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Ballastless railway track transition zones: an embankment to tunnel analysis

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1 **Ballastless railway track transition zones: an embankment to tunnel**

2 **analysis**

3 Railway track transition zones are characterised by an abrupt change in
4 track support stiffness, which increases dynamic wheel loads and leads to
5 the acceleration of differential settlement and track degradation. The
6 performance of transition zones is a concern for railway Infrastructure
7 Managers due to the increased maintenance operations and costs typically
8 associated with these short track sections. To date, the majority of
9 transition zone studies are focused on the analysis of ballasted tracks,
10 however, the popularity of ballastless track has been increasing, especially
11 on high-speed lines. Therefore, this work aims to study concrete slab track
12 transition zones, with a focus on embankment/plain line-to-tunnel sections.
13 The analysis uses a hybrid methodology, combining 3D finite element
14 modelling with empirical settlement equations, in an iterative manner.
15 The finite element model is capable of simulating train-track interaction
16 and uses contact elements to simulate the potential detachment (voiding)
17 between the slab's hydraulically bound layer and frost protection layer. At
18 each iteration, firstly the track-ground stress fields are calculated using a
19 3D model, before passing them to a calibrated empirical equation capable
20 of computing settlement across the transition. Then, before starting the
21 next iteration, these settlements are used to modify the 3D model
22 geometry, thus account for the effects of the previous settlement, before
23 computing the updated stress fields. The model is used to analyse
24 settlement and stresses for a transition zone case-study, before study the
25 ability of a resilient mat to improve the performance of the track.

26

27 **Keywords:** Ballastless track; Railway transition zone; Embankment-tunnel

28 transition zone; Railway track settlement; Train-track railway dynamics

29

30 **List of abbreviations, acronyms and symbols**

31 FEM – Finite Element Method

32 LVDT – Linear Variable Differential Transformer

33 HBL – Hydraulically Bonded Layer

34 FPL – Frost Protection Layer

35 EPDM – Ethylene Propylene Diene Monomer

36 FKN – Normal penalty stiffness factor

37

38 k – stiffness

39 c – viscous damper

40 E – *Young* modulus

41 γ – dry density

42 ρ – mass density

43 ν – *Poisson's* ratio

44 α_i – parameter of the damping Rayleigh matrix that corresponds to the material i that

45 multiplies the mass' matrix of the system

- 46 β_i – parameter of the damping Rayleigh matrix that corresponds to the material i that
- 47 multiplies the global stiffness's matrix (K_i)
- 48 ξ – hysteric damping
- 49 f – frequency
- 50 M_b – mass of the bogies
- 51 M_e – mass of the wheelset
- 52 K_p – stiffness of the primary suspension
- 53 c_p – damping of the primary suspension
- 54 K_h – contact stiffness
- 55 c – cohesion
- 56 ϕ – friction angle
- 57 μ – friction coefficient
- 58 p – mean stress
- 59 q – deviatoric stress
- 60 p_{am} – mean stress induced by the passage of the vehicle
- 61 q_{am} – deviator stress induced by the passage of the vehicle
- 62 m – slope of the line of the critical state in the referential p-q
- 63 s – ordinate of the line of the critical state in the referential p - q when p is null
- 64 N – number of load cycles
- 65 ΔN – set of cycles

66 p_{ini} – initial isotropic stress

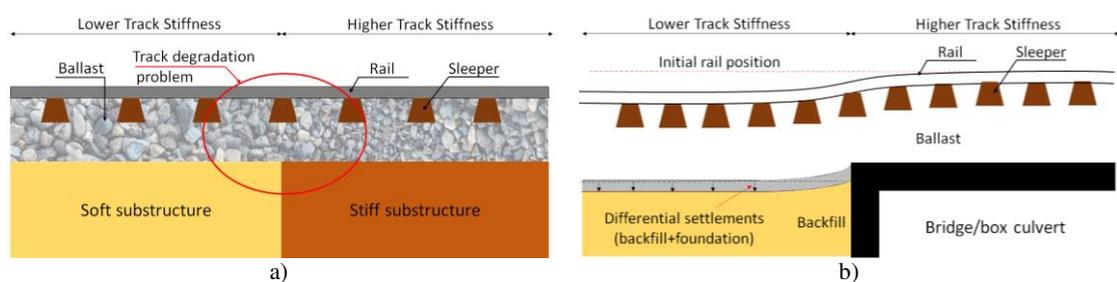
67 q_{ini} – initial soil deviator stress

68 B , a and ε_l^{po} –material constants of the empirical model

69 δ – cumulative permanent displacement

70 1 Introduction

71 Transition zones are characterized by an abrupt change in the track stiffness and
72 development of differential/asymmetric settlements leading to the growth of bumps and
73 dips (Figure 1.1). These phenomena are the source of passenger discomfort, lack of
74 circulation safety and an important cause of the increasing maintenance costs (Fröhling
75 et al., 1996, Hunt, 1997, Nicks, 2009). This subject is of great interest from several points
76 of view - structural, geotechnical and economical – and a concern for railway
77 Infrastructure Managers.



78 Figure 1.1 – a) Schematic representation of the abrupt variation in track stiffness - based on Paixão et al. (2013); b)
79 differential settlement of the backfill and its foundation (based on Paixão et al. (2013))

80 The track degradation phenomenon in a transition zone starts with the abrupt changes in
81 support stiffness, increasing the dynamic wheel load and the rate at which the track
82 geometry degrades (Dahlberg, 2004, Zhang et al., 2007, Ferreira and López-Pita, 2013,
83 Asghari et al., 2021). This change in the displacements will excite the train components
84 (namely the wheels, bogies and car body of the vehicles), which will have an impact on
85 the dynamic amplification of the vertical train-track interaction forces. This degradation
86 is the cause of the generation of noise, vibration, poor ride comfort, and higher risks of
87 derailment (Paixão et al., 2016). Indeed, these problems can lead to the appearance of
88 hanging sleepers, permanent rail deformations, ballast penetration into the subgrade,
89 cracking of concrete sleepers and/or concrete slab, and loss of gauge (Banimahd et al.,
90 2012). Indeed, there is an inter-dependency of enhanced dynamic loads and differential

91 settlement, and their relationship to track degradation (Indraratna et al., 2019, Paixão,
92 2014). This degradation process is a self-perpetuating cycle since settlements can lead to
93 the amplification of dynamic loads, which leads to an increase in the differential
94 settlement (Banimahd et al., 2012).

95 Track transitions can occur in several situations: ballasted track underlain by a natural
96 ground and the track underlain by a hard structure such as a bridge, tunnel, or culvert
97 (Hunt, 1997, Fröhling et al., 1996, AREMA, 2005, Lundqvist et al., 2006, Coelho et al.,
98 2011) or even in the case of a conventional track that changes to ballastless track to cross
99 a roadway, a waterway (canal, river, etc.) or valleys through bridges or level crossings
100 (Indraratna et al., 2019).

101 Due to the increasing popularity of ballastless tracks, the number of areas where there is
102 a transition between ballasted and ballastless tracks is also increasing. Some examples of
103 transition zones are depicted in Figure 1.2. Thus, solutions are required to mitigate the
104 impact caused by the structural discontinuities along the track (Varandas et al., 2013).
105 These aim to minimise any abrupt variations in track stiffness and ensure a smooth and
106 gradual change from a less stiff (ballasted track) to a more stiff (ballastless track) structure
107 (Indraratna et al., 2019). One of the main goals consists in choosing an efficient approach
108 and the most suitable construction method (Shahraki and Witt, 2015).



a)



b)

129 respect to long-term performance. Thus, it expected that at transition zones, ballastless
130 track can offer better long-term performance compared to ballasted track. However, the
131 deformation tolerances of ballastless track in terms of differential settlement are reduced
132 compared to the ballasted track, due to the high cost of maintenance. This means that the
133 long-term performance of ballastless tracks (especially in transition zones) demands extra
134 attention in order to avoid cracks in the concrete, and high levels of differential settlement.

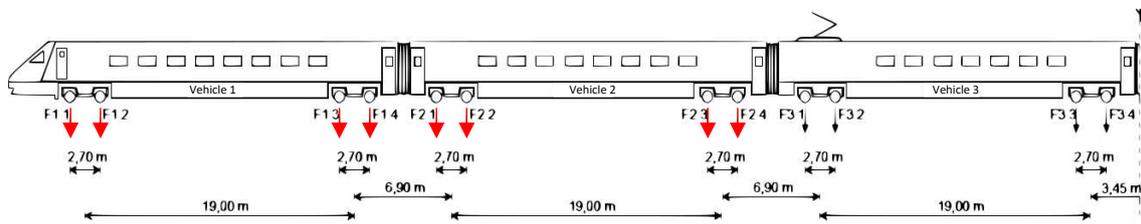
135 One work that has been performed on the subject, was the analysis of transitions across
136 ballastless tracks by Shan et al. (2013). In this work, the authors considered a moving
137 point load, thus ignoring vehicle-track dynamic interaction, which can play an important
138 role. Therefore, in this analysis, the short and long term behaviour of ballastless track at
139 a transition zone is analysed through the evaluation of the displacements and stresses,
140 accounting for the interaction forces between vehicle and track. The long-term analysis
141 is performed through an innovative hybrid methodology based on the implementation of
142 a calibrated (Ramos, 2021) empirical permanent deformation model which allows
143 simulation of the development of the permanent deformations based on the stress levels.

144 The calibration process developed previously (and respective methodology) is vital in the
145 prediction of the long-term behavior of track structures, especially for ballastless
146 transition zones. Thus, the development of numerical studies with the implementation of
147 calibrated properties can be an important tool in the scope of the study of the long-term
148 performance of ballastless transition zones. The approach uses 3D FEM (finite element
149 method) modelling developed in ANSYS, where the detachment between the
150 superstructure and substructure is simulated using contact elements. The permanent
151 deformations are processed in MATLAB before imposing on the FEM model to simulate
152 the degradation of the track.

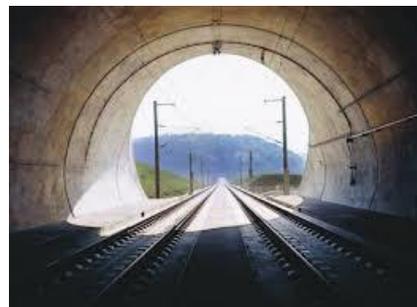
153 **2 Description of the case study**

154 This analysis aims to study the amplification dynamic effects generated by the passage of
155 the *Alfa-Pendular* train (Figure 2.1) considering a stiffness difference between two
156 structures with different supports: a ballastless track over an embankment and a
157 ballastless track in a tunnel. Figure 2.2 a) shows an overview of this situation. In this
158 problem, the tunnel presents a much higher stiffness when compared to the ballastless
159 track supported by an embankment. The general effects of this stiffness' difference are
160 depicted in Figure 2.2 b) (schematic representation).

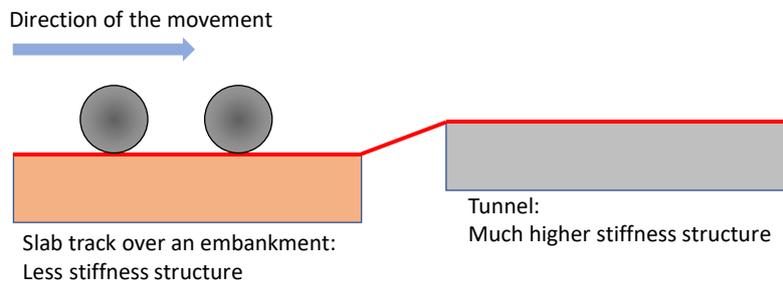
161



162 Figure 2.1 – Geometry of the *Alfa Pendular* train (showing the first four cars only)



a)



b)

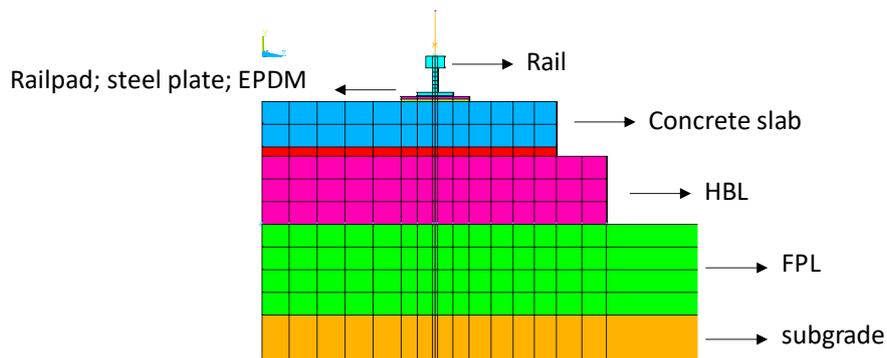
163

Figure 2.2 - Example of the transition: slab track in a tunnel (a) and its effect due to the stiffness's difference

164 **2.1 Finite elements model**

165 **2.1.1 Material properties**

166 The ballastless track is composed of rails, railpads, concrete slab, HBL (hydraulically
167 bonded layer) and a substructure that includes the FPL (frost protection layer) and
168 subgrade. The section placed on the embankment is depicted in Figure 2.3.



