

# **3rd International Conference Advanced Mechanics: Structure, Materials, Tribology**

---

## **Stress-Strain State of Earth Dams Considering Soil Moisture**

AIPCP25-CF-AMSMT2025-00044 | Article

PDF auto-generated using **ReView**



# Stress-Strain State of Earth Dams Considering Soil Moisture

Karim Sultanov<sup>1, a)</sup>, Sadillakhon Umarkhonov<sup>1, b)</sup>

<sup>1</sup>*Institute of Mechanics and Seismic Stability of Structures named after M.T. Urazbaev, Uzbekistan Academy of Sciences, Tashkent, Uzbekistan*

<sup>a)</sup> Corresponding author: [sultanov.karim@mail.ru](mailto:sultanov.karim@mail.ru)  
<sup>b)</sup> [umarkhonov@gmail.com](mailto:umarkhonov@gmail.com)

**Abstract.** Earth dams are the most commonly constructed type of dam worldwide. They are made from local materials, making them significantly more cost-effective than concrete dams. When designing earth dams situated in seismic zones, it is crucial to pay special attention to their structural integrity. Each earth dam has unique design specifications and location. The Charvak Dam, built in the Tashkent region, plays a vital role in supplying drinking water and electricity to the population. This article focuses on the dynamic analysis of the stress-strain behavior of earth dams under dynamic loads. A developed method for solving wave problems is employed to determine the stress-strain state of earth structures, specifically earth dams. The finite difference method is utilized to create an algorithm for solving problems, along with calculation formulas of the second-order accuracy in time and space. One of the key advantages of this method is its ability to implement complex nonlinear deformation models that account for structural changes and variations in soil moisture content. Using the Charvak Dam as a case study, the distribution of stresses across the dam's cross-section is determined considering its weight. Additionally, the dynamic response of the earth dam under seismic loads is analyzed numerically. The study quantifies the stress-strain state of the dam and tracks the changes in stresses, strains, and displacements at specific points within the dam over time.

## INTRODUCTION

The potential for catastrophic consequences resulting from the failure of earth dams places a heightened demand on their reliability, which is reflected in relevant design standards. However, the processes that determine the performance of an earth dam built on natural foundations are still not sufficiently studied. Numerous scientists have conducted research on the strength, deformation and stability of earth dams under the influence of dynamic and static forces [1-15]. Predicting changes in stress and strain within earth dams due to various loads—such as the self-weight of the soil, water pressure, and seismic impacts—relies on understanding the soil's deformability and strength under stress conditions. The distribution of stress and strain is significantly influenced by the physical and mechanical properties of the soil within the dam body and its foundation, as well as by the geometric parameters of the structure, fluctuations in reservoir levels, seismic impacts, and other factors. Numerical methods are employed to assess the stress-strain state of dams. The design justification for the strength of an earth dam must be based on conditions that prevent ultimate limit states. Additionally, stress and strain values should be determined through an analysis of various parameters, including the results of stress-strain state calculations for the earth dam. This article aims to develop a method for analyzing the dynamic behavior of earth dams using the principles of the mechanics of deformable rigid bodies and to provide justification for this approach.

## PROBLEM STATEMENT AND SOLUTION

We consider earth dams built on a rigid foundation (see Fig. 1). If the length of the dam is significantly greater than its width and height, its motion can be treated as a plane-strain problem. When seismic forces are applied to the foundations of earth dams (see Fig. 2), the particles within the dam's material begin to move. The equation of motion for an earth dam is as follows:

$$\rho \frac{d\nu_x}{dt} = \frac{\partial S_{xx}}{\partial x} + \frac{\partial P}{\partial x} + \frac{\partial \tau_{xy}}{\partial y}, \quad \rho \frac{d\nu_y}{dt} = \frac{\partial S_{yy}}{\partial y} + \frac{\partial P}{\partial y} + \frac{\partial \tau_{xy}}{\partial x} - \rho g. \quad (1)$$

Here,  $\nu_x, \nu_y$  are the particle velocities in the  $x$  and  $y$  directions;  $S_{xx}, S_{yy}, \tau_{xy}$  are the deviator stress components;  $\rho$  is the density of the medium;  $P$  is the pressure.

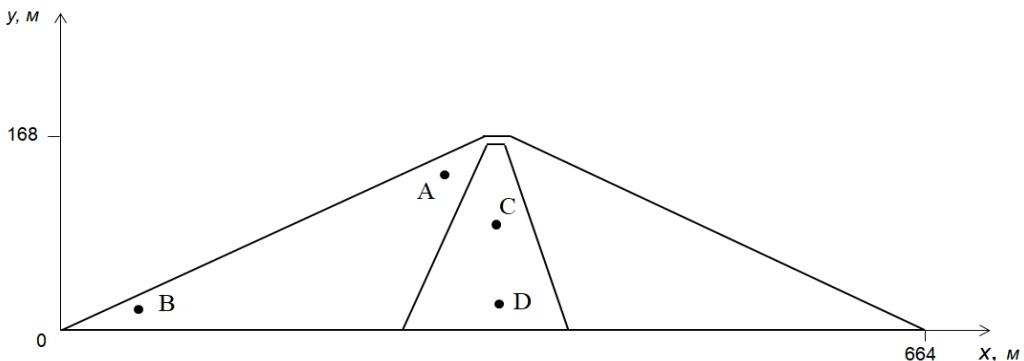


FIGURE 1. Cross-section of an earth dam

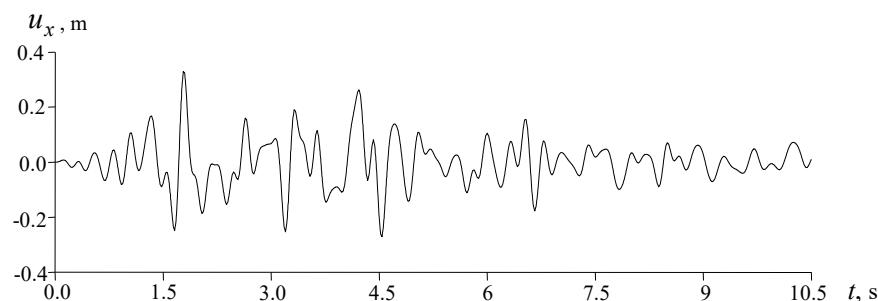


FIGURE 2. Velocigrams recorded during the earthquake at the base of the Charvak Dam

