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1 **Uplift resistance of horizontal strip anchors in sand: a**
2 **cavity expansion approach**

3 **Pei-Zhi Zhuang**, Research fellow

4 Corresponding author, Email: P.zhuang@leeds.ac.uk

5 **Hai-Sui Yu**, Professor and Deputy Vice-Chancellor

6 Email: H.Yu@leeds.ac.uk

7 School of Civil Engineering, Faculty of Engineering,

8 University of Leeds, LS2 9JT Leeds, UK

9

10 **Abstract:** This letter presents an analytical cavity expansion theory-based method for
11 predicting peak uplift resistance of shallow horizontal strip anchors buried in sand. Based
12 on an analytical two-dimensional stress solution for loading analysis around a cylindrical
13 cavity, the method was developed by assuming that the peak anchor uplift resistance can
14 be approximated by the cavity breakout pressure. In the new cavity expansion model, the
15 ultimate failure is reached once the plastic zone develops to the ground surface, and the
16 biaxial state of in-situ ground stresses is taken into account. A database consisting of 75
17 model tests on shallow strip anchors in sands was compiled to valid the new method. The
18 predicted results and measured data are in reasonable agreement, with a mean over-
19 prediction of the peak uplift resistance by 1.6%. The reliability of the new solution was
20 also checked by comparing with other commonly used analytical solutions. It is shown
21 that the present solution can provide a simple analytical tool for predictions of the peak
22 uplift resistance of strip anchors in sand while a sliding-block failure mechanism
23 dominates.

24

25 **Keywords:** Anchors & anchorages, Bearing capacity, Sands

26

27 INTRODUCTION

28 Horizontal plate anchors are commonly used for resisting uplift forces in many
29 engineering structures such as transmission towers, drydocks, mooring systems for ocean
30 surface or submerged platforms. As a principal tool in the routine design of earth anchors,
31 a number of analytical solutions for predicting the uplift resistance have been proposed
32 based on theoretical approaches such as limit equilibrium (Meyerhof and Adams, 1968,
33 White et al., 2008), limit analysis (Murray and Geddes, 1987), and cavity expansion
34 theory (CET) (Vesic, 1971, Yu, 2000). Among them, solutions based on the former two
35 approaches have been developed fairly well over decades, but, by contrast, solutions
36 based on cavity expansion theory received limited attention. It is necessary to further
37 check and improve the accuracy and the applicability of the CET-based solutions,
38 especially for applications to shallow plate anchors in sand as discussed later. A
39 comprehensive overview of earth anchors refers to Das and Shukla (2013).

40 In the cavity expansion approach, the breakout pressure of an internally pressurized cavity
41 is often used to predict the uplift capacity of a single horizontal plate anchor. Previous
42 CET-based models mainly include Vesic's method (1971) and Yu's method (2000). The
43 failure criteria used to determine the peak resistance in these two methods both have been
44 expressed by a relationship between the relative radius of the elastic-plastic boundary in
45 the loading analysis around a cavity and the soil cover depth above the anchor. In Vesic's
46 method, the propagation of the plastic zone was determined through a quasi-static
47 expansion analysis considering soil compressibility. In Yu's method, the radius of the
48 elastic-plastic boundary was directly expressed by the soil cover depth multiplying an
49 empirical coefficient m . It has been demonstrated that, taking the moment at which the
50 plastic zone just reaches the ground surface as the ultimate failure criterion (i.e. $m=1$),
51 Yu's method can give fairly accurate predictions of the maximum uplift resistance of
52 shallow anchors in undrained clays (Chen et al., 2013, Merifield et al., 2001, Yu, 2000).
53 Nevertheless, the accuracy of previous CET-based methods is not that generally
54 satisfactory for applications to plate anchors in sand. For example, although the Vesic's
55 method may perform well for uplift resistance predictions of shallow plate anchors in
56 loose sand, a considerable underprediction would be made while applied to anchors in
57 dense sand (Das and Shukla, 2013, Murray and Geddes, 1987). In Yu's method, an
58 approximate value around 0.5 of the introduced coefficient m was suggested for anchors

59 in sand to match the results computed from upper bound limit analyses. However,
60 theoretical methods for determining the value of m have not been obtained till now.

61 In both Vesic's (1971) and Yu's (2000) models, the adopted cavity expansion solutions
62 had been derived with the idealisation that the internal and far-field stresses are uniform
63 (Vesic, 1972, Yu and Houlsby, 1991). However, in-situ horizontal and vertical soil
64 stresses usually are not equal (i.e. the earth pressure coefficient at rest K_0 is not ideally
65 equal to unity) (Guo, 2010, Lee et al., 2013, Mayne and Kulhawy, 1982). Rowe and Davis
66 (1982a, 1982b) pointed out that the load-deformation characteristics of soil around a plate
67 anchor depend on the value of K_0 . Likewise, under biaxial far-field stresses, the plastic
68 zone developed around a cylindrical cavity may significantly differ from that computed
69 by a simplified one-dimensional analysis (Bradford and Durban, 1998, Detournay, 1985,
70 1986, Galin, 1946, Zhuang and Yu, 2018). It was introduced above that the criteria used
71 to determine the anchor uplift capacity in the CET-based models are associated with the
72 propagation of the plastic zone and its relative position to the ground surface. For these
73 reasons, it is believed that the possible K_0 effect should be taken into account in the cavity
74 expansion approach for anchor uplift capacity predictions.

