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2 **Magnitude and Frequency relations: are there geological** 3 **constraints to the rockfall size?**

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11 **Abstract.** There exists a transition between rockfalls, large rock mass failures and rock avalanches. The
12 magnitude and frequency relations (M/F) of the slope failure are increasingly used to assess the hazard
13 level. The management of the rockfall risk requires the knowledge of the frequency of the events but
14 also defining the worst case scenario, which is the one associated to the maximum expected (credible)
15 rockfall event.

16 The analysis of the volume distribution of the historical rockfall events in the slopes of the Solà
17 d'Andorra during the last 50 years, shows that they can be fitted to a power law. We argue that the
18 extrapolation of the F-M relations far beyond the historical data is not appropriate in this case. Neither
19 geomorphological evidences of past events nor the size of the potentially unstable rock masses identified
20 in the slope support the occurrence of the large rockfall/rock avalanche volumes predicted by the power
21 law. We have observed that the stability of the slope at the Solà is controlled by the presence of two sets
22 of unfavorably dipping joints (F3, F5) that act as basal sliding planes of the detachable rock masses. The
23 area of the basal sliding planes outcropping at the rockfall scars were measured with a Terrestrial Laser
24 Scanner. The distribution of the areas of the basal planes may be also fitted to a power law that shows a
25 truncation for values bigger than 50 m² and a maximum exposed surface of 200 m². The analysis of the
26 geological structure of the rock mass at the Solà d'Andorra make us conclude that the size of the failures
27 is controlled by the fracture pattern and that the maximum size of the failure is constrained. Two sets
28 of steeply dipping faults (F1 and F7) interrupt the other joint sets and prevent the formation of continuous
29 failure surfaces (F3 and F5). We conclude that due to the structural control, large slope failures in
30 Andorra are not randomly distributed thus confirming the findings in other mountain ranges.

33 1. Introduction

34

35 Rockfalls are widespread phenomena in mountain ranges, coastal cliffs, volcanos, river banks, and slope
36 cuts. Most of them take place in remote places, but they may cause significant damage in residential
37 areas and transport corridors (Hungre et al. 1999; Chau et al. 2003; Corominas et al. 2005). They are
38 extremely rapid processes that even in the case of small events, they exhibit high kinetic energies and
39 damaging capability (Turner and Jayaprakash, 2012).

40

41 Cruden and Varnes (1996) defined rockfall as the detachment of a rock from a steep slope along a surface
42 on which little or no shear displacement takes place. The detached mass experiences free fall and, after
43 impacting on the ground, it continues by bouncing and rolling. Strictly speaking, rockfalls are individual
44 blocks or relatively small rock masses that propagate without interaction between the most mobile
45 fragments (Hungre et al. 2014). Rock avalanche is a large rock mass volume that propagates as granular
46 flow, involving crushing and pulverisation of the particles (Scheidegger, 1973; Hungre et al. 2014).

47

48 Rochet (1987) distinguished: (i) falls of boulders up to few hundred of cubic meters, in which no
49 interaction exists between the rock fragments, which follow independent trajectories; (ii) rock mass fall
50 up to few hundreds of thousands of cubic meters in which the interaction between particles is weak as
51 they follow independent trajectories or soon they become independent. This sort of propagation is known
52 as fragmental rockfall (Evans and Hungre, 1993); (iii) very large rock mass fall ($>10^5 - 10^6 \text{ m}^3$) showing
53 strong interaction of particles within the moving mass with the development of internal pressures
54 (possible fluidification) and low energy dissipation; and (iv) mass propagation ($> 10^6 \text{ m}^3$) that progresses
55 mostly by a translational displacement. Differentiating between all these mechanisms is relevant because
56 rockfalls and fragmental rockfalls are modelled as ballistic trajectories while rock avalanches are
57 simulated as granular flows (Bourrier et al. 2013). The passage from a falling of independent particles
58 to a granular flow is gradual and both mechanisms can coexist in some events. The transition may take
59 place at volumes as small as $5 \times 10^4 \text{ m}^3$ (Davis and McSaveney, 2002) although other authors raise it up
60 to 10^7 m^3 (Hsü, 1978). The current practice shows that the agreement in using terms such as rockfall,
61 rockslide and rock avalanche has not yet been reached (Hungre et al. 1999; Chau et al. 2003; Dussauge-
62 Peisser et al. 2002; Guzzetti et al. 2003; Hewitt et al. 2008). In light of these considerations, in this paper
63 we will not consider any volumetric threshold between rockfall and rock avalanches, as recommended
64 by Turner and Jayaprakash (2012).

65

66 The management of the rockfall hazard may be based on the Quantitative Risk Analysis (QRA). The
67 QRA is a formal and structured framework that considers the probability and consequences for all the
68 credible hazard scenarios (Ho, 2004; Fell et al. 2008). The management of the rockfall risk is a
69 challenging task. There is a demand for assessing not only the hazard and socio-economic impact in the
70 short term but also for evaluating the consequences of large often unrecorded events. The UN/ISDR
71 (2004) introduced the concept of living with risk in order to develop strategies and undertake actions
72 oriented to the prevention and mitigation of the consequences in developed areas. Living with risk
73 requires the analysis of the potentially hazardous scenarios (Brundl et al. 2009) and in particular, the
74 scenario associated to the Maximum Credible Event (MCE).

75

76 The magnitude of landslide is expressed by either the area or volume (Corominas et al. 2014). The
77 former is widely used for landslides because they can be readily measured from maps, aerial photographs
78 or satellite images. The rockfall magnitude is usually expressed as the volume. Risk assessment requires
79 considering the probability or the frequency of different magnitude scenarios for landslides (Picarelli et
80 al. 2005; Rossi et al. 2010; Lari et al. 2014) and rockfalls (Hungr et al. 1999; Agliardi et al. 2009; Wang
81 et al. 2014). The frequency may be expressed as a simple cumulative or non-cumulative manner
82 (Guzzetti et el 2002) or as a frequency density (i.e. number of landslides of a given size divided by the
83 size of the bin) (Guzzetti et al. 2003, Malamud et al. 2004).

84

85 Landslides occurring in a specific study site may be characterized by magnitude-frequency relations
86 derived from the empirical data. These relations can be prepared using different approaches and data
87 sources (Picarelli et el 2005): landslide of different ages mapped at one time from aerial photographs
88 and field surveys (Guzzetti et al. 2002; Malamud et al. 2004); landslides for a defined time interval (i.e.
89 from successive aerial photographs); from triggering events such as rain storms or earthquakes
90 (Malamud et al. 2004); from continuous inventories (Hungr et al. 1999; Guzzetti et la. 2003; Rossi et al
91 2010). The M-F relations often follow a power law over a limited scale range, with deviations at both
92 high and low magnitudes (Brardinoni and Church, 2004; Guthrie and Evans, 2004). To explain the
93 positive exponent at smaller volumes, Stark and Hovius (2001) proposed a double Pareto distribution
94 while Malamud et al (2004) fitted an inverse-gamma distribution but in both cases the tail of the
95 distribution follows a power law.

96

97 A scale invariance of the M/F relation has been observed over several orders of magnitudes in landslides
98 and rockfalls, in different geological contexts and associated to different triggering events (Guzzetti et
99 al. 2003; Marques, 2008). Malamud et al. (2004) noted that rockfalls show a frequency-size distribution

100 different than the other types of landslides. This was attributed to the fact that rockfall involves the
 101 disintegration of the rock mass. Guzzetti et al. (2003), Dussauge et al. (2003), and Hergarten (2012)
 102 claimed that the negative exponent of the power law is similar for several rockfalls inventories. A wider
 103 review of the available literature indicates however that the scaling parameters of the power law for
 104 rockfalls may vary between 0.4 and 0.9 according to regional differences in structural geology,
 105 morphology, hydrology and climate (Barlow et al. 2012) (see also Table 1).

106

107 Table 1. Exponents of the power law fitted distributions obtained for different rockfall inventories

108

Reference	Location	Length of the record (yr)	Range of volumes fitted (m ³)	number of events N	Scaling parameter b
Hungr et al. 1999	Highway 99 British Columbia,	40	10 ¹ to 8x10 ⁸	390	-0.43
	BCR line	12	10 ⁰ to 10 ⁴	403	-0.4
	Highway 1		10 ⁰ to 10 ⁴	226	-0.7
	CP Line	22	10 ⁰ to 10 ⁴	918	-0.65
Gardner 1970 ^a	Lake Louis	Two summers	10 ⁻¹ to 10 ³	409	-0.72
Chau et al. 2003	Hong Kong, China			201	-0.87
Dussauge-Peisser et al 2002	Upper Arly, gorge French Alps		10 ⁰ to 10 ⁴	59	-0.45
	Grenoble, French Alps	60	10 ⁻² to 10 ⁶	87	-0.41
	Yosemite, USA	77	10 ⁰ to 10 ⁵	101	-0.46
Royán et al. 2015	Puigcercós, Spain	6.87	10 ⁻² to 10 ²	3096	-0.72
Wang et al. 2014	Feifeng Mountain, China	200	10 ⁰ to 10 ²	27	-0.62

109 ^a Cited in Hungr et al 1999

110

111 The fact that different sets of rock falls and rock slides exhibit the same magnitude-frequency relation
 112 has supported the idea that the frequency of large unrecorded events can be estimated by extrapolating
 113 the power law obtained for the small-size events provided that the record of the latter is complete
 114 (Dussauge-Peisser et al. 2002; Guzzetti et al., 2002, 2003; Picarelli 2005). This exercise raises the
 115 question on the range of validity of the extrapolation (Corominas and Moya, 2008). The analysis of the
 116 probability of occurrence of rockfalls along large cliffs is affected by uncertainties due to the different
 117 site-specific characteristics (Wang et al 2014), while the temporal resolution over which power laws can
 118 be applied is poorly constrained (Cruden and Hu, 1993).

119

120 The question posed here is to what extent the empirically-based models are capable to extrapolate short-
121 term observations to the spatial and temporal scales required for reliable rockfall risk management. This
122 requires the understanding of the scaling behaviour of rockfall processes. Two issues must be addressed.
123 The first one is that several authors (Picarelli et al 2005; Cascini et al. 2005; Corominas and Moya 2008)
124 argue that a major difficulty for the assumption of M/F invariance is whether the rate of landslide
125 occurrence will persist in the future. In that respect, Cruden and Hu (1993) noticed a decay in time of
126 the number of large landslides in the Canadian Rockies, that contradicts the stationarity implicit in the
127 power law. The second one is the definition of the largest volume that can be predicted with the
128 extrapolation of the M/F relations.

