

Quarterly Progress and Performance Indicators Report:

Project Number and Title: 3.12—Lateral Loading of Unreinforced Rigid Elements and Basal Stability of Columns Supported Systems

Research Area: Geotechnical Infrastructure Engineering

PI: Aaron Gallant, University of Maine

Co-PI(s): N/A

Reporting Period: 9/1/2021-12/31/2021

Submission Date: 12/31/2021

*****IMPORTANT:** Please fill out each section fully and reply with N/A for questions/sections with nothing to report. For ease of reporting to the USDOT, please do not remove, or change the order of, any sections/text. You may remove/add each rows in tables as needed. Thank you! ***
The report is due on the last day of the reporting period in .doc format to tidc@maine.edu.

Overview:

Phase 1: The following list contains a brief highlight of the activities performed during the quaternary report 03/2021-7/2021. These activities conclude the first phase of this project that is refer in Table 1 as Task 1.

- A new definition of factor of safety (FS), that in addition to the development of a passive wedge, also consider mobilization of shear strength of soil beneath an embankment slope or Mechanically Stabilized Earth (MSE) wall was considered to address the failure mechanism due to the lateral spreading that is more catastrophic.
- A parametric study of MSE walls supported on rigid validated that the column fracturing is a consequence of lateral spreading, and it does not necessarily exacerbate the issue or trigger basal instability — similar conclusion was found for the embankment loading case. Furthermore, it was reaffirmed that a stiff surficial layer is a critical component of lateral stability and confinement at the toe.

Phase 2: The following list contains a brief highlight of the activities performed during this quaternary report. These activities were focused on Task 2, which consists of developing an analytical methodology to evaluate the factor of safety against lateral spreading for column-supported embankments.

- A preliminary analytical model to compute the factor of safety against lateral spreading of column-supported embankments was developed. This model is capable of predicting the factor of safety for different crust thicknesses, undrained shear strength of the crust and weaker underlying material, embankment slopes, fill heights, and column geometries.

Meeting the Overarching Goals of the Project:

Phase 1: These activities helped to meet the goal of phase I, due to the following reasons:

- The new factor of safety gave more accurate representation of the global stability of a column-supported (CS) system. Thus, the consequences of column fracturing were related to this factor of safety.

- The parametric study showed several conditions where the FS against global stability meet the actual design criterion (i.e., FS greater than 1.3 for undrained and 1.5 for drained scenario), and column fracturing occurred before reaching the final fill height. This implied that some degree of column fracturing can be tolerated. It was also found that fracturing does not necessarily exacerbate the lateral spreading or trigger basal instability. The importance of the presence of a stiff surficial layer is also highlighted by the parametric study.

Phase 2: These activities helped to meet the goal of phase II, due to the following reasons:

- The new analytical model compares well with the computed results obtained with sophisticated 3D finite element predictions using the Strength Reduction Method (SRM). The new model is intended to be a tractable model that can be readily applied by practitioners to assess the potential for lateral spreading and basal instability beneath column-supported systems.

Accomplishments:

Phase 1:

The global objective of the phase I (related to task 1 in Table 1) was achieved and it is presented as follows:

- Task 1: A numerical study performed on both Embankments and MSE walls supported on rigid inclusions demonstrated that some degree of column fracturing can be tolerable if subsurface conditions provide adequate confinement, that comes mainly for the passive resistance of a stiff surficial layer (either a dense fill or a highly overconsolidated clay) --- typically found in the subsurface conditions of geotechnical projects.

The achieved subgoals of the Phase I are presented as follows:

- Task 1.1: The subgrade response of full scale geosynthetic reinforcement column-supported embankments at the Council Bluff interchange system (CBIS) determined that downdrag appreciably reduced stress in soil above the neutral plan and the crust material at the shallow soils effectively served as a subsurface load transform platform (LTP).
- Task 1.2: The discrete-crack method was adopted to simulate the cessation of tensile-resistance at the columns. This method consists of introducing interface elements every meter along all columns at depth with a predefined orientation (in this case horizontal). Once the column stresses are equal or greater than the rupture modulus of the concrete, the crack is activated, allowing the energy release due to the fracture propagation.
- Task 1.3: Observed lateral and vertical deformations were in excellent agreement with the predicted deformations via numerical analysis. This agreement was achieved, in part, through calibration of the laboratory test (i.e., undrained triaxial compression tests and 1D consolidations tests), the characterization of subsurface layering, and the interpretation of the preconsolidation profile via correlations with the cone penetration test (CPT) and 1D consolidation tests.
- Task 1.4: A parametric study was carried out in column-supported embankments and MSE walls to link the degree of lateral spreading with column fracturing and the factor of safety against basal stability. The parametric study was designed based on a collection of documented CS systems, maintaining the subsoil condition, and column geometry within realistic designs. In both loading scenarios (i.e., embankments and MSE walls), it was found that the greatest influence on lateral deformations and computed factors of safety were the thickness of a stiff surficial layer and the drainage condition.