75 In the light of above discussions, an analytical CET-based solution is developed to predict
76 the uplift resistance of horizontal strip anchors in sand by additionally considering biaxial
77 in-situ stresses in the stress analysis around a cylindrical cavity under loading. The new
78 solution is validated by comparing with 75 pull-out model tests with strip plate anchors
79 performed in sand and other commonly used analytical models.

80 **CAVITY EXPANSION APPROACH FOR ANCHOR UPLIFT CAPACITY PREDICTION**

81 For a horizontal strip plate anchor pulling-out at a sufficiently slow rate, the peak uplift
82 resistance experienced is assumed to equal the sum of the ultimate radial pressure (p_u)
83 needed to break out a cylindrical cavity underneath the ground surface and the weight of
84 the soil occupied by the volume of a half cavity above the plate anchor (W_s) as depicted
85 in Fig. 1 (Vesic, 1971). For a plate anchor placed at relatively shallow depths, it has been
86 suggested by Vesic (1971) and Yu (2000) that the breakout of a plate anchor occurs while
87 the outer boundary of the plastic zone predicted by a cavity expansion analysis is
88 sufficiently close to or at the ground surface. While elastic-perfectly-plastic cavity
89 expansion solutions derived under hydrostatic stress conditions are applied, Yu (2000)

90 demonstrated that an empirical coefficient m has to be introduced to relate the maximum
 91 radius of the plastic region ($r_{ep}|_{\max}$) and the soil cover depth above the anchor, that is
 92 $r_{ep}|_{\max} = mH$. Accordingly, based on a stress analysis around a cylindrical cavity adopting
 93 the Mohr-Coulomb yield criterion (Yu, 2000), p_u for an anchor in cohesionless materials
 94 can be expressed as:

$$95 \quad p_u = p_0 F_q = p_0 \frac{2K_p}{K_p + 1} \left(2m \frac{H}{D} \right)^{(1-1/K_p)} \quad (1)$$

96 where p_0 is the effective soil stress above the anchor, namely $p_0 = \gamma' H$. γ' is the
 97 effective unit weight of the soil. H is the embedment depth of a plate anchor. D is the
 98 anchor breadth. $K_p = (1 + \sin \varphi) / (1 - \sin \varphi)$. φ represents the effective friction angle of soil.

99 Then the dimensionless anchor breakout factor in cohesionless materials equals:

$$100 \quad N_{\gamma\text{-sand}} = \frac{p_u D + W_s}{\gamma' H D} = F_q + \frac{\pi D}{8 H} \quad (2)$$

101 By definition, the value of m is influenced by the boundary conditions and load-
 102 deformation characteristics of soil above the plate anchor. In reality, the coefficient of
 103 earth pressure at rest in sands normally is less than unity (Guo, 2010, Mayne and
 104 Kulhawy, 1982). To additionally account for the K_0 effect in the loading analysis around
 105 a cylindrical cavity, the asymptotic mapping function of equation (A- 1) in the appendix
 106 is used to estimate the distribution of the plastic zone (Detournay, 1985, Zhuang and Yu,
 107 2018). It gives that the range of the plastic zone in the vertical direction is $[\lambda(1 - \beta)^{(1-\delta)}]$
 108 times of that predicted by the corresponding solution derived under equivalent uniform
 109 initial stresses. Thus, with the same assumption that the peak uplift resistance is reached
 110 once the plastic zone propagates to the free ground surface, an approximate theoretical
 111 expression of the coefficient m in equation (1) can be derived as:

$$112 \quad m = \frac{1}{\lambda(1 - \beta)^{1-\delta}} \quad (3)$$

113 in which

$$114 \quad \lambda^{1-1/K_p} = {}_2F_1[(-\delta, -\delta); 1; \beta^2] = 1 + \delta^2 \beta^2 + 0(\beta^4) \quad (4)$$

115 where $\delta = (1 - K_p) / (1 + K_p)$; $\beta = \tau_\infty / S_p$. $P_\infty = -(\sigma_{v0} + \sigma_{h0}) / 2$; $\tau_\infty = (\sigma_{h0} - \sigma_{v0}) / 2$,
116 $S_p = [(1 - K_p)P_\infty] / (K_p + 1)$; $\sigma_{v0} = \gamma' H$. $\sigma_{h0} = K_0 \sigma_{v0}$. ${}_2F_1[(a, b); c; z] = \sum_{n=0}^{\infty} \frac{(a)_n (b)_n}{(c)_n} \frac{z^n}{n!}$ ($|z| < 1$
117) is a Gaussian or ordinary hypergeometric function. K_0 is approximated by the commonly
118 used Jaky's (1948) equation here, namely $K_0 = 1 - \sin \varphi_{crit}$. φ_{crit} represents the critical state
119 friction angle of sand. Note that $\beta = 0$ and $m = 1$ while K_0 equals unity.