169

170 Figure 2.3 - Materials that composed the ballastless track

171 The adopted material parameters are based on a previous calibration study (Ramos et al.,
172 2021) and are depicted in Table 2.1. This calibration is based on experimental results
173 obtained in a physical model of a ballastless track 2.2 m long, subject to more than 3
174 million load cycles. The adjustment of the materials' properties (in terms of *Young*
175 modulus and *Poisson's* ratio) of the ballast, FPL, subgrade and railpad was performed
176 through the comparison between the numerical and experimental displacements from the
177 LVDTs placed on the track. The obtained calibrated properties are within with the values
178 described in the bibliography.

179

Table 2.1 - Ballastless track properties

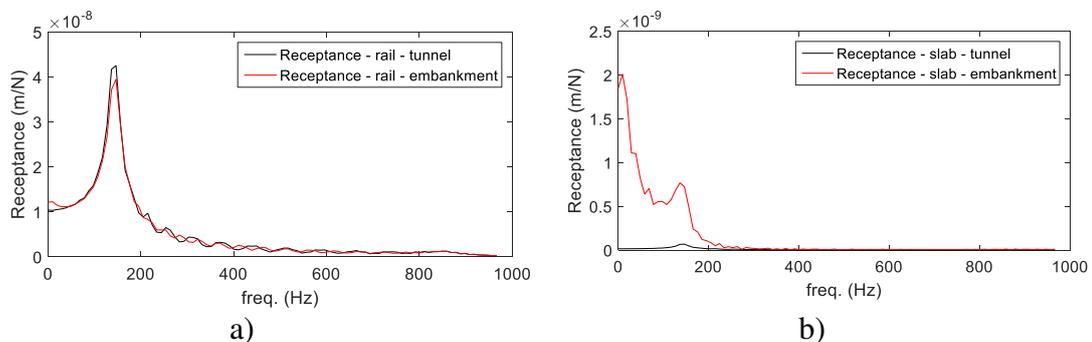
Material	Properties
	$E=200 \times 10^9 \text{ Pa}$
Rail (BS113A)	$\gamma=7850 \text{ kg/m}^3$
	$\nu=0.30$

	$k=1800 \times 10^6 \text{ N/m}$
Railpad	$\gamma=1000 \text{ kg/m}^3$ $\nu=0.30$ $E=k \times \text{thickness/area}$
	$E=210 \times 10^9 \text{ Pa}$
Steel Plate	$\gamma=7850 \text{ kg/m}^3$ $\nu=0.30$
	$k=40 \times 10^6 \text{ N/m}$
EPDM – ethylene propylene diene monomer	$\gamma=1200 \text{ kg/m}^3$ $\nu=0.00$ $E=k \times \text{thickness/area}$
	$E=25 \times 10^9 \text{ Pa}$
Cement grout mass	$\gamma=2000 \text{ kg/m}^3$ $\nu=0.25$
	$E=40 \times 10^9 \text{ Pa}$
Concrete Slab	$\gamma=2500 \text{ kg/m}^3$ $\nu=0.25$
	$E=15 \times 10^9 \text{ Pa}$
HBL	$\gamma=2400 \text{ kg/m}^3$ $\nu=0.25$
	$E=3.3 \times EV_2=3.3 \times 135 \times 10^6 \text{ Pa}$
FPL	$\gamma=2141 \text{ kg/m}^3$ $\nu=0.35$
	$E=3.3 \times EV_2=3.3 \times 65 \times 10^6 \text{ Pa}$
Subgrade	$\gamma=2091 \text{ kg/m}^3$ $\nu=0.35$

$E = \text{Young modulus}; \gamma = \text{density}; \nu = \text{Poisson's ratio}; k = \text{stiffness}$

180 The damping values were determined based on the *Rayleigh* damping matrix. The α_i
181 (parameter of the Rayleigh damping matrix that corresponds to the material i that
182 multiplies the mass' matrix of the system) and β_i (parameter of the Rayleigh damping
183 matrix that corresponds to the material i that multiplies the global stiffness's matrix (K_i))

184 values were estimated based on numerical receptance curves obtained from the excitation
185 of the rail in two sections of the track with different characteristics: over the embankment
186 and over the tunnel. A Dirac impulse was applied on the numerical model of the track and
187 for all materials, $\xi_1 = \xi_2$ was assumed. In the case of the concrete materials and
188 geomaterials, a hysteretic damping of $\xi = 0.01$ and $\xi = 0.03$ was adopted,
189 respectively. Regarding the railpads (EPDM) since these elements are modelled by solid
190 finite elements and not by spring-damper elements, hysteretic damping was adopted
191 (equal to $\xi = 0.05$), instead of the definition of the stiffness (k) and viscous damper (c). The
192 obtained receptance curves, which allow the identification of the resonances of the
193 structure by measuring the transfer from force on rail to associated displacement, are
194 depicted in Figure 2.4. This figure shows that the receptance curve of the rail in the
195 embankment and the tunnel are similar since the response of the rail is highly influenced
196 by the properties of the railpads, which are the same in both analyses. The main difference
197 occurs at the concrete slab level (Figure 2.4 b). The results show the values of the
198 receptance peaks are lower in the ballastless track over the tunnel as expected due to the
199 lower stiffness of the structure. Thus, according to these results, a range of frequencies
200 between 5 Hz (f_1) and 200 Hz (f_2) was adopted. This range is considered enough to
201 correctly represent the response of the track. From these assumptions, the parameters α
202 and β of each material are presented in Table 2.2.



203

Figure 2.4 – Receptance curves: a) of the rail (top); b) of the concrete slab (top)

Table 2.2 – Damping Rayleigh parameters

Material	ξ	α (s ⁻¹)	β (s)
Railpad - EPDM	0.05	5.712	0.00014
Concrete slab and HBL	0.01	1.142	2.894E-05
Substructure (FPL and subgrade)	0.03	3.427	8.681E-05

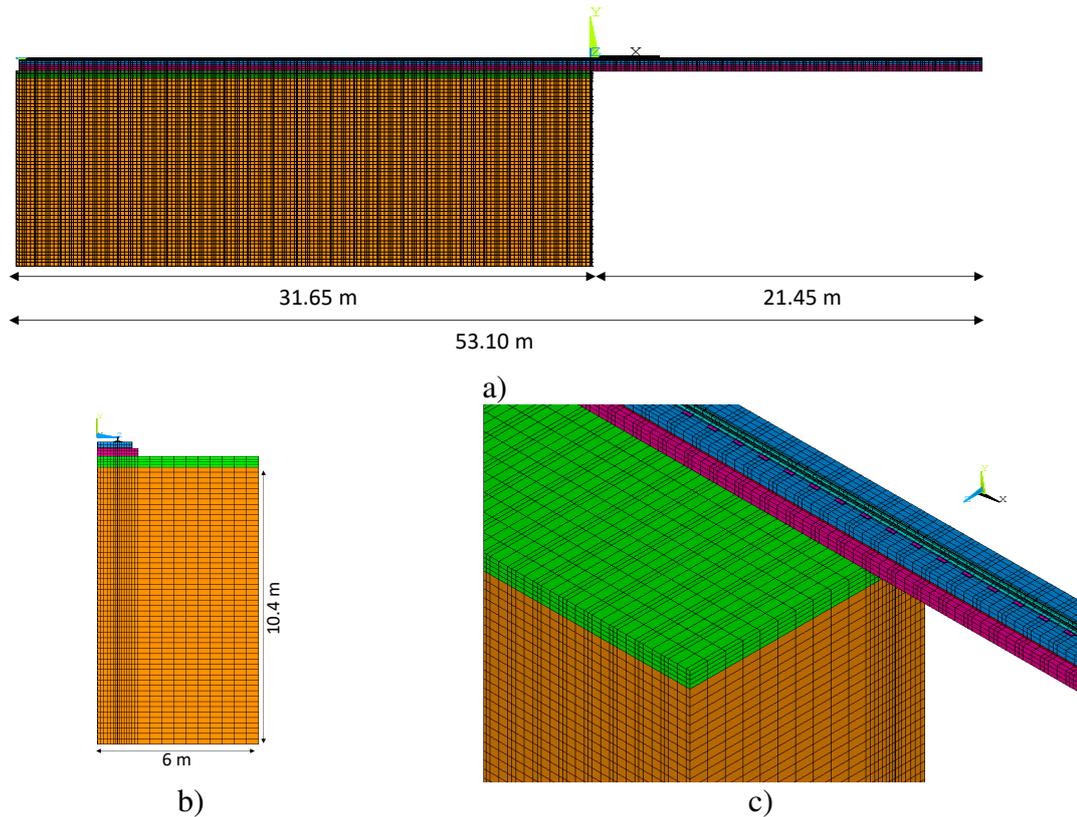
ξ =hysteretic damping; α = parameter of the damping Rayleigh matrix that multiplies the mass' matrix of the system;
 β =parameter of the damping Rayleigh matrix that multiplies the global stiffness's matrix

205

206 *2.1.2 Geometry and characteristics*

207 The 3D model is depicted in Figure 2.5 and presents a total length of 53.1 m (the
 208 embankment with 31.65 m and the tunnel with 21.45 m). The analysis was performed
 209 considering the passage of an *Alfa Pendular* train running at a speed equal to 220 km/h.

210 Regarding the boundaries, viscous dampers (Lysmer and Kuhlemeyer, 1969) were used
 211 to attenuate the waves that impinge the vertical boundaries of the FPL and subgrade
 212 layers. This approach has been used in the scope of the 3D modelling and transition zones
 213 with good results (Banimahd et al., 2012, Connolly et al., 2013, Woodward et al., 2015,
 214 Varandas et al., 2016, Shahraki and Witt, 2015, Alves Ribeiro et al., 2018). The wave
 215 propagation is due to the mobile character of the loading that simulates the passage of the
 216 train. Thus, at the bottom of the soil layer (horizontal boundary defined by the plane *xz*
 217 *with* $y=-11.538$ m), fixed supports were implemented. Regarding the part of the slab track
 218 in the tunnel, fixed supports in the vertical direction were also used at the bottom of the
 219 HBL layer. Since this is a large domain, symmetric conditions were adopted to reduce the
 220 computational effort. The support conditions of the model depicted in Figure 2.5 are
 221 explained and described in Table 2.3.



222 Figure 2.5 - Dimensions of the transition model: a) longitudinal section; b) cross-section; c) detail of the transition

223 Table 2.3 - Support conditions

<u>Bottom of the model (plane xz; $y=-11.538$ m) – embankment</u>	Fixed supports (all)
<u>Bottom of the model (plane xz; $y=-0.738$) - tunnel</u>	Fixed supports in the y -direction (vertical direction).
<u>Plane yx ($z=0$) - plane of symmetry</u>	Fixed supports in the z -direction (transversal direction)
<u>Plane yz ($x=0$m) – located in the transition</u>	Fixed supports in the x -direction (longitudinal direction) applied on FPL and subgrade
<u>Plane yz ($x=-31.65$m)</u>	Viscous dampers (all directions) applied on the FPL and subgrade
<u>Plan yx ($z=6.0$m)</u>	Viscous dampers (all directions) applied on the FPL and subgrade

224

225 The materials were modelled with solid elements (8 nodes). Contact elements were used

226 to simulate the interaction between the vehicle and the track (through the implementation

227 of *Hertzian* theory) and also to simulate the interaction between the support layer (HBL
228 - superstructure) and the FPL, which is part of the substructure. These contact elements
229 were used to simulate the “detachment” between both elements (HBL and FPL) during
230 and after the passage of the train. This attempts to replicate the real behaviour of the
231 railway structures in transition zones, however, the implementation is not straightforward.
232 Firstly, it is necessary to include the gravity effect on the contact elements. Otherwise,
233 there is an uplift of the rail and concrete slab in sections located before the transition zone,
234 which does not correspond to the real behaviour of the structure. Furthermore, it is
235 important to highlight that the *Normal penalty stiffness factor* (FKN) must not be so large
236 otherwise it can lead to numerical instability. Indeed, a simulation with a higher value
237 was considered, but the solution did not converge. In this case, a *Normal penalty stiffness*
238 *factor* equal to 1×10^1 was used to simulate the interaction between the FPL and HBL.
239 Previous studies (Alves Ribeiro, 2012, Paixão, 2014) used a similar value in the
240 simulation contact problems of the ballasted track (sleeper-ballast contact). Alternatively,
241 to simulate the train-track interaction, a *Normal penalty stiffness factor* equal to 1×10^4
242 was adopted.