Phase 2: The achieved subgoals of the Phase II are presented as follows:

- **Task 2.1:** A literature review of different methodologies to obtain FS for CSE was performed. Currently, there are two analytical models for column supported embankments that predict the factor of safety against basal stability, however the inclusions are made of gravel (low stiffness columns). Both methodologies used a composite section between the columns and the soil matrix to develop the model. It is not possible to apply the same procedure to the high modulus columns (concrete), because conservative factor of safety would be obtained.
- **Task 2.2:** Several foundation conditions for a constant column geometry were studied using finite element method (Plaxis 3D) in where the FS of safety were obtained using the Strength reduction method. The undrained shear strength of the weaker material and the crust thickness were varied to analyze the different failure modes and compare with the analytical model (Task 2.3).
- **Task 2.3:** The factor of safety using the analytical model agreed well with the numerical analysis. However, there are some cases where different failure modes were found, for example, when the crust was thin (about 0.5 m) or the undrained shear strength of the softer material is very low (about 5 kPa). For these cases, the factors of safety for the analytical model did not agree well with the numerical analysis (difference greater than 10%).

Task Progress and Budget:

A detailed project schedule is presented in Table 1.

Table 1: Task Progress			
Task Number: Title	Start Date	End Date	% Complete
Phase I			
Task 1. Assessing the influence of column fracturing on the basal stability of Column-supported systems	06/2018	06/2021	100%
Task 1.1: Assess the stresses in the subsoil	06/2018	06/2019	100%
Task 1.2: Establish a numerical approach to account for fracture in basal stability.	06/2019	09/2019	100%
Task 1.3: Calibrate models with field measurements that include lateral and vertical deformations.	06/2019	12/2020	100%
Task 1.4: Perform parametric study for fill embankments and MSE walls.	01/2020	06/2021	100%
Phase II			
Task 2: Assessing the Factor of Safety (FS)	09/2021	11/2021	
Task 2.1: Literature review of different methodologies to obtain FS	9/2021	10/2021	100%

Task 2.2: Investigating the effect of columns details and foundations materials on the FS via parametric study	10/2021	10/2021	20%
Task 2.3: Relating the FS to the studied variables to develop a simplified approach to assess the FS for lateral spreading and basal stability.	10/2021	11/2021	60%
Task 3: Linking the FS to Lateral Spreading	11/2021	01/2021	0%
Task 3.1: Creating a system stiffness definition based on dimensionless physical conditions.	11/2021	12/2021	0%
Task 3.2: Extending the parametric study (in Task 2.3) to validate and find the best system stiffness parameter	12/2021	01/2022	0%
Task 4: Validating the methodology	01/2022	06/2022	0%
Task 4.1: Compare the predicted versus the calculated lateral deformation using the proposed methodology with the existing field case inventory	01/2022	02/2022	0%
Task 4.2: Analyze the subsoil conditions and column geometry for new data provided by the Deep Foundation Institute (DFI) and the existing inventory	02/2022	06/2022	0%

Table 2: Budget Progress

Project Budget	Spend – Project to Date	% Project to Date (include the date)
Phase 1:		
Phase 2:		

Is your Research Project Applied or Advanced?

Applied (The systematic study to gain knowledge or understanding necessary for determining the means by which a recognized and specific need may be met.)

Advanced (An intermediate research effort between basic research and applied research. This study bridges basic (study to understand fundamental aspects of phenomena without specific applications in mind) and applied research and includes transformative change rather than incremental advances. The investigation into the use of basic research results to an area of application without a specific problem to resolve.)

Professional Development/Training Opportunities:

Describe any opportunities for training/professional development that have been provided. Did you provide a training to a State DOT/AOT or industry organization? What was the training? When was it offered? How many people attended? Did you meet with a State DOT/AOT or industry organization to inform them of your findings and how these findings could help their organization? When? How many attended the meeting?

