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# Bounding Surface Modeling of Compacted Silty Sand Exhibiting Suction Dependent Post-peak Strain Softening

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1                    Bounding Surface Modeling of Compacted Silty Sand Exhibiting  
2                    Suction Dependent Post-peak Strain Softening

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5                    Ujwalkumar D. Patil<sup>1</sup>, Laureano R. Hoyos<sup>2</sup>, Mathilde Morvan<sup>3</sup> and Anand J. Puppala<sup>4</sup>

6  
7                    SUMMARY

8                    This article focuses on modeling the strain hardening-softening response of statically compacted  
9                    silty sand as observed from a comprehensive series of suction-controlled, consolidated-drained  
10                    triaxial tests accomplished in a fully-automated, double-walled triaxial test system via the axis-  
11                    translation technique. The constitutive model used in this work is based on the theory of  
12                    Bounding Surface (BS) plasticity, and is formulated within a critical state framework. The  
13                    essential BS model parameters are calibrated using the full set of triaxial test results and then  
14                    used for predictions of compacted silty sand response at matric suction states varying from 50 to  
15                    750 kPa. Complementary simulations using the Barcelona Basic Model (BBM) have also been  
16                    included, alongside BS model predictions, in order to get further enlightening insights into some  
17                    of the main limitations and challenges facing both frameworks within the context of the  
18                    experimental evidence resulting from the present research effort. In general, irrespective of the  
19                    value of matric suction applied, the BBM performs relatively well in predicting response at peak

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20 and critical state failure under low net confining pressure while the BSM performs relatively well  
21 under high net confining pressures.

22 **Keywords:** unsaturated soil, matric suction, triaxial testing, dilatancy, strain-softening,  
23 elastoplasticity

24

25

## 1. BACKGROUND AND SCOPE

26 Over-consolidated and compacted silty sand type soil upon shearing are most likely to  
27 manifest the strain-induced post-peak softening along with the suction-induced dilatational  
28 volume change. Strain softening in saturated soil during shearing has been attributed to either  
29 damage to the soil structure, i.e. localization, or to the dilation, i.e. increase in volume [1].  
30 However, hydro-mechanical response of unsaturated soil becomes complicated due to multi-  
31 phase interaction between air-solids, water-solids and air-water interface within void space of the  
32 soil skeleton. The variation of pressure difference across air-water interface at grain point contact  
33 varies with degree of saturation and contributes largely to hydro-mechanical response of soil,  
34 provided the water phase is continuous.

35 However, at high suction, i.e. beyond residual suction, the water phase is no longer  
36 continuous and hence the same cannot hold true. Key data set on stress-strain response,  
37 especially the one obtained via suction-controlled triaxial testing, not only plays a crucial role in  
38 accurate assessments of unsaturated soil strength-deformation but is also essential in subsequent  
39 validation of predictive models. The experimentally validated model could further be  
40 incorporated within finite element codes to study complex soil-structure interaction of man-made  
41 structures.

42           Alonso *et al.* [2] extended the classic Cam-Clay model to unsaturated soils based on  
43 critical state framework and could explain the wetting induced collapse phenomenon along with  
44 being able to reasonably simulate the compressive volume change and strain-hardening type  
45 triaxial response. Since then, despite efforts by many researchers in fine tuning and improving  
46 this seminal model, none of them have been able to successfully reproduce the strain-induced  
47 softening and the stress-induced dilatancy observed in heavily overconsolidated soils when  
48 compacted and tested under unsaturated state.

49           Bounding Surface (BS) plasticity theory was initially developed to simulate plasticity in  
50 metals [3] and was soon extended to different geomaterials such as cohesive soils [4–6]; sands  
51 [7, 8]; pavement base materials [9]; geosynthetic reinforced material [10, 11]; concrete [12]; and  
52 rockfill materials [13, 14]. The BS theory underwent further simplification and refinement by  
53 several researchers [5–7, 15–19].

54           Bardet [7] introduced a comprehensive BS framework for soils, including nine material  
55 constants, and was quite successful in reproducing the complex post-peak strain softening and  
56 dilatational response of dry and saturated sands under conventional triaxial stress paths.  
57 However, unsaturated soil behavior differs from that of saturated soil because of the presence of  
58 a contractile air-water interphase across which a pressure balance is created between the pore-air  
59 and pore-water phases within the soil matrix, also known as matric suction [20]. Extensive  
60 experimental evidence has clearly demonstrated the paramount influence of matric suction on the  
61 stress-strain-strength response of unsaturated soils.

62           Russell and Khalili [21] were among the first to extend the BS plasticity theory to  
63 unsaturated soils within a critical state framework using concept of effective stress and taking  
64 into account the particle crushing associated with shearing. The model was calibrated using

65 results from triaxial compression tests on speswhite kaolin reported by Wheeler and Sivakumar  
66 [22], as well as triaxial compression and oedometric tests on kurnell sand with no fines reported  
67 by Russell [23].

68 More recently, Morvan et al. [24] presented an extension of Bardet's [7] original BS  
69 framework with the aim of simulating post-peak softening of unsaturated soils using 12  
70 constitutive parameters. The extended BS framework allowed them to reproduce, with  
71 reasonable accuracy, all the following: 1) increase in shear strength with increasing suction; 2)  
72 volumetric collapse or slight rebound upon wetting, depending on mean stress level; and 3) post-  
73 peak softening and gradual transition from contractant to dilatant nature of volume change  
74 during continuous shearing. However, the calibration and validation of the extended BS  
75 framework have been based on a limited set of experimental data obtained from suction-  
76 controlled triaxial tests on dense Kurnell sand [23], Jossigny silt [25], and Speswhite Kaolin [26,  
77 27]. These limited studies suggest a need for additional experimental evidence on different types  
78 of soils, particularly heavily overconsolidated soils, for a more thorough and conclusive  
79 validation of the extended BS framework, a chief motivation for the present work.

