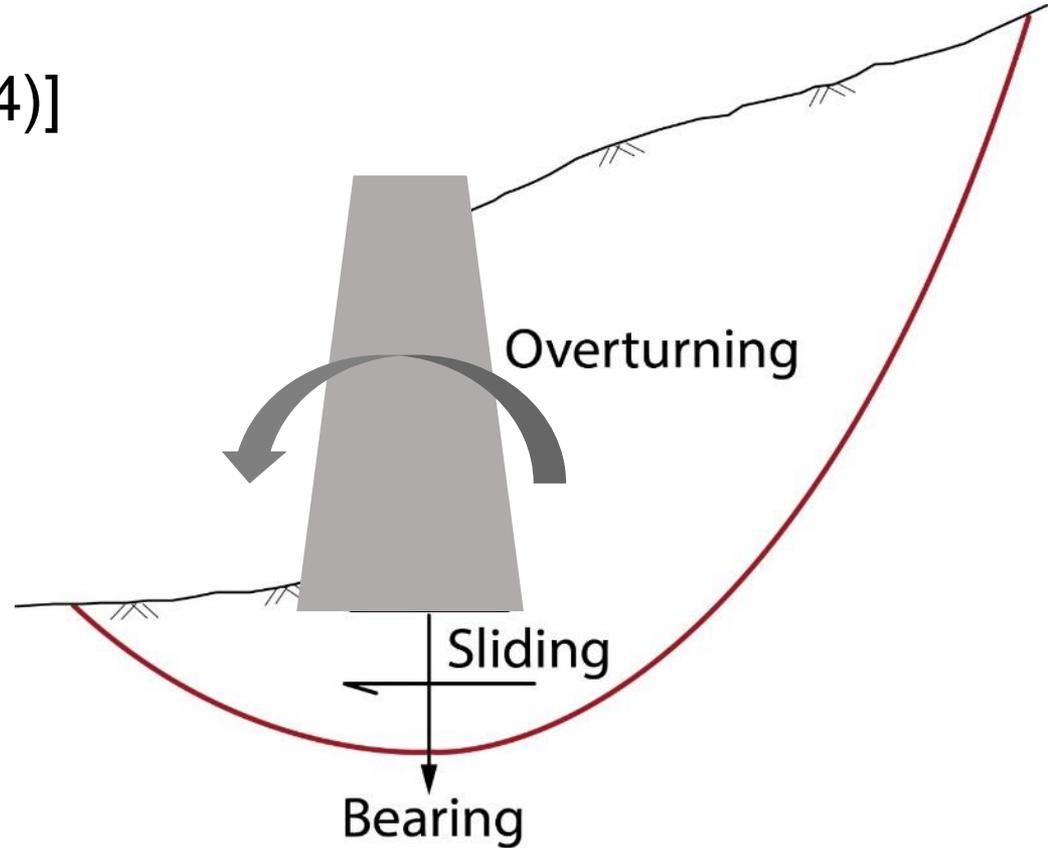


# Early work

[Høeg and Murarka (1974)]

## Balanced design of a retaining wall

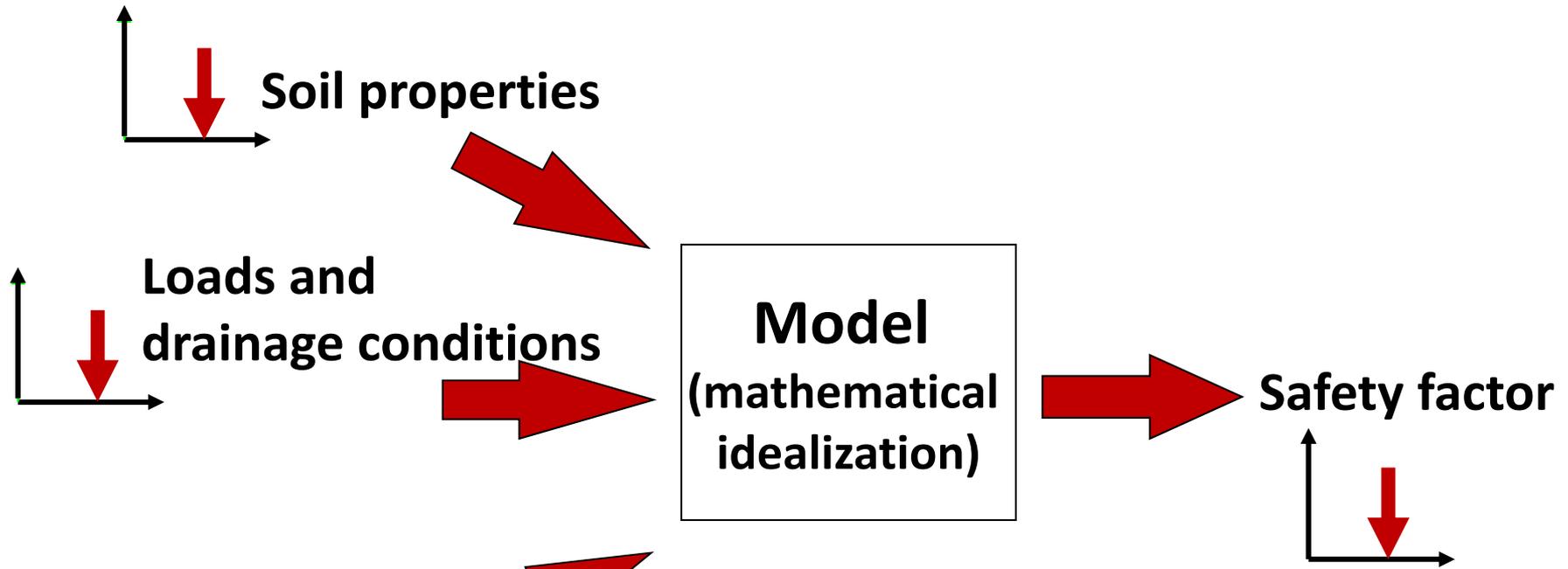
The contradiction between the factor of safety and estimated probability of failure was pointed out.



Failure mode	Central FS	$P_f$
Overturning	1.9	$0.7 \cdot 10^{-4}$
Bearing	3.7	$126 \cdot 10^{-4}$
Sliding	1.6	$26 \cdot 10^{-4}$



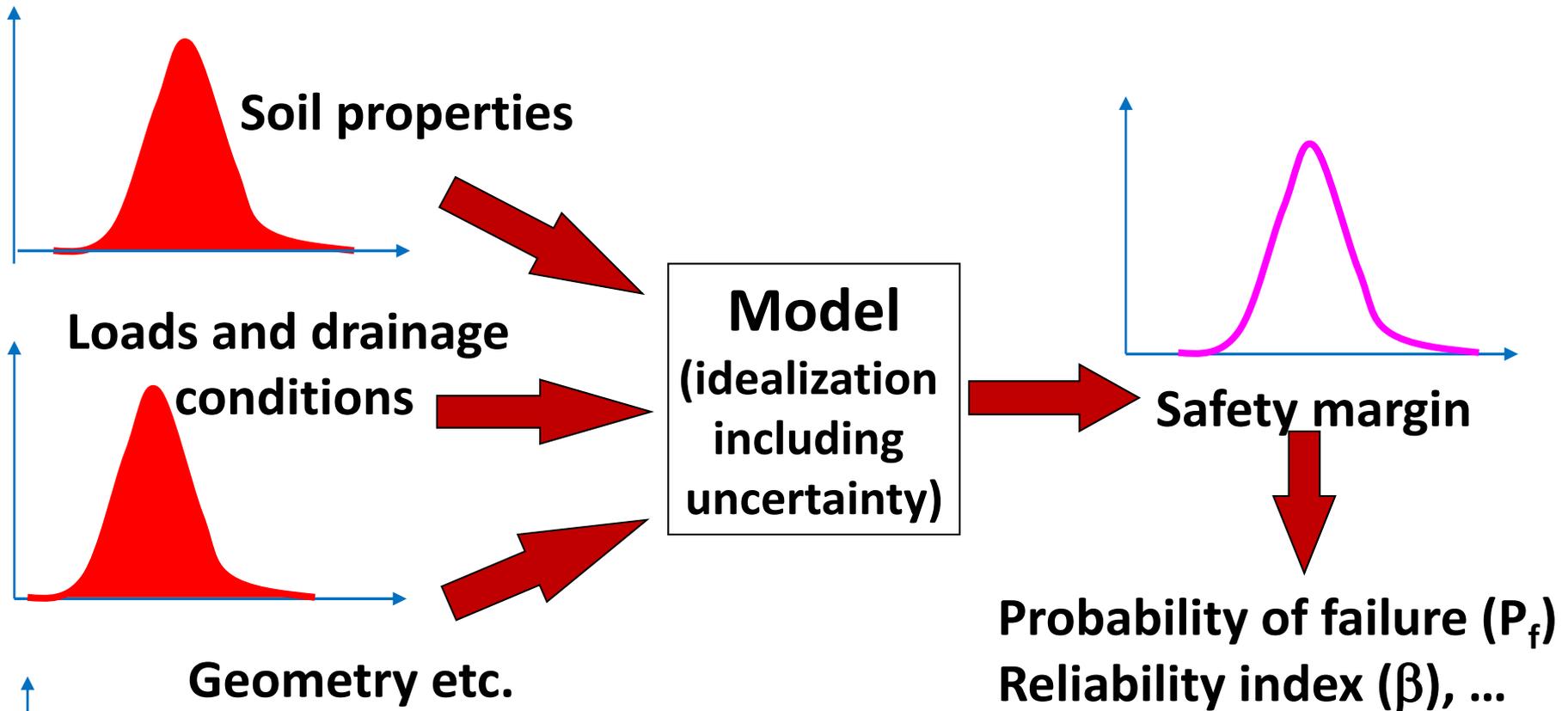
# Deterministic analysis



Acceptance criterion:  
 $FS \geq FS_{\text{acceptable}}$



# Probabilistic analysis



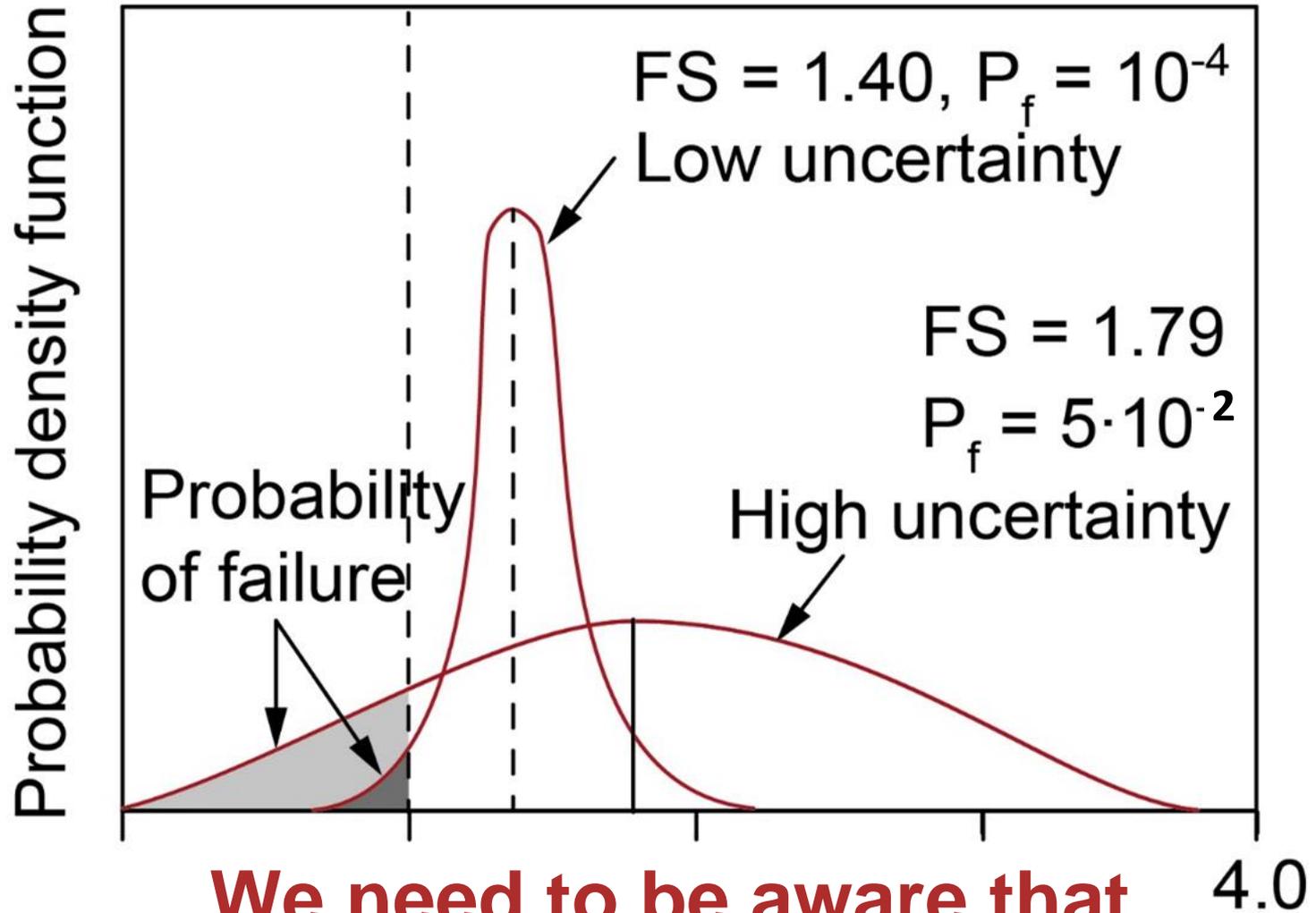
Acceptance criterion:

$$\beta \geq \beta_{\text{acceptable}}$$

$$P_f < P_{f \text{ tolerable/acceptable}}$$



# Factor of safety and probability of failure



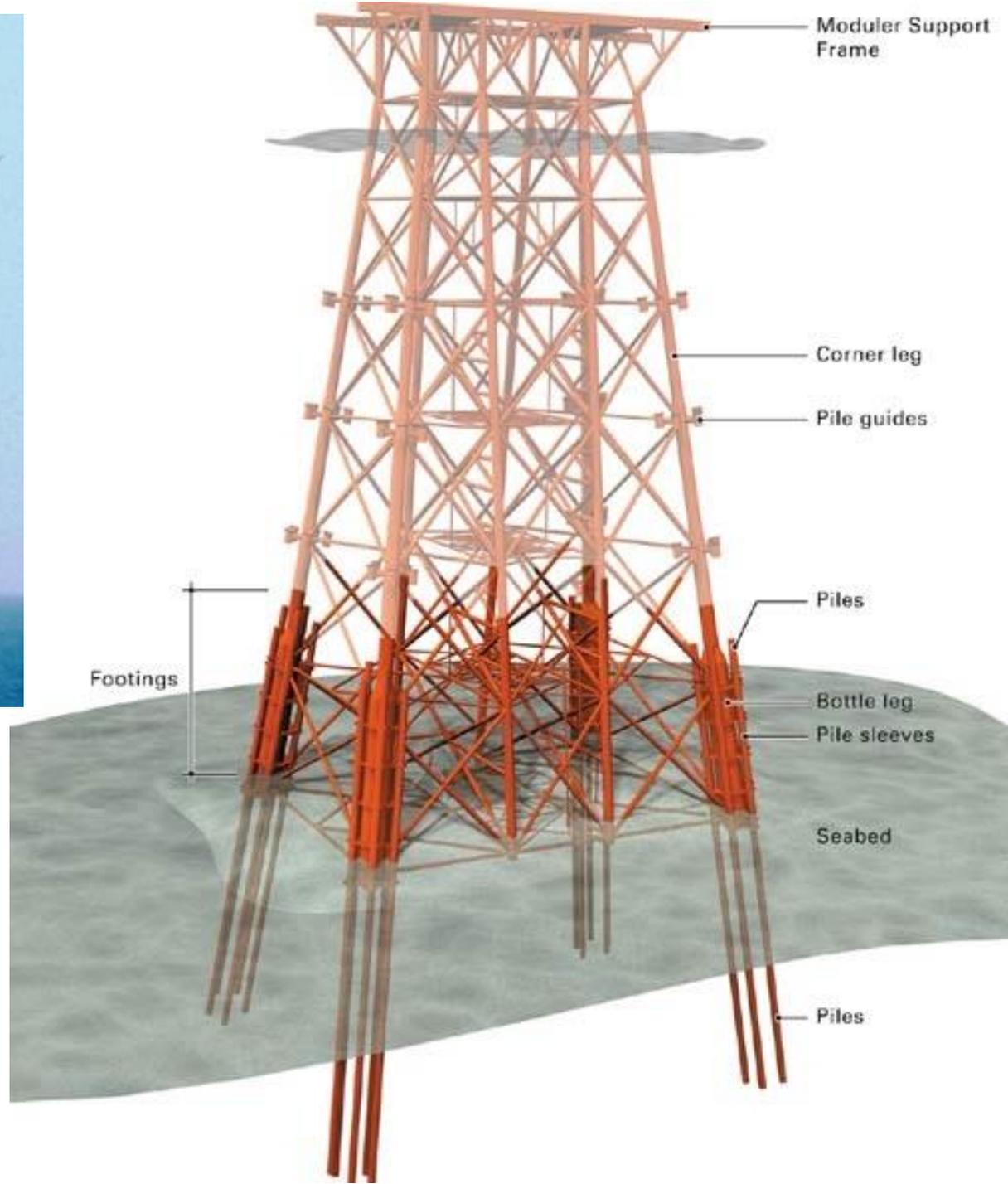
**We need to be aware that  
the  $P_f$  is never zero!**



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# Motivation

- Guidelines require the same level of safety for the new CPT-based pile capacity design methods as for the older API method.
- The designer is required to select an "appropriate" safety factor when using the new CPT-methods.
- The designer can choose to:
  - 1) be conservative and apply a "high" safety factor or
  - 2) document the level of safety ("probability of failure").



# Load and resistance factors

## Design Criterion

$$[\gamma_{l\ stat} \cdot P_{\ stat} + \gamma_{l\ env} \cdot P_{\ env}^{100\text{-yr}}] \leq Q_{ult\ char} / \gamma_m$$

$\gamma_{l\ stat}$  = Load factor on static load

$P_{\ stat}$  = Characteristic static load

$\gamma_{l\ env}$  = **Load factor on environmental load**

$P_{\ env}^{100\text{-yr}}$  = Characteristic environmental load  
(typically the 100-yr load,  $P_{\ env}^{100\text{-yr}}$ )

$Q_{ult\ char}$  = Characteristic ultimate axial pile  
capacity deterministic

$\gamma_m$  = **Resistance factor on capacity**



# Design of offshore pile foundations

- 3 sites (A, B, C), 100 m water depth
- Pipe piles, 2.5 m dia;  $t = 90 - 100$  mm
- Loading in compression was governing

4 'newer' CPT design methods:

ICP-03, NGI-05, UWA-05 and Fugro 96/05.

For deterministic analyses, the company required a resistance factor  $\gamma_m = 1.5$  with the CPT-methods.

For probabilistic analyses, the target annual probability of failure was set to  $P_f \leq 10^{-4}$ , to follow NORSOK's 'guideline'.

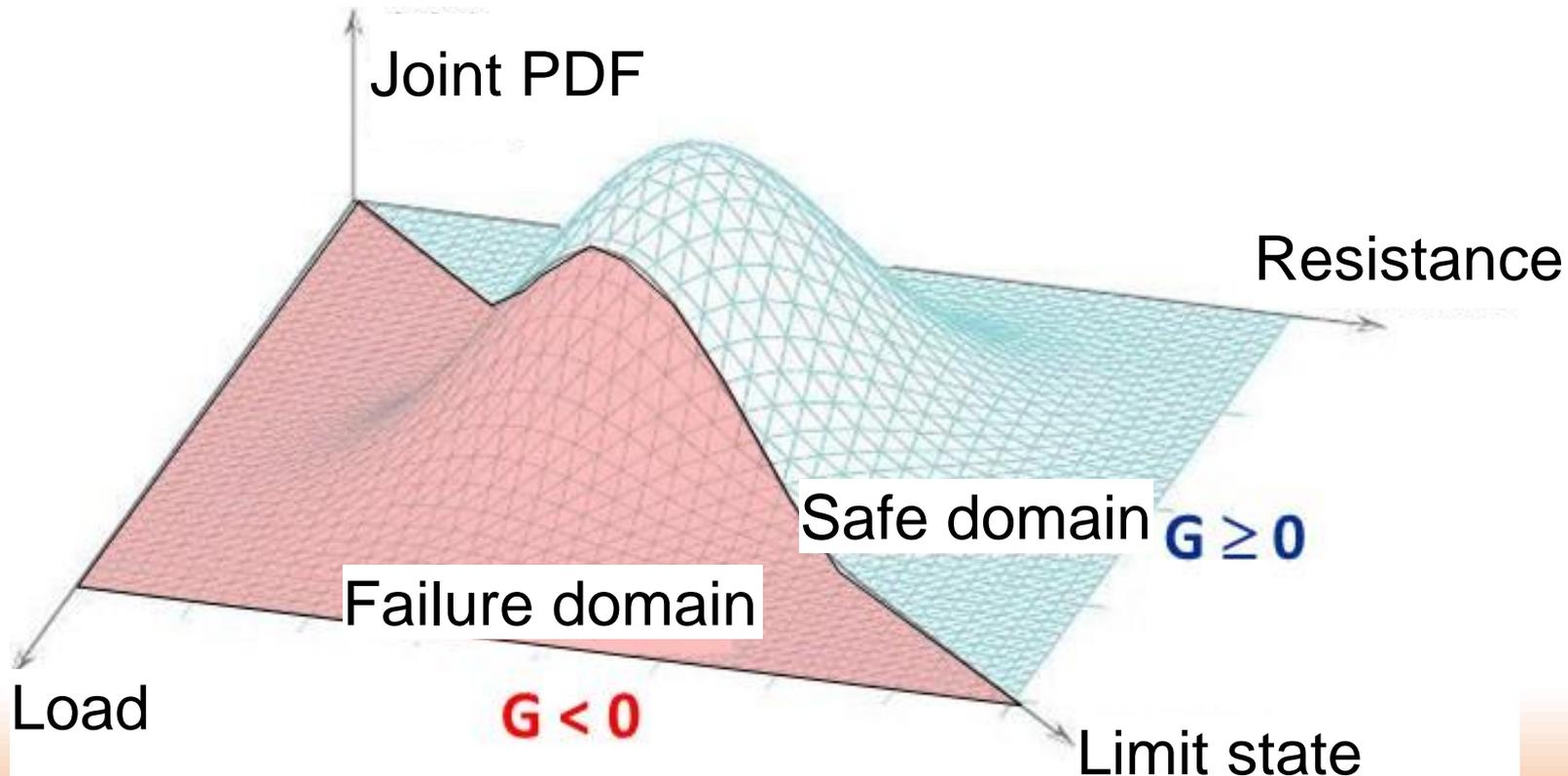


# Probabilistic analysis with FORM

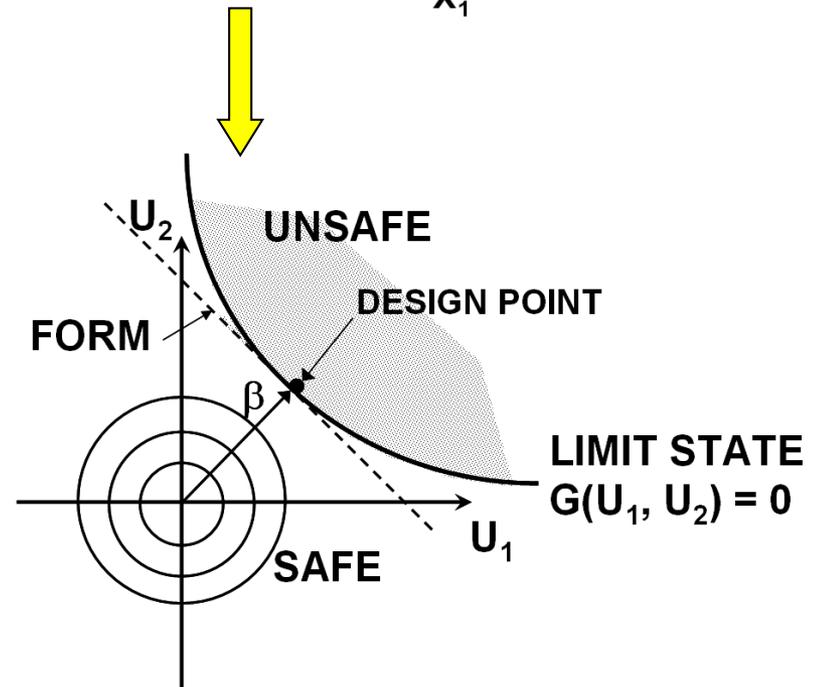
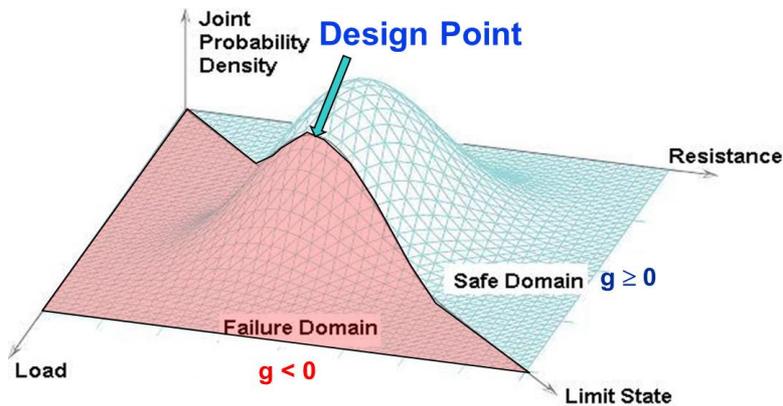
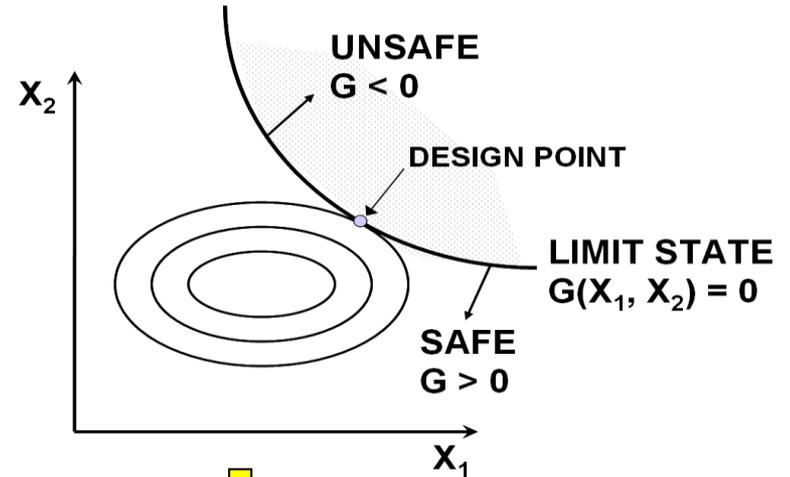
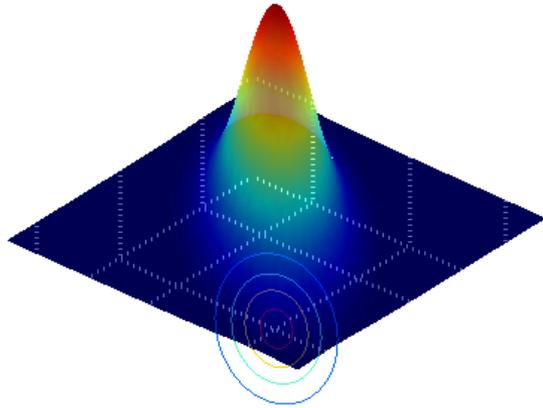
One defines a performance function e.g.  $G(X) = R - L$ ,  
where  $G(X) \geq 0$  means satisfactory performance

