

1 Article

2 Overburden Failure and Ground Pressure Behaviour 3 of Longwall Top Coal Caving in Hard Multi-layered 4 Roof

5 Zhijie Zhu ^{1*}, Hongwei Zhang ¹, Jan Nemcik ², Chen Cao ², Jun Han ¹

6 ¹ Mining School, Liaoning Technical University, Fuxin, China

7 ² School of Civil, Mining and Environmental Engineering, University of Wollongong, Australia

8 * Correspondence: zhuzhijie036@qq.com; Tel.: +86-18241871087

9 **Abstract:** In the extra-thick coal seams and multi-layered hard roofs, the longwall hydraulic support
10 yielding, coal face spalling, strong deformations of goaf-side entry, and severe ground pressure
11 dynamic events typically occur at the longwall top coal caving longwall faces. Based on the Key
12 strata theory an overburden caving model is proposed here to predict the multilayered hard strata
13 behaviour. The proposed model together with the measured stress changes in coal seam and
14 underground observations in Tongxin coal mine provides a new idea to analyse stress changes in
15 coal and help to minimise rock bursts in the multi-layered hard rock ground. Using the proposed
16 primary Key and the sub-Key strata units the model predicts the formation and instability of the
17 overlying strata that leads to abrupt dynamic changes to the surrounding rock stress. The data
18 obtained from the vertical stress monitoring in the 38 m wide coal pillar located adjacent to the
19 longwall face indicates that the Key strata layers have a significant influence on ground behaviour.
20 Sudden dynamically driven unloading of strata was caused by the first caving of the sub-Key strata
21 while reloading of the vertical stress occurred when the goaf overhang of the sub-Key strata failed.
22 Based on this findings several measures were recommended to minimise the undesirable dynamic
23 occurrences including pre-split of the hard Key strata by blasting and using the energy consumption
24 yielding reinforcement to support the damage prone gate road areas. Use of the numerical
25 modelling simulations was suggested to improve the key theory accuracy.

26 **Keywords:** multi-layer hard roof; failure of overlying strata; ground pressure behaviour; longwall
27 top coal caving
28

29 1. Introduction

30 A distinct periodic weighting of overburden strata above the longwall panel in Tongxin
31 underground coal mine has been observed where the strata caving process impacted the safety and
32 production of coal. Liaoning Technical University (LNTU) had initiated the investigations to find
33 solutions to these problems. Influence of the hard strata layers on ground behavior has been
34 researched in the past but the underground investigations were restricted to one or two hard roof
35 layers only. The Key strata theory was used primarily to predict the fracture formation in hard strata
36 to control water inrush or surface strata movement/subsidence. The Key theory was not used to
37 predict stress changes and its influence on longwall mining. The LNTU researchers applied the
38 current Key strata theory to predict the multilayered hard strata behavior and measured the stress
39 changes within the longwall pillar to quantify the periodic weighting impact of the ground behavior.

40 Previous Research

41 Hard roof is often referred to as being high in strength, large thickness and strong integrity
42 immediate stone roof overlying coal seam. It is often made of thick and hard sandstone,
43 conglomerate or limestone that resists fracture formation. Typically, hard roof tends to overhang the

44 excavations. As a result, a working face with hard roof often experiences strong pressures, large
45 dynamic load concentration factors (1.5 to 3.5), first weighting intervals of more than 50–160 m and
46 large suspended roof area of 10 000–30 000 m² or greater. Due to high stress concentrations ahead
47 and above the longwall face, sudden roof falls may occur and produce great impact loads at the
48 working face causing support damage and safety hazards to workforce [1–2].

49 The characteristics of high ground stress in hard roofs around the longwall face have been
50 extensively studied. Guo et al. estimated the support resistance based on the structural characteristics
51 of overlying strata for a thick seam longwall mining face [3]. Wang et al. developed an elastic bedding
52 strata mechanical model to analyse the caving process of the roof [4]. Li et al. studied the overlying
53 strata caving procedure of a hard roof face and established a mechanical model to determine the
54 criterion of support loads yielding[5]. Shen et al. proposed a mechanical mode to study the caving
55 interval for two layers of hard overlying strata located close together in extra-thick coal seam
56 mining[6]. The authors found that roof instability in this type of strata was related to a lower
57 cantilever beam and an upper voussoir beam structures. Pang and Zhang established a thin roof
58 mechanical model for hard roof ‘island’ longwall face where goaf exists on all sides[7]. The energy
59 exchange characteristics of the hard roof were studied before and after roof caving. Based on field
60 measurements, Wei et al. established a hard roof cantilever beam model for top coal caving longwall
61 face, and improved the calculation method for support resistance[8]. Shi and Wang studied the
62 failure behavior of thick hard roof using fixed beam gravity loaded model, and developed a method
63 to identify three kinds of failure modes for this strata[9]. Based on the characteristics of hard roof
64 longwall face, such as large initial collapse interval and long subsequent suspension length, Wang et
65 al. developed three methods to control caving for the initial roof fall and calculated the probable
66 suspension length in periodic roof falls[10]. Palchik divided the fractured zone into three sections:
67 rock blocks, vertical penetration fractures and horizontal fractures caused by bedding strata
68 separation[11–12]. Yu studied the overlying strata of extra-thick coal seams mined using top-coal
69 caving method and found that certain hard strata units play an important role in overlying ground
70 movement[13]. The hard roof deformation was analysed using square-form model under four-edge-
71 clamped thin-beam assumption [14]. The Winkler beam model was used by Wang et al., who studied
72 the failure process of hard and thick strata located far from the coal seam[15]. Jiang et al. established
73 a front abutment stress model to study the deformation and energy distribution in hard roof prior to
74 periodic weighting[16].