80

81

## 2. EXPERIMENTAL PROGRAM

### 82 *2.1. Test Material*

83 The soil used in the present work is an intermediate geomaterial, hence neither a perfect sand, silt  
84 or clay, and tested in a very dense state, thus making it a suitable material to assess the suitability  
85 of the extended BS framework introduced by Morvan et al. [24] for overconsolidated, cohesive-  
86 frictional soils.

87 The test material used is classified as a poorly graded silty sand (SM) with clay, according to the  
88 Unified Soil Classification System (USCS), with a standard proctor dry density of  $1.87 \text{ g/cm}^3$ ,  
89 optimum water content of 12.2% and specific gravity of soil solids,  $G_s = 2.67$ . It is well known  
90 that the structure and fabric of a test specimen gets altered by the type of compaction method and  
91 hence tends to influence the subsequent shear response. In the present work, a stress-controlled  
92 approach was used to produce compacted specimen with an artificially induced over-  
93 consolidated stress history. Target density of approximately  $1.87 \text{ g/cm}^3$ , corresponding to +2%  
94 wet of Proctor optimum, was achieved by compacting each specimen in nine equal lifts, each lift  
95 being axially stressed in a split mold to a maximum vertical stress equal to 1600 kPa. The  
96 specimen produced had initial voids ratio varying between 0.46-0.48 and approximate air entry  
97 value between 8-10 kPa [28].

98

## 99 *2.2 Experimental Variables*

100 Strength tests were conducted using a fully-automated double-walled triaxial test equipment that  
101 accommodates the essential modifications for unsaturated soil testing, including high-air-entry  
102 (HAE) ceramics in the bottom pedestal; pore-water pressure control; pore-air pressure supply via  
103 the top cap; and diffused-air flushing assembly, as shown in Fig. 1. A panoramic view of the  
104 entire test set-up is shown in Figure 2.

105 A comprehensive series of saturated and unsaturated consolidated drained (CD) triaxial  
106 tests on statically compacted silty sand specimens was performed. The axis-translation technique  
107 was used to impose and control matric suction in the range of 0 to 750 kPa ( $s = 0, 50, 250, 500$   
108 and 750 kPa). Three net confining pressures,  $(\sigma_3 - u_a) = 100, 200$  and 300 kPa, were applied.  
109 Detailed protocols on soil preconditioning, pore-fluid equalization, s-controlled isotropic loading

110 and monotonic shear loading, capability of test equipment to replicate test results and other test  
111 related methodology are described by Patil [28].

112

### 113 3. SILTY SAND RESPONSE FROM SUCTION-CONTROLLED TRIAXIAL TESTING

#### 114 *3.1. Effect of Net Confining Pressure at Constant Matric Suction*

115 Test results from suction-controlled CTC (Conventional triaxial compression) tests under  
116 constant matric suction,  $s = 250$  kPa, and under three net confining pressures,  $(\sigma_3 - u_a) = 100$ ,  
117 200 and 300 kPa, are shown in Figure 3. A negative sign in the volumetric strain response  
118 represents dilating volume change, while a positive sign indicates compressive type behavior.  
119 The convention used to designate the specimen is  $CD_{x-y}$  where “CD” denotes the consolidated  
120 drained test; “x” represents the net confining pressure  $(\sigma_3 - u_a)$ , while “y” represents the imposed  
121 constant suction ( $s$ ).

122 As expected, Figure 3(a) clearly indicates an increase in stiffness (initial and subsequent  
123 tangent modulus), as well as brittleness, with increasing confinement. Post-peak reduction in  
124 deviator stress, also known as strain-softening type behavior, was also observed. Moreover, an  
125 increase in net confinement pressure is expected to cause higher compression of the specimen  
126 and hence suppress the amount of dilation. This is clearly manifested in Figure 3(b), where  
127 dilation is significantly suppressed with an increase in confining pressure from 100 to 300 kPa.  
128 Such type of stress-strain and volume change response are typical of relatively dense and  
129 overconsolidated soils, as is the case of statically compacted silty sands [21, 29]. On the other  
130 hand, triaxial tests performed on saturated specimens of compacted silty sand ( $s = 0$ ) resulted in  
131 compressive type behavior. Similar response was observed by previous researchers [21, 30–33].

132

133 3.2. *Effect of Matric Suction at Constant Net Confining Pressure*

134 Results from suction-controlled CTC tests conducted on compacted silty sand specimens, under  
135 varying matric suction states,  $s = 0, 50, 250, 500,$  and  $750$  kPa, and constant net confining  
136 pressure,  $(\sigma_3 - u_a) = 100$ , are shown in Figure 4. In these figures, the change from strain-  
137 hardening type behavior, as seen in saturated specimens ( $s = 0$ ), to strain-softening type  
138 response, due to the introduction of matric suction in all unsaturated specimens, is readily  
139 manifest. The amplitude of strain-softening increases and the specimen fails at lower axial strain,  
140 while taking less axial strain to reach critical state, with increasing matric suction, as shown in  
141 Fig. 4(a).

142 Figure 4(b) shows a rather drastic change in volumetric response, from compressive to  
143 dilational type behavior, with the imposition of a matric suction of magnitude as low as 50 kPa.  
144 Matric suction tends to increase the initial stiffness and the apparent cohesion between individual  
145 soil particles so that the particles all together during shearing tend to ride over one another  
146 instead of undergoing slippage, resulting in an increase in volume (i.e. dilation). However, the  
147 rate of dilation decreases as the air-water menisci gets destroyed with continued shearing beyond  
148 peak stress, and the specimens get softened back to critical state, at which point they are  
149 expected to exhibit only shear deformations (plastic flow) without further change in strength or  
150 volume. All the test specimens were observed to develop multiple shear bands while  
151 simultaneously bulging at the center as the shearing continued [28].

152 In addition, experimental results indicate that an increase in matric suction has more  
153 influence on peak shear stress than on critical shear stress. Continued shearing beyond peak  
154 shear stress tends to weaken and subsequently destroy the matric suction effect around soil grains  
155 due to perturbation caused to air-water menisci interface. This phenomenon can be attributed to



156 the observed experimental softening of stress, the amplitude of which depends largely on the  
157 magnitude of suction imposed, ultimately resulting in peak strength being more affected by  
158 matric suction than by critical or large strain strength.

