

Adaptive Hybrid Machine Learning Model For Forecasting The Step-Like Displacements of Reservoir Colluvial Landslides: A Case Study in The Three Gorges Reservoir Area, China

Li Linwei

China University of Geosciences

Yiping Wu (✉ ypwu@cug.edu.cn)

China University of Geosciences

Miao Fasheng

China University of Geosciences

Xue Yang

China University of Geosciences

Huang Yepiao

PowerChina: Power Construction Corporation of China

Research Article

Keywords: Reservoir colluvial landslide, Step-like displacement, Landslide displacement prediction, Time series decomposition, Machine learning, Three Gorges Reservoir area

Posted Date: February 24th, 2021

DOI: <https://doi.org/10.21203/rs.3.rs-217782/v1>

License:  This work is licensed under a Creative Commons Attribution 4.0 International License.

[Read Full License](#)

1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28
29
30

Adaptive hybrid machine learning model for forecasting the step-like displacements of reservoir colluvial landslides: A case study in the Three Gorges Reservoir area, China

Authors: Li Linwei¹, Wu Yiping¹, Miao Fasheng¹, Xue Yang¹, Huang Yepiao²

Author affiliations:

- 1. Faculty of Engineering, China University of Geosciences, Wuhan 430074, China
- 2. Guiyang Engineering Corporation Limited of Power China, Guiyang 550081, China

Correspondence information:

Name: Wu Yiping.
Affiliation: Faculty of Engineering, China University of Geosciences.
Address: No. 388 Lumo Road, Wuhan, PR China.
Email: ypwu@cug.edu.cn.

Acknowledgments:

The study is supported by the National Natural Science Foundation of China (No. 41977244) and the National Key R&D Program of China (2017YFC1501301).

31

32

33

34 **Adaptive hybrid machine learning model for forecasting the step-like displacements of**
35 **reservoir colluvial landslides: A case study in the Three Gorges Reservoir area, China**

36

37 **Abstract:** Constructing an accurate and stable displacement prediction model is essential to build a
38 capable early warning system for landslide disasters. To overcome the drawbacks of previous
39 displacement prediction models for step-like landslides, such as the incomplete or excessive
40 decompositions of cumulative displacements and input factors and the redundancy or lack of input
41 factors, we propose an adaptive hybrid machine learning model. This model is composed of three
42 parts. First, candidate factors are proposed based on the macroscopic deformation response of
43 landslides. Then, the landslide displacement and its candidate factors are adaptively decomposed
44 into different displacement and factor components by applying optimized variational mode
45 decomposition (OVMD). Second, in the gray wolf optimizer-based kernel extreme learning machine
46 (GWO-KELM) model, the global sensitivity analysis (GSA) of the prediction results of different
47 displacement components to each decomposed factor is analyzed based on the PAWN method. Then,
48 the decomposed factors are reduced according to the GSA results. Third, based on the reduced
49 factors, the optimal GWO-KELM models of the different displacement components are established
50 to predict the displacement. Taking the Baishuihe landslide as an example, we used the raw data of
51 three representative monitoring sites from June 2006 to December 2016 to verify the validity,
52 accuracy, and stability of the model. The results indicate that the proposed hybrid model can
53 effectively determine the displacement decomposition parameters. In addition, this model
54 performed well over a three-year forecast with low model complexity.

55 **Keywords:** Reservoir colluvial landslide; Step-like displacement; Landslide displacement
56 prediction; Time series decomposition; Machine learning; Three Gorges Reservoir area

57 **1. Introduction**

58 Landslides, as one of the most widely distributed and common geological disasters of the
59 natural world, not only endanger the safety of residents but also severely harm the living

60 environment, resources, and property of humankind (Petley 2012; Zhang et al., 2015; Haque et al.,
61 2016). Especially since the impoundment of the Three Gorges Reservoir (TGR) of China in 2003,
62 many ancient landslides in the reservoir area have been reactivated, and some recent landslides have
63 also been induced (Zhang et al., 2015). Therefore, it is imperative to develop accurate early warning
64 systems (EWSs) for landslide disasters in this district (Yin et al., 2010; Tang et al., 2019).
65 Displacement prediction models, as a critical element of EWSs (Casagli et al., 2010; Intrieri et al.,
66 2013; Liu et al., 2013), are receiving increasing attention with the increasing understanding of the
67 need for disaster prevention and mitigation (Kirschbaum et al., 2010). Therefore, establishing
68 accurate, stable, and dependable prediction models of landslide displacements has become one of
69 the pressing issues in current geological disaster prediction research.

70 Among the current prediction methods of landslide displacements, the decomposition of
71 landslide displacements and the establishment of prediction models affect the final prediction
72 performance of models. From the perspective of displacement decomposition, the time series
73 analysis (TSA) technique is taken as the theoretical basis for most current models. These models
74 can be divided into two categories: partial decomposition (PD) models and complete
75 decomposition (CD) models. In PD models, the TSA technique and the moving average method
76 are combined to separate the trend and periodic displacements from the original displacement
77 time series (Du et al., 2013; Zhou et al., 2016; Yang et al., 2019). It is very efficient and
78 straightforward to decompose the displacement by using this model. The physical meaning of
79 the decomposition components is clear. However, it is usually unable to obtain the random
80 displacement proposed in the TSA due to the defects of the decomposition method, which leads
81 to the incomplete decomposition problem.

82 In CD models, some novel signal decomposition technologies, including wavelet
83 transform (WT), empirical mode decomposition (EMD), ensemble empirical mode
84 decomposition (EEMD), and variational mode decomposition (VMD), are used to decompose
85 the original displacement time series into several displacement components (Lian et al., 2013;
86 Huang et al., 2016; Shihabudheen and Peethambaran 2017; Li et al., 2018). It offers a practical
87 solution to the incomplete decomposition problem of random displacement. Nevertheless,
88 considering the complexity of the method, two new problems have appeared during its practical
89 application. The first problem is the overdecomposition of displacement time series, and the

90 second problem is the uncertainties in selecting the decomposition parameters. These two
91 problems significantly limit the suitability, effectiveness, and generalizability of this model
92 Therefore, we combine the TSA technique with the VMD method, which has achieved excellent
93 performance in landslide displacement decomposition (Li et al., 2018; Guo et al., 2020), to
94 propose a new adaptive decomposition method, named the optimized VMD (OVMD) method.

95 From the perspective of prediction model establishment, the development of landslide
96 prediction models has experienced a leap from empirical models, semiempirical models, and
97 mathematical-statistical models to nonlinear neural network models in recent decades (Saito, 1965;
98 Fukuzono, 1985; Li et al., 2012; Du et al., 2013; Intrieri et al., 2019; Liu et al., 2020). Especially
99 with the rise of artificial intelligence technologies, various neural network models have been
100 introduced into landslide displacement predictions. As a nonlinear neural network prediction model
101 with strong generalization, the kernel extreme learning machine (KELM) has been widely utilized
102 (Zhou et al., 2018a; Zhou et al., 2018b; Liao et al., 2020). However, similar to other nonlinear
103 models, such as the backpropagation neural network (BPNN), support vector regression (SVR), and
104 extreme learning machine (ELM) models, there remains a crucial problem in the application of the
105 KELM model except for the model parameter optimization, i.e., the selection of model input factors.

106 In general, qualitative analysis is the most commonly used method for input factor selection.
107 That is, the input factors are directly proposed based on the experience judgment of engineering
108 geologists. However, while using this method, the sensitivity of models to the interactions between
109 some low-correlation factors is not fully considered. In some other cases, a few simple univariate
110 correlation analyses, such as the Pearson correlation or gray correlation analysis (GRA), are used to
111 carry out an a posteriori test on the correlation between the selected input factors and the
112 displacement. However, usually, no input factors are reduced during this process. It is evident that
113 using these qualitative or semiquantitative methods of factor selection is not conducive to the
114 generalization of relevant prediction models.

115 A more reasonable and quantitative method for input factor selection is to propose candidate
116 factors for different displacement components based on the experience judgment of engineering
117 geologists at first. Subsequently, based on the sensitivity analysis results of the well-trained
118 prediction model, these candidate factors are optimized by eliminating factors that have no
119 contribution or low contribution to the prediction. Thus, in this study, we used this improved method

120 to select the input factors of KELM models. In this improved method, a global sensitivity analysis
121 (GSA) method, called the PAWN method (Pianosi and Wagener, 2015), is introduced to analyze the
122 sensitivity of the results obtained by prediction models to the input factors. Compared to the widely
123 used factor selection methods and other variance-based sensitivity analysis methods, this method is
124 easily implemented to characterize the input factors' significance in cases of small samples (Wang
125 et al., 2020).

126 Overall, based on the variation characteristics of landslide displacements and the global
127 response characteristics of input factors, we propose a adaptive hybrid prediction model, the OVMD
128 and gray wolf optimizer (GWO)-based KELM (OVMD-GWO-KELM) model. In this model, the
129 TSA model and the OVMD method are first combined to decompose the landslide displacements
130 into displacement components. Second, based on the macroscopic deformation response of the
131 landslide to various triggering factors, a suitable set of candidate factors is constructed for each
132 displacement component. Some of these factors are also decomposed by the OVMD method
133 according to their changing characteristics. Next, the Latin hypercube sampling (LHS) algorithm
134 and the PAWN method are used to optimize these candidate factors. Finally, based on the
135 optimization results of candidate factors, the GWO-KELM model is applied to conduct the
136 multistep-ahead prediction of each displacement component. The prediction result is superposed to
137 realize the prediction of the cumulative displacements of landslides. To verify the validity,
138 superiority, and stability of the proposed model, we select the Baishuihe landslide as an example to
139 predict the displacement of its three most representative monitoring sites. In total, fifty predictions
140 for each monitoring site are implemented by using this model. The root mean square error (RMSE),
141 mean absolute percentage error (MAPE), R-squared (R^2), and Akaike information criterion (AIC)
142 are used to compare the average of these 50 forecasting results with the results of four different
143 GWO-KELM models.

144 **2. Methodology**

145 **2.1 TSA model of landslide displacements**

146 The displacement time series of landslides are nonstationary. The internal and external factors
147 that cause their variation can be mainly divided into three categories (Yang, 1992): trend, periodic,
148 and random triggering factors.

149 The trend triggering factors mainly refer to geographical and geological conditions of the slope
150 body that constantly evolve under constant external factors (e.g., gravity). In some exceptional cases,
151 they also involve external triggering factors with an evident tendency to change over a long period,
152 e.g., the large-scale and long-period scheduling of the reservoir water level. These factors are the
153 most fundamental factors leading to the formation of recent landslides or the reactivation of ancient
154 landslides. Under the separate control of such trend factors, the displacement of landslides tends to
155 increase monotonically over time.

156 Periodic triggering factors are often described as external factors that have apparent periodic
157 variational regularity and have an important influence on the deformation and stability of landslides
158 during the formation of recent landslides or the reactivation of ancient landslides. They often involve
159 seasonal precipitation, seasonal flash floods, periodic scheduling of reservoir water levels.
160 Influenced by this kind of factor, the displacement time series often shows a periodical variation,
161 such as a step-like increase.

162 The random triggering factors are the external factors that have significant uncertainty and
163 impact the deformation and stability of the landslide during the formation of recent landslides or the
164 gradual reactivation of ancient landslides. These factors are generally composed of nonseasonal
165 precipitation, temporary small-scale scheduling of reservoir water levels, and accidental small-scale
166 human activities. Under the influence of these factors, the landslide displacement time series can be
167 characterized by approximate white noise sequences.

168 Based on the analysis mentioned above, to better clarify the physical significance of the
169 components of landslide displacement time series and display the variations in each component, the
170 displacement time series of landslides can be characterized as follows:

$$171 \quad X(t) = \begin{cases} \alpha(t) + \beta(t) + \gamma(t) & \text{if periodic inducing factors exist} \\ \alpha(t) + \gamma(t) & \text{if periodic inducing factors do not exist} \end{cases} \quad (1)$$

172 where $X(t)$ represents the observed value of landslide displacement, $\alpha(t)$ represents the trend
173 displacement caused by trend triggering factors, $\beta(t)$ represents the periodic displacement caused
174 by periodic triggering factors, and $\gamma(t)$ represents the random displacement caused by random
175 triggering factors.

176 Unfortunately, due to the current monitoring instruments' limitations, these displacement

177 components cannot be directly obtained. Therefore, effectively obtaining the real displacement
178 components within the original displacement time series has become a necessary foundation to
179 establishing the nonlinear mapping relationship between triggering factors and the landslide
180 displacement. In this study, the various displacement components with different physical
181 significances are obtained by using the proposed OVMD technique which is described in detail in
182 section 2.2.

183 2.2 OVMD

184 The VMD method is a novel complicated-signal decomposition method based on the EMD
185 method (Dragomiretskiy and Zosso, 2013). Three critical parameters—the number of modes to be
186 recovered K , the balance parameter of the data-fidelity constraint α , and the dual ascent timestep
187 τ —must be set before using this method. Many studies (Dragomiretskiy and Zosso, 2013; Tang and
188 Wang, 2015; Tang and Wang, 2016) have shown that except for τ , how to set the parameters K
189 and α reasonably is very complicated. Although Li et al. (2018) and Guo et al. (2020) have used
190 the VMD algorithm to decompose the landslide displacement time series, the settings of relevant
191 parameters still depend on experience. Thus, considering that the complexity and variability in the
192 actual displacement time series, the parameters selected entirely by the empirical method are not
193 conducive to the promotion of the relevant models in actual landslide disaster prediction.

194 To solve this problem, we propose an adaptive signal decomposition method, named the
195 OVMD method. As shown in Fig. 1, this model can adaptively determine the optimal model
196 parameters to achieve the necessary decomposition of the object automatically. In this study, the
197 OVMD method is used to decompose both the cumulative displacement time series and the
198 candidate triggering factors. The specific calculation process of OVMD method consists of three
199 parts as follows.

200

201

[Insert Fig. 1]

202

203 **(1) Optimization of K .** The input time series is preliminarily decomposed according to the
204 initial parameter setting (i.e., $K = 2$, and $\alpha = 1$). Then, the optimal value $K_{optimal}$ is found

205 according to the following two criteria.

206 1) Criterion 1 is whether there is a medium or high correlation between different components
207 after the decomposition (i.e., whether the distance correlation coefficient (DCC) between different
208 components is greater than 0.4). When this criterion is not satisfied, the different displacement
209 components or the different factor components obtained after decomposition should theoretically
210 be independent or poorly correlated, ensuring that the decomposition components obtained by using
211 the OVMD method are consistent with reality and have real physical meaning.

212 2) Criterion 2 is whether there is a mode aliasing between decomposed components after the
213 decomposition (i.e., whether the difference in the center frequencies (DCF) between the
214 decomposed components is higher than half their sum of 3 dB bandwidths (HSB)). As shown in Fig.
215 2, when the center frequencies f_c of the components are close to each other, the risk of aliasing
216 between components increases gradually. Therefore, in addition to ensuring that the decomposed
217 components have different physical meanings, we should pay attention to the mode aliasing problem.

218

219

[Insert Fig. 2]

220

221 **(2) Optimization of α .** The comprehensive determination indexes (CDIs) corresponding
222 to different α values and $K_{optimal}$ are calculated based on the signal-to-noise ratio (SNR),
223 approximate entropy, center frequency, and 3 dB bandwidth of the decomposed components. The
224 definition of the CDI is as follows:

$$225 \quad CDI = \begin{cases} MAPEN, & \text{if } t = 0 \\ NaN, & \text{if } t = 1 \end{cases} \quad (2)$$

226 where CDI is the comprehensive determination index; $MAPEN$ is the mean value of
227 approximate entropies of all decomposed components; NaN is a null variable; and t is the logical
228 variable of the determination matrix of modal aliasing (DMMA), which is calculated based on the
229 DCF and HSB between the decomposed components. If there is mode aliasing between decomposed
230 components, $t = false$; otherwise, $t = true$.