Naturally, the total stresses are determined by the following formulas:

$$\sigma_{xx} = S_{xx} + P, \quad \sigma_{yy} = S_{yy} + P, \quad \sigma_{zz} = S_{zz} + P. \quad (2)$$

The dam deformation model is taken in the form of nonlinear equations:

$$\dot{P} = -\left(\lambda + \frac{2}{3}\mu\right) \frac{\dot{V}}{V}, \quad (3)$$

$$\frac{dS_{xx}}{dt} + \lambda S_{xx} = 2G\left(\frac{d\varepsilon_{xx}}{dt} - \frac{dV}{3Vdt}\right), \quad \frac{dS_{yy}}{dt} + \lambda S_{yy} = 2G\left(\frac{d\varepsilon_{yy}}{dt} - \frac{dV}{3Vdt}\right), \quad (4)$$

$$\frac{dS_{zz}}{dt} + \lambda S_{zz} = 2G\left(\frac{d\varepsilon_{zz}}{dt} - \frac{dV}{3Vdt}\right), \quad \frac{d\tau_{xy}}{dt} + \lambda \tau_{xy} = 2G \frac{d\tau_{xy}}{dt}. \quad (5)$$

The general dependence of the ultimate strength vs pressure in the generalized von Mises condition has the following form:

$$S_{xx}^2 + S_{yy}^2 + S_{zz}^2 + 2\tau_{xy}^2 \leq \frac{2}{3} [Y(P)]^2 \quad (6)$$

$$Y(P) = Y_0 + \frac{\mu P}{1 + \mu P/(Y_{PL} - Y_0)}, \quad (7)$$

Here,  $K$  and  $G$  are the bulk compression and shear moduli, respectively;  $V=\rho_0/\rho$  is the relative volume;  $Y_0$  is the cohesion;  $\mu$  is the friction coefficient;  $Y_{PL}$  is the ultimate shear strength of the rock fill;  $\lambda$  is the functional defined by the following formulas:

$$\lambda = \frac{3W}{2Y^2} H(W), \quad H(W) = \begin{cases} 1, & \text{at } W \geq 0 \\ 0, & \text{at } W < 0 \end{cases}, \quad W = 2\mu \left\{ \sum_{j=x,y,z} S_{jj} \left( \frac{d\varepsilon_{jj}}{dt} - \frac{1}{3} \frac{dV}{V dt} \right) + \tau_{xy} \frac{d\varepsilon_{xy}}{dt} \right\}. \quad (8)$$

It is necessary to add to the system of equations (1)–(7) the relations linking the components of the strain rates with the mass velocities. The soil continuity equation has the following form:

$$\frac{d\varepsilon_{xx}}{dt} = \frac{\partial U_x}{\partial x}, \quad \frac{d\varepsilon_{yy}}{dt} = \frac{\partial U_y}{\partial y}, \quad \frac{d\varepsilon_{xy}}{dt} = \frac{1}{2} \left( \frac{\partial U_y}{\partial x} + \frac{\partial U_x}{\partial y} \right). \quad (9)$$

$$\cdot \frac{dV}{dt} - V \cdot \left( \frac{\partial U_x}{\partial x} + \frac{\partial U_y}{\partial y} \right) = 0. \quad (10)$$

Consider the mechanical parameters of soil as functions depending on the moisture content in the following form:

$$K(I_w) = K_{sat} \exp(\alpha_K (1 - I_w)) \quad (11)$$

$$G(I_w) = G_{sat} \exp(\alpha_G (1 - I_w)) \quad (12)$$

$$c(I_w) = c_{sat} \exp(\beta(1 - I_w)) \quad (13)$$

$$\mu(I_w) = \mu_{sat} \exp(\gamma(1 - I_w)) \quad I_w = W/W_{sat} \quad (14)$$

$$Y(P, I_w) = c(I_w) + \mu(I_w) \cdot P \quad (15)$$

Here,  $K_{sat}$  is the modulus of volume compression,  $G_{sat}$  is the modulus of shear,  $c_{sat}$  is the cohesion force,  $\mu_{sat}$  is the coefficient of the angle of internal friction of completely saturated soil.  $I_w$  is the parameter of the extent of soil moisture content;  $W$  is the current soil moisture content;  $W_{sat}$  is the moisture content corresponding to complete water saturation.

Thus, the system of differential equations (1)–(15) is closed and, with initial and boundary conditions, describes the pattern of dynamic behavior and stress-strain state of an earth dam. The slopes and crest of the dam are assumed to be stress-free. The initial conditions are assumed to be zero.

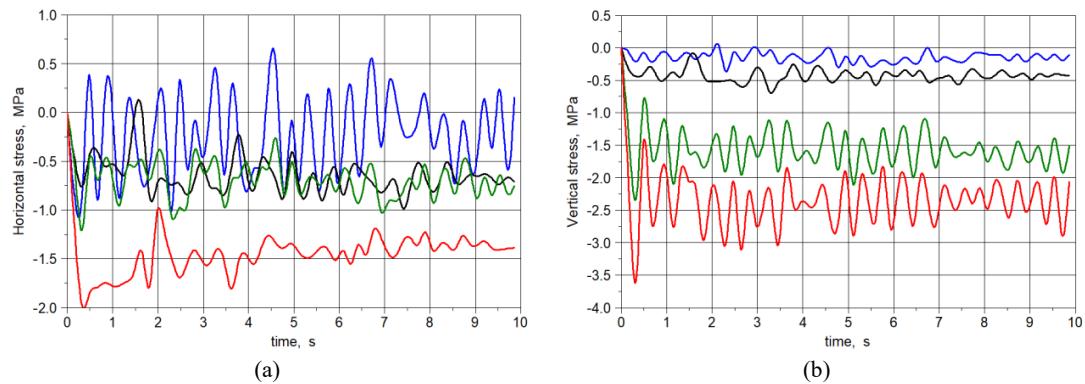
The geometric dimensions of the earth dam are: height – 168 m, upper section width – 12 m, lower section width – 664 m, upper slope – 1:2, lower slope – 1:1.9, central core widths – 110 and 12 m. The following physical and mechanical parameters of the earth dam were taken: for the slope: the density - 1980 kg/m<sup>3</sup>, the modulus of elasticity -  $E_{dam}=6210$  MPa, the Poisson's ratio -  $\nu_{dam}=0.3$ . The slope strength indicators (cohesion, friction coefficient, ultimate shear strength) were  $Y_0=\mu/800$ ,  $\mu=0.4$ ,  $Y_{dam}=20Y_0$ . For the core: the density - 1760 kg/m<sup>3</sup>; the modulus of elasticity -  $E_{core}=3105$  MPa; the Poisson's ratio -  $\nu_{core}=0.3$ . The slope strength indicators (cohesion, friction coefficient, ultimate shear strength) were  $Y_0=\mu/1000$ ,  $\mu=0.3$ ,  $Y_{core}=20Y_0$ .

