

## Probabilistic soil strata delineation using DPT data and Bayesian changepoint detection

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## **Abstract**

Soil strata delineation is a fundamental step for any geotechnical engineering design. The dynamic penetration test (DPT) is a fast, low cost in-situ test that is commonly used to locate boundaries between strata of differing density and driving resistance. However, DPT data are often noisy and typically require time-consuming, manual interpretation. This paper investigates a probabilistic method that enables delineation of dissimilar soil strata (where each stratum is deemed to belong to different soil groups based on their particle size distribution) by processing DPT data with Bayesian changepoint detection methods. The accuracy of the proposed method is evaluated using DPT data from a real-world case study, which highlights the potential of the proposed method. This study provides a methodology for faster DPT-based soil strata delineation, which paves the way for more cost-effective geotechnical designs.

## **Keywords**

bayesian analysis, site investigation, soil classification

**List of notation**

$N$	DPT no. of blows
$r_z$	'Run length' random variable
$x_{1:n}$	Set of data $\{x_1, x_2, \dots, x_{n-1}, x_n\}$
$\alpha, \beta$	Parameters of inverse gamma distribution
$p_{cp}$	Changepoint probability threshold

## 1 Introduction

2 Soil strata delineation is a fundamental step for any geotechnical engineering design.  
3 Delineation divides the soil volume into separate layers of geological material deemed to belong  
4 to the same group. This process typically requires a time-consuming, manual interpretation of a  
5 combination of borehole data and associated in-situ and laboratory test results (Parry et al.  
6 2014). It is highly desirable to develop a rapid approach that can delineate the soil strata  
7 automatically.

8 The cone penetration test (CPT) (Lunne et al. 1997) is an in-situ ground investigation method  
9 that is widely used for soil delineation by applying soil behaviour type (SBT) classification rules  
10 (e.g. Robertson 1990; Jefferies and Davies 1993; Schneider et al. 2008) to the measured CPT  
11 data. Other delineation approaches include fuzzy analysis (Zhang and Tumay 1999), clustering  
12 analysis (Hegazy and Mayne 2002; Depina et al. 2016), signal processing analysis (Ching et al.  
13 2015) and statistical/Bayesian analysis (Wickremesinghe and Campanella 1991; Phoon et al.  
14 2003; Wang et al. 2013, 2019, 2020; Li et al. 2016; Cao et al. 2019). Bayesian analysis has the  
15 advantages of being robust to noisy data and allowing quantification of uncertainty, although it  
16 tends to be computationally intensive.

17 The dynamic probing/penetration test (DPT) is a fast and low cost in-situ ground investigation  
18 method (BS 2005), which bears some similarities to both CPT and the standard penetration test  
19 (SPT). Like CPT, DPT uses a cylindrical steel cone penetrometer. However, DPT drives the  
20 cone into the ground using a hammer, and the measured result is the number of blows  $N$  for a  
21 given penetration (e.g. 100mm). The primary advantage of DPT over CPT is lower costs, faster  
22 speed of operation and applicability in terrains with poor accessibility. However, there are limited  
23 methods to interpret DPT results for soil strata delineation.

24 This paper aims to develop a method that enables fast soil strata delineation using DPT data.  
25 The proposed method uses Bayesian changepoint detection (BCPD) methods to detect abrupt  
26 changes in the soil data trends indicative of transitions between different soil strata. Unlike most  
27 Bayesian approaches, the proposed method is computationally efficient. Two BCPD methods  
28 are explored: (i) 'online', where each data point is processed as it becomes available and  
29 inferences are made without knowledge of future measurements (e.g. Fearnhead and Liu, 2007;

30 Adams and MacKay, 2007); and (ii) 'offline', where the entire DPT dataset is required before  
 31 making inference (e.g. Barry and Hartigan, 1993; Stephens, 1994; Fearnhead, 2005, 2006).