231 The smaller the CDI index is, the more orderly the variation in each component is, the smaller

232 the uncertainty is, and the more meaningful the information it carries. Therefore, when the CDI of
 233 the decomposed components reaches its minimum value, $\alpha_{optimal}$ is found. It should be noted that
 234 when there are multiple identical minimum values of the CDI, $\alpha_{optimal}$ should be determined
 235 according to the maximum value of the SNR of the decomposed components, which can minimize
 236 the information loss of the reconstructed signals. Finally, the input time series is decomposed
 237 according to the optimized parameter settings, $K_{optimal}$ and $\alpha_{optimal}$.

238 In the OVMD method, the signal decomposition is still performed based on the traditional
 239 VMD method proposed by [Dragomiretskiy and Zosso \(2013\)](#). That is, based on the MATLAB
 240 platform, we only write the code of the parameter optimization part according to the above process
 241 as shown in Figure 1. Besides, in the calculation process, the optimization space of K and α are
 242 set to $[2, 6]$ and $[1, 1 \times 10^4]$, respectively.

243 2.3 GWO-KELM

244 The KELM model is an improved model proposed by [Huang et al. \(2006\)](#) based on the ELM
 245 model and kernel function technology. The regression function based on the KELM model can be
 246 expressed as follows:

$$247 \quad f(x) = \begin{bmatrix} K(x, x_1) \\ \vdots \\ K(x, x_N) \end{bmatrix}^T (I/C + \Omega_{ELM})^{-1} T \quad (3)$$

248 where I is the diagonal matrix, C is the penalty parameter, I/C is the bias constant of the
 249 diagonal elements in the symmetric matrix Ω_{ELM} , Ω_{ELM} is the kernel function matrix of ELM,
 250 and T is the output target vector-matrix ($T = [t_1, t_2, \dots, t_i]^T$). The function matrix Ω_{ELM} is
 251 defined as follows:

$$252 \quad \Omega_{ELM} = HH^T : \Omega_{ELM(i,D)} = h(x_i)h(x_j) \\ = K(x_i, x_j) \quad (4)$$

253 where H is the output matrix of the hidden layer ($H = [h(x_1), h(x_2), \dots, h(x_i)]^T$), $h(x_i)$ is the
 254 output vector of the hidden layer corresponding to the input vector x_i , and $K(x_i, x_j)$ is the
 255 kernel function. Since the radial basis function (RBF) is the most widely used kernel function, it is
 256 used as the kernel function of the KELM model in this paper. It is defined as follows:

$$257 \quad K(x_i, x_j) = \exp(-\lambda \|x_i - x_j\|^2) \quad (5)$$

258 where λ is the kernel function parameter ($\lambda > 0$), and $\|x_i - x_j\|^2$ is the square of the Euclidean
259 distance between the input vector x_i and x_j .

260 The KELM model has strong applicability in landslide displacement prediction (Zhou et al.,
261 2018b; Liao et al., 2020). Thus, in this paper, the KELM model is used as one of the most critical
262 parts of the proposed adaptive model. It is well known that the model parameter optimization of the
263 KELM model has significant effects on its performance. Since the KELM model is the core of the
264 adaptive prediction model proposed in this paper, its parameters have also become the core
265 parameters that affect the prediction performance of the hybrid model. To obtain more accurate and
266 stable prediction results, we use the GWO algorithm proposed by Mirjalili et al. (2014) to optimize
267 C and λ . In this paper, the optimization space of C and λ are both set to $[1 \times 10^{-13}, 1 \times 10^{13}]$.
268 The numbers of search agents, iterations, and convergence errors used in the GWO algorithm are
269 40, 200, and 1×10^{-7} , respectively. For the factor selection of the KELM model, the GSA method,
270 called the PAWN method, is used and introduced in detail in section 2.4.

271 2.4 PAWN method

272 As a novel distribution-based GSA methodology, the PAWN method was proposed by
273 Pianosi and Wagener (2015) to calculate the sensitivity index S_i of the i -th input factor x_i .
274 More concretely, the sensitivity y of the model output to x_i can be calculated according to
275 the maximum distance between the unconditional output distribution $F_y(y)$ and the
276 conditional output distribution $F_{y|x_i}(y|x_i)$, where $F_y(y)$ can be obtained by varying all input
277 factors x simultaneously, and $F_{y|x_i}(y|x_i)$ is generated by changing all input factors x
278 except x_i . The calculation of the maximum distance between $F_y(y)$ and $F_{y|x_i}(y|x_i)$ is
279 implemented by the Kolmogorov–Smirnov (KS) test in this paper. Thus, for x_i , S_i is defined
280 as follows:

$$281 \quad S_i = \text{statKS}(x_i) \text{ where } \text{KS}(x_i) = \max |F_y(y) - F_{y|x_i}(y|x_i)| \quad (6)$$

282 where *stat* denotes a statistic determined by the user, such as the maximum, median, or mean.

283 In this study, we set $S_i = \text{mean}(\text{KS}(x_i))$, in which the value range of S_i is $[0, 1]$. The smaller
284 the value of S_i is, the smaller the influence of x_i on y .

285 In general, S_i is computed numerically. Unlike the PAWN index approximation approach
286 based on the tailored sampling strategy (Pianosi and Wagener, 2015), the fundamental idea of
287 the generic approach (Pianosi and Wagener, 2018) to estimate S_i is to divide the changing
288 range of x_i into w equidistant intervals of \mathcal{I}_k and determine the conditional samples YC_{ik}
289 accordingly. The unconditional sample Y_U can be replaced with the entire sample Y or with a
290 subsample of Y . Therefore, the approximative PAWN indexes calculated according to the new
291 strategy can be formulated as follows:

$$292 \quad \hat{S}_i = \text{stat}_{k=1, \dots, w} \text{KS}(\mathcal{I}_k) \text{ where } \text{KS}(\mathcal{I}_k) = \max_y |\hat{F}_y(y) - \hat{F}_{y|x_i}(y|x_i \in \mathcal{I}_k)| \quad (7)$$

293 where $\hat{F}_y(y)$ is the empirical distribution of Y_U , and $\hat{F}_{y|x_i}(y|x_i \in \mathcal{I}_k)$ is the empirical
294 distribution of YC_{ik} .

295 When the number of samples is relatively small and the above approximate formula is
296 applied to compute the PAWN indexes, the robustness of the chosen samples' sensitivity values
297 should be evaluated accurately and carefully by using the bootstrap method (Efron and
298 Tibshirani, 1993). Additionally, the KS statistic \hat{S}_{dummy} of the dummy factor is introduced to
299 identify the inputs whose measured sensitivities are too low to distinguish them from
300 approximation errors (Zadeh et al., 2017).

301 Due to the computational efficiency and robustness of the PAWN algorithm, we use this
302 algorithm to select the input factors of the KELM models. The total number of calculations of
303 the model N and the number of conditioning intervals w must be set up before starting the
304 GSA with the PAWN method. Ordinarily, N should be set as large as possible to provide more
305 available computing resources to the PAWN method (Wang et al., 2020). Nevertheless, the
306 higher the value of N , the higher the computational cost. Therefore, we set $N = 10000$. In

307 terms of w , the default value ($w=10$) recommended by Pianosi and Wagener (2019) is used
308 in this study. The SAFE toolbox (Pianosi et al. 2015 and 2018) is applied to implement the
309 PAWN algorithm based on the new generic approach. The specific process of factor selection
310 based on the PAWN method consists of four parts, as shown in section 2.5.2.

311 **2.5 Prediction process of the OVMD-GWO-KELM model**

312 Fig. 3 shows the schematic of the OVMD-GWO-KELM model for forecasting the step-like
313 displacement of colluvial landslides. This model mainly consists of the following three parts:

314

315

[Insert Fig. 3]

316

317 **2.5.1 Data processing and adaptive decomposition**

318 **(1) Data cleaning.** This step involves filling in the missing values of raw data, reducing noise
319 in the raw data, identifying outliers in the raw data, and correcting the inconsistencies in the raw
320 data.

321 **(2) Isochronous processing.** The raw data of the landslide displacements, reservoir water
322 levels, precipitation, and so on are preprocessed to unify the data sampling frequency at a fixed
323 value (i.e., monthly).

324 **(3) Normalization processing.** All raw data are normalized to $[-1, 1]$ by different dimensions
325 of the triggering factors.

326 **(4) Selection of candidate input factors.** According to the landslide deformation evolution law
327 and its deformation response relationship with external factors, a candidate set of factors is
328 constructed.

329 **(5) Decomposition of the input and output variables based on the OVMD method.** The
330 OVMD method is applied to adaptively decompose the cumulative displacements and their
331 corresponding triggering factors into multiple components with distinctive characteristics. The
332 detailed calculation flow of the OVMD method is described in detail in section 2.2.

333 **(6) Dataset construction.** According to the definitions of trend displacement, periodic
334 displacement, and random displacement, the training datasets of the different displacement
335 components are formed.

336 2.5.2 Factor adaptive selection

337 (1) *Response surface modeling*. Based on the constructed datasets, the GWO-KELM model
338 for different displacement components is separately established and well trained as the response
339 surface models to represent the natural response of the landslide displacement component to external
340 induced factors. To make full use of every sample in the datasets, we used the leave-one-out method
341 ten times during the parameter optimization for each GWO-KELM model.

342 (2) *Data resampling and response fitting*. LHS was used to generate N samples from the
343 triggering factors of each displacement component. In this process, all the factors were assumed to
344 follow uniform distributions. The generated samples are then taken in the response surface model
345 of each displacement component to obtain their corresponding predicted displacement values.

346 (3) *Calculation of the KS statistic based on the PAWN method*. The PAWN method is applied
347 to calculate the mean KS statistics of all triggering factors for the prediction model of each
348 displacement component. In this process, the KS statistic of a dummy factor is obtained to judge
349 whether the triggering factors play a role in the GWO-KELM models. Then, according to the mean
350 KS statistic, the input factors of the GWO-KELM model for each displacement component are
351 sorted in descending order. Finally, factors whose mean KS statistics are less than the mean KS
352 statistics of their corresponding dummy factors are deleted. The initial valid factors are determined
353 according to the remaining factors.

354 (4) *Deletion of redundant factors*. First, the sorted mean KS statistics of the initial optimized
355 factors are fit with an appropriate exponential fitting function as follows:

$$356 \quad y_{ks} = Ae^{Bx_{order}} + Ce^{Dx_{order}} \quad (8)$$

357 where y_{ks} is the fitted value of the mean KS statistics of all triggering factors. x_{order} is the
358 order number of the triggering factors sorted in descending order according to the mean KS
359 statistics. A , B , C , and D are the function parameters to be fitted by the nonlinear least-
360 squares method.

361 Second, the second-order differences of y_{ks} (i.e., $\Delta(\Delta y_{ks})$) are calculated. Third, all
362 factors whose $\Delta(\Delta y_{ks})$ values are less than 0.001 are eliminated. Finally, the retained factors

363 are used as the final optimized factors to reconstruct the datasets of the different displacement
364 components.

365 **2.5.3 Model training, prediction, and validation**

366 **(1) Model training and prediction.** Based on the reconstructed optimal datasets, the GWO-
367 KELM prediction models of the different displacement components are rebuilt. During this process,
368 the training method and optimization parameters of the KELM model are consistent with those of
369 the above method. The optimal input factors are introduced into the well-trained models to predict
370 the different displacement components. The predicted cumulative displacements of the landslide are
371 obtained by summing all the prediction results.

372 **(2) Performance validation of the model.** In the prediction performance evaluation, the R^2
373 and MAPE values are not easily affected by extreme values and can better evaluate the mean
374 prediction performance of the model as a whole than the other metrics. The RMSE is more
375 sensitive to extreme value prediction results due to the squared amplification of the prediction
376 errors, thus highlighting the larger error values with significant influences. Furthermore, the
377 AIC is usually used to measure the computational complexity of the models. Therefore, in this
378 study, the above four indexes are comprehensively used to validate the performance of the
379 proposed model. The definitions of the AIC are as follows:

$$380 \quad AIC = 2k - 2\ln(MSE) \quad (9)$$

$$381 \quad MSE = \frac{1}{n} \sum_{i=1}^n (\hat{y}_i - y_i) \quad (10)$$

382 where \hat{y}_i denotes the predicted value, y_i denotes the measured value, n denotes the
383 number of predicted values, \bar{y} denotes the mean of the measured values, and k denotes the
384 number of model input factors.

385 **3. Materials**

386 **3.1 Brief introduction of Baishuihe landslide**

387 The Baishuihe landslide is located on the south bank of the Yangtze River (Fig. 4 (a)). It is
388 approximately 56 km from the site of the Three Gorges Dam. As shown in Fig. 4 (b), the toe of the

389 landslide is directly below the reservoir water level of 135 m, and its rear is located at the
390 geotechnical boundary with an elevation of 410 m. A bedrock ridge bounds the east and west sides
391 of the landslide. The main sliding direction, north-south length, and east-west width of the landslide
392 are approximately 20°NE, 600 m, and 700 m, respectively. The front and back parts of the landslide
393 are steeper than its middle part, which has an overall slope of approximately 30°. The average
394 thickness of the sliding mass is approximately 30 m, and its estimated volume is approximately 1.26
395 $\times 10^7$ m³.

396 The monitoring data of inclinometer QZK1 (located under monitoring site ZG118) show two
397 sliding zones with different depths (Li et al., 2013; Miao et al., 2018; Yang et al., 2019). As shown
398 in Fig. 5, the shallow sliding zone is the contact zone between Quaternary loose deposits (i.e.,
399 gravelly soils with silty clay and fragmented rubble) and cataclastic rocks, with a buried depth of
400 12 m to 25 m. The deep sliding zone is the contact zone between the bottom of the cataclastic rock
401 and the underlying bedrock (i.e., the silt mudstone of the Jurassic Xiangxi Formation), with a buried
402 depth of 18.9 m to 34.1 m. The deep sliding zone is the original sliding zone of the Baishuihe
403 landslide, while the shallow sliding zone is the new sliding zone formed when the Baishuihe
404 landslide was reactivated by water-level fluctuations in the TGR in 2003.

405

406 **[Insert Fig. 4]**

407

408 **[Insert Fig. 5]**

409

410 Since 2003, the Baishuihe landslide has undergone five large deformations, among which the
411 most severe occurred in July 2004. According to the characteristics and scope of the deformation
412 that appeared in July 2004, the early warning area of the landslide (i.e., the main deformation area)
413 is determined (Fig. 4 (c)). The front edge of the early warning area is below the water level of 145
414 m, and the back edge is approximately 295 m in elevation. Huangtubao and Shanyanggou bound
415 the east and west sides of the area, respectively. It is approximately 430 m from north to south and
416 500 m from east to west, in which the plane space is approximately 5.5×10^6 m².

417 At present, the deformation of the landslide is mainly concentrated in the early warning area at
418 the front and middle parts of the whole landslide, and the displacement of the monitoring point at

419 the back of the landslide is still stable, which shows that the whole landslide mainly presents
420 retrogressive deformation characteristics. As shown in Fig. 4 (b), 11 GPS displacement monitoring
421 sites are on the Baishuihe landslide. Compared with the other eight monitoring sites, monitoring
422 sites ZG93, ZG118, and XD01 have the following two advantages: (1) the monitoring period is the
423 longest, and the data are the most complete; (2) they are all located in the middle of the landslide,
424 and their monitoring data are representative, which can better reflect the whole landslide movement
425 process. Therefore, we select the data of these three monitoring sites for the research in this paper.

426 **3.2 Initial selection of the candidate factors based on engineering geological analysis**

427 It is generally known that for machine learning models, choosing the appropriate input
428 factors is essential to guarantee the prediction accuracy and generalization performance of
429 models. Numerous studies have shown that precipitations, fluctuations in reservoir water level,
430 and earthquakes are the main triggering factors of slope deformation and instability (Crosta
431 2004; Lee et al., 2008; Tang et al., 2019). No massive seismic disaster has been reported in the
432 TGR area recently, and abundant precipitation occurs year-round in this area (Yao et al., 2015).
433 Additionally, the research object (i.e., the Baishuihe landslide) is a typical riverside landslide
434 in this region. Thus, it is quite evident that precipitation and fluctuations in the reservoir water
435 level should be the major triggering factors of the Baishuihe landslide.