75 In this paper, the overlying strata caving process and corresponding ground pressure
76 development under multi-layered hard roof are analysed from Tongxin coal mine data in Datong,
77 China. The characteristics of the ground behaviour development under multi-layer hard roof are
78 further analysed here to provide a guidance for mining safety and economy.

79 2. Overview of engineering geology in Tongxin mine

80 Tongxin coal mine is located in Datong coalfield, Northern China, as shown in Fig. 1. No. 3 coal
81 seam that belongs to permo-carboniferous system is being mined. The coal seam is inclined at 1–4°,
82 with an average dip of 2°. The upper multi-Jurassic coal seams have been mined out. The overlying
83 strata include fine sandstone, coarse grained sandstone, siltstone, medium sandstone and sandy
84 mudstone (Table 1), among which the sandy rock strata account for 90–95%, whereas mudstone and
85 coal seam only account for 5–10%. No.8105 longwall working face was located adjacent to No.8104
86 longwall face development (Fig. 2). The barrier pillar 38 m wide separated the single entry gate roads
87 of each longwall. The No.8105 longwall working face was 200 m wide and 1757.1 m long and 440–
88 450 m deep. The average coal seam thickness was approximately 15.3 m. Fully mechanized top-coal
89 caving mining method was employed. The coal was cut to a height of 3.9 m while the top coal caving
90 height averaged 11.4 m. ZF/15000/27.5/42 hydraulic supports were used. No.5404 and No.5105
91 tailgate roads were used for ventilation of No.8104 and No.8105 longwall working faces, respectively.
92 The 5m wide and 3.7 m high rectangular tailgate roadways were used while the main gate roadways
93 No.2104 and No.2105 were rectangular in shape and 5.6 m wide and 3.4 m high.

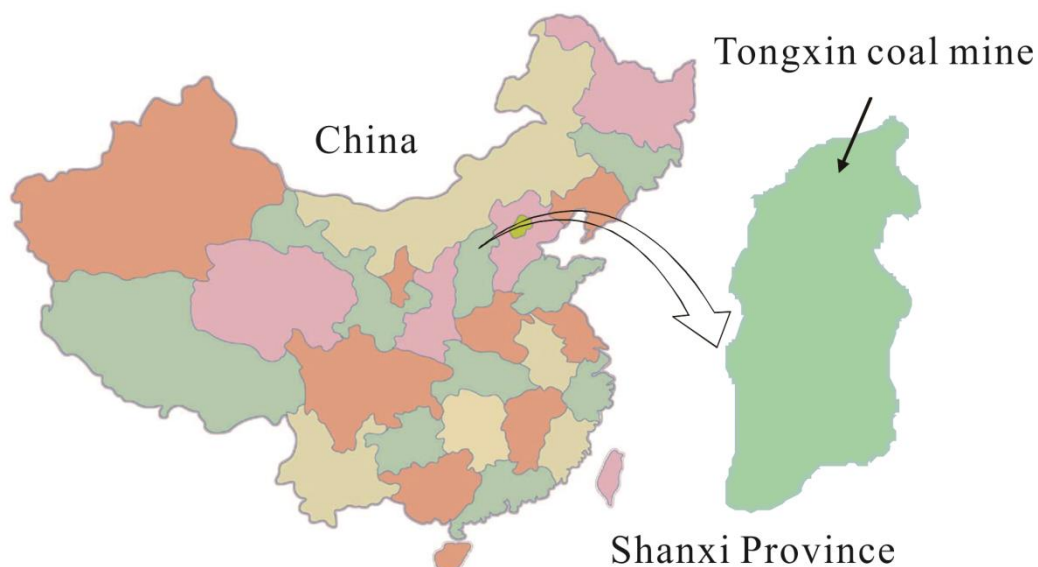


Fig. 1 Geographical location of Tongxin coal mine

Table 1 Characteristics of overlying strata

No.	Lithology	Actual thickness (m)	Bulk force (kN/m ³)	Tensile strength (MPa)	Elastic modulus (GPa)
Y1	Sandy Mudstone	3.2	26.31	5.47	18.35
Y2	K3 Sandstone	5.3	25.44	7.68	36.21
Y3	medium sandstone	7.7	26.73	6.14	29.57
Y4	fine sandstone	2.1	27.12	7.81	35.54
Y5	siltstone	5.3	26.45	4.97	23.64
Y6	4 coal	2.1	10.36	1.27	4.20
Y7	siltstone	2.4	25.78	4.25	23.35
Y8	kernstone	4.3	24.21	4.82	20.32
Y9	fine sandstone	14.8	25.62	8.20	35.62
Y10	conglomerate	12.9	27.35	4.34	28.43
Y11	kernstone	3.5	23.89	5.24	19.98
Y12	conglomerate	12.0	27.10	4.34	28.74
Y13	medium sandstone	13.7	25.52	7.01	29.62
Y14	siltstone	3.2	24.58	4.45	23.48
Y15	fine sandstone	10.7	27.17	7.93	35.21
Y16	conglomerate	4.6	26.95	4.23	28.64
Y17	fine sandstone	10.3	26.51	7.87	36.01
Y18	siltstone	10.5	25.20	4.52	23.17
Y19	sandy mudstone	6.9	25.98	5.81	18.46
Y20	conglomerate	5.1	27.15	3.92	28.42
Y21	sandy mudstone	2.9	26.51	4.14	18.56
Y22	fine sandstone	10.7	26.82	8.11	36.12
Y23	kernstone	14.3	25.24	5.34	21.31
Y24	fine sandstone	6.2	27.54	8.64	35.87
Y25	kernstone	25.4	25.37	5.42	20.12