243 The modelling considers the symmetric conditions, and the mesh was optimized in order
244 to reduce the time of calculus. The dynamic analysis was performed using Newmark-
245 Raphson method with a time step of 0.002 s.

246 **3 Train-track dynamics**

247 **3.1 Modelling of the Alfa Pendular train**

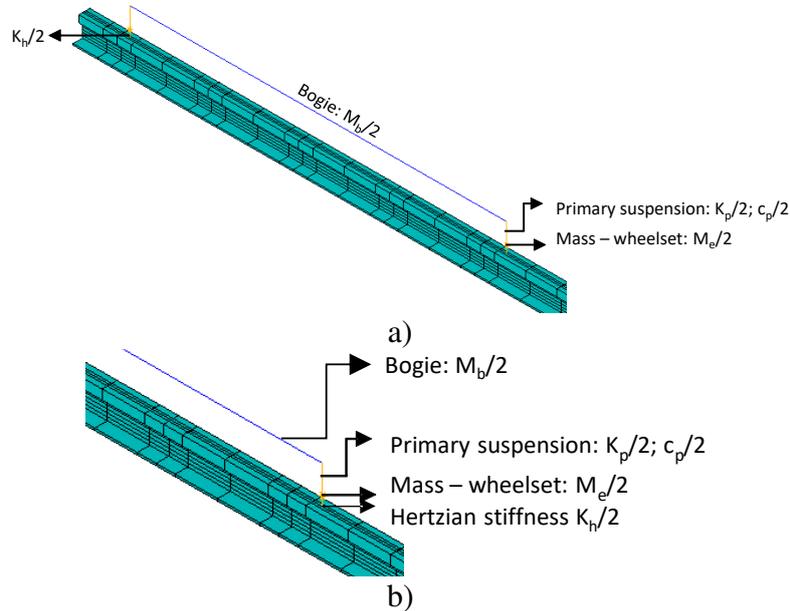
248 Bogies, primary suspension, mass and axle of the wheelset and *Hertzian* stiffness were
249 used to simulate the interaction between the vehicle and the track. The bogies were
250 modelled with very stiff beams with distributed mass (M_b) and the primary suspensions

251 were modelled through a set of spring-damper (K_p and c_p) elements. The wheelset was
252 modelled as a concentrated mass (M_e) and a spring with a stiffness defined using *Hertzian*
253 theory (Johnson, 1985). The simplified modelling of the vehicle, despite some apparent
254 limitation (it is expected that the pitch motion of the vehicle can change the vertical forces
255 of the wheel-rail contact), in a dynamic analysis, where the excitation frequencies are
256 framed in the mean range of frequencies, is normally enough (Nielsen et al., 2003).

257 The train was modelled with finite elements. The modelling is depicted in Figure 3.1 and
258 the properties are presented in Table 3.1. Since only half of the track is modelled, the
259 properties were divided by two. It is important to refer that the properties of the *Alfa*
260 *Pendular* train are not the same along the train (namely the axle load) but, the differences
261 are very small, so a constant value for each property was adopted to simplify the analysis.

262 Regarding the loading, a load of 67.5 kN was adopted to simulate the wheel load (half an
263 axle load). Since the interaction between the train and the track was considered and taking
264 into account that this train has a total length of 158.90 m, the simulation of the complete
265 passage of the train would imply the adoption of a model four times longer. In order to
266 minimise the run time, the simulation of the passage of the bogies was performed
267 considering the following process: at the beginning of the analysis, all bogies are
268 stationary, weightless and located at the same position, near one end of the model. In the
269 subsequent time steps, axle loads, and motion attributes are assigned to each bogie, one
270 by one, according to the train speed and axle configuration. As each bogie reaches the
271 other end of the model, they are stopped, one by one, and the respective axle loads are
272 removed. This means that to each set of axles of a bogie, an evolution law of load over
273 time is applied as well as an evolution law of movement (speed) over time. Thus, it is
274 possible to simulate the passage of the different bogies of the train over a more reduced

275 model. The increase in the calculation time is only a function of the time that the train
 276 takes to travel the model.



277 Figure 3.1 - Finite elements model (rail and the simplified model of the vehicle with the bogie, primary suspension,
 278 and mass of the wheel set): a) general view; b) detail of the modelling of the vehicle

279 Table 3.1 - Characteristics of the *Alfa Pendular* train adopted in this study

Component		Values
Bogie: $M_b/2$		4932/(2*2.7) [kg]
Primary suspension:	$K_p/2$	Primary suspension:
	$c_p/2$	36E3/2
Wheelset Mass: $M_e/2$		1800 (/2) [kg]
K_h		2.4×10^9 (/2) [N/m]

280

281 3.1.1 Passage of the first 4 bogies

282 In order to simulate the degradation process of the ballastless track in the transition zone,
 283 the effects of the passage of the first 4 bogies of the *Alfa Pendular* were analysed. This
 284 was chosen because from the 4th bogie, there is a repetition of the geometry of the train
 285 (Figure 2.1). The passage of the 4 bogies allows for the simulation of the effects of

286 dynamic vehicle loads on the stress path and stress levels, which are important variables
287 in the evolution of the permanent deformation.

288 In Figure 3.2, the load and speed functions (respectively) related to the passage of the first
289 four bogies considering a train's speed of 220 km/h are presented. Analysing Figure 3.2,
290 each bogie was loaded and animated with movement during a certain period, which
291 corresponds to the time it takes to travel the entire model. For example, bogie 1 (black
292 curve) loads the track and moves from 0 s to 0.69 s and bogie 2 (red curve) from 0.31 to
293 1 s. For example, at 0.5 s, 3 bogies are loading the track. The fourth bogie (blue curve)
294 starts at 0.74 s.

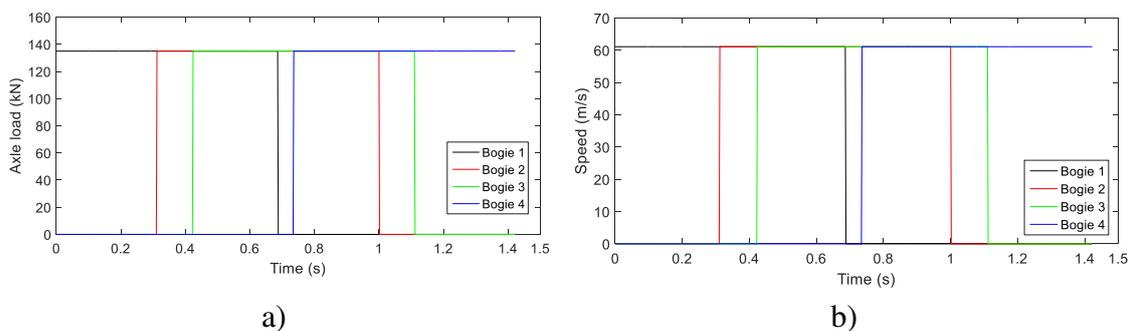
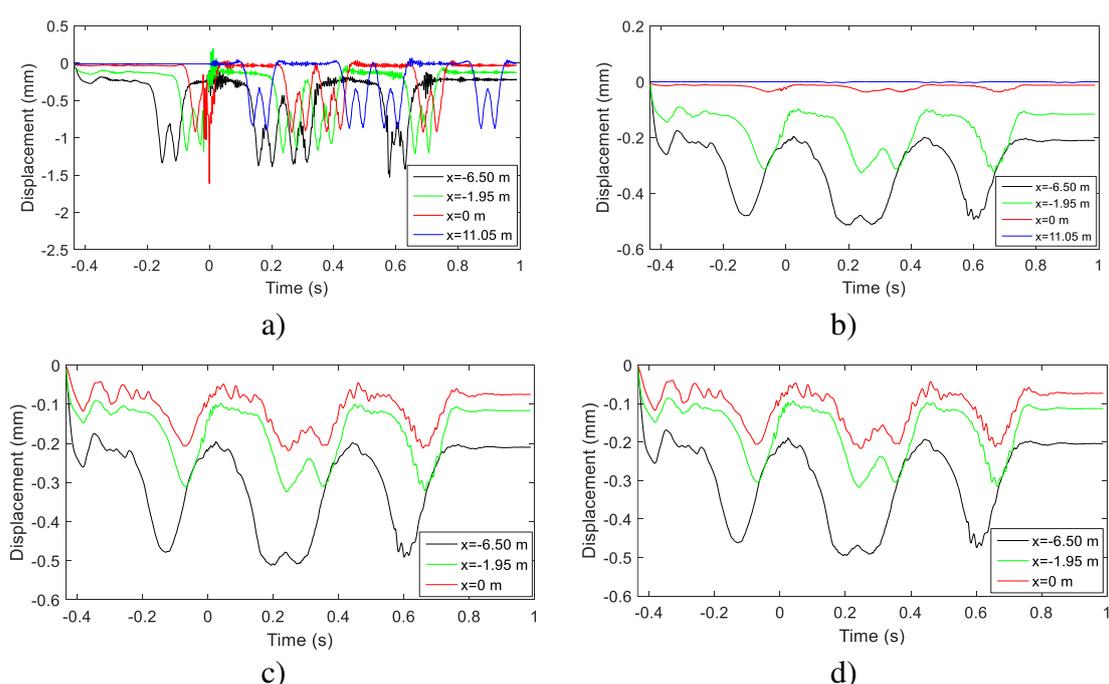


Figure 3.2 – a) load function; b) speed function

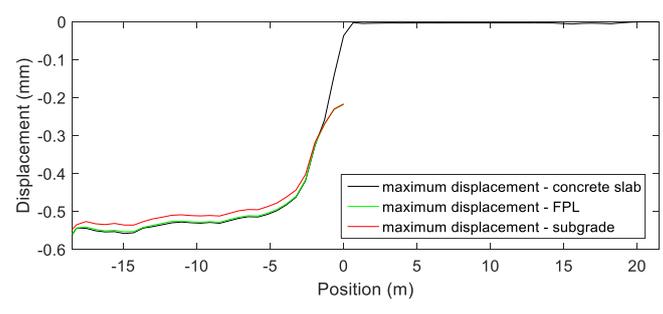
296 Figure 3.3, Figure 3.4 and Figure 3.5 present the results regarding the displacements of
297 the top nodes of the rail, concrete slab, FPL and subgrade and also the strains and stresses
298 obtained on the top nodes of the subgrade. These results are obtained in the alignment
299 under the loading area. The reference position corresponds to the transition zone at $x=0$
300 m. The instant $t=0$ s corresponds to the time the first bogie takes to reach the transition
301 zone at $x=0$ m.

302 The results show that the maximum displacements/stresses/strains occur at the beginning
303 of the loading during its application. However, this occurs far from the transition and
304 these results were omitted to simplify the analysis of the performance of the ballastless
305 track in this transition zone.

306 Analysing Figure 3.3, Figure 3.4 and Figure 3.5, the displacements, stresses and strains
 307 are stabilized until $x=-5$ m and they decrease as the train approaches the transition from
 308 the embankment to the tunnel. Regarding the concrete slab, FPL, and subgrade, the
 309 displacements in sections far from the transition are stabilised and are close to 0.55 mm.
 310 It is important to highlight that, in the case of rail displacements (Figure 3.3 a), it is
 311 possible to identify the passage of the axles of each bogie. However, the displacements
 312 of the concrete slab, FPL and subgrade (Figure 3.3 b, c and d) are not sensitive to the
 313 axles, but to the bogies. Regarding the stresses and strains at the top of the subgrade, the
 314 results show that, in sections far from the transition, the vertical stresses are close to 30
 315 kPa and the vertical strains are close to 10×10^{-5} .