120 For a strip plate anchor placed in sand, the uplift response mainly varies with the relative
121 embedment depth (H / D) and sand relative density (D_r) (Ilamparuthi et al., 2002, Liu et
122 al., 2011, Merifield and Sloan, 2006). At relatively shallow depths, a sliding-block failure
123 mechanism (global shear failure) dominates. The peak uplift resistance is mobilised while
124 a pair of distributed shear zones stemming from the edges of the anchor extend to the
125 ground surface (e.g. Fig. 1) and increases proportionally with increases of H / D . At
126 greater depths, the uplift resistance is primarily determined by the localized compression
127 (local shear failure) and the failure plane may not develop to the ground surface. The
128 transition depth between the global shear failure mode and the local shear failure
129 mechanism varies with state and deformation characteristics of the soil above (Chen et
130 al., 2013, Meyerhof and Adams, 1968). As it assumes that the ultimate failure occurs
131 while the plastic zone develops to the ground surface, the present solution (i.e. equations
132 (2) and (3)) is designed for shallow strip anchors pulled out to failure with a sliding-block
133 mechanism.

134 The mobilised friction angle φ can be measured in tests under similar sand state and
135 stress level of sand above the plate anchor at failure. Alternatively, the Bolton's (1986,
136 1987) empirical equation (i.e. Eq.(5)) is employed to estimate φ which might be stress-
137 and state-dependent (Bradshaw et al., 2016). In conjunction with the Bolton's correlation,
138 the present solution can be recast in terms of φ_{crit} , D_r , p'_m , and H / D that can be easily
139 determined during a site investigation.

$$140 \quad \varphi_{peak} - \varphi_{crit} = A_\nu I_R \quad (5)$$

141 where I_R is a dilation indicator, spanning the range of 0 to 4. $I_R = D_r(Q - \ln p'_m) - 1$ while
142 $p'_m \geq 150 \text{ kPa}$ (Bolton, 1986); $I_R = 5D_r - 1$ while $p'_m < 150 \text{ kPa}$ (Bolton, 1987). A_ν is taken
143 as 5 for the strip anchor uplift problem (plane strain). Q is the natural logarithm of the
144 grain crushing strength (in kPa) (Randolph et al., 2004), which is sand-specific and stress-

145 level dependent (Chakraborty and Salgado, 2010). Typical values of Q and φ_{crit} for a
146 variety of sands have been summarized by Randolph et al. (2004). p'_m is the mean
147 confining stress at failure, kPa. For simplicity, it is taken as the effective overburden soil
148 pressure at the depth of H here, that $p'_m = \gamma' H$ (White et al., 2008).

149 **COMPARISON WITH MODEL TEST RESULTS AND DISCUSSION**

150 In order to assess the new solution thoroughly, a database comprising 75 pull-out tests on
151 model plate anchors in sands has been assembled. To simulate the plane strain condition,
152 only tests on plate anchors with an aspect ratio of L/D (length/breadth) greater than 7 have
153 been included as suggested in results reported by Murray and Geddes (1987) and Rowe
154 and Davis (1982b). To roughly meet the requirement of the sliding-block failure
155 mechanism, only tests with an embedment ratio of $H/D \leq 8$ (White et al., 2008) are
156 collected. The database spans a wide range of relative density ($D_r=17\sim 86\%$, mean 37.8%)
157 and embedment depths ($H/D=1\sim 8$, mean 4.35). Details of each test series are summarised
158 in Table 1.

159 Taking the measured parameters given in Table 1, anchor breakout factors of the test
160 database have been back-calculated using equations (2) and (3), and they are compared
161 with the test data in

162 Fig. 2, plotted against relative density and embedment ratio. It is shown that a mean over-
163 prediction of the peak uplift resistance by 1.6% is made by the new solution, and the
164 coefficient of variation (COV) is 0.15. Relatively significant outliers (overpredictions)
165 appear in tests of Dickin (1988) with loose sand at relatively deep depths as marked in
166 the graphs. As reasonable predictions are shown for tests of Dickin (1988) that were
167 performed in dense sand at $H/D=1-8$ and in loose sand at $H/D=1-4$, it is believed that the
168 overpredictions are because a local failure mechanism dominates in loose sand at $H/D > 4$
169 rather than the sliding-block failure mechanism associated with the current method
170 (Meyerhof and Adams, 1968).

171 Alternatively, φ in the new solution may be approximated by the peak plane-strain
172 friction angle calculated using equation (5) (i.e. $\varphi = \varphi_{peak}$). As the tests of this database
173 are all performed in silica sands, Q in equation (5) is taken as 10 (Bolton, 1986). All other
174 input parameters are taken from the sources references as summarised in Table 1 without

175 any optimisation. Fig. 3 shows that the calculated results by the alternative method also
 176 compare favourably with the test results of the database.

