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**Manuscript title:** The effect of negative excess pore-water pressure on the stability of excavated slopes

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## **Abstract**

The generation of Negative Excess Pore-Water Pressure (NEPWP) due to the excavation of saturated soils under undrained conditions and the following dissipation of this phenomenon over time may result in different short- and long-term slope instability. The NEPWP generated due to excavation gradually decreases towards equilibrium or in some cases steady seepage. Hence, total pore-water pressures immediately after the excavation are lower than the ultimate equilibrium values, leading to the reduction of the average effective stresses in the slope and subsequently threatening the stability in the long term. In this research, the stability of three benchmark civil and mining excavations has been studied, considering the effects of generation and dissipation of NEPWP. A series of numerical simulations are conducted to determine the role of in-situ stresses and time in NEPWP dissipation as well as the consequent effects on the stability of the excavated slopes. To conduct a realistic time-dependent transient analysis, a fully-coupled hydro-geomechanical formulation has been employed. Results show that in general, higher removal of stress levels leads to higher NEPWP generation and higher factor of safety values in the short term. Thereafter, the dissipation of NEPWP threatens the long-term stability of the excavation.

**Keywords:** excavation; pore pressures; time dependency

## 1. Introduction

Generation of either pore-water pressures or pore-water tension plays a key role in the stability of slopes (Ridley et al., 2004, Conte and Troncone, 2012, Zhang et al., 2011, Lollino et al., 2011, Yu-qi et al., 2005, Vaughan and Walbancke, 1973, Eigenbrod, 1975, Cai and Ugai, 2004). When saturated soil is under compression in undrained condition, the system resists being compressed by generating excess pore-water pressure which leads to a reduction of effective stresses. By dissipating the developed excess pore-water pressure over time, the effective stress and shear strength increase gradually (Griffiths and Li, 1993, Bishop and Bjerrum, 1960, Day et al., 2001). This phenomenon can cause significant problems for the short-term stability of geotechnical projects. By removing a mass of material through excavation in undrained conditions, the reduction of total stresses leads to a pore-water pressure reaction while the pore-water pressure becomes depressed to compensate such a reduction. This phenomenon starts with the generation of excess pore-water tension or NEPWP in beneath and adjacent to the removed soil mass (Potts et al., 2009). By assuming unloading in a fully-saturated and under undrained conditions with linear elastic behaviour, the reduction in mean stress levels due to the unloading is equal to the generation of NEPWP (L'Heureux et al., 2009, Bishop and Bjerrum, 1960, Eigenbrod, 1975, Bishop, 1953, Griffiths and Li, 1993, Bishop et al., 1975, Wang et al., 2003). The induced NEPWP subsequently increases the effective stresses and the shear strength of the materials.

By the passage of time, the generated NEPWP dissipates, accompanied by swelling of the pit floor until steady-state conditions are reached (Eigenbrod, 1975). Since the change of shear strength is associated with the development and dissipation of NEPWP, the shear strength of the influenced zone will decrease gradually due to the dissipation of NEPWP and increase of total pore-water pressure (Bishop and Bjerrum, 1960). It follows that the stability of the formed slope may vary after excavation until reaching steady-state conditions at the rate at which swelling occurs (James, 1970b, Griffiths and Li, 1993, Vaughan and Walbancke, 1973). From the literature it is a well-known fact that several slopes have failed after the equilibration of the generated NEPWP (Vaughan and Walbancke, 1973, Hughes et al., 2007, Potts et al., 2009, Kovacevic et al., 2011, Kovacevic et al., 2004, Lollino et al., 2011).

The redistribution of pore-water pressure caused due to excavation could be a function of several factors such as the excavation geometry, in-situ stresses, materials' permeability, hydraulic boundary conditions, stratigraphy, seasonal variation and soils' microstructures (De la Fuente et al., 2015, Lollino et al., 2011, Leroueil, 2001, L'Heureux et al., 2009, Rankka, 1994, Lafleur et al., 1988, Skempton, 1984).

Similar to the dissipation rate of pore-water pressure, in coarse-grained soils such as gravel and sand, NEPWP dissipates easily due to high permeability. However, in fine-grained soils such as clay and silt, the dissipation of NEPWP takes longer. During and after excavation, the stress redistribution due to dewatering, unloading and swelling can initiate new cracks and fissures, or open the existing ones. Such discontinuities act as seepage paths which increase the permeability of the soil mass and subsequently affect the rate of NEPWP generation and dissipation (Vaughan and Walbancke, 2009, Eigenbrod, 1975, James, 1970a, Cotecchia et al., 2015, Pedone et al., 2016, Vaughan and Walbancke, 1973, Griffiths and Li, 1993). Also, the dewatering and desaturating of soil may result in drying cracking (Hueckel et al., 2013, Peron et al., 2009). The suction development in drying cracking zones is a multi-physical process which depends on several factors such as vapor flux, air and water flow at the pore vessels and pore size distribution (Hueckel et al., 2013, Cafaro and Cotecchia, 2015). Furthermore, several studies (Hueckel et al., 2013, Peron et al., 2009, Cotecchia and Vitone, 2011, Cotecchia et al., 2015) have been conducted to investigate the effect of fissuring on the hydromechanical behaviour of soil at micro scales and it is widely accepted that the pore-water pressure and suction generation is strongly dependent on soil microstructure.