436

437

[Insert Fig. 6]

438

439 Fig. 6 shows that the increasing extents of cumulative displacements generally increase
440 with the increase in precipitation intensity during the rainy season and decrease with the decline
441 in precipitation intensity during the nonrainy season. This finding illustrates that precipitation
442 is one of the triggering factors affecting the deformation of the Baishuihe landslide, which has
443 a positive effect on the increase in the landslide displacements. Considering that precipitation
444 infiltration is usually a continuous and relatively slow process and that the time intervals
445 between two continuous heavy precipitation processes on the Baishuihe landslide are relatively
446 long (the time intervals range from 12.38 days to 24.6 days), it is not appropriate to consider

447 the cumulative effect of precipitation infiltration over a long period. Because the sharp annual
448 increases in displacements and the heavy precipitation processes are both mainly concentrated
449 in June, July, and August every year, it is quite clear that there is a significant correlation
450 between the occurrence of antecedent heavy precipitation processes before 1 or 2 months and
451 the sharp increase in the monthly landslide displacement. Thus, it is appropriate to consider the
452 cumulative effect of precipitation infiltration within two months. Some earlier research (Du et
453 al., 2013; Roering et al., 2015; Krkač et al., 2017; Bogaard and Greco, 2018; Li et al., 2020)
454 was consistent with this analysis. Therefore, in this paper, the monthly cumulative antecedent
455 precipitation, the bimonthly cumulative antecedent precipitation, and the monthly maximum
456 continuous effective precipitation with four different reduction factors (i.e.,
457 $r = 1, 0.8, 0.6, \text{ and } 0.4$) are selected as the candidate factors. These six precipitation factors are
458 defined as CF_1, CF_2, \dots, CF_6 .

459 Fig. 6 also shows that the cumulative displacements increase sharply approximately one
460 or two months later when the reservoir level declines. However, when the reservoir water level
461 rises, the landslide displacements remain the same. This finding illustrates that fluctuations in
462 the reservoir water level are also among the triggering factors that cause the deformation of the
463 Baishuihe landslide, which has both positive and negative effects on the increase in the
464 landslide displacement because the pore water pressure in the sliding mass is difficult to
465 dissipate (Tang et al., 2019). Hence, considering the hysteresis effect of groundwater level that
466 is caused by the fluctuation of the reservoir water level (Miao et al., 2018; Xue et al., 2020),
467 the influence of both the current and past water levels on landslide displacements should be
468 considered in the prediction of landslide displacements. Therefore, in this study, we select the
469 monthly and bimonthly average elevations of reservoir levels, the monthly and bimonthly
470 increases in reservoir levels, the monthly and bimonthly decreases in reservoir levels, the
471 monthly and bimonthly relative variations in reservoir levels, and the monthly and bimonthly
472 absolute variations in reservoir levels as candidate factors. These ten water-level factors are
473 defined as $CF_7, CF_8, \dots, CF_{16}$.

474 Moreover, due to the continuous evolution of geological conditions, there is a remarkable
475 difference in the deformation responses of landslides between their different evolution stages

476 (Glade et al., 2005). For landslides with progressive failure characteristics, even extremely
477 heavy precipitation may result in only minor deformation when they are in a steady evolution
478 stage (i.e., the primary or secondary creeping stage). In contrast, when they are under an
479 unstable evolution stage (i.e., the tertiary creeping stage), slight precipitation may easily break
480 the limit equilibrium state of the original system and cause extremely intense deformation
481 (Zhou et al., 2018b; Yang et al., 2019). Thus, it is necessary to consider the influence of
482 historical landslide deformation on current landslide evolution (Cao et al., 2016). The
483 cumulative displacements and their increments over the preceding 1-3 months are adopted as
484 the supplement of the rainfall and reservoir level factors to characterize the influence of the
485 evolution of geological conditions on landslide displacement. These six displacement factors
486 are defined as $CF_{17}, CF_{18}, \dots, CF_{22}$.

487 **4. Results**

488 In total, 408 data points collected from each monitoring site of ZG93, ZG118, and XD01
489 between June 2006 and December 2016 were used in this simulation. The data points from June
490 2006 to December 2013 and January 2014 to December 2016 were used as the training and
491 testing sets, respectively. The data preprocessing step was conducted before splitting the entire
492 dataset. The multistep-ahead prediction method was used in the prediction process of the
493 proposed model, which means that all 36 samples in the testing set were predicted at once after
494 building the prediction model based on all 100 samples in the training set. Due to the limitation
495 of this paper's length, we mainly took the data of monitoring site ZG93 as an example to
496 introduce the details of the prediction process and its results obtained by using the OVMD-
497 GWO-KELM model.

498 **4.1 Decomposition of landslide displacements and triggering factors based on the OVMD** 499 **method**

500 **4.1.1 Decomposition parameters and decomposition results of landslide displacements**

501 1) *The optimal number of modes.*

502 Fig. 7 shows the variations in DCC between the decomposed components with increasing
503 K . When $K = 4$, two groups of medium-correlation or high-correlation decomposed

504 components appeared. With the increase in K from 4 to 6, the number of medium-correlation
505 and high-correlation components increased from 2 to 3. Clearly, $K = 3$ is the threshold at
506 which high- or medium-correlation components appeared in the displacement decomposition
507 result of monitoring site ZG93.

508

509

[Insert Fig. 7]

510

511 Fig. 8 shows the variations in the DCF and HSB between different components with
512 increasing K . When $K = 4$, the HSB between different components is larger than the DCF
513 between different components for the first time. Accompanying the increase in K from 4 to 6,
514 the number of points with HSBs higher than the DCFs also increased from 3 to 6. It is clear that
515 $K = 3$ is also the threshold at which the aliasing components appeared in the displacement
516 decomposition result of monitoring site ZG93.

517

518

[Insert Fig. 8]

519

520 According to the definition of the convergence conditions for the optimization of K
521 described in section 2.5.1, $K = 3$ is the threshold of the underdecomposition and
522 overdecomposition of landslide displacements for monitoring site ZG93, which means that
523 $K_{optimal} = 3$. Monitoring sites ZG118 and XD01 have the same optimal mode number as
524 monitoring site ZG93 in their displacement time series.

525 2) *The optimal balancing parameter.*

526 After determining the optimal value of K , the optimal value of α was searched
527 immediately. Fig. 9 shows that the MAPEN gradually decreases with increasing α . This
528 finding means that the greater the value of α is, the better the regularity of the displacement
529 components. However, it is not true that the greater the value of α is, the better the

530 decomposition effect of the results, because when α is more significant than a specific value,
531 mode aliasing appears in the decomposed components. Therefore, according to the definition of
532 the CDI and its corresponding optimization principle, which are both described in section 2.2,
533 the optimal values α for monitoring sites ZG93, ZG118 and XD01 were determined, as shown
534 in Fig. 9 (d).

535

536 **[Insert Fig. 9]**

537

538 3) *Displacement decomposition results.*

539 The decomposition of the actual cumulative displacements was carried out based on
540 $K_{optimal}$ and $\alpha_{optimal}$ described above. The actual cumulative displacements and their
541 corresponding decomposed displacement components and the residuals of monitoring sites
542 ZG93, ZG118, and XD01 are shown in Fig. 10.

543

544 **[Insert Fig. 10]**

545

546 **4.1.2 Decomposition parameters and the decomposition results of the triggering factors**

547 OVMD was also used to decompose the candidate factors proposed in section 3.2. The
548 decomposition parameters of these factors are shown in Table 1. Not all candidate factors must
549 be decomposed. In addition, for the same type of factors, the decomposition parameters are
550 nearly the same.

551

552 **[Insert Tab. 1]**

553

554 The representative decomposition results of the different types of factors for monitoring site
555 ZG93, including CF_3 , CF_9 , CF_{11} , CF_{14} and CF_{17} , are shown in Fig. 11. For the candidate factors
556 to be decomposed, their components obtained from the decomposition have different variation
557 characteristics, which describes the changes in the original signal from different perspectives.

558

559

[Insert Fig. 11]

560

561 **4.2 Optimization of the triggering factors based on the PAWN method**

562 **4.2.1 GSA of triggering factors for prediction models**

563 As described in section 2.5.2, after the prediction models for different displacement
564 components were established based on the decomposed training data, the validity of each model's
565 input factors needed to be analyzed based on the PAWN method. Fig. 12 shows the mean KS
566 statistics of the triggering factors for the prediction models of the different displacement components.
567 Most of the mean KS statistics of triggering factors are less than or remarkably close to those of the
568 dummy factors. This finding means that except for only a few valid factors, most triggering factors
569 have little or no influence on the prediction model results in general. Additionally, for the prediction
570 models of the same type of displacement components, there is a certain similarity between their
571 valid input factors.

572

573

[Insert Fig. 12]

574

575 **4.2.2 Selection of valid input factors**

576 Taking monitoring site ZG93 as an example, Fig. 13 shows the valid and optimized factors
577 for the different displacement component predictions obtained using the reduction method
578 described in section 2.5.2. The red dotted line represents the initial dividing line of the optimized
579 factors based on the KS statistic of the dummy factor. The green dotted line represents the final
580 dividing line of the optimized factors determined according to the second-order difference
581 results in the KS statistical fitting values of the initial valid factors. By using this approach, the
582 number of input factors is substantially reduced. For instance, the number of input factors is
583 reduced from 52 to 7 within the trend displacement prediction process of ZG93. Moreover, their
584 factors after reduction are quite different for the prediction models of different displacement
585 components.

586

587

[Insert Fig. 13]

588

589 Fig. 14 shows the DCC matrixes between the triggering factors before and after the
590 reduction in factors, in which the diagonal elements of the matrixes of the different
591 displacement components represent the DCC between the triggering factors and the predicted
592 targets. For the prediction models of the different displacement components, the correlations
593 among the triggering factors and between the triggering factors and the prediction objects are
594 quite different. The trend displacement prediction model has the highest average correlations
595 among the triggering factors and between the triggering factors and the predicted targets,
596 followed by the random displacement prediction model. The periodic displacement prediction
597 model has the lowest average correlations among the triggering factors and between the
598 triggering factors and the predicted targets.

599

[Insert Fig. 14]

600

601 **4.2.3 Computational stability of factor selection**

602 To evaluate the stability of the PAWN method, the different displacement component
603 prediction model factors were reduced 50 times for each prediction model. Fig. 15 shows the
604 statistical results of the reduced factors. Regarding the prediction model of any displacement
605 component for any monitoring site, the reduced result of the triggering factors is very stable,
606 and the remaining factors are mainly concentrated on several of the same factors. In addition,
607 factor reductions still have some similarities in choosing several core factors for the prediction
608 model of the same displacement component of different displacement sites.

609

610

[Insert Fig. 15]

611

612 **4.3 Cumulative displacement prediction based on the proposed modified model**

613 To verify the accuracy and repeatability of the proposed OVMD-GWO-KELM model, we
614 established fifty such models to predict the cumulative displacements for each monitoring site.
615 The final prediction results of each monitoring site were the mean values of the prediction
616 results provided by these fifty corresponding models. To compare the model performance, four
617 different VMD-GWO-KELM models, which were separately established based on the initial

618 candidate factors, the candidate factors optimized by the GRA method, the adaptive
619 decomposed factors, and the adaptive decomposed factors optimized by the GRA method, were
620 taken as the comparison models. For the specific process of optimizing the input factors of the
621 prediction models by using the GRA method, please refer to the research published by [Miao et](#)
622 [al. \(2017\)](#) and [Yang et al. \(2019\)](#).

623 Fig. 16 and Table 2 show that the R² and MAPE values of the proposed modified model
624 are slightly higher or very close to those of the other comparable models. For the RMSE, the
625 improved models have relatively low RMSEs in the training process and have the lowest
626 RMSEs in the prediction process. For the AIC, all proposed models have the minimum AIC
627 values, whether in prediction or training. Additionally, the standard deviations of the prediction
628 results based on the proposed model changed only slightly with increasing prediction period.

629 Table 2 also shows the variations in each performance index caused by the change in the
630 number of factors. In most cases, the optimization of the number of input factors is very
631 conducive to improving each index of the model, whether in prediction or training. Only in
632 very few cases does the optimization of factors lead to the decline in two performance indexes
633 (i.e., the R² and MAPE) of the OVMD-GWO-KELM model in the process of prediction.
634 However, compared with the number of factors to be increased to improve these two indexes
635 in the VMD-GWO-KELM model, this decrease in R² and MAPE in the proposed model
636 performance is negligible.

637

638 **[Insert Fig. 16]**

639

640 **[Insert Tab. 2]**

641

642 **5. Discussion**

643 **5.1 Component extraction of landslide displacements**

644 As shown in Fig. 10, the decomposed trend displacements accurately retain the changing
645 trend in the original cumulative displacements. For the decomposed periodic displacements,
646 there is a good correspondence between their periodic variations and the step-like change in the

647 original cumulative displacements. For the decomposed random displacements, their variations
648 have a particular uncertainty and randomness. These results are consistent with the definition
649 of the landslide displacement components in section 2.1, which supports the finding that the
650 OVMD method can decompose the landslide displacements into different displacement
651 components with real physical meanings and different variation characteristics.

652 Moreover, the residuals between the reconstructed cumulative displacements (i.e., the sum
653 of trend displacement, periodic displacement, and random displacement) and the original
654 cumulative displacements account only for approximately one-thousandth of the original
655 cumulative displacements and do not have very obvious regularity. Obviously, using the
656 reconstructed cumulative displacements obtained by the OVMD method for the prediction
657 would not yield misjudgment of landslides' actual displacements. This further illustrates the
658 feasibility of using the OVMD method to decompose the displacement.

659 **5.2 Component extraction of triggering factors**

660 The decomposition of input factors has been proposed only in recent years. Its purpose is
661 to extract the components in each factor that are more related to their corresponding
662 displacement components to build prediction models with better performance. In this kind of
663 research (Deng et al., 2017; Li et al., 2018; Guo et al., 2020), it is usually assumed that there
664 are two components with different frequencies in the time series of factors, and then the
665 correlations between the two components of factors and the prediction objects are analyzed.
666 According to the analysis results, the prediction model based on the high-correlation
667 components was built to achieve a more accurate prediction than the traditional model based
668 on the original undecomposed factors.

669 However, whether there are two components with different physical meanings in factor
670 time series data is often ignored. Through our study, as shown in Table 1, it is found that not all
671 factors have the above two components with different frequencies. Most factors do not have
672 two components with different physical meanings, but a few factors have multiple components
673 with different physical meanings. This fact reminds us that we cannot directly use this
674 decomposition factor method to improve the prediction performance of the models. We should
675 pay more attention to whether there are components with different physical meanings in the
676 factors to avoid performance improvements based on fake factor components, thus increasing

677 the risk of incorrect predictions.

678 **5.3 Influence of considering factor coupling on the prediction results**

679 Considering the influence of increasing the number of input factors on the complexity,
680 generalization ability, and calculation efficiency of prediction models, how to extract valid
681 factors from numerous factors has become the key to improving the general performance of
682 prediction models. In past research, GRA has been widely used as a method to determine the
683 input factors of the model with the advantage of strong generality (Zhou et al., 2018b; Yang et
684 al., 2018; Liao et al., 2020). It is very suitable for selecting input factors to remove a large
685 number of irrelevant and low-correlation input factors quickly without the need for training
686 models.

