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Principles of Geotechnical Engineering

Eighth Edition, SI

BRAJA M. DAS, Dean Emeritus

California State University, Sacramento

KHALED SOBHAN

Florida Atlantic University



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To Elizabeth Madison, Armaan, and Shaiza

Preface

Principles of Geotechnical Engineering was originally published with a 1985 copyright and was intended for use as a text for the introductory course in geotechnical engineering taken by practically all civil engineering students, as well as for use as a reference book for practicing engineers. The book was revised in 1990, 1994, 1998, 2002, 2006, and 2010. This eighth edition has a coauthor, Khaled Sobhan, of Florida Atlantic University. As in the previous editions of the book, this new edition offers an overview of soil properties and mechanics, together with coverage of field practices and basic engineering procedures, without changing the basic philosophy of the original text. It is not the intent of this book to conform to any design codes.

Unlike the seventh edition, which had 18 chapters, this edition has 17 chapters. The chapter on Landfill Liners and Geosynthetics has been deleted from this edition since the subject has grown and matured over the years and is offered as a separate course in many civil engineering programs.

Most of the example problems and homework problems have been changed and/or modified. One or two critical thinking problems have been added to the homework problems in most chapters to challenge and enhance the thought process and understanding of students on the subject(s) covered in a given chapter.

Since geotechnical engineering is a practical and application-oriented subject, a few actual case histories have also been included. These case histories are presented in Chapters 11, 15, and 16 with the primary intention being to familiarize students with the unpredictable variability of soil in the field compared to the idealized situation in classroom teaching and learning. New photographs have also been added throughout.

Other noteworthy changes in the eighth edition include the following:

- An expanded section of the introduction at the beginning and a summary section at the end of each chapter have been provided.
- In Chapter 2, on Origin of Soil and Grain Size, several photographs of common rock-forming minerals, rocks, and structures built with or in rock have been added (Section 2.3). To help students in future field identification of rocks and rock-forming minerals, they are presented in color as well as in black and white.

- In Chapter 3, on Weight–Volume Relationships, the section on maximum and minimum void ratio of granular soil has been expanded.
- The procedure for determination of shrinkage limit of cohesive soils using the wax method (ASTM Test Designation 4943) has been described in detail in Chapter 4 (Plasticity and Structure of Soil).
- In Chapter 5, on Classification of Soil, line diagrams have been added in example problems to determine the *group names of soils* from *group symbols* (Unified Soil Classification System). These line diagrams will help the readers follow a step-by-step procedure in arriving at the proper group name of soil during soil classification.
- The chapter on Soil Compaction (Chapter 6) now includes several recent empirical correlations to estimate maximum dry unit weight and optimum moisture content based on the energy of compaction. A section on evaluation of soils as compaction material has been added.
- In Chapter 9, on *In Situ* Stresses, a mathematical derivation for a general case to obtain the seepage force per unit volume of soil is added. Also in this chapter, Harza's chart to obtain the exit gradient of flow under a hydraulic structure is provided. This chart is helpful in estimating the factor of safety against heaving. An example to show the use of a filter on the downstream side of a hydraulic structure to increase the factor of safety against heaving is given.
- A section on the vertical stress increase at a certain point and depth below the ground surface due to a linearly increasing vertical loading on a infinite strip has been added in Chapter 10, on Stresses in a Soil Mass.
- An improved explanation of the fundamentals of consolidation is given in Chapter 11, on Compressibility of Soil. This chapter also provides a general discussion on the effect of load duration on the $e \log \sigma'$ plot.
- Chapter 12, on Shear Strength of Soils, updates the calculation procedure of undrained cohesion for tests conducted with a tapered vane based on ASTM (2010).
- The procedure for estimation of active earth pressure in a $c' \phi'$ soil under earthquake conditions has been updated in Chapter 13 (Lateral Earth Pressure: At-Rest, Rankine, and Coulomb).
- The Caquot and Kerisel theory for estimation of passive earth pressure with granular backfill (inclined back face of wall and horizontal backfill, and vertical back face of wall and inclined backfill) has now been included in Chapter 14, on Lateral Earth Pressure: Curved Failure Surface.
- In Chapter 15, on Slope Stability, a detailed derivation on the factor of safety of infinite slopes with seepage is now included. Results of some recent studies on the critical circles of failure for slopes in clay ($\phi = 0$ condition) and $c' \phi'$ soil is added in this chapter.
- A generalized case for Rankine active and passive pressure with granular backfill is provided in Appendix A.

In the preparation of an engineering text of this type, it is tempting to include many recent developments relating to the behavior of natural soil deposits found in various parts of the world that are available in journals and conference proceedings with the hope that they will prove to be useful to the students in their future practice. However, based on many years of teaching, the authors feel that clarity in explaining the fundamentals of soil mechanics is more important in a first course in this area without cluttering the book with too many details and alternatives. Many of the intricate details can be left to an advanced course in the area of geotechnical engineering. This approach

will most likely help in developing students' interest and appreciation in the geotechnical engineering profession at large.