129

130 In this paper we attempt to address the last issue with the analysis of the rockfall activity in the Solà
131 d'Andorra, Eastern Pyrenees. We will first present the results of the F/M of rockfalls in Andorra using
132 historical data. Secondly, we will address the definition of a cut-off value for the size of the maximum
133 expected rockfall/rock avalanche event, and we will discuss the role of the geological factors in possible
134 constraining the maximum volumes.

135 **2. Rockfall hazard management in Andorra**

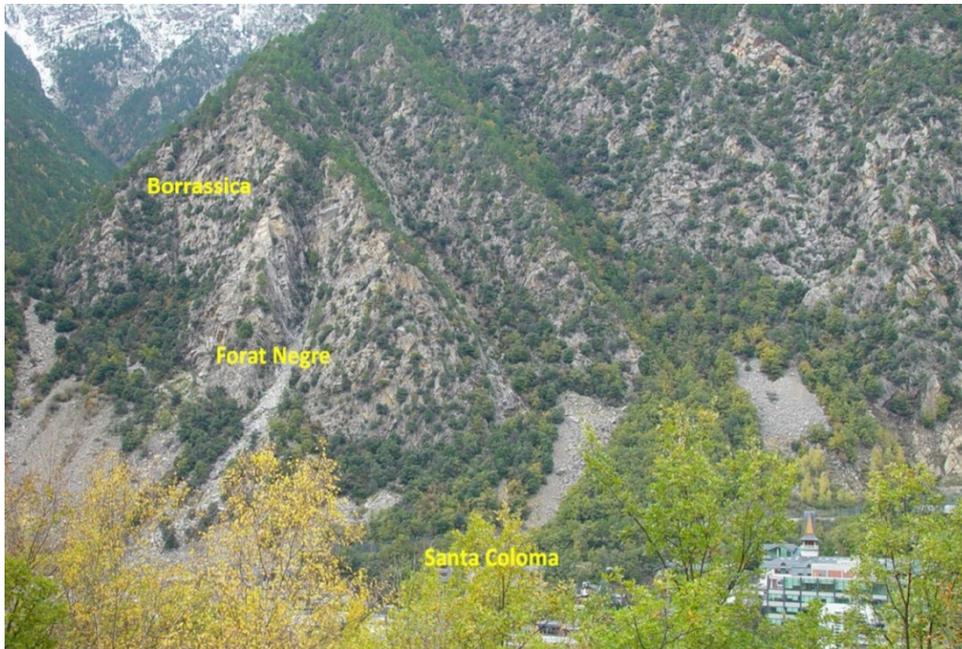
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137 The slopes of the Solà d'Andorra bound the right bank of the Valira d'Orient river in the Principality of
138 Andorra. This stretch of the valley is a basin that was deepened and widened by glaciers during the
139 Pleistocene. After the glacier retreat, a lake was formed and the basin filled with lacustrine, deltaic and
140 colluvial sediments up to a thickness of 100m. Nowadays it forms a 1km-wide alluvial valley (Turu et
141 al. 2007).

142

143 The Solà is the lower part of the Enclar massif (2383m), extending between the urban settlements of
144 Santa Coloma and Andorra la Vella. The rock mass is made up of highly fractured granodiorite and
145 hornfels. The slope is characterized by the presence of V-shaped couloirs alternating with steep walls
146 for a length of about 3km (Figure 1). The couloirs extend from 990 m to about 1300 m.a.s.l. The rockfall
147 activity at the Santa Coloma is associated to the granodiorite outcrops (about 2 km length) and has an
148 average frequency of 1 event bigger than 1m³ every 2 years. In the last decades (since the 1960s) the
149 maximum recorded rockfall events attained a volume of 1000 m³ in the Tartera de la Pica (April 1969)
150 and 150 m³ (April, 2008) in the chute of Forat Negre. The average annual rainfall precipitation is of
151 1071.9 mm. Although some events occurred after rainfall episodes, a direct relation between

152 precipitation and rockfalls could not be established so far (Copons et al. 2004). Freeze-thaw process
153 might also play a role for the onset of the failure.
154



155 Figure 1. The slope above the town of Santa Coloma and the chute of Forat Negre.
156

157 The efforts of the Andorran administration in the management of natural hazards began in the eighties
158 of last century (Corominas, 2007). The first global initiative took place between 1989 and 1991 with the
159 preparation of hazards maps at 1:25,000 scale, that included landslides and flood-prone areas. The main
160 impulse in management of the natural hazards was given by the Urban and Land-Use Planning Law
161 approved in 1998. The key points of this law in terms of hazard management are the following (Escalé,
162 2001): (a) the zones exposed to natural hazard cannot be developed; (b) local development plans must
163 take into account the presence of zones exposed to natural hazards; (c) the Andorra government will
164 commission both geological-geotechnical studies and hazard mapping. This means that the Andorra
165 government has to provide hazard inventories, hazard zoning and regulations for management of the
166 threatened areas. In those sites where hazard can be mitigated and reduced to an acceptable level, the
167 Andorran government will establish the requirements of the protective works that have to be undertaken.
168 After the implementation of the law, several studies were completed and among them: the Geotechnical
169 and Landslide Hazard Zoning Plan of Andorra (1999-2001). The purpose of the Plan was to identify,
170 locate and assess the natural hazards as well as the geological and geotechnical constraints that may

171 affect future construction works in the Andorran territory. The scale of work was 1:5,000 (Corominas,
172 2007).

173
174 In January 1997, a falling rock block hit a building in Santa Coloma, causing an injury. This event
175 persuaded the Andorran administration to implement the Rockfall Risk Management Master Plan
176 (RFMP) of the Solà d'Andorra which was completed in 1998 (Copons et al. 2004). This Plan established,
177 the restriction to the development in the most threatened sectors and it was published in the official
178 journal of the Principality in the year 2000. The RFMP, based on a rockfall trajectographic analysis,
179 defined an upper boundary line above which development is forbidden. Several existing buildings were
180 already within the exclusion area. For all these cases, the RFMP contemplated the design of rockfall
181 defenses (Copons et al. 2001). The cost of the protective works raised over 4.5 million euro (Escalé,
182 2001). After the construction of the fences several events have occurred with minor only consequences.
183 However, a residual risk exists as large rockfall events might not be fully retained due to excessive
184 energy or bouncing height (Corominas, et al. 2005).

185
186 The RFMP has been complemented with a Surveillance Plan that started in 1998. This Plan aimed at
187 (Amigó et al. 2001): (a) the inventory of the rock falls occurring in the valley side; (b) the update and
188 validation of the trajectographic models used to design the protective structures (rockfall paths, height
189 of bounces, among other parameters); and (c) the detection of possible large rockfall events (exceeding
190 thousands of m³). It is expected that before the large rock mass failure, premonitory signs such as the
191 increase the number of small rockfall events or the opening of new fractures, could be timely identified.

192
193 The risk management practice requires assessing the scenario associated to the maximum credible event
194 (MCE). The MCE is a very conservative estimate of the event considered sufficiently unlikely,
195 sometimes associated to a notional return period of the order of 1,000 years (Ho, 2004). In any case, it
196 should correspond to the largest event observed in historical data, geomorphological evidence in the area
197 and its vicinity and any other relevant evidence from similar terrain (Ho, 2004).

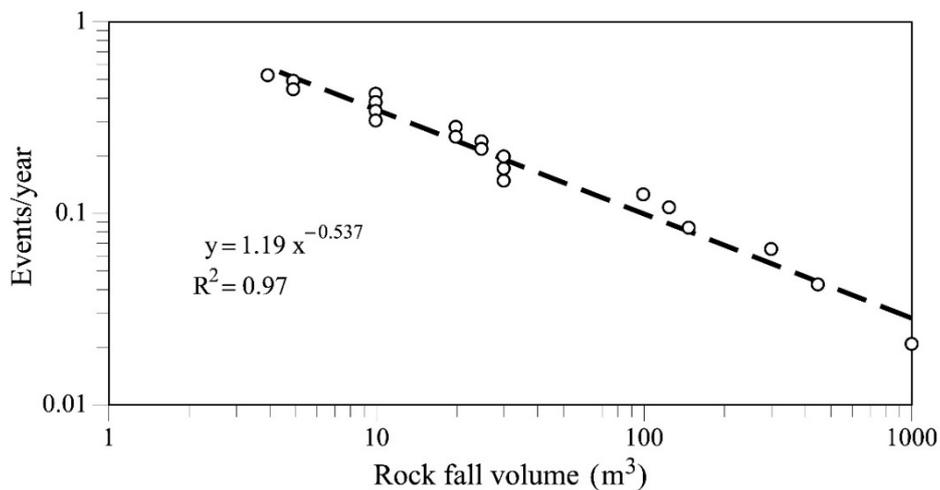
198
199 We have attempted to estimate the size of rockfall events that can be expected in the future. A 50-yr
200 length record of rockfall events bigger than 1 m³ is nowadays available in Andorra and can be considered
201 complete since 1999. This length is similar to the length used in other M/F studies (Hungri et al. 1999;
202 Dussauge-Peisser et al 2002). The record has been used for the construction of the M/F relation for the
203 Solà d'Andorra. Table 2 contains the historical rockfalls inventoried and their volumes, while the plot

204 of Figure 2 shows the relationship between the volumes and the cumulative frequency expressed as the
 205 number of events greater than a given volume per year.
 206

Location	Year of occurrence	source	Volume (m ³)	Largest block (m ³)
Canal de la Pica	1969	Copons, 2007	1000	60
Canal Ramenada	2012	MOT	450	
Canal de la Pica	20003	Copons, 2007	300	70
Forat Negre	2008	MOT	150	32
Canal de l'Alzina	1997	Copons, 2007	125	25
Canal Ramenada	End of 1960s	Copons, 2007	100	10
Roc Sant Vicenç	2002	MOT	30	14
Forat Negre	1968	Copons, 2007	30	7.5
Forat Negre	2009	MOT	30	7
Forat Negre	2004	MOT	25	4
Canal Coll d'Eres	1983	Copons, 2007	25	7
Forat Negre	2014	MOT	20	8
Cementiri	2011	MOT	20	1.3
Forat Negre	1984	Copons, 2007	10	1
Forat Negre	2002	MOT	10	2
Forat Negre	2003	MOT	10	2.3
Canal Boneta	2001	MOT	10	
Canal Boneta	2002	MOT	10	1
Canal de la Pica	1996	Copons, 2007	10	2
Canal de la Pica	2000	MOT	10	
Forat Negre	1994	Copons, 2007	5	
Forat Negre	1996	Copons, 2007	5	
Canal de l'Alzina	1999	Copons, 2007	5	
Forat Negre	2000	MOT	4	
Forat Negre	2001	MOT	4	

207
 208 Table 2. Historical rockfalls at the Solà d'Andorra and their volumes. The rockfall volumes of the boxes framed
 209 in pink are estimations based on the volume of the largest block observed. Source: Copons, 2007 and
 210 unpublished data from Surveillance Plan of the Ministry of Land Management (MOT).
 211

212 The inventory includes 25 cases since the late 60s of last century. The data before 1999 might not be
 213 complete and, in some events, the initial rockfall volume is not well known. For this reason, an estimate
 214 has been made (boxes highlighted in pink) from the descriptions available of the events.
 215



216
 217 **Figure 2.** Relationship between the volume (m³) of the inventoried rockfall event at the Solà and the cumulative
 218 relative frequency (N events larger than a certain size per year)

219
 220 The relation shown in Figure 2 fits well to the power law of Equation [1]:

221
 222
$$N = 1.193 \cdot V^{-0.537} \quad [1]$$

223
 224 Being N, the number of rockfalls per year exceeding the volume V.