## RESULTS

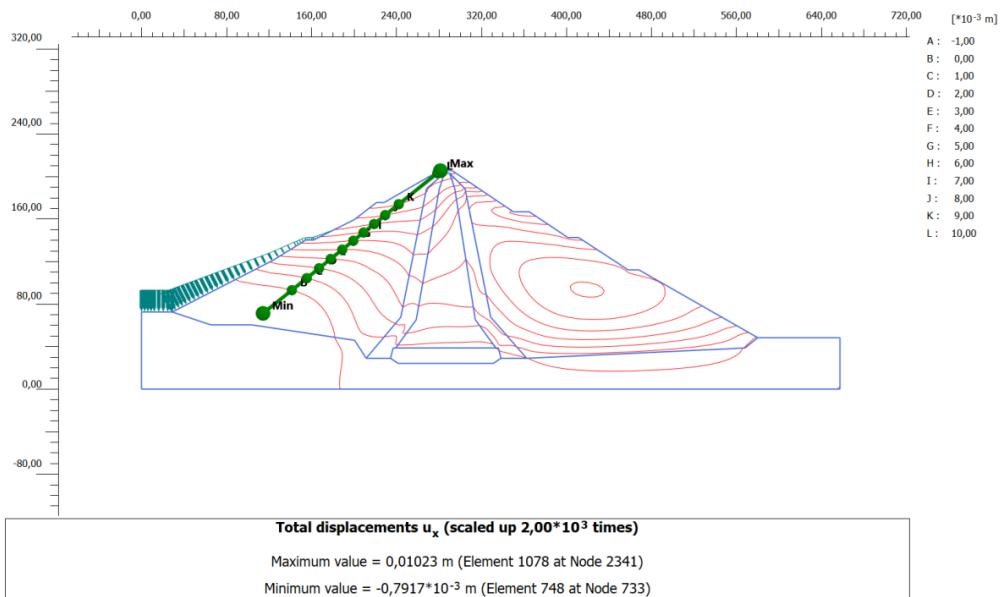
We will consider numerical solutions to the dynamic problems posed, using the finite difference method and the scheme proposed by M. Wilkins for a quadrilateral mesh. In non-stationary problems, one independent variable—time ( $t$ ) - is particularly important. Discretization of the problem with respect to this variable means that the calculation is performed with discrete time steps, each representing the transition from the state at time  $t_0$  to the state at time  $t_0 + \Delta t$ . The advantage of Wilkins' scheme is that the time step  $\Delta t$  is automatically determined during the calculation process based on stability and accuracy, allowing it to be adjusted as needed.

To solve the static problem, we used the Plaxis 2D program, which is based on the finite element method. In this case, the water pressure and moisture content of the earth dam were taken into account.

For the dynamic forces, we applied harmonic forces. When a harmonic load is applied to the foundation of an earth dam, it causes movement in the particles within the dam body, resulting in deformation of the soil inside the dam.



**FIGURE 3.** Change in horizontal (a) and vertical (b) stresses over time.  
The blue line is point A, the green line is point B, the black line is point C, and the red line is point D.