Instructor Resource Materials

A detailed *Instructor's Solutions Manual* and PowerPoint slides of both figures and tables and equations and examples from the book are available for instructors through a passwordprotected Web site at www.cengagebrain.com.

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Self-Evaluation Multiple Choice Questions with Answers for each chapter are available for students on the book Web site. The students may also benefit from these questions as a practice tool in preparation for examinations.

To access additional course materials, please visit www.cengagebrain.com. At the cengagebrain.com home page, search for the ISBN of your title (from the back cover of your book) using the search box at the top of the page. This will take you to the product page where these resources can be found. If you require a password, follow directions for Instructor Resources.

The authors would not have been able to complete this revised manuscript without the support and encouragement of their wives, Janice and Samira, and their families. Janice Das was most helpful in getting the manuscript ready for publication. Professor Sanjay K. Shukla of Edith Cowan University, Australia, provided many valuable suggestions during the revision process. Finally, many thanks are due to Christopher Shortt, Publisher; Hilda Gowans, Senior Development Editor; and Lauren Betsos, Marketing Manager of Cengage Learning (Engineering) for their assistance and advice in the final development of the book. It is fitting also to thank Rose P. Kernan of RPK Editorial Services. She has been instrumental in shaping the style and overseeing the production of this edition of *Principles of Geotechnical Engineering* as well as several previous editions.

Thanks are due to the following reviewers for their comments and constructive suggestions:

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Professor Khaled Sobhan is an Associate Professor of Civil Engineering at Florida Atlantic University. He received his M.S. degree from The Johns Hopkins University and his Ph.D. degree from Northwestern University, both in the area of Geotechnical Engineering. His primary research areas include ground improvement, geotechnology of soft soils, experimental soil mechanics, and geotechnical aspects of pavement engineering. He served as the Chair of the Chemical and Mechanical Stabilization Committee (AFS90) of the Transportation Research Board (2005–2011) and coauthored the TRB Circular titled *Evaluation of Chemical Stabilizers: State-of-the-Practice Report* (E-C086). He is currently serving as an Associate Editor of ASCE *Journal of Materials in Civil*

xii About the Authors

Engineering, and on the editorial board of the ASTM *Geotechnical Testing Journal*, *Geotechnical and Geological Engineering* (Springer, The Netherlands) and *International Journal of Geotechnical Engineering* (J. Ross, Ft. Lauderdale, FL). He is a recipient of the distinguished Award for Excellence and Innovation in Undergraduate Teaching (2006) and the Excellence in Graduate Mentoring Award (2009) from Florida Atlantic University. He has published more than 75 technical articles and reports in the area of Geotechnical Engineering.

Contents

Preface vii About the Authors xi

1 Geotechnical Engineering—A Historical Perspective 1

1.1 Introduction 1

- **1.2** Geotechnical Engineering Prior to the 18th Century 1
- **1.3** Preclassical Period of Soil Mechanics (1700–1776) 5
- 1.4 Classical Soil Mechanics—Phase I (1776–1856) 6
- **1.5** Classical Soil Mechanics—Phase II (1856–1910) 6
- **1.6** Modern Soil Mechanics (1910–1927) 7
- **1.7** Geotechnical Engineering after 1927 8
- **1.8** End of an Era 12
- References 13

2 Origin of Soil and Grain Size 15

- 2.1 Introduction 15
- **2.2** Rock Cycle and the Origin of Soil 15
- 2.3 Rock-Forming Minerals, Rock and Rock Structures 26
- 2.4 Soil-Particle Size 37
- 2.5 Clay Minerals 39

2.6 Specific Gravity (G_s) 47
2.7 Mechanical Analysis of Soil 48
2.8 Particle-Size Distribution Curve 55
2.9 Particle Shape 61
2.10 Summary 62
Problems 63
References 66

3 Weight–Volume Relationships 67

3.1 Introduction 67
3.2 Weight–Volume Relationships 67
3.3 Relationships among Unit Weight, Void Ratio, Moisture Content, and Specific Gravity 70
3.4 Relationships among Unit Weight, Porosity, and Moisture Content 74
3.5 Various Unit Weight Relationships 75
3.6 Relative Density 81
3.7 Comments on e_{max} and e_{min} 84
3.8 Correlations between e_{max}, e_{min}, e_{max} - e_{min}, and Median Grain Size (D₅₀) 87
3.9 Summary 90 Problems 90 References 92

4 Plasticity and Structure of Soil 94

4.1 Introduction 94
4.2 Liquid Limit (*LL*) 94
4.3 Plastic Limit (*PL*) 101
4.4 Shrinkage Limit (*SL*) 103
4.5 Liquidity Index and Consistency Index 109
4.6 Activity 110
4.7 Plasticity Chart 112
4.8 Soil Structure 114
4.9 Summary 119
Problems 120
References 121