94
95
96
97

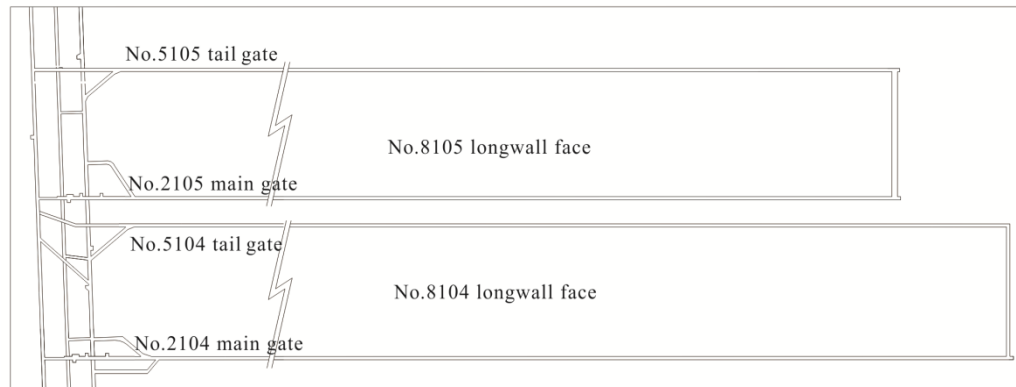


Fig. 2 Layout of No.8104 and No.8105 longwall faces

99
100
101
102
103
104
105
106
107
108
109

During mining, working face experienced frequent strong ground pressure causing the hydraulic supports to yield and coal face to spall. The goaf-side entry also experienced large dynamic ground pressure, causing significant roof deformation and convergence, bolt failure and distortion of steel straps. The additional support with extra bolts and cables were installed to control the goaf-side tailgate entry which increased the total working load and caused safety problems. It is therefore important to analyse the overlying strata movement and vertical stress changes around the longwall top coal caving to understand the strata behavior and provide data for more stable and safer longwall designs.

110 3 Prediction of overlying strata movement based on the Key Strata Theory

111 3.1 Determination of Key Strata

112 Rock layers above the immediate roof vary in thickness and strength. Among them, there is one
113 or several competent massive rock strata layers hard enough to control the overall movement of the
114 part or entire overlying strata. This type of hard rock layer is called "Key Strata". When the Key strata
115 unit breaks and the whole overburden strata above will subside immediately, this Key strata unit is
116 defined as a primary Key strata unit. If the Key strata failure results in only a partial caving of above
117 strata, this Key strata unit is defined as a sub-Key stratum.

118 For hard overlying strata with different thickness, the bearing capacity of each strata unit
119 should be known. The bearing capacity of the multi-strata structure satisfies the following
120 relationship[17-18]:

$$121 \quad (q_n)_m = E_m h_m^3 \sum_{i=m}^n h_i \gamma_i / \sum_{i=m}^n E_i h_i^3 \quad (1)$$

122 where $(q_n)_m$ is the load produced by nth strata on mth strata; m, n, i are the number of roof
123 layers; E_m is the elastic modulus of the mth strata; h_m and h_i are the thickness of the mth and i
124 th strata, m; and γ_i is the volume-weight of the ith stratum.
125

126 During the process of the Key stratum deformation, concurrent deformations occur in the
127 overlying strata, whereas the lower strata are not deformed. Thus, strata below the Key stratum bears
128 the load of above strata. If the nth stratum is the Key stratum, the following relationship should be
129 satisfied:

$$130 \quad (q_n)_m < (q_{n-1})_m \quad (2)$$

131 where $(q_n)_m$ is the load produced by the nth stratum on the mth stratum, and $(q_{n-1})_m$ is the
132 load produced by the (n-1) stratum on the mth stratum.

133 At the same time, the strength of the Key stratum should satisfy certain conditions. If the hard
 134 stratum is the Key stratum, its broken span should be less than that of all hard strata layers above it.
 135 The strength criterion of the Key stratum would be:

$$136 \quad l_{n+1} > l_1 \quad (3)$$

138 where l_{n+1} is the broken span of the (n+1)th stratum, and l_1 is the broken span of the 1th
 139 stratum.

140 3.2 Failure process analysis of overlying strata

141 A fixed beam mechanical model is used to estimate the limited span of a hard stratum [19]:

$$142 \quad l_G = h \sqrt{\frac{2\sigma_t}{q}}, \quad (4)$$

143 where h is the thickness of the stratum, σ_t is the tensile strength of the stratum, and q is the
 144 stratum load.

145 For the weak stratum, the limited span at the maximum horizontal tensile strain [20] is

$$146 \quad l_R = h \sqrt{\frac{8E\varepsilon_{\max}}{3q}}, \quad (5)$$

147 where E is the elastic modulus of the weak stratum, and ε_{\max} is the maximum horizontal
 148 tensile strain of the weak stratum.

149 The maximum deflection of weak stratum [20] is:

$$150 \quad \omega_{\max} = \frac{5ql^4}{384EI}, \quad (6)$$

151 where l is the limited span of the stratum, and I is the inertia torsion moment.