**FIGURE 4.** Isolines of horizontal displacements on the cross-section of the dam

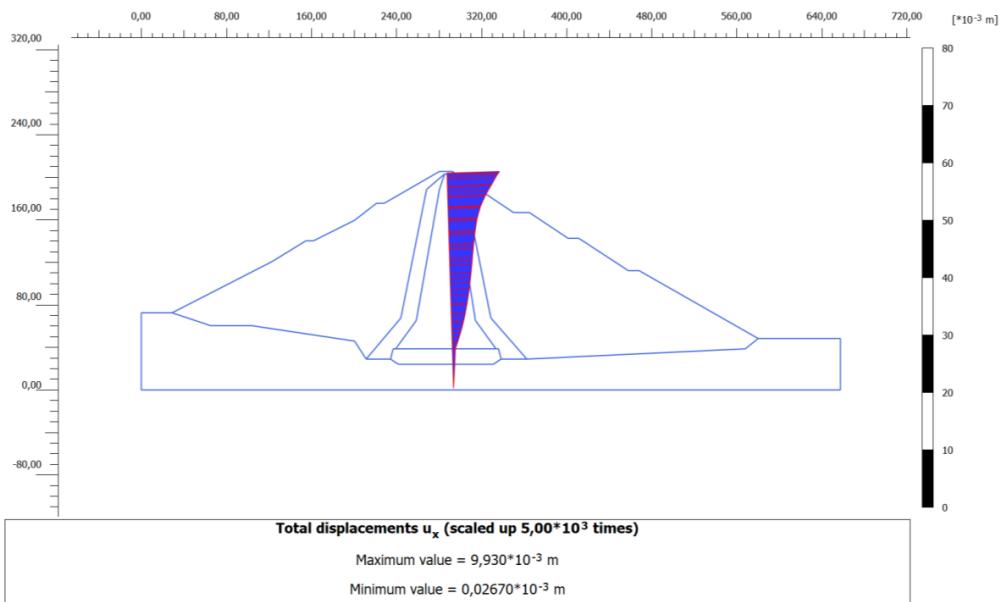


FIGURE 5. Horizontal displacement diagram in the middle of an earth dam

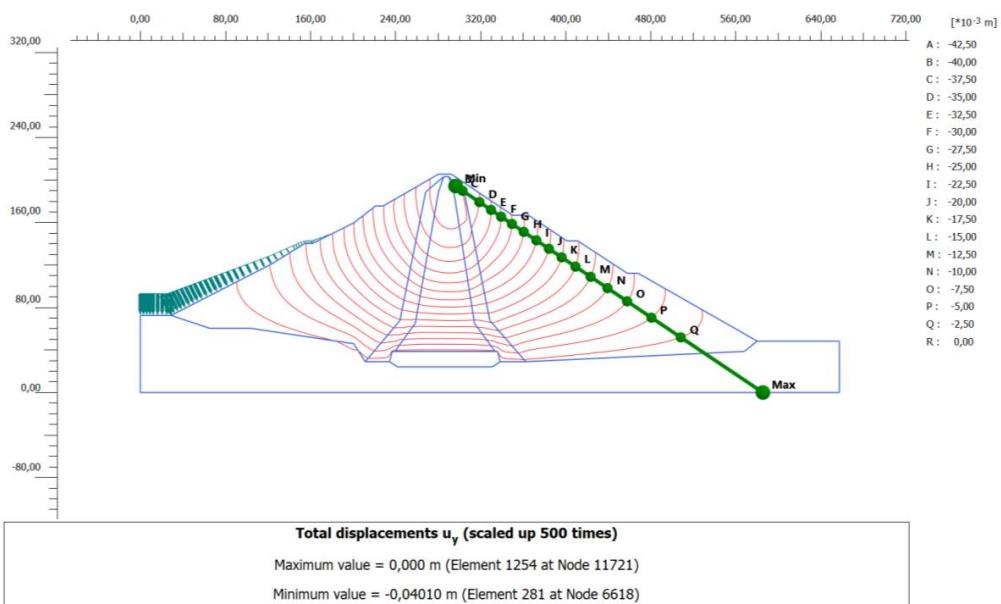
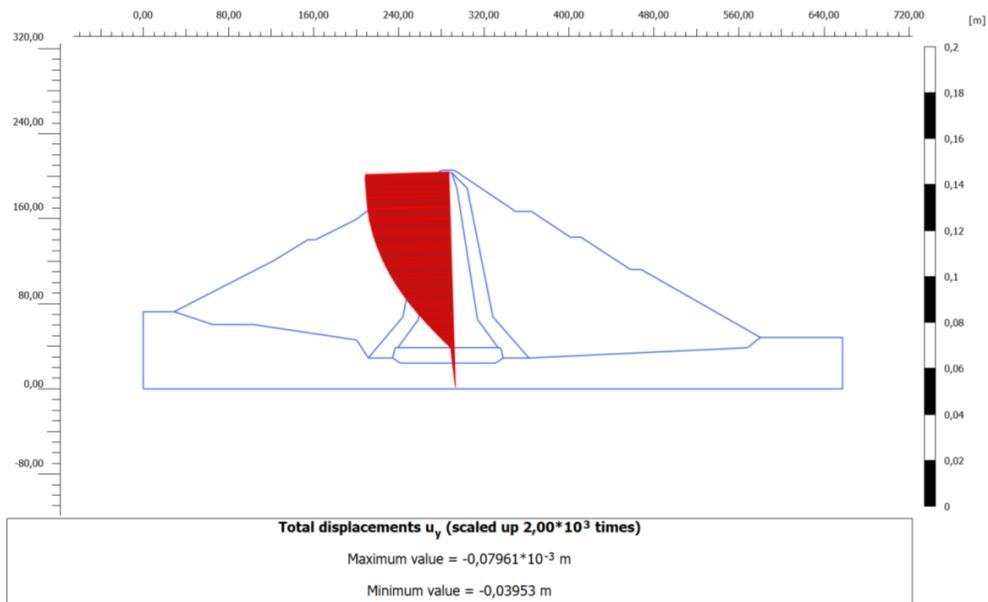
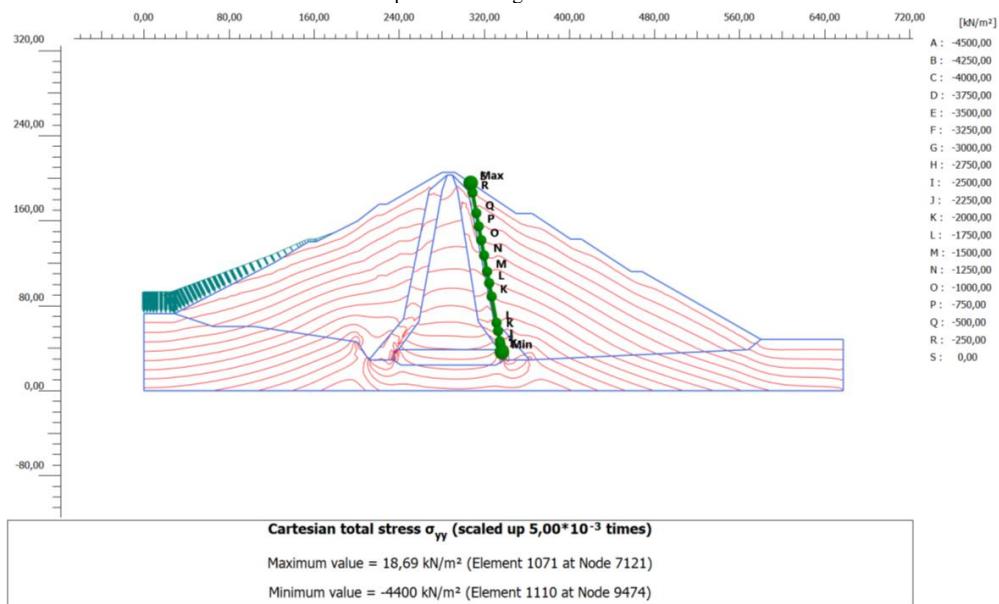


FIGURE 6. Isolines of vertical displacements of an earth dam on the cross-section of the dam