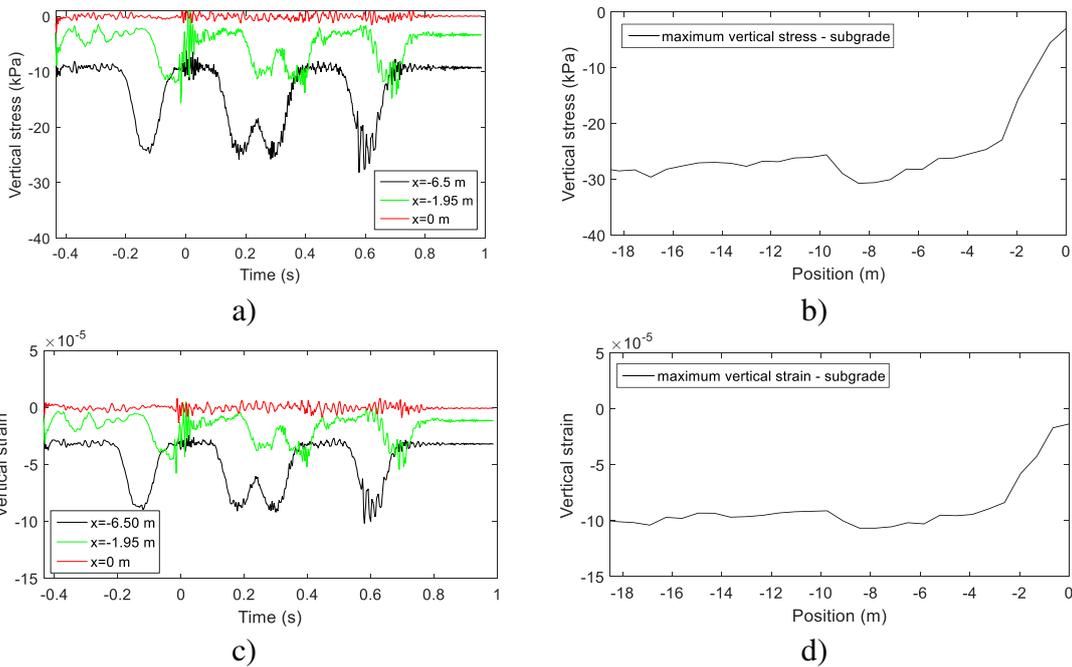


316 Figure 3.3 - Displacements of the top of the nodes of the: a) rails; b) concrete slab; c) FPL; d) subgrade



317

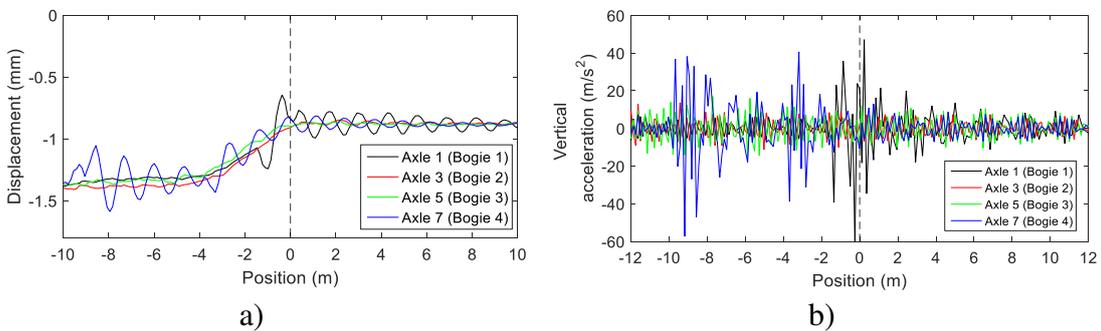
Figure 3.4 - Maximum displacement of the top nodes of the concrete slab, FPL and subgrade along the track

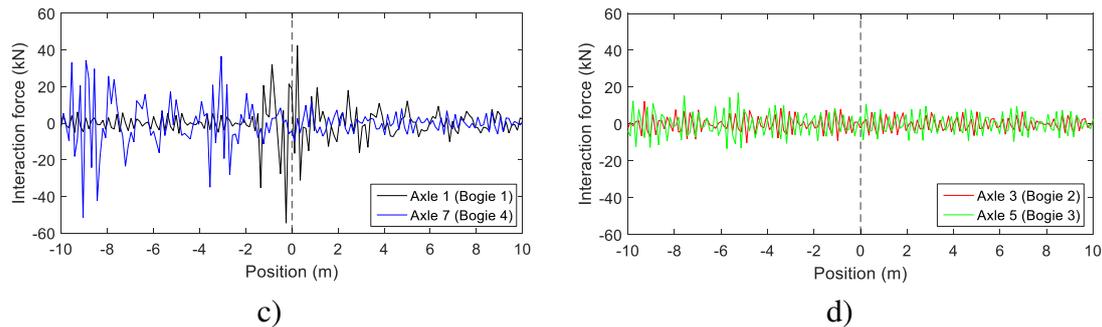


319 Figure 3.5 - Strain and stresses of the top nodes of the subgrade: a) subgrade's stress; b) maximum subgrade stress
 320 along the track; c) subgrade's strains; d) maximum subgrade strain along the track

321 3.1.1.1 Displacement of the wheel and interaction force vehicle-rail

322 The displacements, acceleration and interaction forces of axles of each bogie were
 323 determined and are depicted in Figure 3.6. The axles depicted in Figure 3.7 are
 324 representing each one of the bogies. The axles that belong to the same bogie present very
 325 similar results.





326 Figure 3.6 - a) Vertical dynamic displacement of the axles; b) Variation of the vertical acceleration; c) Wheel-rail
 327 interaction forces (axle 1 and axle 7); d) Wheel-rail interaction forces (axle 3 and axle 5)

328 Analysing Figure 3.6, the dynamic displacement experienced by the wheel of the vehicle
 329 in the passage of the transition zone constitutes a measure of the variation of the stiffness
 330 of the track. As seen in Figure 3.6, the vertical displacement varies between 1.4 mm in
 331 the flexible zone and 0.85 mm in the stiffer zone (tunnel). The decrease of the
 332 displacements of all the axles corresponds to the passage of the transition zone. The
 333 vertical dashed line represented in Figure 3.6 identifies the transition between the
 334 embankment and the tunnel (x=0m).

335 The maximum acceleration of the axle of the vehicle is another control parameter in the
 336 dynamic response of the vehicle, which can also be adopted to verify the performance of
 337 the transition zones. In Figure 3.6 b), the variation of the vertical acceleration of the first,
 338 third, fifth, and seventh axles of the vehicle are represented. Some of the obtained values
 339 (axle 1 and axle 7) are above the alert limit, which is equal to 30 m/s^2 , according to the
 340 limits established for the high-speed line Madrid-Seville (López-Pita et al., 2006). Axle
 341 3 and axle 4 are far below the alert limit. The results show that there is an increment of
 342 acceleration's values of axle 1 during the passage of the transition zone. In the case of
 343 axle 7, this increment occurs slightly before the passage of the transition zone.

344 Figure 3.6 c) and d) presents the wheel-rail interaction force. Thus, from the vertical
 345 acceleration of the axle of the vehicle, it is possible to estimate the variation of the

346 dynamic component of the interaction force wheel-rail, as depicted in Figure 3.6 c) and
347 d). The dynamic component of the interaction force wheel-rail can be estimated by
348 multiplying the vertical acceleration of the axle by the mass of the axle. The results
349 regarding the first and also the seventh axles show an increment of the force during the
350 transition zone, followed by a reduction of the force in the stiffer zone of the track.

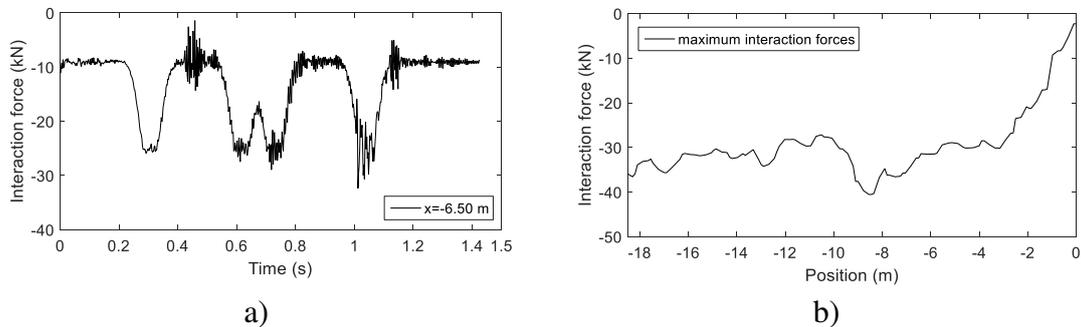
351 3.1.1.2 Interaction forces HBL-FPL

352 The consideration of contact between the bottom of the HBL and the top of the FPL in
353 the model allows for analysing the transmitted forces to the FPL and the identification of
354 the “detachment” phenomenon, which is similar to the phenomenon of hanging sleepers.
355 The consideration of the interaction between HBL-FPL in a model of finite elements
356 implies the use of gravity at the beginning of the calculation before the passage of the
357 vehicle. Furthermore, to simulate the contact between the HBL and FPL, a friction
358 coefficient of 0.62 was adopted. This value was determined based on the following
359 expression and considering a friction angle of the FPL equal to 48°:

$$\mu = \tan\left(\frac{2}{3}\phi\right) \quad (3.1)$$

360 In Figure 3.7, the interaction forces between HBL-FPL (in the alignment under the rail)
361 are represented. The nature of this contact is different from the wheel-rail contact and the
362 results should be analysed in terms of contact stresses. However, the forces were extracted
363 along the nodes (nodal forces) under the selected alignment. Thus, the results are
364 presented in terms of forces and not stresses. The contact stresses can be obtained by
365 multiplying the interaction forces by the area of influence. To simplify the extraction of
366 the results, the analysis and the data processing, the results related to the interaction forces
367 between HBL and FPL are presented by the interaction forces and both by stresses. The

368 results show the transition in a section far from the transition zone ($x=-6.50$ m) and also
369 the variation of the maximum interaction forces along the track.



370 Figure 3.7 – a) Interaction force HBL-FPL at $x=-6.50$ m; b) Maximum Interaction force HBL-FPL along the track

371 Analysing Figure 3.7, the interaction force varies over time between 0 kN and -40 kN
372 (maximum value). The value of the interaction force is more or less stabilised in sections
373 far from the transition zone (there are some oscillations, but they are not significant) and
374 start to decrease as the train approaches the transition. Unfortunately, since the FPL is not
375 modelled in the tunnel, it is not possible to analyse the interaction force along the
376 transition force.

377 3.1.1.3 Track accelerations

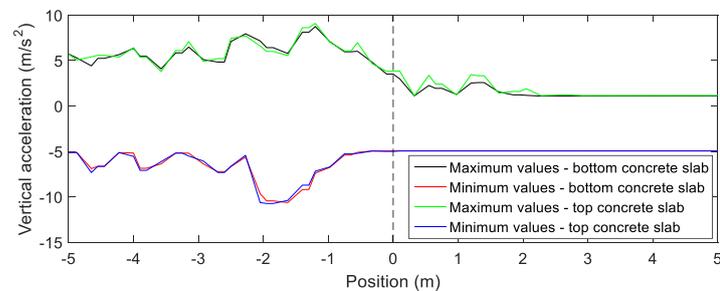
378 In this section, the vertical accelerations of the concrete slab and HBL are presented. In
379 Figure 3.8 a), the maximum and minimum values of the vertical acceleration in the top
380 and bottom nodes of the concrete slab (under the loading alignment) along the transition
381 zone are compared. Figure 3.8 b) presents the maximum and minimum values of the
382 vertical acceleration in the top and bottom nodes of the HBL along the transition zone
383 (also under the loading alignment).

384 The results show that the maximum values of vertical acceleration at the top nodes of the
385 concrete slab are almost equal to the maximum values of the vertical acceleration at the
386 bottom of the concrete slab. The same conclusions are obtained regarding the minimum
387 vertical acceleration results. The results also show a decrease in the vertical acceleration

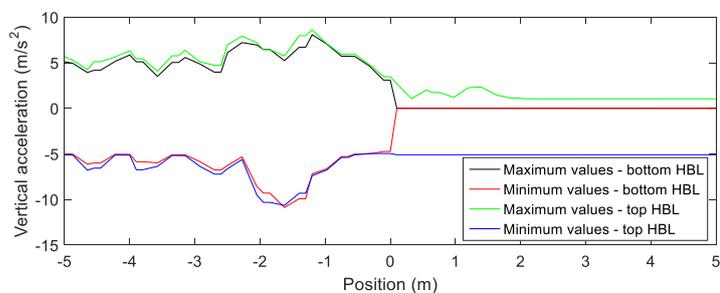
388 on the transition. Regarding the HBL, the results show that the maximum values of the
389 vertical accelerations at the top nodes of HBL are almost equal to the maximum values
390 of the vertical accelerations at the bottom of this element. The same conclusions are
391 obtained regarding the minimum vertical accelerations.

392 At the transition, there is a decrease in the vertical accelerations. The magnitude of the
393 vertical accelerations on the concrete slab is similar to the vertical accelerations of the
394 ballastless track presented in the work developed by Shan et al. (2013), where two
395 different transition zones between a bridge and an ordinary subgrade are investigated
396 using the finite element method. In this work, the vertical accelerations of the concrete
397 slab vary between 3.5 m/s^2 and 6 m/s^2 .