5 Classification of Soil 123

- 5.1 Introduction 123
- 5.2 Textural Classification 124

5.3 Classification by Engineering Behavior 126

5.4 AASHTO Classification System 126

5.5 Unified Soil Classification System 130

5.6 Comparison between the AASHTO and Unified Systems 132

5.7 Summary 142

Problems 142

References 145

6 Soil Compaction 146

- 6.1 Introduction 146
- 6.2 Compaction—General Principles 146
- 6.3 Standard Proctor Test 147
- **6.4** Factors Affecting Compaction 150
- 6.5 Modified Proctor Test 154
- 6.6 Empirical Relationships 154
- 6.7 Structure of Compacted Clay Soil 161
- 6.8 Effect of Compaction on Cohesive Soil Properties 163
- 6.9 Field Compaction 166
- **6.10** Specifications for Field Compaction 171
- 6.11 Determination of Field Unit Weight of Compaction 172
- 6.12 Compaction of Organic Soil and Waste Materials 179
- **6.13** Evaluation of Soils as Compaction Material 182
- **6.14** Special Compaction Techniques 182
- 6.15 Summary and General Comments 192
- Problems 192
- References 195

7 Permeability 198

- 7.1 Introduction 198
- 7.2 Bernoulli's Equation 198
- 7.3 Darcy's Law 200
- 7.4 Hydraulic Conductivity 202
- 7.5 Laboratory Determination of Hydraulic Conductivity 204

- 7.6 Relationships for Hydraulic Conductivity—Granular Soil 211
- 7.7 Relationships for Hydraulic Conductivity—Cohesive Soils 218
- 7.8 Directional Variation of Permeability 223
- 7.9 Equivalent Hydraulic Conductivity in Stratified Soil 225
- **7.10** Permeability Test in the Field by Pumping from Wells 230
- 7.11 In Situ Hydraulic Conductivity of Compacted Clay Soils 232
- 7.12 Summary and General Comments 236

Problems 237

References 241

8 Seepage 243

- **8.1** Introduction 243
- **8.2** Laplace's Equation of Continuity 243
- **8.3** Continuity Equation for Solution of Simple Flow Problems 245
- **8.4** Flow Nets 249
- **8.5** Seepage Calculation from a Flow Net 250
- **8.6** Flow Nets in Anisotropic Soil 254
- **8.7** Mathematical Solution for Seepage 256
- **8.8** Uplift Pressure under Hydraulic Structures 258
- **8.9** Seepage through an Earth Dam on an Impervious Base 259
- **8.10** L. Casagrande's Solution for Seepage through an Earth Dam 262
- **8.11** Filter Design 264

8.12 Summary 267

Problems 267

References 270

9 In Situ Stresses 271

- 9.1 Introduction 271
- 9.2 Stresses in Saturated Soil without Seepage 271
- **9.3** Stresses in Saturated Soil with Upward Seepage 276
- 9.4 Stresses in Saturated Soil with Downward Seepage 280
- 9.5 Seepage Force 280
- **9.6** Heaving in Soil Due to Flow around Sheet Piles 285
- 9.7 Use of Filters to Increase the Factor of Safety against Heave 290
- **9.8** Effective Stress in Partially Saturated Soil 293
- 9.9 Capillary Rise in Soils 294
- 9.10 Effective Stress in the Zone of Capillary Rise 296

9.11 Summary and General Comments 299Problems 300References 304

10 Stresses in a Soil Mass 305

- 10.1 Introduction 305
- **10.2** Normal and Shear Stresses on a Plane 306
- **10.3** The Pole Method of Finding Stresses along a Plane 310
- **10.4** Stresses Caused by a Point Load 312
- **10.5** Vertical Stress Caused by a Vertical Line Load 314
- **10.6** Vertical Stress Caused by a Horizontal Line Load 317
- 10.7 Vertical Stress Caused by a Vertical Strip Load (Finite Width and Infinite Length) 318
- **10.8** Linearly Increasing Vertical Loading on an Infinite Strip 323
- **10.9** Vertical Stress Due to Embankment Loading 326
- **10.10** Vertical Stress below the Center of a Uniformly Loaded Circular Area 330
- **10.11** Vertical Stress at Any Point below a Uniformly Loaded Circular Area 331
- **10.12** Vertical Stress Caused by a Rectangularly Loaded Area 335
- **10.13** Influence Chart for Vertical Pressure 342
- **10.14** Summary and General Comments 345
- Problems 346