**FIGURE 7.** Vertical displacement diagram at the middle of an earth dam



**FIGURE 8.** Isolines of vertical stresses of an earth dam on the cross-section of the dam

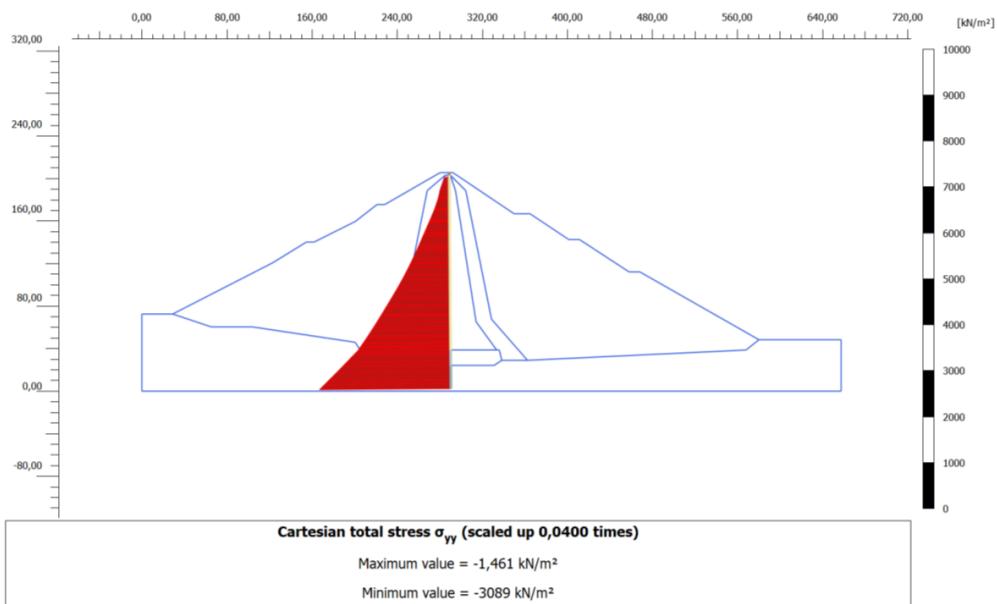


FIGURE 9. Vertical stress diagram at the middle of an earth dam

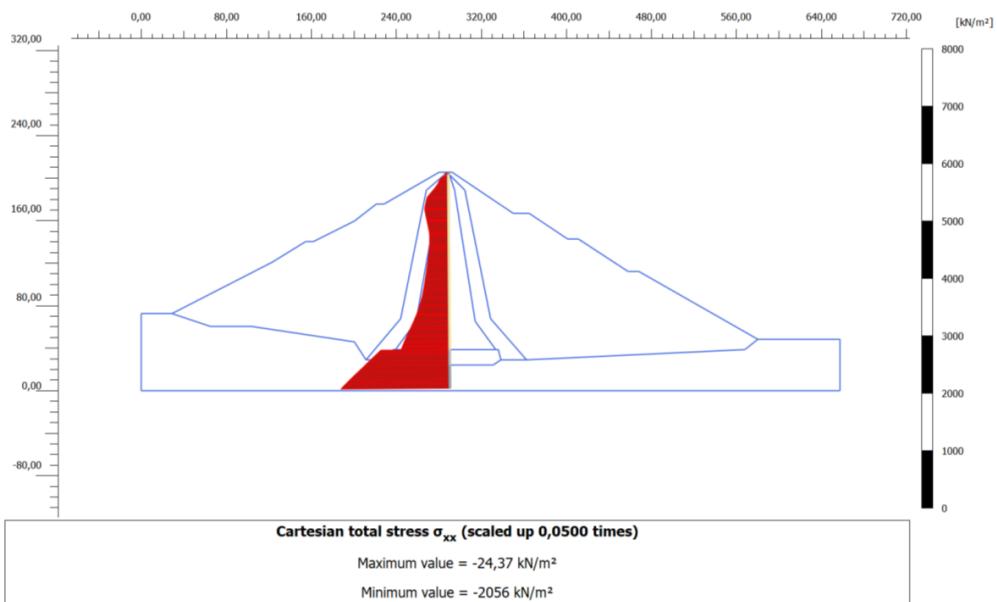


FIGURE 10. Horizontal stress diagram at the middle of an earth dam

## ANALYSIS OF RESULTS

Figure 3 shows the change in horizontal and vertical stresses over time in the cross-section of an earth dam under the action of seismic forces. In this figure, the blue, green, black, and red curves represent stress changes at points A,

B, C, and D, respectively. Analyzing these figures, we can conclude that the greatest horizontal and vertical stresses occur at the lowest point, point D, i.e., the highest horizontal stress is -2 MPa, and the highest vertical stress is -3.6 MPa.

The contour line illustrating horizontal displacements in the cross-section of the earth dam is presented in Figure 4. The maximum-recorded horizontal displacement was 10.2 mm. Figure 5 displays the horizontal displacement diagram for the center of the earth dam. This horizontal displacement shifts to the right due to the water pressure from the left. In the center of the earth dam, the displacement increases from the bottom to the top, starting at zero at the bottom and reaching its maximum value at the very top. Figure 6 depicts the contour line of vertical displacements in the cross-section of the earth dam. The greatest vertical displacement of the earth dam is observed at the crest of the upper section, measuring -40.1 mm. Figure 7 illustrates the vertical displacements in the middle of the earth dam, indicating that the settlement at the base is zero, while the maximum displacement occurs in the upper section. Figure 8 presents the contour lines of vertical stresses in the cross-section of the earth dam. This figure shows that the highest vertical stress is located in the central lower part of the dam. Notably, the stress values on the slope above the water level and the right slope are zero. In Figure 9, the diagram of vertical stresses in the middle of the earth dam indicates that the maximum vertical stress is also zero, and the lower part exhibits a significant stress value of -3.09 MPa. Figure 10 illustrates the diagram of horizontal stresses in the middle of the earth dam. Here, we can conclude that the maximum value of vertical stress is zero, and, at the very bottom, it has a high value of -2.05 MPa.

## CONCLUSION

- The stress-strain state of the Charvak earth dam was evaluated under seismic loading, considering the moisture content of the dam material along with water pressure and the dam's weight.
- Changes in horizontal and vertical stresses at key points of the dam were analyzed in response to seismic action.
- The static problem of the earth dam was addressed, resulting in the creation of isolines and diagrams that represent displacement and stress components, taking into account the moisture content of the dam material and water pressure.
- Analysis of the generated graphs, which account for water pressure, indicates that the greatest vertical displacements occurred at the top of the dam, with vertical stresses reaching -40.1 mm and horizontal stresses measuring 10.2 mm.