398 Furthermore, the vertical accelerations of the concrete slab along the transition zone are
399 higher in the flexible zone when compared to the stiffer zone, and there is a slight increase
400 immediately before the transition zone in the flexible zone in the concrete slab and HBL.



a)



b)

401 Figure 3.8 - Maximum and minimum values of the vertical acceleration: a) of the concrete slab along the transition

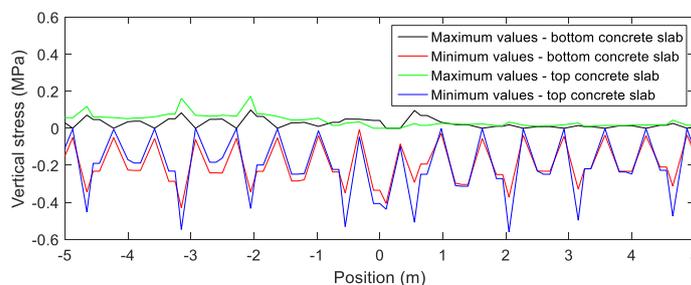
402 zone; b) of the HBL along the transition zone

403 3.1.1.4 Track stresses

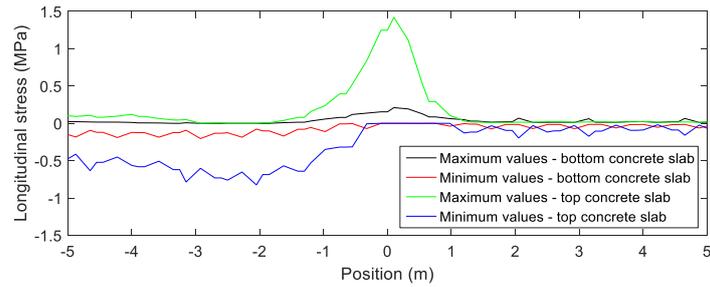
404 After the analysis of the track accelerations, the stress results are presented and analysed
405 in more detail. In Figure 3.9, the maximum and minimum values of the vertical and
406 longitudinal stresses (tensile and compression) obtained along the transition zone at the
407 top and bottom nodes of the concrete slab and HBL are presented. The points on the graph
408 correspond to the nodal stresses of each finite element. These results are obtained for the
409 nodes under the rail and the loading.

410 Regarding the concrete slab, it is possible to identify a peak in the transition zone in terms
411 of longitudinal stresses (maximum values at the top of the layer). Analysing the vertical
412 stresses, there is no clear peak in the transition zone, as in the longitudinal stresses. In the
413 HBL, the analysis of results shows that in the transition zone, there is an increase of the
414 vertical stresses (compression). The conclusions are similar regarding the longitudinal
415 stresses. These layers (concrete slab and HBL) connect the embankment and the tunnel,
416 ensuring the continuity of the track. Therefore, they experience a complex stress field
417 aggravated due to the variation of the stiffness of the track in the transition. Furthermore,
418 the results also show that, in the stiffer zone, the vertical stresses on the top nodes of HBL
419 are slightly higher when compared to the flexible zone.

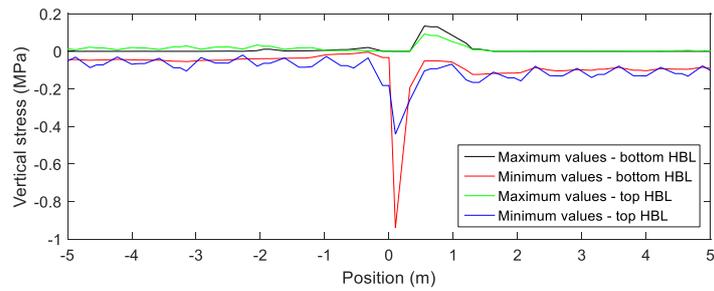
420



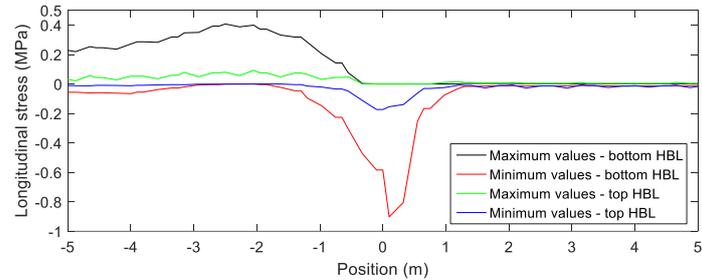
a)



b)



c)



d)

421 Figure 3.9 – a) Vertical stresses in the top and bottom nodes of the concrete slab along the transition zone; b)
 422 longitudinal stresses in the top and bottom nodes of the concrete slab along the transition zone; c) vertical stresses in
 423 the top and bottom nodes of the HBL along the transition zone; d) longitudinal stresses in the top and bottom nodes of
 424 the HBL along the transition zone

425 3.2 Soil settlement simulation

426 The prediction of the settlement's evolution of the track implies knowledge about the
 427 long-term behaviour of the materials and the selection of models that can accurately
 428 simulate the dynamic behaviour of track. The incorporation of these results and
 429 deformation laws in complete models of the track is still a little explored field (Guo and
 430 Zhai, 2018) but some studies have been developed in this scope, as described in the work
 431 developed by Hunt (1996), Fröhling (1997), Abdelkrim et al. (2003), Ferreira (2010),
 432 Wang and Markine (2018) and more recently in Grossoni et al. (2021). The presented

433 methodology to simulate the permanent deformation of the track is extremely versatile
434 and can be adopted independently of the type of model or laws of permanent deformation.
435 In this study, the evolution of the permanent deformation is only considered in the FPL
436 and subgrade layers, applying the model developed by Chen et al. (2014). The parameters
437 (material constants) were already calibrated and presented in the work developed by
438 Ramos et al. (2021). The calibration was performed based on the comparison between the
439 experimental and numerical cumulative permanent displacements. The calibrated
440 empirical permanent deformation model was then applied to the extended ballastless track
441 in the transition zone, in order to simulate its degradation process. The experimental
442 results were obtained through the results of the LVDT's placed on some elements of the
443 track of a physical ballastless track model (2.2 m long). The cyclic experimental tests
444 were performed to simulate millions of cycles (3.4 million cycles) in just a few days of
445 testing (Čebašek et al., 2018) , which facilitates the collection of a significant amount of
446 data regarding the development of permanent deformation and respective cumulative
447 permanent settlement. The numerical results were determined based on a 3D model that
448 attempted to reproduce the experimental tests. The implemented permanent deformation
449 model is described in the following expression:

$$\varepsilon_1^p(N) = \varepsilon_1^{p0} [1 - e^{-BN}] \left(\frac{\sqrt{p_{am}^2 + q_{am}^2}}{p_a} \right)^a \quad (3.2)$$

$$\cdot \frac{1}{m \left(1 + \frac{p_{ini}}{p_{am}} \right) + \frac{s}{p_{am}} - \frac{(q_{ini} + q_{am})}{p_{am}}}$$

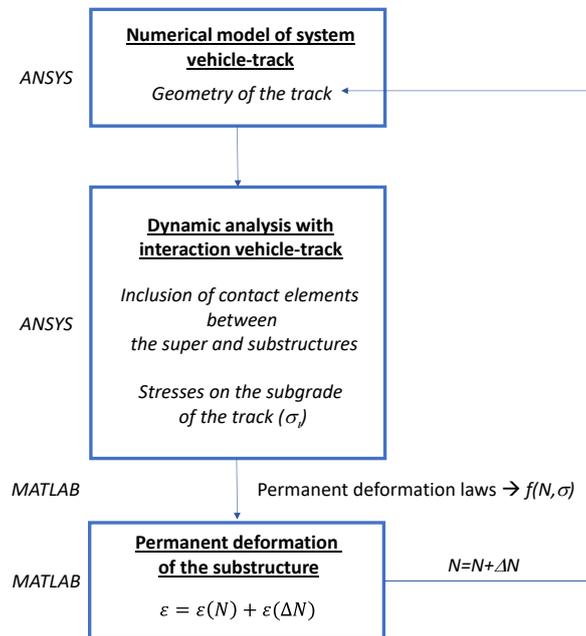
450 where p_{am} and q_{am} are the amplitude of the mean stress and deviator stress for train
451 loadings, m and s are defined by the yielding criterion $q=s + mp$; and p_{ini} and q_{ini} are the
452 mean and deviator stress in the initial state of the material; B , a and ε_1^{p0} correspond to the

453 material constants. Thus, this model includes the influence of the yielding criterion, initial
454 stress state, and the stress induced by the passage of the train (Ramos et al., 2020).

455 This methodology is based on the number of load cycles and also on the stress levels
456 induced by the passage of the train on the geomaterials that constitute the track. In this
457 process, each load cycle corresponds to the passage of one axle, which means that the
458 passage of the whole *Alfa Pendular* is equivalent to 24 load cycles. During the simulation
459 of the long-term behaviour of the ballastless track in a transition zone, the evolution of
460 the permanent deformation and the resulting dynamic effects are analysed in detail. This
461 simulation method is based on the work developed by Alves Ribeiro (2012). However, in
462 this case, a 3D model was considered while in the original work, a 2D model was used to
463 study the behaviour of the transition zones. The simulation method consists of an iterative
464 process through the articulation between the software ANSYS and the software
465 MATLAB, according to the flow chart represented in Figure 3.10. Thus, in the
466 commercial software ANSYS, the numerical modelling of the vehicle and the track is
467 performed, as well as all the processes related to pre and post-processing of the results.
468 In MATLAB, the results of the dynamic analysis are imported, and, based on the stress
469 results, the permanent deformation is obtained (through the implementation of the
470 permanent deformation law(s)). This methodology allows for the prediction of railway
471 track settlement based on the stresses from 3D modelling of the transition (short-term
472 performance), and the permanent deformation from a calibrated empirical permanent
473 deformation model (long-term performance).

474 Analysing Figure 3.10, after the performance of the dynamic analysis, the stresses are
475 obtained (vertical, horizontal and shear) in all finite elements of the FPL and subgrade,
476 which are the only materials considered to contribute to the permanent deformation. Next

477 the principal stresses are determined in MATLAB, as well as the p' and q stresses, which
 478 are the main inputs of the permanent deformation model.



479

480 Figure 3.10 - Schematic representation of the simulation process of the permanent deformation of the track (adapted
 481 from Alves Ribeiro (2012))

482 The permanent deformation of the track induced by the passage of only one axle causes
 483 a very small deformation. This means that the process is not carried out cycle by cycle
 484 but in increments corresponding to a set of cycles (ΔN), assuming that, in this set of
 485 cycles, the stress state to which the materials are subjected remains constant. In this case,
 486 the selected ΔN adopted is 1 million cycles, which corresponds, approximately, to 1.5
 487 years of West Coast Main Line (Kennedy et al., 2013) usage. This ΔN allows the
 488 development of the permanent deformation and its stabilisation (also known as plastic
 489 shakedown) (Werkmeister, 2003). After the determination of permanent deformation and
 490 permanent displacement in MATLAB, the results are read by the software ANSYS. Thus,
 491 ANSYS applies the permanent displacement to each node of the finite element, updating
 492 the geometry of the track.

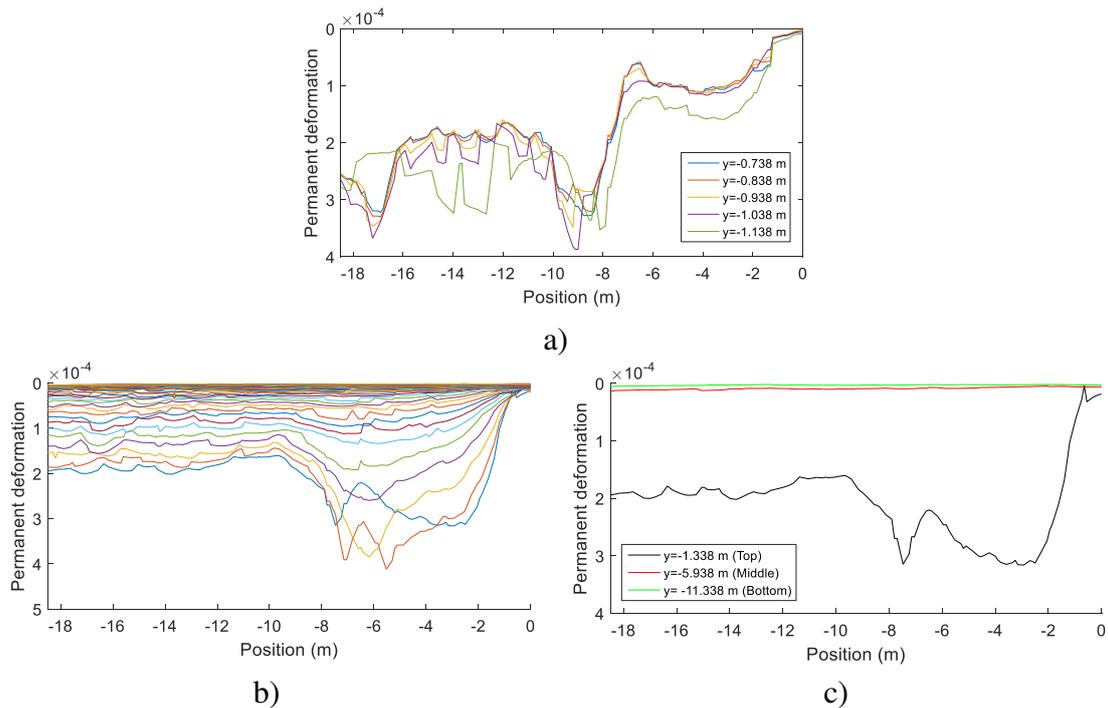
493 After each dynamic analysis, the effects of the new geometry of the track on the dynamic
494 behaviour of the transition zone can be evaluated. This procedure allows for the analysis
495 of the joint effect on the variation of the stiffness and the settlement caused by the passage
496 of the train after the passage of a certain number of axles.