$G(X) < 0$  means failure

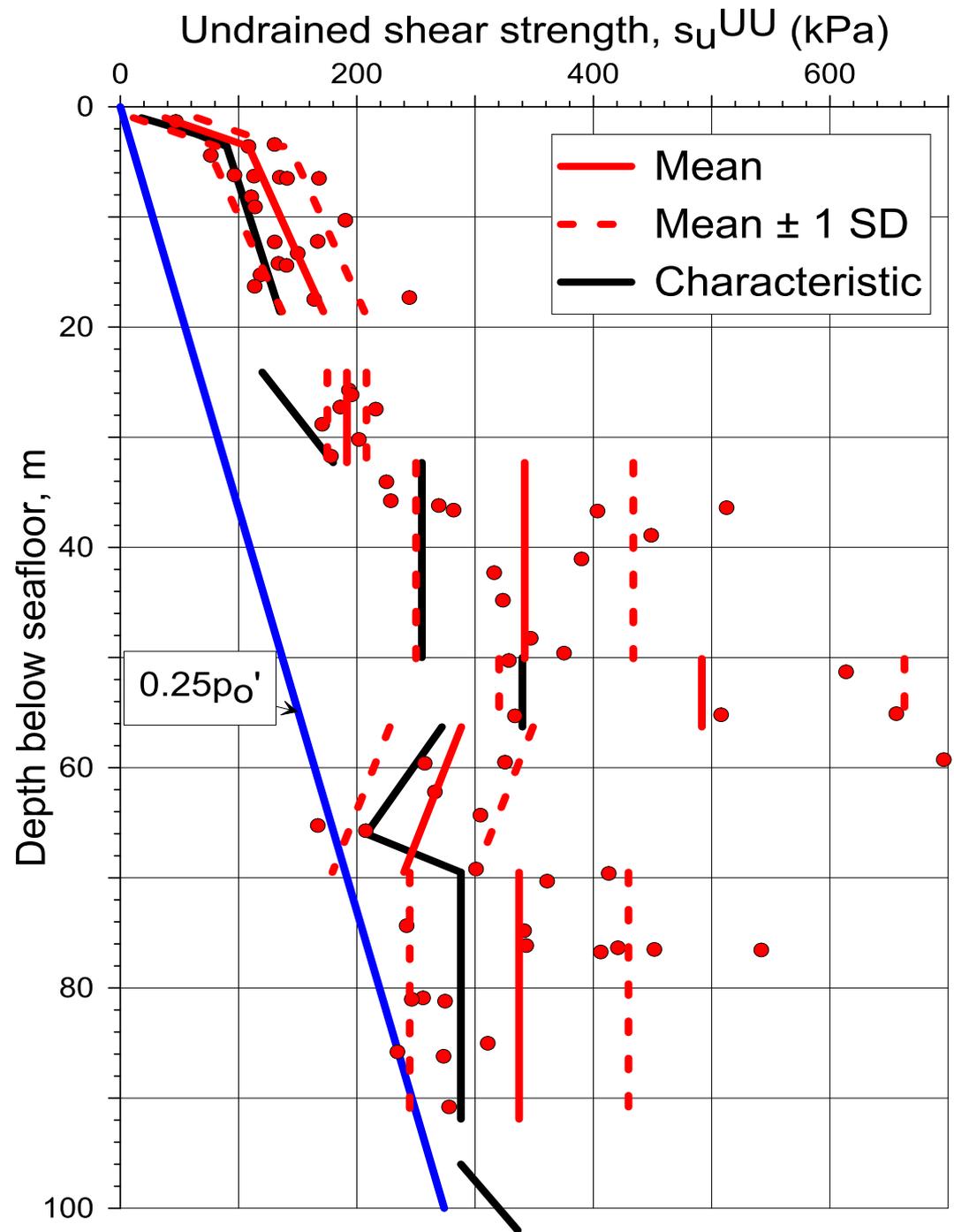
$X$  is a vector of basic random variables (resistance, load effects, geometry and model uncertainty).



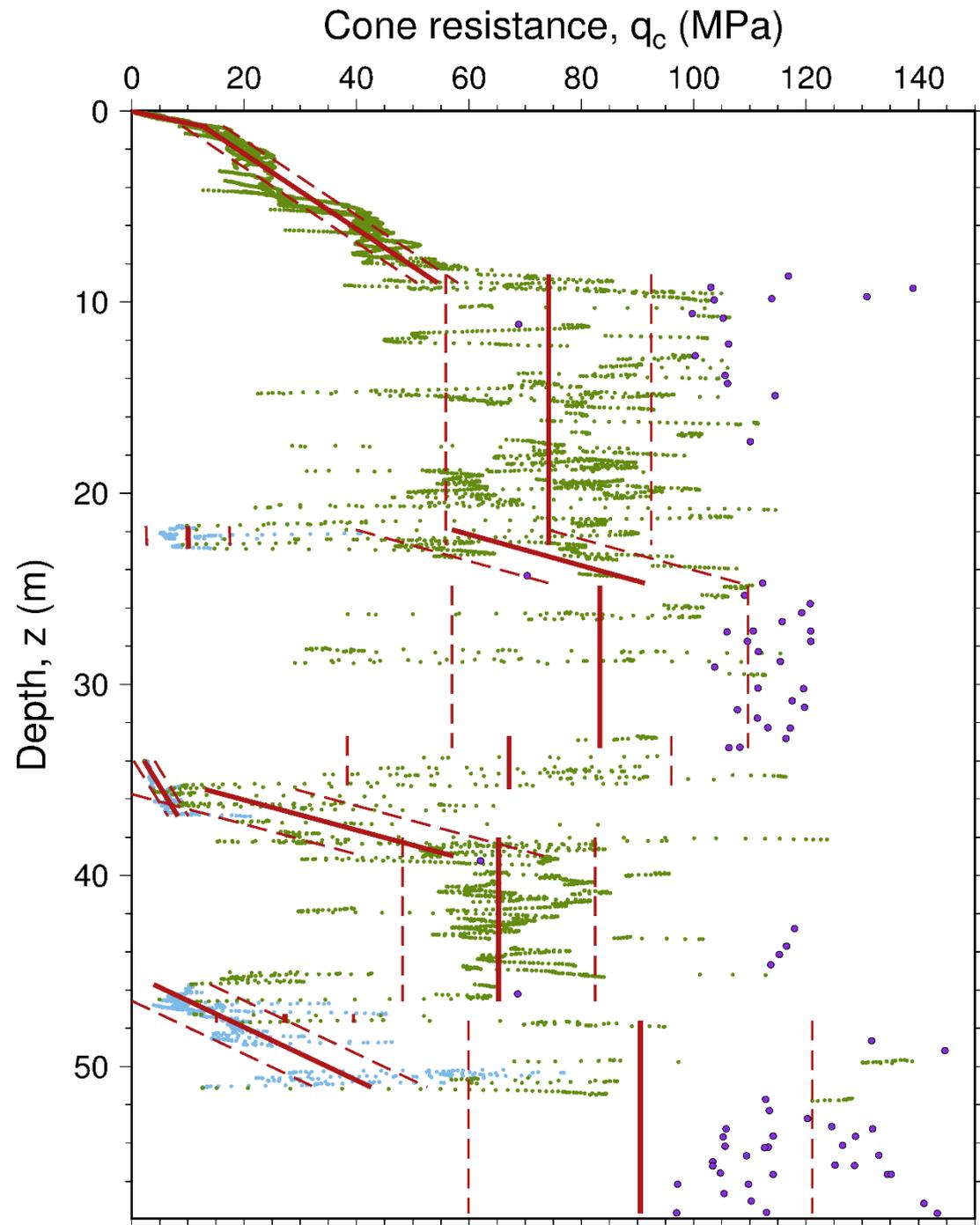
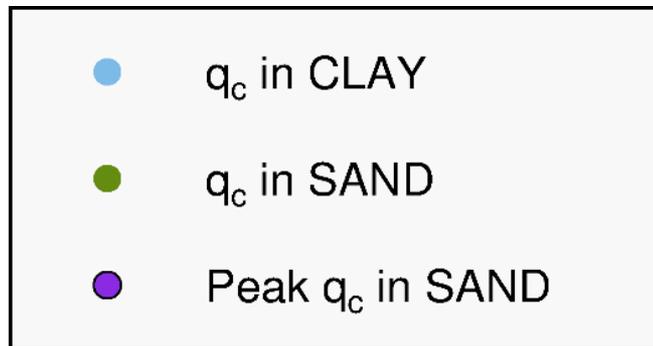
# FORM/SORM approach



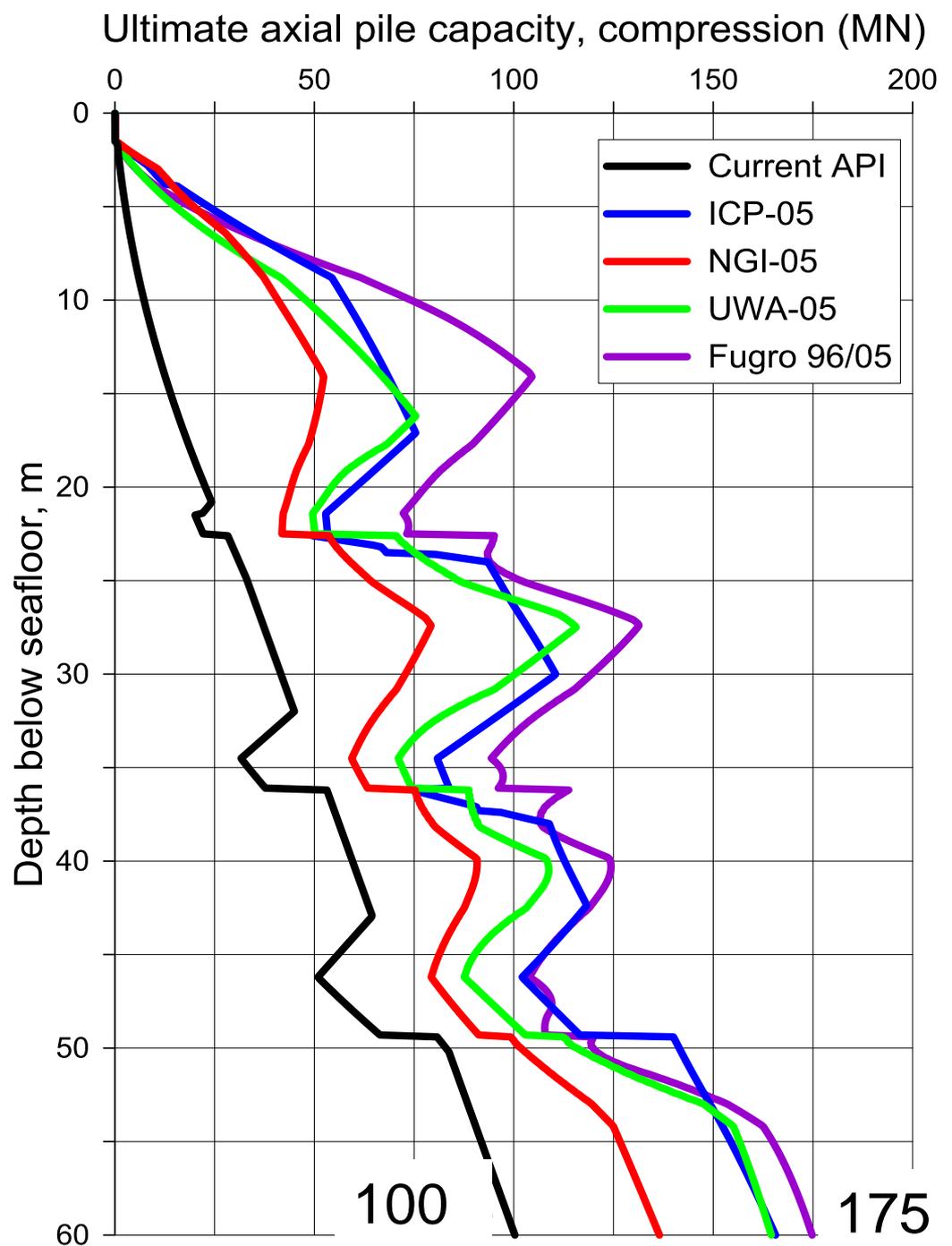
Undrained  
shear strength,  
 $S_u^{UU}$   
Site A  
“clay site”



# Statistical analysis of cone resistance, Site C

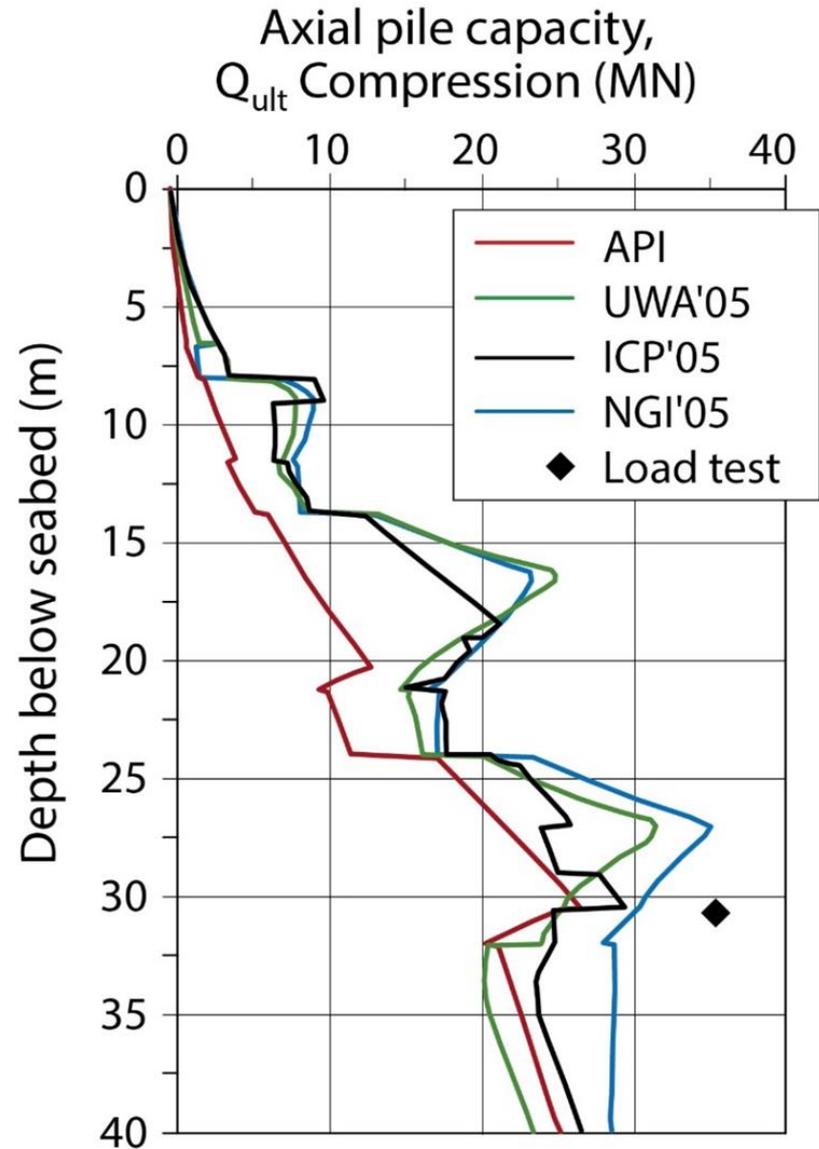
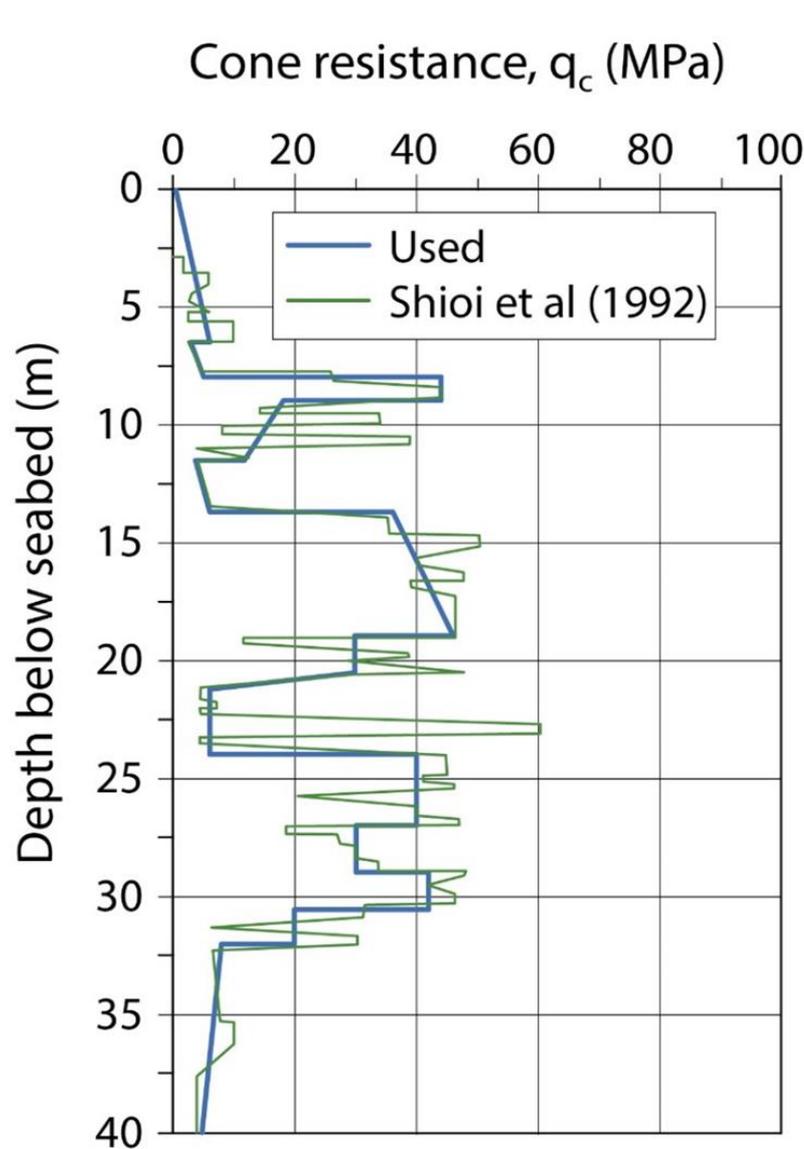


Deterministic  
 $Q_{ult}$  with  
characteristic  
shear  
strength  
parameters,  
Site B



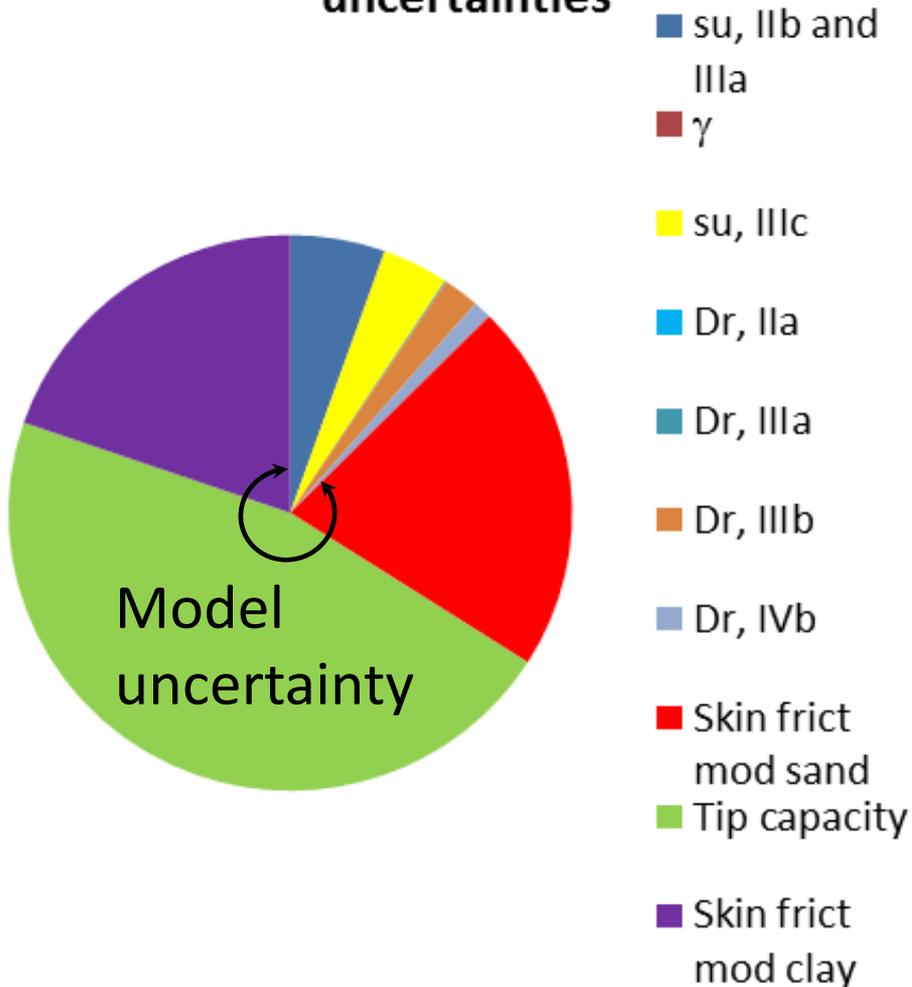
# Model uncertainty in skin friction - pile load test

