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1 **DEM simulation of mortar-bolt interface behaviour subjected to shearing**

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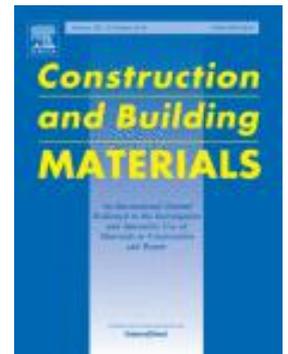
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14  
15 **Highlights**

16 1. A DEM model was established to investigate the micro-macro behaviours  
17 of mortar-bolt interface subjected to shearing.

18 2. This study allows detailed observations of mortar-bolt  
19 interface debonding and mortar rupture.

20 3. The effects of particle size distribution and bolt profile configuration on  
21 simulation results were discussed.

22 4. The simulation results were validated against experimental measurements.

## 23 **Abstract**

24 In this study, a 3D DEM model containing a mortar-bolt interface subjected to  
25 shearing was established in the context of the simplified rock bolt model  
26 (SRBM) proposed in a companion paper. The DEM model was calibrated  
27 against a series of laboratory experiments to reproduce the mechanical  
28 characteristics of a cement mortar with a uniaxial compressive strength of 30  
29 MPa. The DEM simulation has led to a detailed observation and an in-depth  
30 understanding of the mode II progressive debonding of the mortar-bolt  
31 interface and subsequent mortar rupture (due to mechanical interlocking). In  
32 addition, the effects of particle size of mortar and profile configurations of  
33 rebar bolts (i.e., different rib spacings and rib heights) on simulation results  
34 were discussed. The numerical findings in the study were validated against  
35 laboratory measurements and a broad agreement was observed.

## 36 **1. Introduction**

37 Fully grouted rebar bolts have been widely used in the support of fractured  
38 rock masses in civil and mining engineering applications due to their proven  
39 efficacy and relatively low costs. The inherent strength of a fractured rock  
40 mass can be dramatically improved if a suitable rebar bolt is selected and  
41 properly installed [1]. Rock bolting has been of interest to practitioners and  
42 academics and has thus been studied for quite some time. It is well accepted  
43 that the supporting capacity of a fully grouted rebar bolt is largely dominated  
44 by its load transfer capacity, which relies on the shear strength of the mortar-  
45 bolt or mortar-rock interface and the mechanical interlocking between mortar  
46 and bolt ribs [2,3].

47 Laboratory and in-situ pull-out experiments are often conducted to understand  
48 the rock bolting mechanism [1,2, 4–9]. It has been identified that debonding  
49 failure of the mortar-bolt interface often occurred for a fully grouted rock bolt,  
50 which is mainly due to the lower adhesive strength of the mortar-bolt interface  
51 in comparison with that of the mortar-rock interface. Fig. 1 presents a  
52 laboratory-reproduced example of the debonding failure of a mortar-bolt  
53 interface. Nevertheless, the progressive debonding process and subsequent  
54 mortar-bolt interactions which are not readily achievable and observable in  
55 current experimentation are still not well understood, although some attempts  
56 exist [5,10]. It is therefore imperative to investigate the micro-mechanism  
57 underlying the mortar-bolt interactions subjected to shearing.

58 In the past decades, some analytical models have been developed to  
59 investigate the mortar-bolt interactions, including the well-known bond  
60 strength model (BSM) [11], tri-linear bond-slip model (TLBSM) [12] and  
61 interfacial shear stress model (ISSM) [13]. Ren et al. [14] proposed a closed-  
62 form solution for a better understanding of the debonding mechanism of the  
63 mortar-bolt interface. Ma et al. [15] presented an analytical model for a further  
64 understanding of the mechanical interaction at the mortar-bolt interface. Cao  
65 et al. [2] analytically investigated two major failure modes (i.e., parallel shear  
66 failure and dilational slip failure) that often occurred at the mortar-bolt  
67 interface. Although those analytical studies have led to a deeper  
68 understanding of the rock bolting mechanism, they largely ignored the  
69 influence of profile configuration of rebar bolts, which is fundamentally  
70 important to the supporting capacity (in the sense of the mechanical  
71 interlocking) of a rock bolting system [2]. Additionally, the existing analytical

72 models are unable to account for three-dimensional deformation of bonding  
73 materials (i.e., mortar), which is also important for a realistic understanding of  
74 the mortar-bolt interaction mechanism.

75 To date both continuum-based numerical methods [16–19] and discontinuum-  
76 based numerical methods [20–22] have been used in the numerical study of  
77 mortar-bolt interactions. For example, Li [23] investigated the interactions  
78 between steel bolt and concrete based on the finite element analysis,  
79 ABAQUS. He et al. [17] proposed and implemented a unified rock bolt model  
80 (URBM) into the two-dimensional discontinuous deformation analysis (DDA).  
81 The URBM can simulate the debonding process of the mortar-bolt and mortar-  
82 rock interfaces at large displacement although the accuracy is mesh-  
83 dependent due to the DDA code. Wang et al. [24] investigated the micro-  
84 macro failure mechanisms of a bolted joint using the discrete element method  
85 (particle flow code 2D). The continuum-based numerical methods have the  
86 limitation of investigating micromechanical behaviour of a rock or a solid  
87 material, thus the micro-mechanisms underlying the failure process cannot be  
88 known [25]. On the contrary, discontinuum-based numerical methods allow an  
89 explicit investigation and observation of the micro-crack initiation and  
90 propagation, which are more suitable for capturing the micromechanical  
91 behaviour of a rock bolting system.

92 There exist several models which are based on the Discrete Element Method  
93 (DEM) for investigating the micro-macro behaviours of solid materials, for  
94 example the Universal Distinct Element Code (UDEC), the Particle Flow Code  
95 (PFC), and YADE. The DEM is a discontinuum-based numerical technique  
96 that defines solid materials as rigid blocks or particles. Comparing with the

97 block-based DEM (such as UDEC), the particle-based DEM (such as PFC  
98 and YADE) discretizes solid materials as rigid particles through which the  
99 number of degrees of freedom can be decreased, thereby increasing the  
100 computational efficiency [26]. The PFC has some additional advantages over  
101 other particle-based DEM models. First, it can conveniently model fracture  
102 initiation and propagation; moreover it has resolved the intrinsic limitation of  
103 the particle-based DEM models (i.e., the low compression-to-tensile strength  
104 ratio due to the inadequate interlocking between spherical particles) by  
105 implementing the Flat Joint Contact Model (FJCM) which can provide efficient  
106 grain interlocking [26]. Furthermore, the PFC allows a detailed description of  
107 the interface/joint sliding behaviour by implementing the Smooth Joint Contact  
108 Model (SJCM). See a further discussion on this point in Section 3.1. Hitherto  
109 the PFC has been widely used in the investigation of the micro-macro failure  
110 mechanisms of solid materials, including anisotropic rocks [27], coal [28],  
111 porous concrete [29,30] and cement mortar [31,32]. As such, the PFC was  
112 used in the present study to investigate the mortar-bolt interface behaviour.

113 The primary aim of the study is to explore the micro-mechanisms underlying  
114 the mortar-bolt interactions. A DEM model was constructed based on three  
115 main assumptions: (1) the bond strength of mortar-rock interface is much  
116 stronger than that of mortar-bolt interface; (2) the possible chemical effect of  
117 the cement composition on the micro-structure of the steel bolt surface is  
118 ignored for simplification; and (3) the elongation and twisting of the rebar bolt  
119 are not considered (see detailed discussion on these assumptions in the  
120 Discussion section). The DEM model was calibrated against a series of  
121 laboratory experiments on a cement mortar to reproduce its mechanical

122 characteristics. Simulated results based on the DEM model have been  
123 validated against laboratory measurements. This study allows a combined  
124 micro- and macro-scale observation of mode II progressive debonding of the  
125 mortar-bolt interface and subsequent rupture of the mortar (due to mechanical  
126 interlocking).

## 127 **2. Laboratory experiment**

128 A simplified rock bolt model (SRBM) was recently proposed by Yokota et al.  
129 [33] to investigate the mechanical and deformable behaviours of mortar-bolt  
130 interfaces in the laboratory. Fig. 2b shows a schematic diagram of the SRBM  
131 from a portion of a fully grouted rebar bolt. In the SRBM, the dark area on the  
132 bottom represents a small section of the rebar bolt (Fig. 2b), while the light  
133 area stands for the mortar. The terminologies for the profile configuration of  
134 the rebar bolt are included in Fig. 2b. In the experiment, the rebar bolt  
135 deformed along the direction as shown by the red arrows and the mortar was  
136 fixed. The simulation performed in this study is aimed at exploring a further  
137 understanding of the laboratory experiments performed on the SRBM in a  
138 direct shear configuration [33]. For clarification, in this section, the sample  
139 preparation and experimental setup procedures are briefly reviewed.

140 In the laboratory setup, block samples with three different rib angles (i.e.,  
141  $\beta=30^\circ$ ,  $60^\circ$  and  $90^\circ$ , respectively, see Fig. 3) were prepared and each sample  
142 comprised of a cement mortar (top) and a rebar bolt (bottom). The mortar  
143 used in the samples was a mixture of sand (the grain size ranges from 0.2 to  
144 0.3 mm), cement, additive and water with a ratio of 10:9:1:6.5 by weight. The  
145 mixing and casting processes were carefully controlled and the casted mortar

146 samples were left at room temperature for 15 days to make sure that the  
147 mortar samples have identical mechanical properties. Some of the  
148 mechanical properties of the mortar are listed in Table 1. The rebar bolts  
149 (steel blocks in Fig. 3) were specially manufactured for the experiments and  
150 their profile configurations were determined according to the specifications of  
151 the rebar bolts typically used in Japan [33]. As shown in Fig. 3, the rib height  
152 ( $R_h$ ) and rib spacing ( $R_s$ ) of all tested laboratory samples remain constant,  
153 which are 2 and 17.8 mm, respectively; while the average rib width ( $R_w$ ) varied  
154 with the rib angles. A portable shear box (model: PHI-10) was used in the  
155 direct shear tests and illustrated schematically in Fig. 4. A vertical load was  
156 applied on the top by a hydraulic jack and it was kept constant during the test.  
157 A shear load was applied at a constant velocity of 0.1 mm/s at the bottom of  
158 shear box by another hydraulic jack. Two linear variable differential  
159 transformers (LVDT) were installed to measure the vertical and horizontal  
160 displacements. A high-speed and compact camera was used to capture the  
161 failure processes of the mortar samples in the experiment. Tests were  
162 conducted up to a normal stress of 4 MPa that is the equivalent of 150~200 m  
163 of rock, which therefore is adequate for most civil engineering projects [34].  
164 The laboratory investigation revealed the macro-failure mechanism of the  
165 mortar-bolt interface under direct shear and captured the failure process of  
166 the mortar from the sample appearance [33]. As discussed in Introduction, it is  
167 also important to understand the micro-failure mechanism underlying the  
168 experimental observations, which are not achievable from the current  
169 laboratory study. A numerical study is therefore presented in the following

170 sections to facilitate a deeper understanding of the mortar-bolt interactions,  
171 thereafter improving the bolt profile optimisation.

### 172 **3. DEM model establishment**

#### 173 3.1 The Particle Flow Code and contact models used in the study

174 The Particle Flow Code (PFC 3D), which implements the DEM technique, was  
175 used in this study. In PFC 3D, the micro-structure of a solid material is  
176 constructed and represented by an assembly of rigid particles that are bonded  
177 (cemented) together at their contacts [35].

178 To date two types of bonded contacts are available in PFC 3D, i.e., the Linear  
179 Parallel Bond Contact Model (LPBCM, see Fig. 5a) and the Flat Joint Contact  
180 Model (FJCM, see Fig. 5b). The main difference between these two types of  
181 contacts arises from the way of interface connecting between adjacent  
182 spherical particles. The LPBCM (also termed as the Standard Bonded Particle  
183 Model, SBPM) represents the interfacial connect as a single bond element at  
184 the entire interface and the interface will vanish after the bond breakage (see  
185 the orange parallel bonds in Fig. 5a). The mechanism of force and moment of  
186 LPBCM is described by Eqs. 1 to 4.

$$187 \quad \Delta F_n = k_n A \Delta \theta_n \quad (1)$$

$$188 \quad \Delta F_s = -k_s A \Delta \theta_s \quad (2)$$

$$189 \quad \Delta M_n = -k_n J \Delta \theta_n \quad (3)$$

$$190 \quad \Delta M_s = -k_s I \Delta \theta_s \quad (4)$$

191 where  $\Delta F_n$  and  $\Delta F_s$  are increments of normal and shear forces and  $F_n > 0$  is  
 192 tension.  $\Delta M_n$  and  $\Delta M_s$  are increments of components of parallel-bond moment;  
 193  $k_n$  and  $k_s$  are normal and shear stiffness of the parallel bond;  $\Delta \delta_n$  and  $\Delta \delta_s$  are  
 194 increments of normal and shear displacement, respectively;  $J$  and  $I$  are polar  
 195 moment and moment of the cross section of parallel bond and  $A$  is the cross-  
 196 sectional area of bond. The tensile and shear strength of the parallel-bond  
 197 can be calculated using Eqs. 5 and 6. The parallel bond will break if applied  
 198 stresses exceed the tensile or shear strength of bond, thus failure of rock can  
 199 be simulated in either tension or shear.

$$200 \quad \sigma = \frac{F_n}{A} + K \frac{|M_s|R}{I} \quad (5)$$

$$201 \quad \tau = \frac{F_s}{A} + K \frac{|M_n|R}{J} \quad (3D) \quad (6)$$

202 where  $\sigma$  and  $\tau$  are tensile and shear stresses of the parallel-bond periphery;  
 203  $R$  is a bond cross-sectional property (shown in Fig. 3a).  $K$  is the moment-  
 204 contribution factor to strength, see [35] for more details.

205 For the FJCM, a planar interface with several elements is used which allows  
 206 partial damage, after which the interface still exists (see the 3D flat interface in  
 207 Fig. 5b). Each element bears a force ( $F_e$ ) and moment ( $M_e$ ) acting at the  
 208 element centroid. The force acting on one element can be resolved into a  
 209 normal ( $F_e^n$ ) and shear force ( $F_e^s$ ), which are given by Eq. 7

$$210 \quad F_e = -F_e^n n_c + F_e^s \quad (7)$$

211 where  $F_e^n > 0$  is tension and  $n_c$  is a unit vector.

212 The element normal ( $\sigma_e^n$ ) and shear ( $\tau_e^n$ ) stresses are therefore can be  
213 described by Eqs. 8 and 9.

$$214 \quad \sigma_e^n = F_e^n / A_e \quad (8)$$

$$215 \quad \tau_e^n = F_e^s / A_e \quad (9)$$

216 where  $A_e$  is the area of the element.

217 The element will break either in tension or shear if applied stresses exceed  
218 the tensile or shear strength of element bond. See [36] for a detailed  
219 comparison of the SBPM and FLCM.

220 Since 2004, the SBPM has been widely used in the past studies [27,28,35];  
221 although successful, this contact model suffers from a major intrinsic problem,  
222 which has been realised by many researchers, such as Wu and Xu [36] and  
223 Vallejos et al. [37]. The major problem is that the spherical particles cannot  
224 provide adequate grain interlocking (after the parallel bond was broken and  
225 vanished) as that of real solid materials like rock, see [36] for more  
226 discussions on this topic. To represent a larger friction and simulate realistic  
227 grain interlocking, in past studies, the value of the particle friction was set  
228 relatively larger, sometimes more than 1.0 [38, 39] and even larger [40]. This  
229 routine leads to a very low compressive-to-tensile strength ratio (often less  
230 than 4.0), which is unrealistic for brittle solid materials like high-strength  
231 cement mortars and brittle rocks. The FJCM can resolve this issue to a large  
232 extent thanks to the partially damaged interfaces which are able to provide  
233 much more interlocking between particles, as discussed earlier. Potyondy [41]  
234 and Vallejos et al. [37] demonstrated that the calculated compressive-to-

235 tensile strength ratio based on the FJCM is able to match that of experimental  
236 results. In this study, to ensure a realistic reproduction of the mechanical  
237 characteristics of the cement mortar, the FJCM was selected for connecting  
238 the spherical particles of the cement mortar and the SBPM (i.e., LPBCM) was  
239 used to simulate the steel rebar bolt for simplification, since it is assumed that  
240 the bolt is non-breakable and non-elongatable in the study (Section 1).

241 Apart from the above two bonded particle models, the Smooth Joint Contact  
242 Model (SJCM) and the Linear Model (LM) are also used in the DEM model  
243 establishment. In the SJCM, smooth-jointed particles lying upon opposite  
244 sides of a joint can overlap and slide past each other (Fig. 5c). The SJCM was  
245 assigned to the mortar-bolt interface to eliminate the unrealistic dilation arising  
246 from spherical particles. The LM was assigned between particles and walls.

### 247 3.2 DEM model setup

248 Fig. 6 shows a representative setup of the DEM model of the direct shear test  
249 (rib angle  $\beta = 90^\circ$ ). As shown in Fig. 6a, the three-dimensional DEM model  
250 had dimensions of 80 mm X 80 mm X 24 mm (the same as that of the  
251 laboratory setup). The rib profile is the same as that of the laboratory sample  
252 (Fig. 3c). Cement mortars with a minimum particle radius of 0.6 mm and a  
253 particle size ratio ( $d_{max}/d_{min}$ ) of 1.5 were produced on the top (green particles  
254 in Fig. 6a), which satisfies a uniform particle size distribution [27]. Considering  
255 the small size of the bolt ribs used in the laboratory experiment, uniformly  
256 distributed particles with somewhat smaller particle sizes (radii varying from  
257 0.4 to 0.6 mm) were generated at the bottom of the mortar to represent a  
258 rebar bolt (grey particles in Fig. 6a). The mortar comprised of around 30000

259 particles (green particles in Fig. 6a), which is sufficient to reproduce failure  
260 mechanisms. The generated DEM model was surrounded by a series of walls  
261 (periodic boundary) forming the top shear box (purple in Fig. 6a) and the  
262 bottom shear box (red in Fig. 6a), respectively. Note that two walls in the front  
263 are not shown in Fig. 6a for clarity. Fig. 6b shows a close-up view of the  
264 mortar-bolt interface and the profile configuration values of the rebar bolt are  
265 included. A total of 843222 contacts with four different contact models (as  
266 described in Section 3.1) were created in the DEM model. Fig 6c shows a  
267 section of the contacts where the LM without contact friction was assigned  
268 between particles and walls; the FJCM was used to represent the cement  
269 mortar on the top; the LPBCM was used to generate the rebar bolt on the  
270 bottom; and the SJCM was assigned between particles forming the mortar-  
271 bolt interface. For clarity, contacts are shown as coloured cylinders without  
272 showing particles and walls.