177 It has been stated that the propagation of the plastic zone is influenced by the boundary
 178 conditions and soil deformation above the plate anchor. Experimental investigations
 179 (Ilamparuthi et al., 2002, Liu et al., 2011, Merifield and Sloan, 2006, White et al., 2008)
 180 showed that increasing dilation may occur above the anchor at failure in denser sand
 181 which accompanied by more lateral volume expansions. As a result, extra lateral
 182 confining pressure would be mobilised. This can be confirmed by back-calculating the
 183 far-field earth pressure coefficient using equations (1) and (3). In the present solution, the
 184 earth pressure coefficient is conservatively taken as the in-situ value for simplicity. As
 185 sand dilation is strong state-dependent (Bolton, 1986, Li and Dafalias, 2000), both stress
 186 level and initial density could affect the value of m . Values of the coefficient m defined
 187 in equation (1) have been back-calculated with the measured anchor factors and are
 188 plotted in Fig. 4. In the present database of tests, the dependency of m on the sand relative
 189 density is more significant, and a linear relationship between m and D_r was fitted in Fig.
 190 4. Meanwhile, example results calculated using equations (3) and (5) are also plotted,
 191 taking $p'_m = 40\text{kPa}$, $H/D = 5$ for illustration purpose. The theoretical solution predicts
 192 that m increases with relative density and earth pressure coefficient. Although the
 193 mobilised lateral confining pressure might be slightly greater than that at rest, the back-
 194 calculated m of this database mostly distribute in the range calculated by equation (3)
 195 incorporating the Bolton's equation (i.e. equation (5)) with typical in-situ values of K_0 .

196 COMPARISON WITH ANALYTICAL METHODS

197 The new solution is also compared with the commonly used limit equilibrium methods
 198 and upper-bound plasticity solution in Fig. 5. In these methods, the break-out factor of
 199 strip plate anchors in sand can be expressed in a unified form of

$$200 \quad N_{\gamma\text{-anchor}} = 1 + f_{\text{up}} \frac{H}{D} \quad (6)$$

201 where

$$202 \quad f_{\text{up-1}} = \tan \psi + (\tan \varphi_{\text{peak}} - \tan \psi) \left[\frac{1 + K_0}{2} - \frac{(1 - K_0) \cos 2\psi}{2} \right] \quad (\text{White et al., 2008}) \quad (6 \text{ a})$$

$$203 \quad f_{\text{up-2}} = K_u \tan \varphi \quad (\text{Meyerhof and Adams, 1968}) \quad (6 \text{ b})$$

204 $f_{up-3} = \tan \varphi$ (Murray and Geddes, 1987) (6 c)

205 By assuming that the inclination angle of shear planes (ω) on each side of the inverted
206 trapezoidal block equals the angle of dilation (ψ) (i.e. $\omega = \psi$ in Fig. 1), a simple limit
207 equilibrium solution as Eq.(6 a) was derived by White et al. (2008). Eq.(6 b) gives the
208 limit equilibrium solution of Meyerhof and Adams (1968). K_u was suggested equal 0.95
209 for strip anchors. Equation (6 c) is the upper-bound plasticity solution (Murray and
210 Geddes, 1987), in which the normality is satisfied (i.e. $\omega = \varphi$ in Fig. 1).

211 It has been reported that the upper-bound solution can give reasonable predictions of the
212 uplift resistance of strip anchors (Merifield and Sloan, 2006) but may be unconservative
213 for materials obeying a non-associated flow rule (Murray and Geddes, 1987). With the
214 same inputs of sand properties, Fig. 5 (a) shows that the proposed method gives slightly
215 lower predictions than the upper-bound plasticity solution. Meanwhile, it is shown in Fig.
216 5 (a) that much higher values are predicted by the new CET-based solution than those by
217 Vesic's (1971) solution in dense sand while similar results in loose sand. By using the
218 Bolton's correlation, Fig. 5 (b) shows that the anchor break-out factors predicted by this
219 method are generally higher than those by the limit equilibrium solution of White et al.
220 (2008). White et al. (2008) also reported that their solution underpredicted the results of
221 model tests on strip plate anchors by 14%. In addition, White et al. (2008) showed that
222 their method overpredicted the results of model pipes with relatively smooth pipe surfaces
223 by 11%. As the interface frictional behaviour is expected to be more significant for a pipe
224 than a horizontal anchor, overpredictions are to be expected if the present solution was to
225 be used for pipes with smooth surfaces. Overall, the above comparisons encouragingly
226 suggested that the new CET-based solution can provide a simple and reliable analytical
227 method for the peak uplift resistance predictions of strip anchors in addition to other
228 commonly used methods.