225
 226 The extrapolation of this relationship to rockfall volumes much larger than the inventoried, would result
 227 in the frequencies and return periods for each range of volumes shown in Table 3.

228

Volume range (m³)	Fr (events/year)	Return period (years)
≥ 1	1.1933	0.84
≥ 10	0.3465	3
≥ 100	0.1006	10
≥ 1,000	0.0292	34
≥ 10,000	0.0085	118
≥ 100,000	0.0025	406

$\geq 1,000,000$	0.0007	1397
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229

230 **Table 3.** Cumulative frequencies and return periods obtained from the extrapolation of the power law fitted to
 231 the rockfalls observed at the Solà d’Andorra during the last 50 years.

232

233 The extrapolation of the power law defines a scenario in which cliff failures with a magnitude of a
 234 hundred of thousands of cubic meters (i.e. large rock slides or rock avalanches) have a recurrence period
 235 of about 400 years.

236

237 **3. Are there evidences supporting the extrapolation of M/F relation obtained at the Sola**
 238 **d’Andorra?**

239

240 A number of studies have shown that the occurrence of large rockslides and rock avalanches has
 241 geomorphic consequences which can be deciphered by means of the analysis of the landscape. Two
 242 main distinct features of rock avalanches are the deposits and the scar left at the source (Soeters and Van
 243 Westen, 1996; Hewitt, 2002; Ballantyne and Stone, 2004).

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245 **3.1 Rockfall deposits**

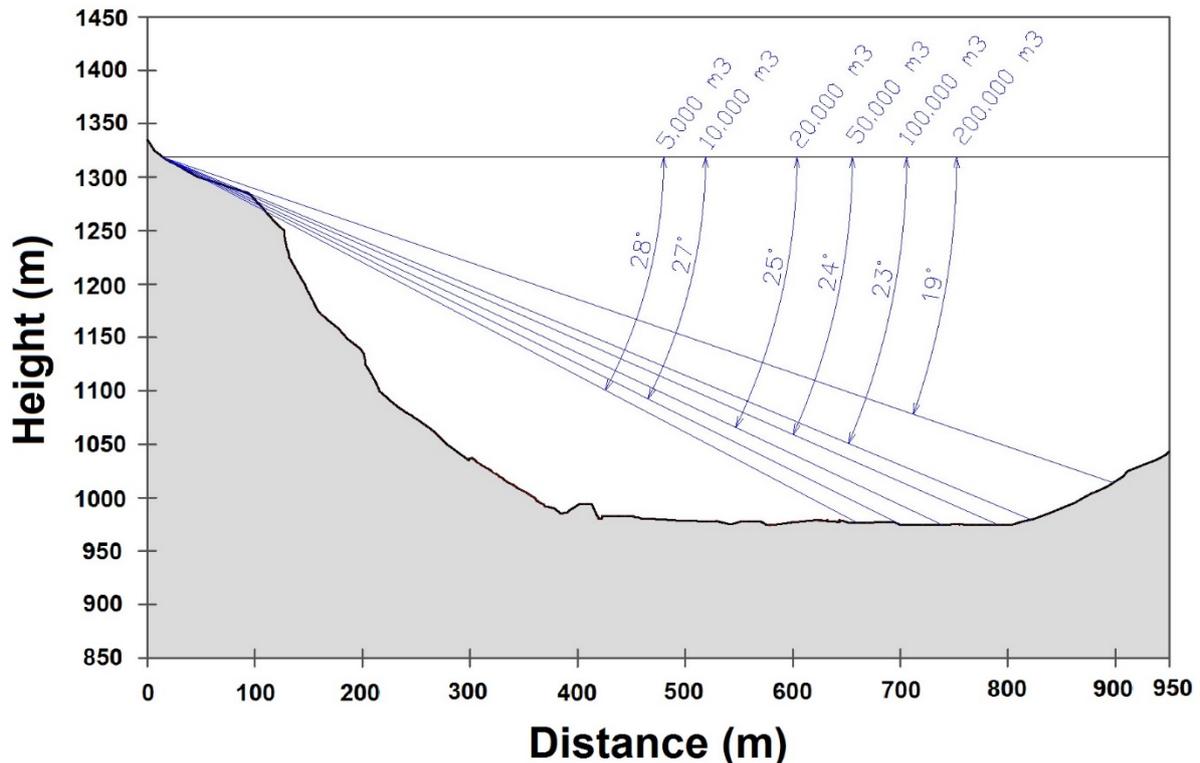
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247 Rock slide and rock avalanche deposits as old as tens of thousands of years remain blanketing the valley
 248 bottoms of the main alpine chains (Voight and Pariseau, 1978; Cave and Ballantyne, 2016; Crosta et al.
 249 2016). Some old rock-avalanche deposits are remarkably well preserved such as those of the Karakoram
 250 range (Hewitt et al. 2008) or in the northern Chilean coast (Crosta et al. 2016), partly due to semi-arid
 251 conditions of these regions. Others are less preserved because they run onto glaciers and became
 252 dispersed by ice flow or removed by the fluvial erosion (Hewitt et al. 2008). However, even in the latter
 253 case the deposits may remain for thousands of years.

254

255 The Valira d’Orient glacier resided in the Andorra la Vella basin until ca. 18 ka (Turu et al. 2016). After
 256 the glacier retreat any landslide or rockfall deposit would have emplaced on ice-free valley floor. At
 257 present, only talus deposits from rockfalls and the debris cones from debris flow events accumulate at
 258 the foot of the slopes, bounding plain of the Valira river. According to the results of Table 2, rockfalls
 259 of the order of 10,000 m³ should have occurred almost every 120 years and two events of 100,000 m³
 260 each millennium. However, the bottom of the the Solà d’Andorra lacks of debris deposits that could be
 261 associated with the release of a large rockfall or rock avalanche. In case they had occurred, the deposits

262 should lay over the alluvial plain of Santa Coloma. Figure 3 shows the topographic profile of the Santa
 263 Coloma slope, the alluvial plain of the Valira river, and the expected runout for different rockfall/rock
 264 avalanche sizes detached from the walls of the Solà d'Andorra. The runout has been determined using
 265 the equations for unobstructed rockfalls/rock avalanches prepared by Corominas (1996) and Corominas
 266 et al. (2003).



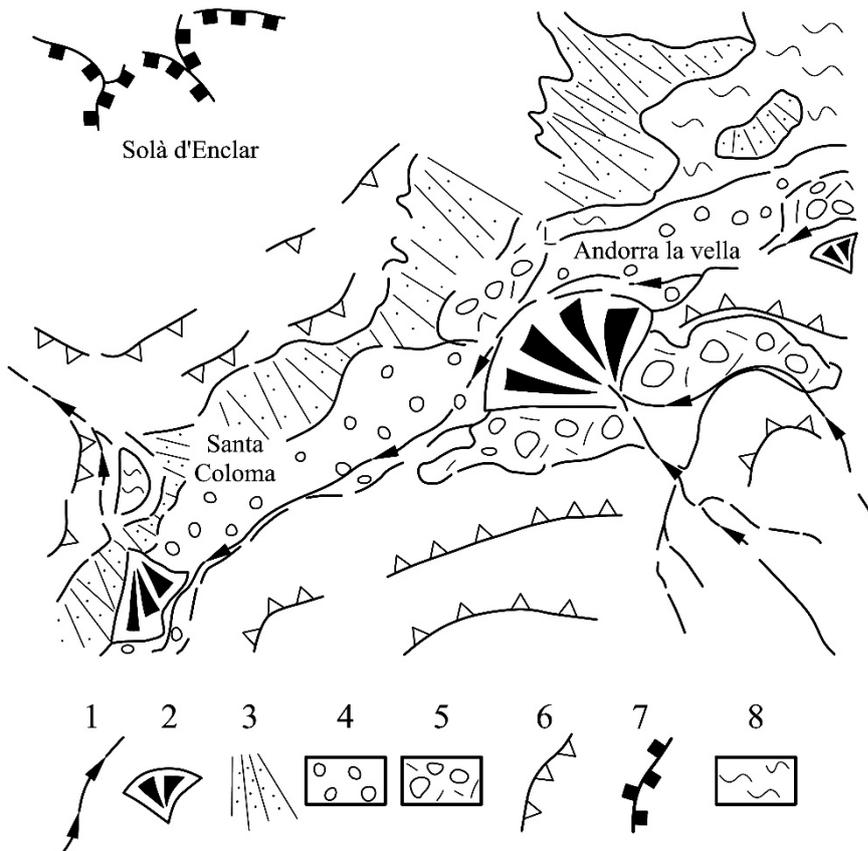
267
 268 Figure 3. Maximum runout that could be achieved by rockfall events with sizes between 5,000 and 200,000 m³
 269 originating from the slopes of the Borrassica in Santa Coloma if they had occurred in the past. The runout has been
 270 calculated following the criterion of reach angle for unobstructed rockfall events (Corominas 1996; Corominas et
 271 al. 2003)

272
 273 Based on the distances obtained shown in Figure 3, rockfall events of tens of thousands of cubic meters
 274 would blanket much of the valley bottom. In the event that the volume increased to 100,000 m³ or
 275 greater, the deposits would reach the opposite slope. However, in the historical archives of the valley
 276 there is no record of events of any of these sizes. Figure 4 is an aerial photograph taken before the
 277 extensive development of the basin of Andorra la Vella and Figure 5 is the geomorphological map
 278 prepared by Turu et al (2007). Both figures show the lack of rockfall/ avalanche deposits over the valley
 279 bottom. These type of deposits have not been found either in the boreholes drilled in the fluvial plane or
 280 in the interpretation of geoelectrical surveys carried out in the basin for hydrogeological purposes
 281 (Gutiérrez-Rodríguez and Turu, 2013).