Although the phenomenon of generation of NEPWP due to excavation has been investigated to some extent, the dissipation of NEPWP and its effect on the slope stability are rarely studied. In this study, for a greater understanding of the effect of this phenomenon on the stability of slopes, three different practical benchmarks with different values of the earth coefficient ( $k_0$ ) are investigated through a fully-coupled flow-deformation analysis by Finite Element (FE) method. It should be noted that the development of cracks and fissures is beyond the scope of this study, and the possible variation of permeability subsequent to cracking is not considered in the presented analyses.

## 2. Methodology

When excavating a saturated soil and dewatering a pit, the removed vertical and horizontal stresses are as follows:

$$\sigma_v = \gamma_t h \quad 1.$$

$$\sigma_h = K_0 \sigma_v' + u = h \left[ K_0 (\gamma_t - \gamma_w) + \gamma_w \right] \quad 2.$$

By removing the stresses, the change in pore pressure immediately after unloading and over time can be defined as follows (Vaughan and Walbancke, 1973, Skempton, 1954, Eigenbrod, 1975):

$$\Delta u = \Delta \sigma_3 + A(\Delta \sigma_1 - \Delta \sigma_3) \quad 3.$$

$$u_0 = u - \Delta u = \gamma_w h - \Delta u \quad 4.$$

$$\Delta u_e = u_0 - u_t \quad 5.$$

The dissipation of generated NEPWP can be considered as a reverse of the consolidation process which follows the conventional Terzaghi theory for consolidation (Yu-qi et al., 2005, Eigenbrod, 1975, Vaughan and Walbancke, 1973, Di Francesco, 2011) (see Eq. 6).

$$c_h \frac{\partial^2 u}{\partial x^2} + c_h \frac{\partial^2 u}{\partial y^2} + c_v \frac{\partial^2 u}{\partial z^2} = \frac{\partial u}{\partial t} \quad 6.$$

To evaluate the stability of slopes, there are several methods of analysis, of which the Limit Equilibrium Method (LEM) and Finite Element Method (FEM) are the two most commonly used (Abramson et al., 2002, Eberhardt, 2003, Griffiths and Lane, 1999, Aryal, 2006, Hammah et al., 2010, Huang and Jia, 2009, Matsui and San, 1992, Ugai and Leshchinsky, 1995, Dawson et al., 1999, Liu et al., 2015, Tolooiyan et al., 2009, Vekli et al., 2012, Raghuvanshi, 2017, Krahn, 2003).

In this study, to observe the effect of generation and dissipation of NEPWP after excavation on the stability of the formed slopes, the Shear Strength Reduction Finite Element Method (SSR-FEM) (Dyson and Tolooiyan, 2018, Dyson and Tolooiyan, 2019, Aryal, 2006, Griffiths and Lane, 1999) is applied in *PLAXIS 2D* (PLAXIS, 2018) and *PLAXIS 3D* (PLAXIS, 2017).

### 3. Numerical modelling

Three different benchmark analyses are conducted in this study (Figures 1-3). Benchmark 1 is a Two-Dimensional (2D) simulation of a vertical urban excavation which is carried out in three stages (each 5m deep) over 3 days. As a common urban excavation project, the vertical wall is reinforced for the safety of the project. Hence, a 21m long concrete diaphragm wall with a thickness of 0.35m is installed in the ground. Also, the wall

is ditched to the surrounding soil with two rows of anchors with a total length of 18.8m (anchor rod and grout body) and inclination of 32 degrees (see Figure 1).

Benchmark 2 is a 2D excavation of an open-pit mine where 70m of the material is excavated during 180 days (see Figure 2).

Benchmark 3 is a Three-Dimensional (3D) excavation of an open-pit mine where 80m of the materials is excavated over 365 days (see Figure 3).

For the soil materials constitutive modelling, the Hardening Soil (HS) model (Schanz et al., 1999) is employed and the model's parameters are presented in Table 1. Also, for benchmark 1, the properties of structural elements are presented in Table 2. Different values of  $K_0$  are assumed to study the effect of in-situ stresses on the generation and dissipation of NEPWP. For the 2D FEM models, the element type is 15-node triangle and for the 3D model, is 10-node tetrahedral.

To satisfy suitable boundary conditions, the geometries are extended sufficiently vertically from the ground surface, and horizontally from the toe and the crest of slopes. The vertical boundaries of the model are horizontally fixed while the bottom boundary is fully fixed (horizontally and vertically). In addition, the hydrostatic boundary conditions for analysis is defined as: 1) seepage through the vertical boundaries, 2) no seepage through the bottom of the model, and 3) groundwater table is set at the ground level.

#### **4. Analysis results**

By conducting a series of fully-coupled analyses of three different benchmarks with different in-situ stress levels, the generation and dissipation of NEPWP are investigated. It is noted that the distribution of generated NEPWP is not uniform and due to the major influence of the stress level removal, the maximum values have been generated in the zones below the foundation pits of the three benchmarks (see Figures 4-8).

It can be seen that the greater  $K_0$  creates greater NEPWP levels that are due to more removal of stress levels in the excavation process and the magnitude of generated NEPWP can be more significant in deep excavations.

Figures 9-11 presents the dissipation trends of the generated NEPWP below the foundation pits for different situations. The highlighted rectangles show the time period in which the most significant reduction of maximum NEPWP occurred. This period is approximately 20-30% of the total time required for reaching steady-state conditions and water pressure equilibrium.

The distribution and variation of the generated NEPWP depend on several factors such as removal stress levels, excavation time, and drainage conditions. Furthermore, the maximum value of NEPWP is not necessarily

generated in the potential slip surface. Hence, the aforementioned time cannot be a critical time for evaluating the stability of slopes. Therefore, the effective time which equilibrates the pore-water pressure within the potential slip surface should be investigated.