## ACKNOWLEDGMENTS

This investigation was made possible by the funding provided by the Uzbekistan Academy of Sciences. We extend our deepest gratitude to the Academy for its unwavering support and dedication to advancing scientific research.

## REFERENCES

1. K. Sultanov and S. Umarkhonov, Numerical calculation of an earth dam under elastic-plastic strain of soil subject to seismic impacts, in *International Conference: Ensuring Seismic Safety and Seismic Stability of Buildings and Structures, Applied Problems of Mechanics-2024*, AIP Conf. Proc. 3260, edited by R. A. Abirov et al. (AIP Publishing, Melville, NY, 2025), pp. 030009, <https://doi.org/10.1063/5.0265101>.
2. K. Sultanov, S. Umarkhonov, and S. Normatov, Calculation of earth dam strain under seismic impacts, in *International Conference on Actual Problems of Applied Mechanics - APAM-2021*, AIP Conf. Proc. 2637 (AIP Publishing, Melville, NY, 2022), pp. 030008, <https://doi.org/10.1063/5.0118430>.
3. M. M. Mostafa and S. Zhenzhong, Seepage behaviour through earth dams with zones of different filling materials, *Water SA* **50**(1), 37 (2024), <https://doi.org/10.17159/wsa/2024.v50.i1.4055>.
4. A. Lashgari and R. E. S. Moss, Displacement and damage analysis of earth dams during the 2023 Turkey earthquake sequence, *Earthquake Spectra* **40**(2), 939-976 (2024), <https://doi.org/10.1177/87552930231223749>.
5. M. Rashidi, M. Heidari, and G. Azizyan, Numerical analysis and monitoring of an embankment dam during construction and first impounding case study: Siah Sang Dam, *Sci. Iran.* **25**(2), 505-516 (2018), <https://doi.org/10.24200/sci.2017.4181>.
6. K. Wei, S. Chen, G. Li, and H. Han, Application of a generalised plasticity model in high earth core dam static and dynamic analysis, *Eur. J. Environ. Civ. Eng.* **24**(7), 979-1012 (2020), <https://doi.org/10.1080/19648189.2018.1437777>.

7. J. G. Xu, F. M. Wang, Y. H. Zhong, B. Wang, X. L. Li, and N. Sun, Stress analysis of polymer diaphragm wall for earth-rock dams under static and dynamic loads, *Yantu Gongcheng Xuebao* 34, 1613 (2012), <https://doi.org/10.26480/iceti.01.2017.29.32>.
8. C. Qi, W. Lu, J. Wu, and X. Liu, Application of effective stress model to analysis of liquefaction and seismic performance of an earth dam in China, *Math. Probl. Eng.* 2015, 571389 (2015), <https://doi.org/10.1155/2015/404712>.
9. M. P. Sainov and O. V. Anisimov, Stress-strain state of seepage-control wall constructed for repairs of earth rock-fill dam, *Mag. Civ. Eng.* **68(08)**, 3-17 (2016), <https://doi.org/10.5862/MCE.68.1>.
10. M. M. Mirsaidov, T. Z. Sultanov, and A. Sadullaev, Determination of the stress-strain state of earth dams with account of elastic-plastic and moist properties of soil and large strains, *Mag. Civ. Eng.* **40**, 59-68 (2013), <https://doi.org/10.5862/MCE.40.7>.
11. X. Yang and S. Chi, Seismic stability of earth-rock dams using finite element limit analysis. *Soil Dyn. Earthquake Eng.* **64**, 1-10 (2014), <https://doi.org/10.1016/j.soildyn.2014.04.007>.
12. C. Liu, L. Zhang, B. Bai, J. Chen, and J. Wang, Nonlinear analysis of stress and strain for a clay core rock-fill dam with FEM. *Procedia Eng.* **31**, 497-501 (2012), <https://doi.org/10.1016/j.proeng.2012.01.1058>.
13. H. Alateya and A. Ahangar Asr, Numerical investigation into the stability of earth dam slopes considering the effects of cavities. *Eng. Comput.* **37(4)**, 1397-1421 (2020), <https://doi.org/10.1108/EC-03-2019-0101>.
14. B. Ebrahimian, Numerical analysis of nonlinear dynamic behavior of earth dams. *Front. Archit. Civ. Eng. China* **5**, 24-40 (2011), <https://doi.org/10.1007/s11709-010-0082-6>.
15. M. M. Zanjani, A. Soroush, and M. Khoshini, Two-dimensional numerical modeling of fault rupture propagation through earth dams under steady state seepage. *Soil Dyn. Earthquake Eng.* **88**, 60-71 (2016), <https://doi.org/10.1016/j.soildyn.2016.05.012>.



## LICENSE TO PUBLISH AGREEMENT FOR CONFERENCE PROCEEDINGS

This License to Publish must be signed and returned to the Proceedings Editor before the manuscript can be published. If you have questions about how to submit the form, please contact the AIP Publishing Conference Proceedings office (confproc@aip.org). For questions regarding the copyright terms and conditions of this License, please contact AIP Publishing's Office of Rights and Permissions, 1305 Walt Whitman Road, Suite 300, Melville, NY 11747-4300 USA; Phone 516-576-2268; Email: [rights@aip.org](mailto:rights@aip.org).

Article Title ("Work"): Stress-strain state of earth dams considering soil moisture

(Please indicate the final title of the Work. Any substantive changes made to the title after acceptance of the Work may require the completion of a new agreement.)

All Author(s): Karim Sultanov, Sadillakhon Umarkhonov

(Please list all the authors' names in order as they will appear in the Work. All listed authors must be fully deserving of authorship and no such authors should be omitted. For large groups of authors, attach a separate list to this form.)

### 3rd International Conference

Title of Conference: "Advanced Mechanics: Structure, Materials, Tribology"

Name(s) of Editor(s) Prof. Dr. Valentin L. Popov

All Copyright Owner(s), if not Author(s):

(Please list all copyright owner(s) by name. In the case of a Work Made for Hire, the employer(s) or commissioning party(ies) are the copyright owner(s). For large groups of copyright owners, attach a separate list to this form.)