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Figure 4. Aerial photograph of the Andorra la Vella basin taken in 1948.



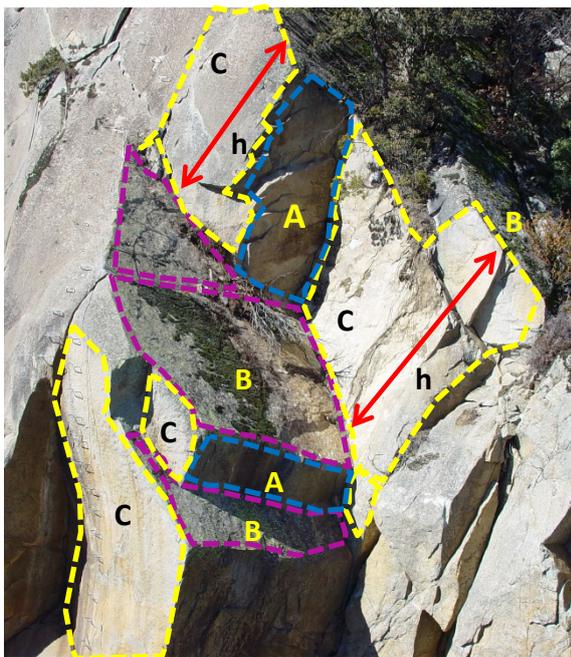
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Figure 5. Geomorphological map of Santa Coloma – Andorra la Vella – Les Escaldes: (1) stream, (2) debris fan, (3) talus deposit and colluvium, (4) alluvial deposit, (5) till, (6) reconstructed glacial margins, (7) glacial cirque, (8) hummocks (modified from Turu et al. 2007)

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3.2 Analysis of the rockfall scars

The availability of modern data capture techniques facilitates the analysis of the rockfall scars. Successive surveys with the TLS allow the identification and measure of the volumes missing from the rock wall (Rosser et al. 2007) and the preparation of M/F relations (Royan et al. 2014). We argue that cliff faces contain the record of rockfall events that occurred during the last hundreds or thousands of years. Each rockfall scar bounds the mass that was detached from the rock wall as a single or multiple events (Figure 6). Consequently, the volume distribution of the rockfall scars can be used as a quantitative proxy for the rockfall volume distribution. The scar volume distribution has been determined indirectly using a stochastic simulation based on the distributions of the observed basal areas and the scar heights (Santana et al. 2012).



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Figure 6. Rockfall scar defined by three intersecting joint sets. The detached block was resting on a basal plane (B) which is bounded by planes (A) and (C). The height of the scar (h) may involve several spacings

The dimensions of the rockfall scars can be determined from a point cloud obtained with a Terrestrial Laser Scanner, TLS. In the the Solà d'Andorra this was carried out at the slope of Borrassica-Forat

310 Negre, following the methodology of Santana et al. (2012). Eight joint sets present in the rock mass were
 311 first identified (F1 to F8). Four sets are directly involved in the formation of the scars (Table 4).

312
 313

314 Table 4. Dip direction and dip angle of the discontinuity sets that contribute to the formation of scars.

315	Dip direction (°)	Dip angle (°)	Role
316 F1	54	59	Lateral plane/tension crack
317 F3	157	56	Basal sliding plane
318 F5	182	47	Basal sliding plane
319 F7	141	89	Tension crack
320			



Discontinuity set	Dip direction (°)	Dip angle (°)	Role
F1	54	59	Lateral plane/tension crack
F3	157	56	Basal sliding plane
F5	182	47	Basal sliding plane
F7	141	89	Tension crack

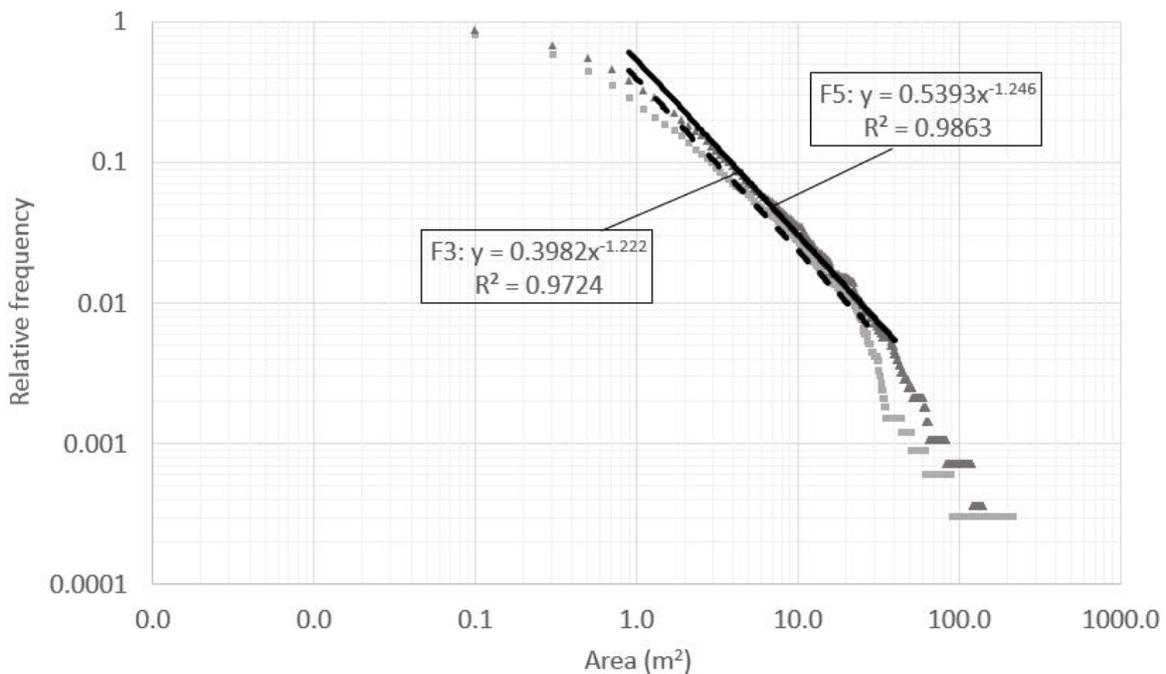
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 322 Figure 7. Stereoplot showing the joint sets involved in the formation of unstable volumes at the slope of
 323 Borrassica-Forat Negre. The slope is mostly oriented to 180° and has an overall slope angle of 67°

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The observation of historical events as well as the kinematic analysis of the fracture pattern (Figure 7) show that most of the rockfalls initiate by sliding of the detached rock mass over an unfavourable dipping discontinuity plane (F3 and F5). Each rockfall scar is therefore defined by a basal plane and two tension cracks (F1, F7 joint sets). The area of each discontinuity plane and the heights of the scars were obtained from the treatment of the point cloud generated with the TLS. The volume of the simulated rockfalls was generated stochastically by combining the measured areas and the scar heights following a Monte Carlo simulation approach. The procedure accounted for stepped failures sliding over parallel discontinuity surfaces spaced less than 0.2 m. It is assumed that each scar on the slope face corresponds at least to an event.

To simulate the size distribution of the missing volume from the scars, the points of the point cloud belonging to each sets were extracted and planes were adjusted to them. Afterwards, the areas were measured (Figure 8) as well as their maximum width (along the strike) and length (along the dip direction).



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Figure 8. Magnitude (area in m²) - Cumulative frequency of the discontinuity surfaces of the sets F3 and F5, calculated from the point cloud

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The areas of F3 and F5 (basal planes of the scars) were well fitted to a power law. The scar heights were measured as intersections of the tension cracks F1 and F7. Eventually, the size distribution of the scars was calculated past a Monte Carlo simulation by the multiplication of the scar areas with the scar heights (see details in Santana et al. 2012).

The results were fitted to the power law of Equation [2].

$$N (>V) = 1919V^{-0.92} \tag{2}$$

Where N is the number scars bigger than V and V, the volume of the scar in m³.

Five thousand scars were randomly generated, based on the observed distribution of the areas and heights, which is of the same order of magnitude of the number of scars identified on the point cloud in Borrassica-Forat Negre. The maximum scar volume calculated using this method is about 3000 m³. This volume is substantially smaller than the predicted with the extrapolation of the M/F relation of the historical rockfalls.

The analysis of large rockslides, show that the sliding surface may be a single plane or it may be composed of a series of sliding planes and lateral release surfaces with both down-dip and laterally stepped morphology as in the Aknes (Ganerot et al. 2008) or Palliser Rockslide (Sturzenegger and Stead, 2012). In the latter case, a composite surface is generated, which is characterized by a combination of low persistence discontinuities, cross joints and broken rock bridges. Steps can be as high as 35m (Sturzenegger and Stead, 2012). The approach followed by Santana et al (2012) in the slopes of Borrassica-Forat Negre has the restriction that only step path basal surfaces involving steps heights of less than 0.2m were considered.