By conducting a back analysis, the points located at the maximum depth of the potential slip surface are chosen as reference points for three benchmarks (see Figure 12). The effective time for dissipation of NEPWP in the slip surface can be found out by analysing the changes of total pore pressure trends at the reference points over time. The relationship between the total pore pressure at the reference point and time is generated and can be written in the form of the one-site binding equation (see Eq. 10).

$$P_{active} = B \frac{t}{C+t} + D \times t + E \quad 10.$$

By equating the derived one-site binding equation to zero and solving the obtained quadratic equation, the effective time (see Eq. 11) for analysing the stability of the slopes can be derived as the time at which the change in the slope of total pore pressure versus time at the reference points becomes negligible. Table 3 presents the required time for the dissipation of generated NEPWP at the potential slip surfaces. As shown in this table, the dissipation of generated NEPWP takes longer in those cases at which  $K_0$  values and stress level removals are higher.

$$t_e = \frac{-2C \pm \sqrt{(2C)^2 - 4 \left( C^2 + \frac{B \times C}{D} \right)}}{2} \quad 11.$$

Figures 4 (c), 5 (c), and 8 present the distribution of NEPWP for the three benchmarks just after excavation (at  $0.0t_e$ ), while  $K_0 = 2$ . Also, Figures 13-16 present the distribution of NEPWP at  $0.5t_e$  and  $1.0t_e$  after excavation. By comparing the distribution of NEPWP, it can be seen that significant portion of the generated NEPWP dissipates before  $0.5t_e$  is reached.

Since the dissipation of NEPWP occurs over time, a time-dependent slope stability study is conducted. Figures 17-19 present the evolution of FoS versus the normalised effective time ( $t/t_e$ ).

The in-situ stress levels play a key role in the stability of the slopes formed by excavation in a saturated soil which is under a slow rate of drainage (due to low permeability or insufficient time). From Figures 17-19, it is observed that the major reduction in FoS occurred during the time span from the excavation to the normalised effective time ( $t/t_e$ ) equal to 0.2 - 0.3. Over this period, the generated NEPWP due to the excavation dissipates at a high rate while the effective stresses decrease simultaneously. For the given benchmark analyses, the reduction of FoS for the time span before and after  $t/t_e=0.3$  are presented in Table 4.

Table 4 shows that the greater  $K_0$  values result in greater reduction of FoS as the consequence of NEPWP dissipation. This is due to the fact that the higher  $K_0$  generates higher in-situ stress levels. Greater stress level removal due to excavation imposes more generation of NEPWP levels and higher FoS values in the short term. After the dissipation of the generated NEPWP, the cases with higher stress level removal, show the higher reduction of FoS in the long term.

## 5. Conclusion

Ground excavation causes a decrease in mean stress and an increase in shear stress. When the removal of materials is under undrained condition with insufficient time or low permeability, there will be an associated generation of NEPWP in the soil mass. Generally, the higher  $K_0$  values and the greater depth of excavation, the greater effective stress removal, and consequently greater NEPWP generation.

The process of equalisation of the generated NEPWP and the resultant reduction of the effective stresses in the slope is a significant factor which affects the stability of a slope over time. The results presented in this paper show that the rate of equilibration of generated NEPWP after excavation is rapid firstly and after some time, the trend continues slightly. Reaching full pore pressure equilibration may take a long time depending on factors such as geometry and drainage conditions. However, in general, roughly 20-30% of this time is equal to the effective time at which rapid reduction of NEPWP completes.

Immediately after excavation, the stability FoS values for the slopes are much higher than those calculated at the steady state conditions (very long-term) when NEPWP has dissipated. Furthermore, since, the greater  $K_0$  and removal stress resulted in greater NEPWP, over dissipation of NEPWP, greater reduction of FoS are resulted as a function of  $K_0$ . In overall, it can be concluded that depends on several factors such as stress level removal and drainage conditions, pore-water tension equalisation can be a significant trigger of instability in excavation walls in the long term.



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### List of notations

$\sigma_v$	is the removed total vertical stress
$\gamma_t$	is the total unit weight of the soil
$h$	is the depth of excavation
$\sigma_h$	is the removed total horizontal stress
$K_0$	is the earth pressure coefficient at rest
$\sigma_v'$	is the removed effective vertical stress
$u$	is the total pore pressure
$\gamma_w$	is the unit weight of water
$\Delta u$	is the changes in total principal stresses due to loading
$\Delta \sigma_3$	is the changes in minimum principal stress
$A$	is Skempton's pore pressure parameter
$\Delta \sigma_1$	is the changes in maximum principal stress
$u_0$	is the initial total pore pressure
$u$	is the pore-water pressure
$\Delta u$	is the changes in pore water-pressure
$\Delta u_e$	is the changes in excess pore-pressure
$u_t$	is the pore pressure at the stabilised groundwater conditions
$c_h$	is the horizontal coefficient of consolidation
$c_v$	is the vertical coefficient of consolidation
$E_{50}^{\text{ref}}$	is the secant stiffness in standard drained triaxial test
$E_{\text{oed}}^{\text{ref}}$	is the tangent stiffness for primary oedometer loading
$E_{\text{ur}}^{\text{ref}}$	is the unloading/reloading stiffness
$P_{\text{active}}$	is the active pressure
$B$	is the maximum specific binding
$t$	is the time
$C$	is the equilibrium binding constant
$D$	is the slope of nonspecific binding
$E$	is the amount of nonspecific binding
$t_e$	is the effective dissipation time