687 As shown in Fig. 14, overall, only some of the optimization factors obtained by the
688 proposed PAWN-based method have high correlations with the prediction target, which is
689 different from the factor optimization results obtained by the GRA approach. Locally, the
690 factors selected by these two methods have a certain degree of similarity. For example, in the
691 trend displacement prediction factor of monitoring site ZG93, the top three factors selected by
692 these two methods are the same: F_{20} , F_{21} , and F_{22} . The reason for these situations is that the
693 coupling influence between low-correlation factors on the prediction results has not been
694 considered when the GRA method is used. Thus, although there is a certain similarity between
695 the factors highly related to the prediction target and the high-sensitivity factors that have a
696 greater impact on the prediction results, these two kinds of factors are not entirely equivalent.
697 In addition, when using the proposed PAWN-based method to select factors, the correlations
698 between the selected factors are relatively low, which can effectively suppress the influence of
699 multicollinearity on the prediction results to a certain extent. This multicollinearity problem is
700 usually ignored, thus leading to the failure of prediction models.

701 The results in Table 2 show that compared with no optimization of the models' input factors,
702 using the GRA method can improve the comprehensive prediction performance of the VMD-
703 GWO-KELM model to a certain extent. However, the GRA method's optimization effect is still
704 lower than that of the proposed PAWN-based method. Obviously, considering the impact of
705 factor coupling on the prediction results of models is beneficial to improve the comprehensive
706 prediction performance of the model. Thus, in constructing the prediction model, we should

707 choose the high-sensitivity factors as the input factors of the model instead of the traditional
708 high-correlation factors. This finding indicates the superiority of the proposed PAWN-based
709 method by reducing the number of input factors for prediction models.

710 **5.4 Performance of the OVMD-GWO-KELM model and its application prospects**

711 As described in section 2.5.3, the different evaluation indexes used in this study can
712 quantify the performance of the model from different aspects. By comparing and analyzing the
713 prediction results of the three models, it is easy to determine that the average prediction
714 performance of the proposed OVMD-GWO-KELM model is slightly higher than or remarkably
715 close to that of the other four VMD-GWO-KELM models. However, from the view of extreme
716 value prediction, especially when the displacements of landslides under the mutation state are
717 predicted, the proposed model has a better generalization ability than the comparison models.
718 Because the input factors used in the prediction process are obviously optimized, the
719 complexity and computational efficiency of the proposed model are significantly higher than
720 those of the comparison models. Moreover, the computational stability and reliability of the
721 proposed model results are also confirmed according to the variation characteristics of the
722 results of the fifty multistep-ahead predictions. Obviously, adopting the proposed model is very
723 useful for improving the comprehensive performance of the EWS of landslides.

724 As described in section 2.5, two automatic parameter determination processes are applied
725 in the proposed model. The first is the automatic determination process of the displacement
726 time series decomposition parameters and input factor time series. It enables the proposed
727 model to adaptively decompose the displacement time series or factor time series regardless of
728 whether there are different components with clear physical meaning and different change
729 characteristics in these time series. The second is the automatic determination process of the
730 optimal factor set of displacement components to be predicted. This process considers the
731 overall prediction performance and the extreme value prediction accuracy of the model and
732 ensures that the constructed model has low complexity and high computational efficiency.
733 Therefore, in theory, the proposed model also has a certain application and popularization value
734 in predicting other landslides with different displacement variation characteristics. It should be
735 noted that when using this model to predict the displacement of other types of landslides, it is
736 vital to put forward more targeted candidate factors according to the response analysis of macro

737 deformations to establish a more accurate prediction model. In addition, this model cannot be
738 updated effectively with the growth of prediction time at present, and its prediction accuracy is
739 bound to be reduced. Therefore, in future research or applications of this model, its adaptive
740 updating function should be subjected to more targeted optimization.

741 **6. Conclusion**

742 To solve the inherent defects in the existing landslide displacement prediction models and
743 construct an accurate and useful EWS for landslide disasters, based on the OVMD approach,
744 PAWN method, and GWO-KELM model, we proposed an adaptive hybrid machine learning
745 model, the OVMD-GWO-KELM model. This model contained three phases: data processing
746 and adaptive decomposition, adaptive factor selection, and model training, prediction, and
747 validation. Taking the Baishuihe landslide as an example, the process of applying this model
748 for landslide cumulative displacement prediction with multistep-ahead prediction was
749 discussed in detail, and the following conclusions were drawn from this study:

750 (1) The adaptive decomposition results obtained by using OVMD show three displacement
751 components with clear physical meaning and different variation characteristics in the
752 cumulative displacement time series of the Baishuihe landslide—namely, trend, periodic, and
753 random displacements. This finding is consistent with the conclusion of the traditional TSA
754 model of landslide displacement for step-like landslides.

755 (2) It is worth noting that not all candidate factors can be decomposed, because some of
756 them do not contain many components with clear physical meanings and different variation
757 characteristics. Therefore, a high level of care is necessary when using these decomposition
758 factors to improve prediction model performance because this kind of improvement is more
759 likely to be subjective and artificial rather than objective and real.

760 (3) Compared to traditional input factor selection methods, such as the GRA method, the
761 PAWN method can analyze the interaction between various low-correlation factors on the
762 results of prediction models. Thus, by considering the redundancy and lack of information in
763 raw data, both the low-sensitivity factors and combinations of low-sensitivity factors could be
764 correctly reduced for prediction models with different displacement components by applying
765 this method.

766 (4) Compared with the traditional VMD-GWO-KELM model, the generalization
767 performance of the proposed adaptive hybrid model can be significantly improved without
768 significantly reducing its training effect so that the overfitting and underfitting phenomena can
769 be effectively suppressed. In addition, the complexity of the model is typically low, and the
770 stability of its calculation results is still high with varying time. Thus, considering its adaptive
771 prediction characteristics, this proposed adaptive hybrid model also has a certain applicability
772 for displacement prediction of all kinds of landslides in addition to step-like landslides.

773 **Acknowledgments**

774 This research was supported by the National Natural Science Foundation of China (41977244)
775 and the National Key R&D Program of China (2017YFC1501301). The authors thank the
776 colleagues in our laboratory for their constructive comments and assistance. In addition, the authors
777 would like to express their special thanks to Dr. Yao Wenmin for their sincere assistance in
778 improving this study.

779 **References:**

- 780 Bogaard, T., Greco, R., 2018. Invited perspectives: hydrological perspectives on precipitation
781 intensity-duration thresholds for landslide initiation: proposing hydrometeorological thresholds.
782 *Nat Hazard Earth Sys*, 18(1), 31–39.
- 783 Cao, Y., Yin, K., Alexander, D. E., Zhou, C., 2016. Using an extreme learning machine to
784 predict the displacement of step-like landslides in relation to controlling factors. *Landslides*,
785 13(4), 725-736.
- 786 Casagli, N., Catani, F., Del Ventisette, C., Luzi, G., 2010. Monitoring, prediction, and early
787 warning using ground-based radar interferometry. *Landslides*, 7(3), 291-301.
- 788 Crosta, G. B., 2004. Introduction to the special issue on rainfall-triggered landslides and debris
789 flows. *Engineering Geology*, 3(73), 191-192.
- 790 Deng, D., Liang, Y., Wang, L., Wang, C., Sun, Z., Wang, C., Dong, M., 2017. Displacement
791 prediction method based on ensemble empirical mode decomposition and support vector
792 machine regression- a case of landslides in Three Gorges Reservoir area. *Chin J Rock Mech*
793 *Eng* 38(12), 3660–3669
- 794 Dragomiretskiy, K., Zosso, D., 2013. Variational mode decomposition. *IEEE transactions on*

795 signal processing, 62(3), 531-544.

796 Du, J., Yin, K., Lacasse, S., 2013. Displacement prediction in colluvial landslides, three Gorges
797 reservoir, China. *Landslides*, 10(2), 203-218.

798 Efron, B., Tibshirani, R. J., 1994. *An introduction to the bootstrap*. CRC press.

799 Fukuzono, T., 1985. A new method for predicting the failure time of a slope. In *Proceedings of*
800 *4th International Conference and Field Workshop on Landslide.*, 1985 (pp. 145-150).

801 Glade, T., Crozier, M. J., 2005. *Landslide hazard and risk: concluding comment and*
802 *perspectives*. *Landslide hazard and risk*. Wiley, Chichester, 767-774.

803 Guo, Z., Chen, L., Gui, L., Du, J., Yin, K., Do, H. M., 2019. Landslide displacement prediction
804 based on variational mode decomposition and WA-GWO-BP model. *Landslides*, 1-17.

805 Haque, U., Blum, P., da Silva, P. F., Andersen, P., Pilz, J., Chalov, S. R., Malet, J. P., Auflič, M.,
806 J., Andres, N., Poyiadji, E., Lamas, P. C., Zhang, W., Peshevski, I., Pétursson, H. G., Kurt, T.,
807 Dobrev, N., García-Davalillo, J. C., Halkia, M., Ferri, S., Gaprindashvili, G., Engström, J.,
808 Keellings, D., 2016. Fatal landslides in Europe. *Landslides* 13(6):1545–1554

809 Huang, F., Yin, K., Zhang, G., Gui, L., Yang, B., Liu, L., 2016. Landslide displacement
810 prediction using discrete wavelet transform and extreme learning machine based on chaos
811 theory. *Environmental Earth Sciences*, 75(20), 1376.

812 Huang, G. B., Zhu, Q. Y., Siew, C. K., 2006. *Extreme learning machine: theory and applications*.
813 *Neurocomputing*, 70(1-3), 489-501.

814 Intrieri, E., Carlà, T., Gigli, G., 2019. Forecasting the time of failure of landslides at slope-scale:
815 A literature review. *Earth-science reviews*.

816 Intrieri, E., Gigli, G., Casagli, N., Nadim, F., 2013. Brief communication: landslide early
817 warning system: toolbox and general concepts. *Nat Hazards Earth Syst Sci* 13:85–90

818 Jiang, P., Chen, J., 2016. Displacement prediction of landslide based on generalized regression
819 neural networks with K-fold cross-validation. *Neurocomputing*, 198, 40-47.

820 Kirschbaum, D.B., Adler, R., Yang, H., Hill, S., Lerner-Lam, A., 2010. A global landslide
821 catalog for hazard applications: method, results, and limitations. *Nat Hazards* 52(3):561–575

822 Krkač, M., Špoljarić, D., Bernat, S., Arbanas, S. M., 2017. Method for prediction of landslide
823 movements based on random forests. *Landslides*, 14(3), 947–960.

824 Lee, C. T., Huang, C. C., Lee, J. F., Pan, K. L., Lin, M. L., Dong, J. J., 2008. Statistical approach

825 to earthquake-induced landslide susceptibility. *Engineering Geology*, 100(1-2), 43-58.

826 Li, D., Yin, K., Leo, C., 2010. Analysis of Baishuihe landslide influenced by the effects of
827 reservoir water and rainfall. *Environ Earth Sci*, 60(4), 677–687.

828 Li, H., Xu, Q., He, Y., Deng, J., 2018. Prediction of landslide displacement with an ensemble-
829 based extreme learning machine and copula models. *Landslides*, 15(10), 2047-2059.

830 Li, H., Xu, Q., He, Y., Fan, X., Li, S., 2020. Modeling and predicting reservoir landslide
831 displacement with deep belief network and EWMA control charts: a case study in Three Gorges
832 Reservoir. *Landslides*, 17(3), 693-707.

833 Li, L., Wu, Y., Miao, F. et al. 2020. A hybrid interval displacement forecasting model for
834 reservoir colluvial landslides with step-like deformation characteristics considering dynamic
835 switching of deformation states. *Stochastic Environmental Research and Risk Assessment*.
836 <https://doi.org/10.1007/s00477-020-01914-w>

837 Li, L., Wu, Y., Miao, F., Liao, K., Zhang, L., 2018. Displacement prediction of landslides based
838 on variational mode decomposition and GWO-MIC-SVR model. *Chin J Rock Mech Eng*, 37(6),
839 1395-1406.

840 Li, S. H., Wu, L. Z., Chen, J. J., Huang, R. Q., 2020. Multiple data-driven approach for
841 predicting landslide deformation. *Landslides*, 17(3), 709-718.

842 Li, X., Kong, J., Wang, Z., 2012. Landslide displacement prediction based on combining
843 method with optimal weight. *Natural hazards*, 61(2), 635-646.

844 Lian, C., Zeng, Z., Yao, W., Tang, H., 2013. Displacement prediction model of landslide based
845 on a modified ensemble empirical mode decomposition and extreme learning machine. *Natural*
846 *hazards*, 66(2), 759-771.

847 Lian, C., Zeng, Z., Yao, W., Tang, H., 2014a. Ensemble of extreme learning machine for
848 landslide displacement prediction based on time series analysis. *Neural Computing and*
849 *Applications*, 24(1), 99-107.

850 Lian, C., Zeng, Z., Yao, W., Tang, H., 2014b. Extreme learning machine for the displacement
851 prediction of landslide under rainfall and reservoir level. *Stochastic environmental research and*
852 *risk assessment*, 28(8), 1957-1972.

853 Liao, K., Wu, Y., Miao, F., Li, L., Xue, Y., 2020. Using a kernel extreme learning machine with
854 grey wolf optimization to predict the displacement of step-like landslide. *Bulletin of*

855 Engineering Geology and the Environment, 79(2), 673-685.

856 Liu, Y., Xu, C., Huang, B., Ren, X., Liu, C., Hu, B., Chen, Z., 2020. Landslide displacement
857 prediction based on multi-source data fusion and sensitivity states. Engineering Geology,
858 105608.

859 Liu, Z., Shao, J., Xu, W., Chen, H., Shi, C., 2014. Comparison on landslide nonlinear
860 displacement analysis and prediction with computational intelligence approaches. Landslides,
861 11(5), 889-896.

862 Miao, F., Wu, Y., Xie, Y., Li, Y., 2018. Prediction of landslide displacement with step-like
863 behavior based on multialgorithm optimization and a support vector regression model.
864 Landslides, 15(3), 475-488.

865 Miao, F., Wu, Y., Xie, Y., Yu, F., Peng, L., 2017. Research on progressive failure process of
866 Baishuihe landslide based on Monte Carlo model. Stochastic Environmental Research and Risk
867 Assessment, 31(7), 1683-1696.

868 Mirjalili, S., Mirjalili, S. M., Lewis, A., 2014. Grey wolf optimizer. Advances in engineering
869 software, 69, 46-61.

870 Petley, D., 2012. Global patterns of loss of life from landslides. Geology, 40(10), 927-930.

871 Pianosi, F., Wagener, T., 2015. A simple and efficient method for global sensitivity analysis
872 based on cumulative distribution functions. Environmental Modelling and Software, 67, 1-11.

873 Pianosi, F., Wagener, T., 2018. Distribution-based sensitivity analysis from a generic input-
874 output sample. Environmental Modelling and Software, 108, 197-207.

875 Ren, F., Wu, X., Zhang, K., Niu, R., 2015. Application of wavelet analysis and a particle swarm-
876 optimized support vector machine to predict the displacement of the Shuping landslide in the
877 Three Gorges, China. Environmental earth sciences, 73(8), 4791-4804.

878 Saito, M., 1965. Forecasting the time of occurrence of a slope failure. In: Proceedings of the
879 6th International Mechanics and Foundation Engineering, Montr al, Que. Pergamon Press,
880 Oxford 537-541

881 Shihabudheen, K. V., Peethambaran, B., 2017. Landslide displacement prediction technique
882 using improved neuro-fuzzy system. Arabian Journal of Geosciences, 10(22), 502.

883 Tang, G. J., Wang, X. L. 2016. Variational mode decomposition method and its application on
884 incipient fault diagnosis of rolling bearing. Journal of Vibration Engineering, 29(4), 638-648.

885 Tang, G. J., Wang, X. L., 2015. Parameter optimized variational mode decomposition method
886 with application to incipient fault diagnosis of rolling bearing. *Journal of xi'an jiaotong*
887 *University*, 49(5), 73-81.

888 Tang, H., Wasowski, J., Juang, C. H., 2019. Geohazards in the three Gorges Reservoir Area,
889 China—Lessons learned from decades of research. *Engineering Geology*, 105267.