273 In the simulation, the bottom shear box was moved at a constant velocity of  
274 0.02 m/s (see the red arrow in Fig. 6a), which is small enough for maintaining  
275 a static equilibrium during shear [40]. While the top box (purple in Fig. 6a) was  
276 fixed and a normal load was applied on the top and kept constant during  
277 shear using the servo mechanism [41, 42]. Numerical simulation was  
278 terminated when the horizontal displacement of the bottom shear box reached  
279 8 mm (10% the sample length).

#### 280 **4. Calibration and verification of the DEM model**

281 Unconfined compression tests, triaxial compression tests and Brazilian tests  
282 were conducted on the cement mortar for calibrating and verifying the FJCM

283 and the LM, followed by the selection of the micro-parameters for the LPBCM  
284 (assigned for the rebar bolts). The mortar-bolt interface properties (with the  
285 SJCM) were calibrated against direct shear and normal deformability tests on  
286 mortar-bolt interfaces.

#### 287 4.1 Calibration and verification of the FJCM for the cement mortar

288 To calibrate the FJCM, a DEM cylindrical sample (with the FJCM) containing  
289 15038 particles with a radius between 0.6 and 0.9 mm was generated. The  
290 size of the DEM sample (80 mm X 40 mm) was the same as that of physical  
291 samples used in the laboratory. The Young's moduli of the particles and flat  
292 joint bond were firstly calibrated against the Young's modulus of the mortar  
293 measured in the uniaxial compression test, followed by the calibration of the  
294 normal-to-shear stiffness ratios of the linear contact and flat joint bond through  
295 matching the Poisson's ratio of the mortar. After that, the cohesion, tensile  
296 strength and friction coefficient of the flat joint bond were varied to match the  
297 average uniaxial compressive strength of the mortar (30.2 MPa, Table 1). Fig.  
298 7a shows a comparison of the stress-strain curves from the laboratory  
299 experiments and the DEM simulation. As can be seen, the DEM result  
300 matched well with those results from the laboratory experiments, although a  
301 lack of agreement of the post-peak behaviour (i.e., brittleness) was observed.  
302 The DEM sample exhibited much more brittleness than that of the laboratory  
303 samples (except S4). A likely reason for the discrepancy is that the micro-  
304 cracks generated within the flat-jointed DEM model cannot coalesce easily  
305 and particle rotations were significantly suppressed due to the existence of  
306 the flat interfaces after bond failure [41], which will lead to a sudden failure of  
307 the DEM sample when the strength was reached.

308 The failure mode of the DEM sample under uniaxial compression (Fig. 7c)  
309 was similar to that of the physical samples used in the laboratory experiments  
310 (especially S4, Fig. 7b). Table 2 lists corresponding calibrated micro-  
311 parameters. Apart from the above micro-parameters (need calibration), in the  
312 FJCM, some parameters are determined based on specific situations [41]. In  
313 this study, the flat-joint bonded and gapped fraction were set to 1 and 0,  
314 respectively, to ensure that no initial cracks are inside of the cement mortar.  
315 Minimum values of the radial and circumferential elements (1 and 3,  
316 respectively) were used to reduce the calculation time [24].

317 To verify the reasonability of the compressive-to-tensile strength ratio and  
318 mechanical response of the cement mortar under confinements, the same  
319 DEM cylindrical samples with the micro-parameters listed in Table 2 were  
320 tested under splitting tension and triaxial compression. It is note that the  
321 splitting tensile tests were performed (at the Kajima research institute, Japan)  
322 because of the recognised difficulty in the setup of the direct tensile test [33,  
323 43–45]. In the splitting tests, cylindrical samples with a diameter of 40 mm and  
324 a length of 80 mm were split along axes to measure the tensile strength,  
325 following the ASTM standards (C-496 and 192/C 192M) [46, 47]. A splitting  
326 tensile strength of 1.74 MPa was measured in the DEM simulation (Table 1),  
327 and a compressive-to-tensile strength ratio of 17.7 was calculated, which  
328 agreed well with that from the laboratory experiment (16.8).

329 DEM triaxial tests were performed under different confining pressures  
330 (CP=1.5, 3 and 6 MPa, respectively), which are the same to that of physical  
331 experiments. Fig. 8 presents a comparison between experimental results and  
332 numerical results. This figure demonstrates that the moduli and stresses from

333 the numerical simulations are in broad agreements with those from the  
334 laboratory measurements. It is noted that the volumetric strain was not logged  
335 in the physical experiments as the triaxial tests on the mortar (a soft material)  
336 were conducted using a triaxial testing machine under undrained conditions  
337 (the apparatus is normally used for soil and soft materials).

#### 338 4.2 Micro-parameter selection of the rebar bolt

339 As described in Section 2.1, the rebar bolt used in the study is assumed non-  
340 breakable and non-deformable as the UCS and modulus of the steel rebar  
341 bolt are much larger in comparison with that of the mortar used. The micro-  
342 parameters of the rebar bolt (see Table 3) were selected based on previous  
343 experience [27] and literature [24].

#### 344 4.3 Calibration of the SJCM for the mortar-bolt interface

345 Calibration of the properties of the mortar-bolt interface involved the calibration  
346 of the shear stiffness and friction coefficient of the SJCM against a laboratory  
347 direct shear test and the calibration of the normal stiffness against a normal  
348 deformability test.

349 In the laboratory experiment, a rock bolt sample without bolt ribs was used in  
350 the direct shear test. The mortar and mortar-bolt interface were carefully  
351 casted and prepared in the laboratory. The dimension of the sample (80 mm  
352 X 80 mm X 24 mm) was the same as those samples described in Fig. 3 and  
353 the shear test was performed firstly under a constant normal stress of 2 MPa  
354 using the same shear box (PHI-10) described in Section 2.2. The stress-  
355 displacement curve from the laboratory experiment is shown in Fig. 9a (back  
356 line) and this curve was used in the calibration of the shear stiffness. In the

357 numerical simulation, a DEM sample having a width of 80 mm, length of 80  
358 mm and height of 24 mm was generated and the radii of the mortar (0.4-0.6  
359 mm) and the bolt (0.6-0.9 mm) are the same as those of the DEM sample  
360 described in Fig. 6a. The previously calibrated micro-parameters for the  
361 mortar and the bolt (Tables 2 and 3) were used in the DEM sample generation  
362 and the shear stiffness was then calibrated through a trial-and-error process.  
363 More direct shear tests were conducted on mortar-bolt interfaces under higher  
364 normal stresses (i.e., 4 and 6 MPa) and results were used to calibrate the  
365 smooth joint friction coefficient. Fig. 9a shows a comparison of the stress-  
366 displacement curves from the numerical and experimental tests under  
367 different normal stresses. The initial stress fluctuation observed in the  
368 laboratory tests (especially for 4 and 6 MPa, Fig. 9a) is likely due to the slight  
369 loose connection between the shear box and the mortar. But in general,  
370 acceptable agreements can be observed. In addition, the failure pattern of the  
371 DEM sample also agrees well that observed from the experiment (see Figs.  
372 9b, 9c and 9d). No fractures were observed on the appearance of the mortar  
373 material after direct shear (Fig. 9b) and the simulation reproduced this macro-  
374 scale observation (Fig. 9c). Additionally, the particulate DEM simulation also  
375 provided some insights at the micro-scale level, which showed that shear  
376 micro-cracks (red) dominated on the mortar-bolt interface after shear failure  
377 (Fig. 9d).

378 To calibrate the smooth-joint normal stiffness, experimental deformability tests  
379 on smooth mortar-bolt interfaces were undertaken (based on the procedure  
380 used by Shang et al. [40]). The laboratory samples used in the normal  
381 deformability tests are the same as those shown in Fig. 9b. Identical samples

382 without the mortar-bolt interface were also prepared and they were uniaxially  
383 compressed. Normal force and normal deformation of the mortar samples with  
384 and without the horizontal mortar-bolt interface were recorded during loading.  
385 Normal deformation of the mortar-bolt interface was estimated by subtracting  
386 the normal deformation of the mortar sample from the normal deformation of  
387 the sample with a mortar-bolt interface. Fig. 10 shows a representative testing  
388 result (the black line) where axial normal stress increased linearly against  
389 normal displacement. Then, numerical deformability tests were undertaken  
390 and smooth joint normal stiffness was calibrated by a trial-and-error process  
391 to match the inclination of the back line (Fig. 10). See [40] for a detailed  
392 description of the experimental and numerical deformability tests. The  
393 numerical result is compared with the laboratory test result, as shown in Fig.  
394 10; and the corresponding calibrated micro-parameters are listed in Table 3.

## 395 **5. Results and interpretation**

### 396 5.1 Mortar-bolt interface debonding and subsequent mortar rupture

397 From the DEM simulation, it is observed that the mortar-bolt interface  
398 debonded progressively prior to the rupture of the surrounding cement mortar.  
399 Fig. 11 shows these two procedures quantitatively (rib angle  $\beta=90^\circ$  and normal  
400 stress=4 MPa), where the measured and simulated stress-displacement  
401 curves (Figs. 11A and 11B) and key snapshots (Fig. 11C) are presented (a-h).

402 As shown in Fig. 11A, stresses within the mortar were measured at 25  
403 different locations by the measurement spheres, as indicated in the inserted  
404 diagram. The monitored stress-displacement curves are shown in Fig. 11A. A  
405 resultant stress-displacement curve was obtained (the black line) and used for

406 assessing the shear characteristics of the sample under direct shear. It can be  
407 seen that the resultant stress-displacement curve matched well with the  
408 experimental result (the black dotted line in Fig. 11A).

409 Fig. 11B shows a close-up view of the stress-displacement curves within the  
410 horizontal displacement of 0.5 mm, where the progressive debonding failure  
411 of the mortar-bolt interface was illustrated. The numerical test initiated at Point  
412 **a** (Figs. 11B and 11C), followed by the crack initiation around the bolt ribs  
413 (Point **b**); cracks propagated at Point **c** and coalesced at Point **d** where a  
414 peak stress of 1.21 MPa was measured (which is the bond strength of the  
415 mortar-bolt interface). The mortar-bolt interface debonded completely at Point  
416 **e** (Figs. 11B and 11C). Stress oscillations were observed after the  
417 appearance of the peak stress, which is related to the progressive  
418 failure/debonding of the mortar-bolt interface, especially at the rib areas  
419 leading to a direct interlocking between the ribs and the mortar.

420 The bolt ribs interacted with the adjacent cement mortar due to the  
421 mechanical interlocking before the mortar-bolt interface debonded completely  
422 (i.e., Point **e**). A large number of tensile and shear micro-cracks initiated  
423 around the ribs at Point **f**, which is related to the stress concentration due to  
424 interlocking. The shear strength of this sample was reached at Point **g** (6.2  
425 MPa) and the cement mortar was completely ruptured, as shown by the  
426 diagram **g** in Fig. 11C. Shear stress was then reduced until the end of the test  
427 run (Point **h** in Figs. 11A and 11C). A macro-fracture with an inclination of  
428 around 52° was generated around a rib, while sub-horizontal macro-fractures  
429 were created around the other two ribs. Fig. 12 shows a detailed description  
430 of the mortar rupture process between Points **f** and **g** in Fig. 11. It can be

431 seen that both tensile and shear micro-cracks were induced within the mortar  
432 due to the mortar-bolt interaction. After debonding of the mortar-bolt interface,  
433 cracks initiated around the three ribs but propagated with different speeds,  
434 which is related to the unequal stress distribution as unveiled by the stresses  
435 measured using the measurement spheres (Fig. 11A).

436 Fig. 13 shows the cumulative number of micro-cracks versus horizontal  
437 displacement (observed in Fig. 11). In the close-up view, the debonding point  
438 of the mortar-bolt interface is indicated at a horizontal displacement of 0.085  
439 mm, where the numbers of both shear and tensile micro-cracks stopped  
440 increasing (Point **e** in Figs. 11B and 11C). After that, the numbers of tensile  
441 and shear micro-cracks increased dramatically due to the rupture of the  
442 mortar. Orientations of the micro-cracks generated at the interface debonding  
443 point (Point **e** in Fig. 11) and at the sample failure point (Point **g** in Fig. 11) are  
444 plotted in stereonet (equal-area projection), as shown in Fig. 14. The micro-  
445 cracks (discs) are plotted as poles and are not shown in the stereonet for clarity.  
446 Contour lines represent the statistical pole concentration and contour interval  
447 is set to 1 for comparison and corresponding legends are indicated in each  
448 diagram. The filled contoured areas in Fig. 14a represented densities of 1-6%  
449 per 1% area for the micro-cracks, while the maximum density was increased  
450 to 8% per 1% area because more micro-cracks were generated due to the  
451 rupture of the mortar (Figs. 12 and 14b). It also can be seen that the  
452 orientations of the micro-cracks (poles to the crack discs) generated at the  
453 mortar-bolt interface debonding point concentrated at the centre of the  
454 stereonet (Fig. 14a). The inclinations of these micro-cracks were less than 30°,  
455 which indicates that the orientations of the micro-cracks induced at the

456 interface debonding point were largely controlled by the orientation of the  
457 mortar-bolt interface (which is sub-horizontal). The slight variation ( $0^{\circ}$ - $30^{\circ}$ ) in  
458 the crack orientations is associated with the spherical properties of the  
459 particles as well as the existence of the bolt ribs. This interpretation agrees  
460 well with the observation from Fig. 11 (at Point **e**). At the mortar rupture point  
461 (Point **g** in Fig. 11), a large number of micro-cracks with much higher  
462 inclinations ( $30^{\circ}$ ~ $90^{\circ}$ ) were created within the mortar (Fig. 14b),  
463 demonstrating some degrees of uncertainties. Interestingly, the orientations of  
464 the micro-cracks generated at this point distributed symmetrically in a broad  
465 sense, which can be related to the symmetrical nature of the rock bolt model  
466 established in the study.

## 467 5.2 Stress-displacement characteristics

468 Figs. 15-17 show the simulated (resultant) stress-displacement curves for  
469 cases with different rib angles and confining pressures; and corresponding  
470 experimental results are also included for comparison. Overall, the numerical  
471 results matched well with experimental measurements, although somewhat  
472 smaller shear strengths were measured in the simulations for the case  $\beta = 30^{\circ}$   
473 (Fig. 15a). The smaller strength measured using the DEM model for the  $30^{\circ}$   
474 case is probably associated with the weak interlocking behaviour between the  
475 lower-inclined ribs and the mortar, which will be further discussed in the  
476 following section. Some stress oscillations of the DEM results were observed  
477 in the post-peak regions (Figs. 15a and 16a), which are related to the sudden  
478 splitting failure of the flat-jointed particles (due to the presence of the 3D flat  
479 interface).

480 Another main finding is that the progressive debonding processes of the  
481 mortar-bolt interfaces were revealed in the DEM simulations (Figs. 15b and  
482 16b) and they often occurred within a horizontal displacement of 0.3 mm.  
483 However this phenomenon is extremely difficult to be observed in the  
484 laboratory experiments.

### 485 5.3 Rupture patterns of the cement mortar

486 The rupture patterns of the mortar observed in the DEM simulations and  
487 experiments (rib angle  $\beta = 30^\circ$ ) are shown in Fig. 18. The yellow dashed lines  
488 represent the primary macro-fractures. The 3D micro-crack distributions are  
489 presented without showing particles for a clear visualisation (Figs. 18c and  
490 18d). The red and blue discs represent shear and tensile micro-cracks,  
491 respectively. As shown in Fig. 18a, a clear slip was observed between the low  
492 inclined ribs and the mortar (after the shear failure of the interface), forming a  
493 height difference (around 1.3 mm) between the ribs and the mortar. The slip  
494 behaviour is related to the weak interlocking at the interface of the mortar and  
495 the low inclined bolt ribs.

496 A macro-fracture with an inclination of around  $82^\circ$  was induced at one of the  
497 ribs, accompanied by some sub-horizontal fractures due to the mortar-bolt  
498 interactions (Figs 18a and 18c). Similar phenomena were observed in the  
499 laboratory experiments under the same boundary condition (normal stress=2  
500 MPa, Fig. 18e). A macro-fracture with an inclination of  $71^\circ$  was induced (Fig.  
501 18e), which was smaller than that observed in the DEM simulation ( $82^\circ$ , Fig.  
502 18a). Likewise, a slip was also observed at the rib-mortar interface and a  
503 height difference of 1.5 mm was created (see the close-up view, Fig. 18e).

504 When the confining pressure was increased to 4 MPa (Figs. 18b), the slip and  
505 shear phenomena still existed and a macro-fracture with an inclination of  $77^\circ$   
506 was generated (Figs. 18a and 18b). Fig. 18d shows that more micro-cracks  
507 were generated in comparison with the case under a lower confining pressure  
508 (2 MPa). It is observed that the slip-induced height differences between the  
509 bolt ribs and the mortar were 1.1 mm in the DEM simulation and 1.0 mm in  
510 the laboratory experiment. They were smaller than the corresponding cases  
511 under a higher confining pressure (i.e., 4 MPa).