159

#### 160 4. CONSTITUTIVE MODELING OF OVERCONSOLIDATED SILTY SAND RESPONSE

##### 161 *4.1. Bounding Surface Model: General Framework*

162 The original framework of the Bounding Surface Model (BSM), particularly the one introduced  
163 by Morvan et al. [24] for unsaturated soils, has proved reasonably efficient in modeling both  
164 compressive volumetric response and strain-induced hardening. These behaviors are typically  
165 observed in normally and lightly overconsolidated soils. However, this BSM framework also has  
166 the potential to reproduce dilational volumetric response and strain-induced softening that are  
167 typically observed in heavily overconsolidated soils subjected to suction-controlled monotonic  
168 shearing. Furthermore, it is possible with BSM to capture the gradual transition between elastic  
169 and elasto-plastic soil response. The chief motivation for present work was to finetune and refine  
170 the original BSM to predict the stress-strain and volume change response and compare it with the  
171 one obtained via suction-controlled triaxial testing from present research. Since the tests to be  
172 modeled are performed at constant suction and the volumetric variations of the sample are low,  
173 we chose not to use the fully coupled version taking into account water retention curve hysteresis  
174 and its dependency on void ratio.

175

##### 176 *4.2. Effective Stress: Definition and Radial Mapping*

177 The effective stress,  $\sigma'$ , is expressed in terms of the equivalent pore pressure,  $\pi$ , as defined by  
178 Pereira et al. [34], and hence is given as follows:

$$\sigma' = \sigma + \pi(s)\mathbf{1} \quad \text{with } \pi(s) = -u_a + sS_r + \frac{2}{3} \int_{s_r}^1 s(S)dS \quad (1)$$

179 As previously mentioned, the model introduced by Morvan *et al.* [24] to simulate unsaturated  
 180 soil response is essentially an extension of the BS model postulated by Bardet [7] for saturated  
 181 soils, and hence is based on the bounding surface theory within a critical state framework.  
 182 Therefore, due consideration is given to the existence of a limit state line (LSL) in the  $p'$ ,  $q$  plane  
 183 that defines an upper bound to the stress ratio  $\eta_p = q/p'$ , as illustrated in Fig. 5. The plastic  
 184 modulus is forced to be dependent on the distance  $\delta$  between the current stress state  $\sigma'$  and its  
 185 image-point,  $\bar{\sigma}$  obtained by projection on the distance  $\delta$  between the current stress state  $\sigma'$  and its  
 186 image-point, obtained by projection on a surface called bounding surface, as shown in Figure 5.

187 Radial mapping technique [7], also illustrated by Yu [29], is used to define the image-  
 188 point  $\bar{\sigma}'$  of the actual stress  $\sigma'$  on the bounding surface BS, via a translation vector, by extending  
 189 the line linking the origin to the point  $\sigma'$  until it cuts the bounding surface (Fig. 5). Further details  
 190 on the classic BS formulation have been presented by Dafalias and Herrmann [5], Crouch et al.  
 191 [35], Manzari and Dafalias [36], Russell and Khalili [21], and Yu [29].

192

### 193 4.3. BSM Framework in Triaxial Stress Space

194 Classic triaxial test variables are used for cylindrical symmetry and triaxial stress space to define  
 195 the mean net stress ( $p'$ ), deviatoric stress ( $q$ ), peak state line (PSL) slope ( $\eta_p$ ), and critical state  
 196 line (CSL) slope ( $M$ ), which are expressed as follows:

$$p' = \frac{1}{3}(\sigma'_1 + 2\sigma'_3), \quad q = \sigma'_1 - \sigma'_3, \quad \eta_p = \frac{q_p}{p'_p}, \quad M = \frac{q_{cs}}{p'_{cs}} \quad (2)$$

197 Different variables/parameters used are defined in the list of symbols at the end of paper. In this  
 198 work, peak state line (PSL) is used exchangeable to limit state line (LSL), as shown in Fig. 5. A  
 199 third line, identified as the characteristic state line (CL), which marks a transition from  
 200 contractant to dilatant volume change behavior during initial stages of shear loading, is also  
 201 postulated.

202 The conjugated variables in  $p'$ ,  $q$  plane is volumetric and deviatoric strains,  $\varepsilon_p$  and  $\varepsilon_q$ ,  
 203 which are respectively defined as follows:

$$\varepsilon_p = \varepsilon_1 + 2 \varepsilon_3, \quad \varepsilon_q = \frac{2}{3}(\varepsilon_1 - \varepsilon_3) \quad (3)$$

204 The total strain is assumed to be divided into elastic and plastic parts:

$$\varepsilon_p = \varepsilon_p^e + \varepsilon_p^p, \quad \varepsilon_q = \varepsilon_q^e + \varepsilon_q^p \quad (4)$$

205 The BS yield function represents an ellipse-shape yield surface in  $p':q$  plane (Fig. 5), beyond  
 206 which plastic compression occurs on account of increased stress or decreased suction, and is  
 207 defined as follows:

$$f(\bar{p}', \bar{q}, \varepsilon_p^p, s) = \left( \frac{\bar{p}' - A_\pi}{\rho - 1} \right)^2 - \left( \frac{\bar{q}}{M} \right)^2 - A_\pi^2 \quad (5)$$

208 The stress image obtained by the radial mapping, as shown in Fig. 5, can be defined as follows:

$$\bar{p}' = \gamma A_\pi, \quad \bar{q} = \gamma x M A_\pi, \quad x = \frac{q}{M p' + q_0} \quad (6)$$

$$\gamma = \frac{(1 + (\rho - 1)\sqrt{1 + x^2 \rho(\rho - 2)})}{1 + (\rho - 1)^2 x^2} \quad (7)$$

209 Employing the regular concept and the definitions of plastic multiplier  $\zeta$  and plastic modulus  $H_b$ ,  
 210 the following can be established:

$$\frac{\partial f}{\partial \varepsilon_p^p} \frac{d\varepsilon_p^p}{\left\| \frac{\partial f}{\partial \bar{\sigma}} \right\|} = -H_b d\zeta \quad (8)$$