497 *3.2.1 Application of the methodology*

498 The results regarding permanent deformation are presented considering absolute values.
499 The number of cycles associated with each curve is 1 million cycles.

500 Considering the alignment under the loading, the results of the variation of the permanent
501 deformation along the track are depicted in Figure 3.11 for the FPL and subgrade. In this
502 case, the maximum permanent deformation for each vertical position was obtained, where
503 $y=0$ m corresponds to the top of the rail. In the case of the FPL, there is an oscillation of
504 the permanent deformation until the maximum (approximately $x=-8$ m), followed by a
505 decrease, an increase (approximately $x=-4$ m), and a sudden decrease until reaches the
506 transition. Regarding the subgrade, there is a stabilization until $x=-9$ m, an increase
507 (approximately $x=-5$ m), and a sudden decrease until the transition. These results are more
508 obvious on the subgrade than the FPL since the permanent deformation and the stresses
509 of the FPL are influenced by the contact elements placed at the top of this layer, which
510 means that the analysis of the results is not as straightforward as in the subgrade. The
511 analysis of Figure 3.11 c) also shows that the elements located from the middle of the
512 subgrade layer only minimally contribute to the permanent deformation.

513



514 Figure 3.11 - Maximum permanent deformation a) of the FPL along the track (after 1 million cycles) for each vertical
 515 position; b) of the subgrade along the track (after 1 million cycles) for each vertical position; c) of the subgrade along
 516 the track (after 1 million cycles) for the top, middle and bottom nodes of the subgrade

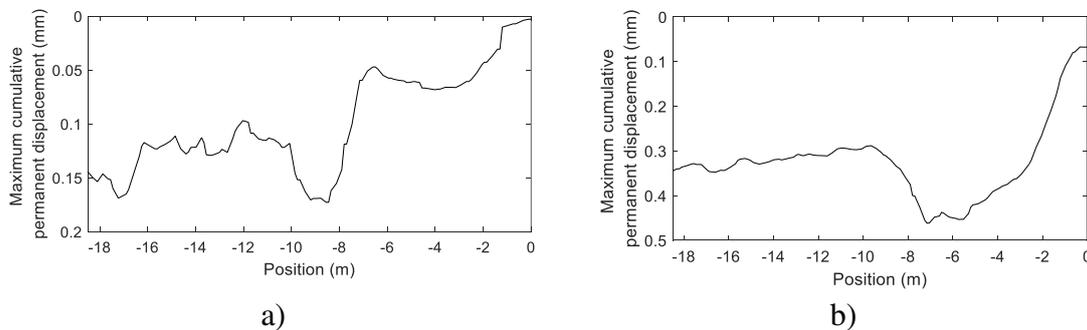
517 Despite the importance of the previous results, it is also important to analyse cumulative
 518 permanent displacement:

$$\delta = \sum_{i=1}^n \varepsilon_{p_i} H_{si} \quad (3.3)$$

519 where i corresponds to the number of elements that constitute a certain material, H_{si} is the
 520 thickness of each element (in m), ε_{p_i} is the permanent deformation at the centre of each
 521 element and δ is the cumulative permanent displacement of the track (in m).

522 This analysis was also performed considering the alignment under the loading. In Figure
 523 3.12, the cumulative permanent displacements on the top nodes of the FPL and subgrade
 524 are presented. The maximum cumulative permanent displacement of the FPL in a range
 525 between $18.5 \text{ m} < x < 0 \text{ m}$ occurs at $x = -8.45 \text{ m}$. Regarding the subgrade, the maximum

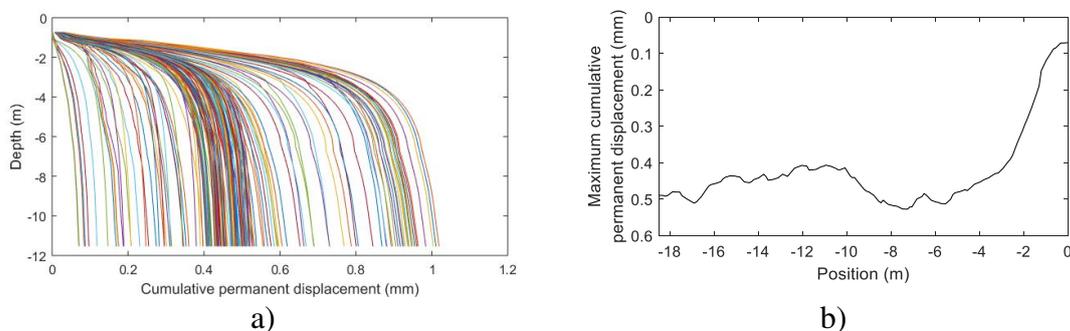
526 cumulative permanent displacement in a range between $18.5 \text{ m} < x < 0 \text{ m}$ occurs at $x = -7.15$
527 m and corresponds to a value close to 0.46 mm , as depicted in Figure 3.12 b).



528 Figure 3.12 - Cumulative permanent displacement in mm: a) on the FPL - variation of maximum cumulative
529 permanent displacement along the track; b) on the subgrade - variation of maximum cumulative permanent
530 displacement along the track

531 These results are important if analysed together considering the whole substructure with
532 the inclusion of both layers: FPL and subgrade. Figure 3.13 shows the obtained results.
533 The maximum cumulative permanent displacement of the substructure in the alignment
534 under the loading is close to 0.52 mm in the range between $-18.5 \text{ m} < x < 0 \text{ m}$ and occurs
535 at $x = -7.25 \text{ m}$. The results depicted in Figure 3.13 a) also show that the layers that most
536 contribute to the permanent deformation and respective cumulative permanent
537 displacement are located between the top of the FPL ($y = -0.738$) and $y = -4.138 \text{ m}$ (above
538 half of the thickness of the subgrade). Indeed, all the layers of the FPL contribute to the
539 development of the permanent deformation (and cumulative permanent displacement), as
540 well as about 30% of the subgrade. After the depth $y = -4.138 \text{ m}$, the cumulative permanent
541 displacement stabilises, which means that about 70% of the subgrade is not contributing
542 to the development of the permanent deformation. This information is helpful since it
543 shows that, in the design of the structure, special attention should be given to the
544 properties of the subgrade above this depth (should be selected good quality materials).
545 Indeed, the value of 0.52 mm obtained in this numerical simulation is close to the value
546 obtained in a full scale laboratory testing of a concrete slab where the maximum

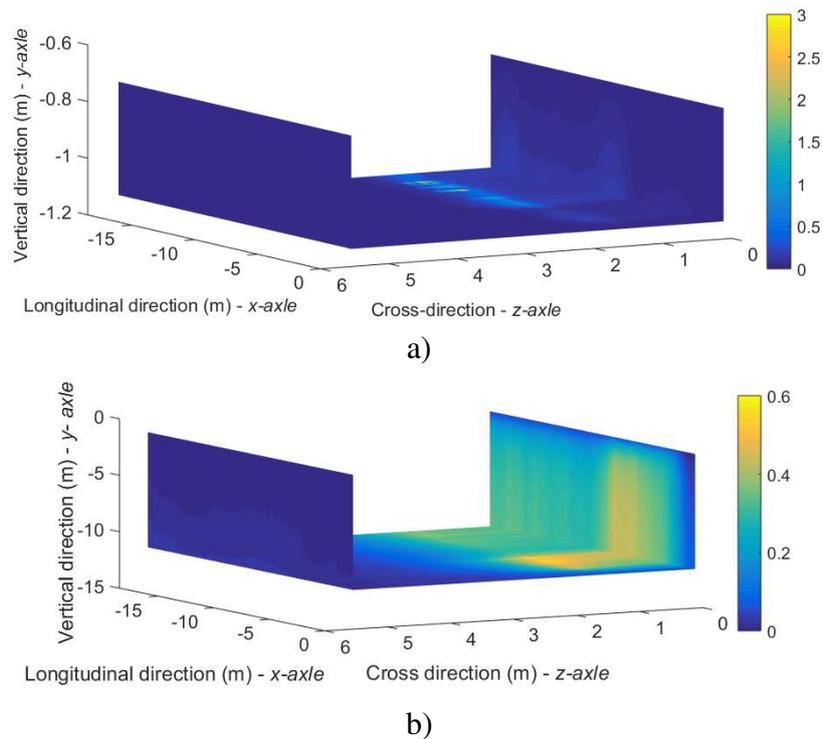
547 cumulative permanent displacement found was 0.53 mm (Čebašek et al., 2018). In this
 548 case, the structure was submitted to more than 3 million load cycles. Furthermore, in the
 549 work developed by Guo and Zhai (2018), the authors studied the long-term prediction of
 550 track geometry degradation (assuming a train speed of 300 km/h and a predicted time of
 551 2 years, which corresponds to 350,400 million load cycles based on the actual daily traffic
 552 of about 60 trains with the 8 generalized train sets; the pre-set total passing number of the
 553 high-speed vehicles is thus $Nt = 8 \times 60 \times 365 \times 2 = 350400$) in high-speed vehicle-
 554 ballastless track system due to the differential subgrade settlement considering two
 555 different combinations of initial differential settlements of subgrade: 5mm/10 m and
 556 5mm/20 m (co-sine functions). The accumulated subgrade settlement at different
 557 positions with respect to initial deformations show accumulated settlements below 1.5
 558 mm and 0.9 mm considering the two combinations, respectively. Thus, it is possible to
 559 conclude that the obtained results are within this range of values.



560 Figure 3.13 - Cumulative permanent displacement on the substructure (FPL+subgrade) in mm: a) along the track
 561 (considering all the alignments); b) maximum cumulative permanent displacement along the track

562 The distribution of the cumulative permanent displacement (in mm) in the FPL and
 563 subgrade is presented in Figure 3.14. The colour scale shows the values of the cumulative
 564 permanent displacement in the bottom of FPL (Figure 3.14 a) and subgrade (Figure 3.14
 565 b) along the x, y and z directions. Thus, in Figure 3.14 it is possible to conclude that the
 566 maximum cumulative permanent displacement may not occur exactly under the loading
 567 alignment. Furthermore, it is also possible to identify the peaks of the permanent

568 deformation in all directions (Figure 2.5): vertical direction (y-axis), longitudinal
569 direction (x-axis) and cross-direction (z-axis).

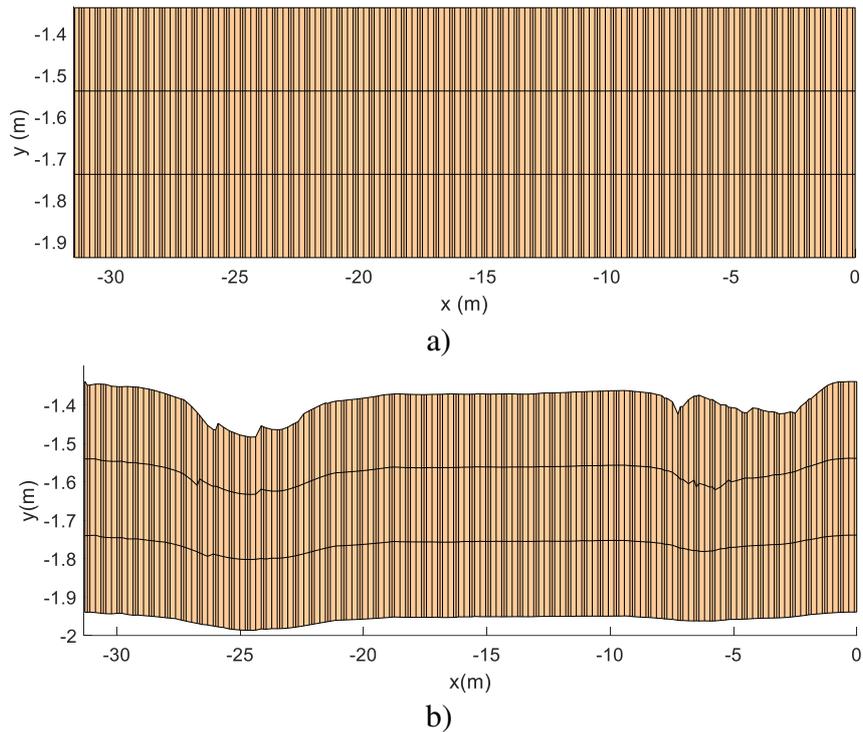


570 Figure 3.14 - 3D cumulative permanent displacement in mm; a) on the FPL; b) on the subgrade

571 After the determination of the permanent deformation and permanent displacements (in
572 meters), the obtained results were input to the 3D model (ANSYS) in each node of the
573 FPL and subgrade.