## Predicted and measured capacities ( $\text{dia}_{\text{pile}} = 2.0 \text{ m}$ )

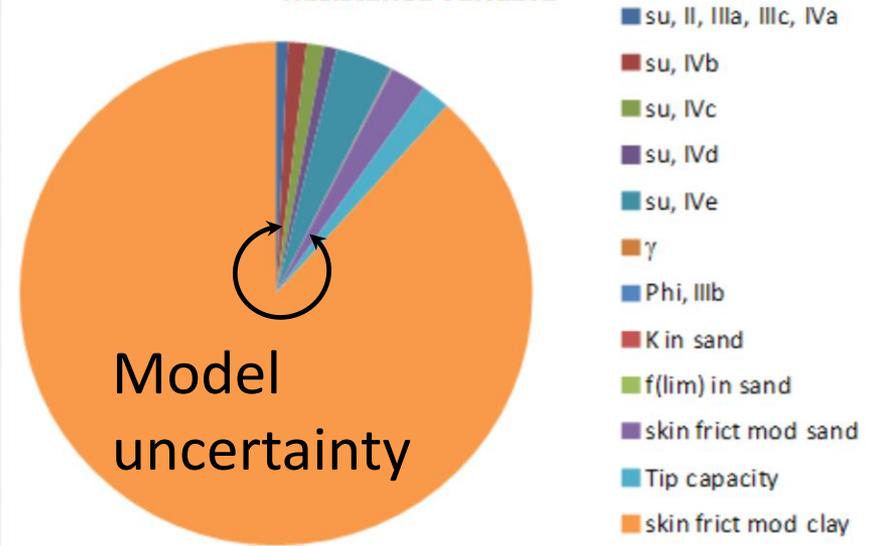


# Parameters contributing to uncertainty in $Q_u$

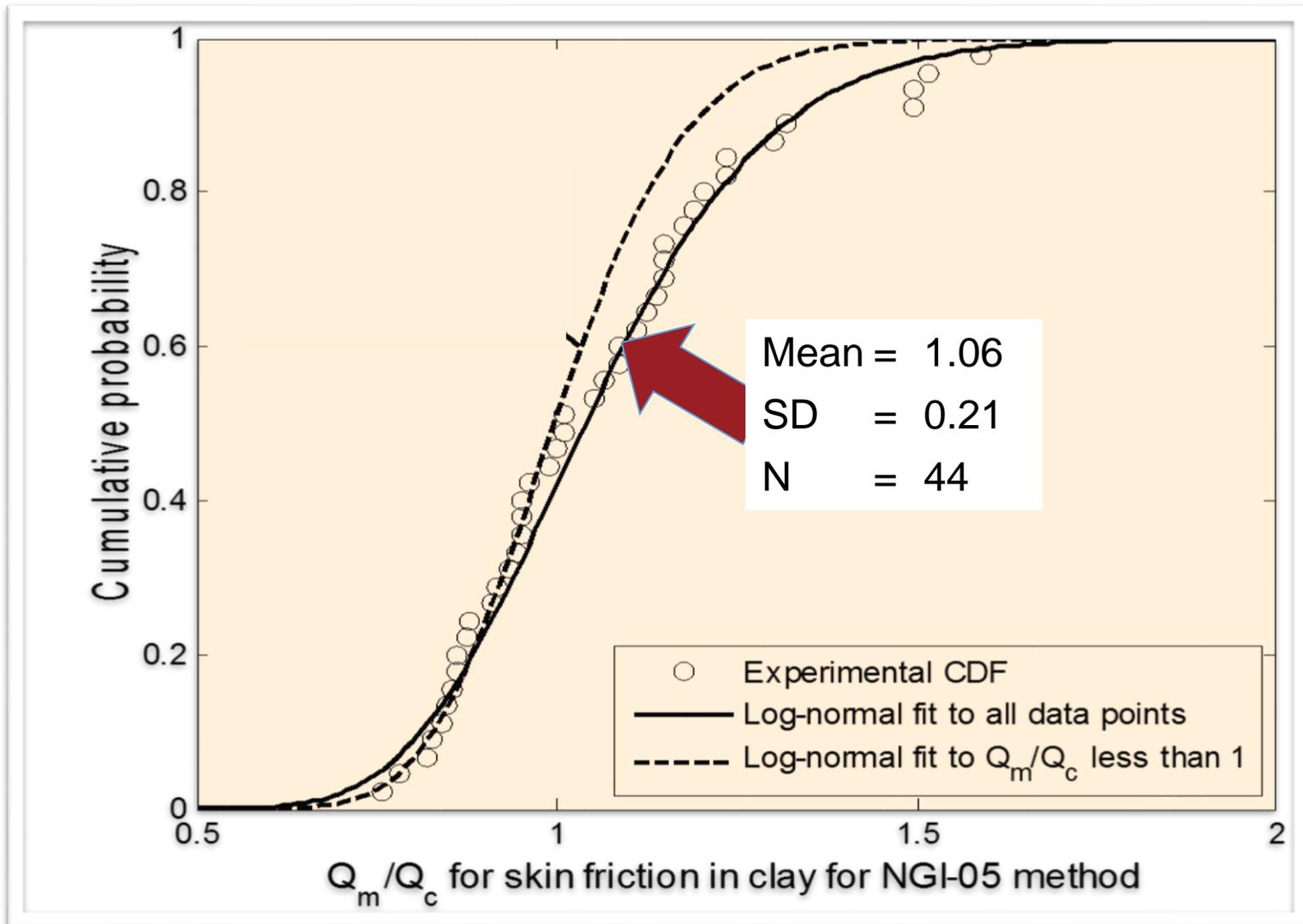
Soil parameters and model uncertainties



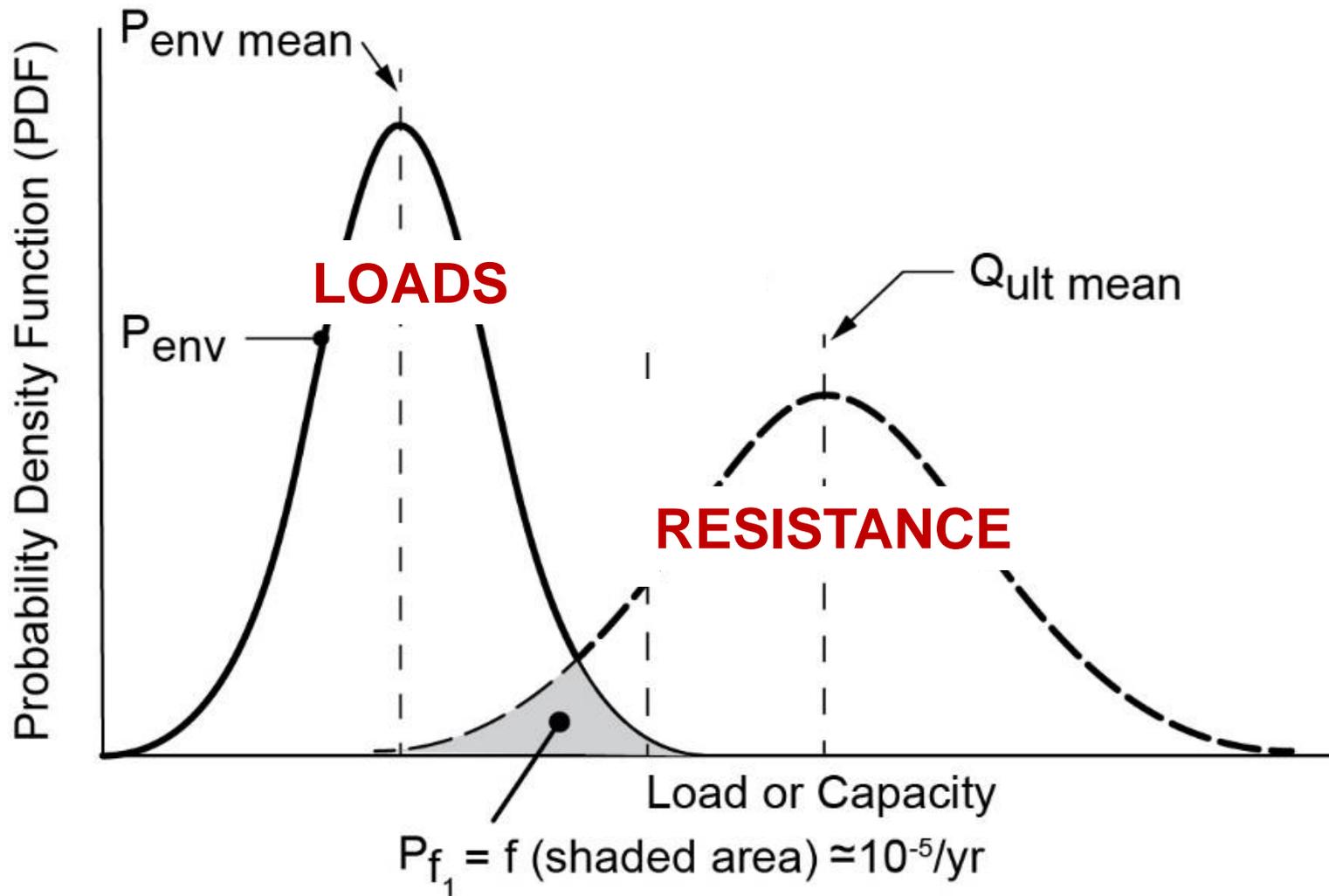
Resistance variable



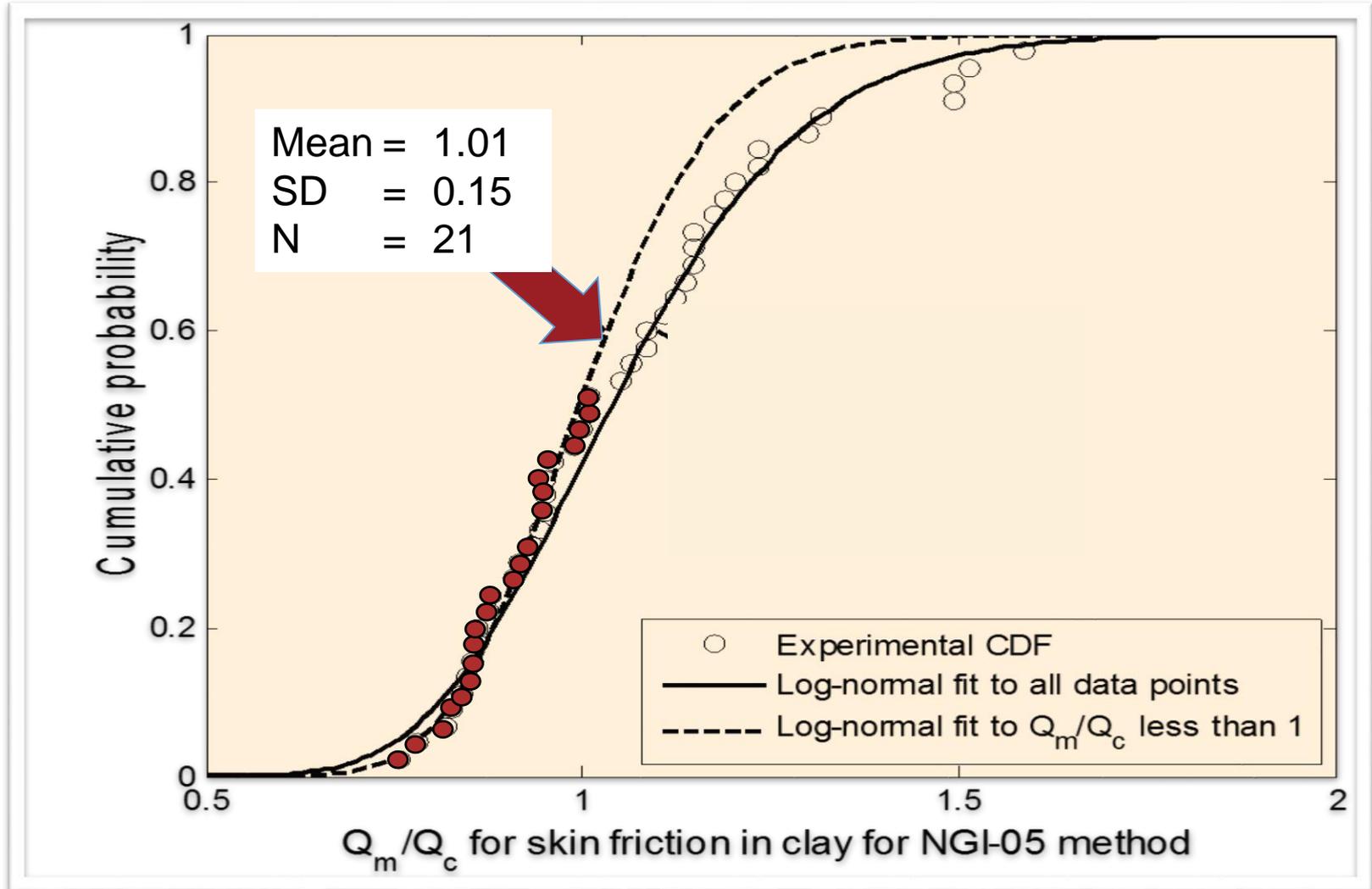
# Quantification of model uncertainty



# PDF of loads and resistance



# Curve fitting only to $Q_m/Q_c < 1$ data points



# Axial pile capacity and annual $P_f$

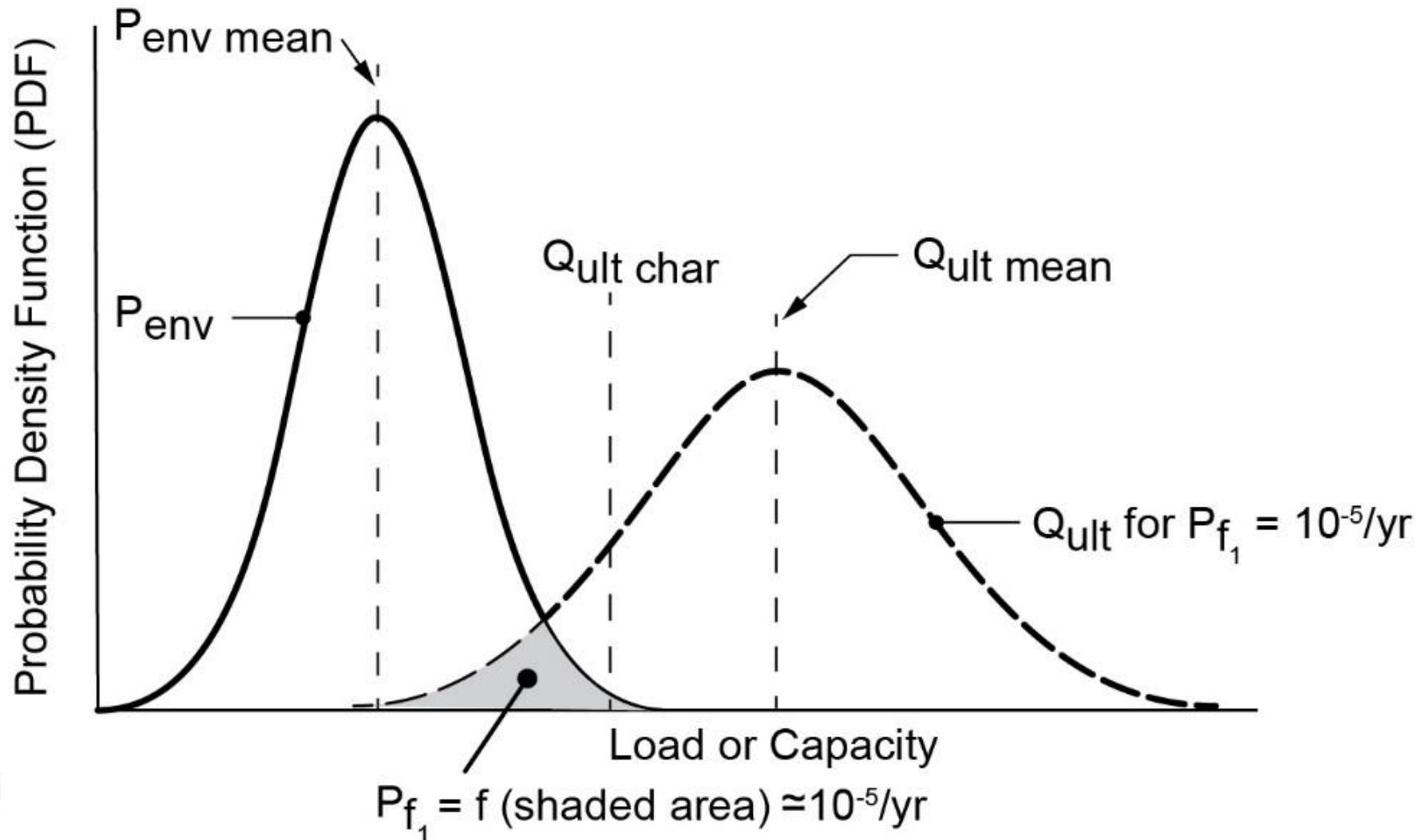
Site A Clay  
(NGI-05 method)

Penetr. depth	$Q_{ult \text{ char}}$ (MN)	$Q_{ult \text{ mean}}$ (MN)	Annual $P_f$ - FORM, $Q_{LN}$
75 m	78	98	$2.1 \cdot 10^{-5}$
80 m	84	104	$2.3 \cdot 10^{-5}$
90 m	97	119	$1.2 \cdot 10^{-6}$



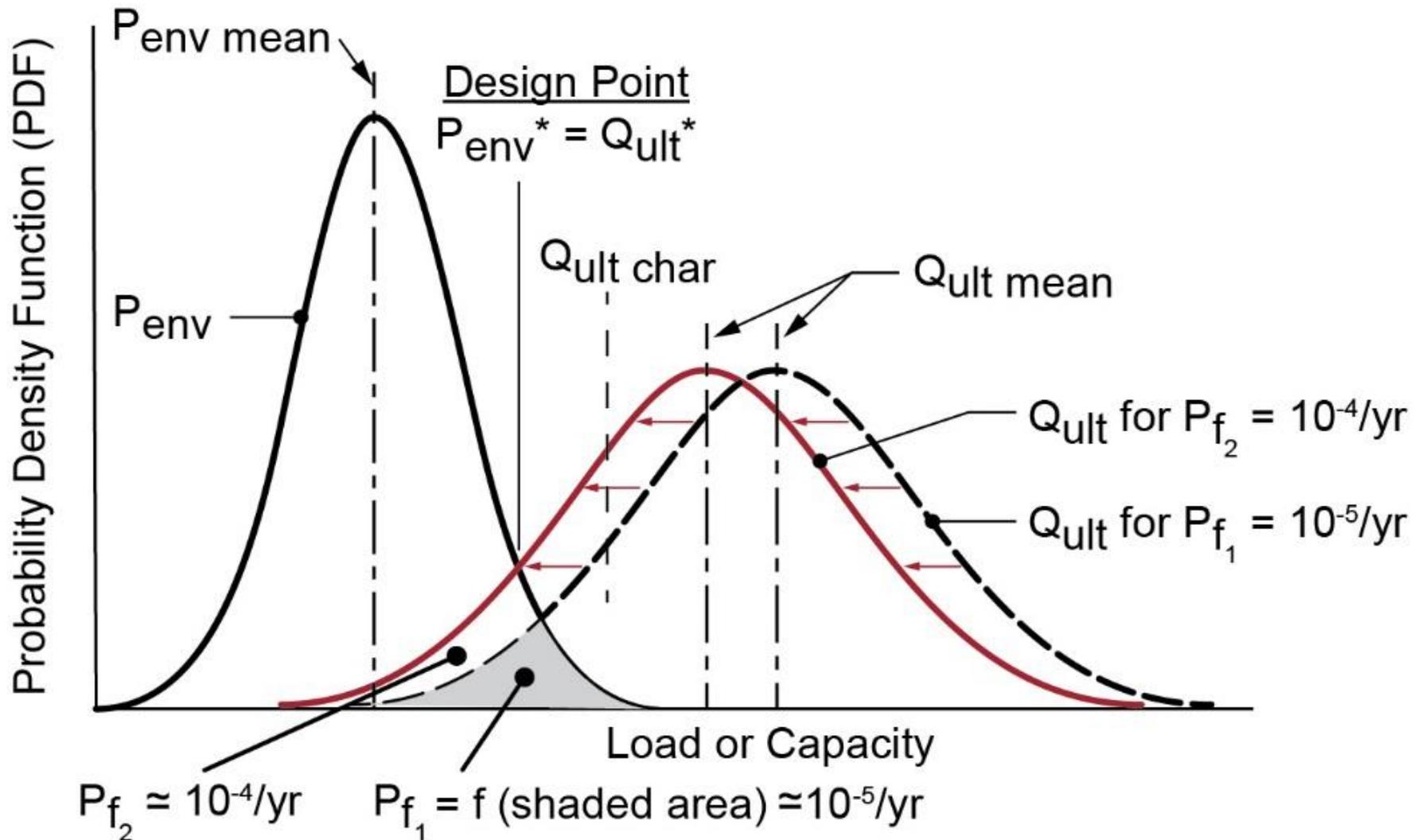
# Calibration of partial safety factors

$$[\gamma_{I stat} \cdot P_{stat} + \gamma_{I env} \cdot P_{env}^{100-yr}] = Q_{ult} / \gamma_m$$



# Calibration of partial safety factors

$$[\gamma_{I stat} \cdot P_{stat} + \gamma_{I env} \cdot P_{env}^{100-yr}] = Q_{ult} / \gamma_m$$



# Calibrated resistance factor, $\gamma_m$ , related to $Q_{ult\ char}$ , for target $P_f < 10^{-4}/\text{year}$ ( $\gamma_{I\ env}=1.3$ )

Pile design method	Required resistance factor, $\gamma_m$		
	Site A (clay)	Site B (sand)	Site C (clay and sand)
NGI-05	1.23	1.35	1.20
ICP-05	1.52	1.45	1.32
Fugro-05	1.31	1.72	1.55
UWA-05	---	1.55	1.50
Current API	1.35	2.36	1.93

# Consequence for required pile penetration depths at 3 sites

<u>Method</u>	Required pile penetration depths		
	<u>Site A</u> <u>(clay)</u>	<u>Site B</u> <u>(sand)</u>	<u>Site C</u> <u>(clay and sand)</u>
NGI-05	90 m to <b>75</b> m	51 m to <b>27</b> m	45 m to <b>36</b> m

Reduction of the deterministic pile penetration depth (NGI-05 method), because it was documented that  $P_f < 10^{-4}/\text{yr}$ .



# Added value of reliability analysis?

- The probabilistic design with target annual  $P_f$  of  $10^{-4}$  resulted in very significant savings, compared to the deterministic design.
- The reliability approach allows one to design with a uniform margin of safety and to "calibrate" the safety factors prescribed in codes.
- The newer CPT-based design methods are more reliable than the API method.
- The results are most affected by the model uncertainties, especially for piles in sand.



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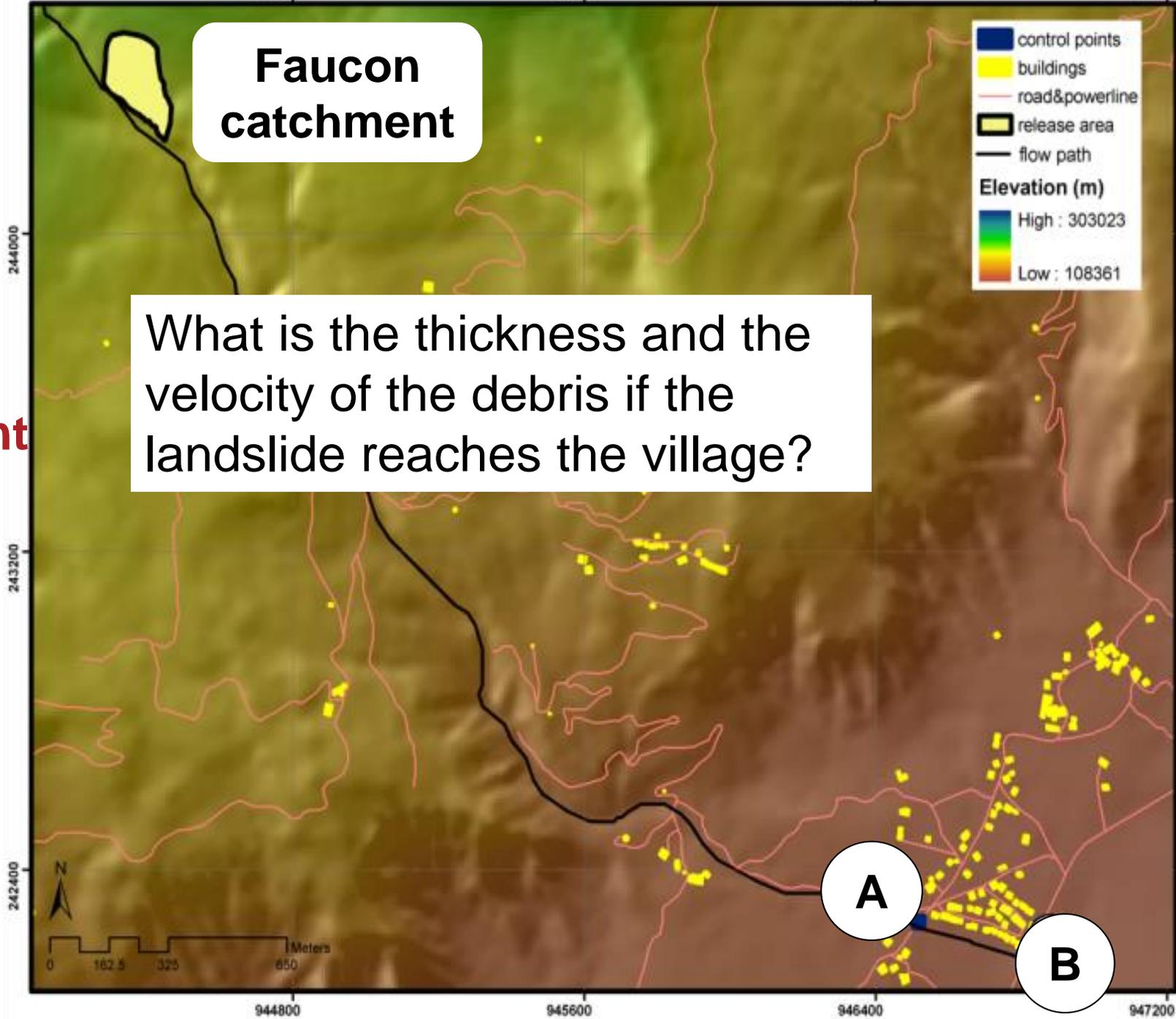


**Debris  
flow**

**Faucon  
catchment**

**Faucon  
catchment**

What is the thickness and the velocity of the debris if the landslide reaches the village?