512 Figs. 19 and 20 show the mortar rupture patterns for cases of higher rib  
513 angles (i.e.,  $60^\circ$  and  $90^\circ$ ). In general, the simulation results are in close  
514 agreement with the laboratory test results. Interestingly, the slip behaviour  
515 (observed in Fig. 18) vanished for both laboratory tests and numerical  
516 simulations (see the close-up views in Figs. 19f and 20e, the height difference  
517 between the ribs and the mortar is neglectable). This can be attributed to the  
518 much higher interlocking effect due to the high inclined ribs.

519 Besides the inclined macro-fractures, some sub-horizontal fractures were  
520 induced, especially for the cases under a relatively higher confining pressure  
521 (i.e. 4 MPa, Figs. 19b and 20b). These observations indicate that the parallel-  
522 shear failure dominated when rib angles were  $60^\circ$  and  $90^\circ$ . It should be noted  
523 that there are some discrepancies in pattern between the sub-horizontal  
524 fractures created in the DEM simulations and Laboratory experiments. This  
525 discrepancy however cannot be explained so far. It is suggested that further  
526 research needs to be conducted to clarify this observation.

## 527 **6. Discussion, limitations and future research priorities**

## 528 6.1 Mortars with different particle size distributions

529 In the study, the cement mortar was discretised and represented as spherical  
530 particles that were bonded at their contacts without considering its real micro-  
531 structure [48, 49], which of course is a simplification of real mortars. This  
532 simplification practice however has been widely used in particulate  
533 simulations for representing various materials [27–29,31].

534 It has been reported that the particle size is an intrinsic parameter that affects  
535 mechanical properties of a solid material [33,35]. Simulation results of this  
536 study are based on a specific particle size distribution (Table 2) which is  
537 determined in the calibration process (Section 4). To verify the reliability of the  
538 reported results (Section 6) and further understand the effect of particle size  
539 on simulation results, three additional DEM simulations with different average  
540 particle radii,  $D_{avg.}$ , (Cases A, C and D in Fig.21) were performed following the  
541 method used by Potyondy and Cundall [35]. The numbers of the particles  
542 forming the mortars of Cases A-D are 98870, 29346, 6325, 3652, respectively.  
543 All other micro-properties remained constant, as shown in Tables 2 and 3.  
544 The DEM model setup and bolt profile were the same as that described in  
545 Section 3. Simulations were conducted under a constant normal stress of 4  
546 MPa. Fig. 21 shows a comparison of the failure patterns observed after the  
547 simulations; the previously reported result (i.e., Case B) is included for  
548 comparison. It can be seen that parallel-shear failures (along the mortar-bolt  
549 interfaces) dominated for all cases except the Case D, for which the average  
550 particle size was the largest among the simulated cases ( $D_{avg.}=1.5$  mm),  
551 leading to a dramatic decrease in the number of particles and therefore a  
552 different failure pattern.

553 Fig. 22 shows that shear strength increased with the increase of the average  
554 particle size. The increases in shear strength for Cases C and D were due to  
555 the dramatic decreases in the number of particles (6325 and 3652) in  
556 comparison with Cases A and B (98870 and 29346). The smaller number of  
557 particles might not sufficient to simulate the failure mechanisms for this  
558 particular study. Notably, the shear strengths measured in Cases A and B (6.1  
559 and 6.15 MPa) were close to the laboratory measurement (6.2 MPa), as  
560 shown in Fig. 22; and the reported result in Section 5 (Case B) shows a better  
561 closeness to the laboratory measurement.

562 The current numerical investigation is based on the SRBM proposed by  
563 Yokota et al. [33]. This simplified model allows the investigation of the  
564 mechanical and deformable behaviours of the mortar-bolt interface on the  
565 assumption that the bond strength of mortar-rock interface is much stronger  
566 than that of mortar-bolt interface. This assumption implies that failure will  
567 dominantly occur at the mortar-bolt interface rather than the mortar-rock  
568 interface, although the way of failure sometimes depends on the roughness of  
569 bolt and the type of cement mortars [50]. Besides, the possible chemical  
570 effect (i.e., erosion) of the cement composition on the micro-structure of the  
571 steel bolt surface is ignored for simplification [51]. Additionally, the elongation  
572 and twisting of the rebar bolt in the experiment are assumed insignificant.  
573 Practically, these assumptions are acceptable for simple stress conditions  
574 (without creeping and dynamic ejection), as pointed out by Li [9] and Siger  
575 [52]. Technically, the aforementioned assumptions are testable and allow the  
576 SRBM to be tested in the laboratory. In future research, the mortar-bolt  
577 interface behaviour of a full section of a fully grouted rebar bolt (Fig. 2a) is

578 suggested to be investigated by numerical simulations and results can be  
579 compared with those reported in the current study (based on the SRBM).

## 580 6.2 Effect of the bolt profile configuration

581 Literature confirms that rib spacing ( $R_s$ ) and rib height ( $R_h$ ) of a rebar bolt are  
582 most important profile parameters determining the load transfer capacity for a  
583 fully grouted rebar bolt subjected to external load. These two parameters  
584 mainly affect the mechanical interlocking between bolt ribs and adjacent  
585 mortars. In this study, for validation purpose, a constant rib spacing (17.8 mm)  
586 and rib height (2 mm) were used in DEM simulations (Fig. 6b), which are the  
587 same as those values used in the laboratory experiment (Fig. 3). Simulated  
588 results are in broad agreements with experimental observations in terms of  
589 peak shear strength (Figs. 15-17) and failure patterns (Figs. 18-20). To  
590 examine the effects of rib spacing and rib height on the simulation results, two  
591 series of DEM simulations were additionally performed, considering the  
592 representative rib spacing and rib height values of the rebar bolts widely used  
593 in mining industries in China and Australia [53].

### 594 6.2.1 Rebar bolts with different rib spacings

595 For the first series of simulations, rib spacings were varied between 12.5 mm  
596 and 50 mm, as illustrated in Fig. 23. All other parameters were fixed (as  
597 shown in Tables 2 and 3) and the numerical setups are the same as that  
598 described in Fig. 6. Fig. 23 shows a comparison of the failure patterns of the  
599 simulated cases (I-IV). It can be seen that parallel-shear failure dominated for  
600 all cases. All mortars in neighbouring ribs were sheared except the Case V,

601 where a much higher rib spacing was adopted (50 mm), leading to a different  
602 failure pattern.

603 Fig. 24 shows the relationship between shear strength and rib spacing ( $R_s$ ). It  
604 can be seen that the variation in shear strength between specimens with  
605 different rib spacings was not large (within 14%). The highest shear strength  
606 of 6.3 MPa was measured when the rib spacing was 25 mm (Fig. 24). It  
607 dropped to 5.54 MPa when rib spacing was reduced to 12.5 mm and the  
608 decrease in shear strength was also observed when rib spacing was  
609 increased (for example, 5.39 MPa at  $R_s=50$  mm, Fig. 24). The shear strength  
610 increased slightly with the increasing of rib spacing and then decreased at a  
611 particular rib spacing (22.7 mm, Fig. 24); this observation is similar to previous  
612 studies [53, 54], although in their studies the peak load appeared at a rib  
613 spacing of 37.5 mm. This discrepancy is related to the differences in the  
614 strength of the mortars and in other rib profile parameters (such as the rib  
615 height and rib angle). It is therefore suggested that the optimum rock bolt  
616 spacing should be assessed and selected case by case, based on the rib  
617 profile and mortar strength.

#### 618 6.2.2 Rebar bolts with different rib heights

619 The second series of simulations involved additional three cases having a rib  
620 height of 1.0, 1.5 and 2.5 mm, respectively (Cases 1, 2 and 4 in Fig. 25). The  
621 rib spacing was kept constant at 17.8 mm and other setup parameters  
622 remained the same as those shown in Fig. 6. A comparison of failure patterns  
623 is shown in Fig. 25. It can be seen that the width of the rupture zones  
624 increased and became much wider when the rib height was increased. The

625 difference was also demonstrated by the variation in the shear strength, as  
626 illustrated in Fig. 26. It can be seen that shear strength increased when the rib  
627 height was increased (Fig. 26). This finding revealed that there is a significant  
628 influence of rib height on the rockbolting capacity (based on the reported rib  
629 profile configuration).

### 630 6.3 Boundary condition

631 It is accepted that boundary conditions affect shear characteristics [40]. In this  
632 study, all laboratory experiments and numerical simulations were performed  
633 under constant normal load (CNL) boundary conditions. The effect of constant  
634 normal stiffness (CNS) boundary condition, which also exists in nature,  
635 especially in the underground engineering applications, is ignored. It is well  
636 known that setup of a CNS shear test is extremely difficult and it is rare to see  
637 the laboratory CNS shear tests in literature. Considering the difficulty of the  
638 experimentation, it is therefore suggested that the mortar-bolt interface  
639 behaviour under CNS boundary condition can be studied using the numerical  
640 model proposed by Shang et al. [40].

## 641 **7. Summary and conclusions**

642 The primary aim of this paper is to investigate the micro-macro failure  
643 mechanisms underlying the shear failure of fully grouted rebar bolts that often  
644 observed in civil and mining engineering applications. A three-dimensional  
645 DEM model was established based on a simplified rock bolt model. The DEM  
646 model was calibrated and verified against a series of laboratory experiments  
647 including uniaxial compression and triaxial tests on cement mortars, and  
648 direct shear and normal deformability tests on planar mortar-bolt interfaces.

649 The established DEM model was used to study the mortar bolt interactions  
650 under direct shear; and the simulation results were validated against  
651 laboratory experiments and a broad agreement was observed. The following  
652 conclusions can be drawn:

653 (1) The DEM investigation in this study has led to two main observations at  
654 micro- and macro- scale levels. The first is that the mortar-bolt interface often  
655 debonded progressively at a small horizontal displacement (up to 0.3 mm in  
656 this study). The progressive debonding process was represented by the  
657 initiation, propagation and coalescence of the micro-cracks on the mortar-bolt  
658 interface, which are not achievable and observable through current  
659 experimentation. The second main observation is on the mortar rupture. It  
660 occurred just after the debonding of the mortar-bolt interface, which is due to  
661 the mechanical interlocking between the bolt ribs and the cement mortar.

662 (2) The DEM results presented in the study exhibited a better predication of  
663 the mortar-bolt interface behaviour with respect to shear strength and failure  
664 patterns when the rib angles were relatively high (i.e., 60° and 90° in the  
665 study). A somewhat smaller shear strength however was measured in the  
666 DEM simulations than that from the laboratory experiments when the rib angle  
667 was 30°.

668 (3) A slip failure was observed in the simulations when rib angle was relatively  
669 small ( $\beta=30^\circ$  in the study). While the slip phenomenon vanished when the rib  
670 angles were increased up to 60° and 90°; and the parallel shear rupture  
671 dominated, forming some sub-horizontal macro-fractures.

672 (4) The number of micro-cracks within the mortar increased significantly when  
673 the confining pressure and rib angles were increased, leading to a much  
674 higher level of mechanical interlocking.

675 (5) The mortar-bolt model simulated in this study often failed within a  
676 horizontal shear displacement of 2 mm. It is also observed that, for a specific  
677 rebar bolt, a high inclined macro-crack was induced at the location close to  
678 one of the bolt ribs. The inclinations of the macro-cracks varied with the rib  
679 angles and confining pressures, but all greater than  $50^\circ$  relative to the mortar-  
680 bolt interface (sub-horizontal).

681 (6) The effect of rib angle on the shear strength was relatively small, in  
682 comparison with that from rib spacing and rib height. For this particular study,  
683 the highest shear strength of approximately 6.4 MPa was measured at a rib  
684 spacing of 22.7 mm. It is therefore suggested that rib spacing and rib height  
685 should be carefully assessed for the bolt profile optimisation and a slightly  
686 higher rib spacing and rib height may result in a higher rockbolting capacity,  
687 however a balance between efficiency and cost needs to be made by  
688 manufacturers.

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850 **Figure captions**

851 **Fig. 1.** Debonding failure of a mortar-bolt interface subjected to axial loading.

852 Adapted from [15].

853 **Fig. 2. a** Schematic diagram of a fully grouted rebar bolt and **b** the simplified  
854 rock bolt model (not to scale).

855 **Fig. 3.** Representative laboratory samples with three different rib angles (**a**  
856  $\beta=30^\circ$ , **b**  $\beta=60^\circ$ , **c**  $\beta=90^\circ$ ).

857 **Fig. 4.** Schematic diagram of the experimental setup (shear box model: PHI-  
858 10; figure not to scale).

859 **Fig. 5.** Contact models used in the study. **a** Linear Parallel Bond Contact  
860 Model (after [55]); **b** Flat Joint Contact Model (adapted from [41]); **c** Smooth  
861 Joint Contact Model; and **d** Linear Model.

862 **Fig. 6. a** Setup of the DEM model of the direct shear test; **b** A close-up view  
863 of the mortar-bolt interface; and **c** An example of the contacts between  
864 particles; the four different contact models are shown as cylinders with  
865 different colours, and particles and walls are not shown for clarity.

866 **Fig. 7.** Calibration of the flat joint contact model. **a** Comparison of the stress-  
867 strain curves from laboratory experiments and DEM simulation; **b** Failure  
868 patterns of the laboratory samples (S1-S6) after uniaxial compression; and **c**  
869 Failure pattern of a DEM sample under the same loading condition.

870 **Fig. 8.** Comparison of the experimental results and numerical results of  
871 triaxial compression tests.

872 **Fig. 9.** Comparison of the direct shear test results from the laboratory  
873 experiment and DEM simulation (under a normal stress of 2 MPa). **a** Shear  
874 stress versus horizontal displacement; **b** and **c** Post-failures of the laboratory  
875 experiment and the DEM simulation, respectively; and **d** Micro-cracks induced  
876 on the mortar-bolt interface after shear failure.

877 **Fig. 10.** Axial stress against normal displacement measured in the normal  
878 deformability tests: comparison of laboratory test and DEM simulation.

879 **Fig. 11.** Progressive debonding of the mortar-bolt interface and shear rupture  
880 of the mortar subjected to shearing. **A** Stress-displacement curves measured  
881 in the simulation using the 25 measurement spheres (MS, shown in the insert  
882 diagram); the black line represents the resultant stress-displacement and it  
883 was compared with that measured from the laboratory experiment (back dotted  
884 line); **B** A close-up view showing the initial stage of the simulation (at a  
885 horizontal displacement of 0.5 mm); **C** Frames captured at key stages (marked  
886 as **a-h** in **A** and **B**) in the simulation, in which the progressive debonding of the  
887 mortar-bolt interface and rupture failure of the mortar are presented ( $\beta=90^\circ$ ,  
888  $R_s=17.8$  mm,  $R_n=2$  mm and applied normal stress=4 MPa). For more details,  
889 see text.

890 **Fig. 12.** Mortar rupture due to mechanical interlocking (Frames were captured  
891 between Points **f** and **g**, as shown in Fig. 11).

892 **Fig. 13.** Number of micro-cracks (shown in the Frame **h** in Fig. 11) against  
893 horizontal displacement.

894 **Fig. 14.** Contoured plots of the orientations of the induced micro-cracks  
895 monitored at the mortar-bolt interface debonding point (point **e** in Fig. 11) (**a**)  
896 and at the mortar rupture point (point **g** in Fig. 11) (**b**).

897 **Fig. 15.** Stress against horizontal displacement: a comparison between  
898 numerical simulations and experiemntal results ( $\beta=30^\circ$  and normal stress=2  
899 and 4 MPa). **a** Overall results and **b** a close-up view.

900 **Fig. 16.** Stress versus horizontal displacement: a comparison between  
901 numerical simulations and experiemntal results ( $\beta=60^\circ$  and normal stress=2  
902 and 4 MPa). **a** Overall results and **b** a close-up view.

903 **Fig. 17.** Stress against horizontal displacement: a comparison between  
904 numerical simulations and experiemntal result ( $\beta=90^\circ$  and normal stress=2  
905 MPa).

906 **Fig. 18.** Shear ruputre of the mortar observed in the DEM simulations with  
907 relatively low rib angles ( $\beta = 30^\circ$ ). **a** and **c** Normal stress=2 MPa; **b** and **d**  
908 Normal stress=4 MPa. Corresponding failure patterns observed in the  
909 laboratory experiments are included for comparison (**e** and **f**).

910 **Fig. 19.** Shear ruputre of the mortar observed in the DEM simulations for the  
911 cases with a rib angle  $\beta = 60^\circ$ . **a** and **c** Normal stress=2 MPa; **b** and **d** Normal  
912 stress=4 MPa. Corresponding failure patterns observed in the laboratory  
913 experiments are included for comparison (**e** and **f**).

914 **Fig. 20.** Shear ruputre of the mortar observed in the DEM simulations for the  
915 cases with a rib angle  $\beta = 90^\circ$ . **a** and **c** Normal stress=2 MPa; **b** and **d** Normal  
916 stress=4 MPa. Corresponding failure patterns observed in the laboratory  
917 experiments are included for comparisons (**e** and **f**).

918 **Fig. 21.** Shear failure of mortar-bolt interfaces with different particle size  
919 distributions.

920 **Fig. 22.** Shear strength of the mortars (shown in Fig. 21) versus average  
921 particle radius.