574 3.2.2 Results of the dynamic analysis of the deformed track

575 The accumulation of permanent deformation with the number of load cycles can lead to
576 a progressive change in the longitudinal profile of the track. Figure 3.15 shows the
577 deformed profile along the longitudinal direction (x-axis) on the finite elements located
578 at the top of the subgrade. The profile was scaled 500 hundred times to help to understand
579 the impact that the deformed profile can have on the dynamic results.

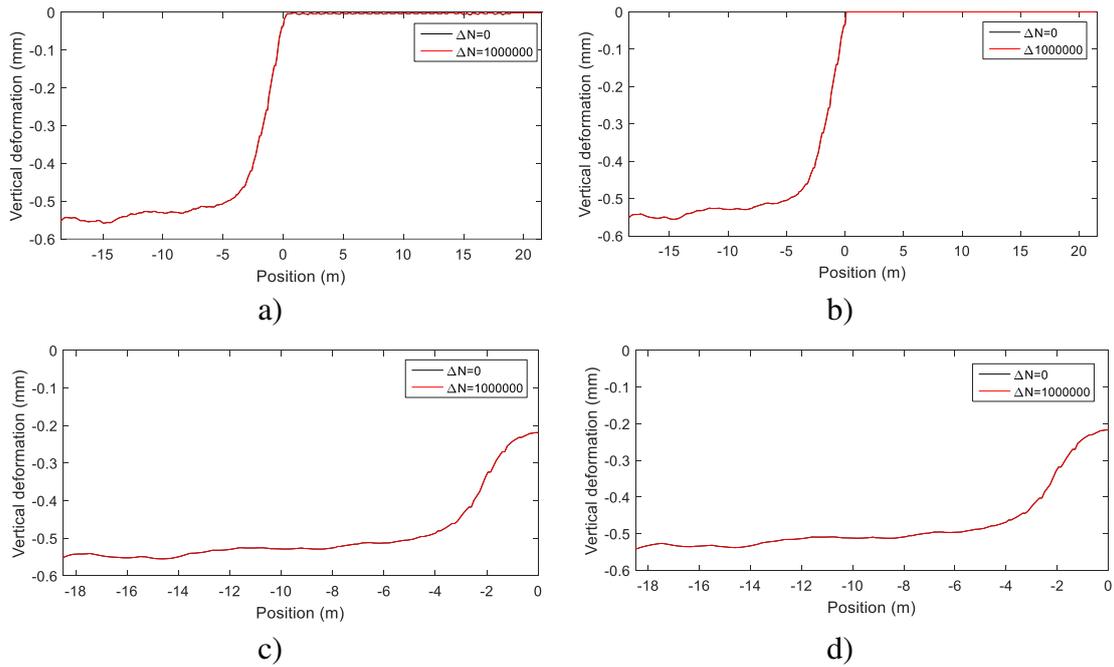


580 Figure 3.15 - Comparison between the original or non-deformed profile (a) and deformed profile (b) on the top of the
 581 subgrade – the deformation was augmented 500 times

582 Figure 3.16 presents the evolution of the vertical deformation along the track (including
 583 the transition zone in the case of the concrete slab and HBL) of the elements located on
 584 the top of the concrete slab, bottom of HBL and top of FPL and subgrade with the number
 585 of load cycles.

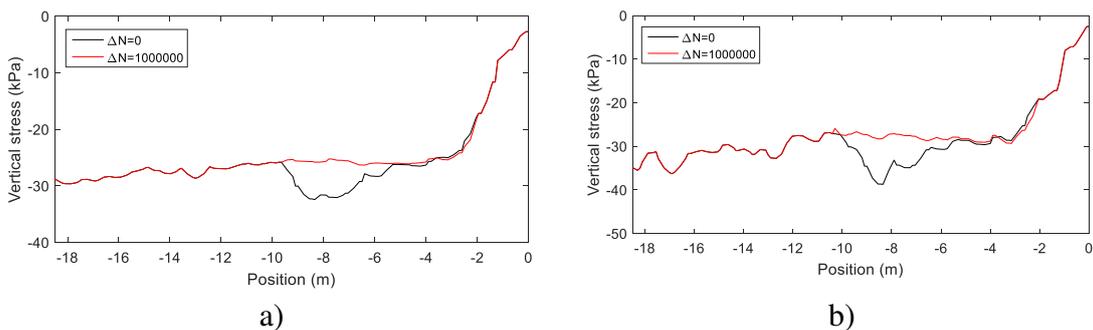
586 Analysing the results, it is possible to draw conclusions about the evolution of the
 587 permanent deformation on the track:

- 588 • The vertical deformation at the top of the concrete slab, bottom of HBL, top of
 589 FPL and top of the subgrade are similar;
- 590 • The impact of the evolution of permanent deformation is not significant. After 1
 591 million cycles, the maximum increment in terms of vertical deformation is almost
 592 zero. The differences of the displacements between $\Delta N=0$ and $\Delta N=1$ million
 593 cycles along the track are almost impossible to identify.



594 Figure 3.16 - Evolution of the vertical deformation along the track depending on the number of load cycles: a) top of
 595 the concrete slab under the loading alignment; b) bottom of HBL under the loading alignment; c) top of FPL under
 596 the loading alignment; d) top of the subgrade under the loading alignment

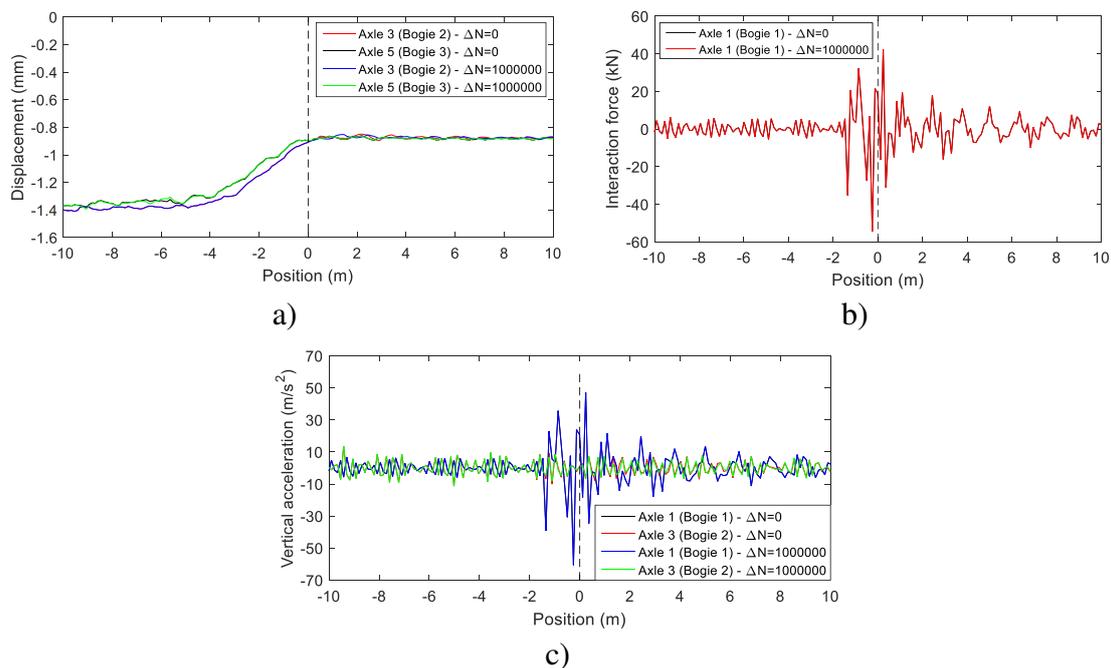
597 The variation of vertical stresses along the track on the top of the subgrade and FPL are
 598 presented in Figure 3.17. The results show a difference between the initial condition and
 599 the deformed track. However, the differences are not significant.



600 Figure 3.17 - Evolution of the vertical stress along the track depending on the number of load cycles: a) at the
 601 top of the subgrade under the loading alignment; b) at the top of the FPL under the loading alignment

602 The vertical displacement of the wheel over the deformed track includes the initial curve
 603 of the displacement induces by the train with the settlement profile of the substructure
 604 (the vehicle experiences total track deformation). However, the values of the permanent
 605 deformation are low due to the high stiffness of the track, which means that the settlement

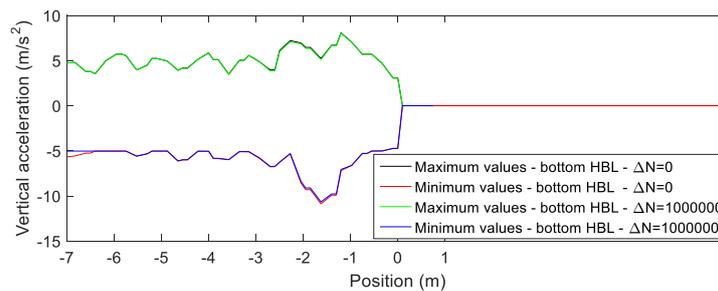
606 profile of the substructure is not so different when compared to the non-deformed profile.
 607 Indeed, as shown in Figure 3.13, the maximum cumulative permanent displacement of
 608 the substructure under the load alignment is less than 0.52 mm.
 609 The variation of the vertical displacement of the wheel along the track with the number
 610 of load cycles is presented in Figure 3.18 a). The results show that there are no significant
 611 differences. In Figure 3.18 b) and Figure 3.18 c), the variation of wheel-rail interaction
 612 force and acceleration along the track with the number of load cycles are presented,
 613 respectively. However, as in the case of the displacements of the wheel, there are no major
 614 differences in the sections close to the transition zone. This is an indication of the good
 615 performance of the structure, which means that the increase in the number of cycles may
 616 have limited influence on the results regarding the short and long-term behaviour.



617 Figure 3.18 - a) Dynamic vertical deformation of the wheel along the track with the number of load cycles: axle 3 and
 618 axle 5; b) variation of the interaction force wheel-rail of axle 1 along the track with the number of load cycles; c)
 619 variation of the acceleration of the axles along the track with the number of load cycles: axle 1 and axle 3

620 Figure 3.19 shows the maximum and minimum values of the vertical acceleration along
 621 the track at the bottom nodes of the HBL. Figure 3.20 a) shows the maximum values of

622 the interaction force between the HBL and FPL in the alignment under the loading. In
 623 Figure 3.21, the variation of the maximum and minimum vertical and longitudinal stresses
 624 obtained along the transition zone at the top nodes of HBL with the number of load cycles
 625 are presented. The results show that the curves associated with the initial conditions (non-
 626 deformed track/ $\Delta N=0$) and the curve associated with a deformed track ($\Delta N=1$ million
 627 load cycles) are overlaid in the transition zone ($x=0m$). This means that it is possible to
 628 continue the iterative procedure, incrementing the number of load cycles, to observe the
 629 increment of stresses and accelerations in this layer in the transition zone, as well as the
 630 interaction forces. Although, due to the good performance of the track, this increment of
 631 the number of load cycles may have a residual influence on these results.