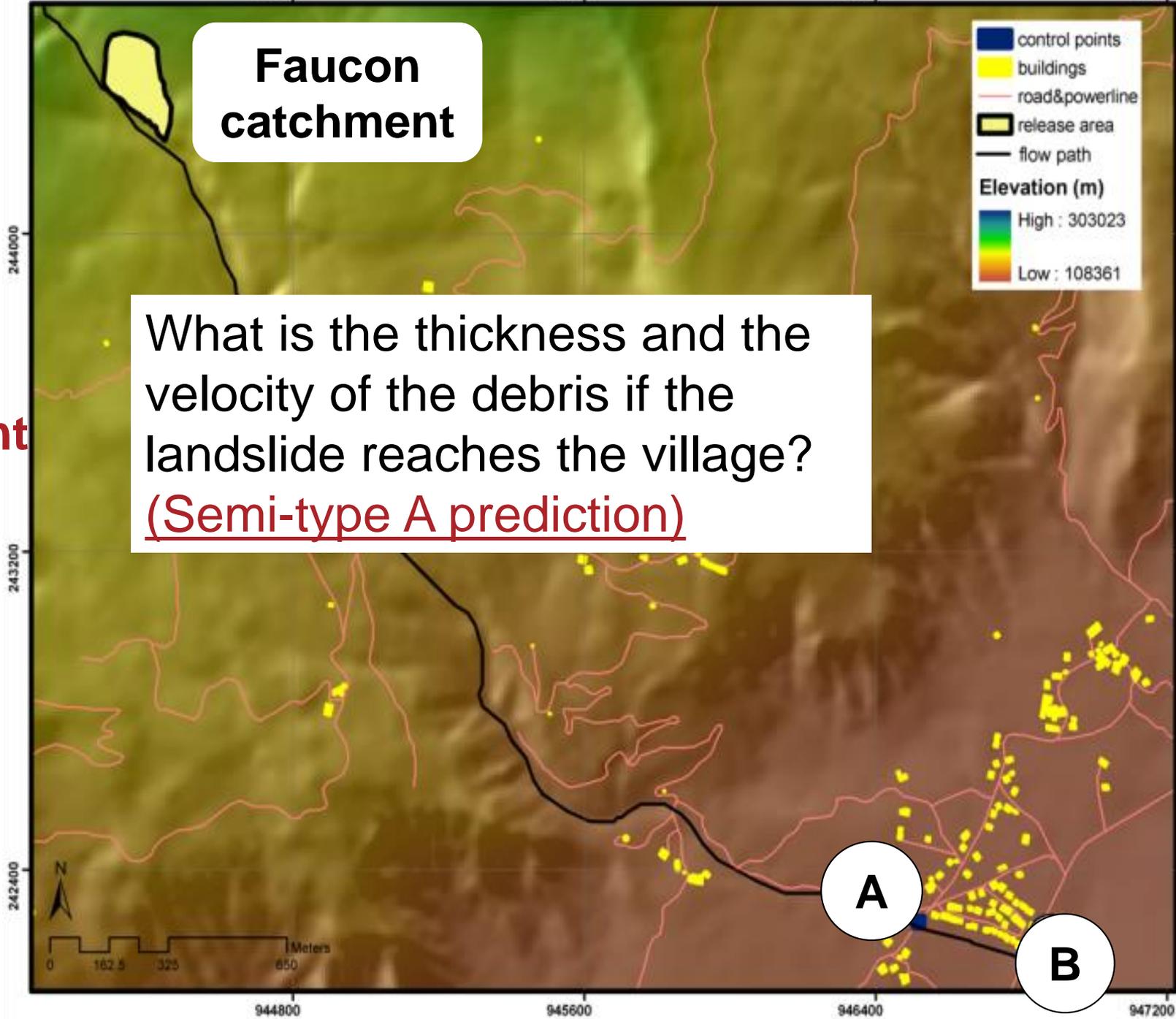


Debris  
flow

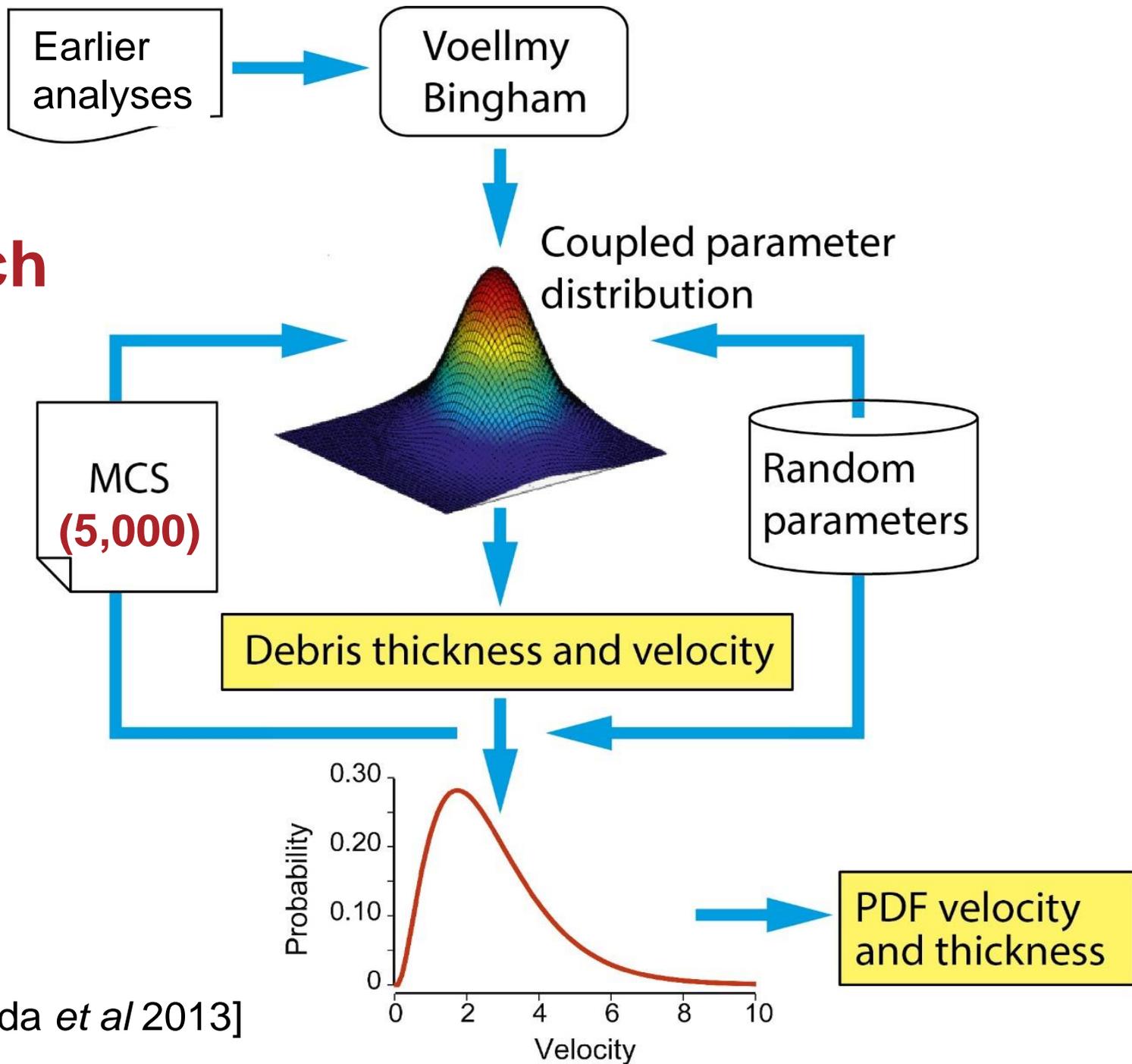
Faucon  
catchment

Faucon  
catchment

What is the thickness and the  
velocity of the debris if the  
landslide reaches the village?  
(Semi-type A prediction)



# Approach

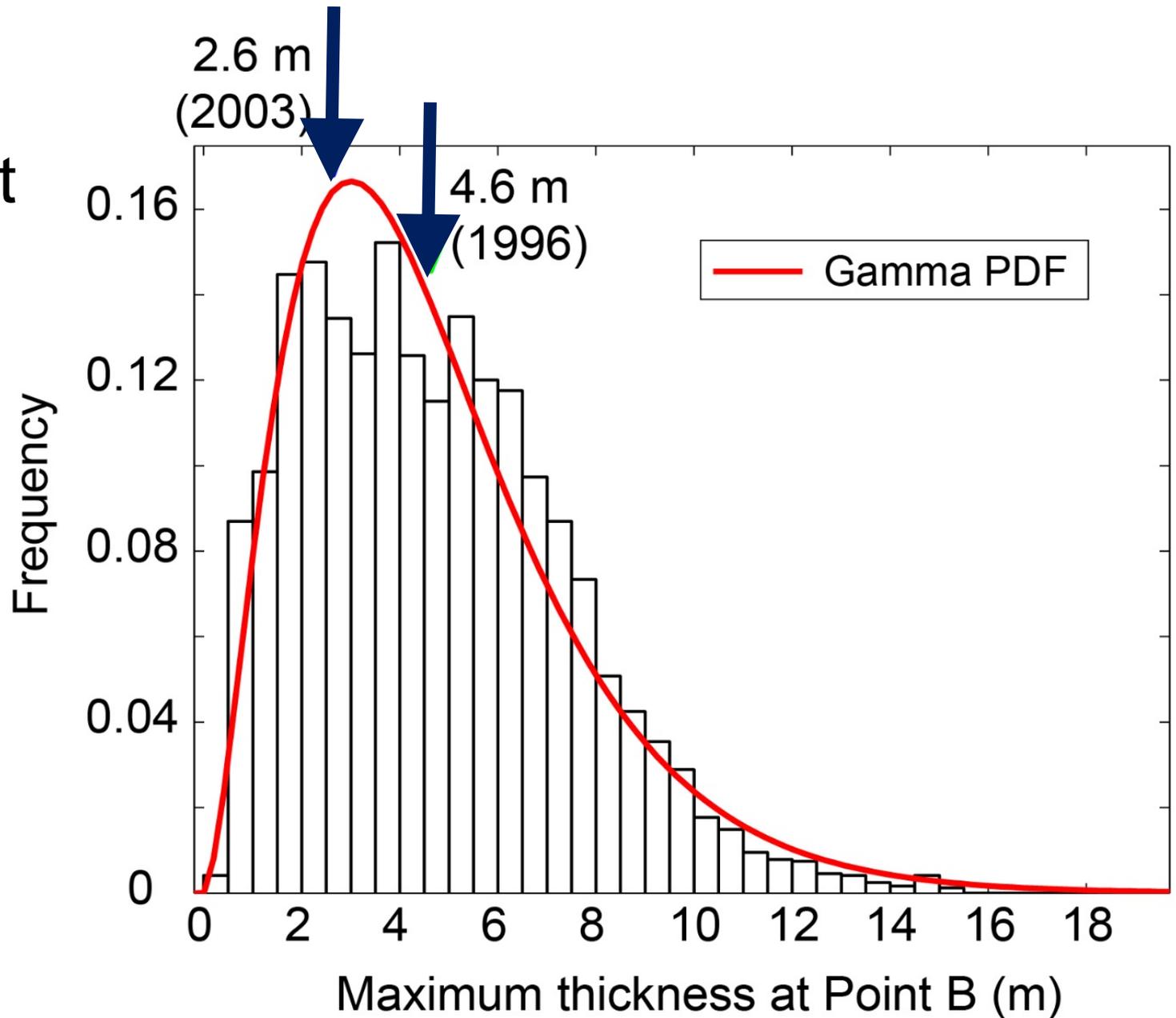


[Cepeda *et al* 2013]



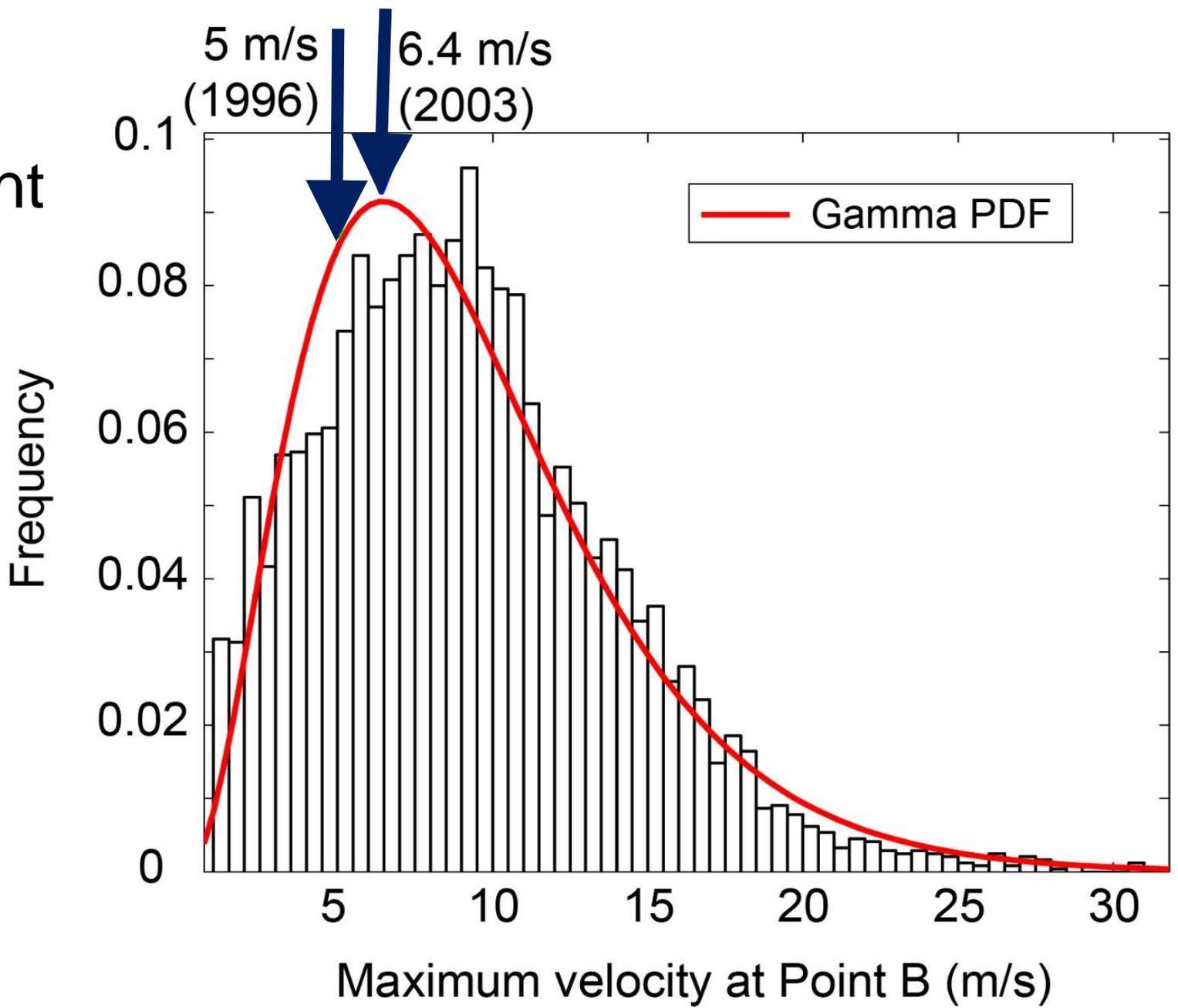
# Faucon catchment

## Debris thickness Point B



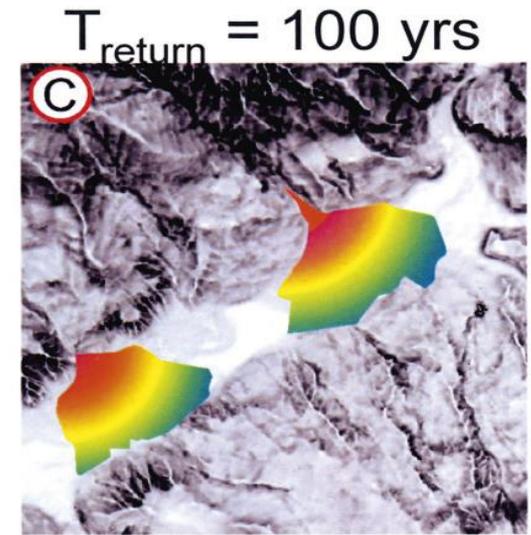
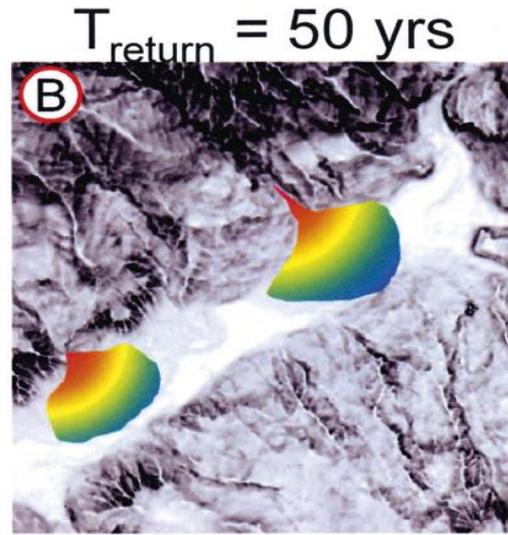
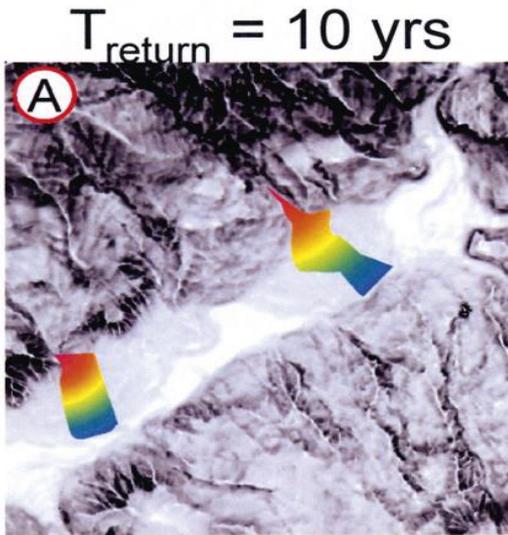
Faucon  
catchment

Debris  
velocity  
Point B



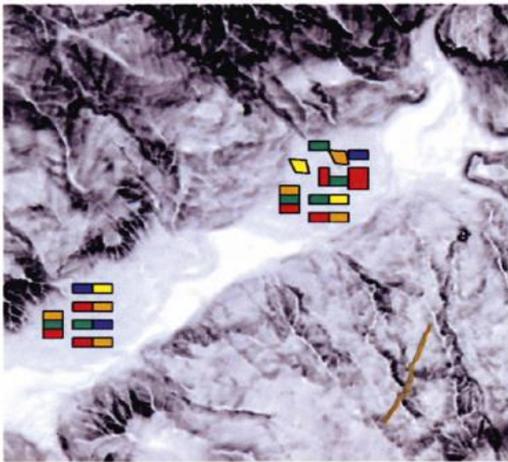
# Landslide risk analysis

[After  
Coro-  
minas  
*et al*  
2014]



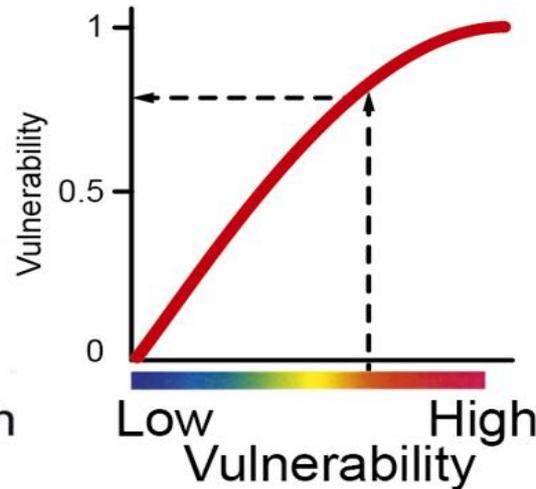
Low Intensity High

Elements at risk

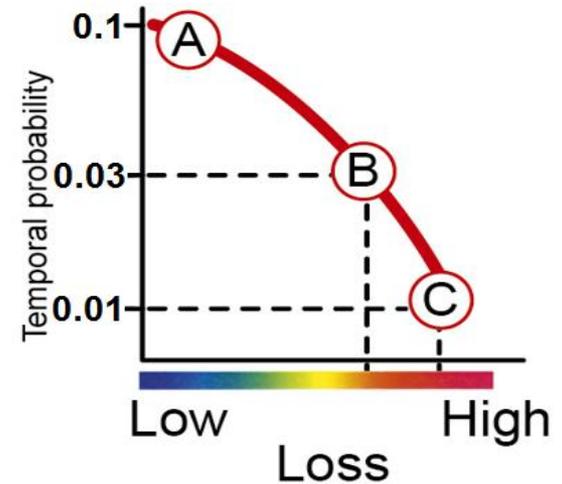


Low High  
Costs

Vulnerability



Risk curve



# Added value of Monte Carlo analysis?

- Monte-Carlo simulation is an excellent tool if the mean and standard deviation are of main interest. For modelling the "tails" of the PDF (very low  $P_f$ ), one needs a very large number of simulations.
- MCS can be used to "experiment" and develop new calculation procedures or to model behaviour, for example:
  - Accounting for strain-softening in limit equilibrium analyses.



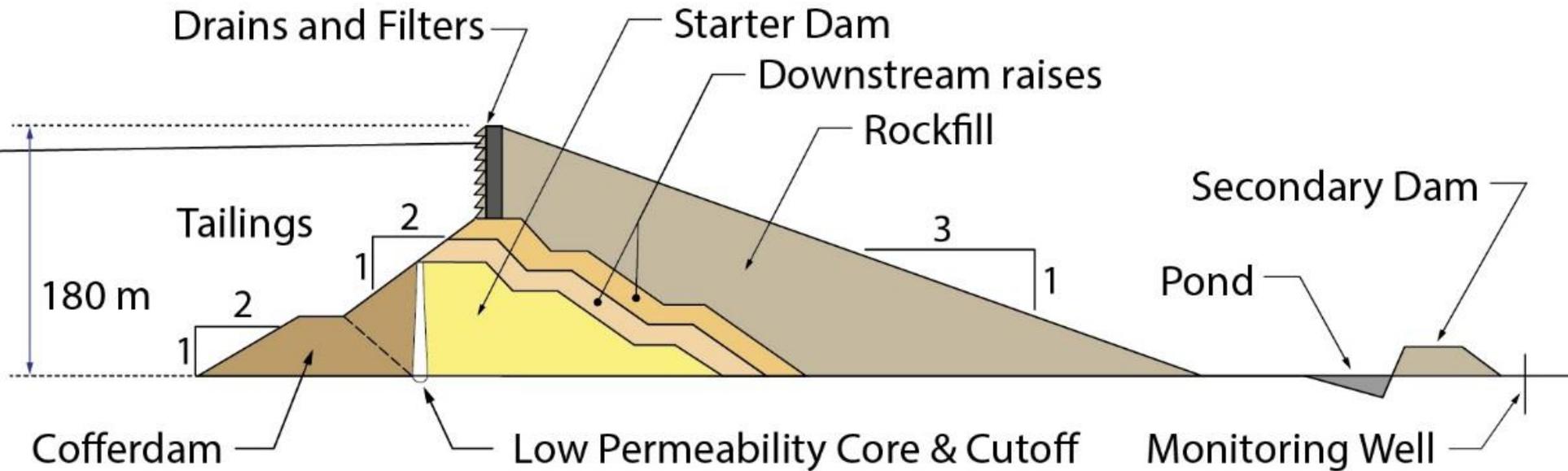
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# Roșia Montaña

## Design of tailings management facility TMF – the Corna Dam



# Tailings dam

## Consequence scenarios

The Baia Mare tailings dam failure in Romania (2000) released cyanide in the water, killing tons of fish and poisoning the drinking water of 2 M people in Hungary.

The Aznalcóllar tailings dam failure in Spain (1998) released 68 Mm<sup>3</sup> contaminated material in the environment.

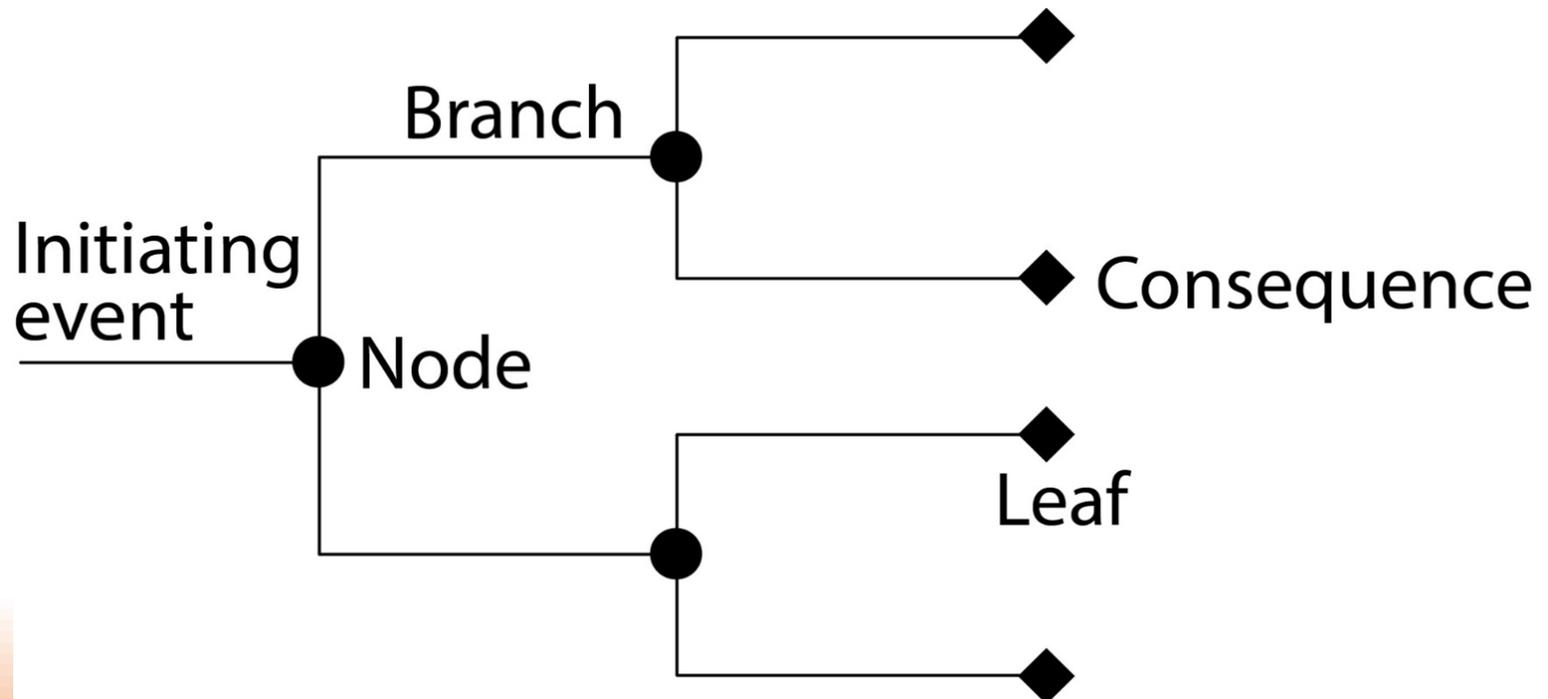
The Mount Polley tailings dam failure (2014): tailings with Se, As ++ escaped: largest environmental disaster in Canada.