References 352

11 Compressibility of Soil 353

- **11.1** Introduction 353
- **11.2** Contact Pressure and Settlement Profile 354
- **11.3** Relations for Elastic Settlement Calculation 356
- **11.4** Fundamentals of Consolidation 364
- **11.5** One-Dimensional Laboratory Consolidation Test 368
- 11.6 Void Ratio–Pressure Plots 370
- **11.7** Normally Consolidated and Overconsolidated Clays 374
- **11.8** General Comments on Conventional Consolidation Test 376
- **11.9** Effect of Disturbance on Void Ratio–Pressure Relationship 378
- **11.10** Calculation of Settlement from One-Dimensional Primary Consolidation 379

- **11.11** Correlations for Compression Index (C_c) 381
- **11.12** Correlations for Swell Index (C_s) 383
- 11.13 Secondary Consolidation Settlement 389
- 11.14 Time Rate of Consolidation 391
- **11.15** Determination of Coefficient of Consolidation 400
- 11.16 Calculation of Consolidation Settlement under a Foundation 408
- 11.17 A Case History—Settlement Due to a Preload Fill for Construction of Tampa VA Hospital 410
- **11.18** Methods for Accelerating Consolidation Settlement 414
- **11.19** Precompression 416
- **11.20** Summary and General Comments 420

Problems 421

References 427

12 Shear Strength of Soil 429

12.1	Introduction	429
------	--------------	-----

- **12.2** Mohr–Coulomb Failure Criterion 429
- **12.3** Inclination of the Plane of Failure Caused by Shear 431
- **12.4** Laboratory Test for Determination of Shear Strength Parameters 433
- **12.5** Direct Shear Test 433
- **12.6** Drained Direct Shear Test on Saturated Sand and Clay 438
- **12.7** General Comments on Direct Shear Test 440
- 12.8 Triaxial Shear Test-General 445
- **12.9** Consolidated-Drained Triaxial Test 446
- **12.10** Consolidated-Undrained Triaxial Test 455
- 12.11 Unconsolidated-Undrained Triaxial Test 461
- 12.12 Unconfined Compression Test on Saturated Clay 463
- **12.13** Empirical Relationships between Undrained Cohesion (c_u) and Effective Overburden Pressure (σ'_a) 464
- 12.14 Sensitivity and Thixotropy of Clay 466
- 12.15 Strength Anisotropy in Clay 469
- **12.16** Vane Shear Test 470
- **12.17** Other Methods for Determining Undrained Shear Strength 476
- **12.18** Shear Strength of Unsaturated Cohesive Soils 476
- **12.19** Stress Path 479
- **12.20** Summary and General Comments 484
- Problems 485
- References 489

13 Lateral Earth Pressure: At-Rest, Rankine, and Coulomb 491

- 13.1 Introduction 491
- 13.2 At-Rest, Active, and Passive Pressures 491
- 13.3 Earth Pressure At-Rest 494
- **13.4** Earth Pressure At-Rest for Partially Submerged Soil 496
- **13.5** Rankine's Theory of Active Pressure 499
- **13.6** Theory of Rankine's Passive Pressure 501
- **13.7** Yielding of Wall of Limited Height 503
- **13.8** Rankine Active and Passive Pressure with Sloping Backfill 504
- **13.9** Diagrams for Lateral Earth-Pressure Distribution against Retaining Walls 506
- **13.10** Coulomb's Active Pressure 518
- **13.11** Graphic Solution for Coulomb's Active Earth Pressure 521
- **13.12** Coulomb's Passive Pressure 527
- **13.13** Active Force on Retaining Walls with Earthquake Forces 527
- **13.14** Common Types of Retaining Walls in the Field 536

13.15 Summary and General Comments 543

Problems 545

References 549

14 Lateral Earth Pressure: Curved Failure Surface 550

- 14.1 Introduction 550
- 14.2 Retaining Walls with Friction 550
- **14.3** Properties of a Logarithmic Spiral 552
- **14.4** Procedure for Determination of Passive Earth Pressure (P_p) —Cohesionless Backfill 554
- **14.5** Coefficient of Passive Earth Pressure (K_p) 556
- **14.6** Caquot and Kerisel Solution for Passive Earth Pressure (Granular Backfill) 560
- **14.7** Passive Force on Walls with Earthquake Forces 563
- 14.8 Braced Cuts—General 565
- **14.9** Determination of Active Thrust on Bracing Systems of Open Cuts—Granular Soil 567
- **14.10** Determination of Active Thrust on Bracing Systems for Cuts—Cohesive Soil 569
- 14.11 Pressure Variation for Design of Sheetings, Struts, and Wales 569

14.12 Summary574Problems574References576

15 Slope Stability 577

- 15.1 Introduction 577
- 15.2 Factor of Safety 579
- 15.3 Stability of Infinite Slopes 580
- **15.4** Infinite Slope with Steady-state Seepage 583
- 15.5 Finite Slopes—General 586
- **15.6** Analysis of Finite Slopes with Plane Failure Surfaces (Culmann's Method) 587
- **15.7** Analysis of Finite Slopes with Circular Failure Surfaces—General 590
- **15.8** Mass Procedure—Slopes in Homogeneous Clay Soil with $\phi = 0$ 591
- **15.9** Recent Developments on Critical Circle of Clay Slopes ($\phi = 0$) 598