32 The proposed method divides the soil profile up into three dissimilar soil categories: (i)  
 33 predominantly fine-grained soils (e.g. clay, silt), (ii) predominantly sand, and (iii) predominantly  
 34 gravel. These soil categories have very different permeability, stiffness and strength properties  
 35 such that poor identification will have a negative impact on optimal geotechnical design. The  
 36 proposed method bears some similarities to that of Zhang and Tumay (1999), who applied fuzzy  
 37 analysis to CPT data to identify three soil categories, although the methodology and nature of  
 38 the data are different. The performance of the proposed BCPD methods are evaluated using a  
 39 real-world case study.

40

#### 41 **Methodology**

42 Changepoints are abrupt changes in data, which typically represent transitions between states,  
 43 as shown in Fig. 1. Given a sequence of data, these changepoints split the data into a set of  
 44 non-overlapping partitions, where it is assumed that the data within a partition are generated by  
 45 the same model. While many changepoint detection methods are available (Reeves et al. 2007;  
 46 Aminikhanghahi and Cook 2017; Truong et al. 2020), this paper focuses on Bayesian  
 47 changepoint detection (BCPD) methods.

#### 48 *Online Bayesian changepoint detection*

49 The first method investigated in this paper is an online BCPD method (Adams and Mackay  
 50 2007), denoted 'BCPD-ON'. In the following exposition, the notation  $x_{1:n}$  refers to the set of data  
 51  $\{x_1, x_2, \dots, x_{n-1}, x_n\}$ . BCPD-ON estimates the probability of a changepoint at a given depth based  
 52 only on data processed up to that depth. It does so by computing the probability distribution of a  
 53 random variable called the 'run length'  $r_z$ , which represents the length of the current data  
 54 partition. Each new data point either (a) comes from the same distribution, in which case the  
 55 parameter estimates of the current distribution is updated using Bayes' theorem and  $r_z$   
 56 increases by one, or (b) it belongs to a new distribution which means a changepoint occurs and  
 57 the new distribution will reset back to the prior distribution and  $r_z$  resets to zero. When the most

58 probable value of  $r_z$  is zero, it is likely that there is a changepoint at depth  $z$ , the probability of  
 59 which is equivalent to the posterior probability of  $r_z = 0$ :

$$p(\text{changepoint at } z | x_{1:z}) = p(r_z = 0 | x_{1:z}) \quad (1)$$

60 The posterior distribution of the run length i.e.  $p(r_z | x_{1:z})$  can be calculated as:

$$p(r_z | x_{1:z}) = \frac{p(r_z, x_{1:z})}{p(x_{1:z})} \quad (2)$$

61 where  $p(x_{1:z}) = \sum_{r_z} p(r_z, x_{1:z})$ . The joint distribution  $p(r_z, x_{1:z})$  can be calculated using the  
 62 following recursive relationship:

$$\begin{aligned} p(r_z, x_{1:z}) &= \sum_{r_{z-1}} p(r_z, x_z, |r_{z-1}, x_{1:z-1}) p(r_{z-1}, x_{1:z-1}) \\ &= \sum_{r_{z-1}} p(r_z | r_{z-1}) p(x_z | r_{z-1}, x_z^r) p(r_{z-1}, x_{1:z-1}) \end{aligned} \quad (3)$$

63 where  $x_z^r$  is the set of data associated with the run length  $r_z$ .  $p(r_{z-1}, x_{1:z-1})$  is a recursive term,  
 64 which represents the previous iteration of Eq. 3 at depth  $z - 1$ .  $p(r_z | r_{z-1})$  is the conditional  
 65 distribution of the run length. Finally,  $p(x_z | r_{z-1}, x_z^r)$  is the posterior predictive distribution and it  
 66 can be calculated analytically by assuming that the data point  $x_z$  comes from some probability  
 67 distribution (e.g. Gaussian) and by adopting conjugate priors. More details about these  
 68 calculations can be found in Adams and Mackay (2007).

### 69 *Offline Bayesian changepoint detection*

70 The second method investigated in this paper is an offline BCPD method (Fearnhead 2005,  
 71 2006) denoted 'BCPD-OFF', which was previously employed by Houlby and Houlby (2013) for  
 72 clay layer delineation using undrained shear strength data. BCPD-OFF is based on a recursive  
 73 algorithm that computes the posterior probability distribution exactly over the location of  
 74 changepoints. This is significantly more efficient than previous Markov Chain Monte Carlo  
 75 (MCMC) approaches for computing the posterior (e.g. Punsakaya et al. 2002).