Baia Mare



# Event tree analysis (ETA)

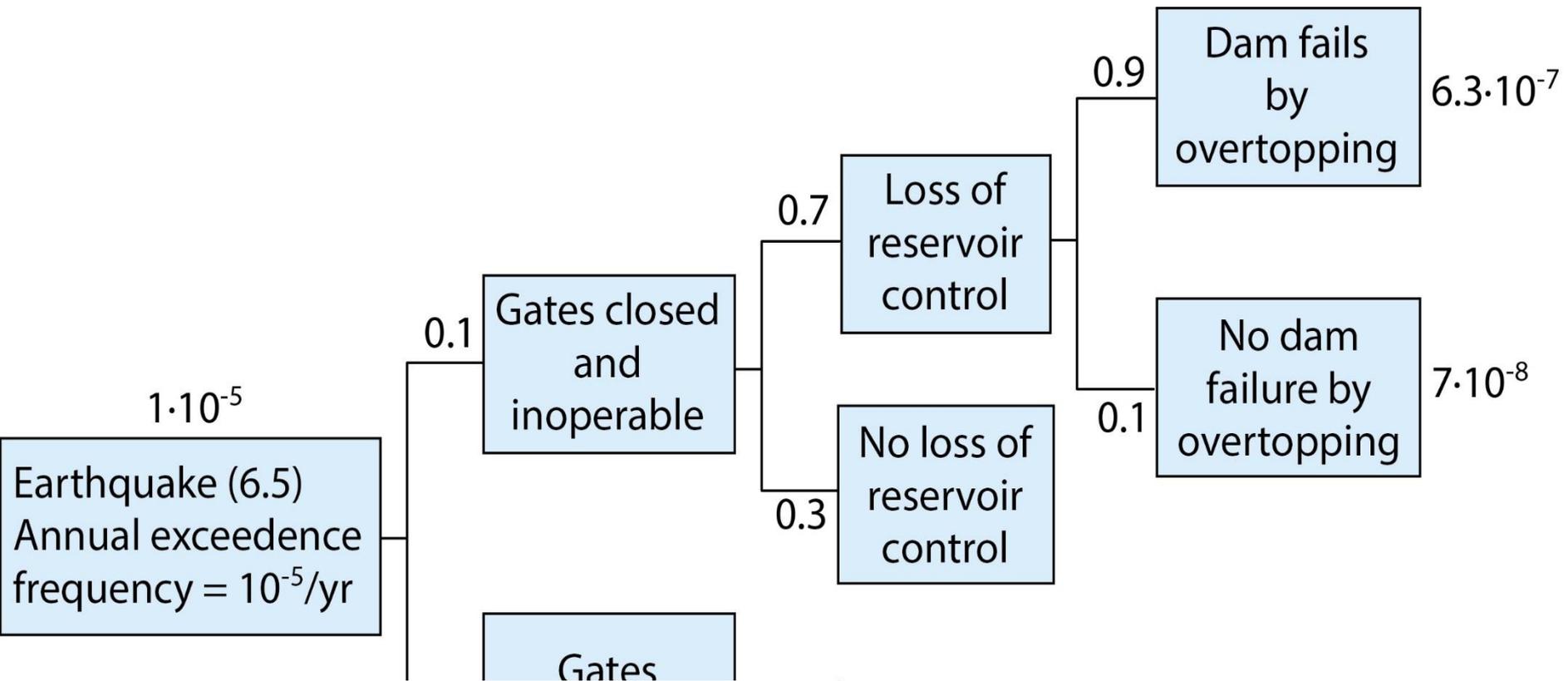
An event tree is a graphical representation of many chains of events that might result from an initiating event, a few of which could lead to system failure. As the number of events increase, the diagram fans out like the branches of a tree.



# Event tree analysis (ETA)

A form of "What happens if " type of analysis

Initiation  $\Rightarrow$  continuation  $\Rightarrow$  progression to failure



In an event tree, the events at a node should be defined such that they are mutually exclusive (cannot occur simultaneously).

# Event tree analysis of dams

## 6 steps

- 1 Dam and site inspection to familiarise review team with structure and site conditions
- 2 Failure mode screening
- 3 Construction of event tree
- 4 Probability assessment
- 5 Evaluation of results

Usually done with expert teams

The collective judgment of experts, structured within a process of debate, can yield as good an assessment of probabilities as mathematical analyses [Vick 2002].



# Event tree analysis (ETA)

Probabilities at a node of the event tree

- Statistical estimates based on observations, test results etc.
- Engineering calculations with models based on physical processes.
- Expert judgment developed through evaluated experience.

The probability estimates should be based on a demonstrable chain of reasoning and not on speculation. Consensus is achieved through discussion, using standard descriptors of uncertainty.



# Roşia Montaña – TMF

## Failure mode screening

What would happen to the TMF, the population and the neighbouring environment if

- an earthquake struck
- unusually intense rainfalls occurred
- a slide occurred from the hillsides into the tailings pond
- the dam crest slumped
- two or more of the above occurred at the same time
- ...

All plausible triggers/events were examined.



# Roşia Montaña – TMF

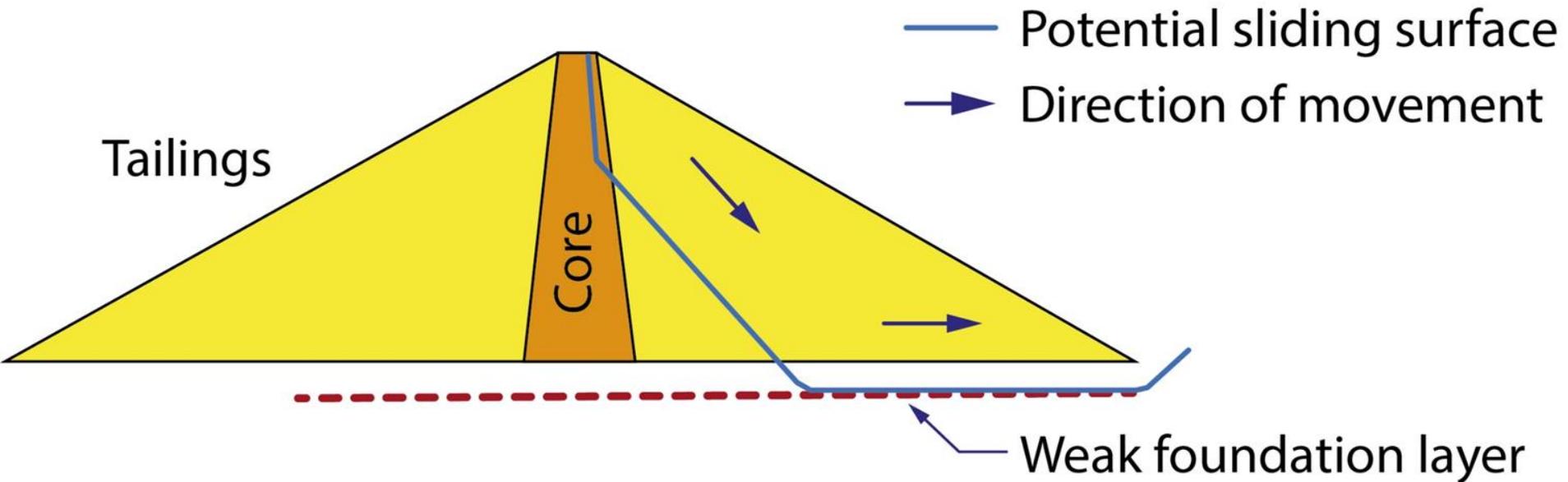
How was the evaluation done?

- Assembled dam, geotechnical and risk experts from USA, Norway, Canada and Romania.
- Looked at the failure modes from the start of construction to the closure of the facility, and established the scenarios where the TMF could release tailings and water. Quantified how often each scenario could happen.
- Looked at consequences from "No consequence" to "Small release of tailings" to "Catastrophic tailings release and contamination downstream" to "Loss of life".



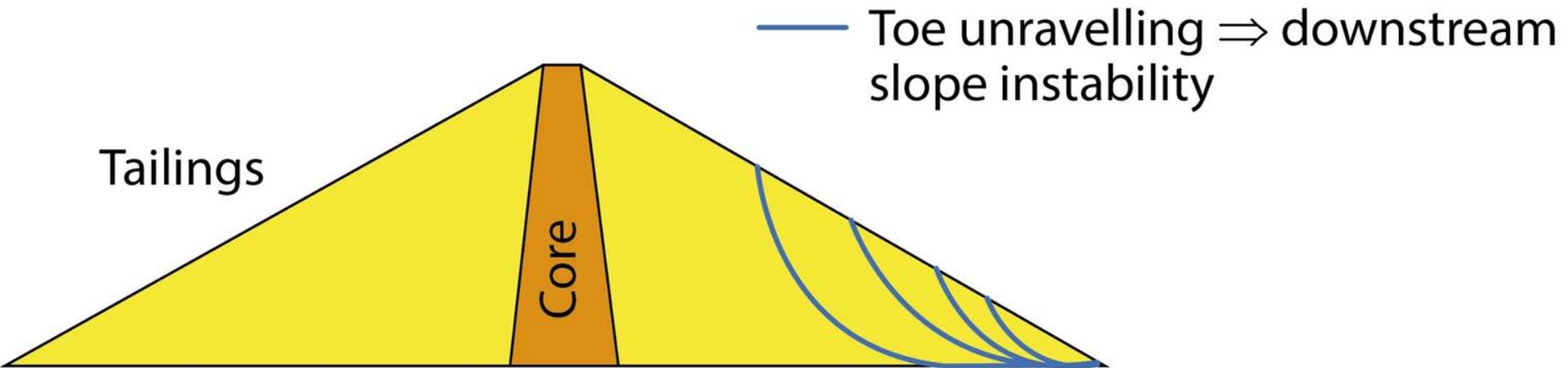
# Roşia Montaña – TMF

## Failure scenarios – Starter Dam



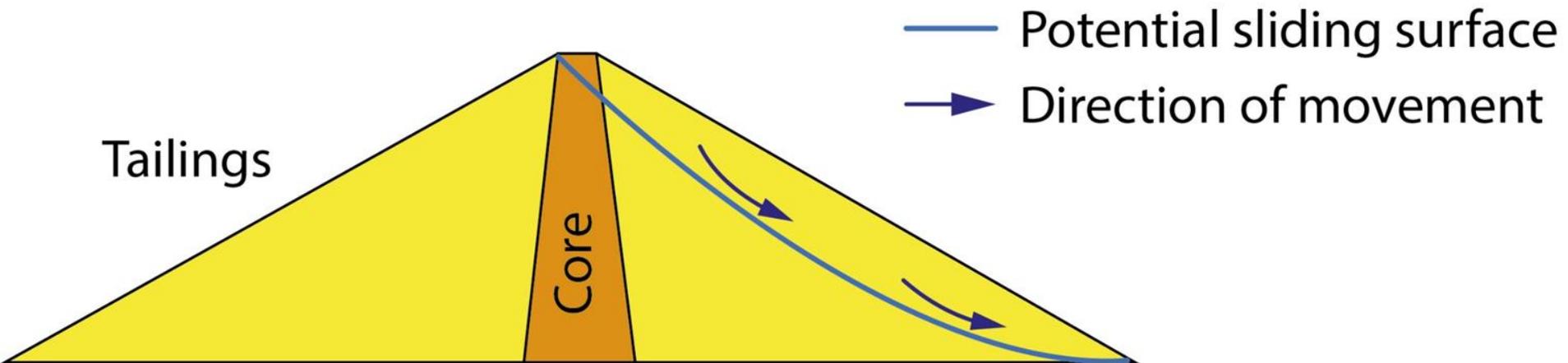
# Roşia Montaña – TMF

## Failure scenarios – Starter Dam



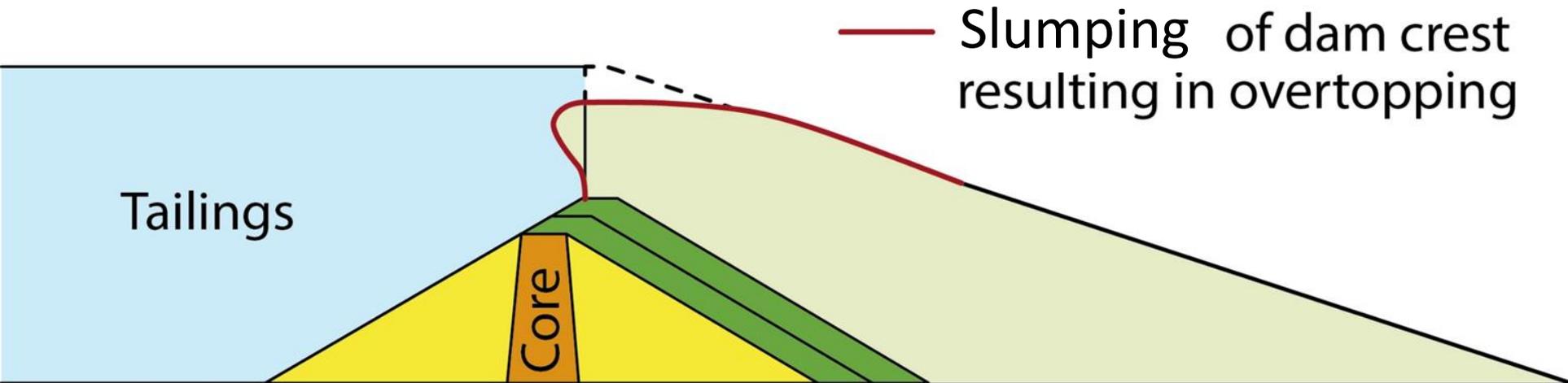
# Roşia Montaña – TMF

## Failure scenarios – Starter Dam



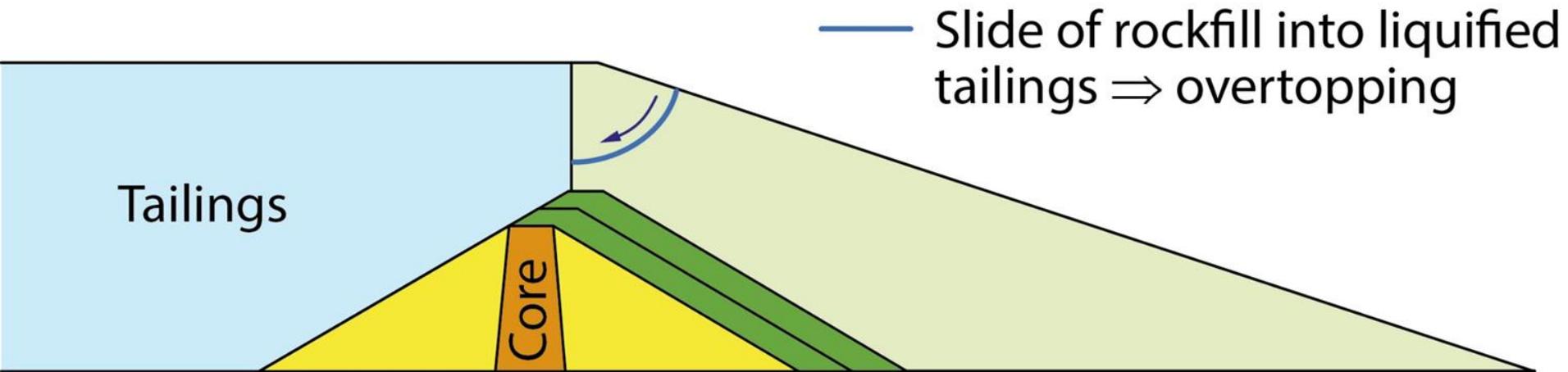
# Roşia Montaña – TMF

## Failure scenarios – completed Corna Dam



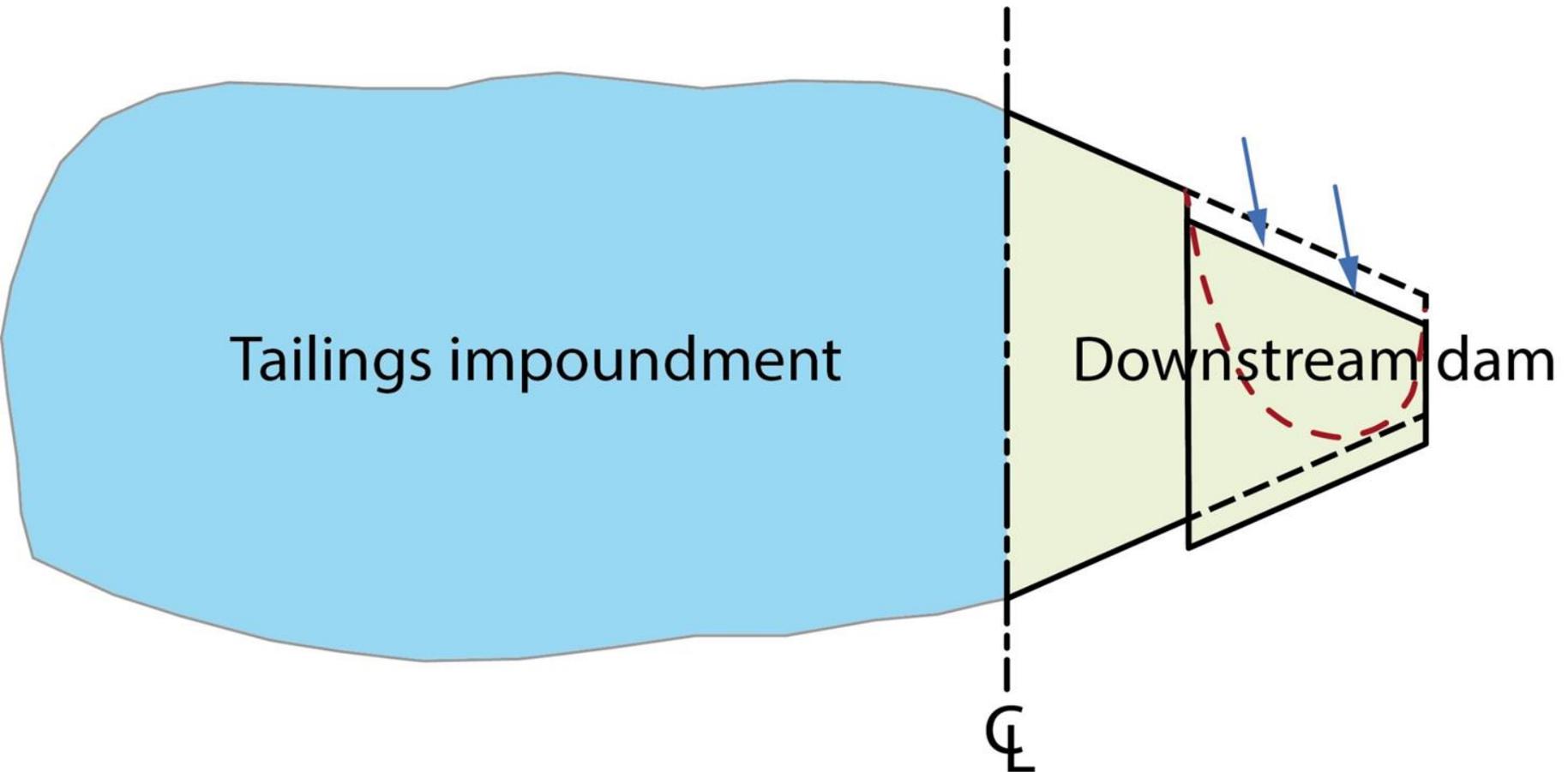
# Roşia Montaña – TMF

## Failure scenarios – completed Corna Dam

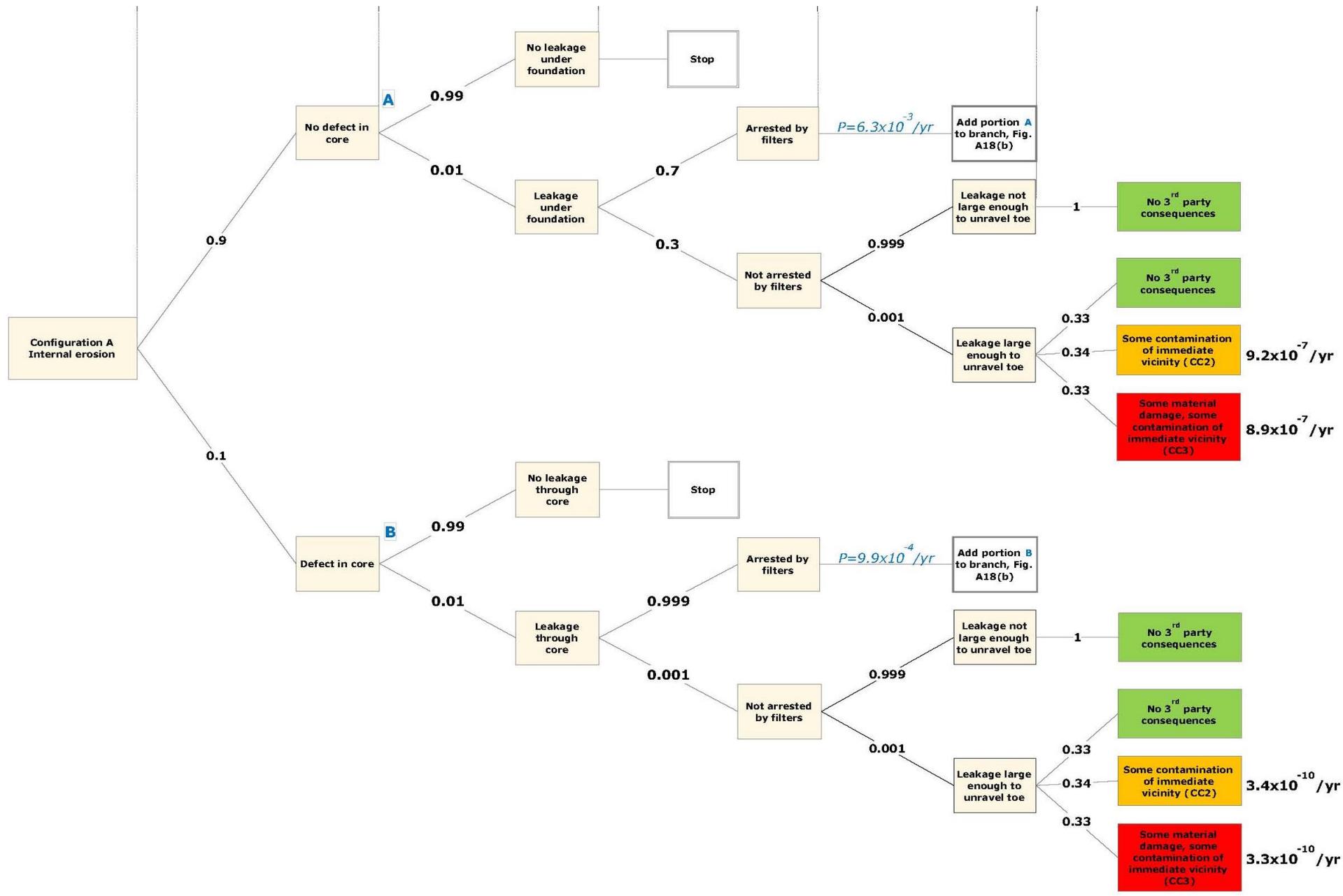


# Roşia Montaña – TMF

Failure scenarios – completed Corna Dam



# How to quantify the probability?

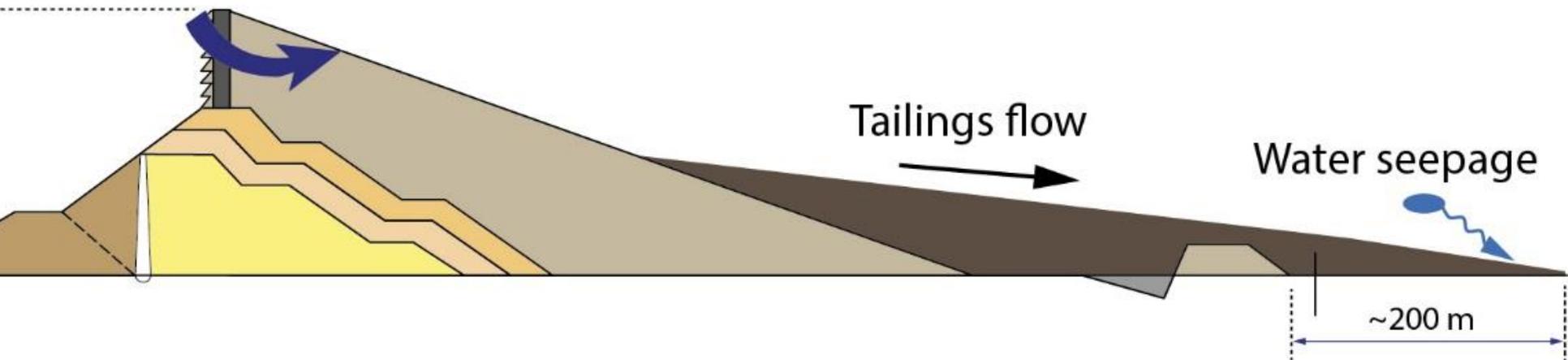


# Roşia Montaña – TMF

## Physical impacts

If dam breach occurs:

- Tailings would flow about 200 meters past Secondary Dam
- Escape volume: 250,000 m<sup>3</sup> tailings and 26,000 m<sup>3</sup> of water
- Water discharge into nearby Abrud river showed limited cyanide levels above regulated standards in close vicinity only, during low flow period only (1/3 of the year).



# Roşia Montaña - TMF

## Total probability of non-performance

Configuration	P [Non-performance]
Starter Dam (t= 1.5 yrs)	$1.3 \cdot 10^{-6}$ /yr
Completed Corna Dam (t = 16 yrs)	$1.1 \cdot 10^{-6}$ /yr
First raise completed (t = 4 yrs)	$7.1 \cdot 10^{-7}$ /yr

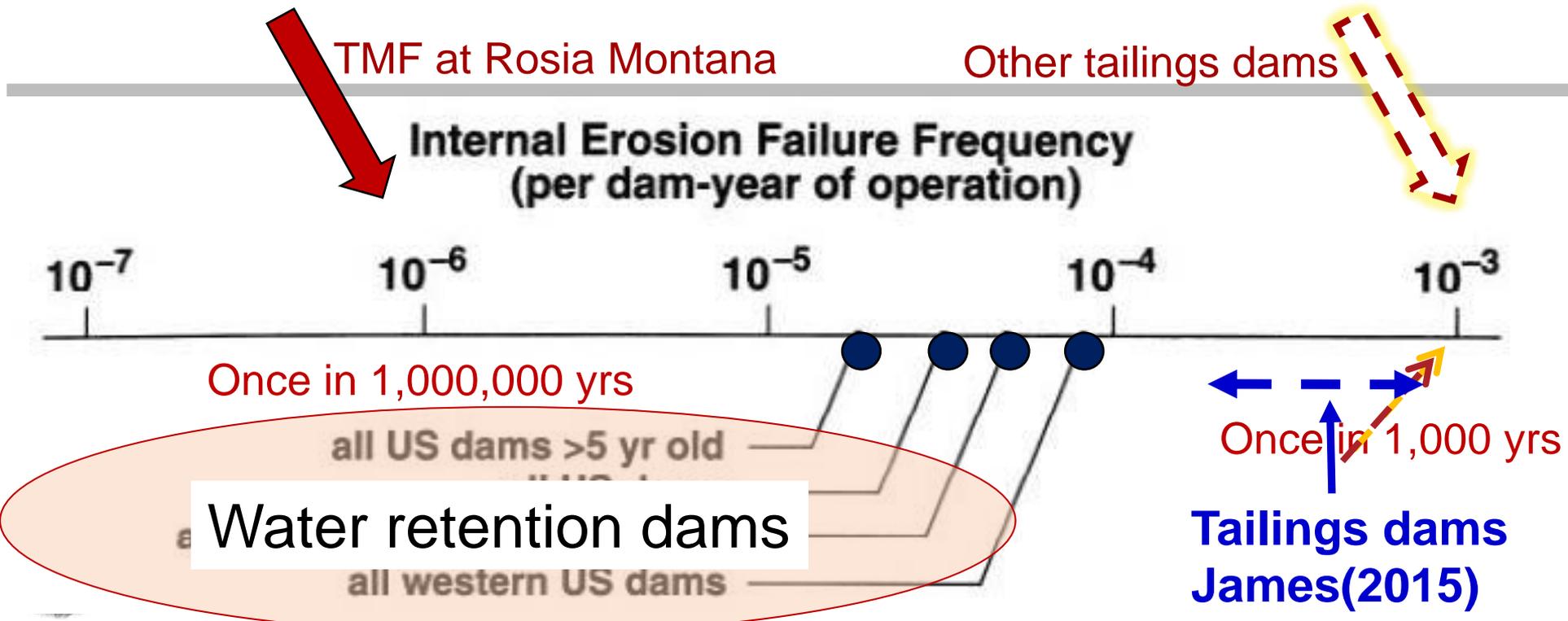
**Starter Dam** No significant release of tailings because of large reserve storage capacity (2 PMP's). Internal erosion was the most critical. Release contained by the Secondary Dam.