152 The free space height underneath the rock stratum is:

$$153 \quad \Delta_i = M - \sum_{j=1}^{i-1} h_j(k_j - 1), \quad (7)$$

154 where Δ_i is the free space height underneath the i th stratum, M is the coal seam mining height,
 155 h_j is the thickness of the j th stratum, and k_j is the residual coefficient of the j th stratum.

156 The critical mining length when the stratum fractures is:

$$157 \quad L = \sum_{i=1}^m h_i \cot \phi_q + l + \sum_{i=1}^m h_i \cot \phi_h, \quad (8)$$

158 where m is the number of strata layers between the coal seam roof and the lower part of the
 159 strata, h_i is the thickness of the i th stratum, and ϕ_q and ϕ_h are the front and rear fracture angles of
 160 the strata, respectively.

161 The overlying strata failure process is affected by the tensile strength of the Key strata, the
 162 deformation capability of the soft rock strata, the free space height beneath the stratum, and the
 163 mining distance of the working face. The overlying strata caving procedure can be determined based
 164 on the relationship between the Key strata and the weak strata, and the free space height beneath
 165 them. The proposed failure process flowchart is shown in Fig. 3.

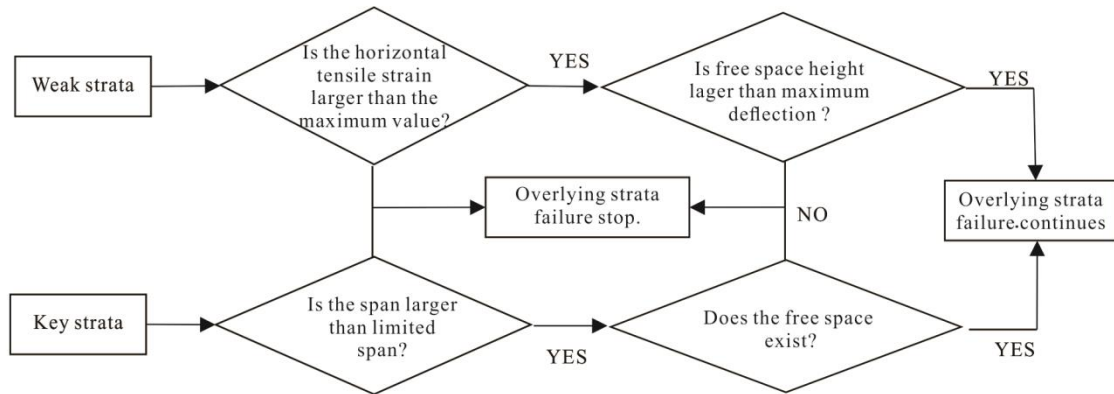


Fig. 3 Process flowchart for overlying strata failure

166
167
168

169 3.3 Stress in coal around the longwall face under multi-layered hard roof

170 Both, the theoretical predictions of vertical stress variation and the underground stress change
171 monitoring in coal seam pillar in the Tongxin mine are presented here.

172 As longwall mining progresses under the multilayered hard strata, a cascade of periodic events
173 occur. Fig. 4 shows the overburden caving process and stress development in the coal under two Key
174 strata. At the initial stage of mining, the vertical stress in surrounding coal increases (Fig. 4A). When
175 the suspension distance of the sub Key stratum reach its broken span (Fig. 4B), the sub Key stratum
176 breaks (Fig. 4C) and a drop of vertical stress in coal ahead of the longwall face occurs. As the working
177 face retreats further, the sub Key stratum forms a cantilever. With gradual increase of its length,
178 the vertical stress of face coal increases. When the cantilever beam of the sub Key stratum reaches its
179 periodic fracture span (Fig. 4D), it collapses (Fig. 4E) together with the stratum above, a sudden
180 increase of the surrounding vertical stress occurs. When the working face continues to advance (Fig.
181 4F) the sub Key stratum forms a cantilever shape gradually increasing arm length, and the vertical
182 stress of face coal increases again.
183

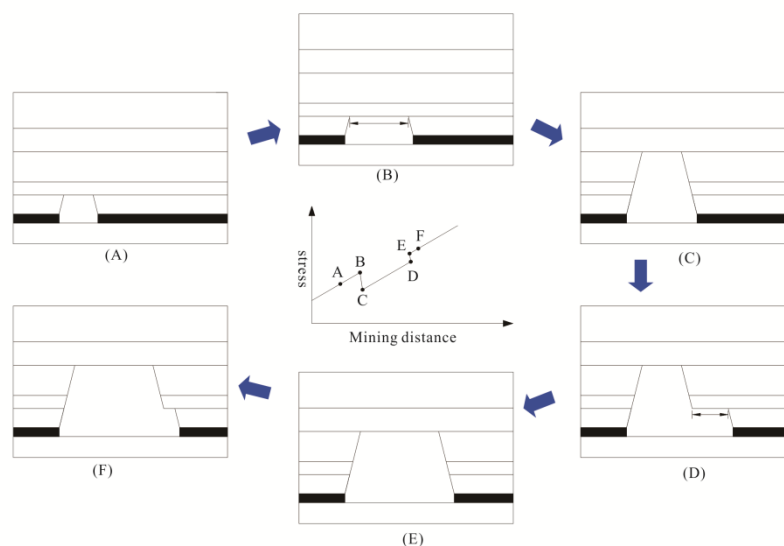


Fig. 4 Evolution process of overlying strata structure under multi-layer hard roof