- **15.10** Mass Procedure—Slopes in Homogeneous $c' \phi'$ Soil 599
- 15.11 Ordinary Method of Slices 606
- **15.12** Bishop's Simplified Method of Slices 614
- **15.13** Stability Analysis by Method of Slices for Steady-state Seepage 616
- **15.14** Solutions for Steady-state Seepage 617
- **15.15** A Case History of Slope Failure 628
- **15.16** Morgenstern's Method of Slices for Rapid Drawdown Condition 632
- 15.17 Fluctuation of Factor of Safety of Slopes in Clay Embankment on Saturated Clay 634
- 15.18 Summary 638
- Problems 638
- References 642

16 Soil Bearing Capacity for Shallow Foundations 644

- **16.1** Introduction 644
- 16.2 Ultimate Soil-Bearing Capacity for Shallow Foundations 645
- **16.3** Terzaghi's Ultimate Bearing Capacity Equation 647

- 16.4 Effect of Groundwater Table 651
- 16.5 Factor of Safety 652
- **16.6** General Bearing Capacity Equation 655
- 16.7 A Case History for Evaluation of the Ultimate Bearing Capacity 659
- **16.8** Ultimate Load for Shallow Foundations Under Eccentric Load 663
- 16.9 Bearing Capacity of Sand Based on Settlement 668
- **16.10** Plate-Load Test 670

16.11 Summary and General Comments 673 Problems 673

References 676

17 Subsoil Exploration 678

......

- 17.1 Introduction 678
- **17.2** Planning for Soil Exploration 679
- 17.3 Boring Methods 680
- **17.4** Common Sampling Methods 684
- **17.5** Sample Disturbance 689
- **17.6** Correlations for Standard Penetration Test 689
- 17.7 Other In Situ Tests 694
- **17.8** Rock Coring 699
- **17.9** Soil Exploration Report 701
- **17.10** Summary 701

Problems 703

References 704

Appendix A

A Generalized Case for Rankine Active and Passive Pressure–Granular Backfill 706

Answers to Selected Problems 714

Index 722

CHAPTER

Geotechnical Engineering– A Historical Perspective

1.1 Introduction

For engineering purposes, *soil* is defined as the uncemented aggregate of mineral grains and decayed organic matter (solid particles) with liquid and gas in the empty spaces between the solid particles. Soil is used as a construction material in various civil engineering projects, and it supports structural foundations. Thus, civil engineers must study the properties of soil, such as its origin, grain-size distribution, ability to drain water, compressibility, shear strength, and load-bearing capacity. *Soil mechanics* is the branch of science that deals with the study of the physical properties of soil and the behavior of soil masses subjected to various types of forces. *Soils engineering* is the application of the principles of soil mechanics to practical problems. *Geotechnical engineering* is the subdiscipline of civil engineering that involves natural materials found close to the surface of the earth. It includes the application of the principles of soil mechanics, retaining structures, and earth structures.

1.2 Geotechnical Engineering Prior to the 18th Century

The record of a person's first use of soil as a construction material is lost in antiquity. In true engineering terms, the understanding of geotechnical engineering as it is known today began early in the 18th century (Skempton, 1985). For years, the art of geotechnical engineering was based on only past experiences through a succession of experimentation without any real scientific character. Based on those experimentations, many structures were built—some of which have crumbled, while others are still standing.

Recorded history tells us that ancient civilizations flourished along the banks of rivers, such as the Nile (Egypt), the Tigris and Euphrates (Mesopotamia), the Huang Ho (Yellow River, China), and the Indus (India). Dykes dating back to about 2000 B.C. were built in the basin of the Indus to protect the town of Mohenjo Dara (in what became

Pyramid/Pharaoh	Location	Reign of Pharaoh
Djoser	Saqqara	2630–2612 в.с.
Sneferu	Dashur (North)	2612-2589 в.с.
Sneferu	Dashur (South)	2612-2589 в.с.
Sneferu	Meidum	2612-2589 в.с.
Khufu	Giza	2589-2566 в.с.
Djedefre	Abu Rawash	2566-2558 в.с.
Khafre	Giza	2558–2532 в.с.
Menkaure	Giza	2532–2504 в.с.