922 **Fig. 23.** Shear failure of mortar-bolt interfaces with different rib spacings

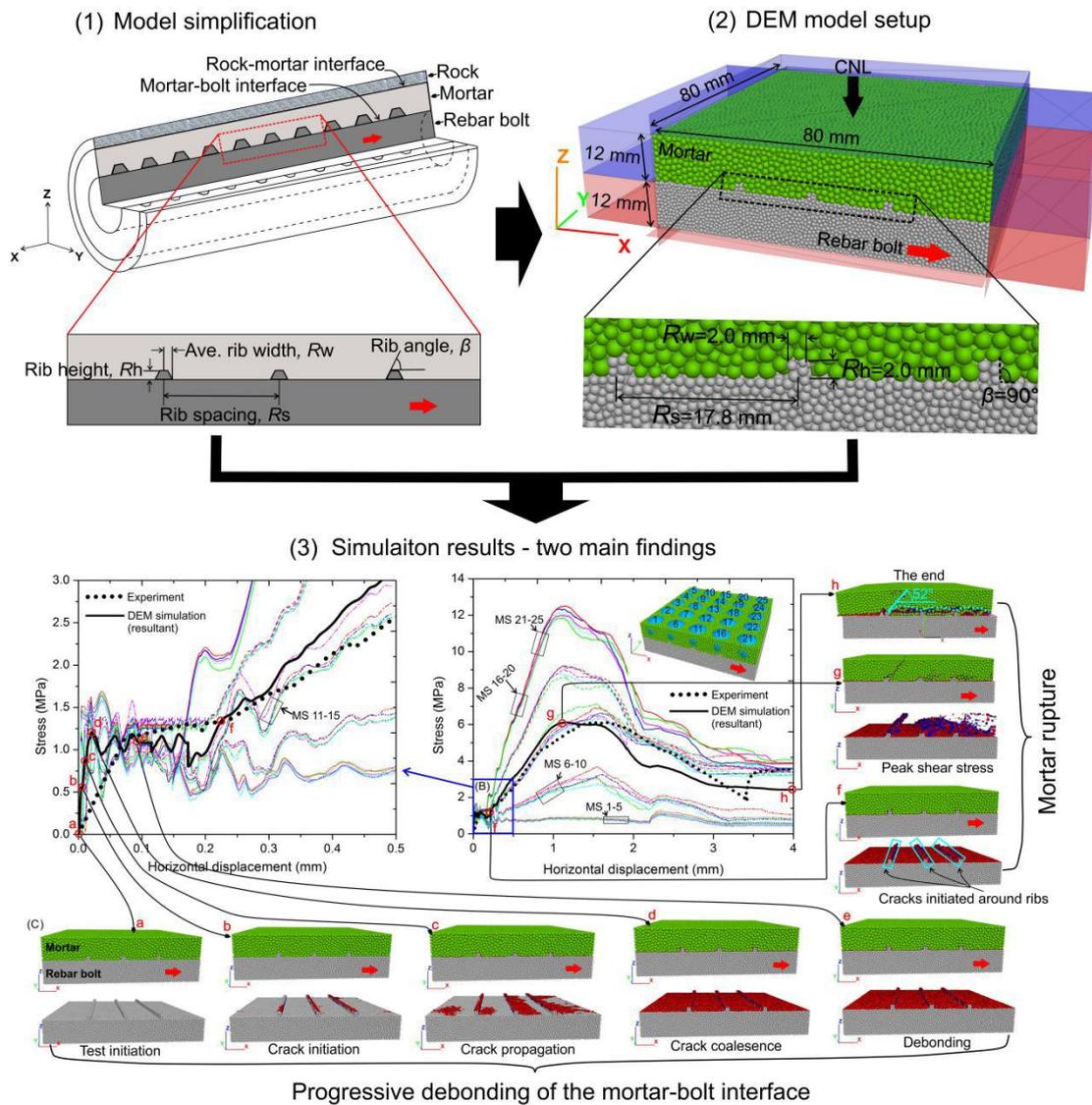
923 **Fig. 24.** Shear strength of the mortars (shown in Fig. 23) versus rib spacing

924 **Fig. 25.** Shear failure of mortar-bolt interfaces with different rib heights

925 **Fig. 26.** Shear strength of the mortars (shown in Fig. 25) versus rib height

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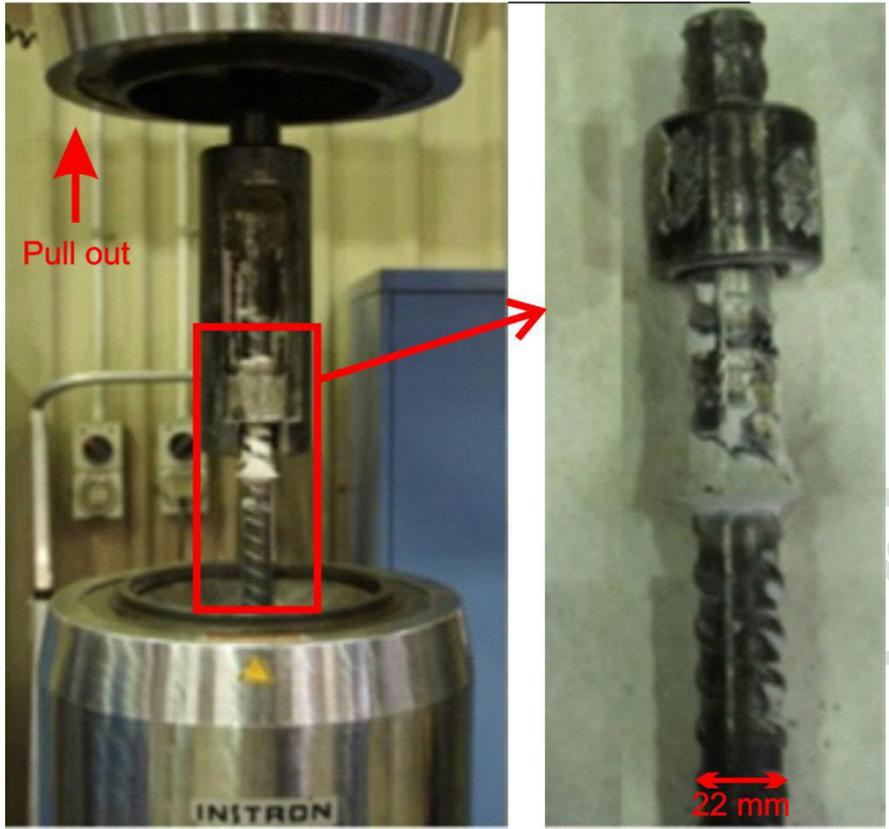
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928 **Graphical abstract**

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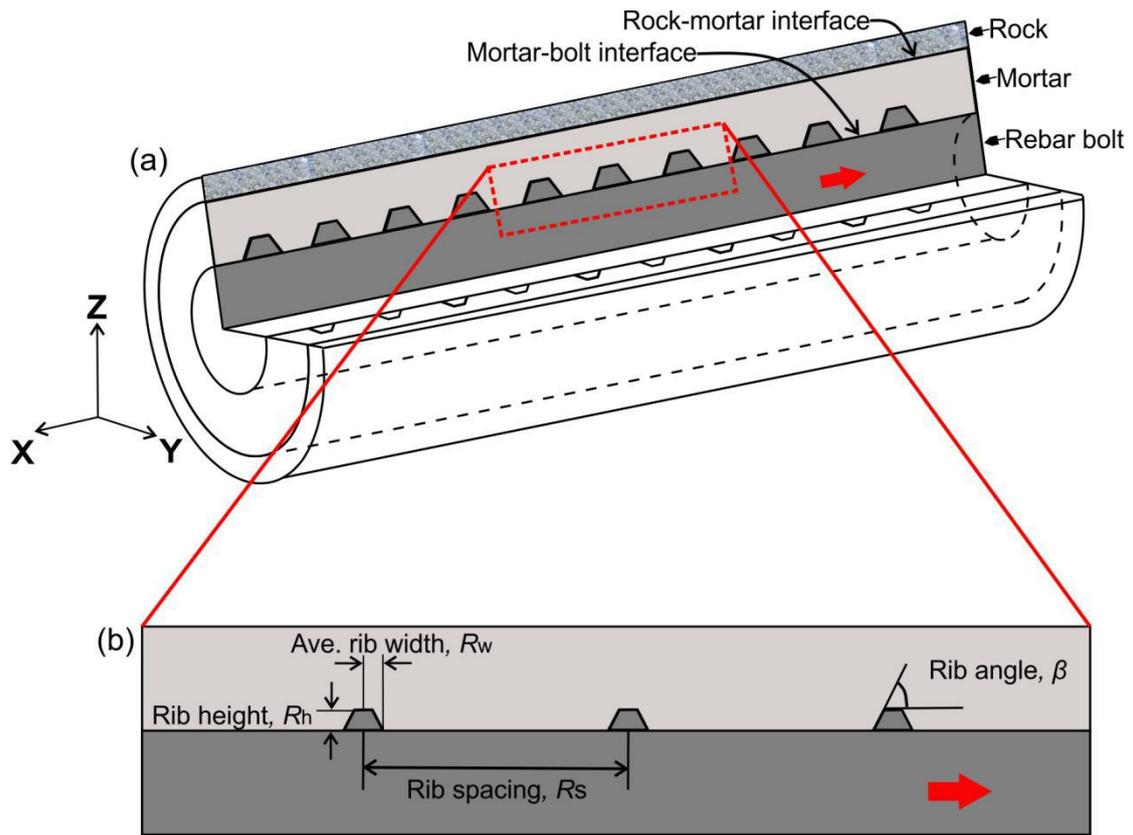


930

931 **Fig 1**

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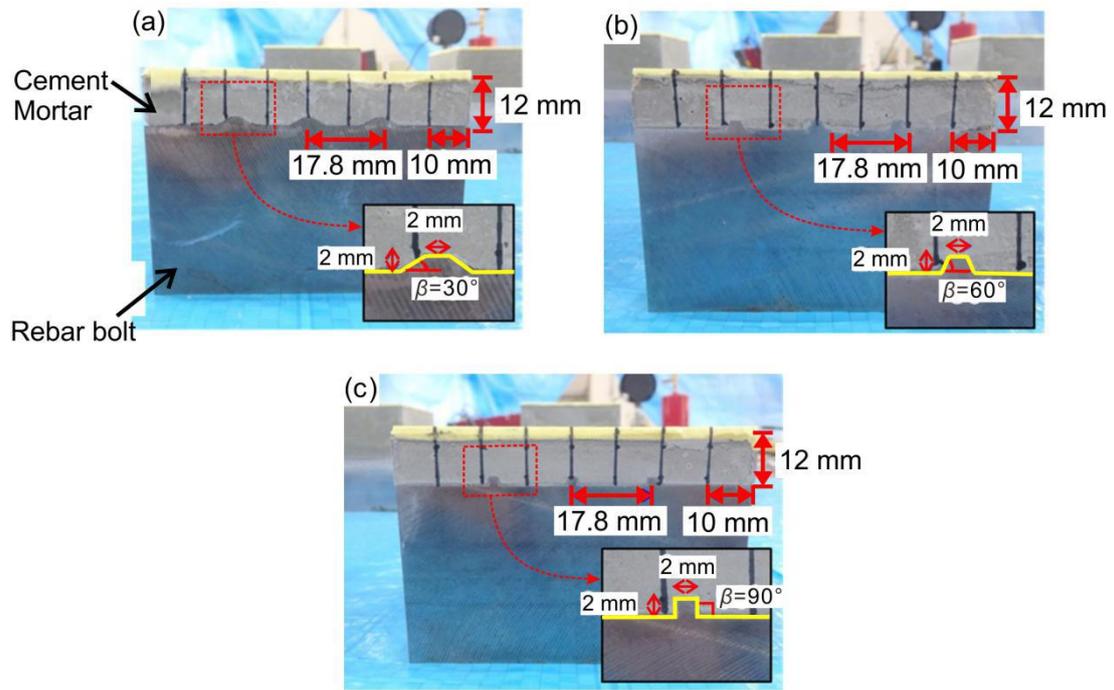
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935 **Fig 2**

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939 **Fig 3**

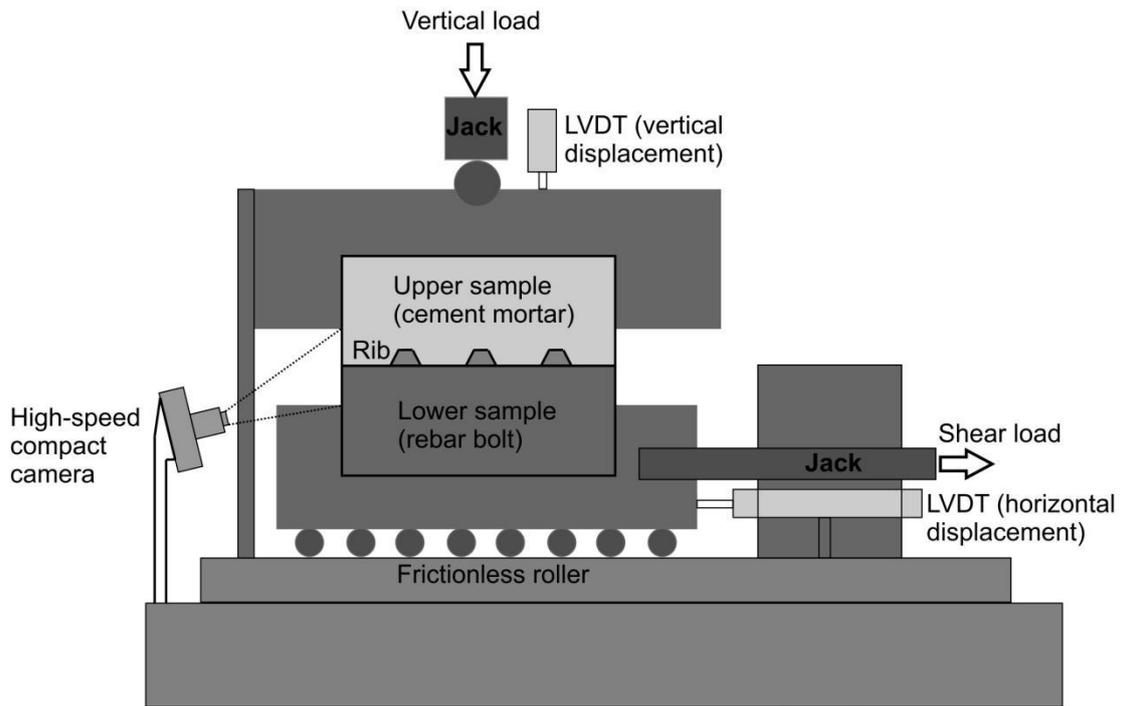
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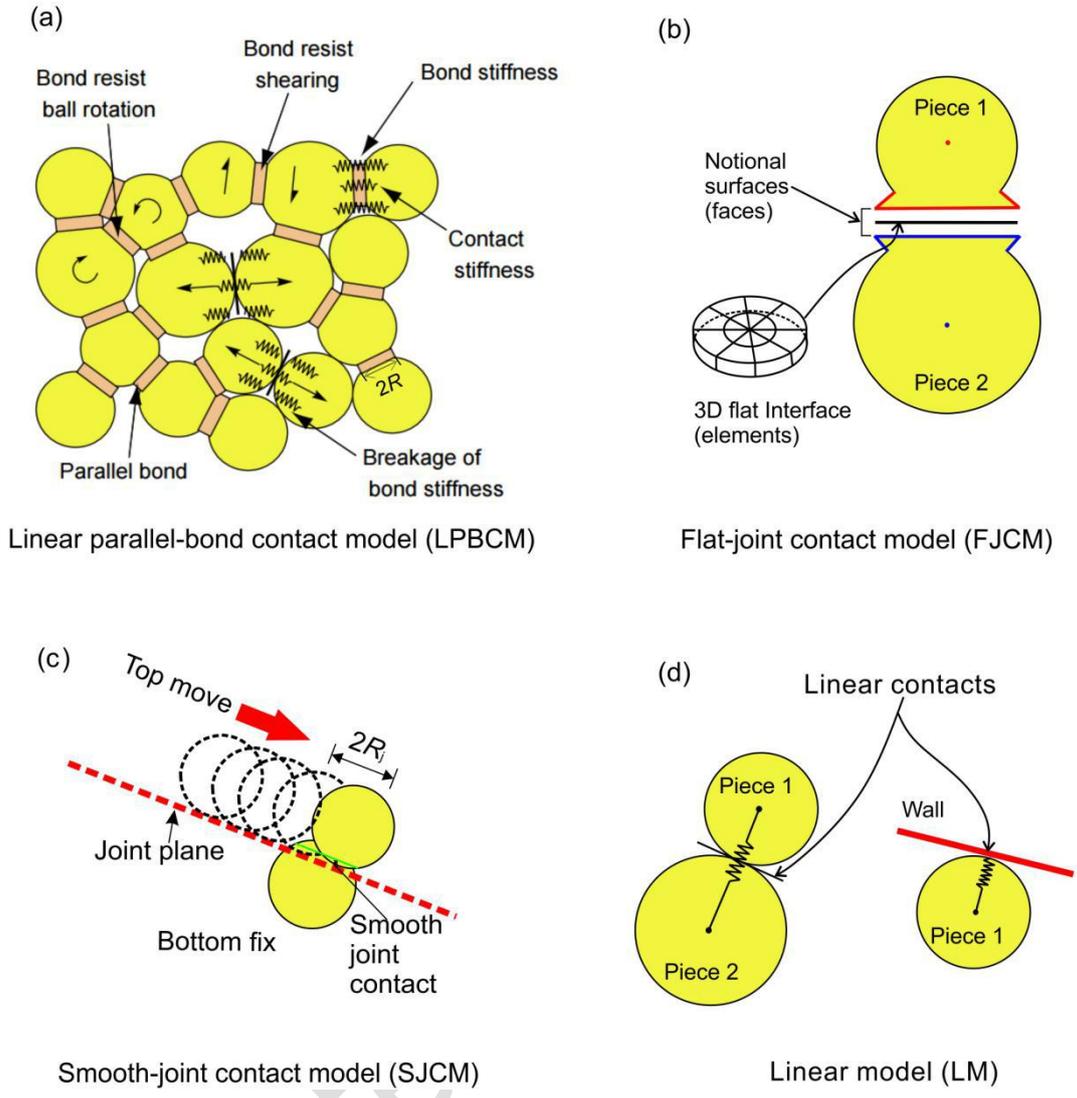
945 **Fig 4**