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# Table captions

Table 1. Properties of the materials for benchmarks 1, 2 and 3

Table 2. Properties of the structural elements for benchmark 1

Table 3. Effective dissipation time

Table 4. FoS reduction over time

Table 1. Properties of the materials for benchmarks 1, 2 and 3

Benchmark	Benchmark 1		Benchmark 2		Benchmark 3	
Type of material	Material (I)	Material (II)	Material (III)	Material (IV)	Material (V)	Material (VI)
Dry unit weight (kN/m <sup>3</sup> )	19	22	22	21	18	20
Saturated unit weight (kN/m <sup>3</sup> )	22	24	23	23	20	22
E <sub>50</sub> <sup>ref</sup> (MPa)	40	100	300	200	100	80
E <sub>oed</sub> <sup>ref</sup> (MPa)	40	100	300	200	100	80
E <sub>ur</sub> <sup>ref</sup> (MPa)	120	300	900	600	300	240
Cohesion (kN/m <sup>2</sup> )	20	30	70	5	140	110
Friction angle (degree)	32	25	25	33	25	20
Permeability (m/day)	0.01	0.001	0.0002	0.002	0.0001	0.0001
K <sub>0</sub>	1, 1.5, 2	1, 1.5, 2	1, 1.5, 2	1, 1.5, 2	1, 1.5, 2	1, 1.5, 2

Table 2. Properties of the structural elements for benchmark 1

Concrete diaphragm wall			
Normal stiffness (kN/m)	Flexural rigidity (kN m <sup>2</sup> /m)	Weight (kN/m/m)	Poisson's ratio
1.2e7	1.2e5	8.3	0.15
Anchor rod			
Normal stiffness (kN/m)		Spacing out of plane (m)	
5e5		2.5	
Grout body			
Elastic modulus (kN/m <sup>2</sup> )	Diameter (m)	Pile spacing (m)	Skin resistance (kN/m)
7.07e6	0.3	2.5	400

Table 3. Effective dissipation time

Benchmark 1	$t_e$ (day)	Benchmark 2	$t_e$ (day)	Benchmark 3	$t_e$ (day)
$K_0=1$	14	$K_0=1$	8030	$K_0=1$	18250
$K_0=1.5$	25	$K_0=1.5$	10585	$K_0=1.5$	60225
$K_0=2$	50	$K_0=2$	19345	$K_0=2$	123370

Table 4. FoS reduction over time

Case	Benchmark 1			Benchmark 2			Benchmark 3		
	$K_0=1$	$K_0=1.5$	$K_0=2$	$K_0=1$	$K_0=1.5$	$K_0=2$	$K_0=1$	$K_0=1.5$	$K_0=2$
Total reduction (%)	8.57	12.15	15.97	10.65	17.64	20.22	13.03	22.66	24.26
Reduction during $t/t_e \leq 0.3$ (%)	8.24	11.37	14.6	10	16.37	17.17	12.65	21.92	22.8
Reduction during $t/t_e > 0.3$ (%)	0.33	0.78	1.37	0.65	1.27	3.05	0.38	0.74	1.46

**Figure captions**

Figure 1. Two-dimensional civil excavation (Benchmark 1)

Figure 2. Two-dimensional mining excavation (Benchmark 2)

Figure 3. Three-dimensional mining excavation (Benchmark 3)

Figure 4. Generated NEPWP just after excavation for benchmark 1. (a):  $K_0=1$ , (b):  $K_0=1.5$ , and (c):  $K_0=2$

Figure 5. Generated NEPWP just after excavation for benchmark 2. (a):  $K_0=1$ , (b):  $K_0=1.5$ , and (c):  $K_0=2$

Figure 6. Generated NEPWP just after excavation for benchmark 3,  $K_0=1$ . (a): 3D view, (b): plan view, and (c): middle 2D cross section

Figure 7. Generated NEPWP just after excavation for benchmark 3,  $K_0=1.5$ . (a): 3D view, (b): plan view, and (c): middle 2D cross section

Figure 8. Generated NEPWP just after excavation for benchmark 3,  $K_0=2$ . (a): 3D view, (b): plan view, and (c): middle 2D cross section

Figure 9. Dissipation of NEPWP versus time (Benchmark 1)

Figure 10. Dissipation of NEPWP versus time (Benchmark 2)

Figure 11. Dissipation of NEPWP versus time (Benchmark 3)

Figure 12. Typical distribution of total displacement vectors; (a): benchmark 1, (b): benchmark 2, and (c): benchmark 3

Figure 13. NEPWP distribution for benchmark 1,  $K_0=2$ . (a): after  $0.5 t_e$ , (b): after  $t_e$

Figure 14. NEPWP distribution for benchmark 2,  $K_0=2$ . (a): after  $0.5 t_e$ , (b): after  $t_e$

Figure 15. NEPWP distribution for benchmark 3 after  $0.5 t_e$ ,  $K_0=2$ . (a): 3D view, (b): plan view, and (c): middle 2D cross section

Figure 16. NEPWP distribution for benchmark 3 after  $t_e$ ,  $K_0=2$ . (a): 3D view, (b): plan view, and (c): middle 2D cross section