76 In this case, the data within each partition are modelled by some probability distribution, with  
 77 distribution parameters independent of those determined for other partitions. Let  $c_j$  represent

78 the  $j$ th changepoint. The posterior distribution of  $c_j$  is  $p(c_j | x_{1:n})$ . The probability of a  
 79 changepoint occurring at depth  $z$  can be calculated as:

$$p(\text{changepoint at } z | x_{1:n}) = \sum_{j=1}^z p(c_j = z | x_{1:n}) \quad (4)$$

80 where all possible scenarios of 1 to  $z$  changepoints thus far are considered. This approach  
 81 differs from that of Houlsby and Houlsby (2013), which first identifies the *maximum a posteriori*  
 82 (MAP) number of changepoints and then the conditional MAP locations of the changepoints.  
 83 This modification makes the outputs of BCPD-OFF and BCPD-ON identical, thereby allowing  
 84 direct comparisons.

85  $p(c_j | x_{1:n})$  in Eq. 4 is obtained by marginalising out the previous changepoints:

$$p(c_j | x_{1:n}) = \int p(c_j, \dots, c_1 | x_{1:n}) dc_{j-1} \dots dc_1 \quad (5)$$

86 As the probability of a changepoint is assumed to be dependent only on the previous  
 87 changepoint, the integrand in Eq. 5 can be calculated as:

$$p(c_j, \dots, c_1 | x_{1:n}) = p(c_j | c_{j-1}, x_{1:n}) p(c_{j-1} | c_{j-2}, x_{1:n}) \dots p(c_2 | c_1, x_{1:n}) p(c_1 | x_{1:n}) \quad (6)$$

88 Each of the terms on the right hand side of Eq. 6 can be calculated exactly and efficiently using  
 89 the recursive algorithm described in Fearnhead (2005, 2006).

90

## 91 **Case study**

92 The proposed BCPD methods are evaluated using a case-study involving multi-layered alluvial  
 93 deposits, consisting of sands, silts, clays, and gravels. This case study is based on the  
 94 Deutsche Bahn AG (German Rail) 'DB46/2' project, which is an expansion line from Emmerich  
 95 to Oberhausen in Germany. A complex three-dimensional (3D) ground model for this project  
 96 has been documented in Prinz (2019). This paper considers 26 DPT tests from the case study:  
 97 20 (approximately 77% of the dataset) are randomly selected for calibration of the priors and  
 98 hyperparameters for BCPD-OFF and BCPD-ON; the remaining 6 DPT locations (labelled 'T1'  
 99 'T6') are used for testing to evaluate the performance of the calibrated methods. A plan map of  
 100 the DPT calibration and test locations is shown in Fig. 2.

101 Expert predictions are also made for each DPT location, where the soil strata are identified  
102 among the three soil categories defined in the introduction. These expert predictions were  
103 extracted from the 3D ground model that was developed separately for the case study (Prinz  
104 2019). This ground model was based on careful, manual interpretation of both the DPT data and  
105 the borehole data in an integrated manner, ensuring no conflicts between the interpretation of  
106 the soil layering boundaries based on both types of data (e.g. the soil stratification interpreted  
107 from the DPT data should be consistent with that observed from a neighbouring borehole). Fig.  
108 3 shows a typical DPT profile from one of the DPT locations and its corresponding expert  
109 prediction of the soil strata. The proposed BCPD methods will be applied to DPT data only.

110

### 111 **Calibration**

112 For both BCPD-OFF and BCPD-ON, the data in each partition are assumed to be normally  
113 distributed with unknown mean  $\mu$  and variance  $\sigma^2$ . Therefore, the DPT data were preprocessed  
114 using a Freeman-Tukey transformation (Freeman and Tukey 1950):  $N_{\text{transformed}} = \sqrt{N} + \sqrt{N+1}$   
115 where  $N$  represents the raw DPT blowcount data. This transformation is typically used to make  
116 discrete count data better approximate a normal distribution (Mosteller and Youtz 2006; Lin and  
117 Xu 2020). To test for normality of the transformed data, the Shapiro-Wilk test (Shapiro and Wilk  
118 1965) was applied to the transformed data in each soil layer at DPT locations where  
119 neighbouring borehole data is available to determine the approximate locations of the soil layer  
120 boundaries. The p-values obtained are greater than 0.05 and thus the null hypothesis that the  
121 transformed data is normally distributed is not rejected. Following Houlsby and Houlsby (2013),  
122 the variance  $\sigma^2$  is assumed to follow an inverse gamma distribution and the distribution  
123 parameters  $\alpha = 1.8$  and  $\beta = 0.38$  are obtained by curve-fitting the cumulative distribution of the  
124 variance for the DPT calibration dataset, as shown in Fig. 4.