**Corna Dam** The highest probabilities of non-performance are about equal for earthquake shaking, liquefaction of the tailings and valley slope instability.

# Roşia Montaña – TMF

## Addition of probabilities for all scenarios

The highest probability of a breach occurring: once in 1,000,000 years. The TMF is therefore significantly safer than other existing dams containing tailings.



# Why did the Mount Polley tailings dam fail?



Failure in the foundation of the embankment due to a weak layer that was undetected. In addition, OC clay became NC under construction. Downstream rockfill had very steep slope (1.3H : 1V). Had the slope been flattened to 2H : 1V, as proposed in the original design, failure would have been avoided.

No performance monitoring, although it had been advised.

[Independent Expert Engineering Investigation and review Panel, 30 Jan. 2015]

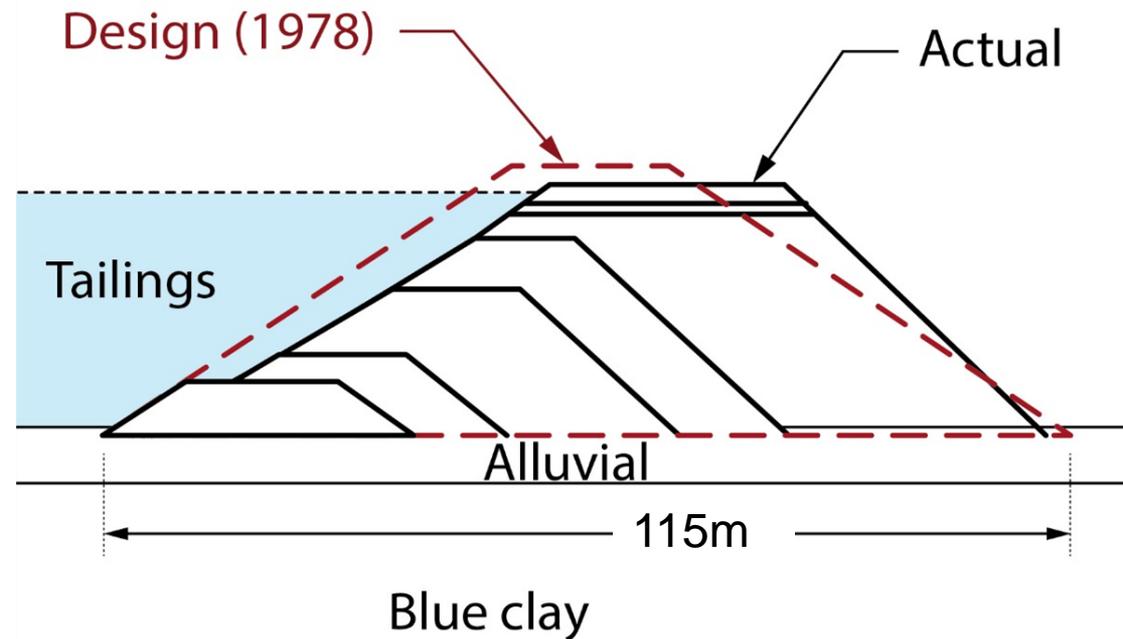


# Why did the Aznalcóllar tailings dam fail?



As built cross-section was different from as designed cross-section (1.8H : 1V).

Downstream slope was increased to 1.23H : 1V in 1985.



[Gens & Alonzo 2006]



# A paradox of our profession

- Time and budget constraints and competition on price bring down the budget for site investigations and design to a minimum, even when there are important uncertainties.
- When a major failure occurs, there seems to be unlimited budget for site investigations (lab and *in situ*), analyses and expert advice (Mount Polley review report: an impressive quantity of tests and analyses in 5 months).

How do we convince clients that:

- More site investigations and more time are needed for design.
- Observational method is the best "insurance".
- Reliability assessments will provide more insight.



# Added value of ETA analyses?

- ETA looks at all potential failure modes in a systematic manner.
- ETA can be used as a diagnostic tool.
- Reliability analyses provide a means to compare the safety of a facility with other facilities and the efficiency of different mitigation measures.
- Probabilistic risk analysis in dam engineering has been coined as a «systematic application of engineering judgment» [Vick 2002; Høeg 1996].



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# New Orleans Levees and Hurricane Katrina

Flood control  
Act of 1965

Flood  
protection  
system  
started in  
1965 after  
Hurricane  
Betsy



[US Army Corps of Engineers 2005]

**Could the failure have been expected and better managed with the help of probabilistic analyses?**



# New Orleans Levees and Hurricane Katrina

Levees designed for  $T_{\text{return}} \approx 100$  yrs

$$P_f = 1 / T_{\text{return}} = 0.01$$

What is the probability of a 100-yr hurricane and overtopping for a person living behind the levees for 50 years?

$$P(x > 0) = 1 - e^{-\lambda t} \quad (\text{Poisson distribution})$$

$x$  = number of events

$t$  = time interval

$\lambda$  = expected number of events/unit time

$\lambda = 0.01$  for  $P_f = 1 / 100$  years



# New Orleans Levees and Hurricane Katrina

$$P(x>0) = 1 - e^{(-0.01)(50)}$$

$$P(x>0) = 0.40 \text{ (40\%)} \quad [if T_{return} = 200\text{-yr}, P = 22\%]$$

There is therefore a significant probability of levee overtopping in any 50-yr period.

The 3-4 failures that occurred in New Orleans, even without overtopping indicate that the factor of safety,  $FS < 1$ , in some locations.



# New Orleans Levees and Hurricane Katrina

In comparison:

The primary dikes protecting the Netherlands are set to heights corresponding to between 2,000 and 10,000-year return periods [Voortman 2003; van Stokkom & Smits 2002]

The interior levees protecting the Rhine are set to a return period of 1,250 years [Vrouwenvelder 1987].



# New Orleans Levees and Hurricane Katrina

There are 350 miles (560 km) of levees in New Orleans.  
Assume that there are 560 reaches (each 1 km long).

What is the  
annual  $P_f$  of  
each reach?

What is the  $P_f$   
of the entire  
levee system?



[US Army Corps  
of Engineers 2005]



# New Orleans Levees and Hurricane Katrina

Assuming that each reach is statistically independent, and if the levee is a series system of  $n$  reaches (such as links in a chain), the system reliability is the product of the reliability,  $R$ , for each link (like combining modes of failure):

$$R = R_1 R_2 R_3 \dots R_n$$

The probability of failure,  $P_f$ , of the system is

$$P_f = 1 - R$$

$$P_f = 1 - (1 - P_1) (1 - P_2) (1 - P_3) \dots (1 - P_n)$$



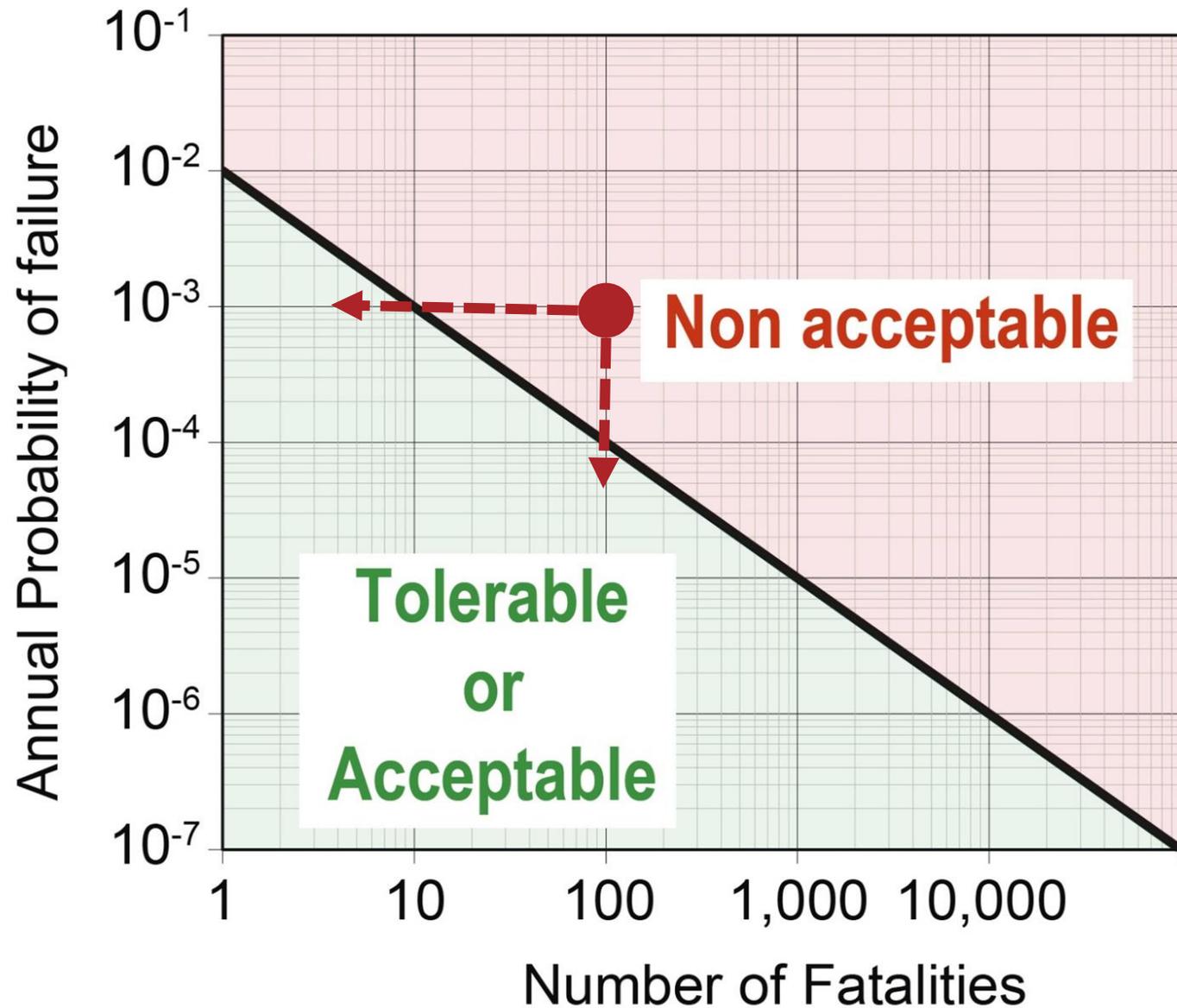
# New Orleans Levees and Hurricane Katrina

The probability of at least one failure in the levee system is:

No. of reaches	Reach length (km)	$P_{\text{overtopping}}$ (each reach)	$P_f$ (system)
560	1000 m	0.01	<b>0.99</b>
280	2000 m	0.01	<b>0.94</b>
1020	500 m	0.01	<b><math>\approx 1.00</math></b>
560	1000 m	<b>0.001</b>	<b>0.43</b>



# F-N curves and acceptable risk



# New Orleans Levees and Hurricane Katrina

Risk diagrams (F-N curves)

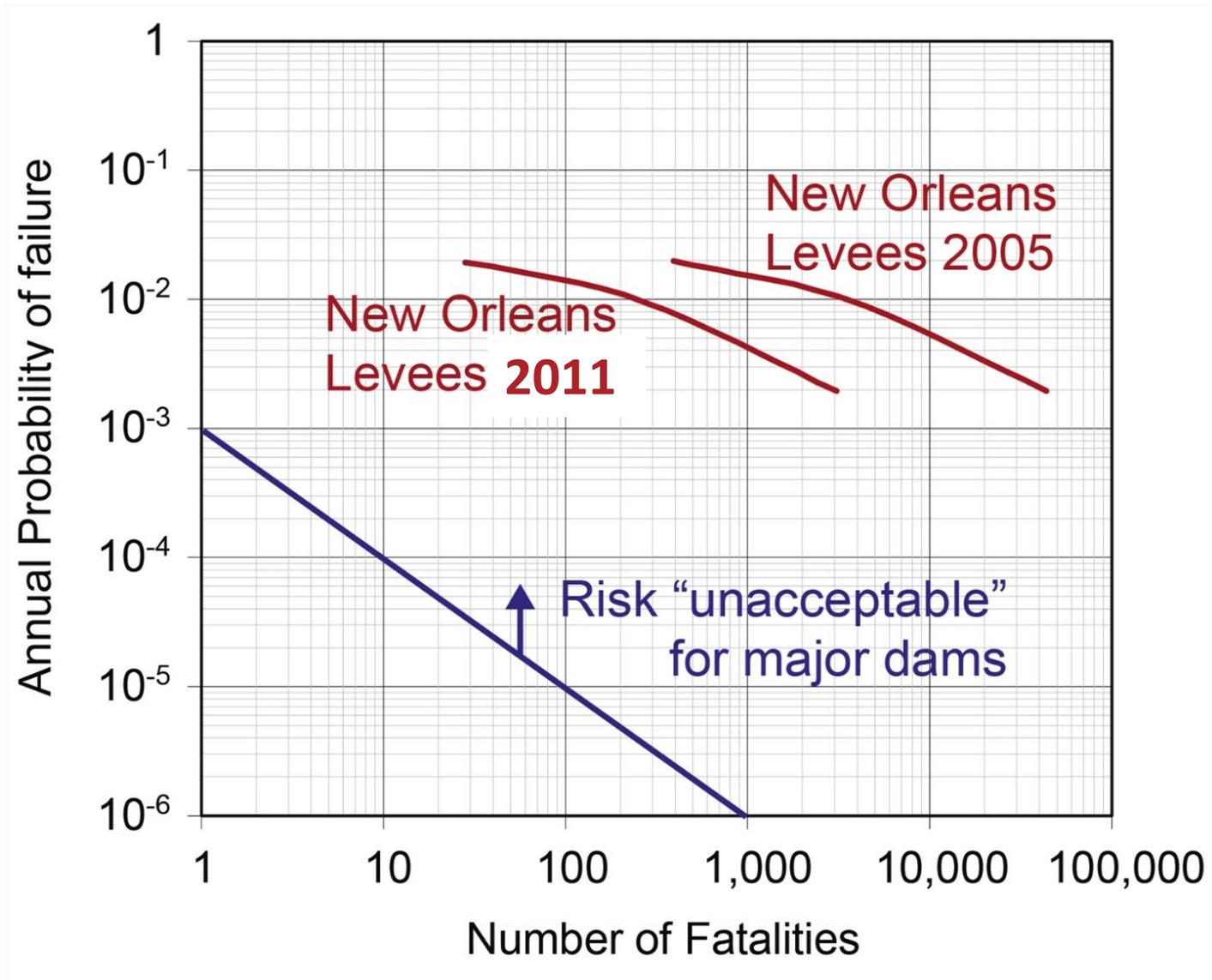
[Gilbert 2014]

2005

"Hurricane Protection System"

2011

"Hurricane Storm Damage Risk Reduction System"



# New Orleans Levees and Hurricane Katrina

The risk, even after the 2011 upgrading is much higher than that considered tolerable for major dams in the world.

Why is the risk so much higher for the levee system?

What is considered as “tolerable risk” is not an absolute, but is relative to the context of the costs and the feasibility of reducing the risk. It was not feasible to achieve that low a risk for a long levee system in an urban area [after Gilbert 2015].



Quantitative risk assessment for selection of most appropriate risk mitigation strategy



Emerging question:

[US Army Corps of Engineers 2005]

Should one have used part of the \$18 billion USD on measures to evacuate people in advance of a storm, to avoid fatalities, even with overtopping ?

[after Gilbert et al 2008]



# Added value of reliability analysis?

- Simple reliability-based analyses predict that the New Orleans levees would most probably fail under a strong hurricane.
- Long levees should be designed for very long return periods.
- Reliability analyses should be used to make decisions on the optimum mitigation measures.



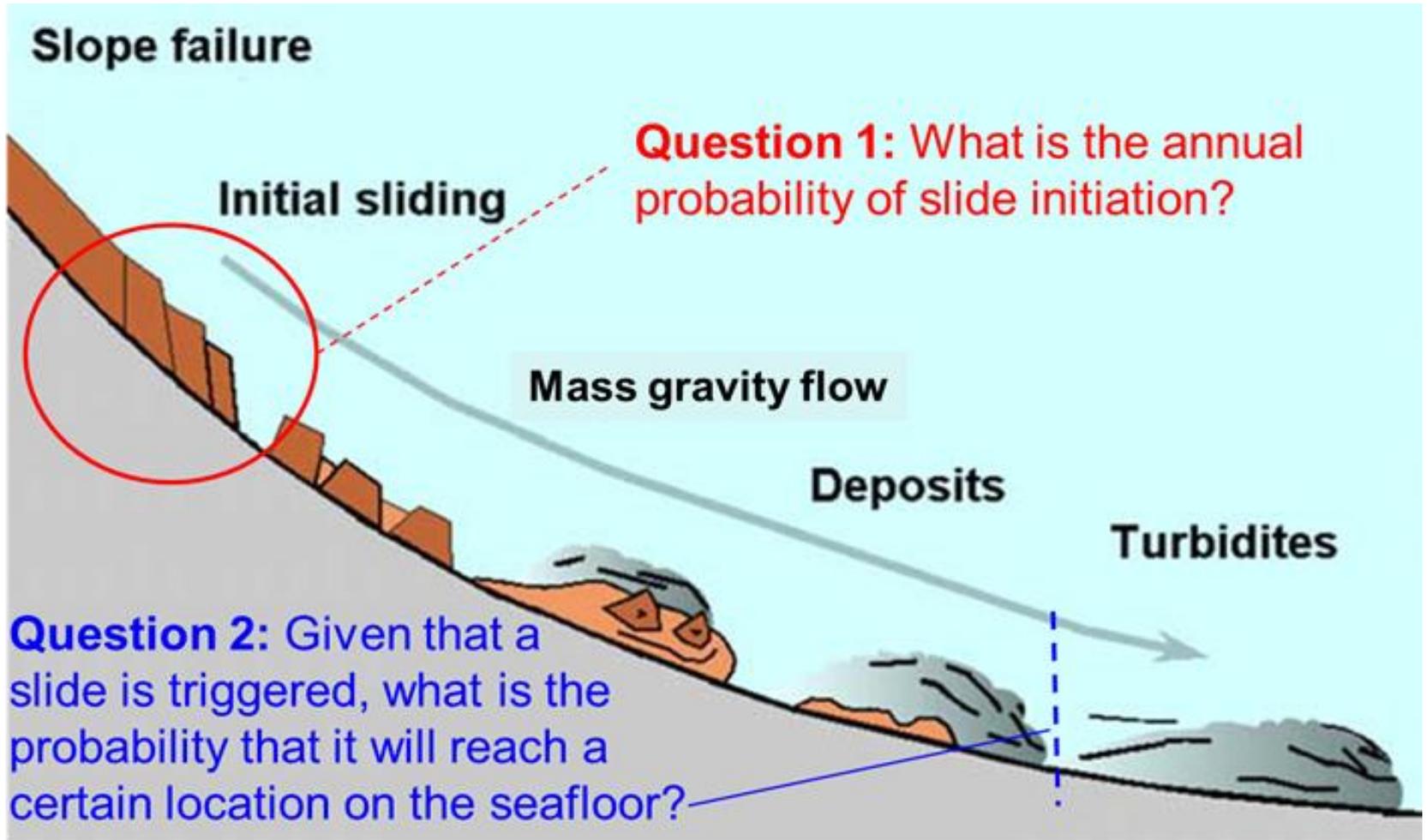
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# Submarine Landslides

## Triggering, propagation and runout



# Bayesian approach to estimate annual probability of slope failure $P_f$ [Nadim *et al* 2013]

Probability distribution of  $P_f$

“r” slides observed during “n” years:

$$f(P_f) = k \cdot P_f^r \cdot (1 - P_f)^{n-r}$$

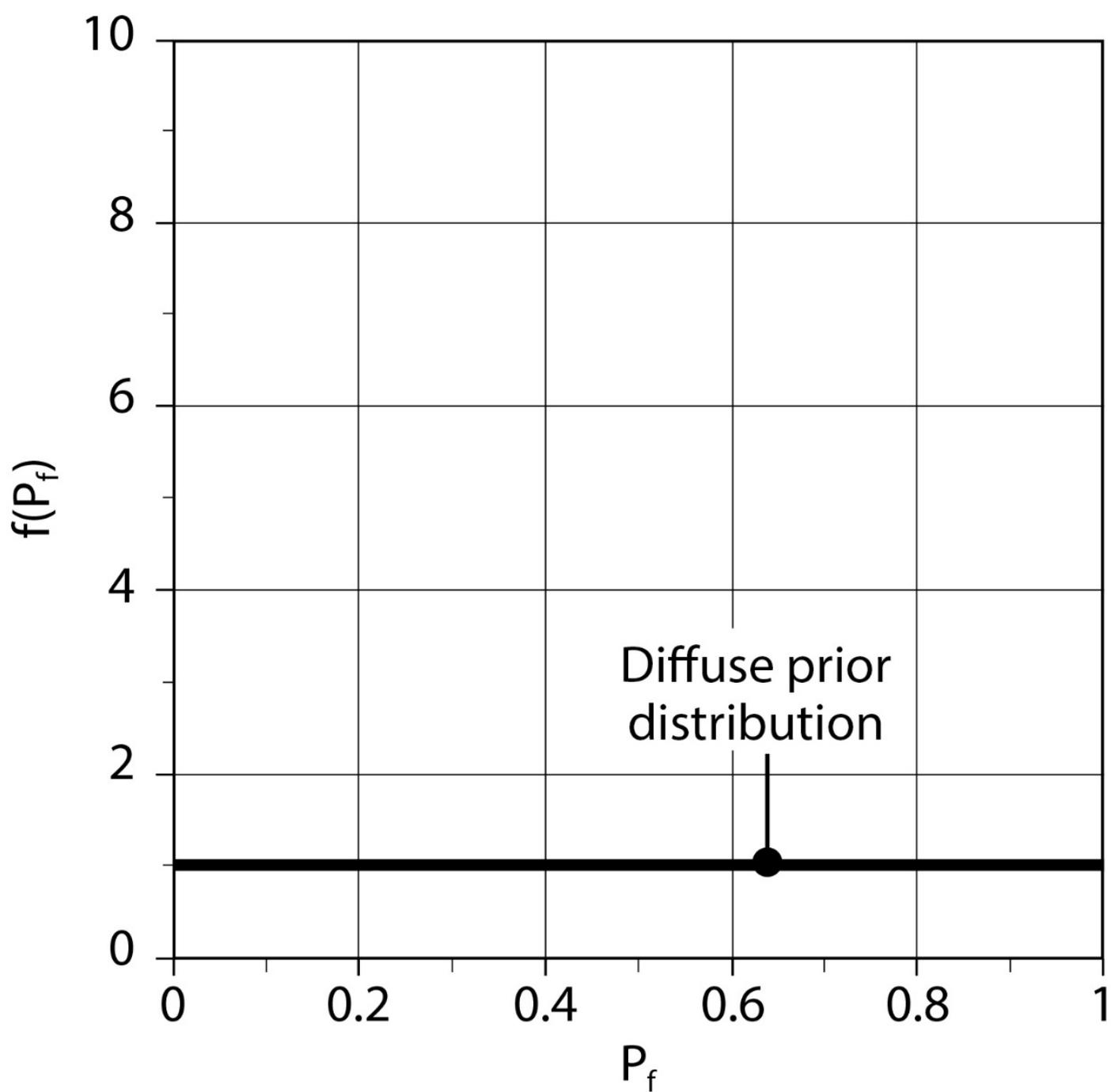
$$E[P_f] = (r + 1) / (n + 2)$$

No slides during  $n = 8,000$  years  $\Rightarrow E[P_f] \approx 1.25 \cdot 10^{-4}$