Figure 17. Changes of FoS versus normalised effective time for benchmark 1

Figure 18. Changes of FoS versus normalised effective time for benchmark 2

Figure 19. Changes of FoS versus normalised effective time for benchmark 3

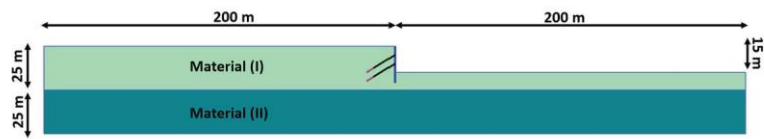


Fig. 1.tif



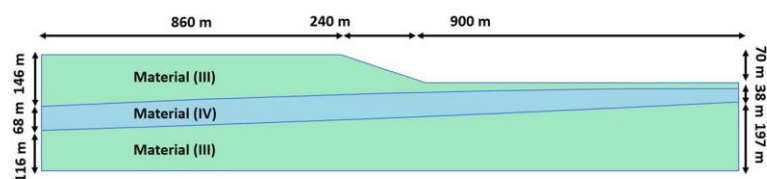


Fig. 2.tif

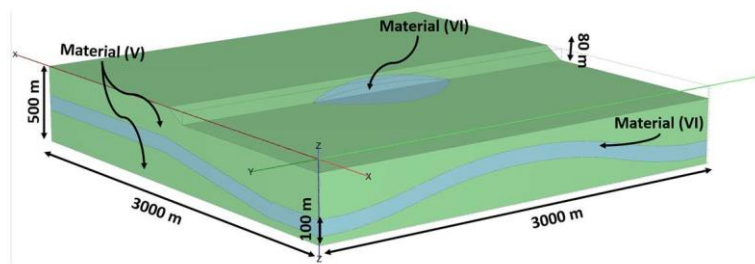


Fig. 3.tif

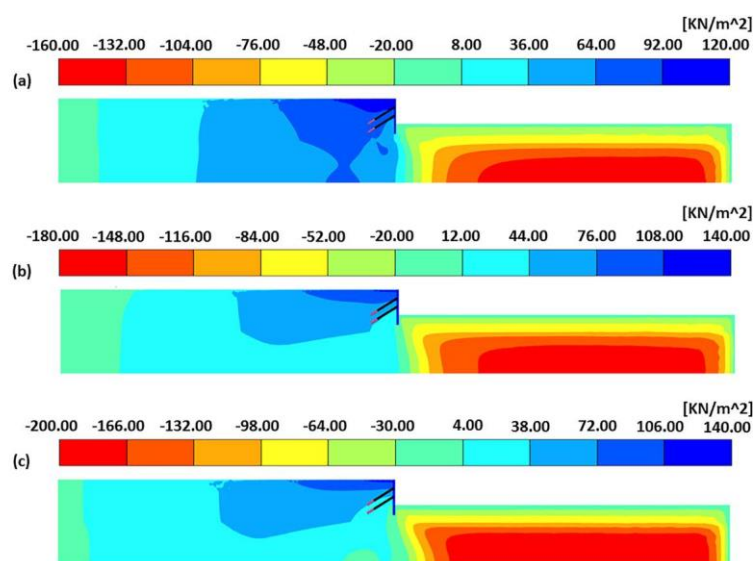


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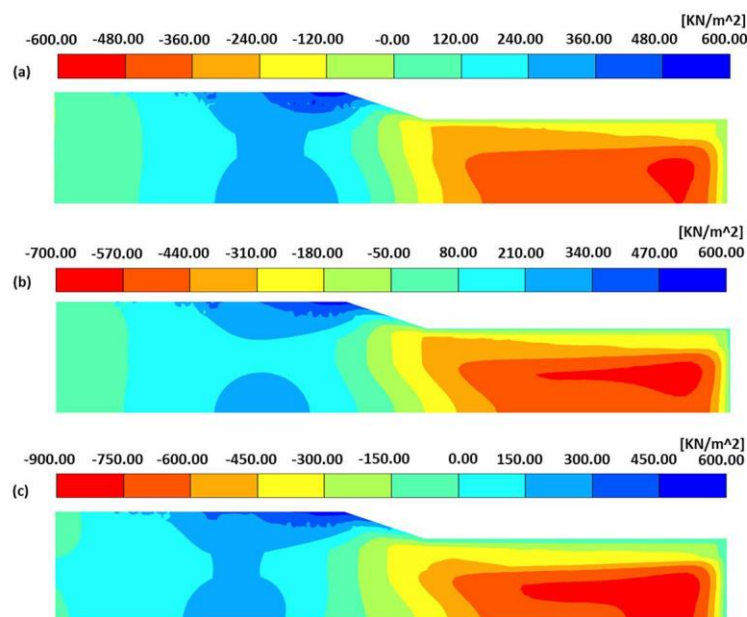


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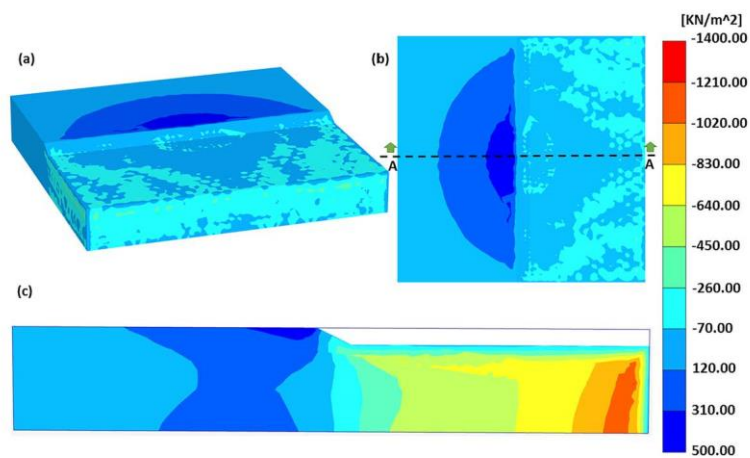