3.3 Identification of massive rock mass failure scars

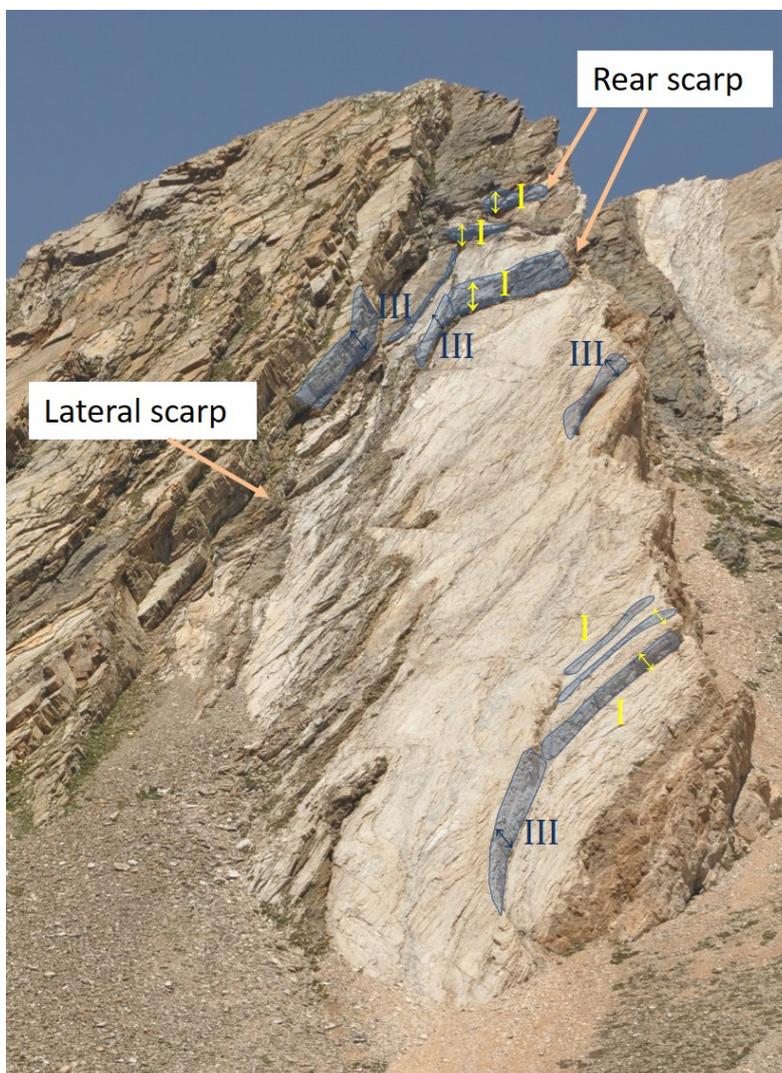
To check the possibility of occurrence of a large stepped failure at the Borrassica-Forat Negre slope in the past, we have looked for remnant of an old rockslide or rock avalanche scar in the slope. Source areas of large rock slides and massive rock failures are usually characterized by the presence of a more

380 or less continuous sliding surface that terminates against large lateral and or back release surfaces
381 forming prominent scarps (Cruden 1975; 1985; Eberhardt et al 2004; Willenberg et al. 2008;
382 Sturzenegger and Stead, 2012; Stead and Wolter, 2015). Lateral and back release surfaces can form by
383 the presence of cross joints, by the breakage of rock bridges or by the combination of both. In highly
384 unstable mountain fronts, adjacent scarps may coalesce to form large niches several kilometres length
385 (Crosta et al. 2016). These features can persist for millennia or even longer (Hewitt et al 2008).

386

387 The exposed basal sliding planes (failure surface) are therefore a reasonable indicator of both the
388 occurrence and size of rock slide (rock mass failure).

389



390

391 *Figure 9. Type I and III steps (Sturzenegger and Stead, 2012) formed at the down-dip and laterally stepped basal*
392 *failure surface of a rockslide at the Pic of Freser, Eastern Pyrenees, Spain*

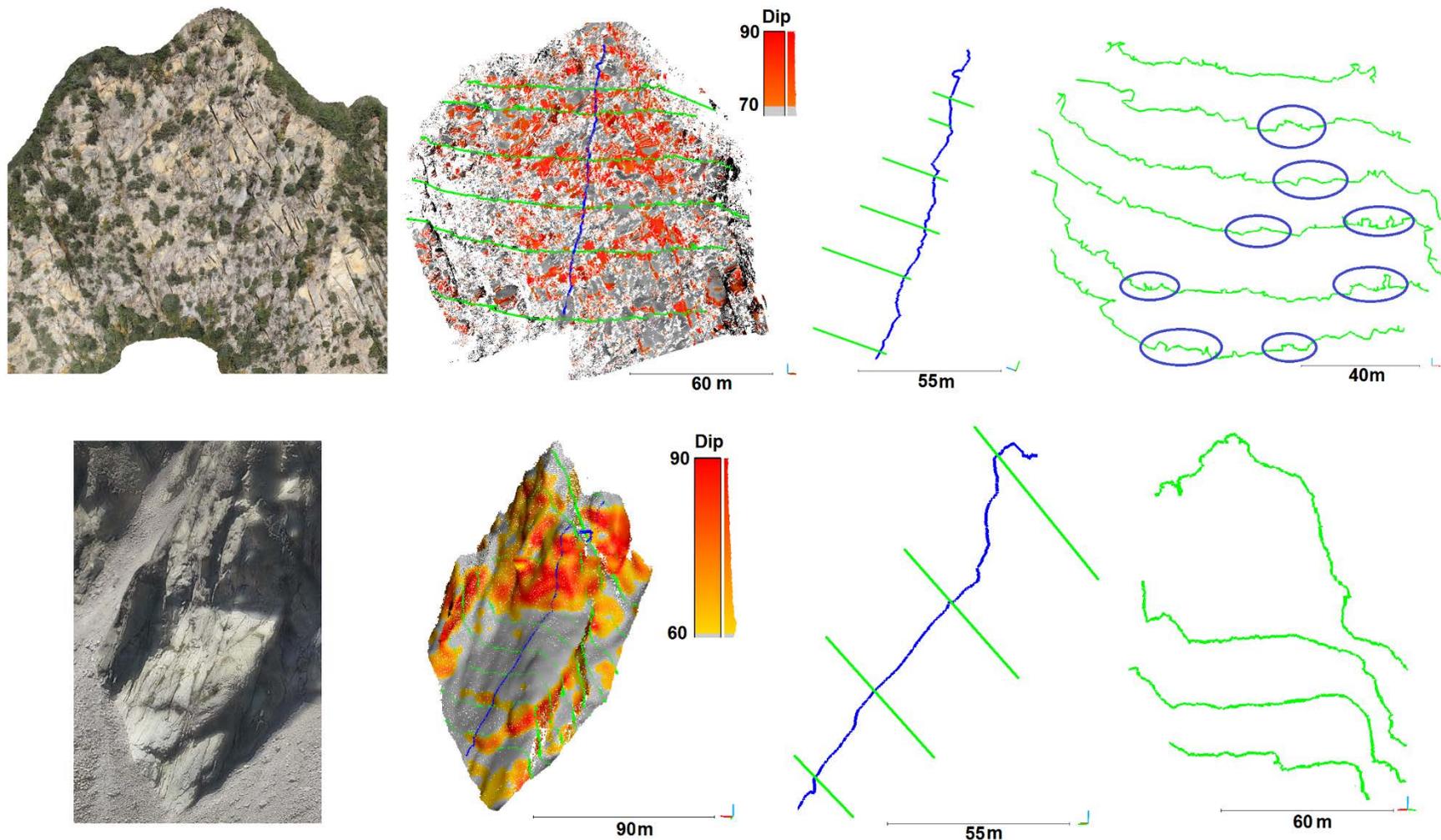
393

394 At the scale of the whole slope, both rear and lateral scarps and either single or step path sliding surface
395 may be identified as a distinct macro forms (*Figure 9*). The steps of the stepped sliding surfaces, can be
396 approximated as roughness features (Wolter et al. 2014; Stead and Wolter, 2015) that can be scaled
397 (Barton and Bandis, 1982).

398
399 We have attempted to fit a large step path surface at the slope of the Borrassica-Forat Negre, assuming
400 that the surface can be a down-dip (type I) or a laterally (type II) stepped basal failure surface or both.
401 We expect the large stepped failure to be composed of more or less parallel, relatively long, straight
402 stretches alternating with steps of different heights produced by F7 joint set. The direction of the
403 movement will follow the dip direction of either F3 or F5 joint sets. It may be also expected that lateral
404 steps (type III) may develop in a direction more or less parallel to F1 joint set. In this case, transverse
405 cross sections should show straight (almost horizontal) stretches alternating with the steps generated by
406 F1 joint set, similarly to what is shown in *Figure 10*.

407
408 We used the program CloudCompare to fit a large rupture surface to a sequence of down-dip stepped
409 planes and to obtain the cross-sections. As seen in *Figure 10*, it is not possible to adjust a large stepped
410 surface to Borrassica-Forat Negre slope because despite the longitudinal profile being compatible with
411 the presence of a large stepped surface, the transverse profiles suggest otherwise. The transverse profiles
412 show protuberances that prevent the definition of a sliding surface. We have included the profile
413 generated in the outcrop of Pala de Morrano in the Aigüestortes-Sant Maurici National Park, Central
414 Pyrenees, for comparison.

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416
417



418
 419 Figure 10. Top: profiles extracted from the point cloud of the slope of Borrassica-Forat Negre. Transverse sections exhibit protuberances that interrupt any
 420 possible large sliding surface. Bottom: profiles extracted from a point cloud in Pala de Murrano, Aigüestortes i Estany de Sant Maurici National Park, Eastern
 421 Pyrenees. The straight stretches of the step-path failure surface are clearly observable in both longitudinal and transverse cross-sections.

422 **4. Defining the maximum credible volume**

423

424 In risk management, the design of mitigation measures and the delimitation of the hazardous areas are
425 based on analyses for a range of expected potential rockfall volumes (Corominas et al. 2005; Abruzzese
426 et al. 2009; Agliardi et al. 2009; Li et al. 2009). The question posed in our work is what the range of
427 validity of the historical power law is and specifically, what the largest rock slope failure or maximum
428 credible event (MCE) can be in the Borrassica-Forat Negre slope. The MCE is usually characterized by
429 volumes of rock masses of several orders of magnitude greater than the events commonly observed in
430 the study area.

431

432 As already mentioned, power laws for rockfalls-rock avalanches have been verified by a range of
433 volumes spanning several orders of magnitude as in Yosemite, U.S.A. (Guzzetti et al. 2003) but in the
434 case of the Solà d'Andorra, the extrapolation of M/F calculated from the historical rockfalls is not in
435 agreement with the geological (Holocene) record. On the other hand, the maximum volume cannot be
436 unlimited. It is evident that for a given slope, the failure cannot exceed the size of the slope (Guzzetti et
437 al. 2002). In the Solà d'Andorra this would be the scenario of an unfavorably oriented fully persistent
438 discontinuity outcropping at the base of the cliff, crossing the entire massif. However, the largest
439 credible rockfall event is the reasonable largest event, not the largest conceivable event.