890 Wang, Y., Huang, J., Tang, H., 2020. Global sensitivity analysis of the hydraulic parameters of
891 the reservoir colluvial landslides in the Three Gorges Reservoir area, China. *Landslides*, 17(2),
892 483-494.

893 Xue, Y., Wu, Y., Miao, F., Li, L., Liao, K., Ou, G., 2020. Effect of spatially variable saturated
894 hydraulic conductivity with nonstationary characteristics on the stability of reservoir landslides.
895 *Stochastic Environmental Research and Risk Assessment*, 34, 311–329.

896 Yang, B., Yin, K., Lacasse, S., Liu, Z., 2019. Time series analysis and long short-term memory
897 neural network to predict landslide displacement. *Landslides*, 16(4), 677-694.

898 Yang, S., 1992. Engineering application of time series analysis. Huazhong University of
899 Science and Technology Press, Wuhan

900 Yao, W., Zeng, Z., Lian, C., Tang, H., 2015. Training enhanced reservoir computing predictor
901 for landslide displacement. *Engineering Geology*, 188, 101-109.

902 Yin, Y., Wang, H., Gao, Y., Li, X., 2010. Erratum to: Real-time monitoring and early warning
903 of landslides at relocated Wushan Town, the Three Gorges Reservoir, China. *Landslides*, 7(3),
904 389.

905 Zadeh, F. K., Nossent, J., Sarrazin, F., Pianosi, F., van Griensven, A., Wagener, T., Bauwens,
906 W., 2017. Comparison of variance-based and moment-independent global sensitivity analysis
907 approaches by application to the SWAT model. *Environmental Modelling & Software*, 91, 210-
908 222.

909 Zhang L., Liao M., Balz T., Shi X., Jiang Y., 2015. Monitoring Landslide Activities in the Three
910 Gorges Area with Multi-frequency Satellite SAR Data Sets. In: Scaioni M. (eds) *Modern*
911 *Technologies for Landslide Monitoring and Prediction*. Springer Natural Hazards. Springer,
912 Berlin, Heidelberg

913 Zhang, J., Gurung, D. R., Liu, R., Murthy, M. S. R., Su, F., 2015. Abe Barek landslide and
914 landslide susceptibility assessment in Badakhshan Province, Afghanistan. *Landslides*, 12(3),

915 597-609.

916 Zhou, C., Yin, K., Cao, Y., Ahmed, B., 2016. Application of time series analysis and PSO–SVM
917 model in predicting the Bazimen landslide in the Three Gorges Reservoir, China. *Engineering*
918 *geology*, 204, 108-120.

919 Zhou, C., Yin, K., Cao, Y., Ahmed, B., Fu, X., 2018a. A novel method for landslide
920 displacement prediction by integrating advanced computational intelligence algorithms.
921 *Scientific reports*, 8(1), 1-12.

922 Zhou, C., Yin, K., Cao, Y., Intrieri, E., Ahmed, B., Catani, F., 2018b. Displacement prediction
923 of step-like landslide by applying a novel kernel extreme learning machine method. *Landslides*,
924 15(11), 2211-2225.

925 Zhu, X., Xu, Q., Tang, M., Nie, W., Ma, S., Xu, Z., 2017. Comparison of two optimized machine
926 learning models for predicting displacement of rainfall-induced landslide: A case study in
927 Sichuan Province, China. *Engineering geology*, 218, 213-222.