Fig. 6.tif

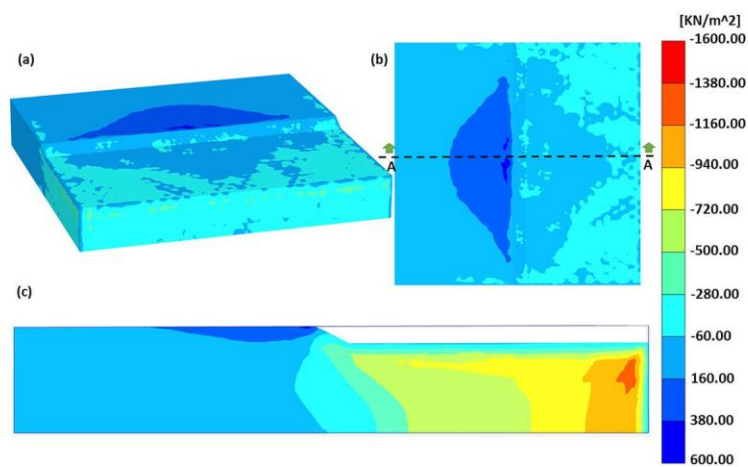


Fig. 7.tif

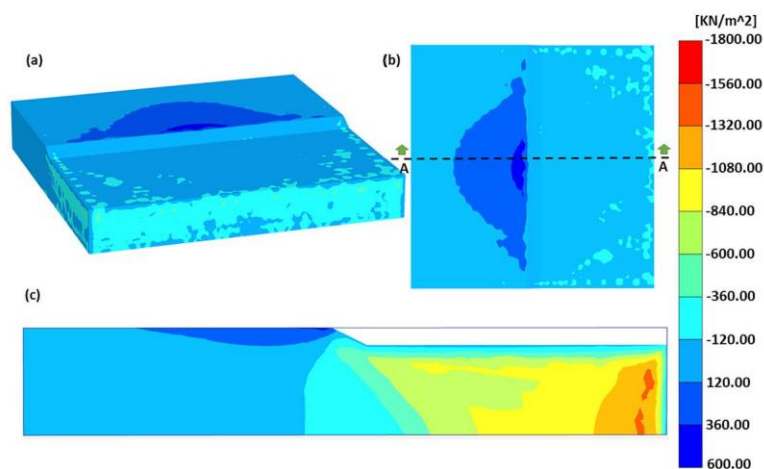


Fig. 8.tif

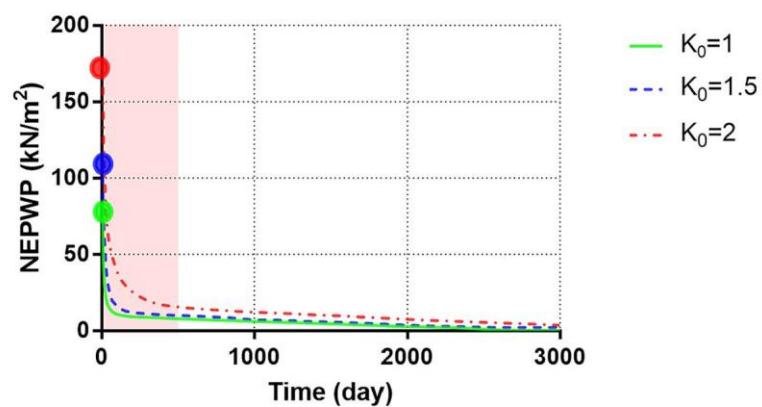


Fig. 9.tif



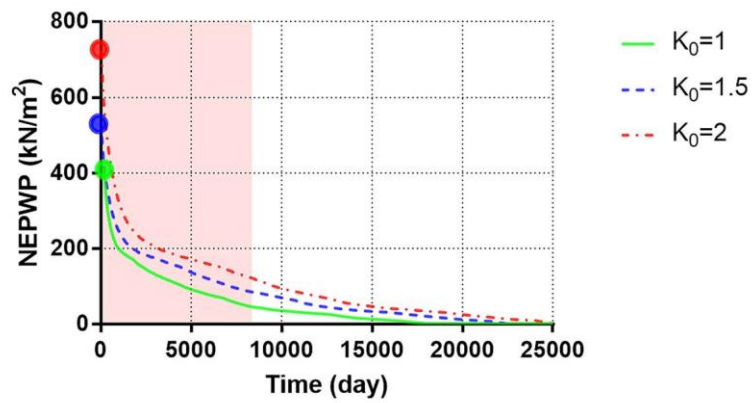


Fig. 10.tif

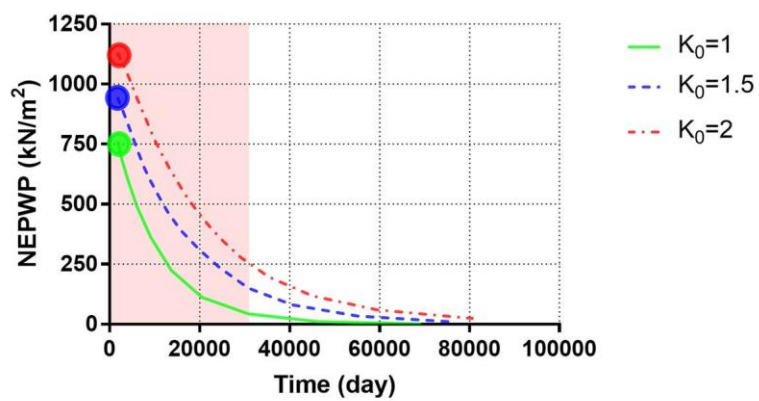