440

441 The analysis of the MCE for rockfalls is not a standardized procedure. In other scientific disciplines,
442 concepts such as the maximum credible earthquake or the probable maximum flood were already
443 introduced in the 90s. For earthquakes, the maximum credible event is the one that can be justified by
444 all the known geological and seismic data (US Bureau of Reclamation, 2015). The estimation of largest
445 hypothetical earthquake takes into account the characteristics of the fault or other seismic source and
446 the current tectonic setting. It can be evaluated either deterministically or probabilistically. As regards
447 the calculation of annual exceedance probabilities of maximum flood discharge, the use of data from
448 multiple sources is recommended. Moreover, procedures have been proposed to obtain the optimal range
449 for the credible extrapolation of the magnitudes and return periods (Swain et al. 2006). In these cases,
450 an upper boundary for the size of the maximum event is obtained.

451

452 We assume in our work that the MCE for rockfalls is the largest reasonably conceivable slope failure
453 that appears possible in the geographically contained slope, under the presently known or presumed
454 geostuctural and geomechanical setting. Several factors account for the occurrence of a slope failure of

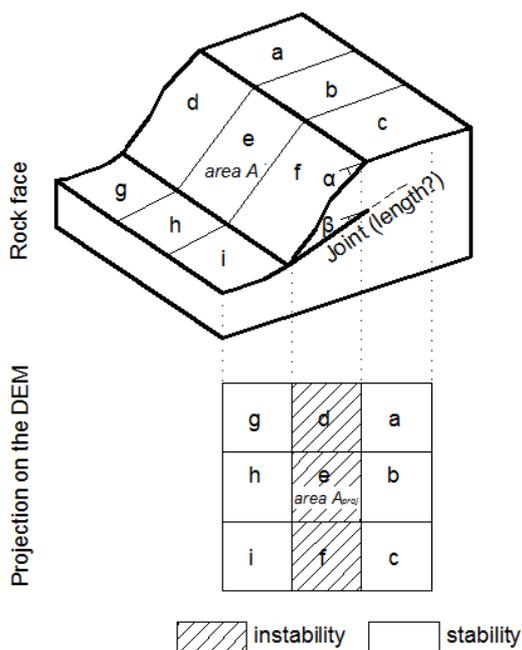
455 a given size, reflecting the complex interaction between the rock strength properties, the rock mass
 456 structure, the geomorphic context and the triggers.

457

458 **4.1 MCE based on a simple kinematic analysis (Markland test)**

459

460 As mentioned, the rockfall events in the Solà d'Andorra are mostly governed by the presence of
 461 unfavorably dipping joint sets (the discontinuity sets F3 and F5). The potential of a large slope failure
 462 generated by this structural setting has been analyzed by Mavrouli et al (2015) and Mavrouli and
 463 Corominas (2017). They carried out an analysis aimed at identifying large kinematically detachable rock
 464 masses on a Digital Elevation model, DEM. The potentially unstable volumes were detected by checking
 465 the compliance of the joint sets with the Markland criteria at every cell. Adjacent unstable cells on the
 466 DEM, were merged to form larger unstable zones (Figure 11).



467

468 Figure 11. Rock wall and its projection on the mesh of the Digital Elevation Model. It assumes infinite lateral
 469 persistence of the unfavourable joint sets. Thus, adjacent cells which meet the requirements of the Markland test
 470 merge to form a single kinematically movable rock mass. (from Mavrouli et al. 2015)

471

472

473 The volume of the detachable masses was calculated from the kinematically unstable slope area
 474 assuming either cubic or prismatic shape. A power relation between the area and the volume is used,
 475 similar to the empirical relations found in the literature (Guzzetti et al. 2009, Klar et al. 2011). The
 476 distribution of the potential rockfall volumes was calculated. The largest volumes obtained are of the

477 order of 50,000 and 25,000 m³ for cubic and prismatic volumes respectively. The largest basal area was
478 estimated at 1,361 m².

479

480

481 The results may be fitted to the power laws of Equations [3] and [4].

482

$$483 \quad N (>V) = 817.74V^{-0.572} \quad [3]$$

$$484 \quad N (>V) = 952.42V^{-0.546} \quad [4]$$

485

486 For cubic and prismatic shapes, respectively and volumes $V > 100 \text{ m}^3$

487

488 Where N is the number of scars bigger than V and V, the volume of the scar in m³.

489

490

491 ***4.2 MCE based on discrete potentially movable volumes***

492

493 We have here approached the assessment of the MCE using an alternative way. In this procedure, we
494 identified and calculated the volume of real rock spurs resting on unfavourable dipping basal planes
495 (F3 / F5 sets) of the Borrassica-Forat Negre slope, with several unconstrained faces. The basal sliding
496 surfaces are actual outcropping discontinuities that have been identified one by one. The surfaces have
497 been extracted from the TLS-generated point cloud and confirmed with digital photos. A similar
498 approach was used by Gigli et al. 2014.

499

500 The calculation of the volumes has been made with the program Rhinoceros. We have followed these
501 steps:

502

503 1) Identification of rock spurs having at least three unconstrained slope faces (front, upper, and
504 lateral), permitting mobilization.

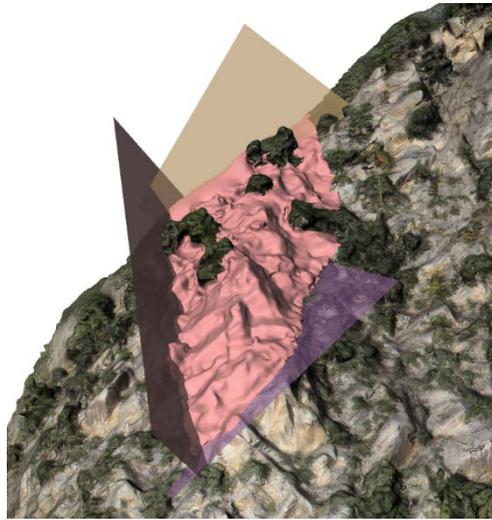
505 2) Location of both the basal and lateral discontinuity planes that bound the rock spur and
506 definition of the volume of the rock mass.

507 3) Estimation of the volume of the rock mass formed by the intersection of these discontinuity
508 planes with the surface topography.

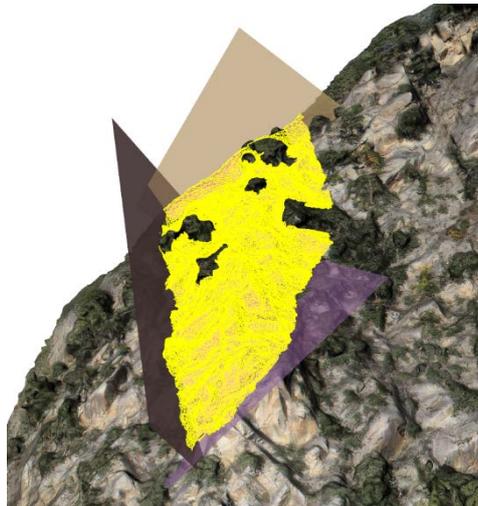
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510 An example of the procedure followed is shown in the Figure 12 (A to C).

511



512



513



514

515 Figure 12. (A) Identification and definition of the rock spur volumes kinematically detachable at the Borrassica
516 and Forat Negre slope. Each volume is delimited by real discontinuity planes observed in the slope and at least,

517 three unconstrained faces; (B) Extraction of the of rock mass volume defined at (A). The in the back (brown), is
518 just an auxiliary plane used to bound the mass and calculate the volume; and (C) Representation and calculation
519 of the volume of rock mass defined at (A). In this case, the calculated volume is 9900 m³

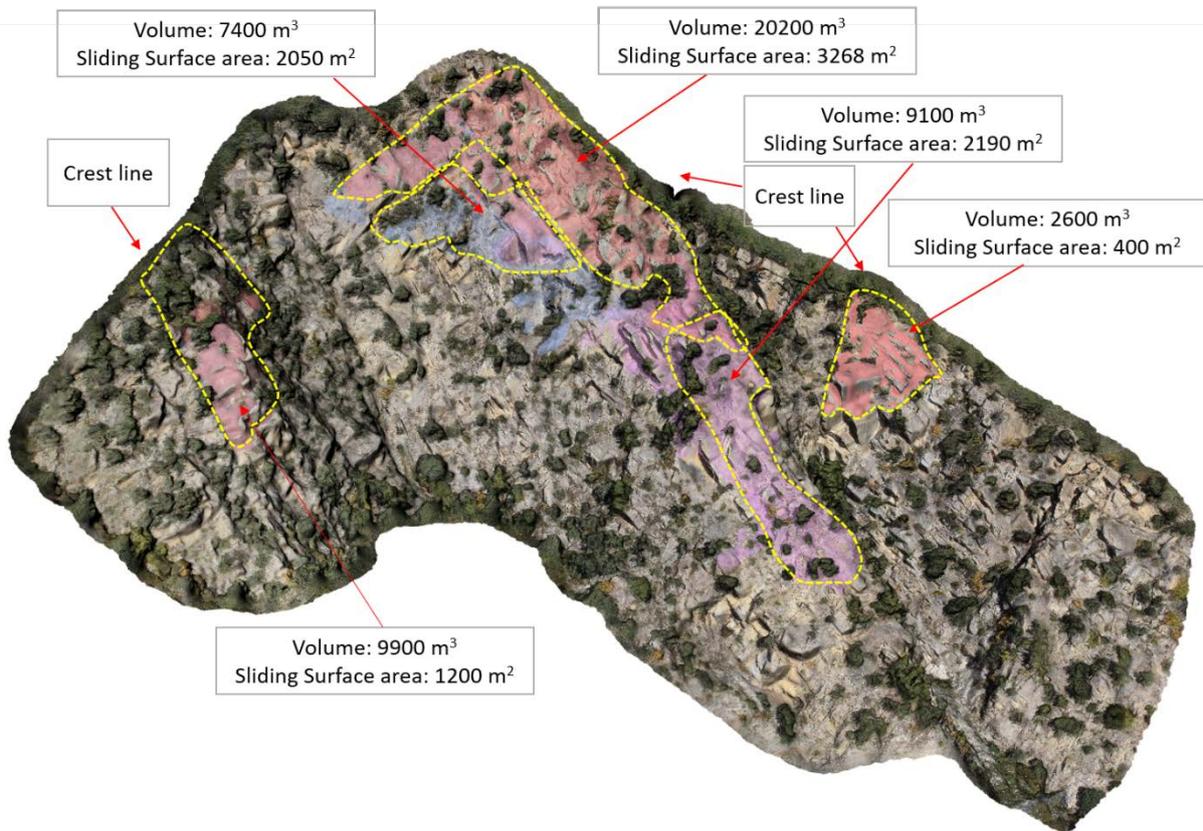
520

521 Following this procedure, we have characterized the five largest rock volumes of the Borrassica slope
522 resting on a basal plane, matching with the orientations of F3 or F5 joint sets whose outcrops have been
523 double-checked in the photographs (Figure 13). These volumes are bounded by the topographic surface
524 only except the one of 7400m³ which is interrupted by the highly persistent F1 and F7 joint sets, that
525 form high scarps around the detachable mass. In the latter case it is assumed that the basal plane
526 maintains its continuity under the rock mass until intersecting the persistent planes of the F1 and F7
527 joint sets or the topographic surface on the other side of the ridge are intersected. Table 5 shows the
528 geometric characteristics of the volumes identified.