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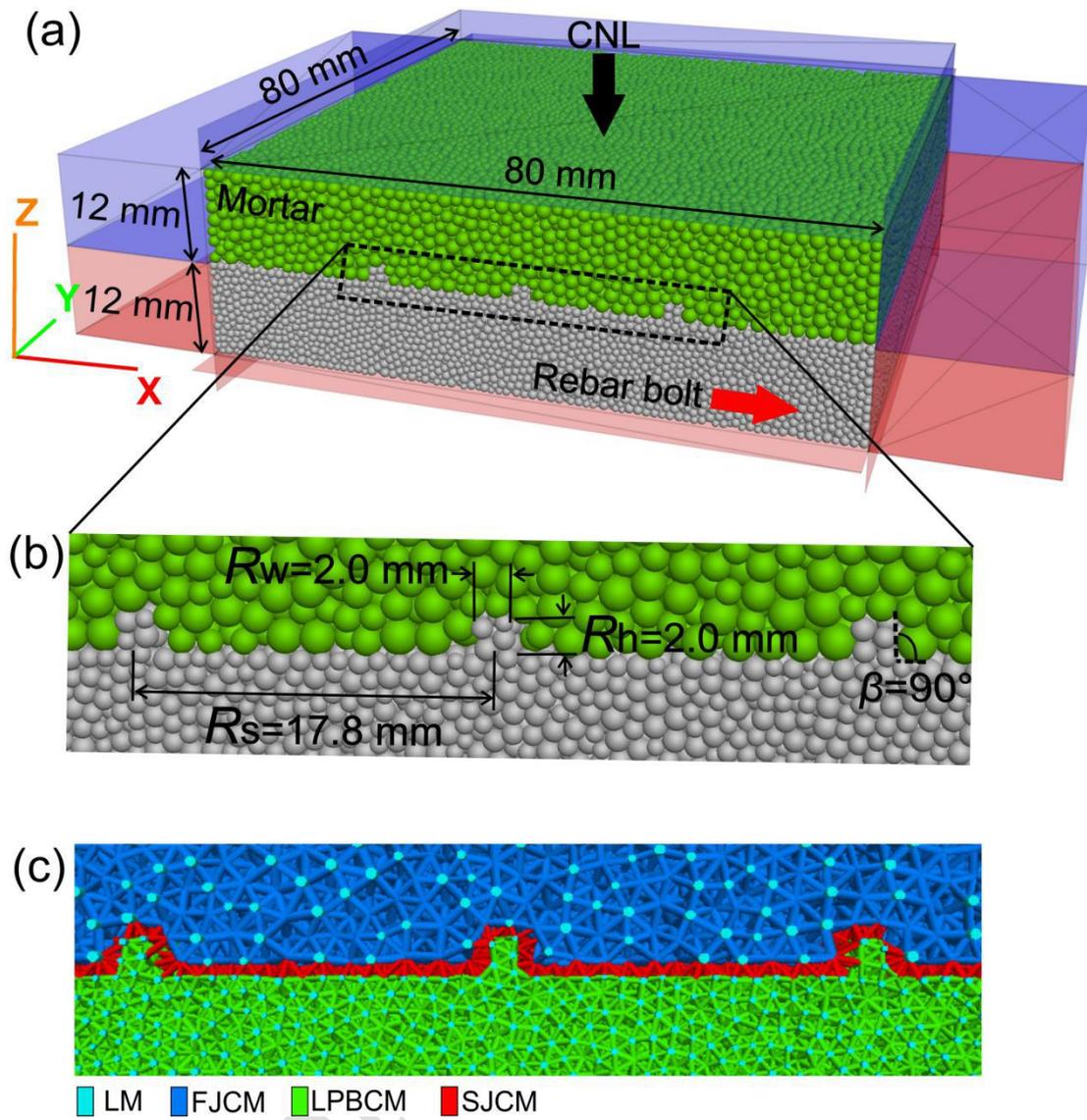
949 Smooth-joint contact model (SJCM)

950 **Fig 5**

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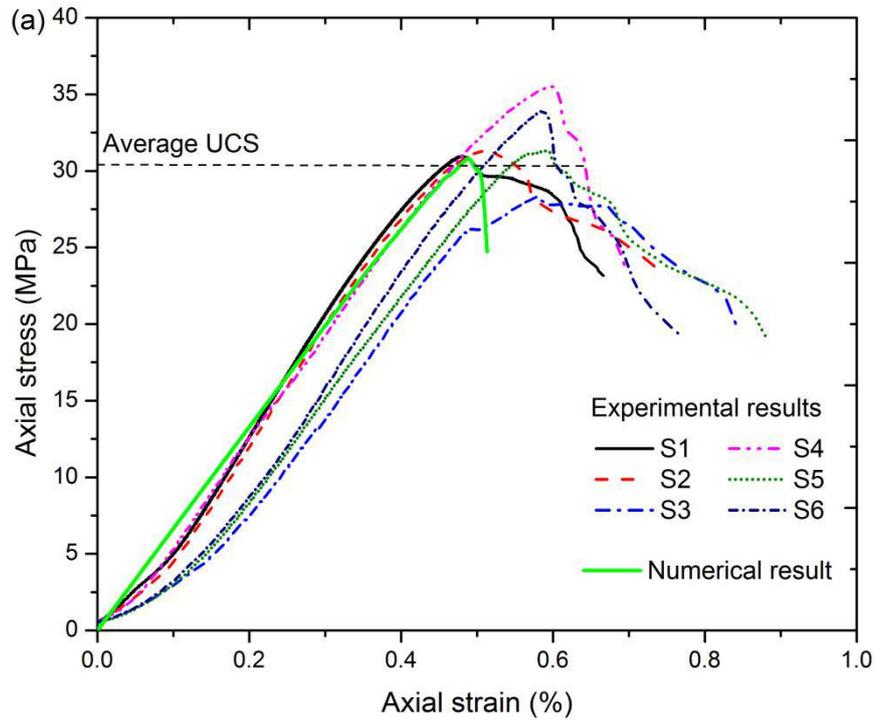


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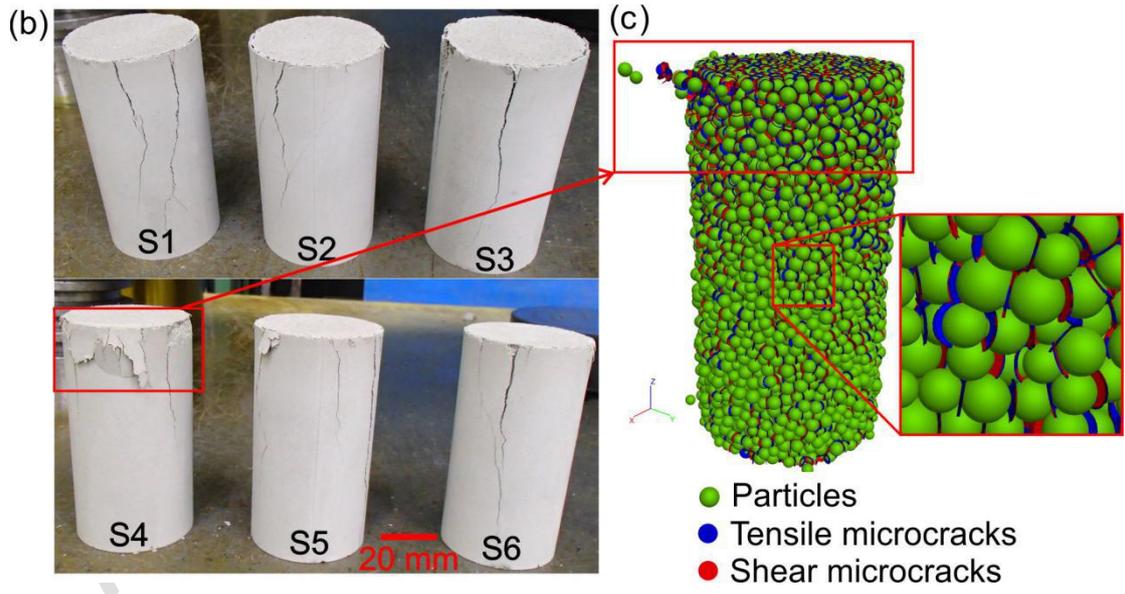
954 **Fig 4**

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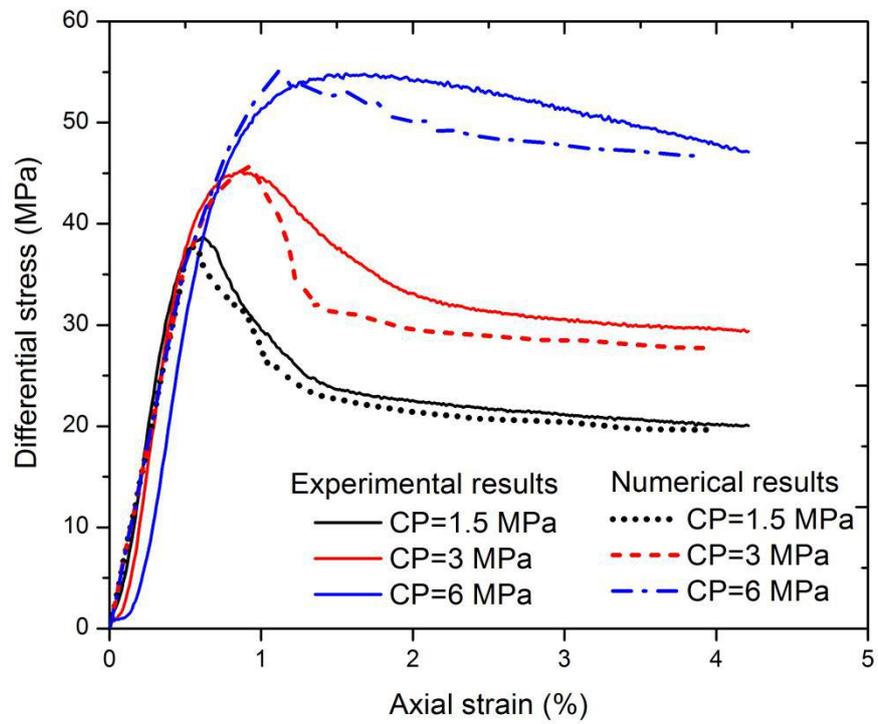
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959 **Fig 7**

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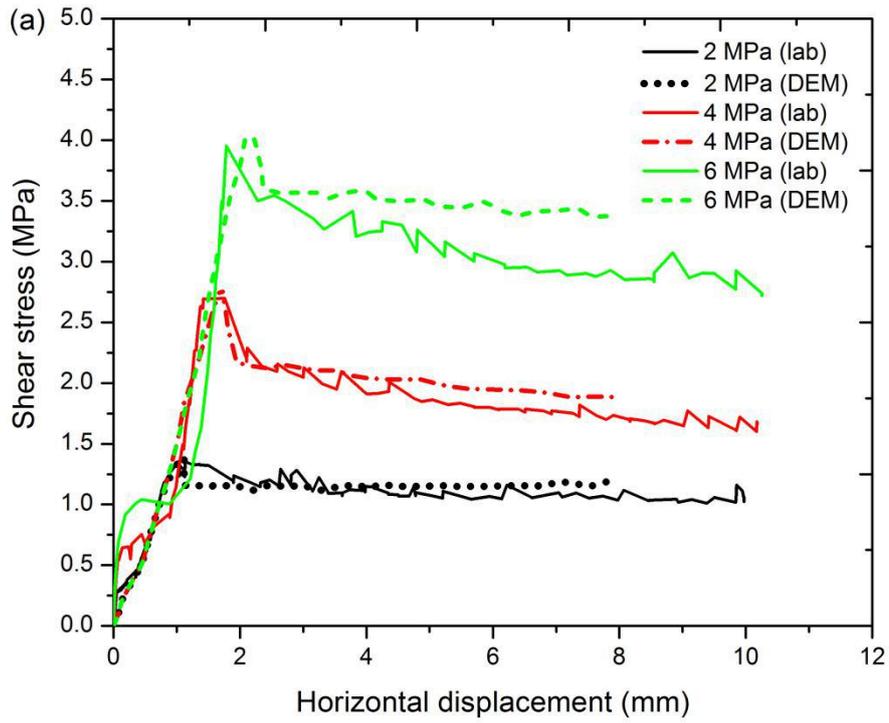
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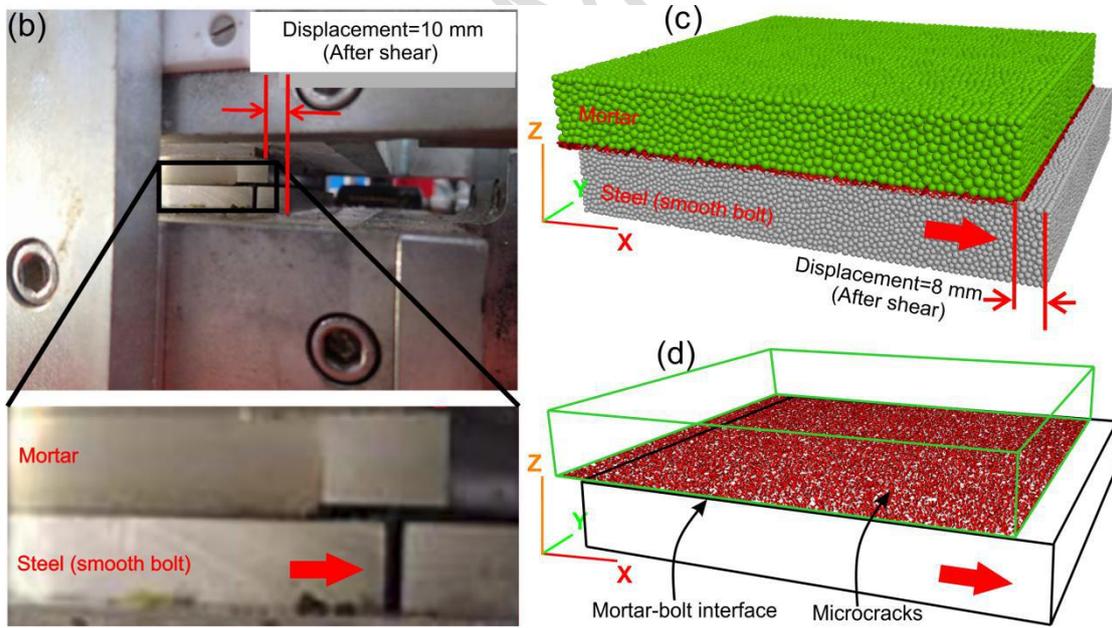
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965 **Fig 8**

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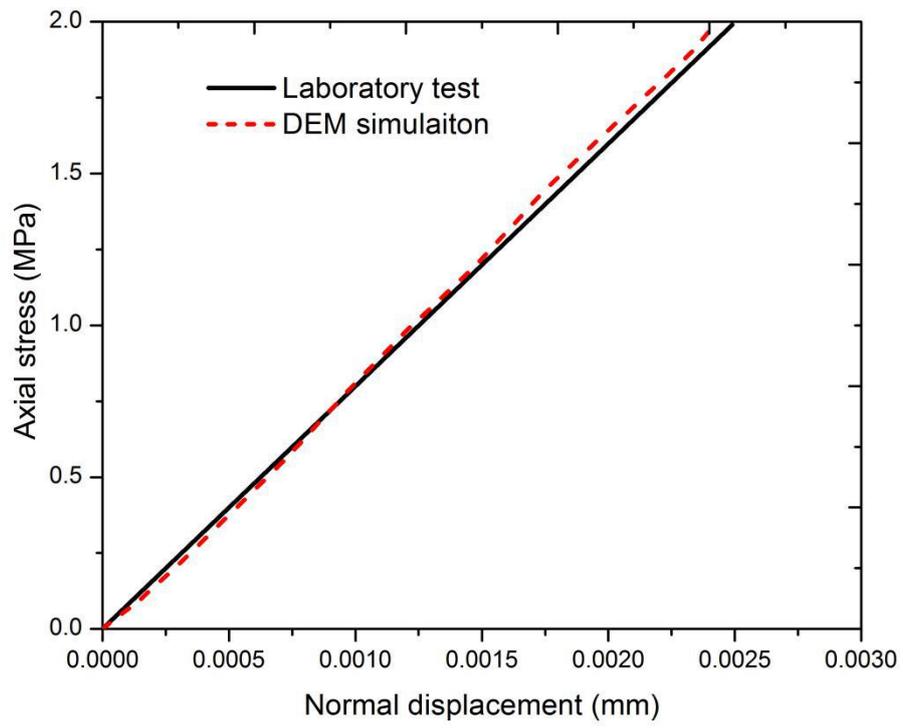