125 Outputs of interest for both BCPD-ON and BCPD-OFF are the probabilities of a changepoint  
126 occurrence at each depth (i.e. using Eq. 1 and Eq. 4, respectively). When the changepoint  
127 probability exceeds a predefined threshold  $p_{\text{cp}}$ , the soil is considered to have changed category  
128 at this depth. The optimal value of  $p_{\text{cp}}$  is dependent on the method adopted (BCPD-ON or  
129 BCPD-OFF) and is calibrated as a hyperparameter. For each method, a grid search is



130 implemented within the set of trial  $p_{cp} = \{0.1, 0.15, 0.2, 0.25, 0.3, \dots, 0.8, 0.85, 0.9\}$  to identify the  
 131 value of  $p_{cp}$  that achieve the best match with the expert predictions for the soil stratification at  
 132 each DPT calibration location. To quantify the match with expert predictions, the accuracy  
 133 measure, F1 score, is adopted,

$$\text{F1 score} = 2(\text{Precision} * \text{Sensitivity})/(\text{Precision} + \text{Sensitivity}) \quad (7)$$

134 where Precision = True Positive/(True Positive + False Positive) and Sensitivity = True  
 135 Positive/(True Positive + False Negative). True Positive (TP) is the number of times an expert  
 136 prediction for soil layer boundary has been correctly identified, while False Positive (FP) is the  
 137 number of times an expert prediction for soil layer boundary has been incorrectly identified.  
 138 False Negative (FN) is the number of times an expert prediction for soil layer boundary has not  
 139 been identified. A higher F1 value indicates a better match with the expert predictions. As the  
 140 predicted boundaries based on the DPT data are not expected to exactly match the expert  
 141 predictions, this paper considers a soil layer boundary to be correctly identified if the DPT-  
 142 predicted boundary is within a distance of 1m from the expert prediction for a boundary. The  
 143 grid search exercise gives the optimal values of  $p_{cp} = 0.45$  and  $0.4$  for BCPD-OFF and BCPD-  
 144 ON respectively.

145

## 146 **Results**

147 Fig. 5 shows the soil strata predictions determined using BCPD-OFF and BCPD-ON for the 6  
 148 DPT test locations. The BCPD changepoint probability predictions are shown in the figure as  
 149 grey lines and a soil strata boundary is identified when these predictions exceed  $p_{cp}$ .

150 From this figure, it can be observed that both BCPD-OFF and BCPD-ON perform well for most  
 151 locations, where the predicted soil strata boundaries are similar to the expert predictions. The  
 152 exception to this is Location T3, where the expert prediction for the soil strata is very complex,  
 153 and both BCPD methods only detect some of the soil strata boundaries. Nevertheless, the  
 154 overall performance is encouraging as the BCPD predictions agree well with the expert  
 155 predictions, despite using information only from the local DPT data. Some of the soil strata

156 boundary detections are noteworthy (e.g. see Fig. 5d), as they are not obvious from manual  
157 inspection of the noisy DPT data alone.

158 Comparing the two BCPD methods, it is evident that BCPD-OFF is the more sensitive of the  
159 two, as it can detect more soil strata boundaries (e.g. at locations T3 and T4), despite having a  
160 higher  $p_{cp}$  than BCPD-ON. However, this increased sensitivity comes with the drawback of  
161 producing more false positives (see Figs. 5b, c). To quantify the accuracy of both methods, their  
162 F1 scores are calculated based on Eq. 7, as detailed in Table 1. BCPD-ON has a slightly higher  
163 F1 score than BCPD-OFF, indicating that BCPD-ON has a slightly better balance of precision  
164 and sensitivity. In terms of computational efficiency, BCPD-ON has the advantage of being  
165 much faster than BCPD-OFF (on average, BCPD-ON takes approximately 0.03 seconds to  
166 process each DPT location, while BCPD-OFF takes approximately 5 seconds).