229 **CONCLUSIONS**

230 By additionally considering the biaxial state of in-situ ground stresses in the loading
231 analysis of a cylindrical cavity, a new theoretical method was developed for predicting
232 the uplift resistance of strip plate anchors in sand. A database of 75 model tests on strip
233 anchors in sands has been assembled to validate the new method. Good agreement was
234 shown between the predicted and measured results, with a mean over-prediction of the
235 peak uplift resistance by 1.6%. Although the level of agreement may vary with the scope

236 of the database, these encouraging agreements suggested that the peak uplift resistance of
 237 strip anchors that determined by a sliding-block mechanism can be well predicted by the
 238 new analytical CET-based method. And the accuracy and applicability of the new method
 239 were further demonstrated by comparing with other representative plasticity solutions and
 240 limit equilibrium solutions.

241 **APPENDIX: Plastic failure zone under biaxial in-situ ground stresses**

242 Under biaxial far-field stresses, the non-circular elastic-plastic boundary developed
 243 around an internally pressurised cylindrical cavity surround by Mohr-Coulomb materials
 244 can be described by the asymptotic mapping function in equation (A-1) (Detournay, 1985,
 245 Zhuang and Yu, 2018) while the plastic zone is statically determinate.

$$246 \quad \omega(\sigma) = \alpha\sigma\left(1 + \frac{\beta}{\sigma^2}\right)^{(1-\delta)} \quad (\text{A- 1})$$

247 where $\omega(\sigma)$ conformally maps the elastic-plastic boundary in the physical plane to the
 248 unit circle in the phase plane (Muskhelishvili, 1963). $\alpha = \lambda\chi R$. $R = D/2$. $\sigma = e^{i\phi}$. ϕ is an

249 argument of the complex variable σ . $i = \sqrt{-1}$. $\chi = \left\{ \frac{(1+1/K_p)[(K_p-1)p_u]}{2[(1-K_p)P_\infty]} \right\}^{K_p/(K_p-1)}$. Note

250 that equation (A-1) is obtained from the loading analysis of a cylindrical cavity in an
 251 infinite medium. Consequently, the free ground surface effect is not taken into account in
 252 the present approximate CET-based model.

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335 **Table**

336 Table 1 Model test database of horizontal strip anchor uplift resistance

Authors	Sand	Number of tests	Aspect ratio (L/D)	Cover depth Ratio(H/D)	Relative density (%)	Sand friction angle	
						φ (°)	φ_{crit} (°)
Rowe and Davis (1982b)	Sydney sand	36	8.75	1-8	17-37	32-33.3	31
Murray and Geddes (1987)	Medium grained sand	4	10	1-6	85.9	44	32
Dickin (1988) *	Erith sand	15	8	1-8	33-76	38-49	35 [†]
Ravichandran and Ilamparuthi (2008)	Palar river sand	9	7	2-4	34-85	33-43	31
Liu et al. (2013)	Fujian standard sand	11	plane strain	1-7	30-80	34-43	31

337 * Centrifuge test at 40g, all other tests at 1g. [†] Dickin and Laman (2007).

338 **List of figures and table**

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340 Fig. 2 Predicted (using measured φ summarised in Table 1) against measured anchor
341 factors: (a) variation with relative density; (b) variation with embedment ratios

342 Fig. 3 Predicted ($\varphi = \varphi_{\text{peak}}$ using equation (5)) against measured anchor factors

343 Fig. 4 Back-calculated (using measured anchor factor and equation (2)) and predicted
344 (using equations (3) and (5)) values of m

345 Fig. 5 Comparison with other solutions: (a) with given effective friction angles; (b) with
346 peak friction and dilation angles calculated by Bolton's (1986) correlations

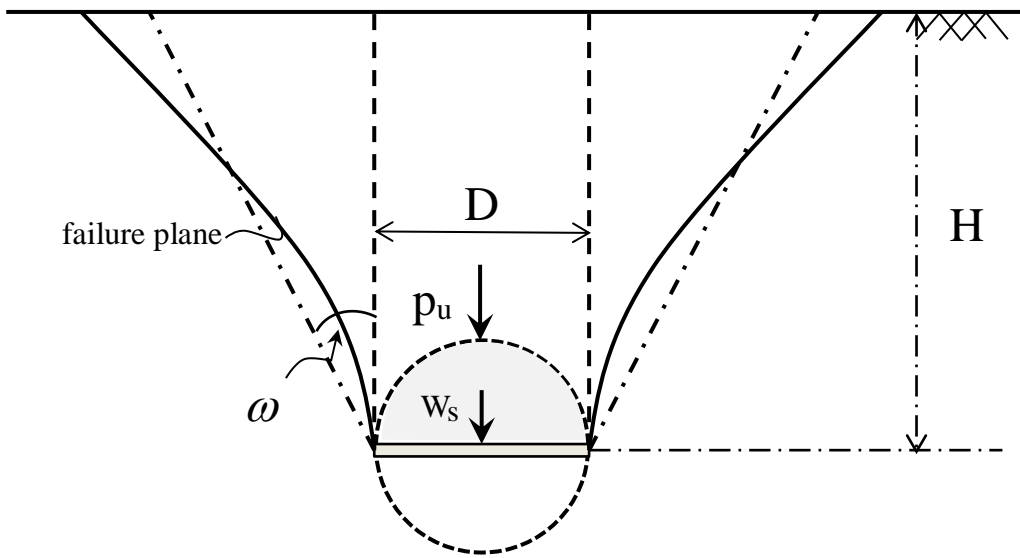
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348 Table 2 Model test database of horizontal strip anchor uplift resistance