184
185
186
187

188 4 Overlying strata caving process in Tongxin coal mine

189 4.1 Identification of Key strata

190 The previously formed goaf was located approximately 200 m above the No. 8105 working face.
 191 Based on the rock property values in Table 1 the primary and sub-Key strata were determined. The
 192 layer Y25 consisting of the sandstone and conglomerate layers (Table 1) between No. 8105 working
 193 face and the Jurassic coal seam were used as the primary Key stratum while the Y22 hard sandstone
 194 layer was determined as the sub-Key strata layer. All Key strata of the No. 8105 working face were
 195 identified using formulas (1)–(3) and the results are shown in Table 2.
 196

197

Table 2 Key strata identification

No.	Lithology	Thickness /m	Key stratum	Failure span /m	Distance from the coal seam /m
Y25	kernstone	25.4	primary Key stratum	104.18	174.6
Y22	fine sandstone	10.7	sub Key stratum III	76.82	143.5
Y9	fine sandstone	14.8	sub Key stratum II	67.44	32.4
Y2	K3 sandstone	5.3	sub Key stratum I	52.18	3.2

198 4.2 Analysis of overlying strata failure

199 According to the formulas (4)–(8) and the failure height identification process (Fig. 3), the
 200 development of overlying strata caving process was determined with working face retreat distance
 201 (Table 3). It can be seen that the sub stratum I and II broke when the working face advanced to
 202 55 and 109 m, respectively. The failure heights were 47.7 m and 158.8 m, respectively. When the face
 203 advanced to 193 m, the sub-Key stratum III broke. An overlying strata fracture developed at the
 204 bottom of the primary Key stratum and the overlying strata failure height reached its maximum of
 205 190 m As the face continued to advance, the fracture height ceased to increase as the suspension span
 206 of the primary Key stratum was less than its span limit.
 207

208

Table 3 Initial failure of each Key stratum with the working face advance

Advancement of face (m)	Failure height of overlying stratum (m)	Initial failure of Key stratum
55	47.7	Y2 (sub Key stratumI)
109	158.8	Y9 (sub Key stratumII)
193	190	Y22 (sub Key stratumIII)

209 4.3 Vertical stress monitoring and analysis

210 The vertical stress of face coal was monitored using a stress meter. From a viewpoint of the
 211 monitoring continuity, a monitoring stress probe (Figs. 5 and 6) was placed into the 38 m wide coal
 212 pillar from the gateroad ahead of the working face. The stress instrument was located at 20 m from
 213 the No.2105 main gate road rib side. After installation, a data logger readout unit was used to monitor
 214 the stress changes during mining. It should be noted that from symmetry the stress measured at
 215 location of 100m past the longwall face would be approximately the same as the stress at the centre
 216 of the 200 m wide longwall and 50m ahead of the working face.
 217

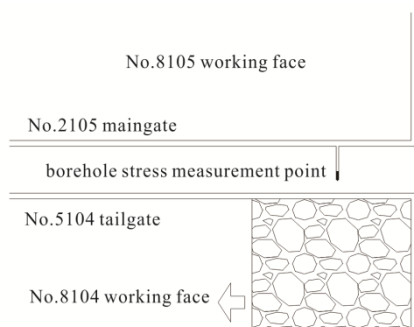


Fig. 5 Layout of the borehole stress measurement location



Fig. 6 GMC20 stress sensor

218 From the monitoring of hydraulic support loads and face coal spalling, the first weighting and
 219 subsequent periodic weighting can be estimated. Table 4 shows the estimated periodic weighting
 220 positions from the underground information. Figure 7 shows the borehole stress variation during the
 221 No. 8105 working face mining process.
 222

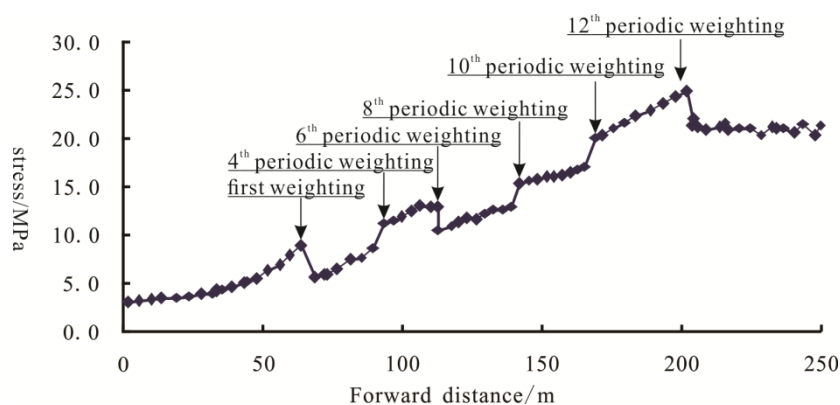


Fig. 7 Borehole stress changes during working face advancement

223

224

225

226 The stress meter recorded 3.0 MPa when the longwall face was located adjacent to the stress
 227 meter. A steady stress increase was monitored until the working face advanced to 64 m past the
 228 instrument measuring 8.8 MPa. However shortly after the first weighting occurred the vertical stress
 229 dropped to 5.6 MPa. Subsequent two periodic weightings did not produce sudden stress changes
 230 only a steady vertical stress increase to 8.6 MPa. The fourth periodic weighting seemed to be the cause
 231 of a sudden stress increase to 11.2 MPa. A steady increase in stress followed raising the vertical stress
 232 to 12.8 MPa until the 6th periodic weighting occurred dropping the vertical stress back by 2.3 MPa to
 233 10.5 MPa. A steady increase of vertical stress continued reaching 12.9 MPa when the 8th periodic
 234 weighting caused a sudden stress increase to 15.2 MPa. The vertical stress continued to increase to
 235 17.0 MPa when the 10th periodic event suddenly increased stress by 3 MPa to 20.0 MPa. The gradual
 236 increase in vertical stress continued to 24.8 MPa until the final 12th periodic weighting occurred
 237 dropping the stress reading to 21.1 MPa. From then on the vertical stress remained relatively steady
 238 with the final reading of 21.3 MPa when the longwall face advanced to 250m past the instrument.