Table 1.1 Major Pyramids in Egypt

Pakistan after 1947). During the Chan dynasty in China (1120 B.C. to 249 B.C.) many dykes were built for irrigation purposes. There is no evidence that measures were taken to stabilize the foundations or check erosion caused by floods (Kerisel, 1985). Ancient Greek civilization used isolated pad footings and strip-and-raft foundations for building structures. Beginning around 2700 B.C., several pyramids were built in Egypt, most of which were built as tombs for the country's Pharaohs and their consorts during the Old and Middle Kingdom periods. Table 1.1 lists some of the major pyramids identified through the Pharaoh who ordered it built. As of 2008, a total of 138 pyramids have been discovered in Egypt. Figure 1.1 shows a view of the pyramids at Giza. The construction of the pyramids posed formidable challenges regarding foundations, stability of slopes,



Figure 1.1 A view of the pyramids at Giza. (Courtesy of Janice Das, Henderson, Nevada)

and construction of underground chambers. With the arrival of Buddhism in China during the Eastern Han dynasty in 68 A.D., thousands of pagodas were built. Many of these structures were constructed on silt and soft clay layers. In some cases the foundation pressure exceeded the load-bearing capacity of the soil and thereby caused extensive structural damage.

One of the most famous examples of problems related to soil-bearing capacity in the construction of structures prior to the 18th century is the Leaning Tower of Pisa in Italy (See Figure 1.2). Construction of the tower began in 1173 A.D. when the Republic of Pisa was flourishing and continued in various stages for over 200 years. The structure weighs about 15,700 metric tons and is supported by a circular base having a diameter of 20 m. The tower has tilted in the past to the east, north, west, and, finally, to the south. Recent investigations showed that a weak clay layer existed at a depth of about 11 m below the ground surface compression of which caused the tower to tilt. It became more than 5 m out of plumb with the 54 m height. The tower was closed in 1990 because it was



Figure 1.2 Leaning Tower of Pisa, Italy (*Courtesy of Braja M. Das, Henderson, Nevada*)

4 Chapter 1: Geotechnical Engineering–A Historical Perspective

feared that it would either fall over or collapse. It recently has been stabilized by excavating soil from under the north side of the tower. About 70 metric tons of earth were removed in 41 separate extractions that spanned the width of the tower. As the ground gradually settled to fill the resulting space, the tilt of the tower eased. The tower now leans 5 degrees. The half-degree change is not noticeable, but it makes the structure considerably more stable. Figure 1.3 is an example of a similar problem. The towers shown in Figure 1.3 are located in Bologna, Italy, and they were built in the 12th century. The tower on the left is usually referred to as the *Garisenda Tower*. It is 48 m in height and weighs about 4210 metric tons. It has tilted about 4 degrees. The tower on the right is the Asinelli Tower, which is 97 m high and weighs 7300 metric tons. It has tilted about 1.3 degrees.

After encountering several foundation-related problems during construction over centuries past, engineers and scientists began to address the properties and behaviors of soils in a more methodical manner starting in the early part of the 18th century.



Figure 1.3 Tilting of Garisenda Tower (left) and Asinelli Tower (right) in Bologna, Italy (*Courtesy of Braja M. Das, Henderson, Nevada*)

Based on the emphasis and the nature of study in the area of geotechnical engineering, the time span extending from 1700 to 1927 can be divided into four major periods (Skempton, 1985):

- 1. Preclassical (1700 to 1776 A.D.)
- 2. Classical soil mechanics—Phase I (1776 to 1856 A.D.)
- 3. Classical soil mechanics—Phase II (1856 to 1910 A.D.)
- 4. Modern soil mechanics (1910 to 1927 A.D.)

Brief descriptions of some significant developments during each of these four periods are presented below.

1.3 Preclassical Period of Soil Mechanics (1700–1776)

This period concentrated on studies relating to natural slope and unit weights of various types of soils, as well as the semiempirical earth pressure theories. In 1717, a French royal engineer, Henri Gautier (1660–1737), studied the natural slopes of soils when tipped in a heap for formulating the design procedures of retaining walls. The *natural slope* is what we now refer to as the *angle of repose*. According to this study, the natural slope of *clean dry sand* and *ordinary earth* were 31° and 45°, respectively. Also, the unit weight of clean dry sand and ordinary earth were recommended to be 18.1 kN/m³ and 13.4 kN/m³ (85 lb/ft³), respectively. No test results on clay were reported. In 1729, Bernard Forest de Belidor (1671–1761) published a textbook for military and civil engineers in France. In the book, he proposed a theory for lateral earth pressure on retaining walls that was a follow-up to Gautier's (1717) original study. He also specified a soil classification system in the manner shown in the following table.

	Unit Weight	
Classification	kN/m ³	
Rock	_	
Firm or hard sand	16.7 to	
Compressible sand	18.4	
Ordinary earth (as found in dry locations)	13.4	
Soft earth (primarily silt)	16.0	
Clay	18.9	
Peat	—	

The first laboratory model test results on a 76-mm-high retaining wall built with sand backfill were reported in 1746 by a French engineer, Francois Gadroy (1705–1759), who observed the existence of slip planes in the soil at failure. Gadroy's study was later summarized by J. J. Mayniel in 1808. Another notable contribution during this period is that by the French engineer Jean Rodolphe Perronet (1708–1794), who studied slope stability around 1769 and distinguished between intact ground and fills.