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968 **Fig 9**

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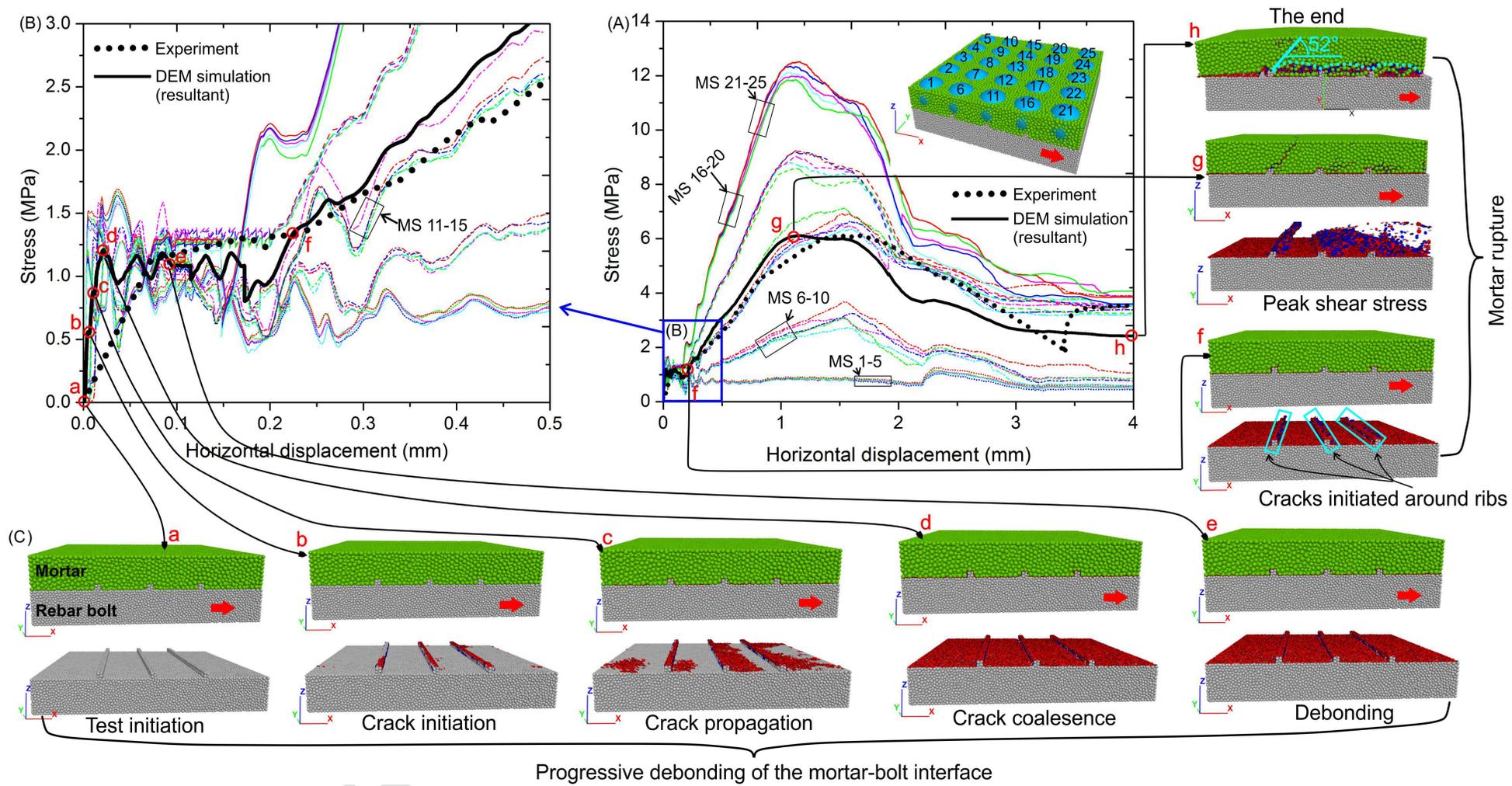
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972 **Fig 10**

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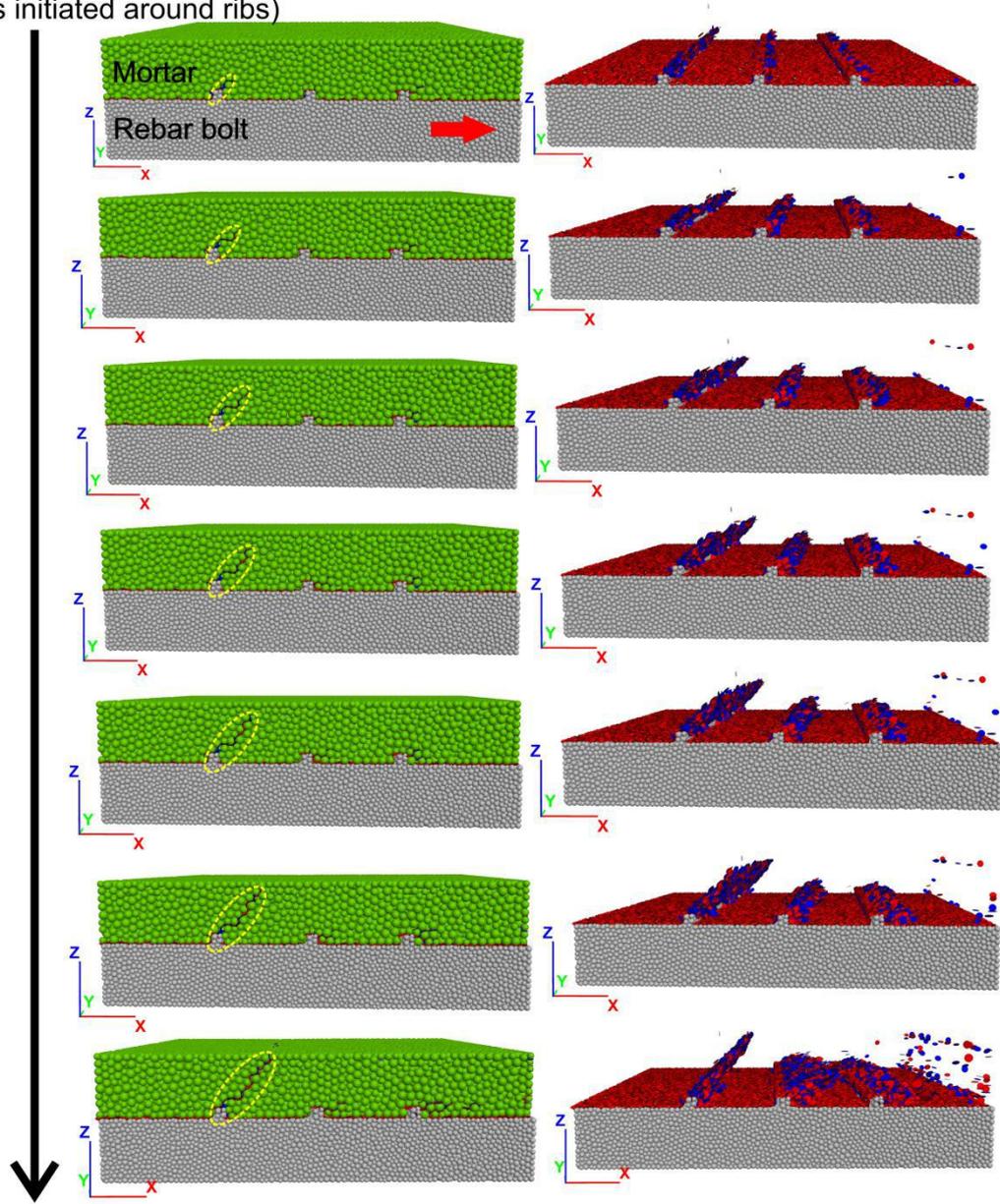
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974 **Fig 11**

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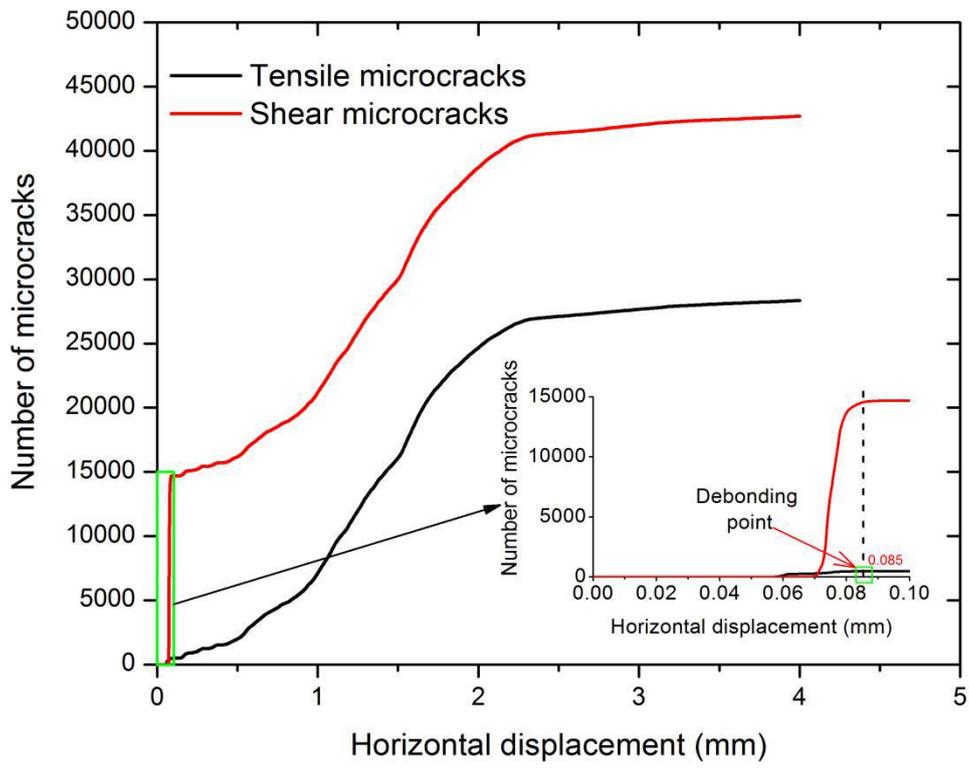
Point f in Fig. 11  
(cracks initiated around ribs)



Point g in Fig.11 (peak shear stress)

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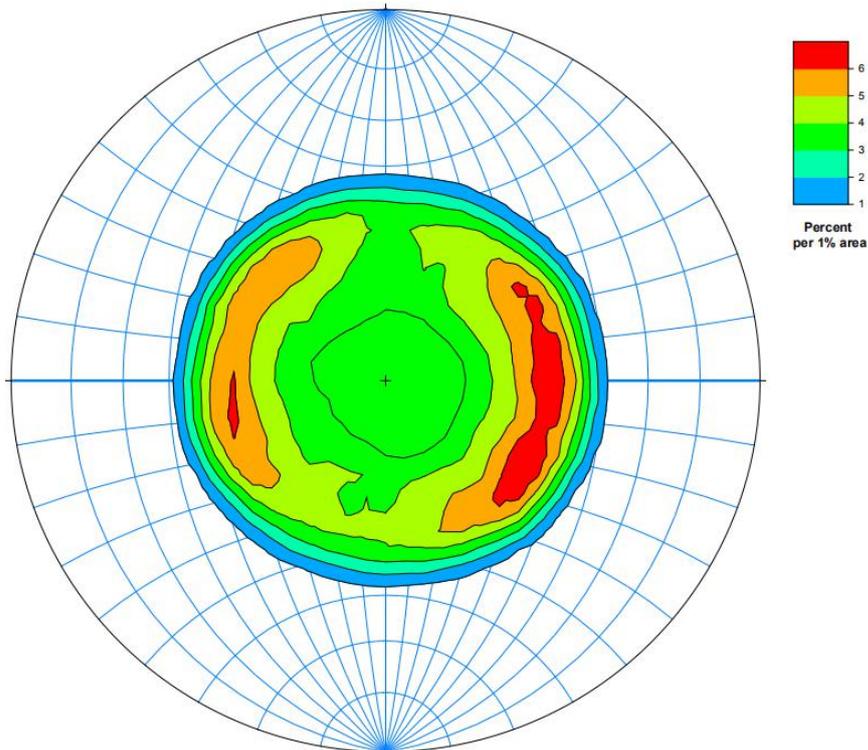
978 **Fig 12**



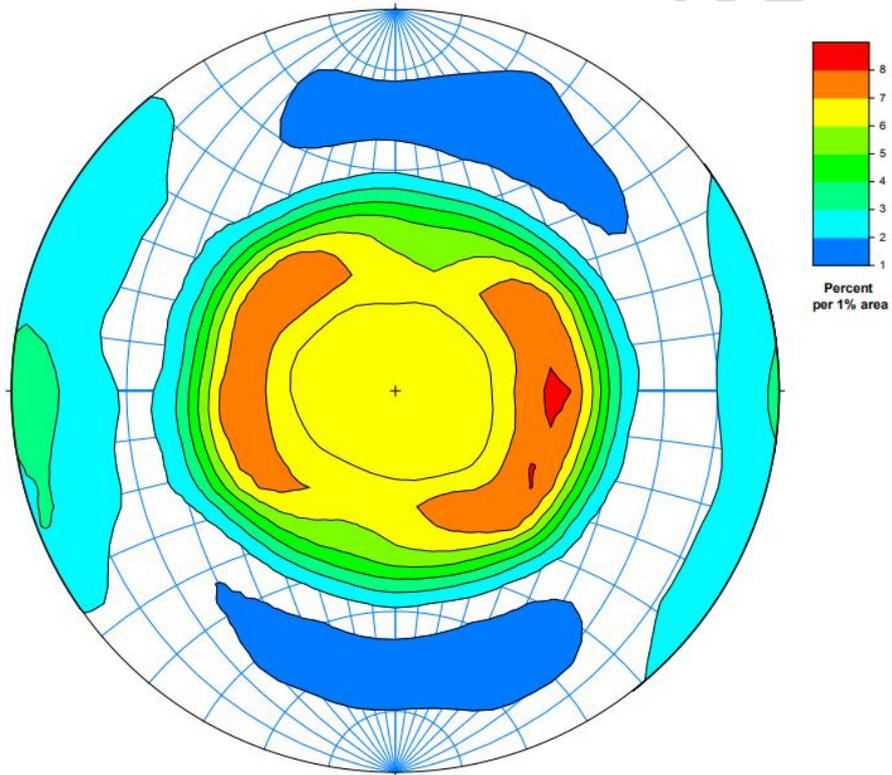
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980 **Fig 13**

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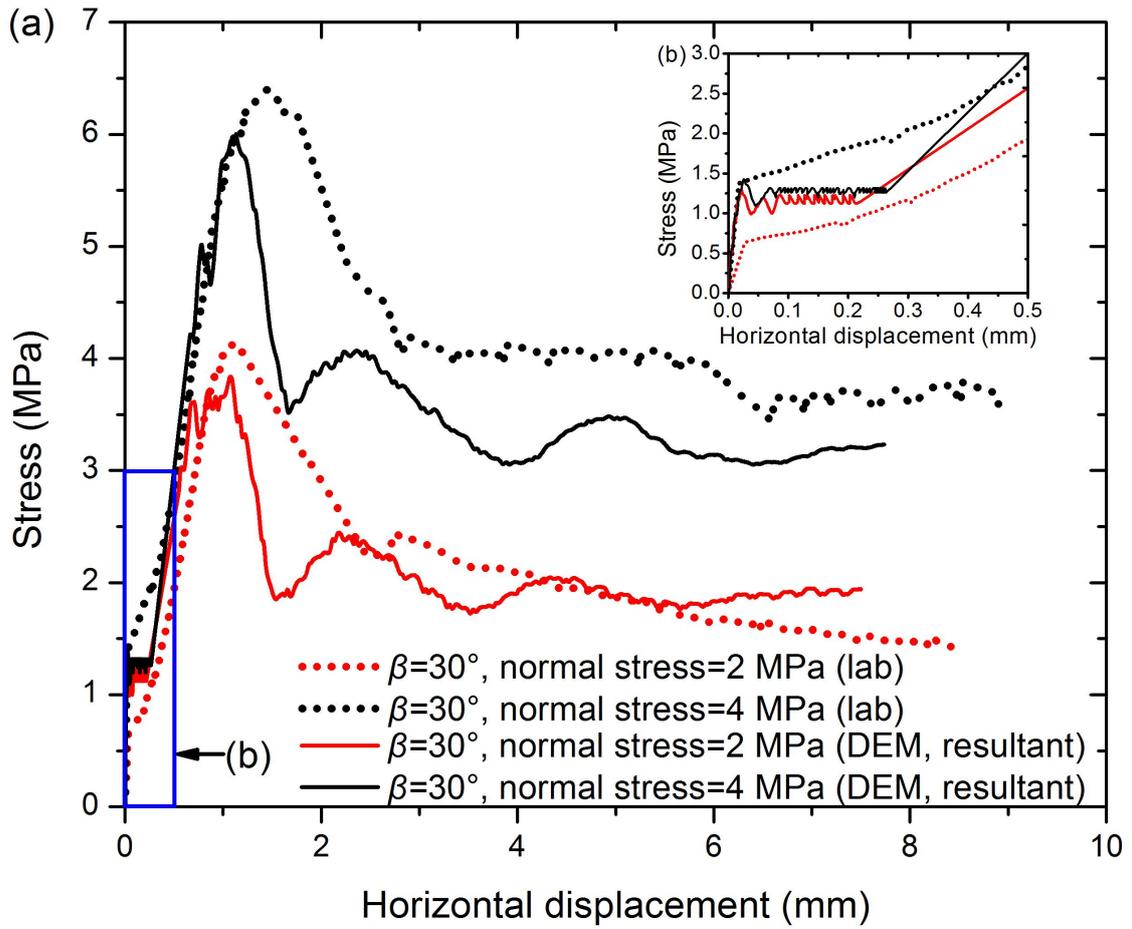