239 The monitored data indicated that the first, sixth and the twelfth periodic weighting relieved the
 240 vertical stress significantly dropping the vertical stress up to 3.2 MPa. Likewise the 4th, 8th and 10th
 241 periodic event increased the vertical stress by as much as 3 MPa. This indicates that the Key strata
 242 layers have a significant influence on ground behaviour.

243 The vertical stress suddenly dropped when the No. 8105 face advanced to 64 m, 113 m and 202
 244 m, respectively (Table 4). The measured borehole stress sudden reduction at these three weighting
 245 locations were caused by overlying strata instability of the sub-Key stratum I, II and III. At the fourth,
 246 eighth and tenth periodic weighting location, the borehole stress suddenly increased, which was
 247 probably caused by the horizontal extension of the overlying strata due to failure of one sub-Key

248 stratum. After the 12th periodic weighting, a large overlying strata structure controlled by the sub-
 249 Key stratum III was formed and become unstable. The overlying strata movement appeared to be
 250 gentle, and the vertical stress in the face coal stabilised. For some periodic weighting cases, sudden
 251 stress change of the borehole did not occur because those weightings were influenced by non-Key
 252 strata failure. The weighting cycles and instability of large rock structures were found to be the major
 253 reason of stress variations in the mined coal strata.

254
 255

Table 4 Weighting positions of No.8105 longwall face

Weighting Number	Working face moved distance (m)	Weighting interval (m)	Weighting intensity
First weighting	64	64	strong
2 nd periodic weighting	72	8	light
3 rd periodic weighting	82	10	light
4th periodic weighting	90	8	light
5 th periodic weighting	101	11	light
6th periodic weighting	113	12	strong
7 th periodic weighting	126	13	light
8th periodic weighting	142	16	light
9 th periodic weighting	152	10	light
10th periodic weighting	165	13	light
11 th periodic weighting	171	16	light
12th periodic weighting	202	31	strong
13 th periodic weighting	214	12	light
14 th periodic weighting	227	13	light

256 5 Ground pressure at longwall face under multi-layer hard roof

257 To study the ground pressure characteristics of the working face under multi-layer hard roof,
 258 the support loads of the No. 8105 longwall face was monitored in real time. 15000 KN, 1.86m wide
 259 low-position top coal caving hydraulic supports ZF15000/27.5/42 (Fig. 8) were used to support the
 260 coal face. Monitoring equipment instruments were arranged starting from the ninth support at
 261 intervals of every 10 supports that is, at supports 9, 19, 29, 39, 49, 59, 69, 79, 89, 99 and 109. The
 262 instrument layout is shown in Fig. 9.

263



Fig. 8 ZF15000/27.5/42 hydraulic support

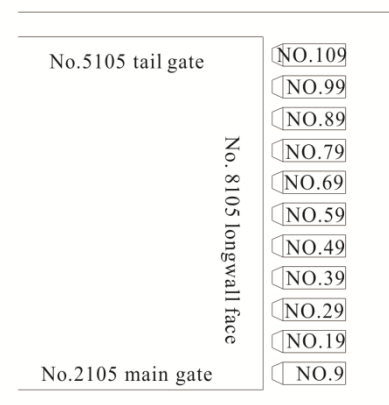
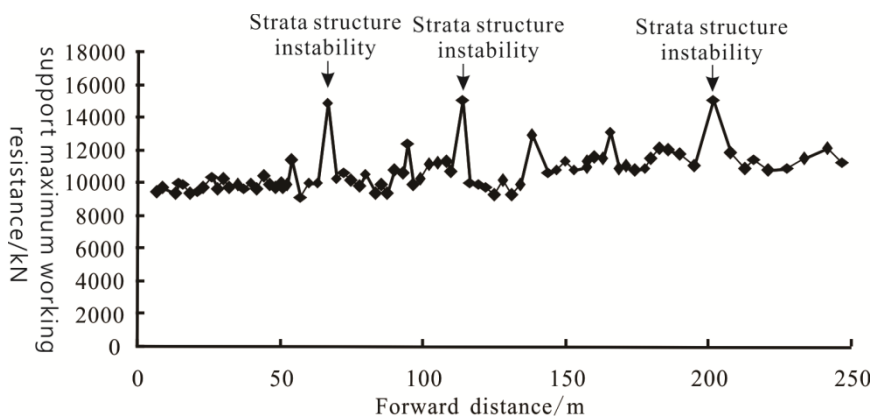


Fig. 9 Layout of No. 8105 face ground pressure observation station

264 The support loads were recorded during mining with the results shown in Fig. 10. The locations
 265 where large support loads were measured correlate with the major structural instability and stress
 266 increase that was measured by the stress borehole monitor. When the large structure is unstable, the
 267 support loads increase close to 15000 kN, while under normal conditions their typical operating loads
 268 are between 10000 –12000 kN.
 269
 270



271
 272 Fig. 10 Change in hydraulic leg pressures during longwall advance
 273

274 Support data show that instability of large overlying strata structure causes significant support
 275 pressure increase in hydraulic legs, often accompanied with yielding or even crushing of the
 276 supports. The excess force on the support is generated by dynamic events associated with failure of
 277 the hard Key strata in the overburden.