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Technology Transfer:

Complete all of the tables below and provide additional information where requested. Please provide ALL requested information as this is one of the most important sections for reporting to the USDOT. **ONLY provide information relevant to this reporting period.**

Use the table below to complete information about conference sessions, workshops, webinars, seminars, or other events you led/attended where you shared findings as a result of the work you conducted on this project:

Table 3: Presentations at Conferences, Workshops, Seminars, and Other Events					
Type	Title	Citation	Event	Location	Date(s)
Conference	2020 TIDC annual Conference	N/A	2020 TIDC annual Conference	University of Maine	August 12,2020
Conference	*Special recognition award for the 2021 DFI Educations Trust’s Young Professor Paper	N/A	45 th Annual Conference on Deep Foundations	Online	October 27, 2020
Web Conference	Lateral spreading of embankments supported on fractured unreinforced high-modulus columns	N/A	Geo-Institute 5 th Annual Web Conference	Online	December 8, 2020
Banquet	1 st place of TIDC 2021 Student Poster Contest	N/A	2021 Student Poster Contest	Online	December 1, 2021
Web Conference	Lateral spreading and the stability of embankments supported on unreinforced rigid columns	N/A	Geo-Institute 6 ^h Annual Web Conference	Online	December 9, 2021

Use the table below to report any publications, technical reports, peer-reviewed articles, newspaper articles referencing your work, graduate papers, dissertations, etc. written as a result of the work you conducted on this project. Please list only completed items and exclude work in progress.

Table 4: Publications and Submitted Papers and Reports				
Type	Title	Citation	Date	Status
Peer reviewed Journal	Field Observations and Analysis of the Subgrade Response beneath GRCS Embankments at the Council Bluffs Interchange System	Gallant, Aaron, Ehab Shatnawi, and Danilo Botero-Lopez. 2019. “Field Observations and Analysis of the Subgrade Response beneath GRCS	2020	Accepted

		Embankments at the Council Bluffs Interchange System.” Journal of Geotechnical and Geoenvironmental Engineering.		
Peer reviewed Journal	Lateral Spreading of Embankments supported on Fractured Unreinforced high-modulus columns over Soft Soil	Gallant, Aaron, and Danilo Botero-Lopez. 2021. “Lateral Spreading of Embankments supported on Fractured Unreinforced high-modulus columns over Soft Soil.” DFI Journal 15(2) 1-21.	2021	Accepted
Final Report	Lateral Spreading and Basal Stability of Embankments and MSE Walls Supported on Unreinforced High-Modulus Columns	Gallant, Aaron, and Danilo Botero-Lopez. 2019. “Lateral Spreading and Basal Stability of Embankments and MSE Walls Supported on Unreinforced High-Modulus Columns.” DFI final report.	2021	Available on DFI website

Answer the following questions (N/A if there is nothing to report):

1. Did you deploy any technology during the reporting period through pilot or demonstration studies as a result of this work? If so, what was the technology? When was it deployed? N/A
2. Was any technology adopted by industry or transportation agencies as a result of this work? If so, what was the technology? When was it adopted? Who adopted the technology? N/A
3. Did findings from this research project result in changing industry or transportation agency practices, decision making, or policies? If so, what was the change? When was the change implemented? Who adopted the change? N/A
4. Were any licenses granted to industry as a result of findings from this work? If so, when? To whom was the license granted? N/A
5. Were any patent applications submitted as a result of findings from this research? If so, please provide a copy of the patent application with your report. N/A
6. Were any industrial contracts awarded based on furthering planned research and development activities as a result of findings from this work? If so, when? How much was awarded? Who awarded the contract? N/A

Please add figures/images that can be included on the website and/or in marketing/social media materials to further clarify your research to the general public.

Insert figures here

Describe any additional activities involving the dissemination of research results not listed above under the following headings:

Outputs:

Definition: Any new or improved process, practice, technology, software, training aid, or other tangible product resulting from research and development activities. They are used to improve the efficiency, effectiveness, and safety of transportation systems. List any outputs accomplished during this reporting period:

- Example: New sensing technology was developed. This technology will...