167 A key highlight is that both BCPD-OFF and BCPD-ON could detect soil strata boundaries  
168 quickly and automatically without manual intervention. This makes them helpful to industry  
169 practitioners for extracting additional insights from the DPT data to complement their current  
170 workflow for identifying soil strata. A useful application of the approach could be, for example, to  
171 assist the design of large-scale foundation projects such as solar farms. Engineers could be  
172 faced with up to 1000 DPT locations in one project, and this approach provides a consistent,  
173 automated and rapid way to interpret the soil stratigraphy.

174 When applying these BCPD methods to a new site, a calibration process should be carried out  
175 to obtain site-specific values for both the priors and the  $p_{cp}$  hyperparameter; this should provide  
176 improved soil layer boundary detection results. Site-specific calibration should not be an issue  
177 as DPT tests are typically carried out in conjunction with borehole tests. However, if calibration  
178 data is not available at the new site, the calibrated parameters in this paper may be used for  
179 preliminary analysis, using the BCPD methods to highlight potential locations of soil layer  
180 boundaries through the 'spikes' in the changepoint probability. However, caution is advised as a  
181 non-site specific calibration of  $p_{cp}$  and the priors will affect the precision of the soil layer  
182 boundary detections. To investigate the sensitivity of the calibration to the number of DPT tests,  
183 the calibration results (i.e. the calibrated values for  $\alpha, \beta, p_{cp}$ ) were determined using random  
184 selections of 3, 4, 5, 6, 7, 8, 9, 10, 15, 20 DPT tests. The analysis indicates that when 5 or more

185 DPT tests are used for calibration, the calibrated  $p_{cp}$  values are the same and the calibrated  
186 values of  $\alpha, \beta$  change by less than 4% from the values used in the current study. However,  
187 caution should be advised against taking this as a general rule as these results may be specific  
188 to the dataset used in the current study. Furthermore, in this study, each DPT test location is  
189 near a calibration location. The effect of the distance between the calibration and test locations  
190 on the predictive accuracy of the BCPD methods has not been evaluated in this study. Further  
191 research is required with a comprehensive study, involving a larger database of DPT data from  
192 a wider range of sites, to provide more definitive answers to the above questions and to obtain  
193 values of the priors and hyperparameter more suited to general use across different sites.

194

### 195 **Conclusion**

196 This paper proposes a fast, automatic Bayesian approach for soil strata delineation using DPT  
197 data. The proposed approach is based on the concept of offline and online Bayesian  
198 changepoint detection, which allows both retrospective and real-time soil strata delineation. Its  
199 reliability and utility have been evaluated using DPT data from a real-world case study. The  
200 proposed approach is very fast to run and provides additional insights from the DPT data for a  
201 more robust soil strata identification solution.

202

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215 **Data availability statement**

216 Some or all data, models, or code that support the findings of this study are available from the

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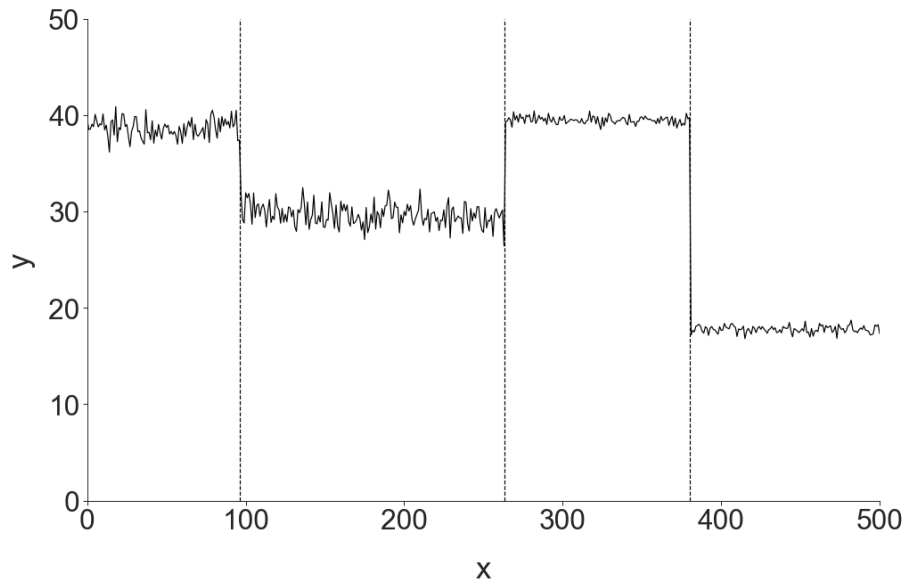
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301 **Table 1** Accuracy calculations for the BCPD-OFF and BCPD-ON soil layer boundary predictions