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983 **Fig 14**

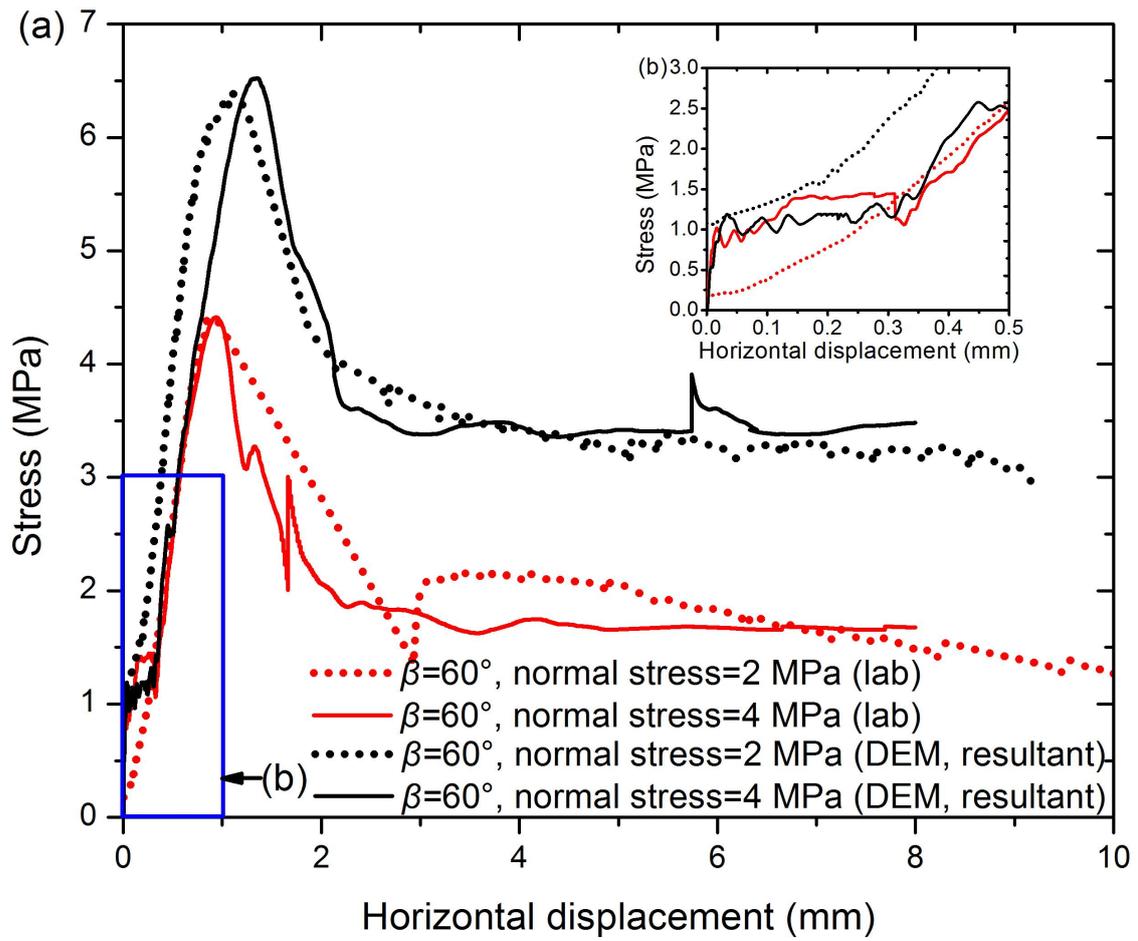


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985 **Fig 15**

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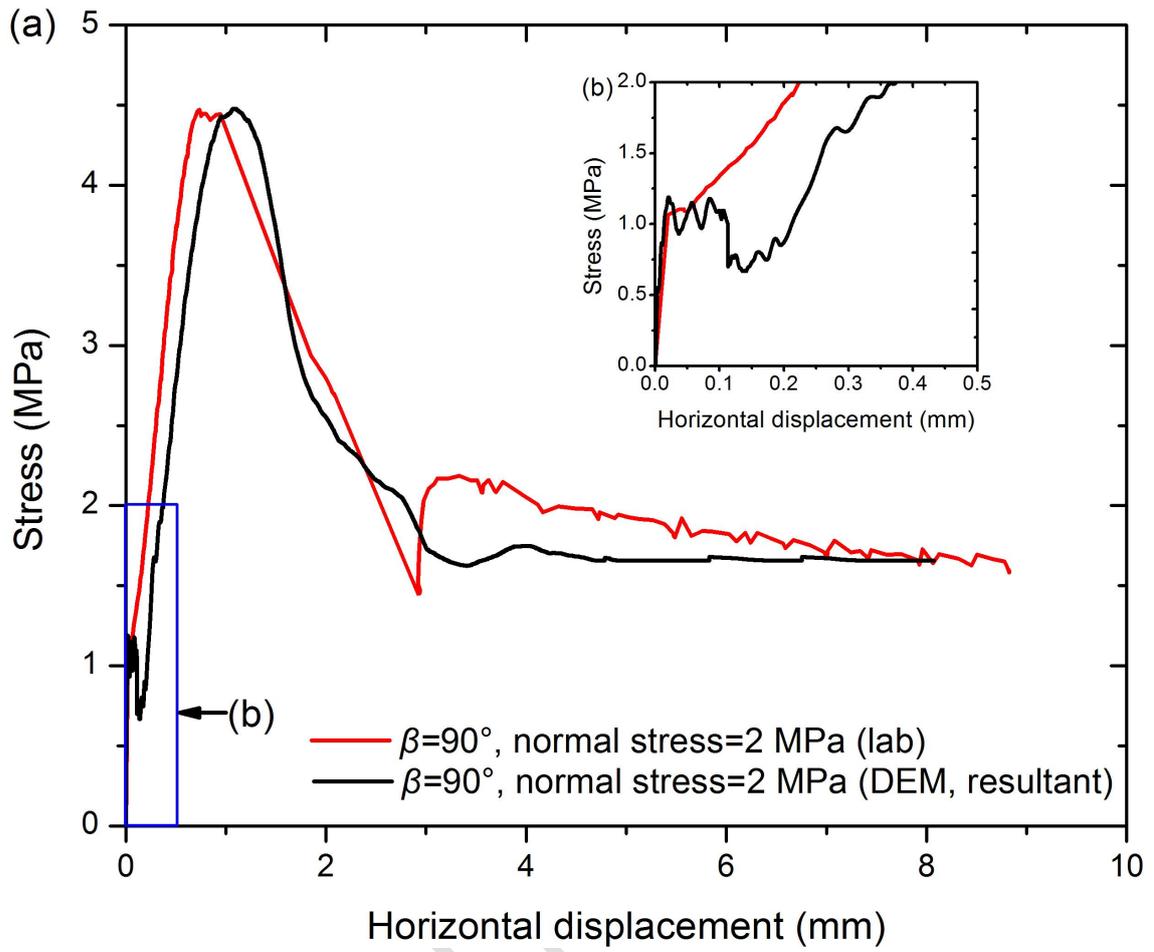
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988 **Fig 16**

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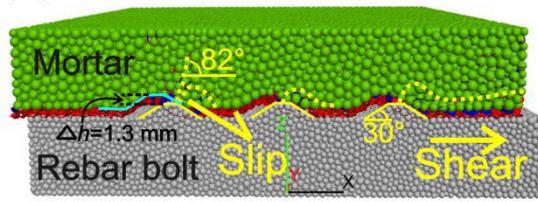


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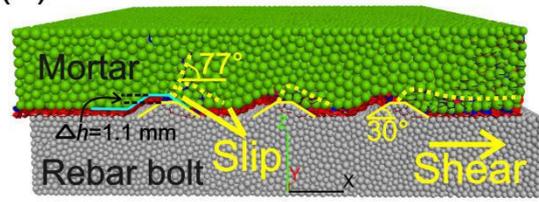
990 **Fig 17**

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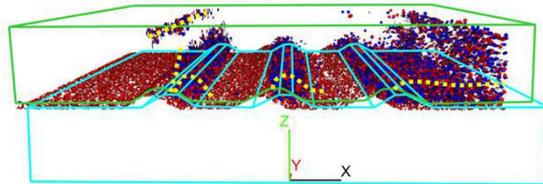
(a)  $\beta=30^\circ$ , NS= 2 MPa



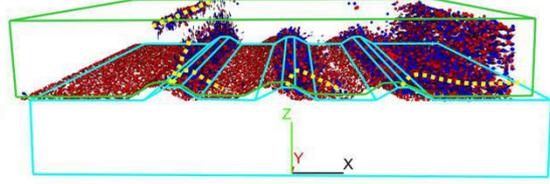
(b)  $\beta=30^\circ$ , NS= 4 MPa



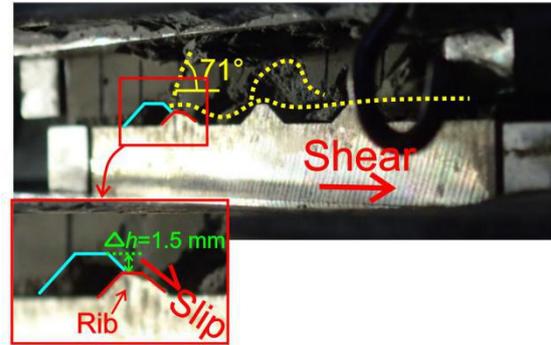
(c)



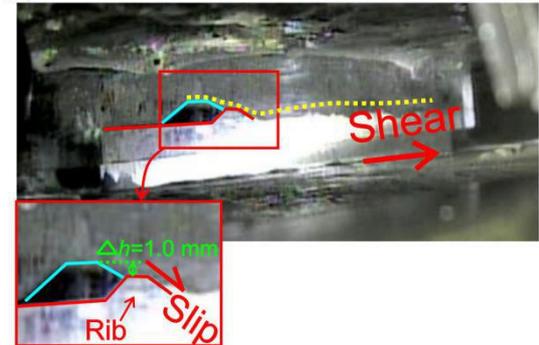
(d)



(e)



(f)



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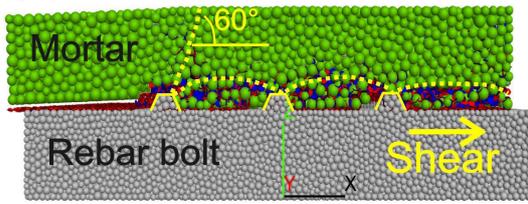
**Fig18**

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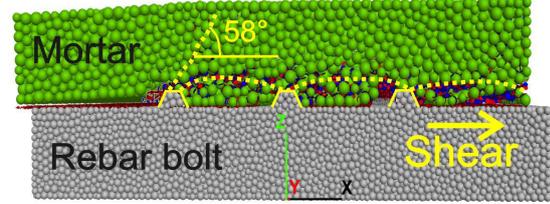
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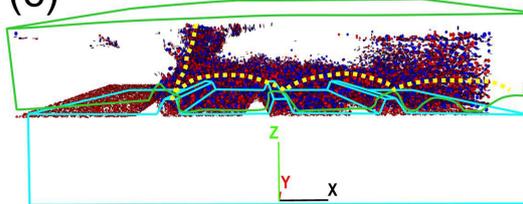
(a)  $\beta=60^\circ$ , NS= 2 MPa



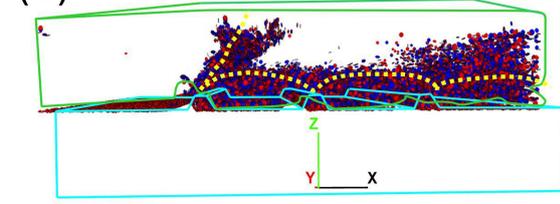
(b)  $\beta=60^\circ$ , NS= 4 MPa



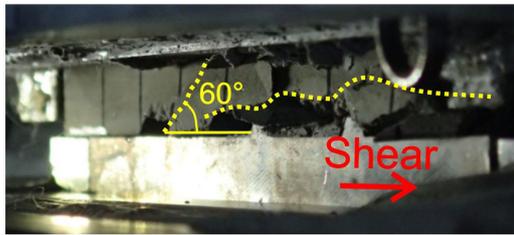
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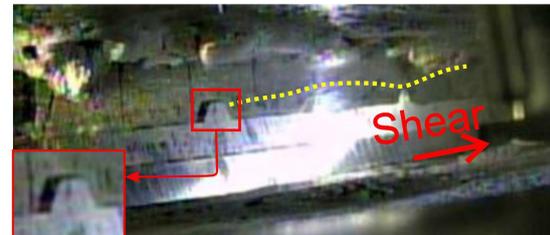
(d)



(e)



(f)



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996 **Fig 19**

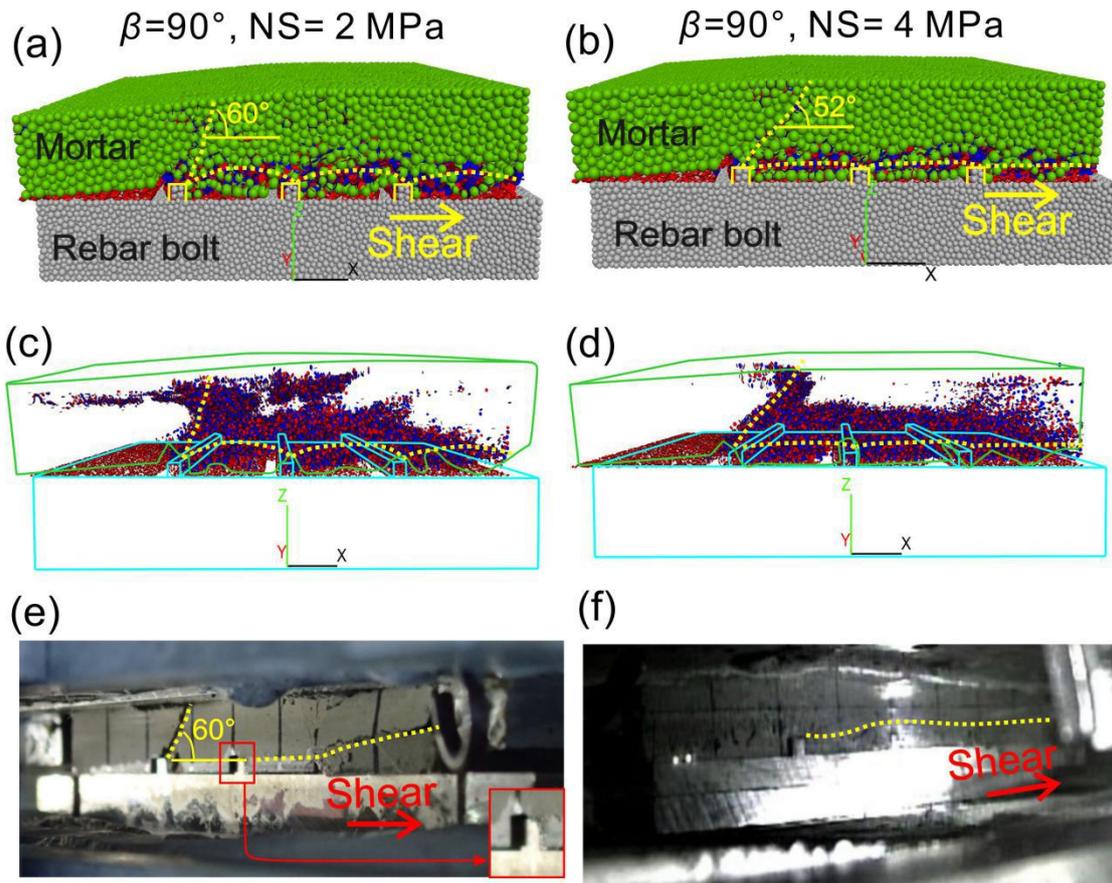
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1003 **Fig 20**