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Fig. 1 Strip anchor geometry and simplified failure patterns

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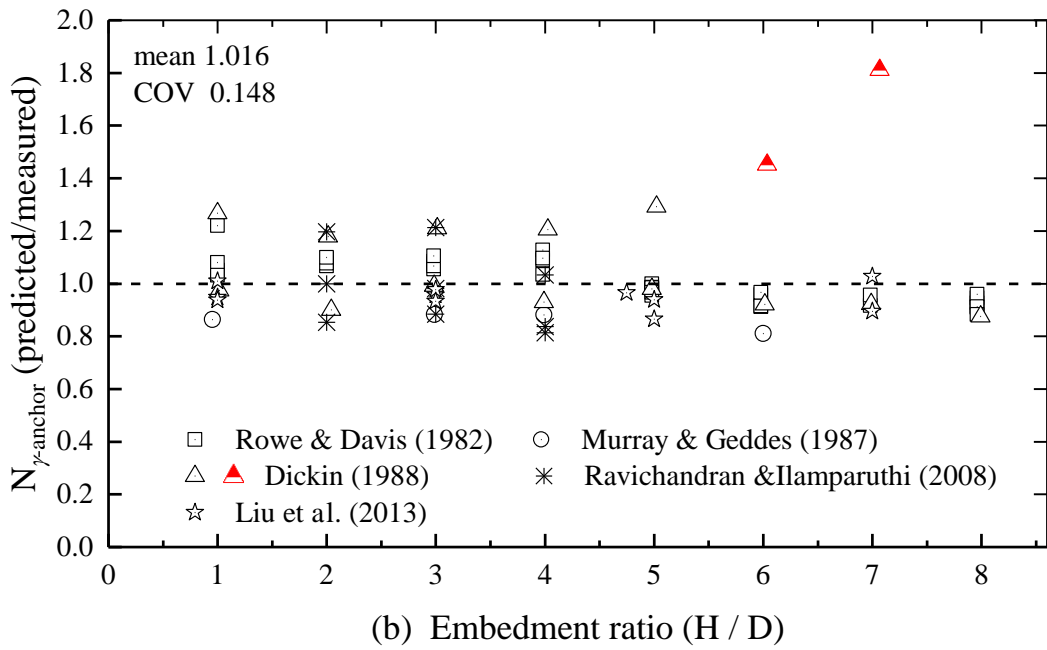
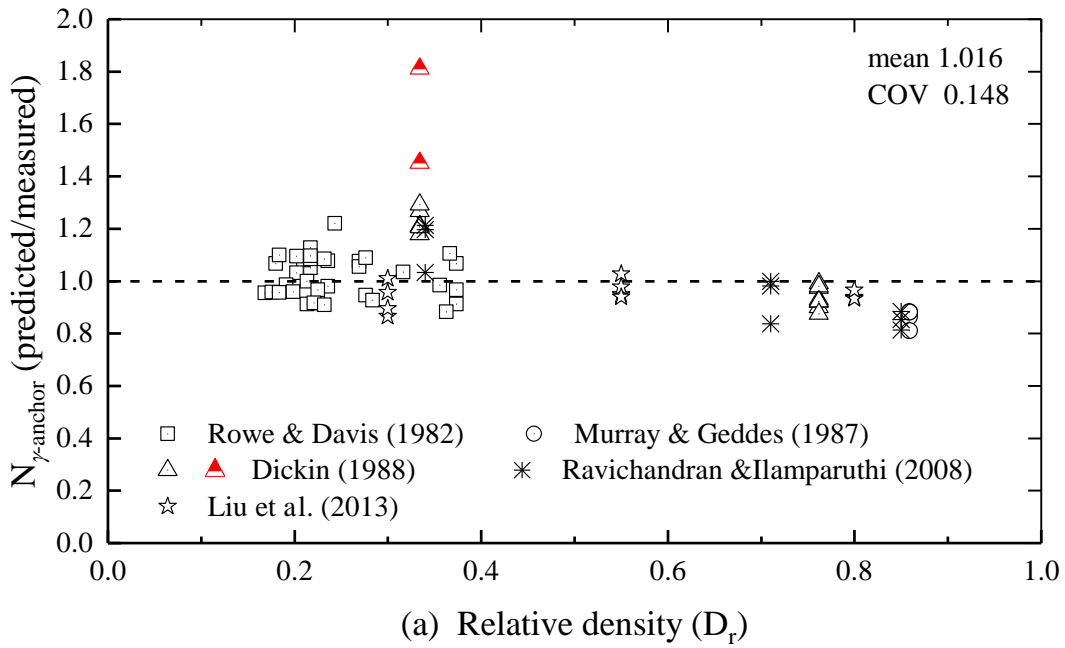
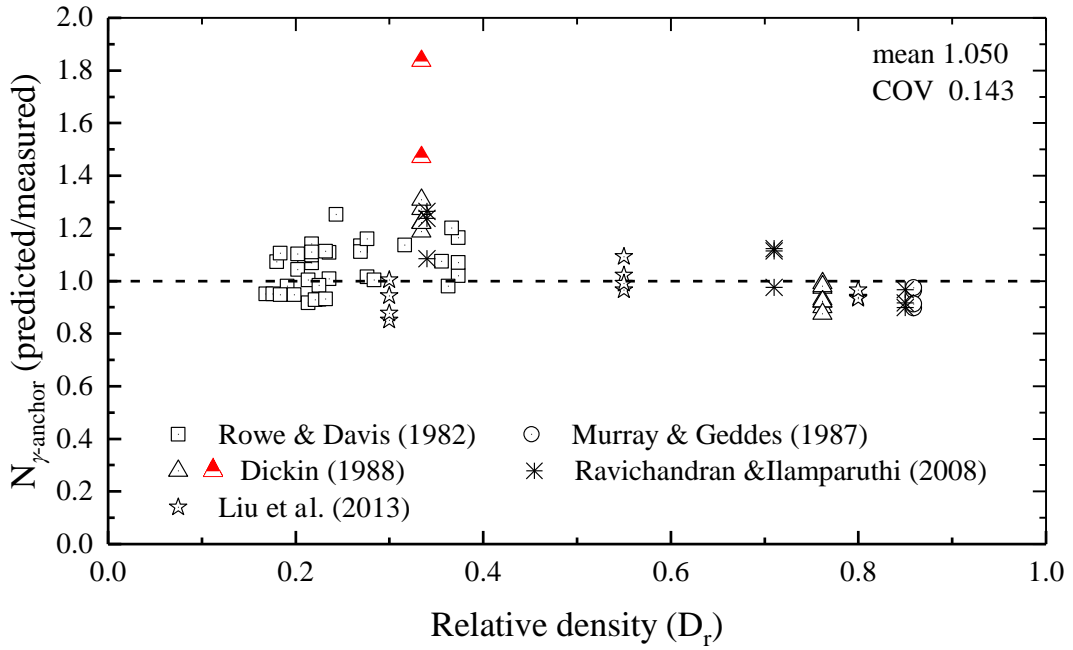