211 The gradient of  $f$  contains 3 terms, i.e. the partial derivatives with respect to  $\bar{p}'$ ,  $\bar{q}$ , and  $s$ :

$$\frac{\partial f}{\partial \bar{\sigma}'} = \left\{ \frac{\partial f}{\partial \bar{p}'}; \frac{\partial f}{\partial \bar{q}}; \frac{\partial f}{\partial s} \right\}^T \quad (9)$$

212 After few simplifications, the 3 components of the exterior normal at the image-point can be  
213 expressed as follows:

$$\eta_p = \frac{\partial f}{\partial \bar{p}'} / \left\| \frac{\partial f}{\partial \bar{\sigma}'} \right\| = \frac{M(\gamma - 1)}{g} \quad (10)$$

$$\eta_q = \frac{\partial f}{\partial \bar{q}} / \left\| \frac{\partial f}{\partial \bar{\sigma}'} \right\| = \frac{(\gamma x(\rho - 1))^2}{g} \quad (11)$$

$$\eta_s = \frac{\partial f}{\partial s} / \left\| \frac{\partial f}{\partial \bar{\sigma}'} \right\| \quad (12)$$

$$\text{with: } g = \left\| \frac{\partial f}{\partial \bar{\sigma}'} \right\| \frac{M(\rho - 1)^2}{2A_\pi} \quad (13)$$

214 When the stress point is on the bounding surface, the plastic modulus is given by:

$$H_b = \frac{1 + e_0}{\lambda(s) - \kappa} \frac{Al_1(s)}{g^2} M^2(\gamma - 1)[\gamma + \rho(\rho - 2)] \quad (14)$$

215 where  $\kappa$  is the volumetric deformability and  $e_0$  is the initial void ratio. On the other hand, if the  
216 stress point lie within the bounding surface, an additional term  $H_f$  is added to  $H_b$ . The plastic  
217 modulus  $H$  is then expressed as follows:

$$H = H_b + H_f \quad (15)$$

218  $H_f$  is related to the plastic modulus  $H$  by the distance  $\delta$  between the current stress state  $\sigma'$  and its  
219 projected image-point  $\bar{\sigma}'$  on the bounding surface, as illustrated in Fig. 5, and is expressed as  
220 follows:

$$H_f = \frac{1 + e_0}{\lambda(s) - \kappa} \frac{\delta}{\delta_{max} - \delta} h_0 p' \frac{\eta_p - \eta}{M} \quad (16)$$

221 where  $h_0$  is a material parameter.

222 Inclusion of hardening of the unsaturated soil due to an increase in matric suction and  
 223 plastic volumetric strains is essential for the development of a consistent hardening rule. The  
 224 plastic flow is assumed to take the same direction as the onset of yielding by adopting an  
 225 associative flow rule relating the incremental plastic components of volumetric and shear strains,  
 226 which are expressed as follows:

$$d\varepsilon_p^p = \left[ \frac{1}{H} (n_p dp' + n_q dq + n_s ds) \right] n_q \quad (17)$$

$$d\varepsilon_q^p = \left[ \frac{1}{H} (n_p dp' + n_q dq + n_s ds) \right] n_q \quad (18)$$

227 while the elastic strains are defined by the classic relations:

$$d\varepsilon_p^e = \frac{\kappa}{(1 + e_0)} \frac{dp'}{p'}, \quad d\varepsilon_q^e = \frac{2(1 + \nu)}{9(1 - 2\nu)} \frac{\kappa}{(1 + e_0)} \frac{dq}{p'} \quad (19)$$

228 where  $\nu$  is the poisson's ratio.

229 Considering the present experimental data, the suction-dependence of  $A_\pi$  can be  
 230 expressed as follows:

$$A_\pi = A_\pi(\varepsilon_p^p, s) = l_1(s)A(\varepsilon_p^p) + l_2(s) \quad (20)$$

$$l_1(s) = 1 + k_1(S_r s - s_e) \text{ for } s > s_e, \quad l_2(s) = 0 \quad (21)$$

231 where,  $S_r$  is the degree of saturation. In order to ensure continuity at full saturation state and be  
 232 able to reproduce wetting induced collapse curve, the following conditions must be satisfied:

$$\forall s \leq s_e: l_1(s) = 1, \text{ and } l_2(s) = 0 \quad (22)$$

$$\forall s \geq s_e: l_1'(s) \geq 0, \text{ and } l_2'(s) \geq 0, \text{ and } \rho(A(\varepsilon_p^p)l_1'(s) + l_2'(s)) > \frac{d\pi(s)}{ds} \quad (23)$$

233 The slope of CSL in the  $e$ -log  $p'$  plane is assumed to be identical to that of the normal  
 234 compression line (NCL) at constant suction, and is defined as follows:

$$\lambda(s) = \lambda_0 - k_3(S_r s - s_e) \text{ for } s > s_e \quad (24)$$

235

#### 236 4.4. Essential BSM Constitutive Parameters

237 The modified BS model postulated in the present work requires 12 material parameters, 8 of  
238 which are necessary to define the behavior at full saturation: (1) Two elastic constants,  $\nu$  and  $\kappa$ ;  
239 (2) Six constants for plastic behavior, out of which three are required to determine the position  
240 and the shape of the bounding surface  $\rho$ ,  $M$  and  $A_0$ , two for the plastic modulus,  $\eta_p$  and  $h_0$ , and  
241 one for the volumetric compressibility,  $\lambda_0$ . Four other constants are needed to account for suction:  
242 (1) Two constants,  $s_e$  and  $\alpha$ , to define the water retention curve, information required to  
243 determine the equivalent pore pressure so that the effective stress can be obtained; (2) One  
244 constant,  $k_1$ , to account for suction effects on the hardening parameter  $A_\pi$ , and (3) the last one,  $k_3$ ,  
245 to define the function  $\lambda(s)$ .