1.4 Classical Soil Mechanics–Phase I (1776–1856)

During this period, most of the developments in the area of geotechnical engineering came from engineers and scientists in France. In the preclassical period, practically all theoretical considerations used in calculating lateral earth pressure on retaining walls were based on an arbitrarily based failure surface in soil. In his famous paper presented in 1776, French scientist Charles Augustin Coulomb (1736–1806) used the principles of calculus for maxima and minima to determine the true position of the sliding surface in soil behind a retaining wall. In this analysis, Coulomb used the laws of friction and cohesion for solid bodies. In 1790, the distinguished French civil engineer, Gaspard Clair Marie Riche de Prony (1755–1839) included Coulomb's theory in his leading textbook, Nouvelle Architecture Hydraulique (Vol. 1). In 1820, special cases of Coulomb's work were studied by French engineer Jacques Frederic Francais (1775-1833) and by French applied mechanics professor Claude Louis Marie Henri Navier (1785-1836). These special cases related to inclined backfills and backfills supporting surcharge. In 1840, Jean Victor Poncelet (1788–1867), an army engineer and professor of mechanics, extended Coulomb's theory by providing a graphical method for determining the magnitude of lateral earth pressure on vertical and inclined retaining walls with arbitrarily broken polygonal ground surfaces. Poncelet was also the first to use the symbol ϕ for soil friction angle. He also provided the first ultimate bearing-capacity theory for shallow foundations. In 1846 Alexandre Collin (1808–1890), an engineer, provided the details for deep slips in clay slopes, cutting, and embankments. Collin theorized that in all cases the failure takes place when the mobilized cohesion exceeds the existing cohesion of the soil. He also observed that the actual failure surfaces could be approximated as arcs of cycloids.

The end of Phase I of the classical soil mechanics period is generally marked by the year (1857) of the first publication by William John Macquorn Rankine (1820–1872), a professor of civil engineering at the University of Glasgow. This study provided a notable theory on earth pressure and equilibrium of earth masses. Rankine's theory is a simplification of Coulomb's theory.

1.5 Classical Soil Mechanics–Phase II (1856–1910)

Several experimental results from laboratory tests on sand appeared in the literature in this phase. One of the earliest and most important publications is one by French engineer Henri Philibert Gaspard Darcy (1803–1858). In 1856, he published a study on the permeability of sand filters. Based on those tests, Darcy defined the term *coefficient of permeability* (or hydraulic conductivity) of soil, a very useful parameter in geotechnical engineering to this day.

Sir George Howard Darwin (1845–1912), a professor of astronomy, conducted laboratory tests to determine the overturning moment on a hinged wall retaining sand in loose and dense states of compaction. Another noteworthy contribution, which was published in 1885 by Joseph Valentin Boussinesq (1842–1929), was the development of the theory of stress distribution under loaded bearing areas in a homogeneous,

semiinfinite, elastic, and isotropic medium. In 1887, Osborne Reynolds (1842–1912) demonstrated the phenomenon of dilatancy in sand. Other notable studies during this period are those by John Clibborn (1847–1938) and John Stuart Beresford (1845–1925) relating to the flow of water through sand bed and uplift pressure. Clibborn's study was published in the *Treatise on Civil Engineering, Vol. 2: Irrigation Work in India*, Roorkee, 1901 and also in *Technical Paper No. 97*, Government of India, 1902. Beresford's 1898 study on uplift pressure on the Narora Weir on the Ganges River has been documented in *Technical Paper No. 97*, Government of India, 1902.

1.6 Modern Soil Mechanics (1910–1927)

In this period, results of research conducted on clays were published in which the fundamental properties and parameters of clay were established. The most notable publications are described next.

Around 1908, Albert Mauritz Atterberg (1846–1916), a Swedish chemist and soil scientist, defined *clay-size fractions* as the percentage by weight of particles smaller than 2 microns in size. He realized the important role of clay particles in a soil and the plasticity thereof. In 1911, he explained the consistency of cohesive soils by defining liquid, plastic, and shrinkage limits. He also defined the plasticity index as the difference between liquid limit and plastic limit (see Atterberg, 1911).

In October 1909, the 17-m-high earth dam at Charmes, France, failed. It was built between 1902 and 1906. A French engineer, Jean Fontard (1884–1962), carried out investigations to determine the cause of failure. In that context, he conducted undrained double-shear tests on clay specimens (0.77 m^2 in area and 200 mm thick) under constant vertical stress to determine their shear strength parameters (see Frontard, 1914). The times for failure of these specimens were between 10 to 20 minutes.