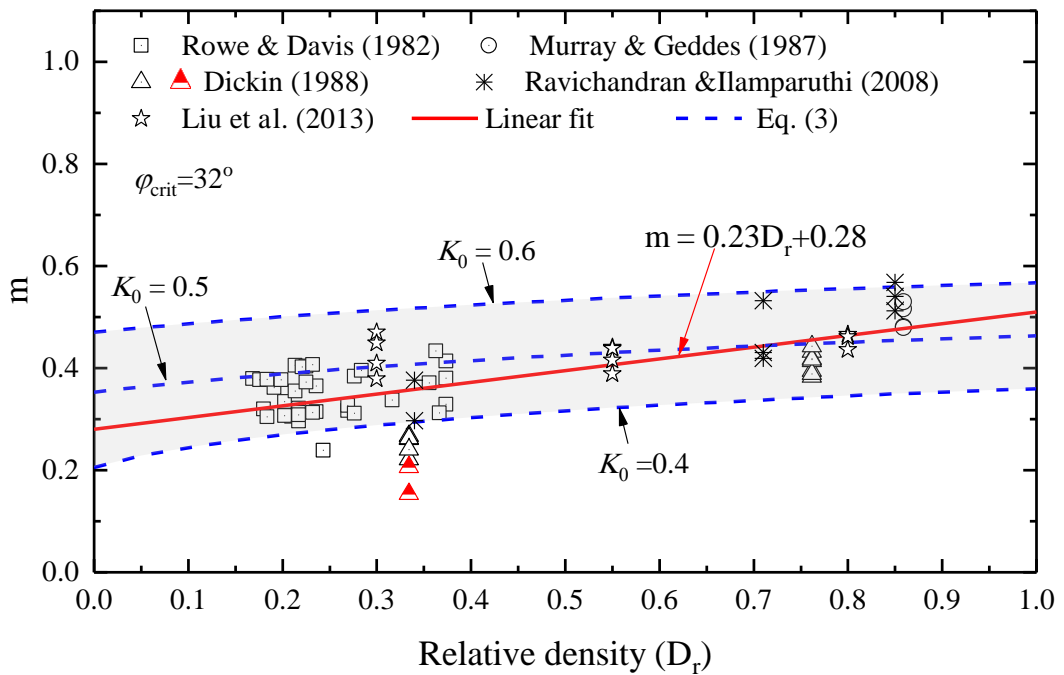
Fig. 2 Predicted (using measured ϕ summarised in Table 1) against measured anchor factors: (a) variation with relative density; (b) variation with embedment ratios