Fig. 11.tif

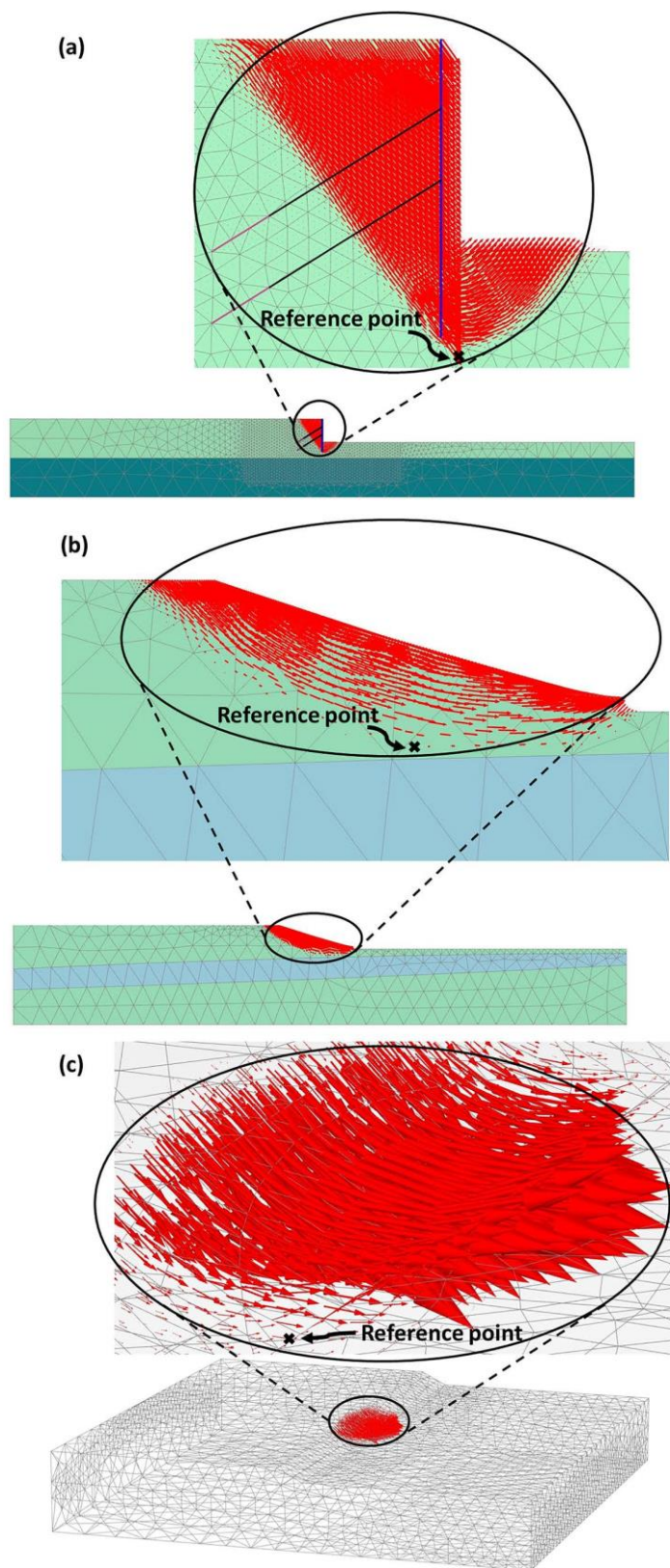


Fig. 12.tif

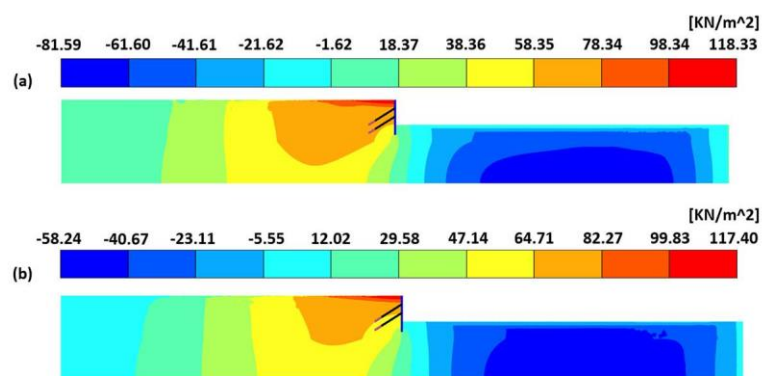


Fig. 13.tif

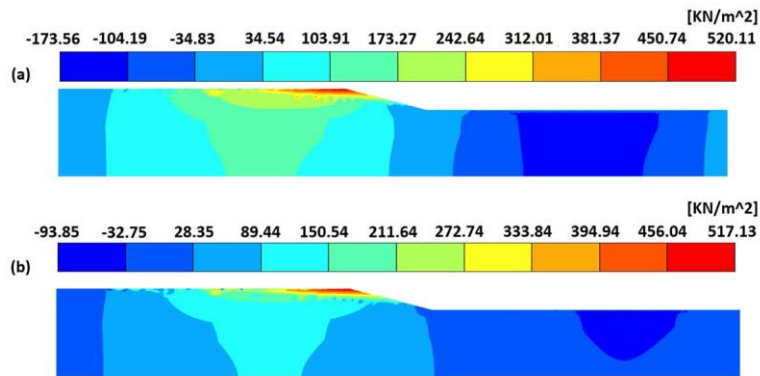


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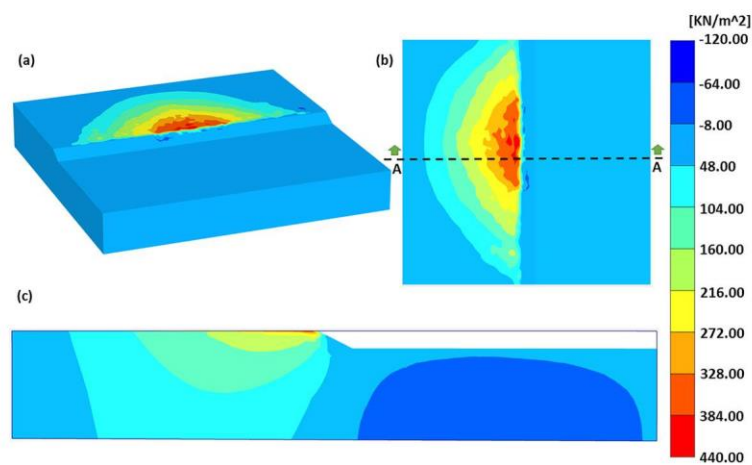