	TP	FP	FN	Precision	Sensitivity	F1 score
BCPD-OFF	12	3	2	0.80	0.857	0.827
BCPD-ON	10	0	4	1.00	0.714	0.833

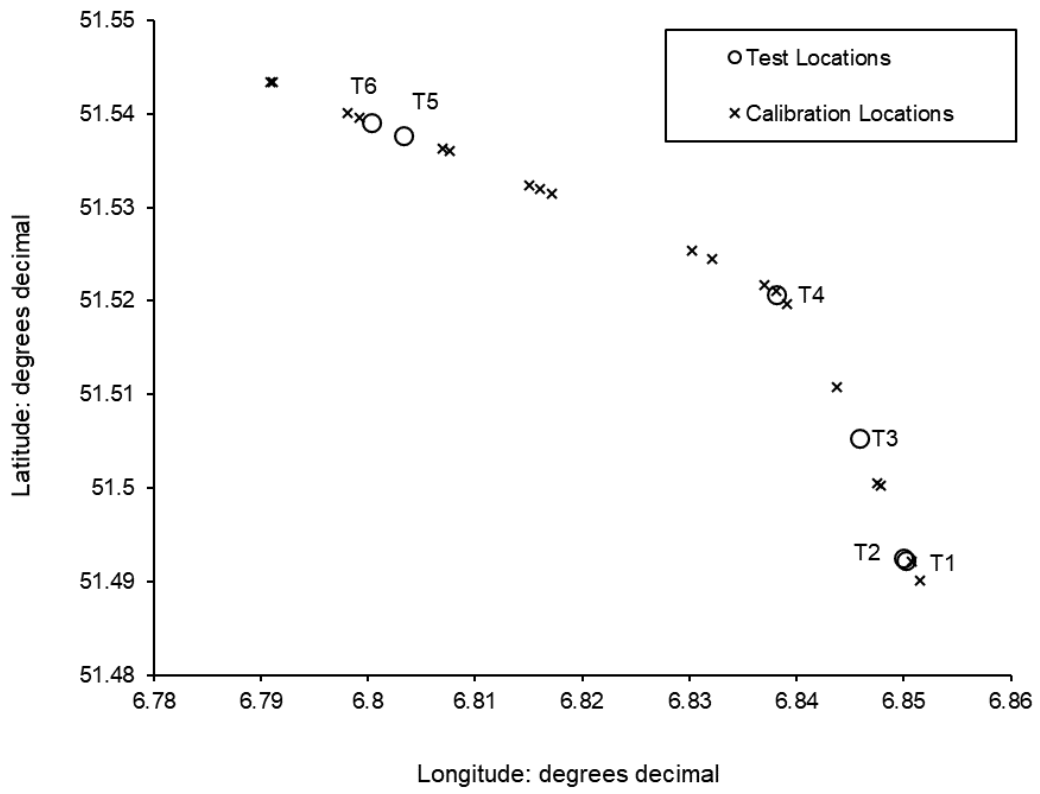
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306 **Figures**  
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311 **Fig. 1** Illustration of a sequence of data with abrupt changes, where  $y$  is the measured quantity  
312 and  $x$  is the index. The dashed lines represent the locations of the changepoints.  
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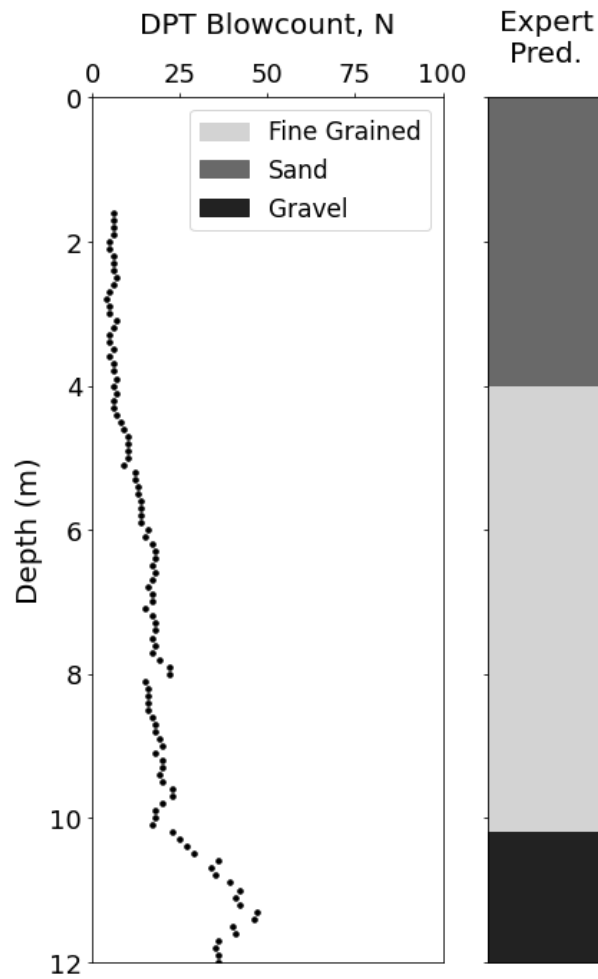