### Copyright Ownership and Grant of Rights

For the purposes of this License, the "Work" consists of all content within the article itself and made available as part of the article, including but not limited to the abstract, tables, figures, graphs, images, and multimedia files, as well as any subsequent errata. "Supplementary Material" consists of material that is associated with the article but linked to or accessed separately (available electronically only), including but not limited to data sets and any additional files.

This Agreement is an Exclusive License to Publish not a Transfer of Copyright. Copyright to the Work remains with the Author(s) or, in the case of a Work Made for Hire, with the Author(s)' employer(s). AIP Publishing LLC shall own and have the right to register in its name the copyright to the proceedings issue or any other collective work in which the Work is included. Any rights granted under this License are contingent upon acceptance of the Work for publication by AIP Publishing. If for any reason and at its own discretion AIP Publishing decides not to publish the Work, this License is considered void.

Each Copyright Owner hereby grants to AIP Publishing LLC the following irrevocable rights for the full term of United States and foreign copyrights (including any extensions):

1. The exclusive right and license to publish, reproduce, distribute, transmit, display, store, translate, edit, adapt, and create derivative works from the Work (in whole or in part) throughout the world in all formats and media whether now known or later developed, and the nonexclusive right and license to do the same with the Supplementary Material.
2. The right for AIP Publishing to freely transfer and/or sublicense any or all of the exclusive rights listed in #1 above. Sublicensing includes the right to authorize requests for reuse of the Work by third parties.
3. The right for AIP Publishing to take whatever steps it considers necessary to protect and enforce, at its own expense, the exclusive rights granted herein against third parties.

### Author Rights and Permitted Uses

Subject to the rights herein granted to AIP Publishing, each Copyright Owner retains ownership of copyright and all other proprietary rights such as patent rights in the Work.

Each Copyright Owner retains the following nonexclusive rights to use the Work, without obtaining permission from AIP Publishing, in keeping with professional publication ethics and provided clear credit is given to its first publication in an AIP Publishing proceeding. Any reuse must include a full credit line acknowledging AIP Publishing's publication and a link to the Version of Record (VOR) on AIP Publishing's site.

Each Copyright Owner may:

1. Reprint portions of the Work (excerpts, figures, tables) in future works created by the Author, in keeping with professional publication ethics.
2. Post the Accepted Manuscript (AM) to their personal web page or their employer's web page immediately after acceptance by AIP Publishing.
3. Deposit the AM in an institutional or funder-designated repository immediately after acceptance by AIP Publishing.

4. Use the AM for posting within scientific collaboration networks (SCNs). For a detailed description of our policy on posting to SCNs, please see our Web Posting Guidelines (<https://publishing.aip.org/authors/web-posting-guidelines>).
5. Reprint the Version of Record (VOR) in print collections written by the Author, or in the Author's thesis or dissertation. It is understood and agreed that the thesis or dissertation may be made available electronically on the university's site or in its repository and that copies may be offered for sale on demand.
6. Reproduce copies of the VOR for courses taught by the Author or offered at the institution where the Author is employed, provided no fee is charged for access to the Work.
7. Use the VOR for internal training and noncommercial business purposes by the Author's employer.
8. Use the VOR in oral presentations made by the Author, such as at conferences, meetings, seminars, etc., provided those receiving copies are informed that they may not further copy or distribute the Work.
9. Distribute the VOR to colleagues for noncommercial scholarly use, provided those receiving copies are informed that they may not further copy or distribute the Work.
10. Post the VOR to their personal web page or their employer's web page 12 months after publication by AIP Publishing.
11. Deposit the VOR in an institutional or funder-designated repository 12 months after publication by AIP Publishing.
12. Update a prior posting with the VOR on a noncommercial server such as arXiv, 12 months after publication by AIP Publishing.

### Author Warranties

Each Author and Copyright Owner represents and warrants to AIP Publishing the following:

1. The Work is the original independent creation of each Author and does not infringe any copyright or violate any other right of any third party.
2. The Work has not been previously published and is not being considered for publication elsewhere in any form, except as a preprint on a noncommercial server such as arXiv, or in a thesis or dissertation.
3. Written permission has been obtained for any material used from other sources and copies of the permission grants have been supplied to AIP Publishing to be included in the manuscript file.
4. All third-party material for which permission has been obtained has been properly credited within the manuscript.
5. In the event that the Author is subject to university open access policies or other institutional restrictions that conflict with any of the rights or provisions of this License, such Author has obtained the necessary waiver from his or her university or institution.

This License must be signed by the Author(s) and, in the case of a Work Made for Hire, also by the Copyright Owners. One Author/Copyright Owner may sign on behalf of all the contributors/owners only if they all have authorized the signing, approval of the License, and agreed to be bound by it. The signing Author and, in the case of a Work Made for Hire, the signing Copyright Owner warrants that he/she/it has full authority to enter into this License and to make the grants this License contains.

1. The Author must please sign here (except if an Author is a U.S. Government employee, then please sign under #3 below):

Karim Sultanov

28.11.2025

Author(s) Signature

Print Name

Date

2. The Copyright Owner (if different from the Author) must please sign here:

Name of Copyright Owner

Authorized Signature and Title

Date

3. If an Author is a U.S. Government employee, such Author must please sign below.

The signing Author certifies that the Work was written as part of his/her official duties and is therefore not eligible for copyright protection in the United States.

Name of U.S. Government Institution (e.g., Naval Research Laboratory, NIST)

Author Signature

Print Name

Date

PLEASE NOTE: NATIONAL LABORATORIES THAT ARE SPONSORED BY U.S. GOVERNMENT AGENCIES BUT ARE INDEPENDENTLY RUN ARE NOT CONSIDERED GOVERNMENT INSTITUTIONS. (For example, Argonne, Brookhaven, Lawrence Livermore, Sandia, and others.) Authors at these types of institutions should sign under #1 or #2 above.

If the Work was authored under a U.S. Government contract, and the U.S. Government wishes to retain for itself and others acting on its behalf, a paid-up, nonexclusive, irrevocable, worldwide license in the Work to reproduce, prepare derivative works from, distribute copies to the public, perform publicly, and display publicly, by or on behalf of the Government, please check the box below and add the relevant Contract numbers.