Fig. 15.tif

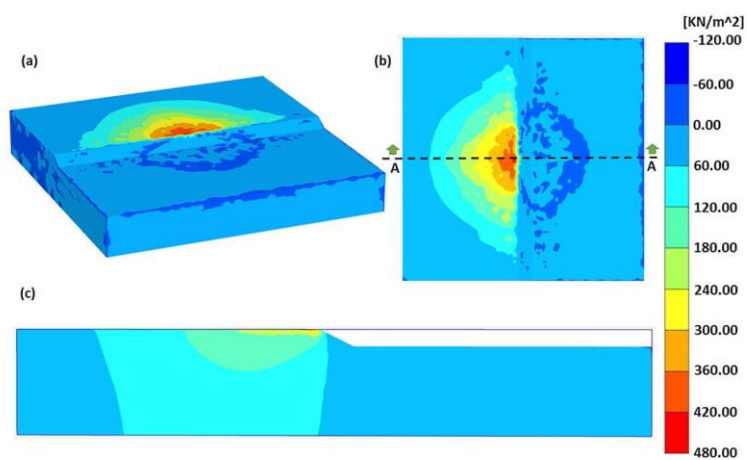


Fig. 16.tif

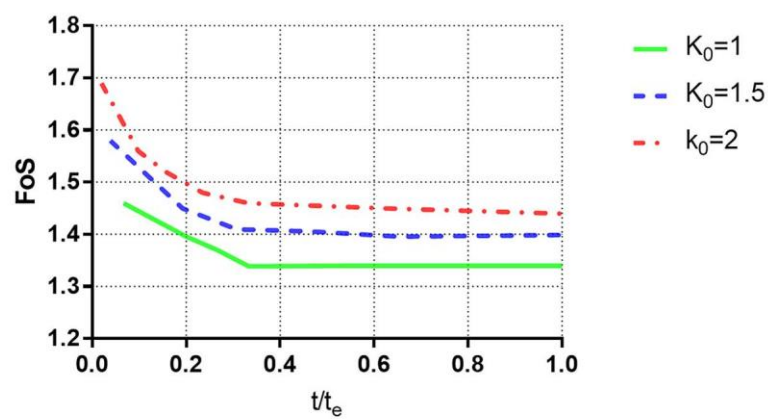


Fig. 17.tif



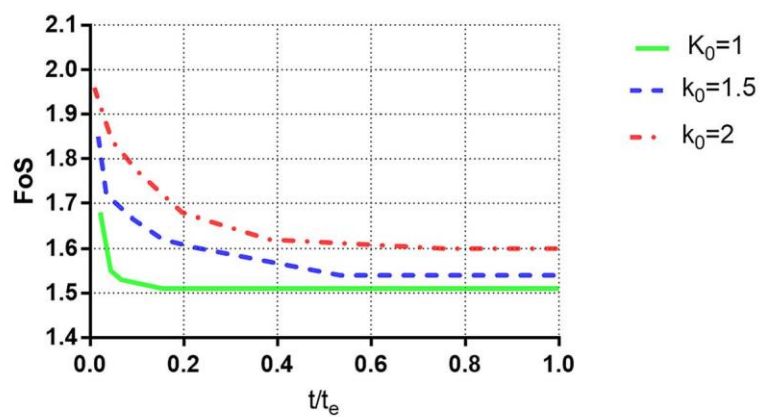


Fig. 18.tif

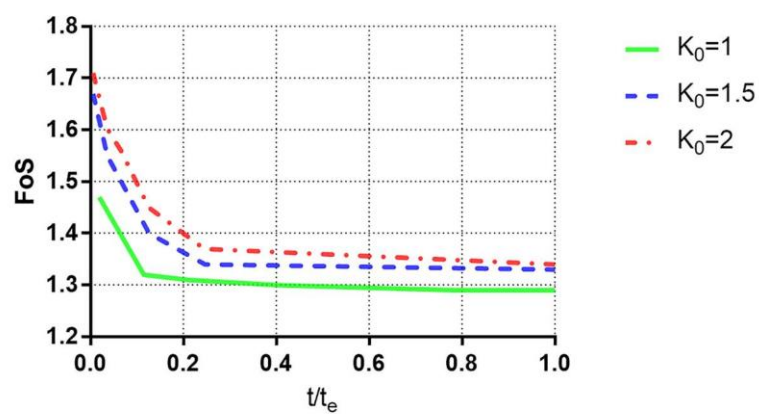


Fig. 19.tif