246 Systematic calibration procedure was followed to extract BS model parameters for  
247 compacted silty sand from conducted experiments. First, the parameters  $s_e$  and  $\alpha$  are needed to be  
248 able to obtain effective stress. To achieve this, water retention curve in term of degree of  
249 saturation is used. These parameters are those given by Brooks and Corey [37].  $M$  and  $\eta_p$  that  
250 define critical state and limit state are determined by plotting results of saturated triaxial tests in  
251  $p',q$  plane. Volumetric stiffness  $\lambda(s)$  was obtained by plotting isotropic tests results in  $e$ - $\log p'$   
252 plane, which is necessary to obtain the initial value  $\lambda_0$ , and its variation with suction ( $k_3$ ). The  
253 variation of  $A_\pi$  with suction is determined using loading collapse curves.

254 Only a few types of compacted geomaterials have been reported as being modeled with  
255 the BS framework as summarized in the above sections. Table 1 summarizes the values of all  
256 essential BS model parameters calibrated by previous researchers, along with those from present  
257 research. In the present work, results were thoroughly analyzed to gain critical insight into some

258 of the most essential elastoplastic features of compacted intermediate geomaterials under  
259 controlled suction states, including the effect of suction on yield stress, apparent cohesion, tensile  
260 strength, critical state line, post-peak softening and strain-induced dilatancy under suction-  
261 controlled monotonic shearing.

262 It is also worth noting, however, that the mechanical properties of unsaturated soils can  
263 be greatly influenced by repeated wetting and drying cycles, commonly termed as hydraulic  
264 hysteresis. This hydraulic hysteresis could be taken into account by including few modifications  
265 to the BS model, as proposed by Morvan et al. [38]. Nevertheless, in case of sandy soils, such as  
266 the test soil used in the present work, hydraulic hysteresis effects could be reasonably neglected.

267

#### 268 *4.5. Loading Collapse Locus using BS Model*

269 Unsaturated soil could undergo volumetric collapse or slight rebound upon wetting, depending  
270 on the mean stress level. The functions  $l_1(s)$  and  $l_2(s)$ , along with  $A_\pi(\varepsilon_p^p, s)$ , define the classic  
271 loading collapse (LC) curve in the  $p', s$  plane, as shown in Figure 6, including the limiting values  
272 of  $p'$  ( $p'_{lim}$ ) on the bounding surface. The BSM predicted LC curve ensures continuity at  
273 saturation and satisfies conditions in Eq. (24).

274 In the BSM framework, and in contrast with the original BBM presented by Alonso et al.  
275 [2], the stress state, while moving forward along an imposed triaxial stress path, can cross the  
276 CSL and hence access the domain  $\eta > M$ . However, the plastic modulus “ $H$ ” changes sign,  
277 somewhere between the CSL and the LSL, to satisfy the condition  $M < \eta < \eta_p$ . This means that  
278 the stress state can never reach LSL. The parameter “ $\eta$ ” is the lower limit of  $\eta_{peak}$  and, if properly  
279 chosen, imparts the ability to reproduce the post-peak decrease in stress (softening). The value of  
280  $\eta$  can then be obtained by plotting the experimental values of peak deviator stress and

281 corresponding mean net pressure at  $s = 0, 50, 250, 500,$  and  $750$  kPa under three net confining  
282 pressures,  $(\sigma_3 - u_a) = 100, 200$  and  $300$  kPa, as shown in Figure 7. Thus, the best-fit line in Figure  
283 7 defines the lower value of limit state line slope. A value of  $\eta = 1.77$  was obtained and it was  
284 rounded off to  $\eta_p = 1.8$ . This value represents an upper bound to the physically possible domain  
285 for stress.

286

#### 287 *4.6. Parametric Investigation of BS Model Predictions*

288 Figure 8 shows the results of a parametric investigation of BS model predictions with five  
289 different values of slope  $\eta_p$  for triaxial testing at constant suction,  $s = 50$  kPa, and net confining  
290 pressure,  $(\sigma_3 - u_a) = 300$  kPa. It can be clearly observed that the BS model is capable to simulate  
291 a rather smooth transition of the nature of soil volume change, from contractant to dilatant, as  
292 well as the corresponding transition of soil response from initial hardening to post-peak strain  
293 softening. The parametric study also identifies a limiting case with  $\eta_p = M = 1.3$ , beyond which  
294 any further increase in  $\eta_p$  will initiate dilatancy and the stress-strain curve will exhibit a distinct  
295 peak stress.

296

#### 297 *4.7. Barcelona Basic Model: Essential Features*

298 Alonso et al. [2] postulated a unified, critical state based, constitutive framework for unsaturated  
299 soils by extending the modified Cam-Clay model [39], from saturated to unsaturated form, using  
300 suction as an independent stress variable, while introducing the concept of the loading-collapse  
301 (LC) yield surface. Consequently, constitutive parameters postulated by both the BBM and BSM  
302 frameworks were experimentally calibrated from the series of suction-controlled triaxial tests



303 (Tables 1 and 2), and then used for predicting compacted silty sand suction-controlled  
304 axisymmetric shearing response at constant matric suction states varying from 50 to 750 kPa.

305 Further details regarding the explicit, step by step integration of BBM constitutive  
306 relations are given by Macari et al. [40] and Hoyos et al. [41]. Also, implementation of BBM  
307 theory to calibrate the essential constitutive model parameter via experimental tests can be  
308 obtained from Patil [28]. Complementary simulations using the Barcelona Basic Model (BBM)  
309 have also been included, alongside BS model predictions, in order to get further enlightening  
310 insights into some of the main limitations and challenges facing both frameworks within the  
311 context of the experimental evidence resulting from the present research effort.