278 6 Ground pressure analysis and control measures under multi-layer hard roof

279 A large mining space in an extra-thick coal seam causes a large range of the overlying strata
 280 movement. Together with the effects from the multi-layered hard roof, instability of the overlying
 281 strata occur during mining, forming different ground pressure behavior characteristics to those of a
 282 conventional longwall top coal caving face. The specific analysis can be divided into three parts:

283 (1) During the early stage of mining, the overlying strata can be simplified as the structural
 284 model of multiple Key strata. The formation and instability of the structure correspond to the
 285 behavior of the surrounding rock pressure on the working face. The stress of the surrounding rock
 286 shows a certain periodicity owing to the influence of the covered multi-layered hard roof. Large and
 287 small periodic weightings alternate, and abrupt changes to the stress on the surrounding rock occur
 288 during the large periodic weighting.

289 (2) The dynamic load damage characteristics along a goaf-side entry are significant. Owing to
 290 the multi-layer hard and thick roof, the dynamic load generated by overlying strata structure
 291 instability is intensive. A serious floor heave, and severe damage to the cable anchors, rock bolts and
 292 other support structures typically occur.

293 (3) A cantilever structure is formed at the rear of the working face. The free space formed in the
 294 mined-out area of the top-coal caving longwall face is relatively large. The hard roof increases the
 295 size of the cantilever structure, and the deflection of the cantilever beam exacerbates the top coal
 296 deformation above the canopy rear, resulting in an insufficient connection with the roof at the back
 297 of the support.

298 Considering the above characteristics of the ground pressure behavior, weakening of the hard
 299 roof and strengthening the support of the gob-side entry can be trialed to prevent ground pressure
 300 from occurring. Suggested control measures are as follows:

301 (1) Weakening of hard roof.

302 The three-layer hard roof of the overlying strata can be weakened by pre-split blasting. A
 303 number of blastholes can be set within the hard roof strata along the working face at 50 m intervals

304 from the maingate and tailgate so as to pre-split the hard roof. During mining advance the hard roof
305 may collapse more frequently, reducing the surrounding rock stress at the longwall face and
306 gateroads along the mined-out area. Minimizing the span of the multi-layered hard roof will weaken
307 the effect of the dynamic loads and improve strata conditions.

308 (2) Use of the energy consumption reinforcement to support the roadway along the mined-out
309 area

310 Because a failure of the cables and rock bolt is caused by a strong dynamic load, an anchor bolts
311 with constant resistance capable of large deformation can be used to support the surrounding rock
312 of the gateroads [21-22]. If the rock bolts can provide a constant working resistance and achieve stable
313 deformation, better strata conditions can be expected.

314 7 Conclusions

315 In this study, the evolution model of the overlying strata under multi-layer hard roof was
316 proposed, which provides a new idea to analyse the ground pressure behavior and minimise rock
317 bursts in multi-layered hard rock ground. Based on the Key strata theory, stress measurements and
318 observations in the Tongxin coal mine, where top coal caving method under multi-layer hard roof
319 was used, the failure process and the ground pressure behavior was studied. The findings are:

320 (1) An evolution model of the overlying multi-layer hard roof strata was proposed. The model
321 predicted the formation and instability of the overlying strata that lead to abrupt changes to the
322 surrounding rock stress.

323 (2) The multi-layered hard strata was divided into four types: the sub key strata I, the sub key
324 strata II, the sub key strata III and the primary Key strata. Their fracture length was also predicted
325 using the rock tensile strength data within the Key strata theory.

326 (3) The vertical stress monitoring indicated the steady stress increase due to longwall mining
327 and measured stress fluctuations caused by the periodic weightings of the Key strata. The strata
328 failure mechanisms proposed in Figure 4 and the vertical stress measurements presented in Figure 8
329 clearly indicate the driving force that causes the stress fluctuations. Sudden dynamically driven
330 unloading of strata was caused by the first caving of the sub-Key strata while reloading of the vertical
331 stress occurred when the goaf overhang of the sub-Key strata failed. Experience shows that all
332 dynamic events contribute to the damage of longwall equipment and surrounding strata, affecting
333 the safety and coal production.

334 (4) Several measures to minimise the dynamic occurrences and their implications were
335 proposed. These are:

- 336 • Pre-slitting of the hard rock Key strata to minimize their span and thus decrease severity of the
337 dynamic occurrences.
- 338 • Using the energy consumption reinforcement to support the roadway along the mined-out area
339 where the difficult strata conditions are expected.
- 340 • Plan the longwall production to minimise the longwall downtime in areas where the periodic
341 weighting is expected.

342 Future work is recommended to improve the knowledge of the dynamic phenomena
343 experienced in these conditions. The numerical modeling may be one of the best methods to provide
344 more detailed information on strata behavior, improve the understanding of the dynamic loading
345 mechanisms and provide more accurate information on the pre-splitting methods.

346 Acknowledgements

347 The assistance and guidance of the steering group members is gratefully acknowledged. The
348 comments of the anonymous reviewer are also gratefully acknowledged. We gratefully acknowledge
349 the financial support for this work provided by the National Natural Science Foundation of China
350 (51704148 and 51674135).