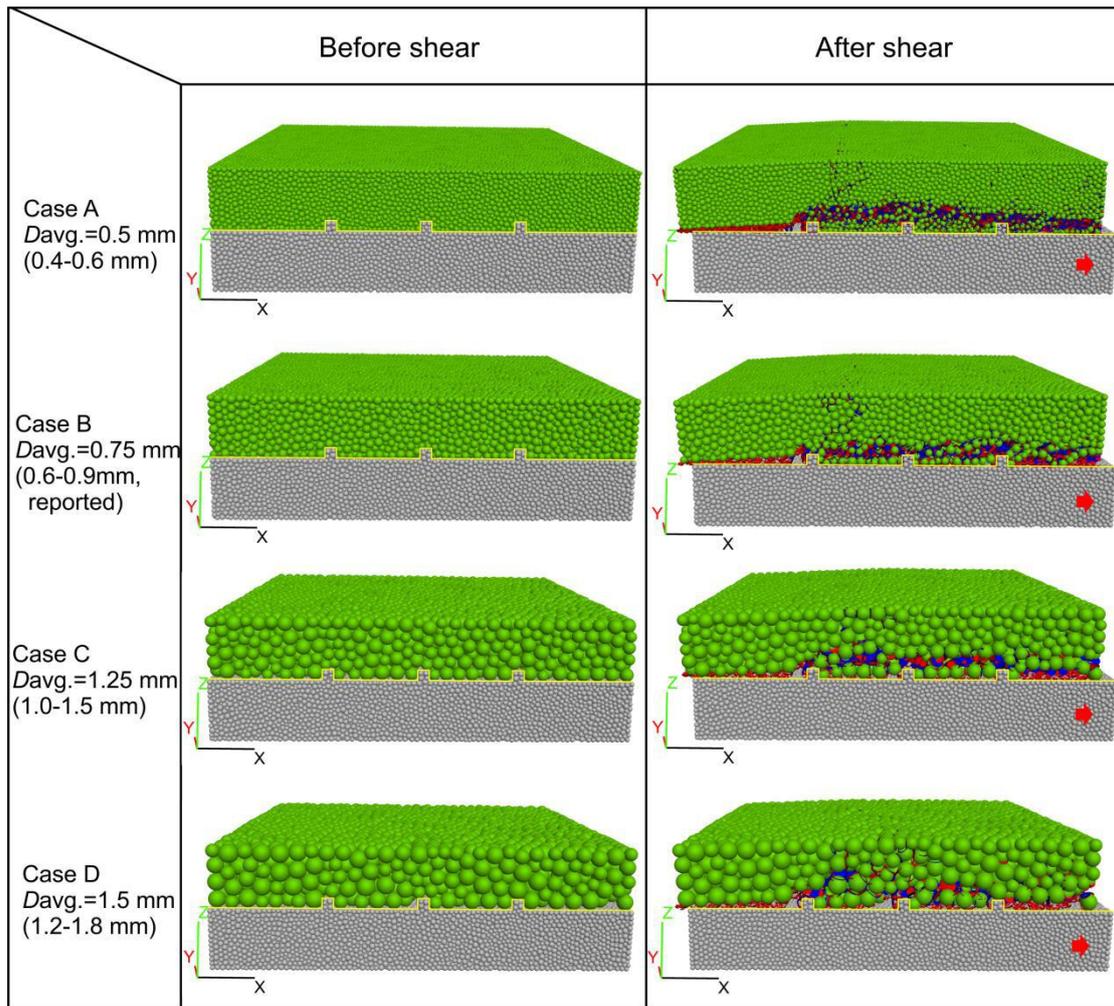
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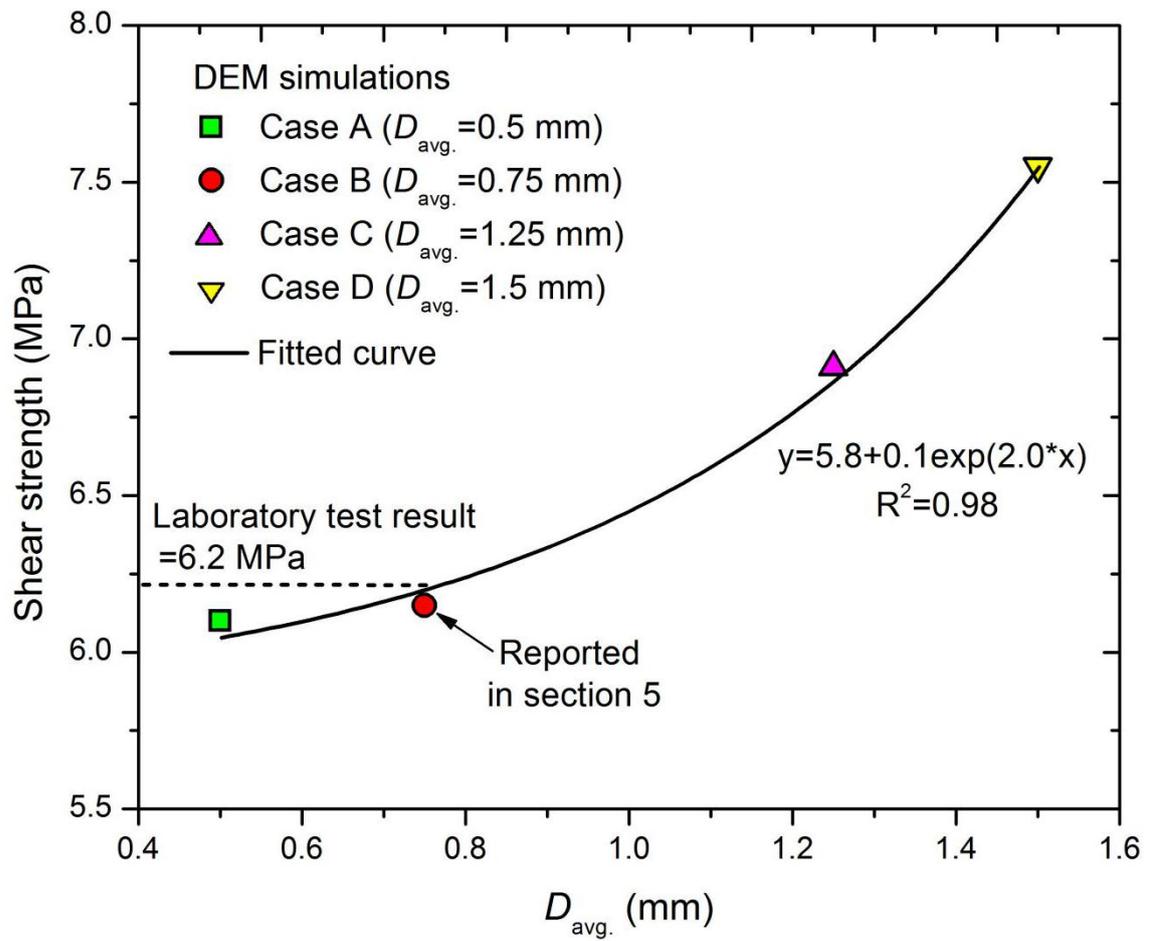
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1010 **Fig 21**

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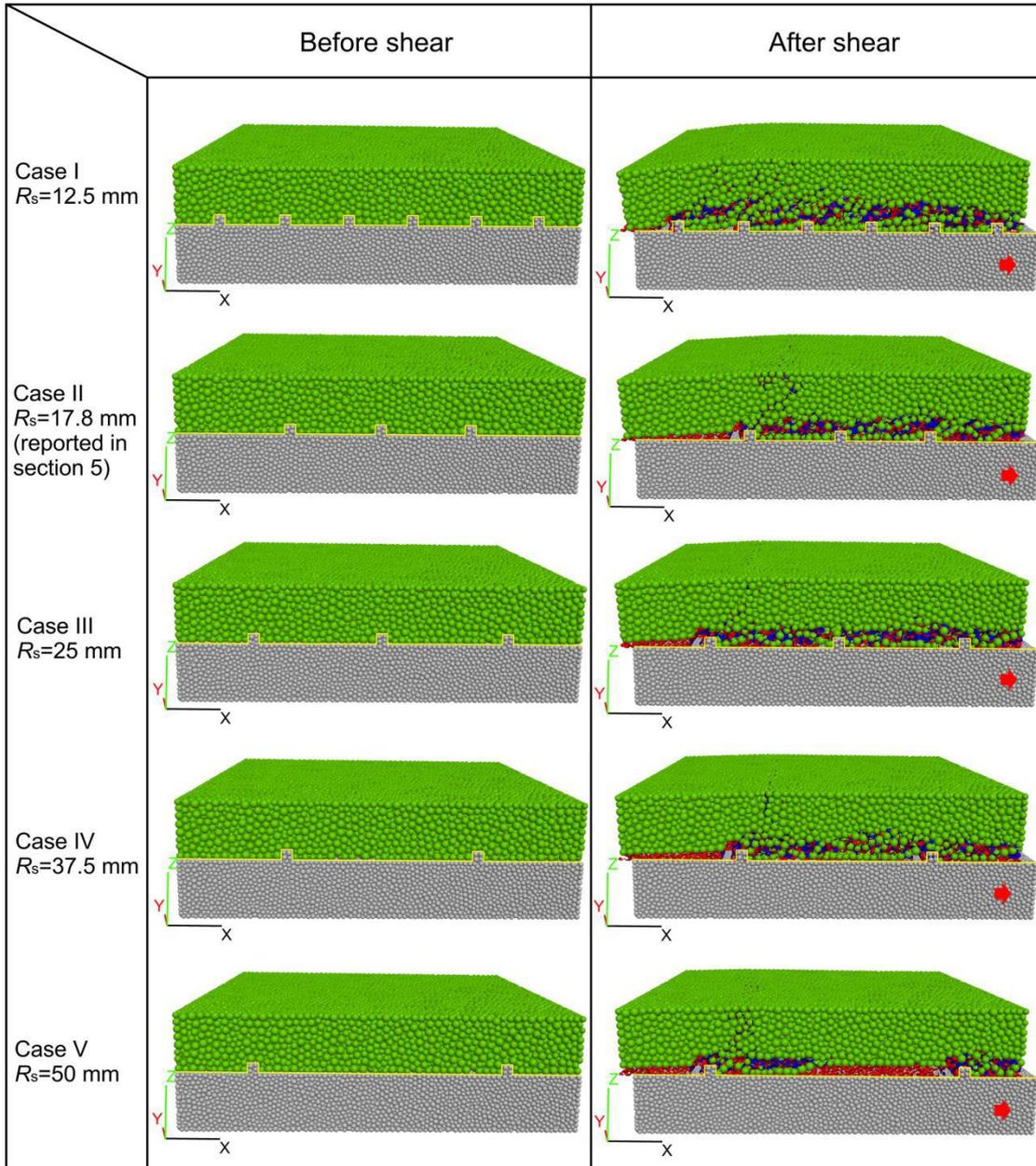
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1012 **Fig 22**

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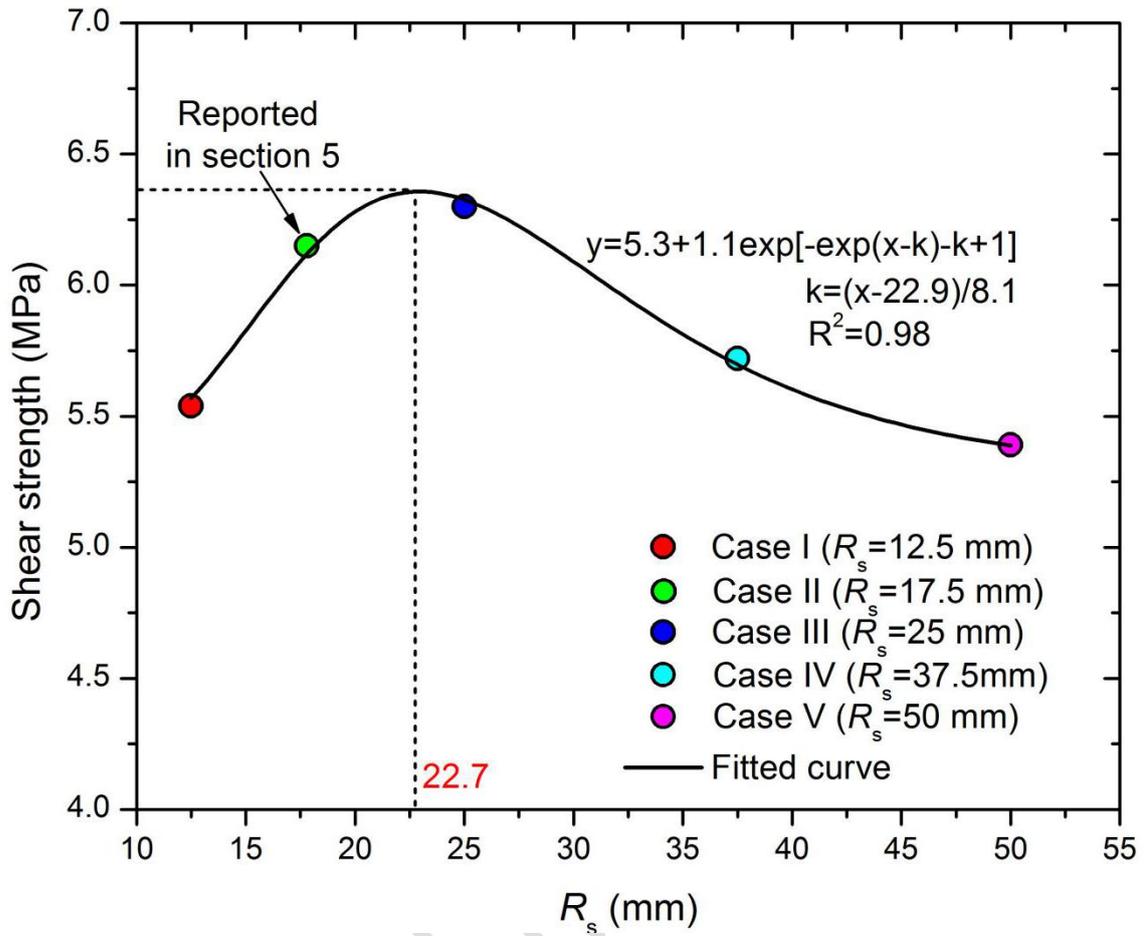


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1016 **Fig 23**

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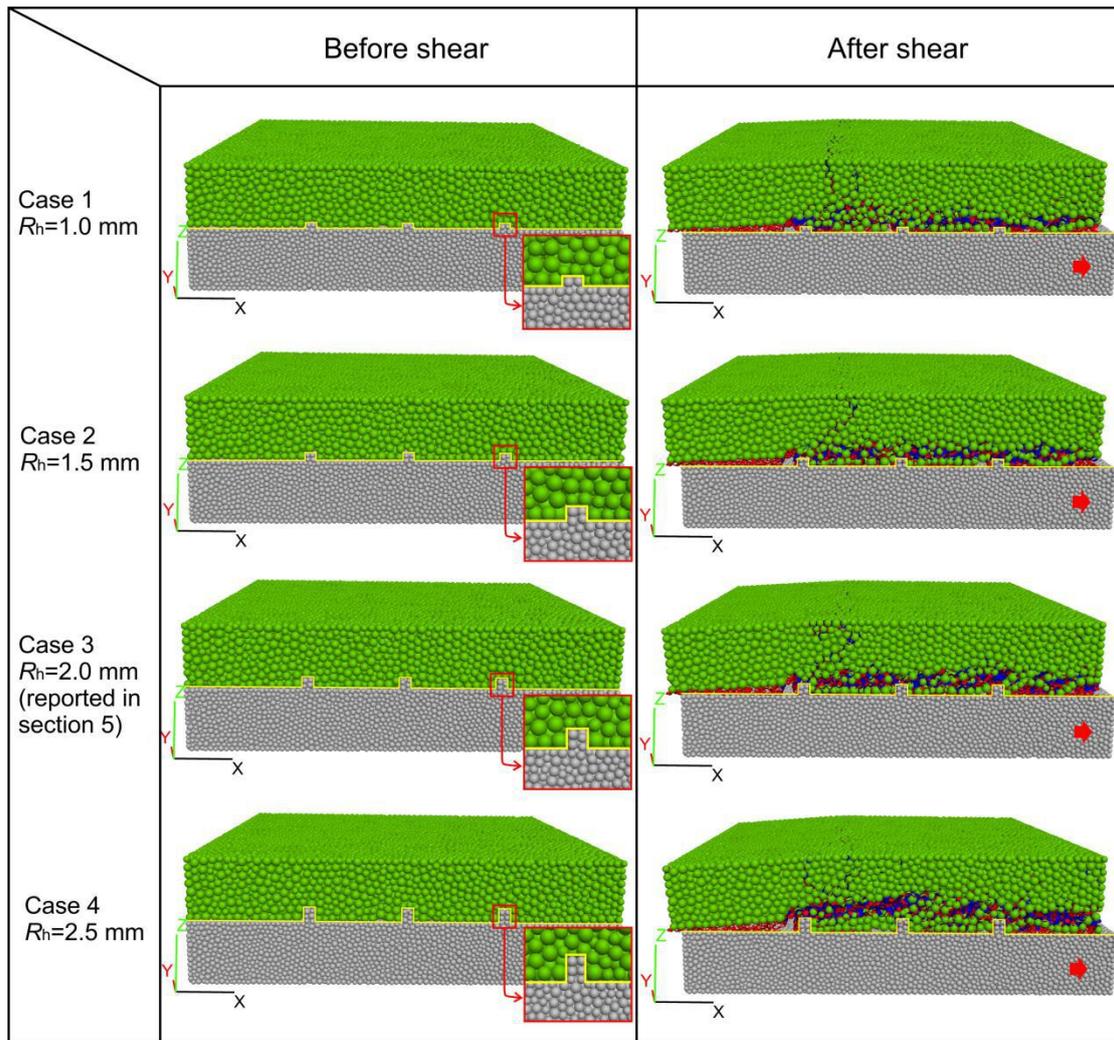
1020 **Fig 24**

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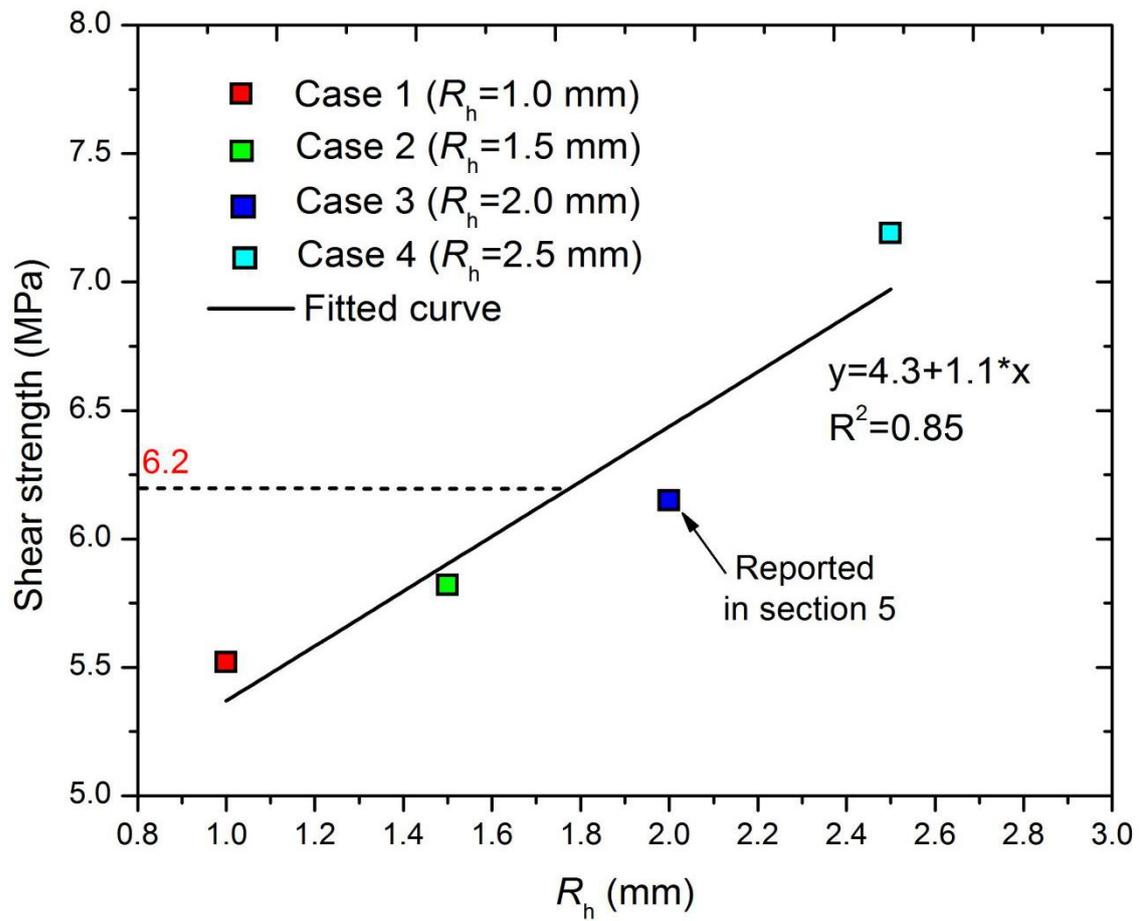


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1026 **Fig 25**

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1029 **Fig 26**

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