312

## 313 5. IMPLICIT INTEGRATION OF BSM CONSTITUTIVE RELATIONS

314 The present section illustrates the adopted protocol for implicitly integrating all the BSM  
315 constitutive relations as summarized by equations (1)-(24) presented in the earlier sections.  
316 Calibrated BSM parameters from Table 1 are used in order to simulate silty sand behavior for  
317 matric suction,  $s = 250$  kPa, and net mean pressure,  $(\sigma_3 - u_a) = 300$  kPa. Figures 9(a) and 9(b)  
318 show the corresponding stress-strain and volume change simulations along with observed  
319 experimental response. Figure 9(c) clearly depicts the suction-induced growth experienced by the  
320 initial yield surface of an unsaturated soil, as compared to the saturated case. Further, it  
321 illustrates the progression of yield surfaces [i.e. (1)-(6)] as the specimen is loaded monotonically  
322 under consolidated drained condition along an 1H:3V stress path, i.e. conventional triaxial  
323 compression (CTC) stress path, in  $p$ - $q$  space. The evolution of yield surface is largely governed  
324 by change in plastic volumetric strains.

325 Point “1” corresponds to the initial state of a fictitious BS surface prior to shear loading,  
 326 with its equation calculated from the post-consolidation void ratio and mean net stress using  
 327 Bardet [7] equation, as expressed below:

$$328 \quad A_{\pi} = [1 + k_1(sSr - s_e)]A_0 e^{\left(\frac{\Gamma - e - \kappa \ln(p)}{\lambda - \kappa}\right)} \quad (25)$$

329 where  $e$  = current voids ratio,  $p$  = mean net pressure, and  $A_0$  = unit pressure. The evolution of the  
 330 variable  $A_{\pi}$  in Eq. (5) is described by the classic Cam-Clay hardening rule [38]. Bounding  
 331 surface equation (Eq. 5) depends on “ $A$ ” as well as “ $A_{\pi}$ ”, so it permits to obtain mechanical  
 332 hardening as well as suction hardening,

$$333 \quad dA = \frac{1+e_0}{\lambda_0 - \kappa} A d\varepsilon_p^p \quad \text{and} \quad A_{\pi} = [1 + k_1(sSr - s_e)]A(\varepsilon_p^p) \quad (26)$$

334 For the sake of better understanding, the typical stress-strain curve is embedded to the  
 335 right of the BS yield curves in Fig. 9(c). As the specimen is loaded, the induced plastic strains  
 336 cause the bounding surface to move during plastic flow, but the BS must always envelope the  
 337 current state. The bounding surface expands in size isotropically as specimen is loaded between  
 338 stress state 1-2-3, inducing compressive volumetric strains. Point 3 on the stress-strain curve  
 339 identifies the onset of dilation and is also known as the characteristic state (i.e. CL). It marks a  
 340 transition state of volumetric behavior from contracting to dilating. The yield surface (BS) attains  
 341 its maximum size at characteristic state (point 3). As the loading continues further beyond  
 342 characteristic point 3, the stress state continues to move upwards towards peak failure line.  
 343 However, it cannot cross LSL (point 4), as explained earlier. Concomitantly, the test soil starts  
 344 dilating, and the BS starts to shrink in size as the plastic volumetric strains starts to decrease.

345 It should be noted that the observed peak dilatancy is attained far before reaching the  
 346 peak shear strength. Upon reaching the peak stress state, the specimen undergoes strain-softening  
 347 with further increase in deviator stress and the yield surface continues to shrink in size between

348 points 4 and 5, at a rate faster than corresponding decrease in stress state. According to Bardet  
349 [7] theory for saturated soil, the stress state continues to decrease while the yield surface  
350 continues to shrink further, until they both reach a common point, and thereafter they both move  
351 together towards and stop at a point (point 6) that represents critical state, which correspond to a  
352 state of no volume change, no stress change, and hence zero plastic volumetric strains. In these  
353 simulations, critical state gives an asymptote to the stress path but is not reached. The same goes  
354 for the bounding surface (BS), which keeps shrinking slowly but does not reach the stress state  
355 along stress path, even with imposed axial strains of up to 40%.

356

## 357 6. BSM AND BBM PREDICTIONS OF COMPACTED SILTY SAND RESPONSE

358 BSM and BBM simulations were compared with the experimental results obtained from the  
359 series of suction-controlled CD-triaxial shear tests. All specimens were sheared along CTC stress  
360 paths. Figs. 10-14 show comparisons between BSM and BBM predictions and experimentally  
361 observed deviator stress vs. axial strain response of compacted silty sand from fully drained  
362 (constant suction) CTC tests conducted at four different values of matric suction,  $s = 0, 50, 250,$   
363  $500$  and  $750$  kPa, and for initial values of net mean stress,  $p = (\sigma_3 - u_a) = 100, 200,$  and  $300$  kPa,  
364 respectively.

365 In general, no close agreement is observed between experimental behavior and BBM  
366 predictions for overconsolidated silty sand, primarily given the largely brittle and dilatant nature  
367 of the test soil before it reaches critical state. For hardening materials, continued shearing along a  
368 suction-controlled CTC stress path (Fig. 5) is expected to cause the elliptical yield surface in  $p:q$   
369 plane to move outward (or increase in size) from the current point, while it would move inward

370 (or shrink in size) for softening materials. The relative position of the current stress state with  
371 respect to the CSL governs whether the material sustains plastic dilatancy or contractancy.

372 The original BBM framework, however, does not contemplate a stress state that lies  
373 beyond the CSL at which all induced deformation is plastic, since the peak stress is always  
374 assumed to be reached at critical state. Therefore, it is not expected to be suitable for reproducing  
375 the transition from initial contractancy to dilatancy, and hence the post-peak strain softening  
376 commonly observed in dense or overconsolidated geomaterials (Figs. 11-14). For this reason,  
377 only BBM predictions of stress-strain response are shown in Figures 10-14, obviating the  
378 corresponding volume change response.

379 In effect, although predictions of deviatoric stress (end values) at critical state still proved  
380 to be reasonably close to those experimentally observed (Figs. 10-14), BBM predictions  
381 considerably deviate from the stress-strain response of compacted silty sand, particularly at  
382 higher matric suctions and net confining pressures, which are precisely the stress state for which  
383 the test soil exhibits largest post-peak softening, accompanied by significant dilation. From a  
384 qualitative standpoint, however, reasonably good predictions are generally observed for most of  
385 the initial shearing stage, up to about 1-2% shear strain, and at considerably large values of shear  
386 strain, i.e., critical state.