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364 Fig. 3 Predicted (approximating ϕ with ϕ_{peak} calculated by equation (5)) against
 365 measured anchor factors

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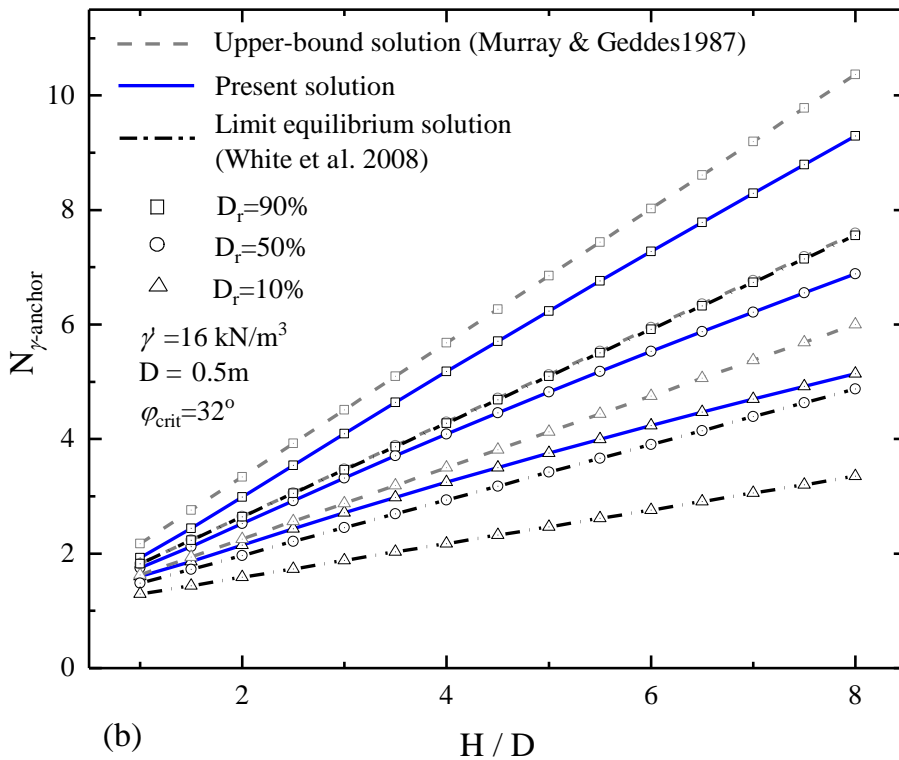
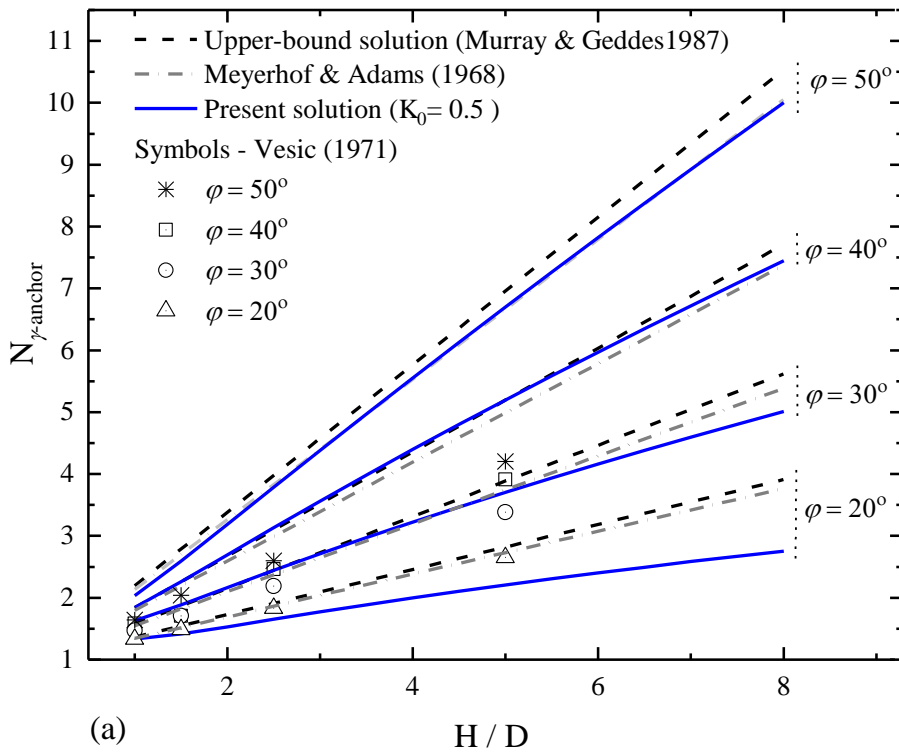


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