Figures

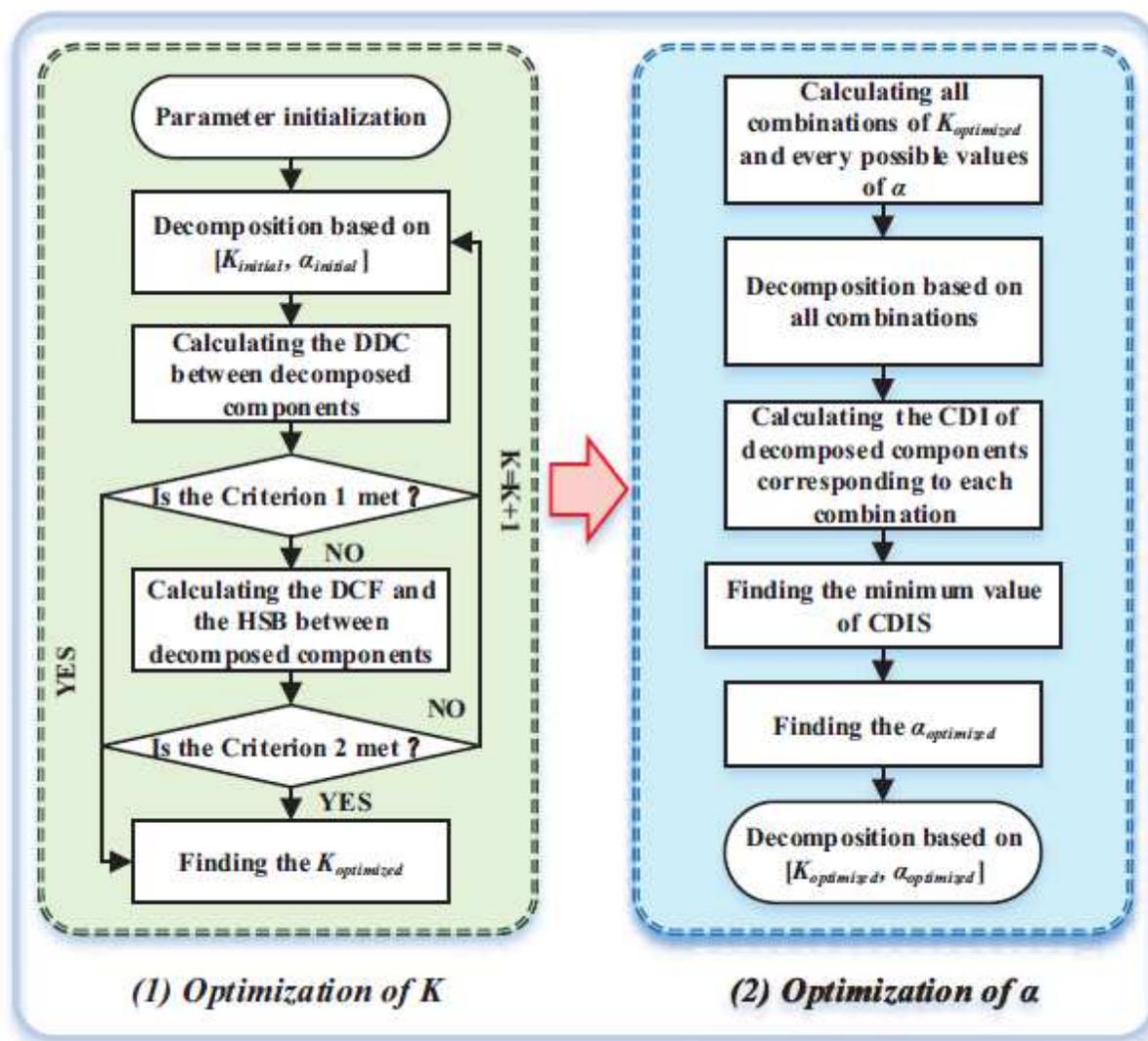


Figure 1

Calculation flowchart of the OVMD method

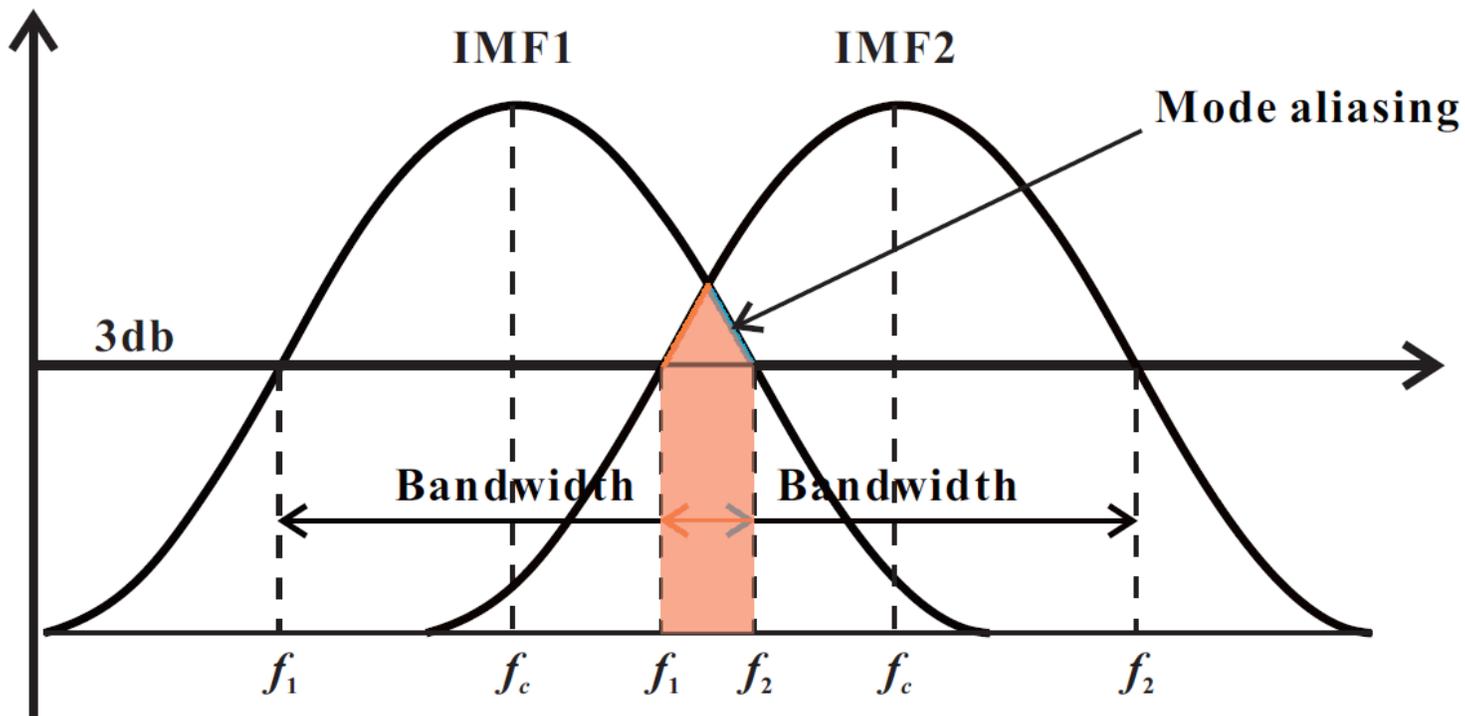


Figure 2

Schematic diagram of the mode aliasing between different decomposed components

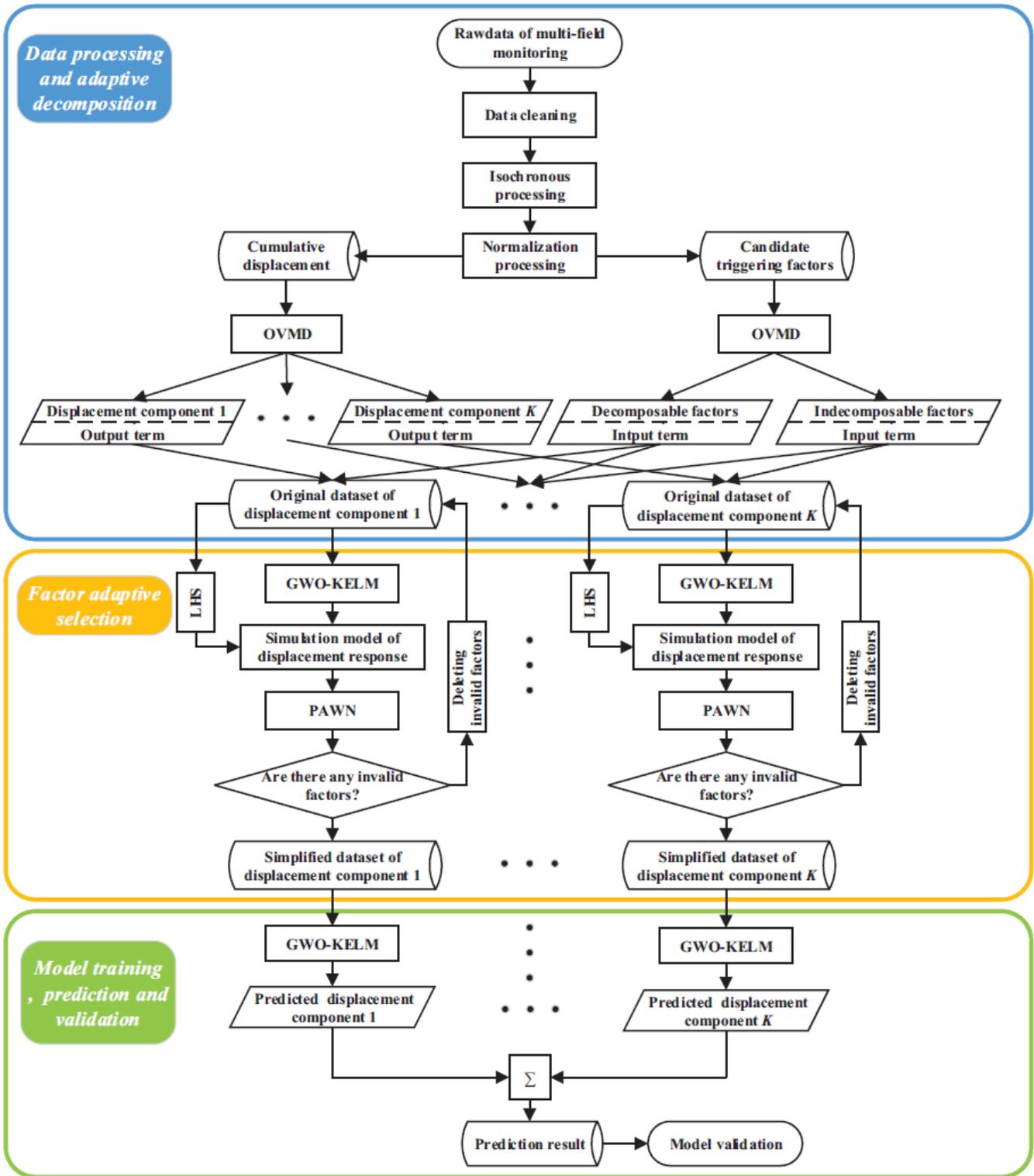


Figure 3

Schematic of the steps of the OVMD-GEO-KELM model

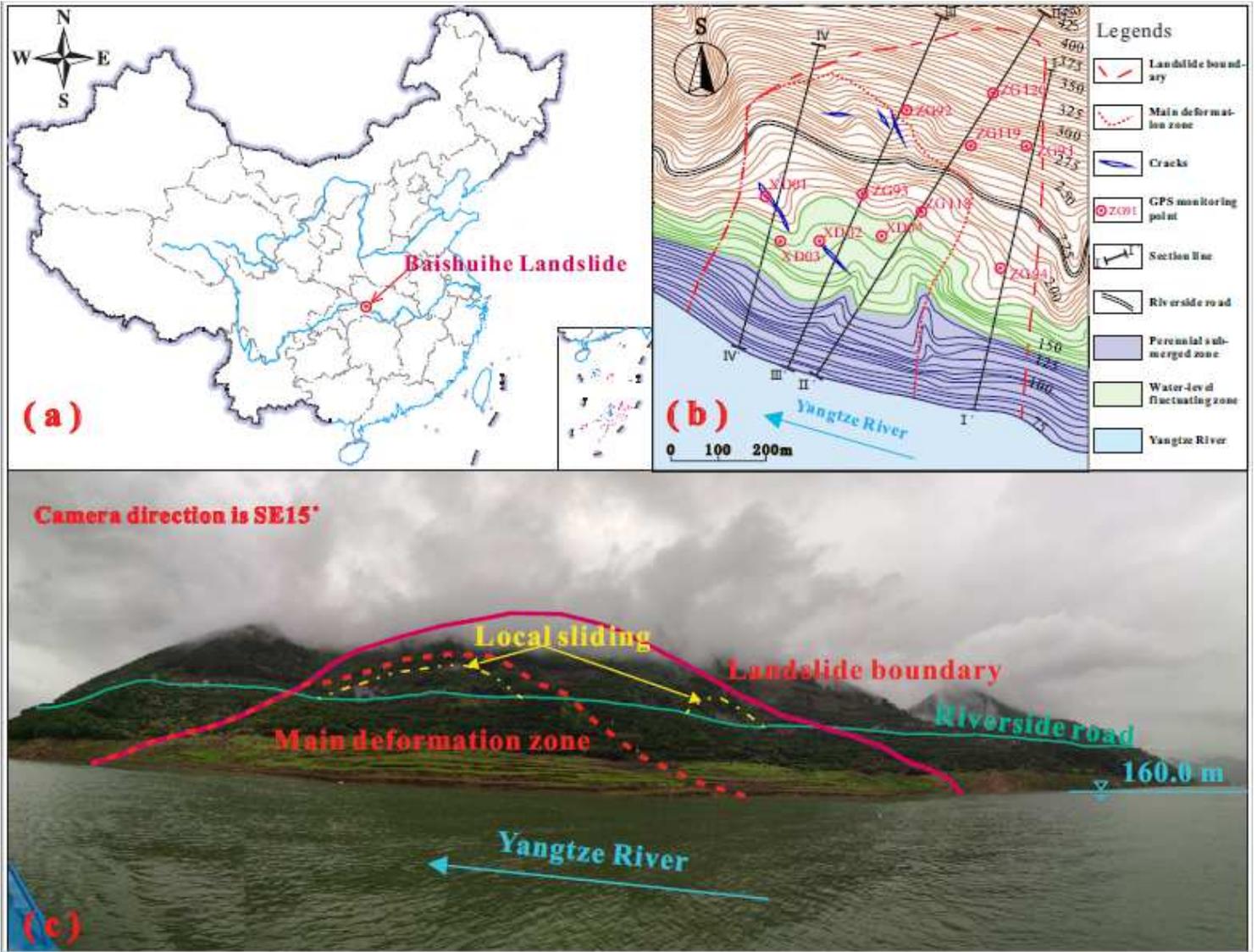


Figure 4

(a) Geographic location of the Baishuihe landslide in the TGR area, Hubei Province, China; (b) topographical map of the Baishuihe landslide; (c) panoramic image of the Baishuihe landslide Note: The designations employed and the presentation of the material on this map do not imply the expression of any opinion whatsoever on the part of Research Square concerning the legal status of any country, territory, city or area or of its authorities, or concerning the delimitation of its frontiers or boundaries. This map has been provided by the authors.

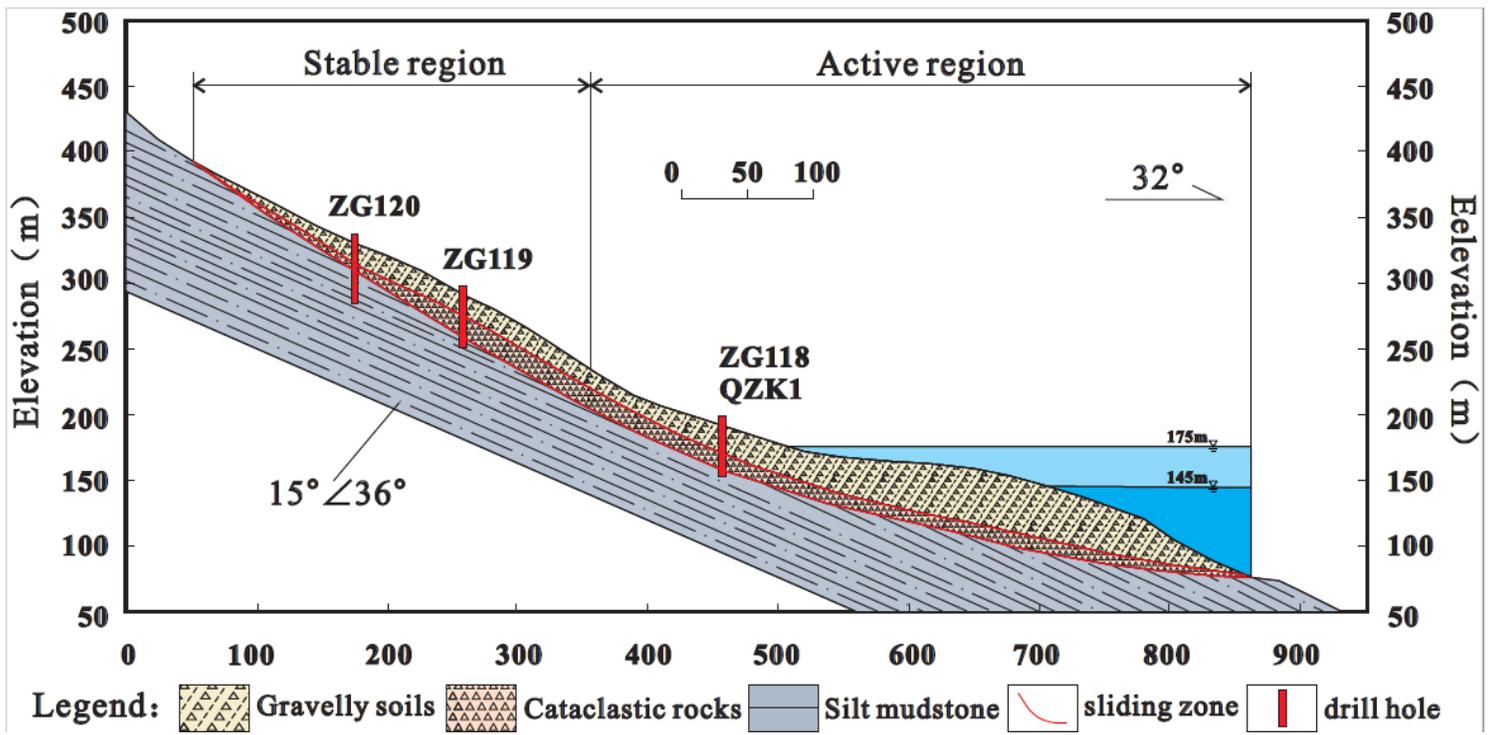


Figure 5

Monthly cumulative displacements, daily precipitation, and daily reservoir water level

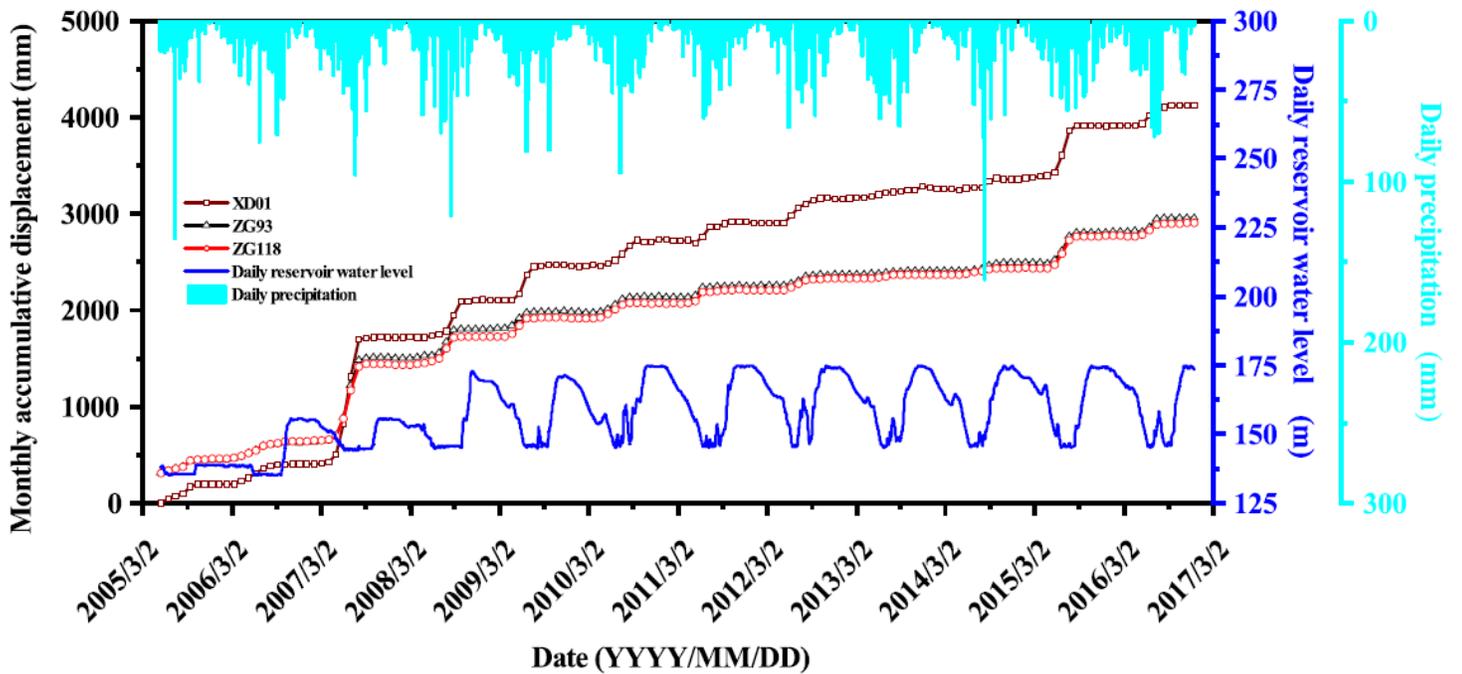


Figure 6

Monthly cumulative displacements, daily precipitation, and daily reservoir water level

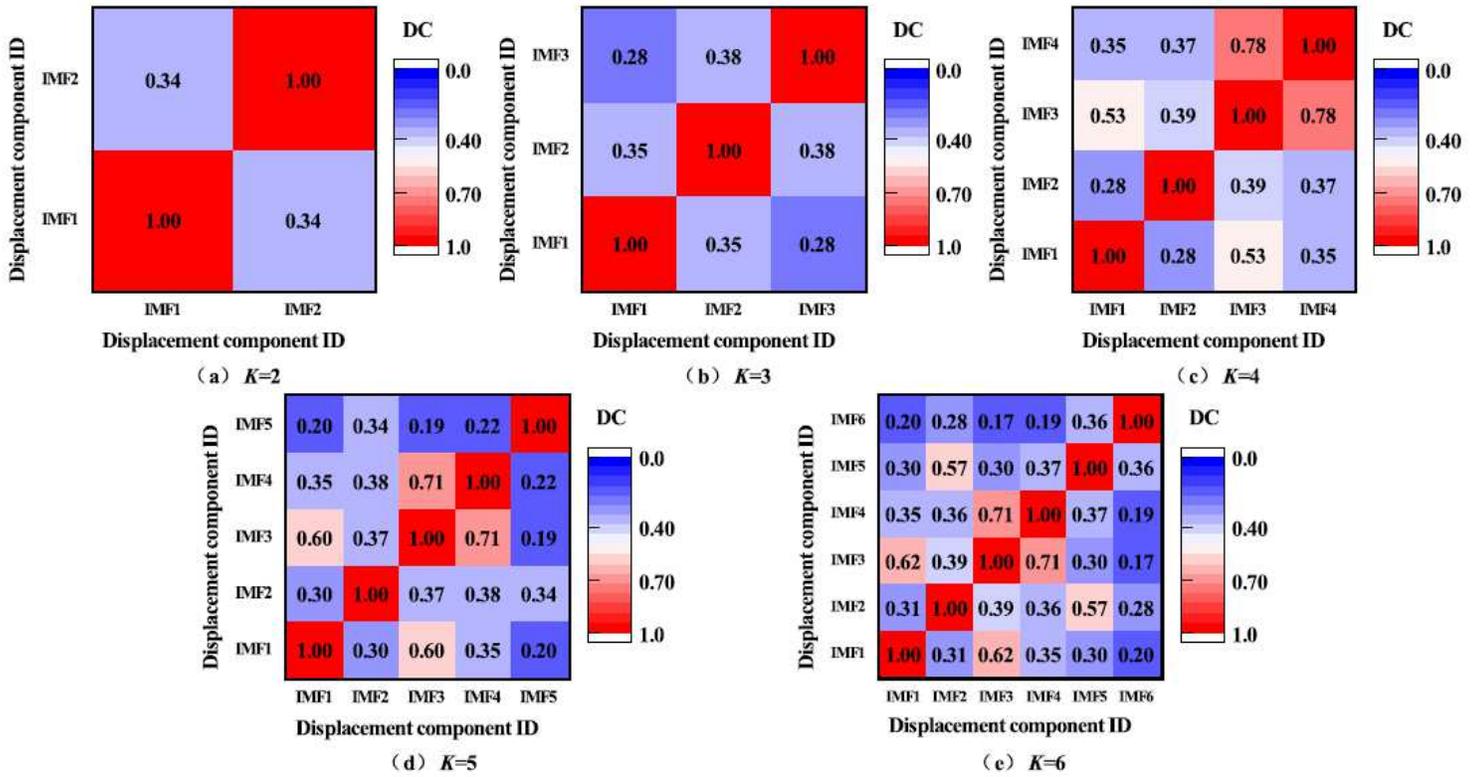


Figure 7

Distance correlation matrix between the different components obtained by using VMD based on the different settings of $K(a=1)$

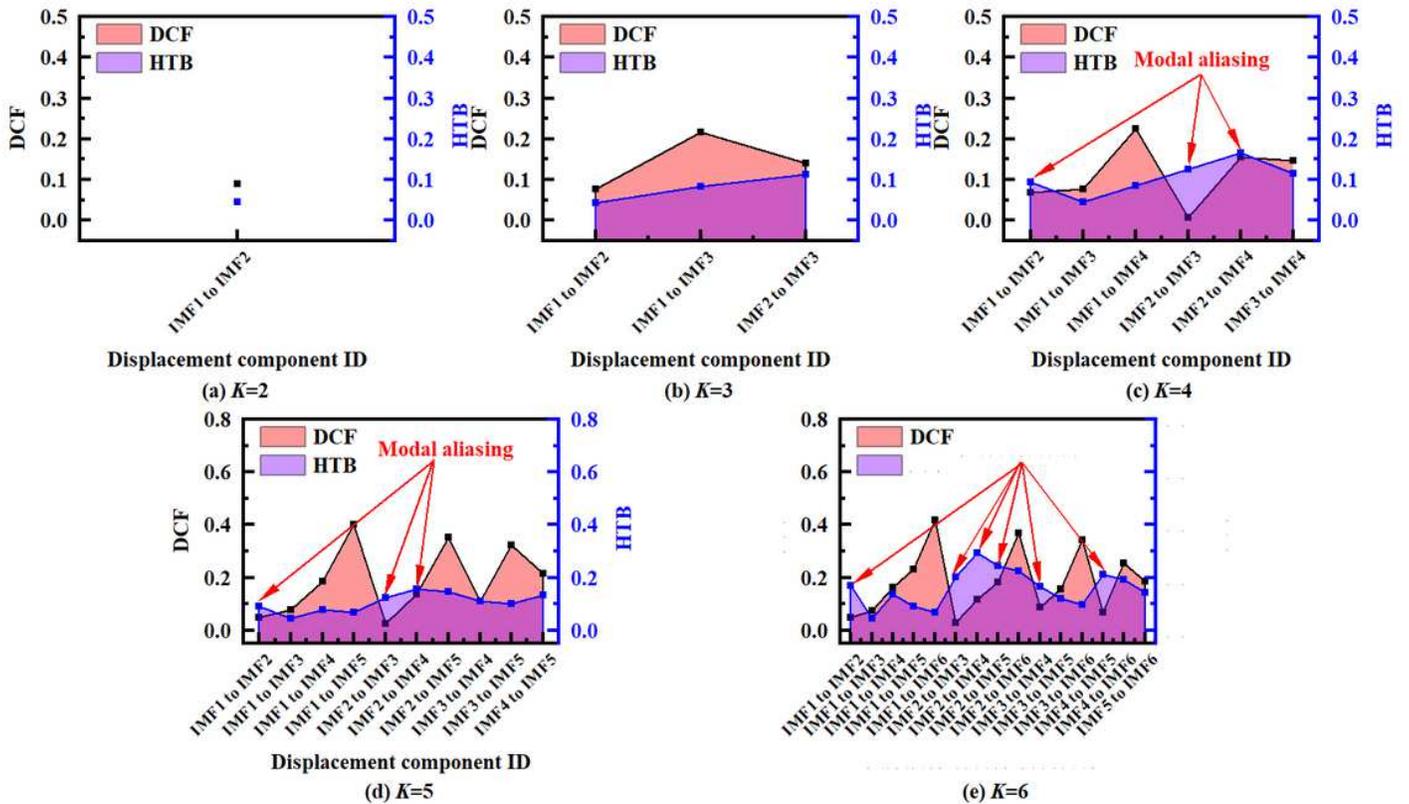


Figure 8

Normalized DCFs and their corresponding HSBs between the different components obtained by using VMD based on different settings of $K(a=1)$