387 On the contrary, the BSM is able to reproduce the stress-strain and volume change  
388 response of compacted silty sand, under both saturated and unsaturated conditions, with  
389 reasonable accuracy. It is worth noting that saturated silty sand samples showed compressive  
390 type volume change response, which turned into dilating type as soon as the soil was subjected to  
391 a matric suction as low as 50 kPa. The BSM was able to capture this drastic transition in volume  
392 change quite smoothly. Furthermore, the BSM is able to simulate the increase in dilation with

393 increasing matric suction, rather smoothly as well, and with reasonable accuracy, as shown in  
394 Figs. 10(c)-14(c). This transition is possible because of the term added to the plastic modulus  
395 when the stress point lies inside the surface (Eqs.15 and 16).

396 On the other hand, saturated silty sand samples showed hardening type stress-strain  
397 response, which quickly changed to post-peak softening type behavior under suction-controlled  
398 conditions ( $s = 50, 250, 500$  and  $750$  kPa). Likewise, the BSM was able to capture this transition  
399 rather smoothly and successfully. The increase in magnitude of post-peak softening with  
400 increasing matric suction is also closely captured by the BSM, as shown in Figs. 11(a)-14(a).  
401 This close prediction of post-peak strain softening can be attributed to the incorporation of two  
402 state lines into the BSM framework: the commonly used CSL (critical state line) and the LSL  
403 (limit state line), as shown in Fig. 5. The stress path can cross the CSL, but the LSL limits the  
404 accessible domain and whether it is crossed or not, the CSL will be the asymptote of the stress  
405 path.

406 Figs. 11(a & b)-14(a & b) indicate that although the BBM is not able to closely capture  
407 the typical stress-strain response, it performs relatively well in predicting deviator stress at peak  
408 and critical state under low net confining pressure irrespective of magnitude of matric suction  
409 applied. On the other hand, BSM performs relatively well in predicting peak and critical deviator  
410 stress under high net confining pressures irrespective of magnitude of matric suction applied.

411 Finally, good correlations were obtained, for the tested suction and confining pressure  
412 range, between experimental and the extended BSM predicted deviator stress values, both at  
413 critical state failure ( $R^2 = 0.91$ ), and peak state failure ( $R^2 = 0.85$ ), as shown in Figure 15(a) and  
414 (c). Although, relatively better correlations were obtained with BBM as compared to BSM at  
415 critical state failure ( $R^2 = 0.96$ ), and peak state failure ( $R^2 = 0.93$ ) as shown in Fig. 15(b) and (d),

416 it cannot closely reproduce the continuous stress-strain and volume change response (Figs. 10-  
417 14). The slope of the critical state line in  $p'$ - $q$  plane did not significantly changed with suction,  
418 and thus can be considered to remain virtually constant and non-sensitive to changes in suction.  
419 Figure 16 shows the variation of the slopes of critical state lines in  $p'$ - $q$  plane for different soils  
420 as reported from current and previous research works [22, 42–44].

421 During suction-controlled experiments, the practical range of applying matric suction  
422 inside soil specimen is only up to 1500 kPa, due to limitations of ceramic disk in using axis-  
423 translation technique [20]. In addition, increase in magnitude of induced suction, well beyond  
424 residual suction, will dramatically escalate the magnitude of drop in post-peak strength and  
425 hence softening upon monotonic shearing as well as reduce the overall amount of dilational  
426 volume change [28].

427 Incorporating such a dramatic variation in stress-strain response into modeling, that alters  
428 from strain-hardening for saturated soil to strain-softening with introduction of matric suction  
429 and which further tends to show increase in amplitude of softening with further increase in total  
430 suction for test soil (i.e. silty sand), poses a great challenge. Currently, the authors are  
431 investigating into experimental response at high suction to improvise the existing model,  
432 especially to incorporate additional parameters to reflect high suction impact on response, to  
433 enable possible better predictions, particularly above residual suction, where any change in  
434 moisture content is merely due to vapor-phase exchange.

435

436

## 7. SUMMARY AND CONCLUSIONS

437 12 consolidated drained (CD), conventional triaxial compression (CTC) tests were conducted on  
438 statically compacted specimens of unsaturated silty sand (SM) under four suction-controlled

439 conditions and three net confining pressures. Experiments were performed in a fully-automated  
440 double-walled triaxial test system and target matric suction states varying from 50 to 750 kPa  
441 was induced via the axis-translation technique. Experimental results from present research  
442 showed persuasive evidence of augmentation in shear strength, stiffness, yield strength, tensile  
443 strength, post-peak strain-softening and dilatancy with increase in matric suction. A distinct,  
444 experimental compaction induced loading-collapse (LC) locus was readily identified in the  $p:s$   
445 plane and comparison was made with BS model predicted LC locus.

446 Essential constitutive parameters postulated by the BBM and the extended BS model  
447 framework were then calibrated and used for prediction of peak deviator stress at matric suction  
448 states varying from 50 to 750 kPa. There were no good agreements between the observed  
449 experimental and predicted BBM stress-strain responses, especially the post-peak softening  
450 behavior. BBM predictions, however, hold reasonably well mostly during the early shearing  
451 stage (i.e. 1-2% axial strain) and at higher values of shear strain, i.e. critical state.

452 On the other hand, the extended BS model was able to simulate the stress-strain and  
453 volume change response reasonably well. The BS model was able to capture smoothly the  
454 transition of stress-strain response from strain-hardening to post-peak strain softening along with  
455 the contemporaneous transition of volume change from compressive to dilatant type on account  
456 of suction with reasonably well captured simulations. The major advantage of BS model is its  
457 flexibility to allow for shrinking of yield surface based on value of  $(\eta_{\text{peak}} - \eta_{\text{critical}})$ , to  
458 accommodate the post-peak softening behavior, which otherwise, was not possible with classical  
459 model such as BBM. In general, irrespective of the value of matric suction applied, the BBM  
460 performs relatively well in predicting response at peak and critical state failure under low net

461 confining pressure while the extended BSM performs relatively well under high net confining  
462 pressures.