Contract #s \_\_\_\_\_ [1.16.1]

## LICENSE TERMS DEFINED

**Accepted Manuscript (AM):** The final version of an author's manuscript that has been accepted for publication and incorporates all the editorial changes made to the manuscript after submission and peer review. The AM does not yet reflect any of the publisher's enhancements to the work such as copyediting, pagination, and other standard formatting.

**arXiv:** An electronic archive and distribution server for research article preprints in the fields of physics, mathematics, computer science, quantitative biology, quantitative finance, and statistics, which is owned and operated by Cornell University, <http://arxiv.org/>.

**Commercial and noncommercial scholarly use:** *Noncommercial* scholarly uses are those that further the research process for authors and researchers on an individual basis for their own personal purposes. They are author-to-author interactions meant for the exchange of ideas. *Commercial* uses fall outside the author-to-author exchange and include but are not limited to the copying or distribution of an article, either in hard copy form or electronically, for resale or licensing to a third party; posting of the AM or VOR of an article by a site or service where an access fee is charged or which is supported by commercial paid advertising or sponsorship; use by a for-profit entity for any type of promotional purpose. Commercial uses require the permission of AIP Publishing.

**Embargo period:** The period of time during which free access to the full text of an article is delayed.

**Employer's web page:** A web page on an employer's site that highlights the accomplishments and research interests of the company's employees, which usually includes their publications. (See also: Personal web page and Scholarly Collaboration Network).

**Exclusive License to Publish:** An exclusive license to publish is a written agreement in which the copyright owner gives the publisher exclusivity over certain inherent rights associated with the copyright in the work. Those rights include the right to reproduce the work, to distribute copies of the work, to perform and display the work publicly, and to authorize others to do the same. The publisher does not hold the copyright to the work, which continues to reside with the author. The terms of the AIP Publishing License to Publish encourage authors to make full use of their work and help them to comply with requirements imposed by employers, institutions, and funders.

**Full Credit Line:** AIP Publishing's preferred format for a credit line is as follows (you will need to insert the specific citation information in place of the capital letters): "Reproduced from [FULL CITATION], with the permission of AIP Publishing." A FULL CITATION would appear as: Journal abbreviation, volume number, article ID number or page number (year). For example: Appl. Phys. Lett. 107, 021102 (2015).

**Institutional repository:** A university or research institution's digital collection of articles that have been authored by its staff and which are usually made publicly accessible. As authors are encouraged and sometimes required to include their published articles in their institution's repository, the majority of publishers allow for deposit of the Accepted Manuscript for this purpose. AIP Publishing also allows for the VOR to be deposited 12 months after publication of the Work.

**Journal editorial office:** The contact point for authors concerning matters related to the publication of their manuscripts. Contact information for the journal editorial offices may be found on the journal websites under the "About" tab.

**Linking to the Version of Record (VOR):** To create a link to your article in an AIP Publishing journal or proceedings, you need to know the CrossRef digital object identifier (doi). You can find the doi on the article's abstract page. For instructions on linking, please refer to our Web Posting Guidelines at <https://publishing.aip.org/authors/web-posting-guidelines>.

**National Laboratories:** National laboratories are sponsored and funded by the U.S. Government but have independent nonprofit affiliations and employ private sector resources. These institutions are classified as Federally Funded Research and Development Centers (FFRDCs). Authors working at FFRDCs are not

considered U.S. Government employees for the purposes of copyright. The Master Government List of FFRDCs may be found at <http://www.nsf.gov/statistics/ffrdclist/>.

**Personal web page:** A web page that is hosted by the author or the author's institution and is dedicated to the author's personal research interests and publication history. An author's profile page on a social media site or scholarly collaboration network site is *not* considered a personal web page. (See also: Scholarly Collaboration Network; Employer's web page).

**Peer X-Press:** A web-based manuscript submission system by which authors submit their manuscripts to AIP Publishing for publication, communicate with the editorial offices, and track the status of their submissions. The Peer X-Press system provides a fully electronic means of completing the License to Publish. A hard copy of the Agreement will be supplied by the editorial office if the author is unable to complete the electronic version of the form. (Conference Proceedings authors will continue to submit their manuscripts and forms directly to the Conference Editors.)

**Print:** A version of an author's manuscript intended for publication but that has not been peer reviewed and does not reflect any editorial input or publisher enhancements.

**Professional Publication Ethics:** AIP Publishing provides information on what it expects from authors in its "Statement of ethics and responsibilities of authors submitting to AIP Publishing journals" (<http://publishing.aip.org/authors/ethics>). AIP Publishing is also a member of the Committee on Publication Ethics (COPE) (<http://publicationethics.org/>), which provides numerous resources and guidelines for authors, editors, and publishers with regard to ethical standards and accepted practices in scientific publishing.

**Scholarly Collaboration Network (SCN):** Professional networking sites that facilitate collaboration among researchers as well as the sharing of data, results, and publications. SCNs include sites such as Academia.edu, ResearchGate, and Mendeley, among others.

**Supplementary Material:** Related material that has been judged by peer review as being relevant to the understanding of the article but that may be too lengthy or of too limited interest for inclusion in the article itself. Supplementary Material may include data tables or sets, appendixes, movie or audio clips, or other multimedia files.

**U.S. Government employees:** Authors working at Government organizations who author works as part of their official duties and who are not able to license rights to the Work, since no copyright exists. Government works are in the public domain within the United States.

**Version of Record (VOR):** The final published version of the article as it appears in the printed journal/proceedings or on the Solitair website. It incorporates all editorial input, is formatted in the publisher's standard style, and is usually viewed in PDF form.

**Waiver:** A request made to a university or institution to exempt an article from its open-access policy requirements. For example, a conflict will exist with any policy that requires the author to grant a nonexclusive license to the university or institution that enables it to license the Work to others. In all such cases, the Author must obtain a waiver, which shall be included in the manuscript file.

**Work:** The "Work" is considered all the material that comprises the article, including but not limited to the abstract, tables, figures, images, multimedia files that are directly embedded within the text, and the text itself. The Work does not include the Supplementary Material (see Supplementary Material above).

**Work Made for Hire:** Under copyright law, a work prepared by an employee within the scope of employment, or a work that has been specially ordered or commissioned for which the parties have agreed in writing to consider as a Work Made for Hire. The hiring party or employer is considered the author and owner of the copyright, not the person who creates the work.