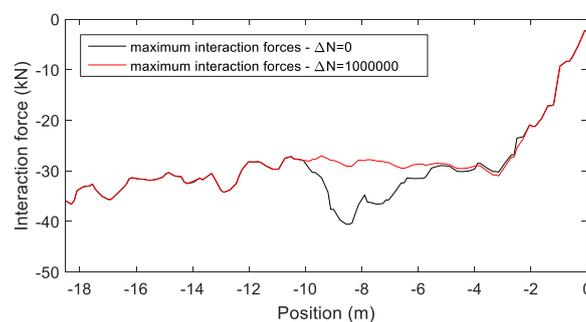


632

633 Figure 3.19 - Maximum and minimum values of the vertical acceleration of the HBL along the transition zone:

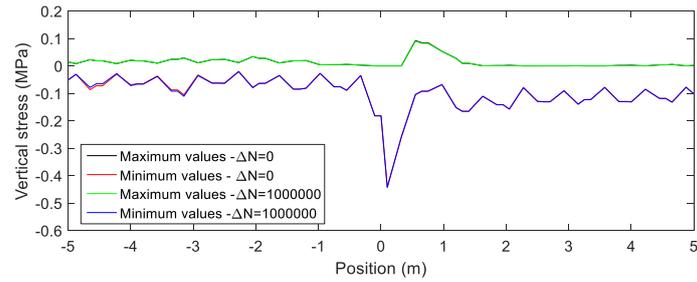
634

bottom of the HBL under the loading alignment

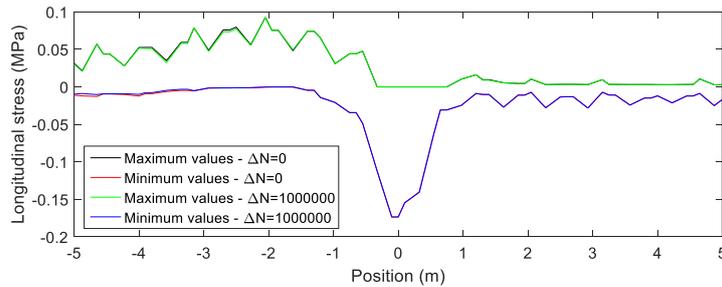


635

636 Figure 3.20 - Maximum Interaction force HBL-FPL along the track under the loading alignment



a)



b)

637 Figure 3.21 - Variation stress in the top nodes of the HBL along the transition zone with the number of load cycles
 638 (under the loading alignment): a) vertical stress; b) longitudinal stress

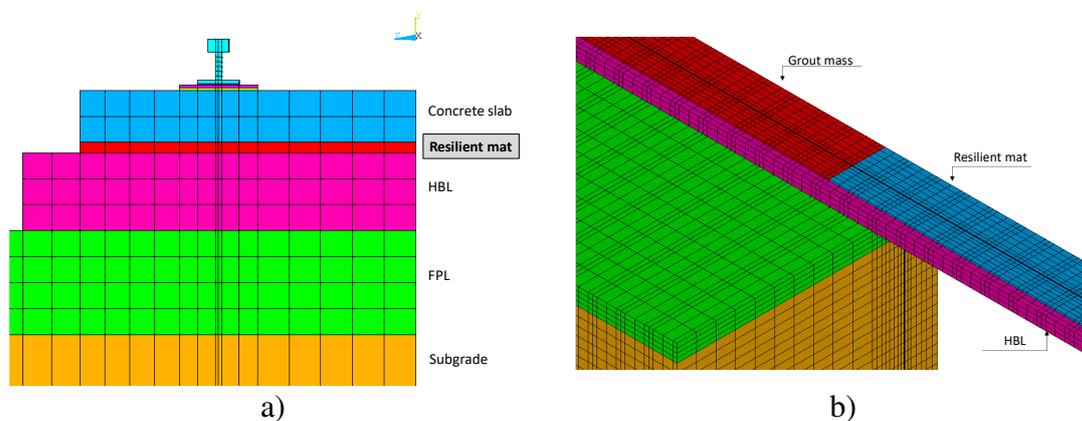
639 From the previous results, it is possible to conclude that this specific transition zone with
 640 the ballastless track system shows a satisfactory performance after 1 million load cycles.
 641 The results show that the stiffness of the structure given by the concrete slab is significant
 642 when compared to the ballast used in the ballasted track. In this case, the long-term
 643 performance is only dependent on the subgrade and FPL that usually shows very low
 644 values of permanent deformation when compared to the ballast. Furthermore, in this
 645 study, the materials adopted in the FPL and subgrade present very good properties.
 646 However, the behaviour of alternative transitions may vary.

647 **3.3 Improvement of the performance of the transition zone**

648 Due to the concentration of the stresses on the concrete slab and HBL on the transition
 649 zone, a resilient mat was tested under the concrete slab in the tunnel and the embankment
 650 (1 m immediately before the transition) to try to mitigate this phenomenon, optimize the
 651 ballastless track and soft the transition, even despite the good long-term performance
 652 presented in the previous section. This mat, comprising a soft resilient layer, usually made

653 from natural rubber because of its excellent dynamic properties, is important to give
654 flexibility under the concrete slab and to balance the stiffness between the embankment
655 and the tunnel. Furthermore, this can be an important step in the optimization of this
656 system in transition zones.

657 Thus, considering the system presented previously, the original cement grout mass was
658 replaced with a resilient mat in the tunnel zone (keeping the original 40 mm in order to
659 not change the geometry of track), and also in the first meter of the embankment
660 immediately before the transition, as depicted in Figure 3.22.



661 Figure 3.22 - a) Position of the resilient mat; b) 3D model with the inclusion of the resilient mat in the transition zone

662 Taking into account this geometry, the resilient mat had a thickness of 40 mm and was
663 modelled with solid elements. Several values of the stiffness of the resilient mat were
664 tested in an iterative process. The adopted properties are shown in Table 3.2. The value
665 of the dynamic stiffness (k) was adapted to obtain a smooth stiffness between the
666 embankment and the tunnel with the resilient mat. The original value was obtained from
667 the catalogue *Trackelast - Slab Track Mats* (Trackelast, -), along with the density.
668 Regarding the damping, the values defined in the work developed by Zbiciak et al. (2017)
669 were selected ($\xi=2.5\%$). In this analysis, a *Poisson* ratio equal to 0 was adopted since the
670 finite elements that are modelling the resilient mat are confined due to the connection to

671 the concrete slab and HBL. This means that this material can only deform in the vertical
 672 direction.

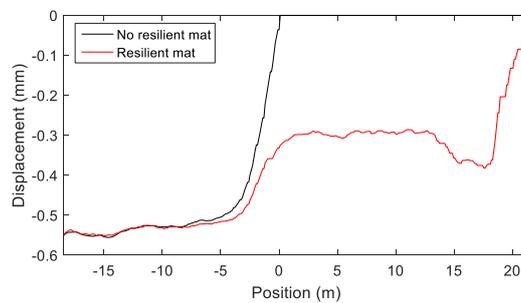
673 Table 3.2 – Properties of the resilient mat

k (kN/mm ³)	E (Pa)	ρ (kg/m ³)	ν	α ($\xi=2.5\%$)	β ($\xi=2.5\%$)
0.126	5.04×10^6	450	0	1.5325	3.88183×10^{-5}

k =stiffness; E = Young modulus; ρ = mass density; ν = Poisson's ratio; α = parameter of the damping Rayleigh matrix that multiplies the mass' matrix of the system; β =parameter of the damping Rayleigh matrix that multiplies the global stiffness's matrix

674

675 Considering the geometry and the adopted properties, the displacements on the top nodes
 676 of the concrete slab were obtained. The results are depicted in Figure 3.23 and show a
 677 smoother transition (red line – resilient mat) when compared to the situation without a
 678 resilient mat where the displacements are zero from the transition at $x=0$ m.



679

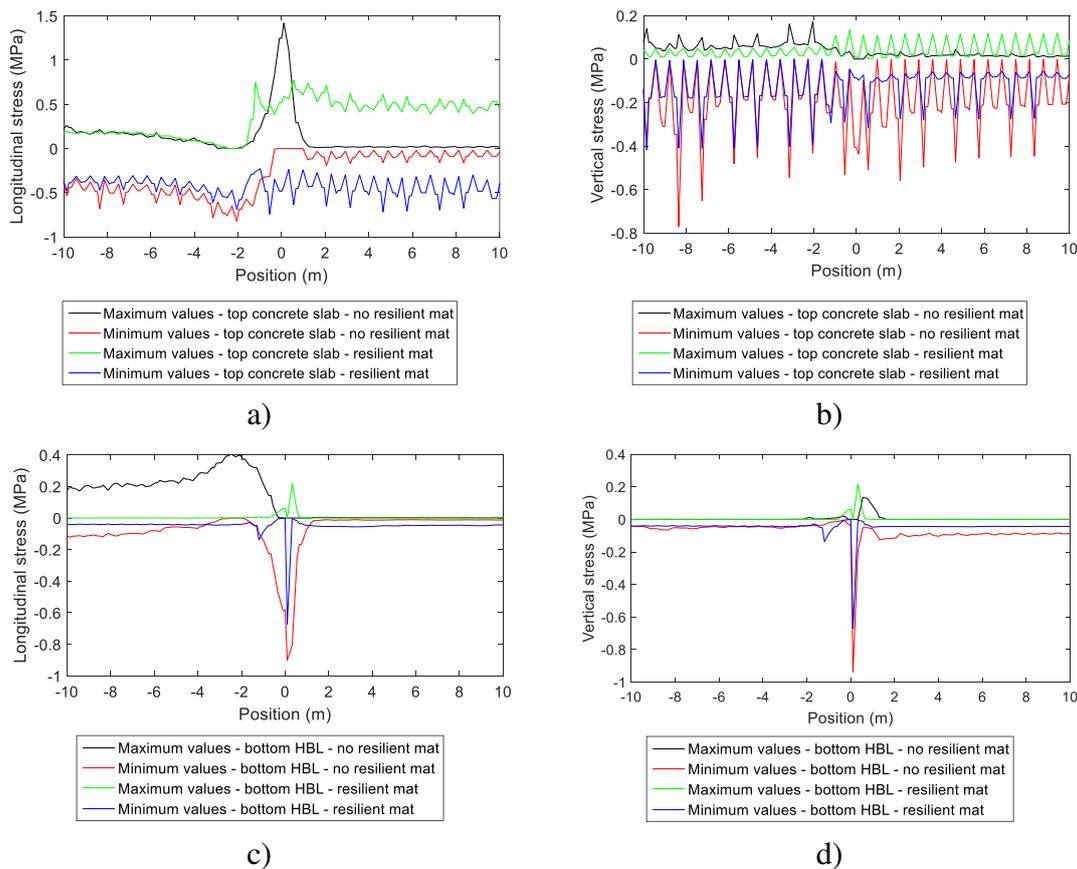
680 Figure 3.23 - Comparison of the displacements with and without resilient mat: maximum displacements on the top
 681 nodes of the concrete slab along the track

682 Despite the importance of the analysis of the displacements, it is imperative to evaluate
 683 the vertical and longitudinal stresses. The results regarding the concrete slab and HBL are
 684 presented in Figure 3.24.

685 The results depicted in Figure 3.24 show a reduction of the longitudinal and vertical
 686 stresses (σ_x and σ_y) along the track. Regarding the concrete slab, the results present a

687 reduction of the maximum longitudinal stress value at $x=0$ m. Regarding the vertical
 688 stress, there is also a reduction of its value at $x=0$ m. This attenuation of the stress values
 689 is also visible in the HBL in terms of longitudinal and vertical stresses. Thus, despite the
 690 differences, the effects of the resilient mat are not extremely significant.

691



692 Figure 3.24 - Comparison of the stresses with and without resilient mat: a) longitudinal stresses along the track on the
 693 top nodes of the concrete slab; b) vertical stresses along the track on the top nodes of the concrete slab; c)
 694 longitudinal stresses along the track on the bottom nodes of the HBL; d) vertical stresses along the track on the
 695 bottom nodes of the HBL

696 4 Conclusions

697 This paper studies the performance of a ballastless track under varying support conditions
 698 across a transition zone. To do so, a 3D numerical model is developed and coupled with
 699 an empirical permanent deformation model to simulation of the degradation process of

700 the track. Indeed, this modelling does not consider the important effect of water, which
701 should be considered in future works. Moreover, the influence of the tunnel structure was
702 not analysed in detail since this work is mainly focused on the stiffness transition and its
703 long-term performance.

704 Regarding the short-term dynamic response of the track, the passage of four bogies is
705 analysed in detail taking into account displacements, accelerations, and stresses in the
706 ballastless track. The results show a high concentration of stresses in the concrete slab
707 and HBL. Furthermore, the results show the variation of the vertical dynamic
708 displacement of the axles and the increment of the vertical acceleration and wheel-rail
709 interaction force at the transition zone centre. The displacements of the rails, concrete
710 slab, HBL FPL and subgrade show a significant variation in response.

711 Regarding long-term behaviour, a hybrid methodology is implemented to simulate the
712 settlement performance of the transition zone. To do so, the permanent deformation of
713 the elements of the FPL and subgrade are calculated using MATLAB, based on the stress
714 levels obtained from the 3D FE model. The settlement was is then posteriorly applied to
715 the nodes of the 3D model. The results show that the maximum cumulative permanent
716 displacement of the ballastless track over the embankment under the loading alignment
717 is close to 0.52 mm. Furthermore, the structure shows satisfactory long-term performance
718 after 1 million cycles. The iterative procedure with a higher number of load cycles should
719 continue in future works. The results also show that only about 30% of the subgrade is
720 contributing to the development of the permanent deformation and respective cumulative
721 permanent displacement.

722 Due to the high concentration of stresses in the superstructure (concrete slab and HBL) at
723 the transition zone, a resilient mat is included under the concrete slab in the tunnel and
724 the first meter of the embankment immediately before the transition to try to mitigate this

725 phenomenon. The mat gives additional flexibility to the system in the tunnel and reduces
726 the higher stresses at the transition zone. In particular, the results show a reduction in the
727 stress levels of the concrete slab and HBL.

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