463 With additional testing in future, the current version of generalized BS model framework  
464 that seems to have promising applications to unsaturated soil mechanics and shear strength  
465 applications could be further generalized and made more flexible to accommodate experimental  
466 response from more soil types applied over broader suction range.

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472

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**Table 2.** Essential BBM Parameters for current test material

**Table 1.** Essential BSM parameters calibrated from past and present works

Material constants	$\kappa$	$\nu$	$\rho$	$M$	$\Gamma$	$\eta_p$	$h_0$	$s_e$	$\alpha$	$k_1$	$k_3$	$\lambda_0$
Units	-	-	-	-	-	-	-	kPa	-	-	-	-
	0.01	0.125	2.2	1.2	0.73	1.2	2	15	2.1	2	0.05	0.1425
**	0.006	0.3	1.7	1.6	0.95	1.9	5	6	0.2	5	0.05	0.155
***	0.05	0.2	2.2	0.72	1.1	0.74	5	-	0.066	0.08	0.1907	0.19
****	0.008	0.3	1.7	1.3	0.7	1.8	5	8	0.3	2.23	0.003	0.04

Notes: \* – Cui and Delage [25]; Triaxial compression test on compacted jossigny silt and BS Model parameters extracted by Morvan et al. [24].

\*\* – Russell [23]; Drained triaxial test on Kurnell sand and BS Model parameters extracted by Morvan et al. (2010).

\*\*\* – Raveendiraraj [27] and Gallipoli et al. [26]; Triaxial test on speswhite kaolin and BS Model parameters extracted by Morvan et al. (2010).

\*\*\*\* – CD triaxial test on poorly graded silty sand (SM) with clay; Present research.

**Table 2.** Essential BBM Parameters for current test material

Parameter	Current work	Units
$\lambda(0)$	0.020	-
$\kappa$	0.0015	-
$\beta$	2.000	MPa <sup>-1</sup>
$r$	0.260	-
$p^c$	0.046	MPa
$G$	25.00	MPa
$M$	1.420	-
$k$	0.223	-
$p_o(0)$	0.070	MPa

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**Figure 4.** Experimental response of SM soil from  $s$ -controlled CTC tests at net confining stress,  $\sigma_3 - u_a = 100$  kPa and matric suctions,  $s = 0, 50, 250, 500,$  and  $750$  kPa

**Figure 5.** Radial mapping defining image point on the unsaturated bounding surface BS (modified from Bardet [7] model)

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**Figure 8.** Parametric study of BS model predictions showing effect of LSL slope  $\eta_p$ : (a) stress-strain response, (b) volume change response

**Figure 9.** Experimental and BSM predicted a) Stress strain; b) Volume change response and c) Explanatory sketch: modeling strain-softening and dilatancy via swell-shrink of bounding surfaces with induced loading along CTC stress path using CD300-250 test results and presented BS model

**Figure 10.** Experimental and BSM/BBM predictions of saturated silty sand response at different net confining pressures: (a), (b) stress-strain response, and (c) volume change response

**Figure 11.** Experimental and BSM/BBM predictions of unsaturated silty sand response at matric suction,  $s = 50$  kPa, and different net confining pressures: (a), (b) stress-strain response, and (c) volume change response

**Figure 12.** Experimental and BSM/BBM predictions of unsaturated silty sand response at matric suction,  $s = 250$  kPa, and different net confining pressures: (a), (b) stress-strain response, and (c) volume change response

**Figure 13.** Experimental and BSM/BBM predictions of unsaturated silty sand response at matric suction,  $s = 500$  kPa, and different net confining pressures (a), (b) stress-strain response, and (c) volume change response

**Figure 14.** Experimental and BSM/BBM predictions of unsaturated silty sand response at matric suction,  $s = 750$  kPa, and different net confining pressures: (a), (b) stress-strain response, and (c) volume change response

**Figure 15.** Comparison of predicted and measured values of deviator stress at peak and critical state failure as postulated by the BSM and BBM framework

**Figure 16.** Current and previously reported values of critical state line slope variation with matric suction



**Following is the list of symbols used in this paper:**

$\pi$	equivalent pore pressure
$\eta$	stress ratio $q/p$
$\eta_p, \eta_{cr}$	maximum stress ratio at peak state and critical state failure
$\bar{\sigma}$	projection of stress state i.e., image point on bounding surface
$\delta$	distance between stress state and image stress
$p, q, p'$	mean pressure, deviator stress, and net mean pressure
$\bar{p}, \bar{q}$	mean pressure and deviator stress at image point
$p'_{cr}, q_{cr}$	mean net pressure and deviator stress at critical state
$\varepsilon_i \ i = 1, 2, 3$	components of strain in triaxial space
$\varepsilon_p, \varepsilon_q$	volumetric and deviator strain
$\varepsilon_p^e, \varepsilon_q^e$	elastic volumetric and deviator strain
$\varepsilon_p^p, \varepsilon_q^p$	plastic volumetric and deviator strain
$A, A_\pi$	position of bounding surface summit on the p-axis
$K_p$	elastic bulk modulus
$e, e_c, e_0$	present, critical, and initial voids ratio
$G, K_q$	elastic shear moduli
$g$	amplitude of gradient of bounding surface at image stress
$H, H_b, H_\delta$	plastic moduli
$K_1, k_2, K_3$	material constants to account for unsaturated state
$l_1, l_2$	material constants to account for unsaturated state
$M, M_\pi$	position of bounding surface summit on the p-axis
$n_p, n_q, n_s$	components of unit vector normal to bounding surface at image point
$s$	suction
$S_I$	degree of saturation
$x, y$	normalized stress ratio, variable defining image position
$\zeta$	plastic multiplier
$\alpha, s_e$	constants defining water retention curve
$\kappa$	elastic volumetric deformability
$\lambda_0, \lambda, \Gamma, q_0$	values determining position of the critical state
$\nu$	elastic poisson ratio
$\rho$	aspect ratio of ellipse
$\sigma_i \ i = 1, 2, 3$	components of stress in triaxial space

$\sigma_i' \ i = 1, 2, 3$

components of effective stress in triaxial space