Outcomes:

Definition: The application of outputs; any changes made to the transportation system, or its regulatory, legislative, or policy framework resulting from research and development activities. List any outcomes accomplished during this reporting period:

- Example: The developed sensing technology was installed in Bridge A in town, state on 1/1/2021. This installation will...

Impacts:

Definition: The effects of the outcomes on the transportation system such as reduced fatalities, decreased capital or operating costs, community impacts, or environmental benefits. The reported impacts from UTCs are used for the assessment of each UTC and to make a case for Federal funding of research and education by demonstrating the impacts that UTC funding has had on technology and education. NOTE: The U.S. DOT uses this information to assess how the research and education programs (a) improve the operation and safety of the transportation system; (b) increase the body of knowledge and technologies; (c) enlarge the pool of people trained to develop knowledge and utilize technologies; and (d) improves the physical, institutional, and information resources that enable people to have access to training and new technologies. List any outcomes accomplished during this reporting period:

- Example: The developed sensing technology’s successful deployment resulted in the adoption of the technology by the StateDOT. The technology will be installed in all new bridge installments of this type. This adoption will...

Participants and Collaborators:

Use the table below to list **all** individuals (compensated or not) who have worked on the project.

Table 5: Active Principal Investigators, faculty, administrators, and Management Team Members				
Individual Name & Title	Dates involved	Email Address	Department	Role in Research
Aaron Gallant, Ph.D, P.E.		aaron.gallant@maine.edu	Civil and environmental Engineering department	Principal investigator (PI)

Use the table below to list **all** students who have participated in the project during the reporting period. (This includes all paid, unpaid, intern, independent study, or any other student that participated in this project.) **ALL FIELDS ARE REQUIRED.**

Table 6: Student Participants during the reporting period								
Student Name	Start Date	End Date	Advisor	Email Address	Level	Major	Funding Source	Role in research
Danilo Botero-Lopez	06/2018		Aaron Gallant		Master	Civil Student	TIDC, University and DFI	Modeling in Finite Element, analyzing the results, and creating final figures

Use the table below to list any students who worked on this project and graduated or received a certificate during this reporting period. Include information about the student's accepted employment (i.e. the student is now working at MaineDOT) or if they are continuing their students through an advanced degree (list the degree and where they are attending).

Table 7: Students who Graduated During the Reporting Period			
Student Name	Degree/Certificate Earned	Graduation/Certification Date	Did the student enter the transportation field or continue another degree at your university?
Danilo Botero-Lopez	Master of Science Civil Engineering	08/21/2020	Join to the Ph.D. program at the University of Maine

Use the table below to list any students that participated in Industrial Internships:

Table 8: Industrial Internships			
Student Name	Degree/Certificate Earned	Graduation/Certification Date	Did the student enter the transportation field or continue another degree at your university?
N/A			

Use the table below to list **organizations** that have been involved as partners on this project and their contribution to the project.

Table 9: Research Project Collaborators during the reporting period						
Organization	Location	Contribution to the Project				
		Financial Support	In-Kind Support	Facilities	Collaborative Research	Personnel Exchanges
Deep Foundations Institute (DFI)-Phase I	Hawthorne, NJ	\$33,380				
Jacobs Engineering	Herndon, VA		X			
Deep Foundations Institute (DFI)-Phase II	Hawthorne, NJ	\$17,100				

Use the table below to list *individuals* that have been involved as partners on this project and their contribution to the project. (*List your technical champion(s) in this table. This also includes collaborations within the lead or partner universities who are not already listed as PIs; especially interdepartmental or interdisciplinary collaborations.*)

Table 10: Other Collaborators				
Collaborator Name and Title	Contact Information	Organization and Department	Date(s) Involved	Contribution to Research
N/A				

Use the following table to list any transportation related course that were taught or led by researchers associated with this research project:

Table 11: Course List						
Course Code	Course Title	Level	University	Professor	Semester	# of Students

Changes:

N/A

Planned Activities:

The activities planned for the quaternary (10/1/2021-12/31/2021) are listed as follows:

- Finishing the literature review of different methodologies to obtain the Factor of safety against basal stability (FS)
- Investigating the effect of column details and foundation materials on the FS via parametric study
- Producing a simplify approach to calculate the FS

The activities planned for the quaternary (1/1/2021-4/30/2021) are listed as follows:

- Finishing the parametric study for different column spacings and subsurface conditions.
- Linking the factor of safety with the lateral deformation to create a system stiffness factor.