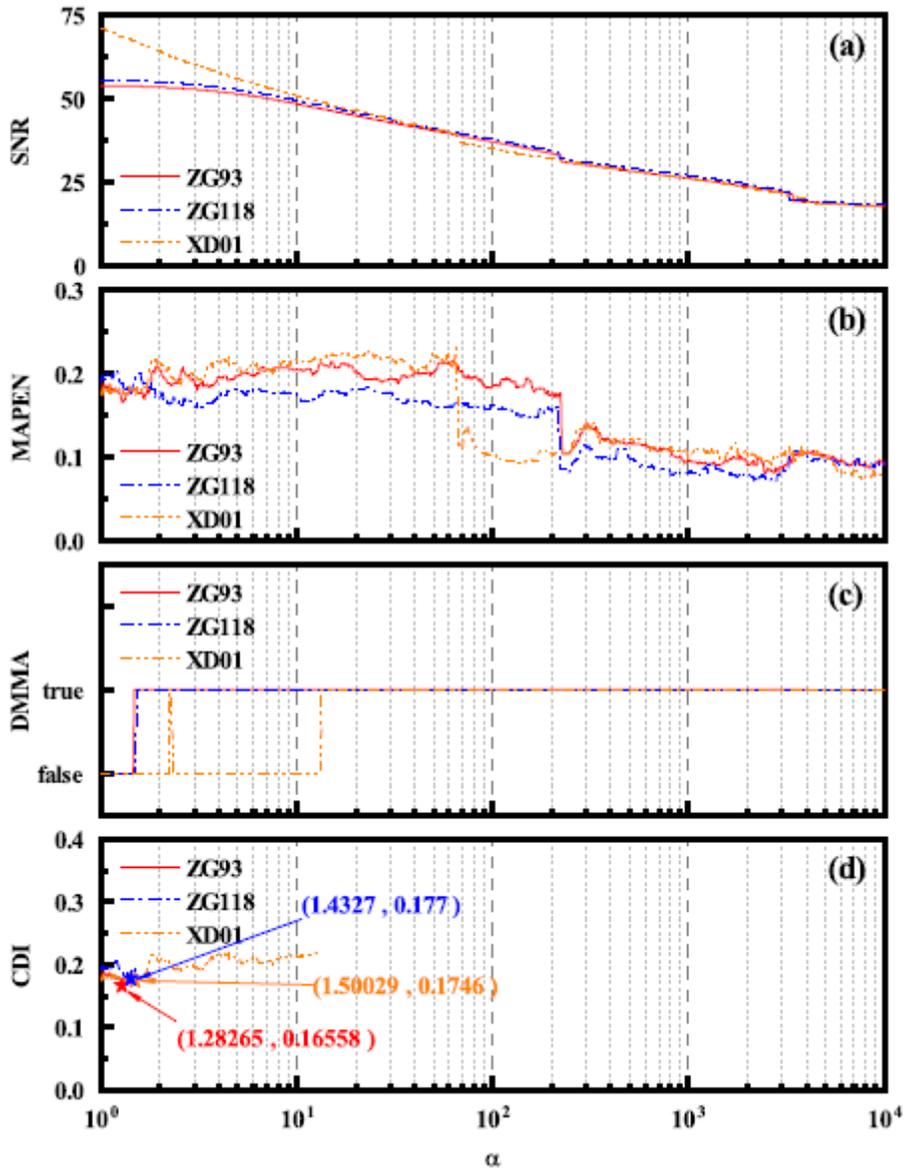


Figure 9

SNR, MAPEN, DMMA, and CDI of the decomposed components obtained by using VMD based on different settings of a ($k=3$)

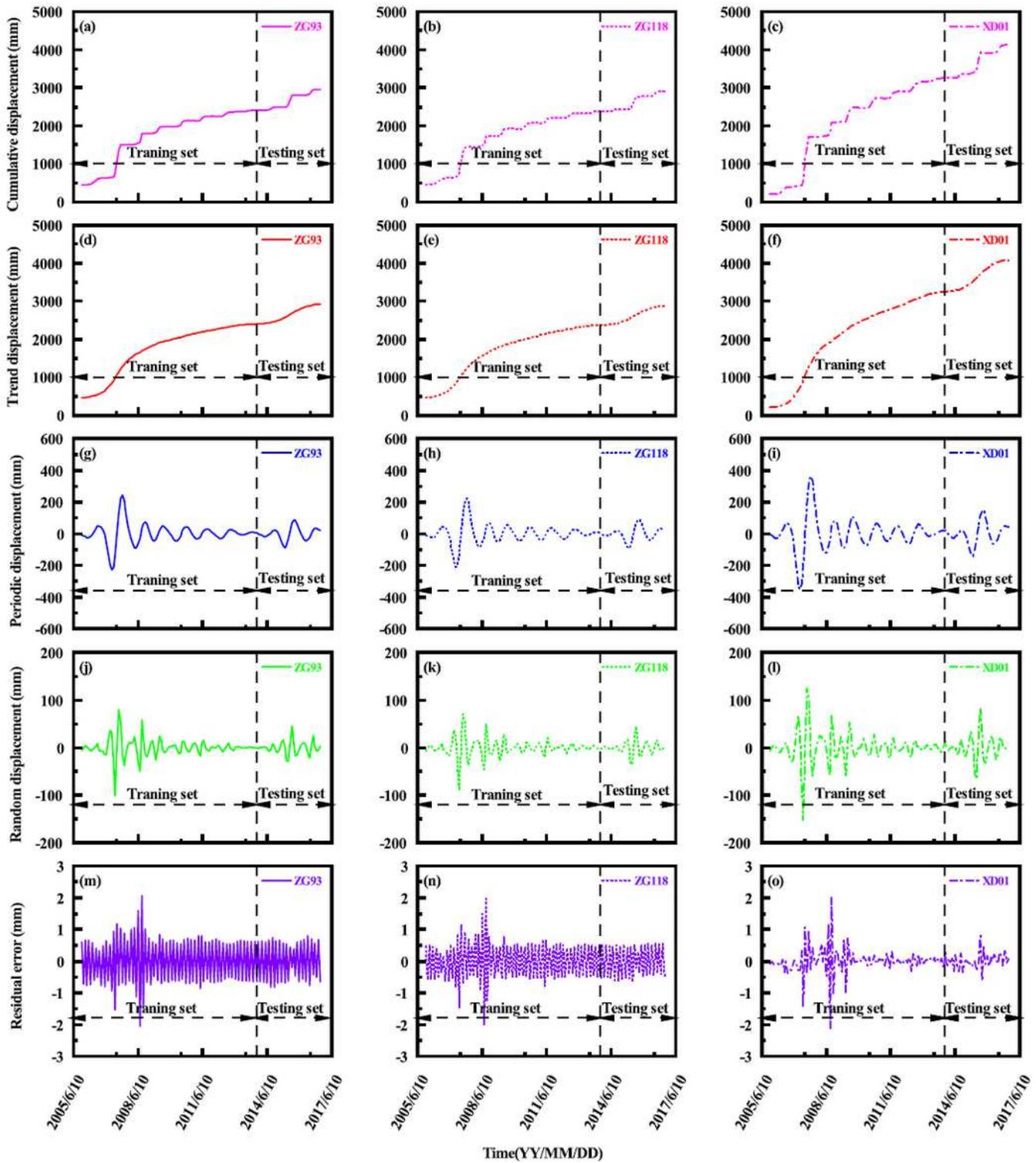


Figure 10

Decomposition results of displacement time series for monitoring sites ZG93, ZG118 and XD01

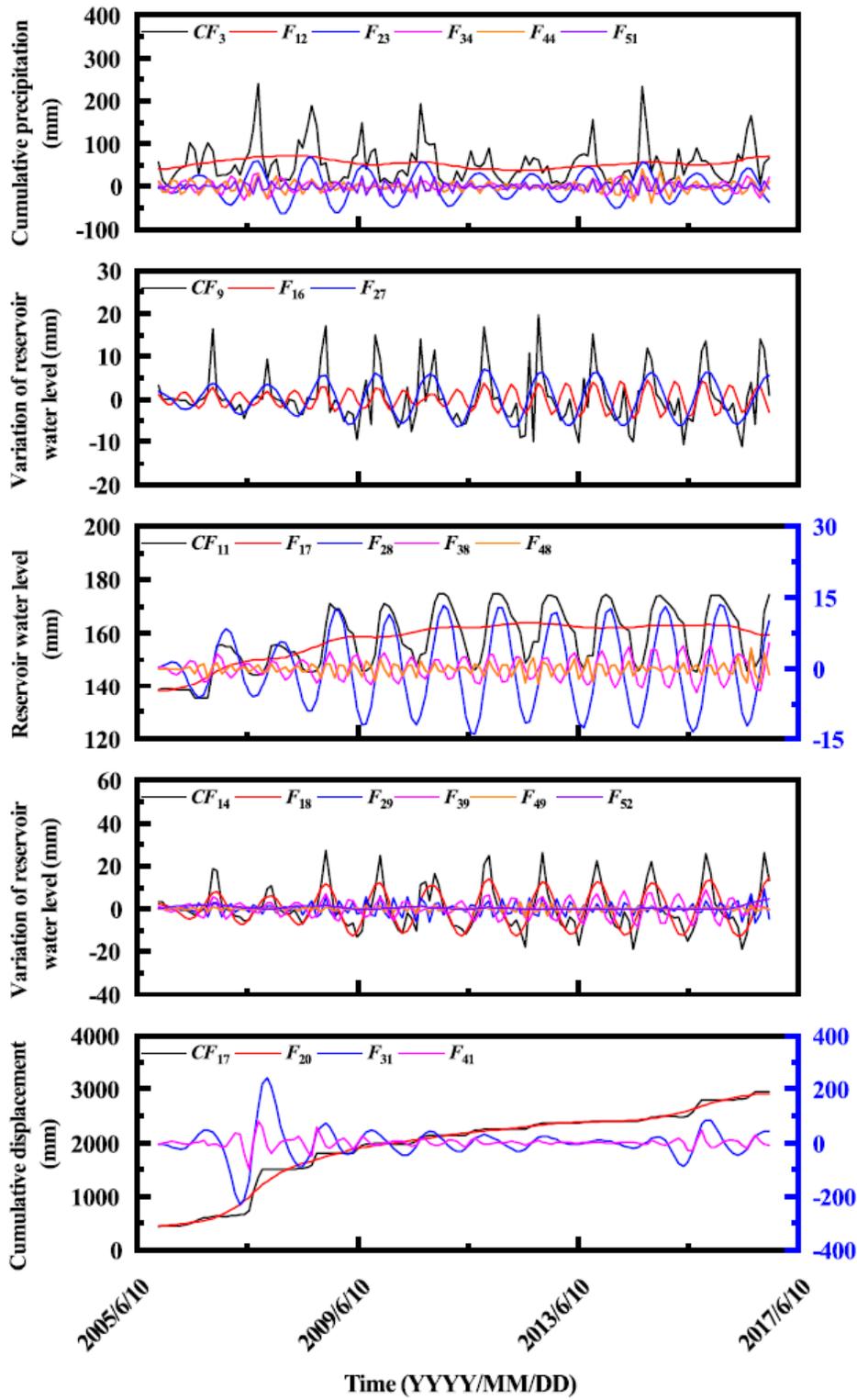


Figure 11

Representative decomposition results of decomposed factors

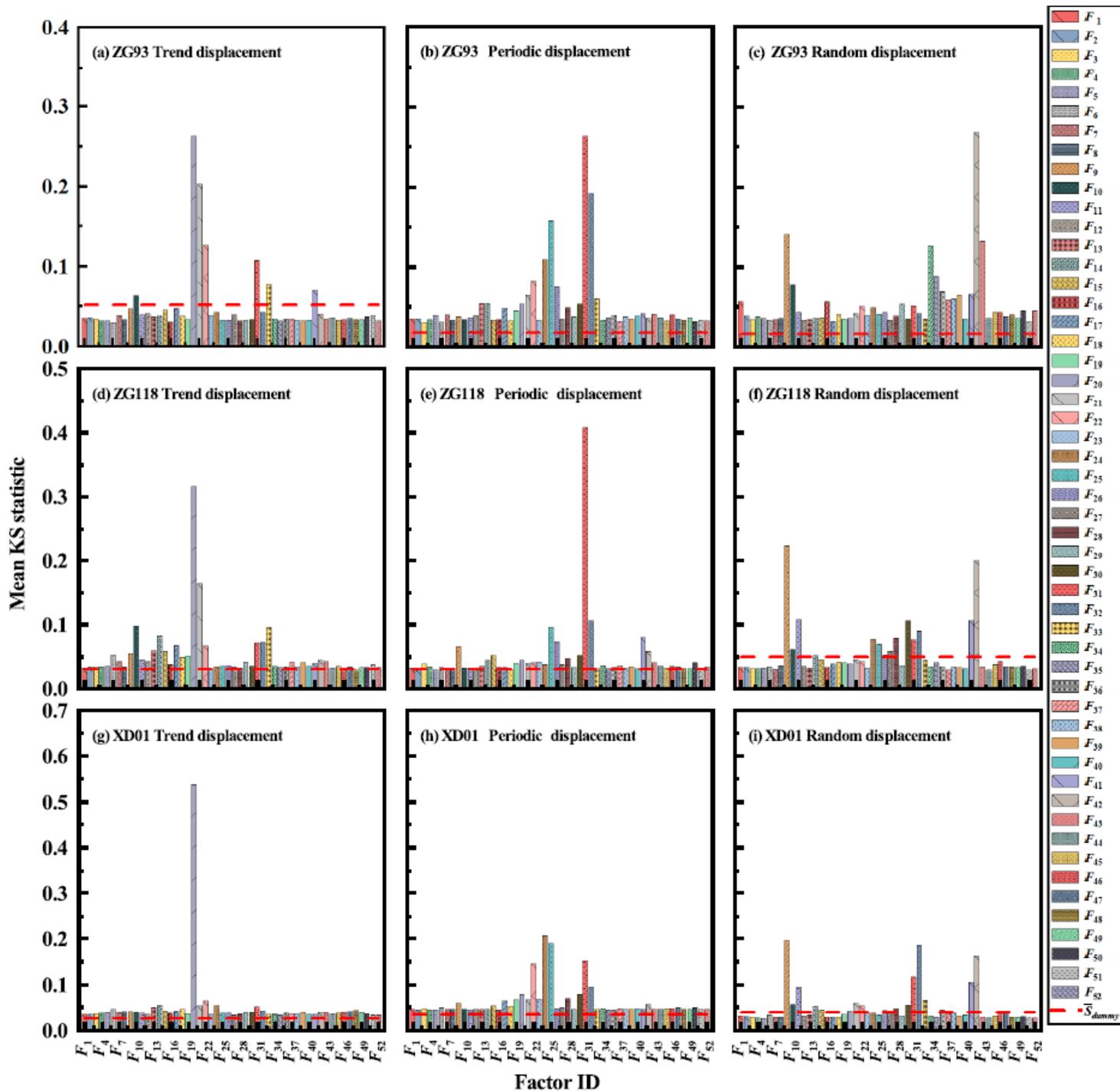


Figure 12

GSA results of the input inducing factors for the prediction of the different displacement components of monitoring sites ZG93, ZG118, and XD01