529

530

531



532

533 Figure 13. Texturized point cloud showing the largest volumes of rock spurs defined at the slope of Borrassica-
534 Forat Negre

535

536
537

Roc spur	Basal plane area (F3 or F5 set) (m ²)	Volume of the rock mass (m ³)
BO-01	400	2600
BO-02	2190	9100
BO-03	3268	20200
BO-04	2050	7400
BO-05	1200	9900

538

539 Table 5. Volumes of the rock spurs identified at the slope of Borrassica – Forat Negre

540

541 We compared the volumes and basal areas of the rock spurs with the volumes estimated from the
542 theoretical criteria of the Markland test used in the previous section. While the largest basal area
543 identified from the Markland test is about 1300 m², the basal area of rock spurs is significantly bigger
544 (up to 3270 m²). However, the calculated volumes of the rock spurs are much smaller. This is due to the
545 assumptions made in Mavrouli et al. (2015) on the persistence of the sliding planes and for converting
546 areas to volumes. This supports the argument that the procedure used to calculate volumes with the
547 simple kinematic approach overestimates the volume of potentially unstable rock masses and may set
548 the highest bound for the MCE. Using this new approach (of 5 volumes), the volumes that we obtain are
549 lower than the 50,000 m³ calculated previously.

550

551 The size distribution of scars obtained in equation [1] is the empirical evidence of rockfall events that
552 have occurred in the past. However, the kinematically movable rock masses from individual rock spurs
553 are scenarios that might occur in the future. Comparing the size of the largest volume calculated from
554 the scars (approximately 3,000 m³) and that of the most prominent rock spur (20,000 m³) or of the rock
555 wall under the criteria of the Markland test (50,000 m³) is one order of magnitude. Although the
556 difference is remarkable, it is worth noticing that none of the procedures used is capable to justify the
557 volumes extrapolated from the F-M relation of Figure 2.

558

559 The areas of the basal planes under the rock spurs may reach up to > 3200 m². However, planes of this
560 size are not observed in the basal plane of the scars, as the maximum surface measured for a basal plane
561 of rupture is 213 m² (Mavrouli and Corominas, 2017), and cannot be justified either by fitting large
562 planes to stepped down-dip adjacent planes.

563

564 An interesting detail of the area distribution of the planes measured with TLS (Figure 8) is that a
565 truncation of the power relationship (area - cumulative frequency) occur for both F3 and F5 joint sets,
566 which causes a significant reduction of the number of planes over 100 area m² in relation to what is
567 expected from the corresponding power law.

568

569 The truncation of the relationship is not fictitious as it applies to areas that have actually been identified
570 and measured. Truncation may have a geological reason as it will be discussed in the next section. The
571 truncation or deviation from the trend is also observed in other rockfall records, thus reducing the
572 frequency of large rockfalls several orders of magnitude in relation to the provisions of the power law
573 (Hungre et al. 1999; Guzzetti et al. 2003; Böhme et al. 2015).

574

575 **5. Role of the geological structure**

576

577 Lithology, structure and erosion history (i.e. glacial steepening and debutressing) are predisposing
578 factors of rock slope failures (Evans and Clague, 1988). The role of the geologic structure for the
579 generation of large rockslides and avalanches is well documented in the literature. The fracture pattern
580 frequently facilitates the kinematic release of large slope failures (Guzzetti et al., 1996; Agliardi et al.,
581 2001, 2009b; Badger, 2002; Massironi et al., 2003; Ambrosi and Crosta, 2006; Stead and Wolter, 2015).
582 The sliding planes of large slope failures often develop along pre-existing planar features in the rock
583 mass such as bedding planes, exfoliation joints, faults or cleavage dipping unfavourably towards de
584 valley (Hermanns and Strecker, 1999; Keller, 2017) although in some regions this is not a requisite for
585 the development large slope slope failures (Jarman, 2006; Cave and Ballantyne, 2016). On the contrary,
586 the role of the geologic structure in constraining the size of the rock slope failures is less known.

587

588 In the Borrassica Forat Negre slope, Mavrouli and Corominas (2017) observed the frequent interruption
589 of the basal planes (discontinuities F3 and F5) at their intersection with the tension crack and lateral
590 release planes F7 and F1, respectively, which prevent the formation of large failures. Using independent
591 procedures, they showed that the distribution of the exposed lengths along the dip of the F3 and F5
592 planes are similar to the distribution of the spacings of planes of F7. Furthermore, the analysis of the
593 largest exposed lengths of F3 and F5 showed that, in some cases, a stepped sliding surface can be formed,
594 which can be up to four times longer than the maximum spacing of F7. This fact suggested that in the
595 Forat Negre slope, the failure surface may also generate by coalescence of several (although few)
596 unfavourable dipping F3/F5 joints and/or by brittle failure of minor rock bridges. Some of these cases

597 were identified on photos (Figure 14). The maximum volume will therefore depend on the length of the
598 basal plane and on the resistance of the rock bridges, if any.
599



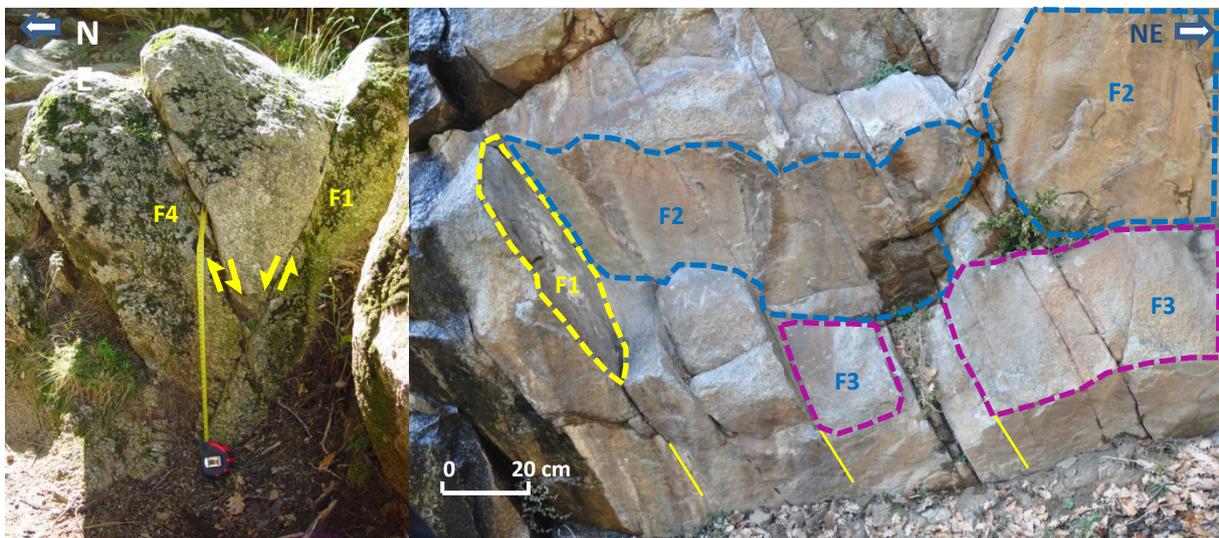
600
601 **Figure 14.** Rockfall scar of April 20th, 2008. The failure developed over several adjacent down-dipping planes
602 (F3) generating a stepped sliding surface (black solid line). Steps are formed F7 planes (yellow dashed polygons)
603 and broken rock bridges. The failure is bounded laterally by planes of F1 set.
604

605 We performed a structural analysis of the joint sets of the Forat Negre looking for the reason of the
606 interruption of the kinematically unstable joint sets that could justify the greater b-value of the scar
607 volume distribution and a cutoff value for the largest expected volume. The field survey was carried out
608 in the slopes of the granodiorite massif of Borrassica and Forat Negre, aiming at determining the relative
609 chronology of the tectonic features affecting the rock mass (**Figure 15**). It was performed at key

610 outcrops where discontinuities are well exposed. The outcrops were studied by combining scanlines and
611 detailed structural observations. It is found that set F6 was formed first as it is affected by other sets that
612 interrupt and displace its planes. A second phase is characterized by sets F2 poorly identified with
613 LiDAR and merged with F7. They should be interpreted as conjugate faults with F7. F3 is a joint set
614 that could be associated to this phase. It shows high scattering and undulation with amplitude up to
615 20cm. The last phase is characterized by the occurrence of F1 and F4, which include both very persistent
616 conjugate faults and joints that interrupt the rest of sets.

617 Fault sets (F1, F7) have a twofold role: they often interrupt and displace F3 and F5 joint sets; at the same
618 time, they act as weak zones facilitating the formation of both the lateral and back release surfaces of
619 the sliding rock masses.

620



621

622

623 Figure 15. (left) Outcrop of conjugated faults F4 and F1; (right) intersection of planes of sets F1, F3 and F2

624 (from Corominas et al. 2017)

625

626 6. Discussion

627

628 We argue that we should not expect a random distribution of large landslides, in particular large
629 rockslides and rock avalanches. In some regions there may exist a truncation for large volumes (upper
630 size limit) and that geological factors may partially explain this behaviour.