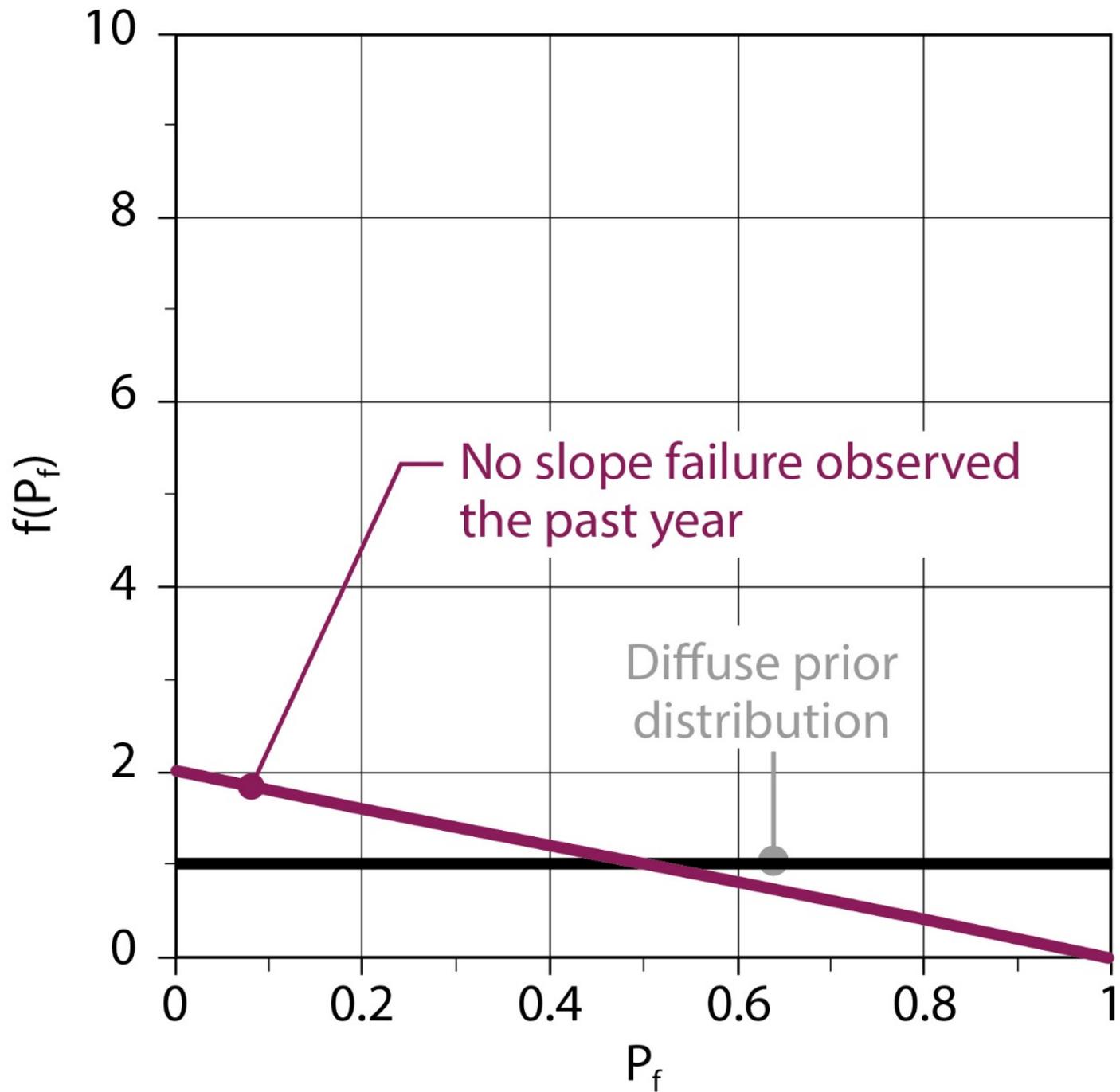
No slides during  $n = 18,000$  years  $\Rightarrow E[P_f] \approx 0.56 \cdot 10^{-4}$



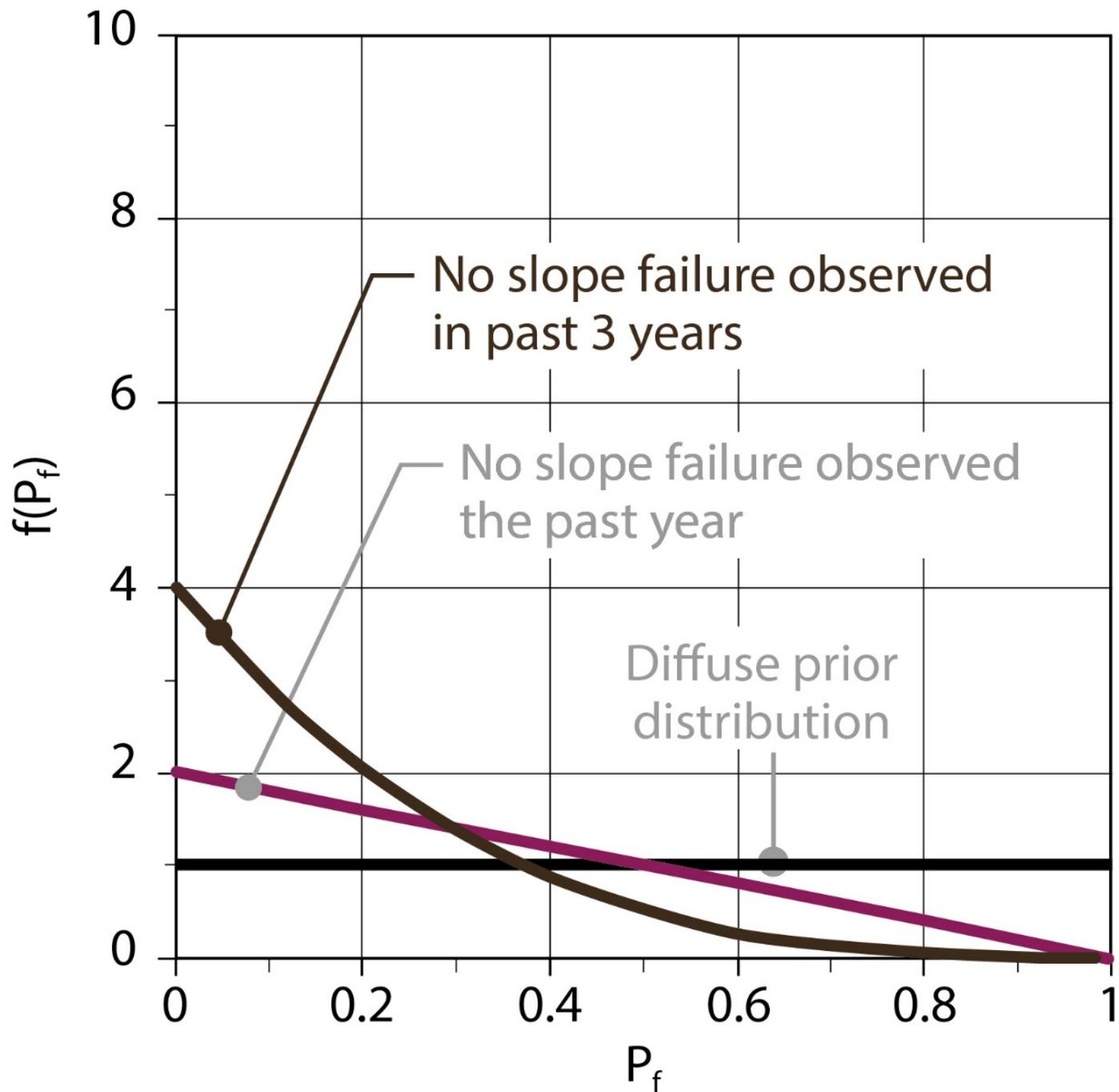
No  
information



No  
slope failure  
in the past  
year (1 yr)

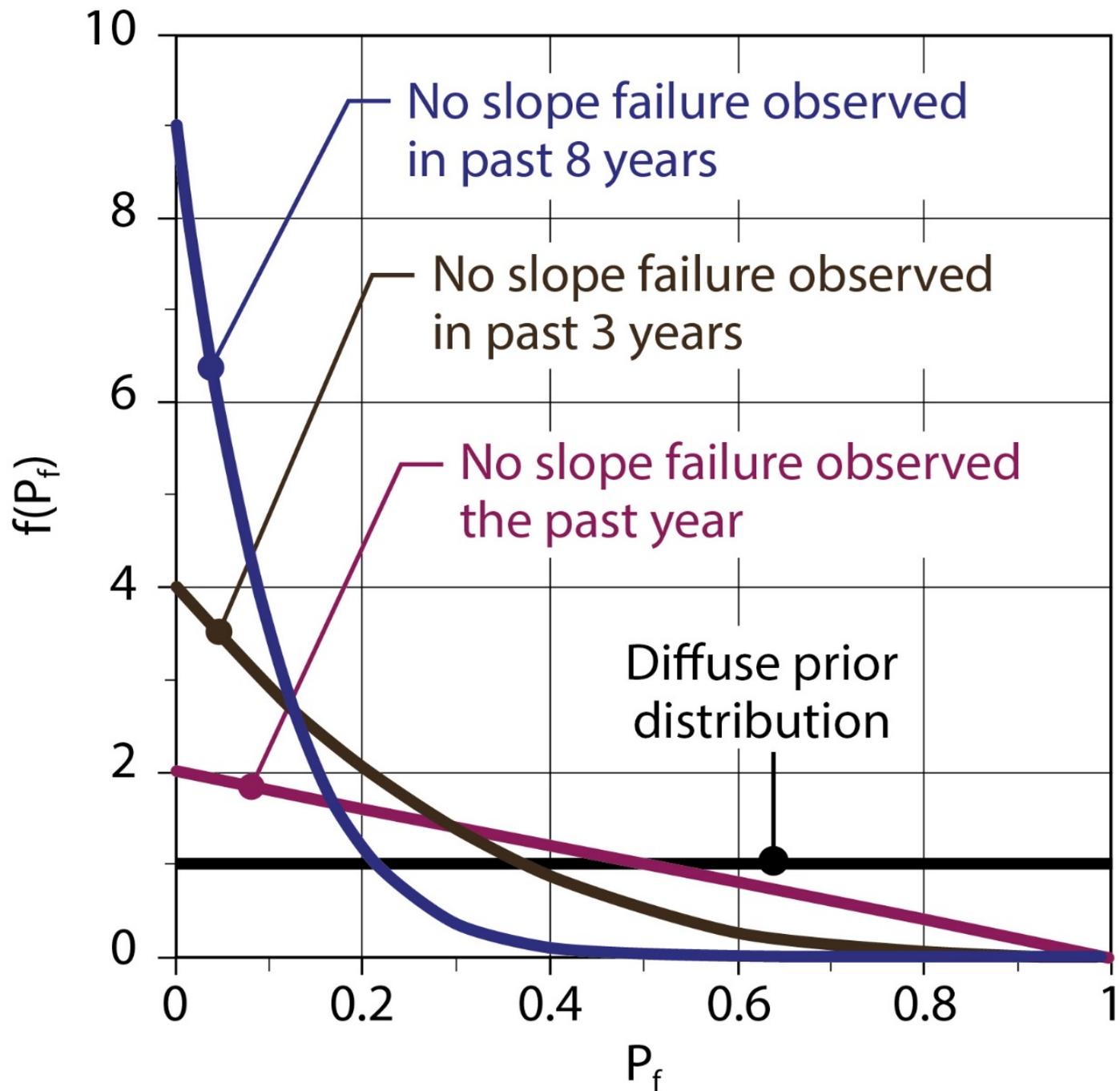


No  
slope failure  
in the past  
3 years



No slope failure in the past 8 years

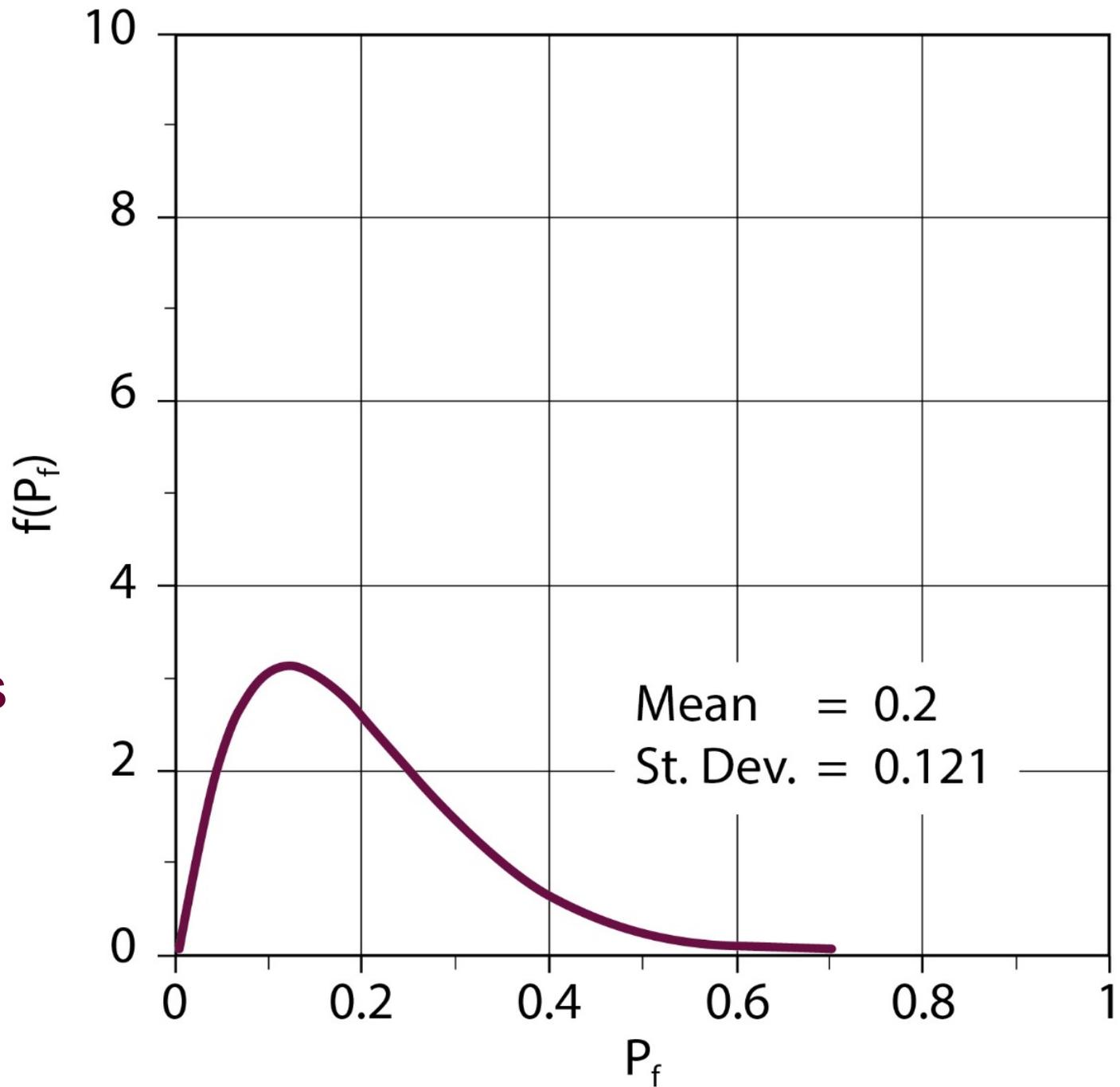
[Nadim *et al* 2013]



PDF for  
 $P_{f \text{ annual}}$

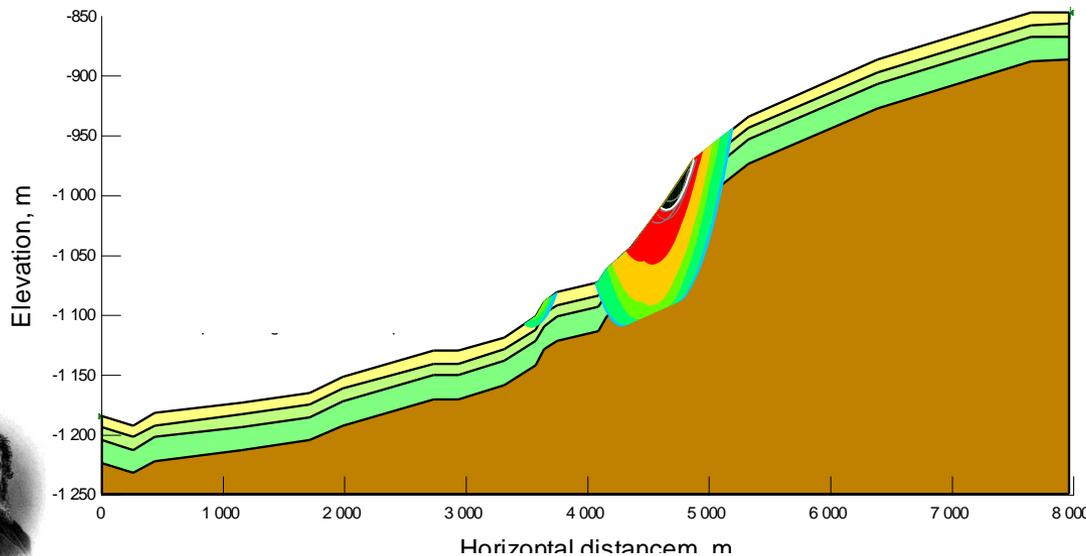
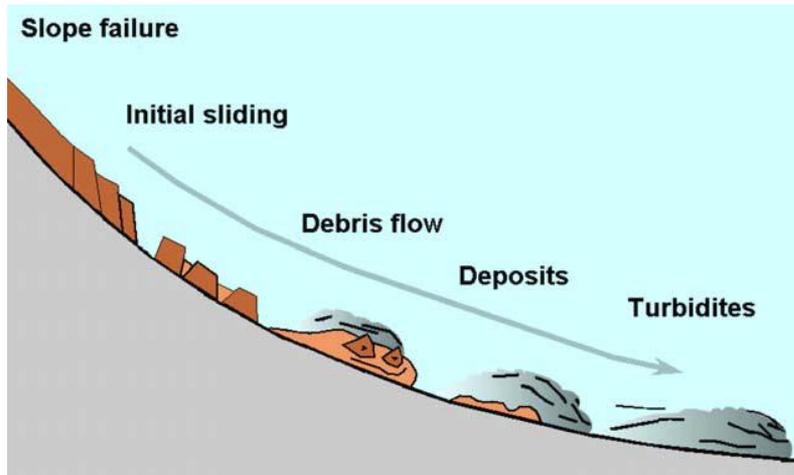
Slope failure  
if 2 slides  
were  
observed  
in past 10 yrs

[Nadim  
*et al* 2013]



# Submarine Landslides

## Propagation and runout



### Slope stability

Resisting vs driving forces

Excess pore pressure

### Pre-conditioning, triggers

Gravity

Deposition (climate-related sedimentation), erosion

Pore pressure development

Earthquake loading

### Hazards and consequences

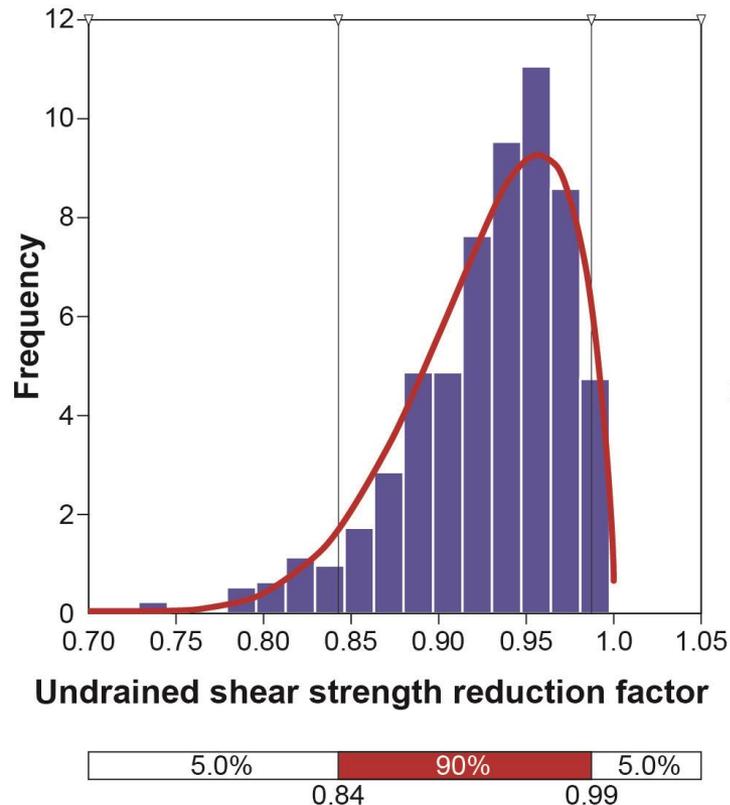
Probability of failure?

Runout, impact, tsunami

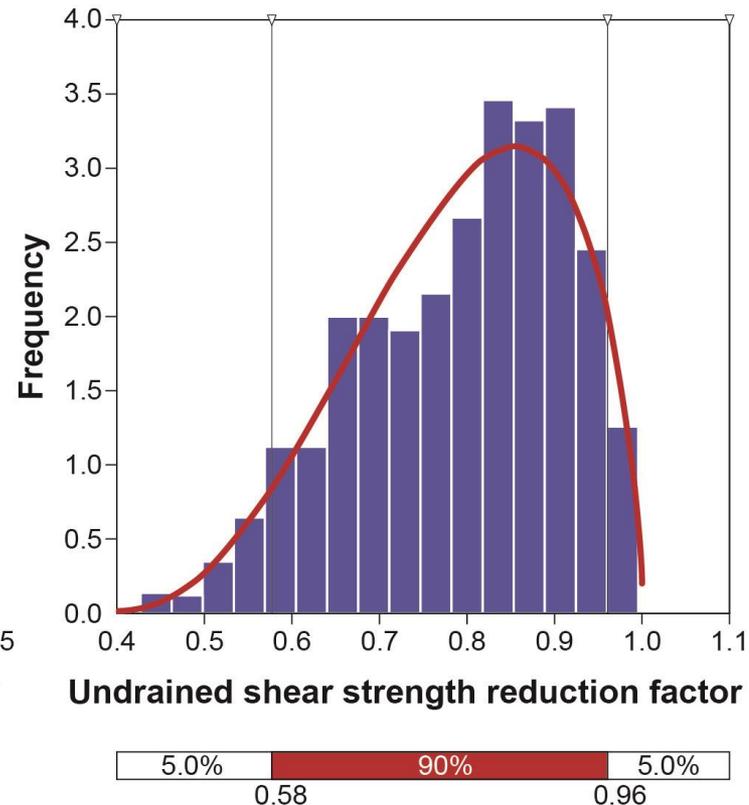
Interaction w/ infrastructure (e.g., pipeline, conductors, subsea structures)



# Earthquake-induced shear strength reduction 500 MC simulations and best fit distrib'n functions



(a) 3,000-year earthquake event

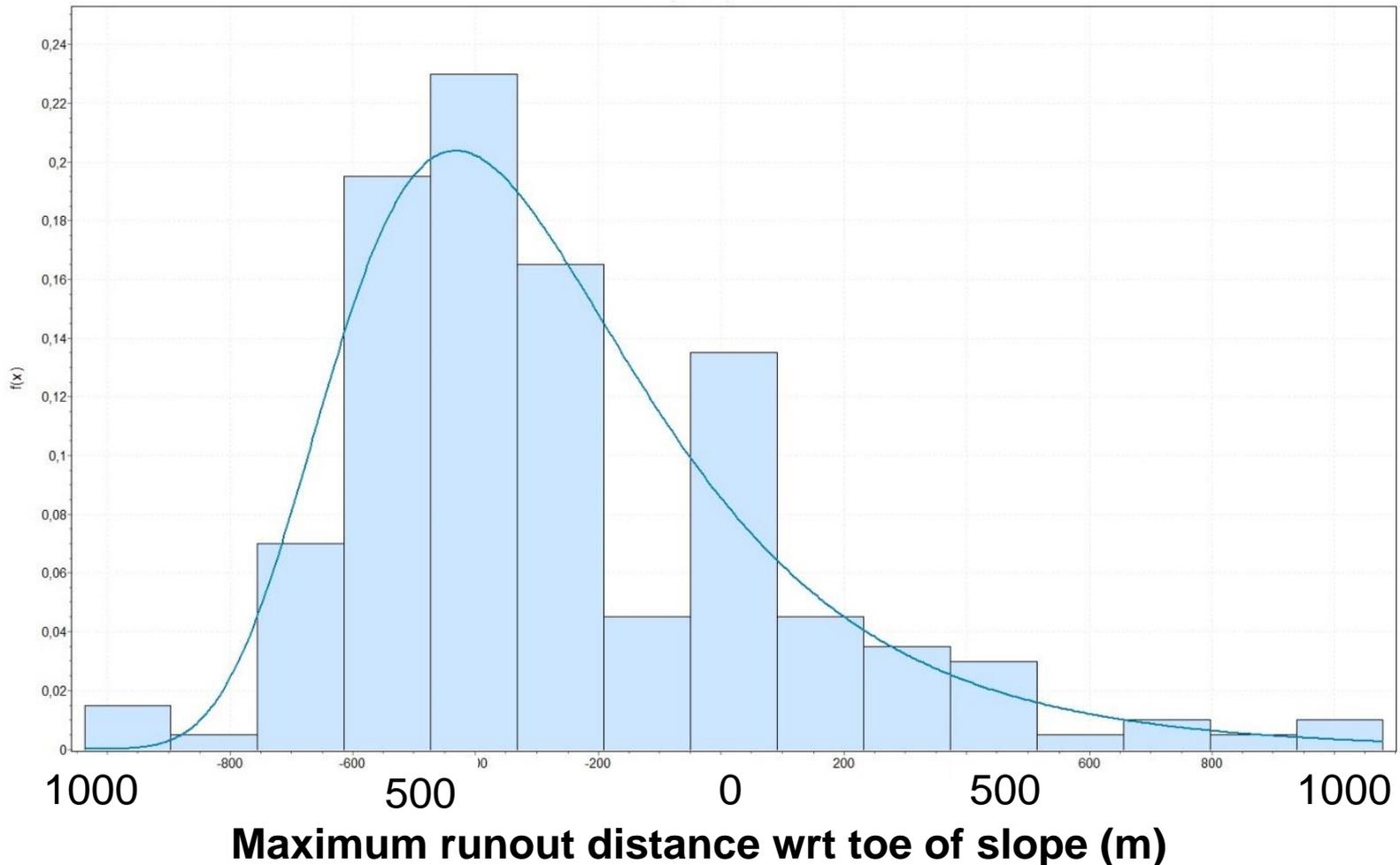


(b) 10,000-year earthquake event

**3,000-year event:**  
**10,000-year event:**

$s_u$  reduction factor between 0.7 and 1.0, mean = 0.93  
 $s_u$  reduction factor between 0.4 and 1.0, mean = 0.79

# Probability distribution of calculated runout (200 Monte Carlo simulations, plus LHS) Best fit: Generalized Extreme Value Distribution



# Contents of lecture

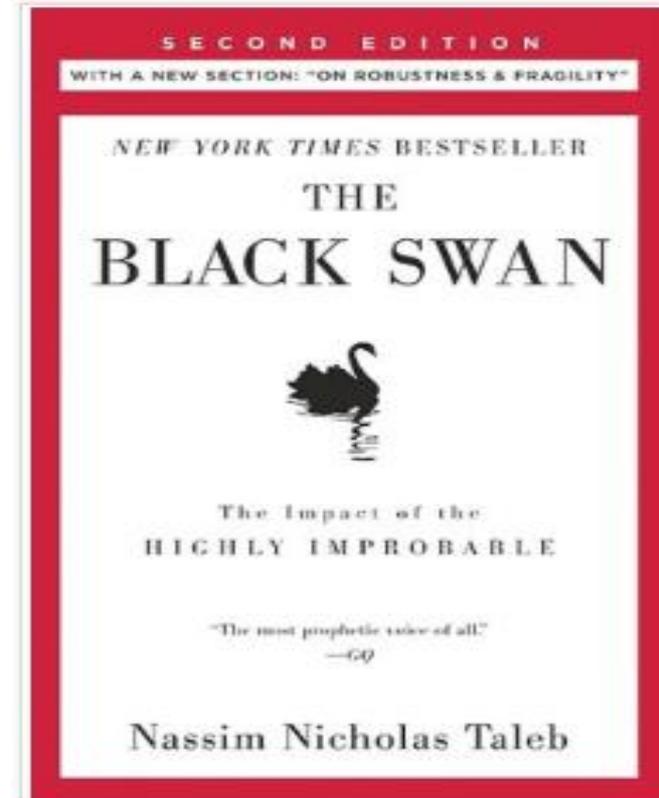
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# Emerging issues