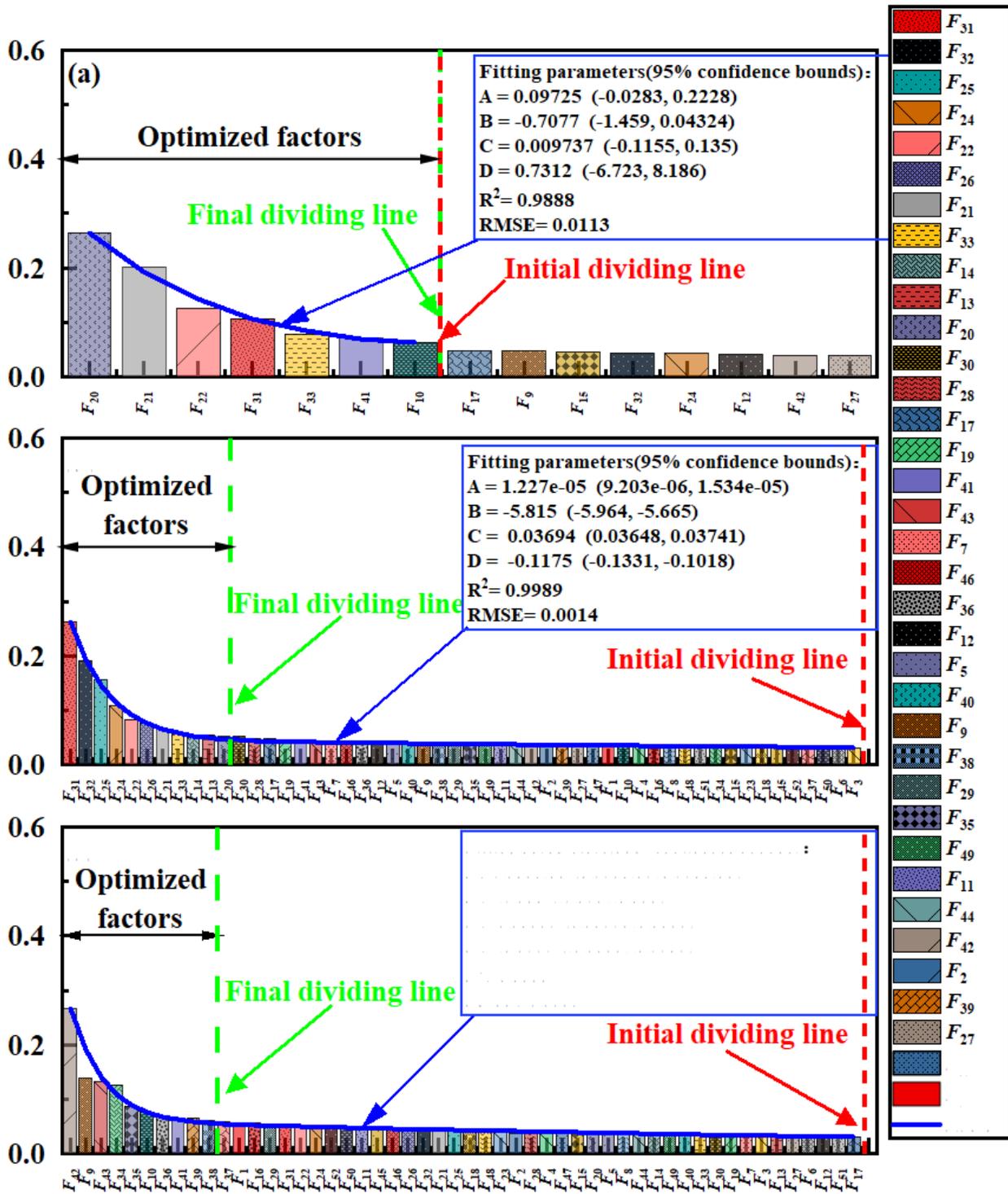
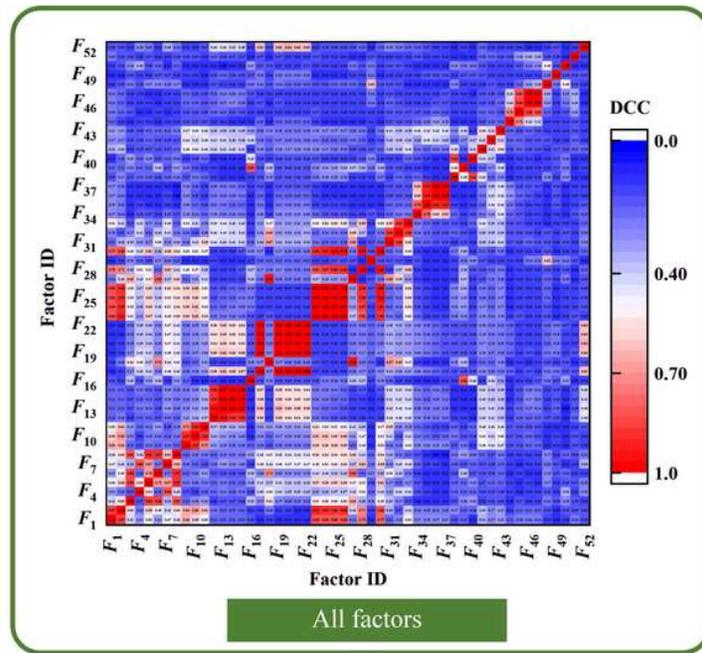


Figure 13

Division of the valid and invalid factors for the (a) trend displacement, (b) periodic displacement, and (c) random displacement prediction models



**Factor Selection
(PAWN)**

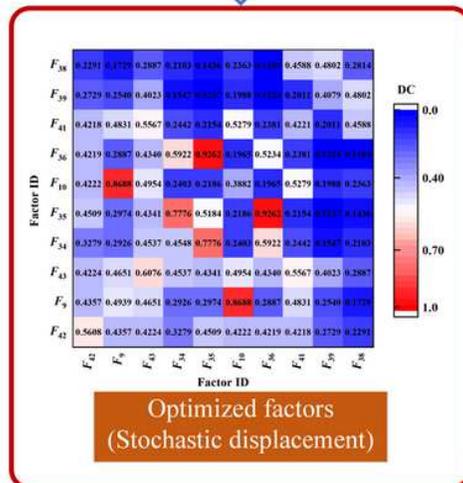
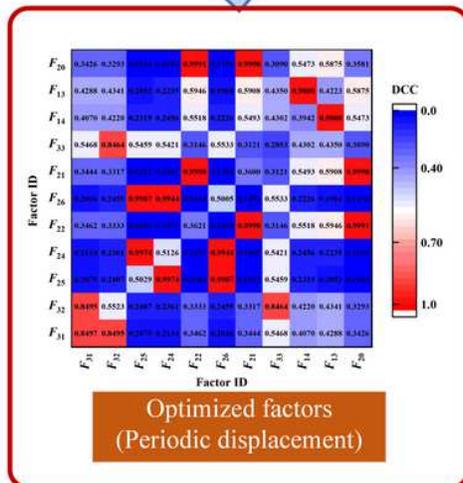
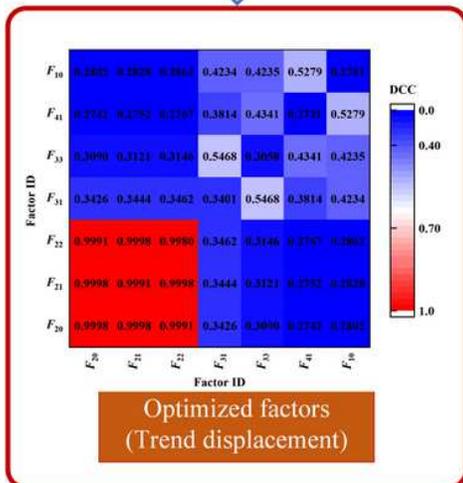


Figure 14

DCC matrixes of the reduced factors for the different displacement components

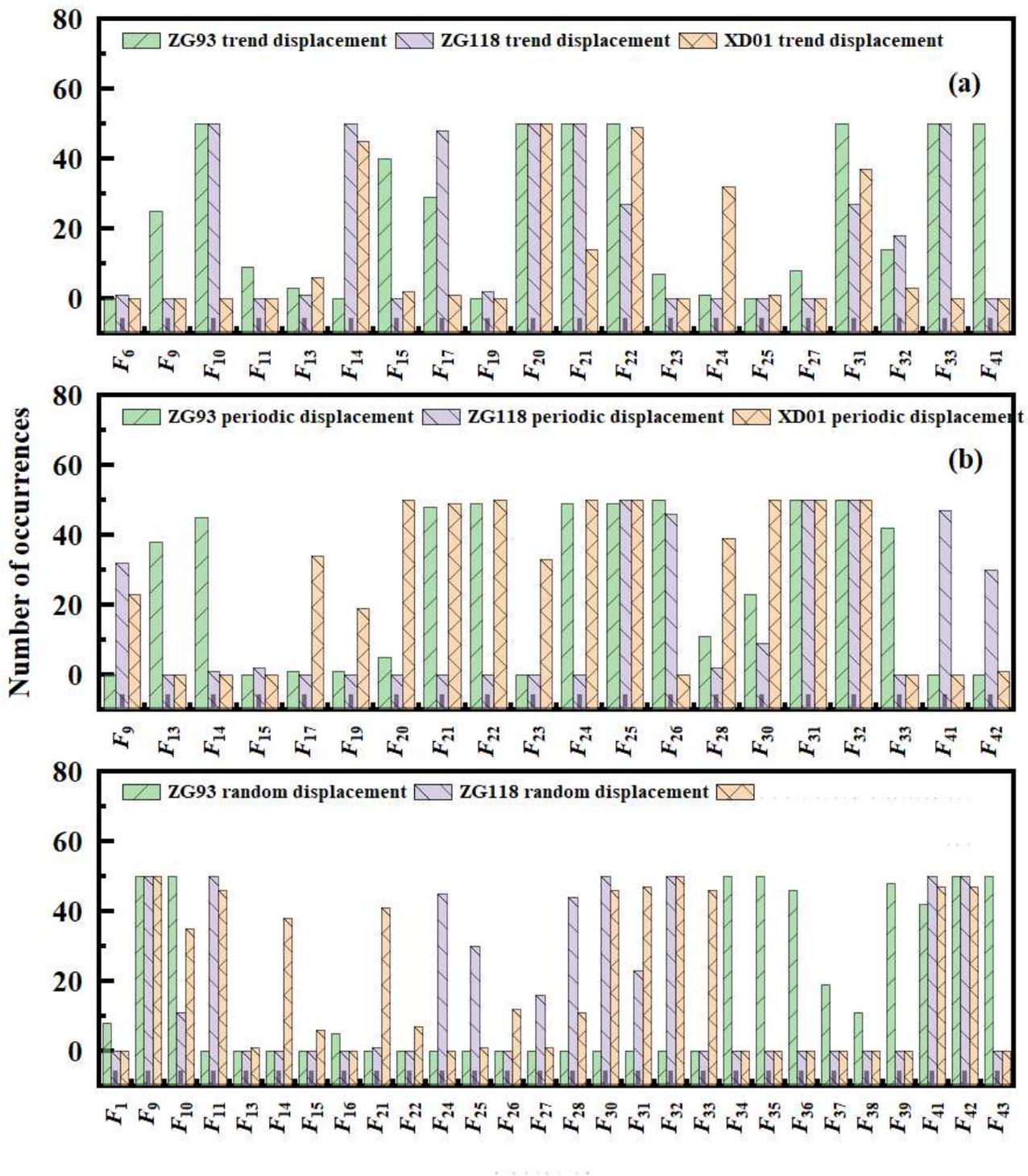


Figure 15

Reduction results of the input inducing factors for the prediction models after multiple calculations: (a) trend displacement prediction model; (b) periodic displacement prediction model; (c) random displacement prediction model

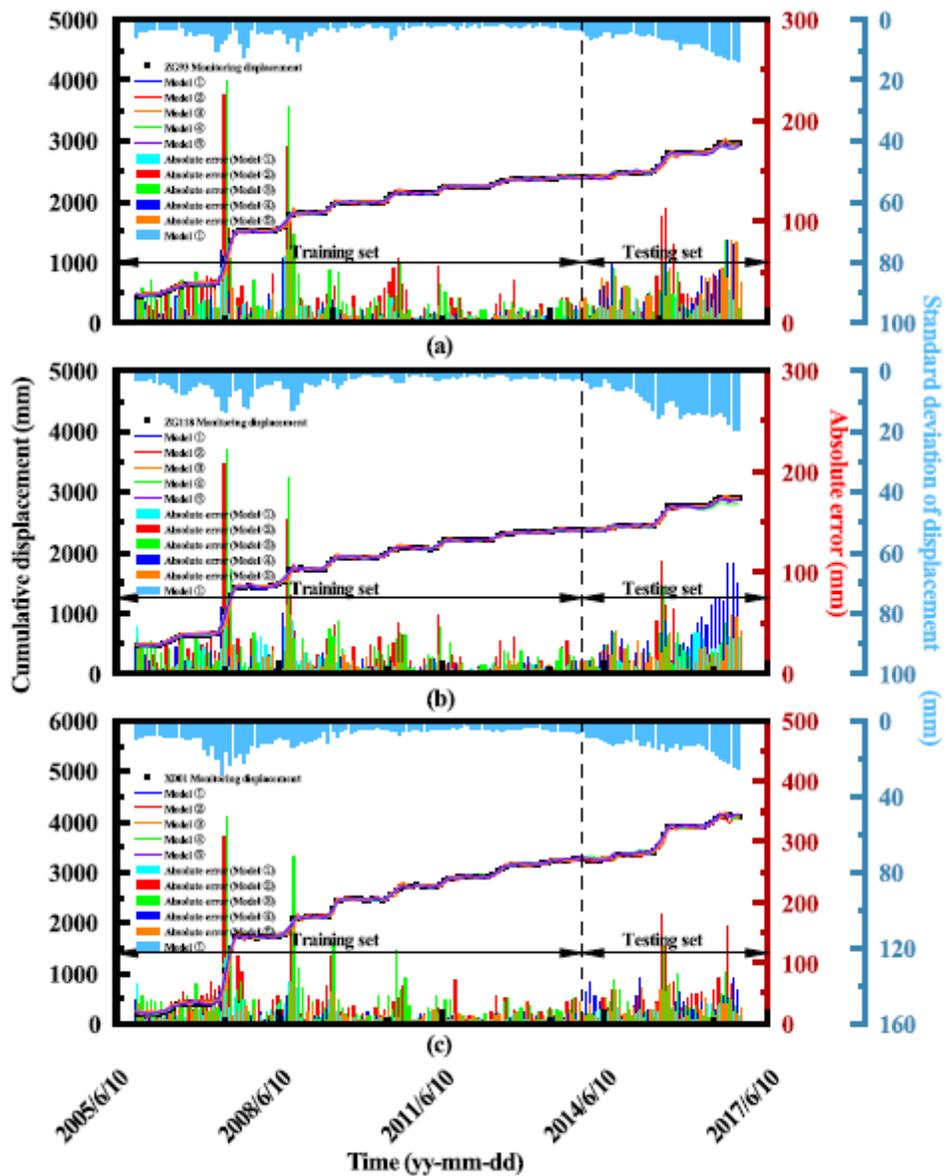


Figure 16

Comparison of the displacement prediction results and their prediction errors

Supplementary Files

This is a list of supplementary files associated with this preprint. Click to download.

- [Tables.docx](#)