631

632 7.1 Spatial distribution of large slope failures

633

634 Rock slope failures (RSF) is a term coined frequently found in geomorphological studies that
635 encompasses three main slope instability forms (Ballantyne, 2002; Jarman, 2006; Cave and Ballantyne,
636 2016): catastrophic failures in the form rockslides, rock avalanches and major toppling; deep-seated
637 gravitational slope deformations; complex failures involving two or more of the above. In the main
638 mountain belts, RSF are often considered as paraglacial, implying that failure was preconditioned by
639 the preceding episode of glaciation and deglaciation (Ballantyne, 2002; McColl, 2012). Despite a number
640 of studies have focused on RSF, the knowledge of their distribution at a regional scale, timing and causes
641 is still incomplete. The spatial analysis of the RSF suggests that a relation exists between the occurrence
642 of the failures and the type of geological structures, the lithologies involved, and the inherited glacier
643 relief/geomorphological setting (Jarman, 2006) or the triggers (Cave and Ballantyne, 2016; Crosta et al.
644 2016).

645

646 Regional inventories of large RSF have shown that:

647

- 648 a) RSF are uneven spatially distributed (Whalley et al 1983; Jarman 2006; Jarman et al. 2014;
649 Strom 2015; Keller, 2017)
- 650 b) Greater density of occurrence on some susceptible lithologies (Cave and Ballantyne, 2016) but
651 this is not a requisite in other locations (Strom, 2015)
- 652 c) Some events are recurrent in the same location (Shang et al. 2003; Hermanns et al. 2004; Evans
653 et al. 2009; Delaney and Evans, 2015; Strom, 2015; Crosta et al. 2016)
- 654 d) Some regions are relatively rockslides-free areas (Strom, 2015).

655

656 Literature review shows that the density of landslides varies from one region to another and large rock
657 slope failures are not evenly distributed in mountain regions. Jarman (2006) found in the Scottish
658 Highlands that 65% of the large slope failures were concentrated in seven main clusters while the rest
659 were non-randomly scattered. In Iceland, large rockslides occur almost entirely on (within) a particular
660 lithological unit (Tertiary lavas), particularly in locations where the lava layers dip towards the valley
661 (Whalley et al. 1983).

662

663 The first comprehensive study of large-scale rock slope failures in the Eastern Pyrenees where the Solà
664 d'Andorra is located, identified 30 main large slope failures and further 20 smaller or uncertain cases
665 (Jarman et al. 2014). The inventory did not show any obvious regional pattern or clustering and a
666 surprisingly sparse population that affects 45–60 km² or 1.5–2.0% of the 3000 km² glaciated core of the
667 mountain range and neighbouring fluvial valleys. From them, only 27% can be considered as large

668 catastrophic events (rock or debris avalanches) and none of them were located in the Valira river valley.
669 For comparison, in the Alps, 5.6% of the entire 6200 km² montane area is affected by deep-seated
670 gravitational slope deformations alone (Crosta et al. 2013) and up to 11% in the Upper Rhone basin
671 (Pedrazzini et al (2016). This sparsity has been interpreted by a low-intensity glaciation and less
672 subsequent debuttrressing, relative tectonic stability and small fluvial incision (Jarman et al. 2014). When
673 compared to other mountain ranges, the Pyrenees have been less steepened and incised by the
674 Pleistocene glaciers. The slopes in the Valira valleys commonly rise 1000m from valley bottoms,
675 reaching a maximum of up to 1400m. In the Karakoram, the Southern Alps of New Zealand and in the
676 Pacific Coastal Ranges of USA and Canada, the slopes usually rise 3000m and some may attain more
677 than 6000m (Hewitt et al. 2008).

678

679 *7.2 Truncation of the power laws*

680

681 Many natural processes are described by power law distributions such as fault displacements (Kakimi,
682 1980), fault trace length (Bonnet et al 2001), earthquakes (Gutenberg and Richter, 1954). Data collected
683 to measure the parameters of such distributions only represents samples from some underlying
684 population. Without proper consideration of the scale and size limitations of such data, estimates of the
685 population parameters, particularly the exponent of the power law, are likely to be biased (Pickering et
686 al. 1995). As stated by Hovius et al. 1997, extrapolating short-term geomorphic observation to time
687 scales pertinent to landscape development requires an understanding of the scaling behaviour of the
688 processes involved, in particular the magnitude and frequency with which they occur (Wolman and
689 Miller, 1960; Hovius et al. 1997). All power law and fractal characteristics in nature must have upper
690 and lower bounds (Bonnet et al. 2001).

691

692 All the evidences suggest that an upper limit to the size of the slope failures in the Sola d' Andorra might
693 exist. These observations are consistent with the findings of Hergarten (2012), who applied a simple
694 model for rock detachment in the Alps, Southern Rocky Mountains and the Himalayas. He found a
695 breakdown of the power law distributions at large events. Large slope failures occur less frequently than
696 predicted by the power laws and the size at which the cut-off takes place, varies from one region to
697 other. Furthermore, the size of largest event at each region may differ more than one order of magnitude.
698 These differences were attributed to the different geologic and climatic contexts although a detailed
699 work was not carried out. Clarke and Burbank (2010) compared the occurrence of rock slope failures in
700 Fjorland and western Southern Alps in New Zealand. These two regions are subjected to similar climate
701 but different uplift rates and lithologies. They observed that despite failures initiate on slopes steeper

702 than the modal hillslope angle in both regions, the frequency-magnitude distributions revealed one order
703 of magnitude difference, being considerably smaller and less frequent in Fiorland. These authors
704 conclude based on geophysical surveys that the dense geomorphic fracturing in Fiorland appears to limit
705 the depth and magnitude of the slope failures. Conversely, in the Southern Alps, fractures are more
706 pervasive and result in larger and deeper landslides.

707

708 The incompleteness of the record or the use of different criteria for fitting of the power laws to the
709 volume distributions may therefore produce significant differences in the estimation of the frequency of
710 large events.

711

712 ***7.3 Role of the geological factors***

713

714 The assumption of spatial random distribution of the slope failures overlooks the basic geomechanical
715 prerequisites (rock strength, fracture pattern, relief,...) for failure (Selby, 1992; Jarman, 2006) as it is
716 evident that some geological contexts (i.e. steeply dipping discontinuities or weak lithologies) favour
717 the occurrence of the slope failures. Tectonic damage has also been accounted for several stepped large
718 rock slope failures (Brideau et al 2009). In our work, we argue that the fracture pattern (geological
719 context) of the Solà d' Andorra plays a key role in constraining the size (defining the cutoff size) of large
720 rock slope failures. Fault sets (F1, F7) have a twofold role: they interrupt the continuity of the planes of
721 the F3 and F5 joint sets; at the same time, they act as weak zones facilitating the formation of both the
722 lateral and back release surfaces of the sliding rock masses.

723

724 It is also evident that other factors can be accounted for. In alpine mountain glacial and fluvial incision
725 of the valley bottoms causes steepening of the valley slopes that induces slope failures (Selby, 1980). In
726 tectonically active regions, the sustained rock uplift and valley incision perpetuates this process and
727 results in a landslide-dominated landscape (denudation) (Burbank, et al. 1996). The analysis of the slope
728 angles distribution in tectonically active mountain belts has shown that there exists threshold conditions
729 of slope inclination or height at which they fail readily because of limitations in material strength (Korup
730 et al. 2007).

731

732 Therefore, the scarce number of large rock slope failures and rock avalanche deposits in Andorra should
733 not be considered an exception. Low density of RSF has been also observed in Scotland (Cave and
734 Ballantyne, 2016)

735

736 **7. Conclusions**

737

738 This paper through the analysis of the rockfall occurrence at the rock wall of Borrassica-Forat Negre of
739 the Solà d'Andorra addresses the validity of the extrapolation of the M-F relations obtained far beyond
740 the temporal window used for their preparation. We argue that despite the M-F relation is well fitted,
741 there exist no evidences supporting the occurrence of large slope failures (larger than 100,000m³) in the
742 Solà d'Andorra at least, during the last 10,000 years. Neither rockslide/rock avalanche deposits were
743 found in the Valira river valley bottom nor evident large detachment scars (rockfall cavities) are
744 identified in the rock walls from the analysis of the TLS-generated point cloud of the outcropping
745 surfaces.

746

747 According to the geo-structural analysis (fracture pattern) and the geomorphological evidences, the most
748 predominant slope failure mechanism is planar sliding. The largest continuous exposed sliding surface
749 has an area of 200 m² while the M-F relation of the surfaces measured is truncated at around 50m². The
750 volume distribution of 5000 rockfall scars generated stochastically by combining the measured areas of
751 the basal sliding surfaces and the scar heights, which may cover a time span of several thousands of
752 years, yielded a maximum rockfall scar volume of 3000 m³ (Santana et al. 2012). No evidences have
753 been found that could justify the occurrence of a large stepped failure in the past.

754

755 Two independent procedures have been applied to measure the size of the kinematically detachable
756 rockfall masses according to Markland instability criteria (Mavrouli and Corominas 2017) and the size
757 of rock spurs lying over unfavourable dipping joints that have been assumed as highly persistent. The
758 largest volumes identified are of a few tens of thousands of cubic meters only. These results are
759 consistent with the absence of rock slide or rock avalanche deposits at the bottom of the Andorra la
760 Vella basin.

761

762 The detachment of large rock masses via a continuous surface is prevented by the geological structure.
763 The interruption of the sliding planes by two orthogonal highly persistent sets of faults (F1 and F7),
764 restrict the development of large rock mass volumes. The volume restriction can be overcome to some
765 extent either by coalescence of basal planes or through step-path failures involving the breakage of rock
766 bridges. This situation however, will necessarily involve smaller volumes than in the case of fully
767 persistent basal joints. Because of this, we conclude that the maximum credible volume for Forat Negre
768 is significantly smaller than the expected from the basic kinematical analysis of the rock slope. The latter

769 was estimated between 25,000 and 50,000 m³ (Mavrouli et al .2017). The case of Andorra provides
770 empirical evidence that rockfall could be size-constrained due to the geological structure.

771
772 The lack of large slope failures in this reach of the Valira river valley should not be considered as an
773 anomaly because several studies in mountainous ranges worldwide have demonstrated that large
774 rockslides and rock avalanches are not randomly distributed in the space and that local geological and
775 geomorphic conditions exert some control on the development of the slope failures.

776
777 Based on all these considerations, we conclude that the M-F relations should not be exported from one
778 region to another without taking into account the particular characteristics of the involved slopes.

779

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