Arthur Langley Bell (1874–1956), a civil engineer from England, worked on the design and construction of the outer seawall at Rosyth Dockyard. Based on his work, he developed relationships for lateral pressure and resistance in clay as well as bearing capacity of shallow foundations in clay (see Bell, 1915). He also used shear-box tests to measure the undrained shear strength of undisturbed clay specimens.

Wolmar Fellenius (1876–1957), an engineer from Sweden, developed the stability analysis of saturated clay slopes (that is, $\phi = 0$ condition) with the assumption that the critical surface of sliding is the arc of a circle. These were elaborated upon in his papers published in 1918 and 1926. The paper published in 1926 gave correct numerical solutions for the *stability numbers* of circular slip surfaces passing through the toe of the slope.

Karl Terzaghi (1883–1963) of Austria (Figure 1.4) developed the theory of consolidation for clays as we know today. The theory was developed when Terzaghi was teaching at the American Robert College in Istanbul, Turkey. His study spanned a five-year period from 1919 to 1924. Five different clay soils were used. The liquid limit of those soils ranged between 36 and 67, and the plasticity index was in the range of 18 to 38. The consolidation theory was published in Terzaghi's celebrated book *Erdbaumechanik* in 1925.

8 Chapter 1: Geotechnical Engineering–A Historical Perspective



Figure 1.4 Karl Terzaghi (1883–1963) (SSPL via Getty Images)

1.7 Geotechnical Engineering after 1927

The publication of *Erdbaumechanik auf Bodenphysikalisher Grundlage* by Karl Terzaghi in 1925 gave birth to a new era in the development of soil mechanics. Karl Terzaghi is known as the father of modern soil mechanics, and rightfully so. Terzaghi was born on October 2, 1883 in Prague, which was then the capital of the Austrian province of Bohemia. In 1904 he graduated from the Technische Hochschule in Graz, Austria, with an undergraduate degree in mechanical engineering. After graduation he served one year in the Austrian army. Following his army service, Terzaghi studied one more year, concentrating on geological subjects. In January 1912, he received the degree of Doctor of Technical Sciences from his alma mater in Graz. In 1916, he accepted a teaching position at the Imperial School of Engineers in Istanbul. After the end of World War I, he accepted a lectureship at the American Robert College in Istanbul (1918–1925). There he began his research work on the behavior of soils and settlement of clays and on the failure due to piping in sand under dams. The publication *Erdbaumechanik* is primarily the result of this research.

In 1925, Terzaghi accepted a visiting lectureship at Massachusetts Institute of Technology, where he worked until 1929. During that time, he became recognized as the leader of the new branch of civil engineering called soil mechanics. In October 1929, he returned to Europe to accept a professorship at the Technical University of Vienna, which soon became the nucleus for civil engineers interested in soil mechanics. In 1939, he returned to the United States to become a professor at Harvard University.

The first conference of the International Society of Soil Mechanics and Foundation Engineering (ISSMFE) was held at Harvard University in 1936 with Karl Terzaghi presiding. The conference was possible due to the conviction and efforts of Professor Arthur Casagrande of Harvard University. About 200 individuals representing 21 countries attended this conference. It was through the inspiration and guidance of Terzaghi over the preceding quarter-century that papers were brought to that conference covering a wide range of topics, such as

- · Effective stress
- · Shear strength
- Testing with Dutch cone penetrometer
- · Consolidation
- Centrifuge testing
- · Elastic theory and stress distribution
- Preloading for settlement control
- · Swelling clays
- Frost action
- · Earthquake and soil liquefaction
- Machine vibration
- · Arching theory of earth pressure

For the next quarter-century, Terzaghi was the guiding spirit in the development of soil mechanics and geotechnical engineering throughout the world. To that effect, in 1985, Ralph Peck wrote that "few people during Terzaghi's lifetime would have disagreed that he was not only the guiding spirit in soil mechanics, but that he was the clearing house for research and application throughout the world. Within the next few years he would be engaged on projects on every continent save Australia and Antarctica." Peck continued with, "Hence, even today, one can hardly improve on his contemporary assessments of the state of soil mechanics as expressed in his summary papers and presidential addresses." In 1939, Terzaghi delivered the 45th James Forrest Lecture at the Institution of Civil Engineers, London. His lecture was entitled "Soil Mechanics—A New Chapter in Engineering Science." In it, he proclaimed that most of the foundation failures that occurred were no longer "acts of God."

Following are some highlights in the development of soil mechanics and geotechnical engineering that evolved after the first conference of the ISSMFE in 1936:

- Publication of the book *Theoretical Soil Mechanics* by Karl Terzaghi in 1943 (Wiley, New York)
- Publication of the book *Soil Mechanics in Engineering Practice* by Karl Terzaghi and Ralph Peck in 1948 (Wiley, New York)
- Publication of the book *Fundamentals of Soil Mechanics* by Donald W. Taylor in 1948 (Wiley, New York)
- Start of the publication of *Geotechnique*, the international journal of soil mechanics in 1948 in England