Critical facilities designed to withstand events with  $P_f$  of  $10^{-4}$  -  $10^{-6}$  / yr are not 100% safe. The risk is often governed by **low-probability - high impact** extreme events that occur very rarely. There is, however, usually not enough data to make statistical estimates of the probabilities (also a central concern in UN's IPCC SREX Report 2012)

**Emerging solution:**  
**“Stress testing”**



# Cascading hazards and risks

Beichuan, China

[Zhang *et al* 2014]



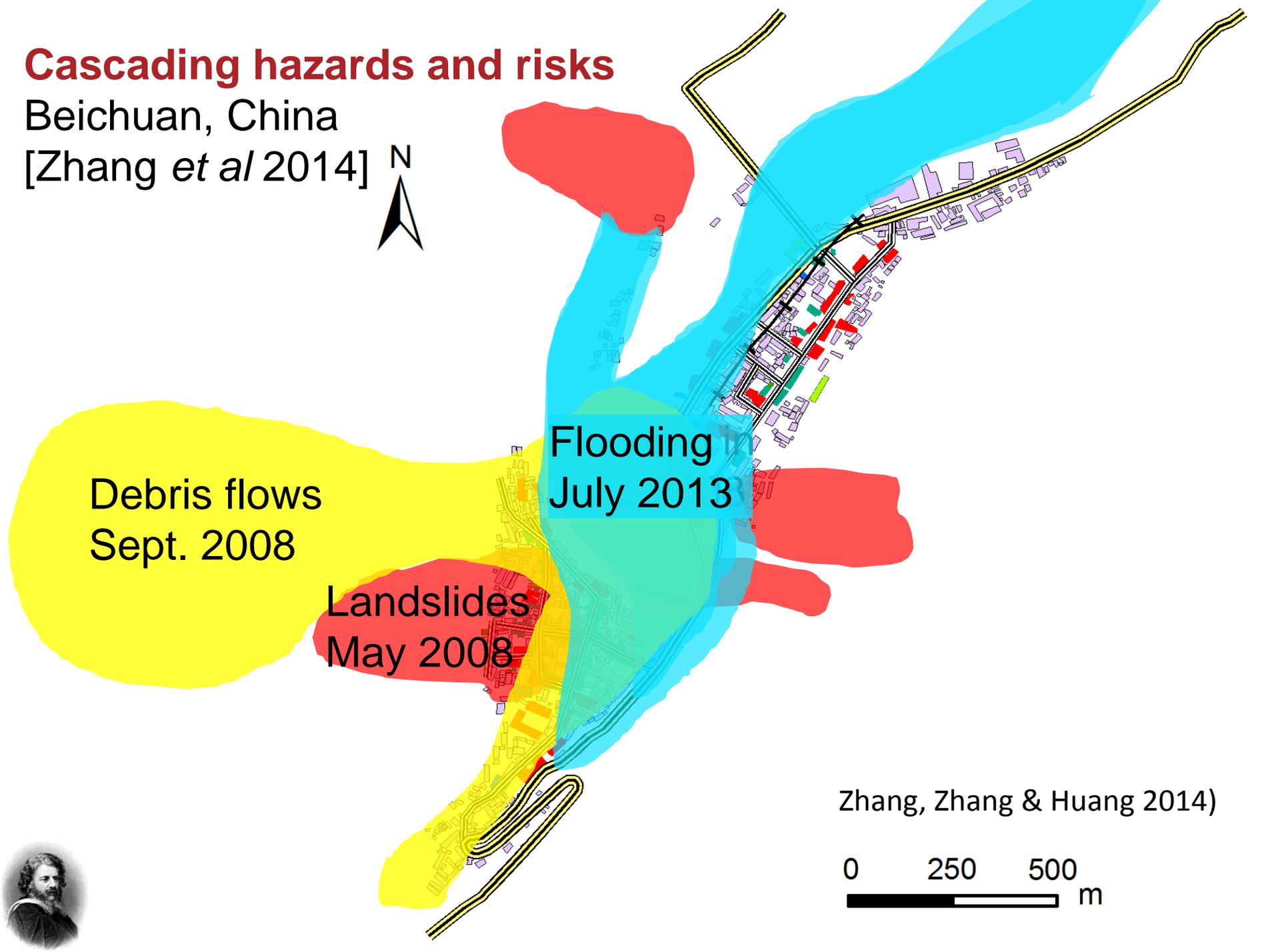
Debris flows  
Sept. 2008

Landslides  
May 2008

Flooding  
July 2013

Zhang, Zhang & Huang 2014)

0 250 500  
m



# Emerging issues

## Cascading hazards and multi-risks

How can one consider the interactions among different threats in a systematic way, including the uncertainties?

Compared to single risk analysis, the examination of multiple risks poses a range of challenge be-cause of the different characteristics of the hazards.

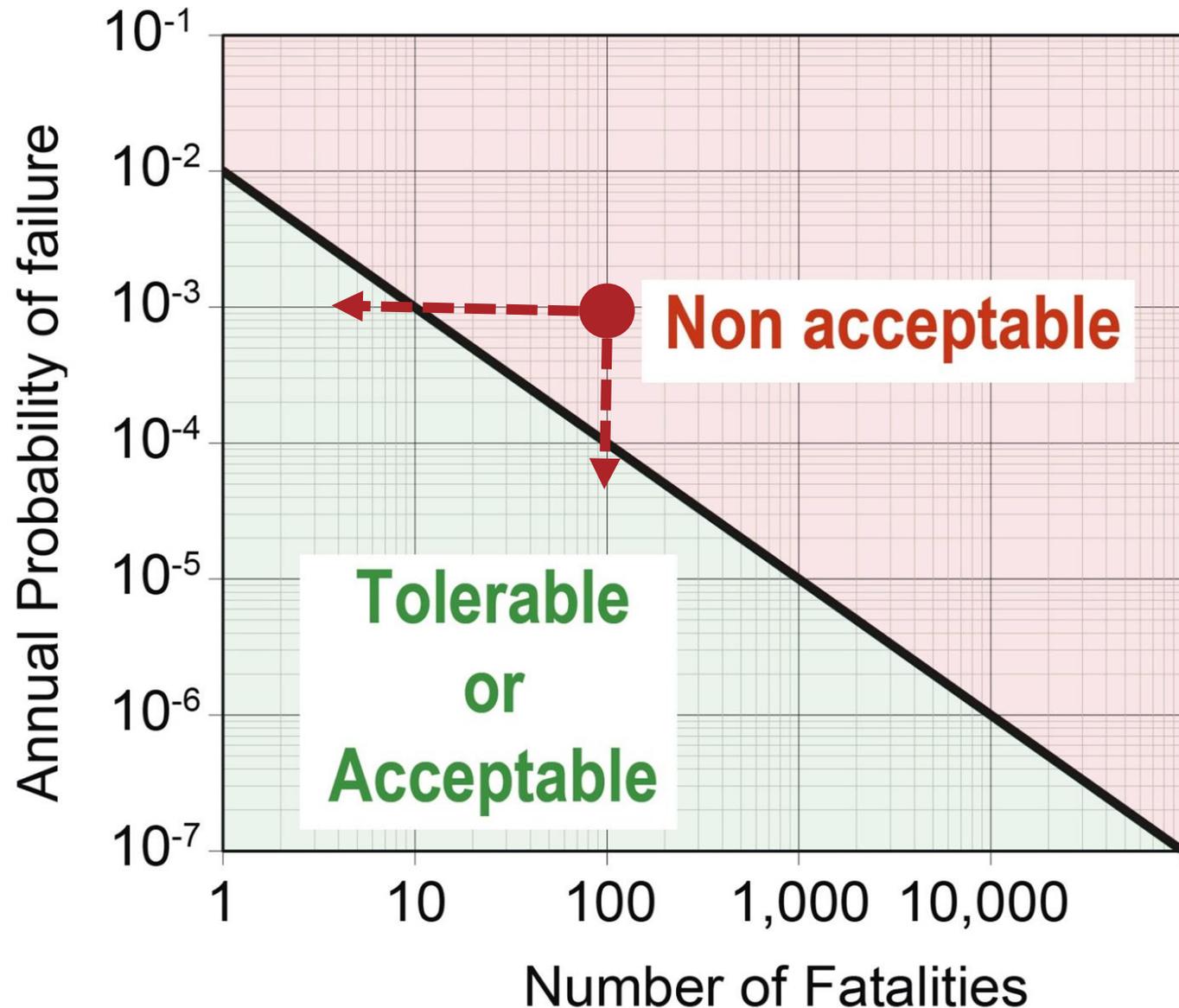
**Emerging solution:**

**"Bayesian networks"** (quantitative)



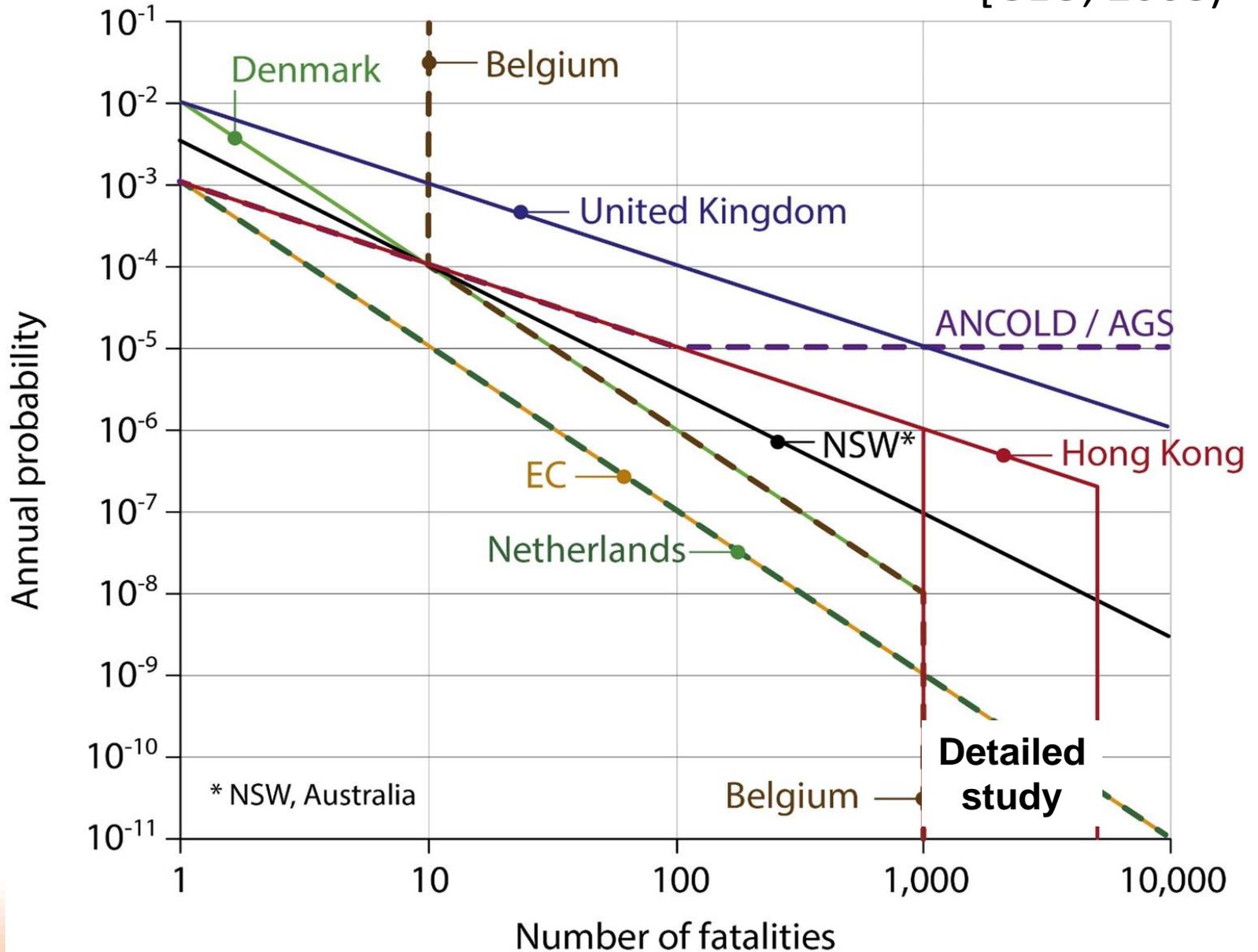
# Emerging issues: Acceptable risk

The F-N plot is one vehicle for comparing calculated probabilities with, e.g., observed frequencies of failure of comparable facilities.



# Acceptable risk: Requirements

[GEO, 2008]



# Emerging issues

## Communication

Being a good communicator is today one of the most empowering skills that we as engineers can acquire. Being able to communicate presupposes understanding the subject, and preparing for the beforehand!

Quantitative assessment of hazard and consequences reveals the risk-creating factors and the need for remedial changes. It encourages foresight rather than hindsight.



# Vulnerability of the geotechnical engineer

From the standpoint of accountability, the geotechnical engineer finds himself in a particularly vulnerable spot.

He/she works at the interface of natural conditions and man-made structures. Often he/she has little hard information and his/her judgment is continuously taxed.

He/she is called upon to identify and define situations that are potentially hazardous and to, at least, initiate a decision process as to whether the hazards are acceptable or not.



# Reliability analyses

Reliability approaches do not remove uncertainty nor do they alleviate the need for judgment. They provide a way to quantify the uncertainties and to handle them consistently.

Reliability approaches also provide the basis for comparing alternatives.

Site investigations, laboratory test programmes, limit equilibrium and deformation analyses, instrumentation and monitoring and engineering judgment are necessary parts of the reliability approach.



# 3 key questions

- How can reliability and risk concepts help to ensure adequate safety while achieving cost-effective designs?
- What are the advantages and challenges of the hazard, risk and reliability approach?
- Why aren't reliability and risk concepts used more today?



## With all its potential, why is "acceptance" of the reliability approaches slow?

- Reliability theory involves terms and concepts that are unfamiliar to geotechnical engineers. (We, who do such analyses, have to improve how we present the applications of reliability theory.)
- Hazard, risk and reliability applications were perceived to require advanced mathematics. Today, the tools to estimate mean, SD, PDF,  $\beta$  and  $P_f$  are standardized, well documented software that greatly facilitate the implementation of the methods in practice.



# Why is risk analysis accepted in concept, but takes time to be put in practice?

## Terminology

- no accepted definition
- “zero risk” and safety

## Concerns

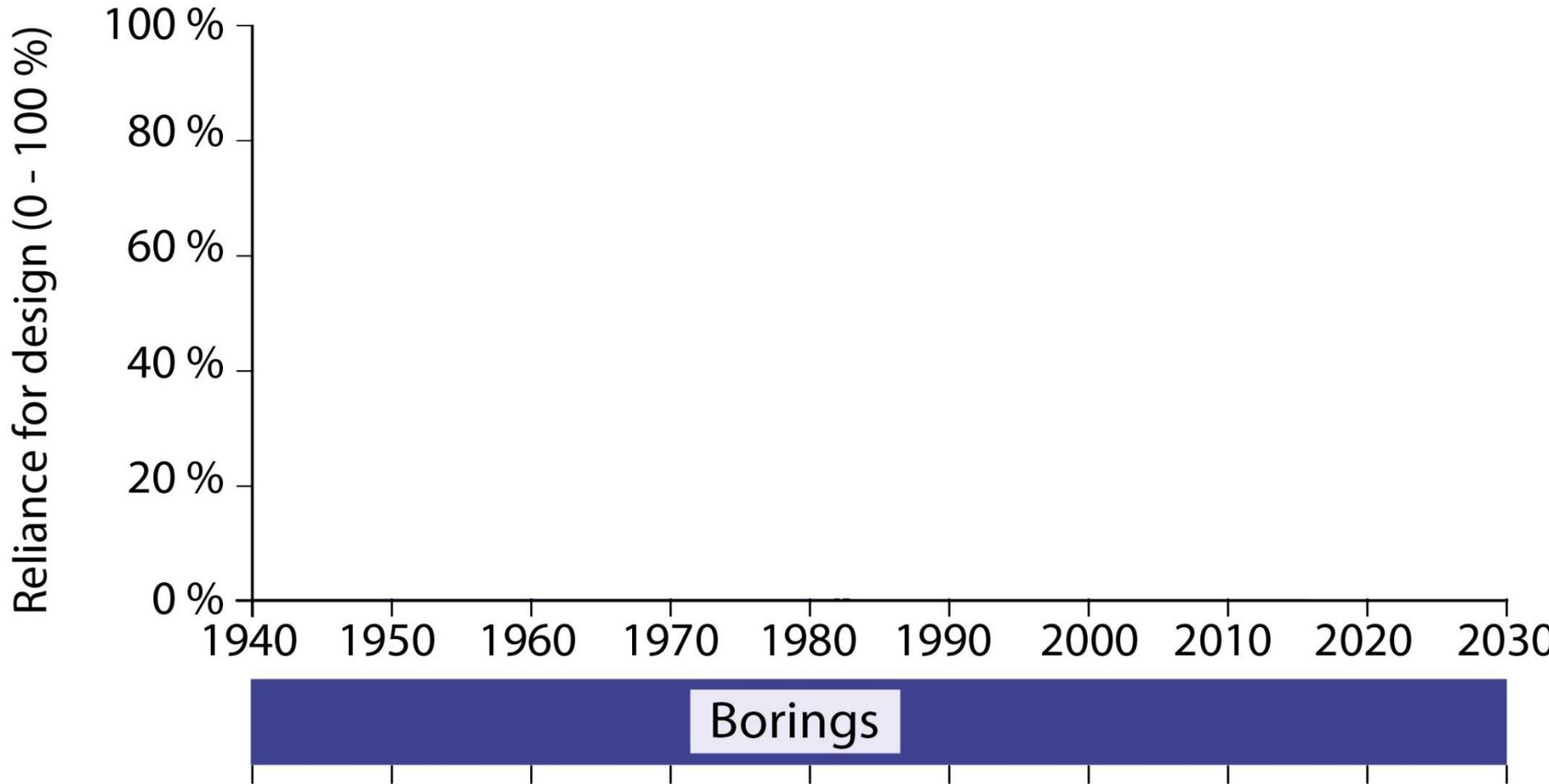
- Complexity/mathematics
- Accepting that there are uncertainties

## Distrust

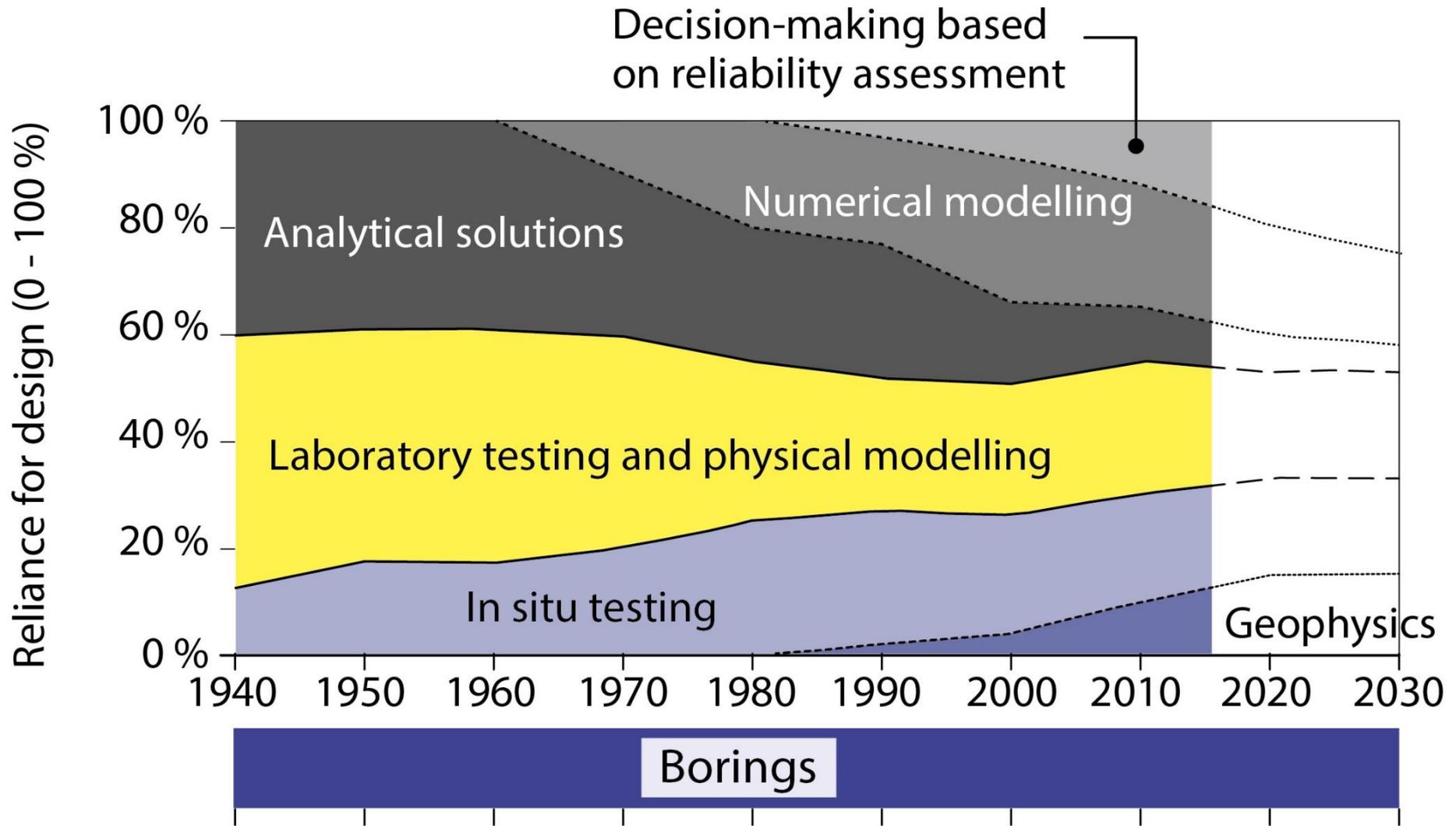
- Acceptable/tolerable risk values, and who decides?



# Evolution of geotechnical practice



# Evolution of geotechnical practice



# Deterministic and probabilistic analyses

Risk and probability tools have reached a degree of maturity and breadth that make them effective to use in practice. They provide more insight than deterministic analyses alone. They help reduce uncertainty and focus on safety and cost-effectiveness.

Integrating deterministic and probabilistic analyses in a complementary manner brings together the best of our profession.



Deterministic analyses  
give an impression of certainty;

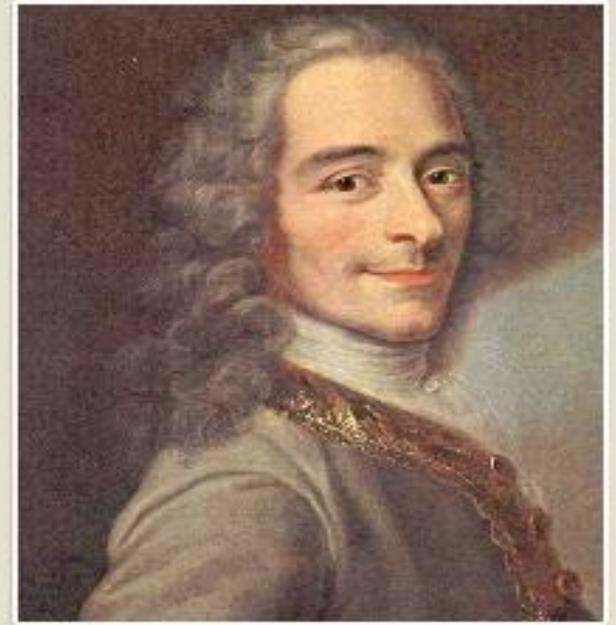
Probabilistic analyses  
complete the picture by making explicit  
the uncertainties and their effects;

For improved geotechnical practice,  
we need both.



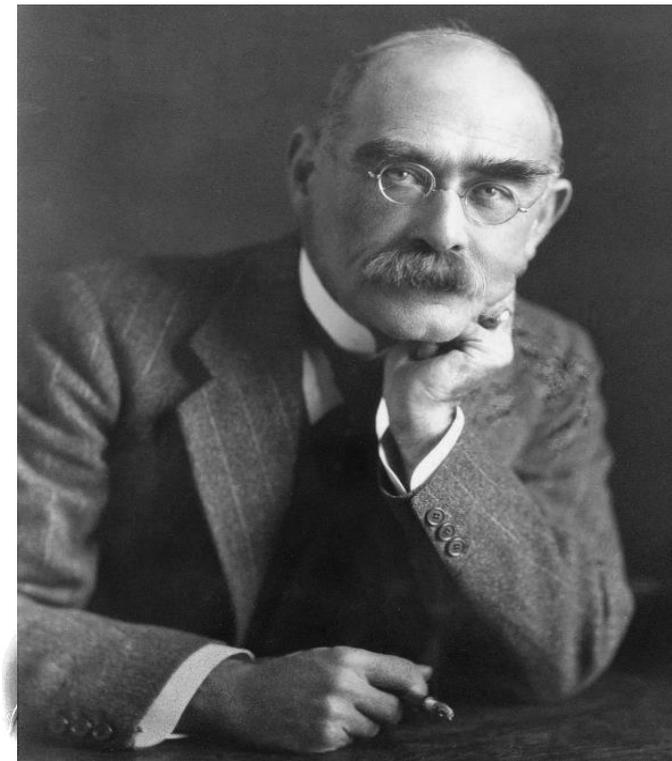
“Doubt is an uncomfortable condition, but certainty is a ridiculous one.”

Voltaire  
(1694-1778)



“A woman's guess is much more accurate than a man's certainty”.

Rudyard Kipling  
(1865-1936)



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