351

352 **References**

- 353 1. Zhu, D., Qian, M., & Xu, L. (1991). Discussion on control of hard roof weighting. *Journal of China Coal*
354 *Society*, 16 (2), 11-20.
- 355 2. Li, C. H., Zhang, J. L., Cai, M. F., Zhang, L., & Lin, Q. H. (2009). Simulating test research of impacting
356 disasters in coal mines. *Journal of University of Science & Technology Beijing*, 31(1), 1-9.
- 357 3. Guo, W. B., Wang, H. S., Dong, G. W., Li, L., & Huang, Y. G. (2017). A case study of effective support
358 working resistance and roof support technology in thick seam fully-mechanized face mining with hard
359 roof conditions. *Sustainability*, 9(6), 935.
- 360 4. Wang, J. A., Shang, X. C., Hong, L., & Hou, Z. Y. (2008). Study on fracture mechanism and catastrophic
361 collapse of strong roof strata above the mined area. *Journal of China Coal Society*, 33(8), 850-855.
- 362 5. Li Y. F., Hua X. Z., Yang K., et al. (2015). Critical support resistance calculation in the working face of
363 improving upper limit with hard roof and prevention countermeasures of support crushing. *Journal of*
364 *Mining & Safety Engineering*, 32(5): 801-807.
- 365 6. Shen, W. L., Bai, J. B., Wang, X. Y., & Yu, Y. (2016). Response and control technology for entry loaded by
366 mining abutment stress of a thick hard roof. *International Journal of Rock Mechanics & Mining Sciences*,
367 90, 26-34.
- 368 7. Pang, X. F., & Zhang, K. X. (2013). Study on characteristics of energy for hard roof fracture in island
369 workface. *Advanced Materials Research*, 734-737.
- 370 8. Wei, J. P., Jin, Z. M., & Tang, Y. (2002). Numerical analysis of control of hard roof's stepped cantilever
371 structure for longwall mining with sublevel caving. *Journal of Xiangtan Mining Institute*, 17 (4), 15-19.
- 372 9. Shi, H., & Wang, H. (2010). Analysis of the dynamic stability of hard and thick strata of overlying multilayer
373 spatial structures in deep coal mines and its application. *Mine Safety and Efficient Exploitation Facing*
374 *Challenges of the 21st Century*, 291-297.
- 375 10. Wang K., Kang T. H., Li H., et al. (2009). Study of control caving methods and reasonable hanging roof on
376 hard roof. *Chinese Journal of Rock Mechanics and Engineering*, 28(11) 2320-2327.
- 377 11. Palchik, V. (2005). Localization of mining-induced horizontal fractures along rock layer interfaces in
378 overburden: field measurements and prediction. *Environmental Geology*, 48(1), 68-80.
- 379 12. Palchik, V. (2003). Formation of fractured zones in overburden due to longwall mining. *Environmental*
380 *Geology*, 44(1), 28-38.
- 381 13. Yu, B. (2016). Behaviors of overlying strata in extra-thick coal seams using top-coal caving method. *Journal*
382 *of Rock Mechanics and Geotechnical Engineering*, 8(02), 238-247.
- 383 14. Xu, C., Yuan, L., Cheng, Y., Wang, K., Zhou, A., & Shu, L. (2016). Square-form structure failure model of
384 mining-affected hard rock strata: theoretical derivation, application and verification. *Environmental Earth*
385 *Sciences*, 75(16), 1180.
- 386 15. Wang P., Jiang J. Q., Zhang P. P., & Wu Q. L. (2016). Breaking process and mining stress evolution
387 characteristics of a high-position hard and thick strata. *International Journal of Mining Science and*
388 *Technology*, 26(4), 563-569.
- 389 16. Jiang H. J., Cao S. G., Zhang Y., & Wang C.. (2016). Analytical solutions of hard roof's bending
390 moment, deflection and energy under the front abutment pressure before periodic weighting. *International*
391 *Journal of Mining Science and Technology*, 26(01), 175-181.
- 392 17. Yong, Y., Tu, S., Zhang, X., & Bo, L. (2015). Dynamic effect and control of key strata break of immediate
393 roof in fully mechanized mining with large mining height. *Shock and Vibration*, 2015(4), 1-11.
- 394 18. Miao, X., & Qian, M. (2000). Advance in the key strata theory of mining rockmass. *Journal of China*
395 *University of Mining & Technology*, 29(1): 25-29.
- 396 19. Kai, W., Kang, T., Haitao, L. I., & Han, W. (2009). Study of control caving methods and reasonable hanging
397 roof length on hard roof. *Chinese Journal of Rock Mechanics & Engineering*, 28 (11), 2320-2326.
- 398 20. Xu, J. L., & Qian, M. G. (2000). Method to distinguish key strata in overburden. *Journal of China University*
399 *of Mining & Technology*, 29(5), 463-467.
- 400 21. He, M., & Guo, Z. (2014). Mechanical property and engineering application of anchor bolt with constant
401 resistance and large deformation. *Chinese Journal of Rock Mechanics & Engineering*, 33(7), 1297-1308.
- 402 22. He, M., Gong, W., Wang, J., Qi, P., Tao, Z., & Du, S., et al. (2014). Development of a novel energy-absorbing
403 bolt with extraordinarily large elongation and constant resistance. *International Journal of Rock Mechanics*
404 *& Mining Sciences*, 67(67), 29-42.