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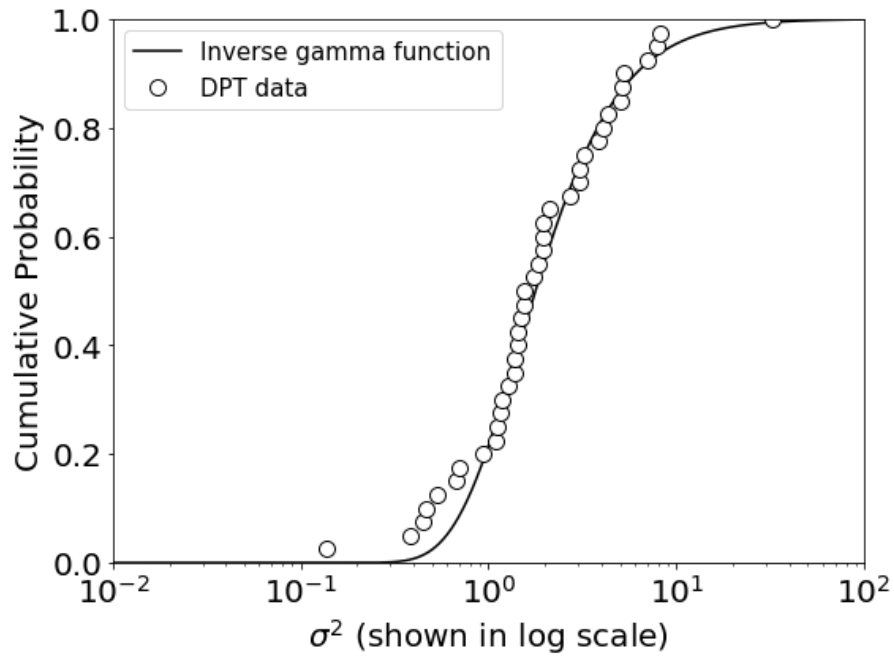
**Fig. 2** Locations of DPT dataset used for calibration and testing of the BCPD methods.



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319 **Fig. 3** Exemplar DPT profile showing the development of the DPT blowcount,  $N$ , with depth.  
320 The expert prediction for the soil strata at this location is also shown, where the soil categories  
321 are shown in the legend.

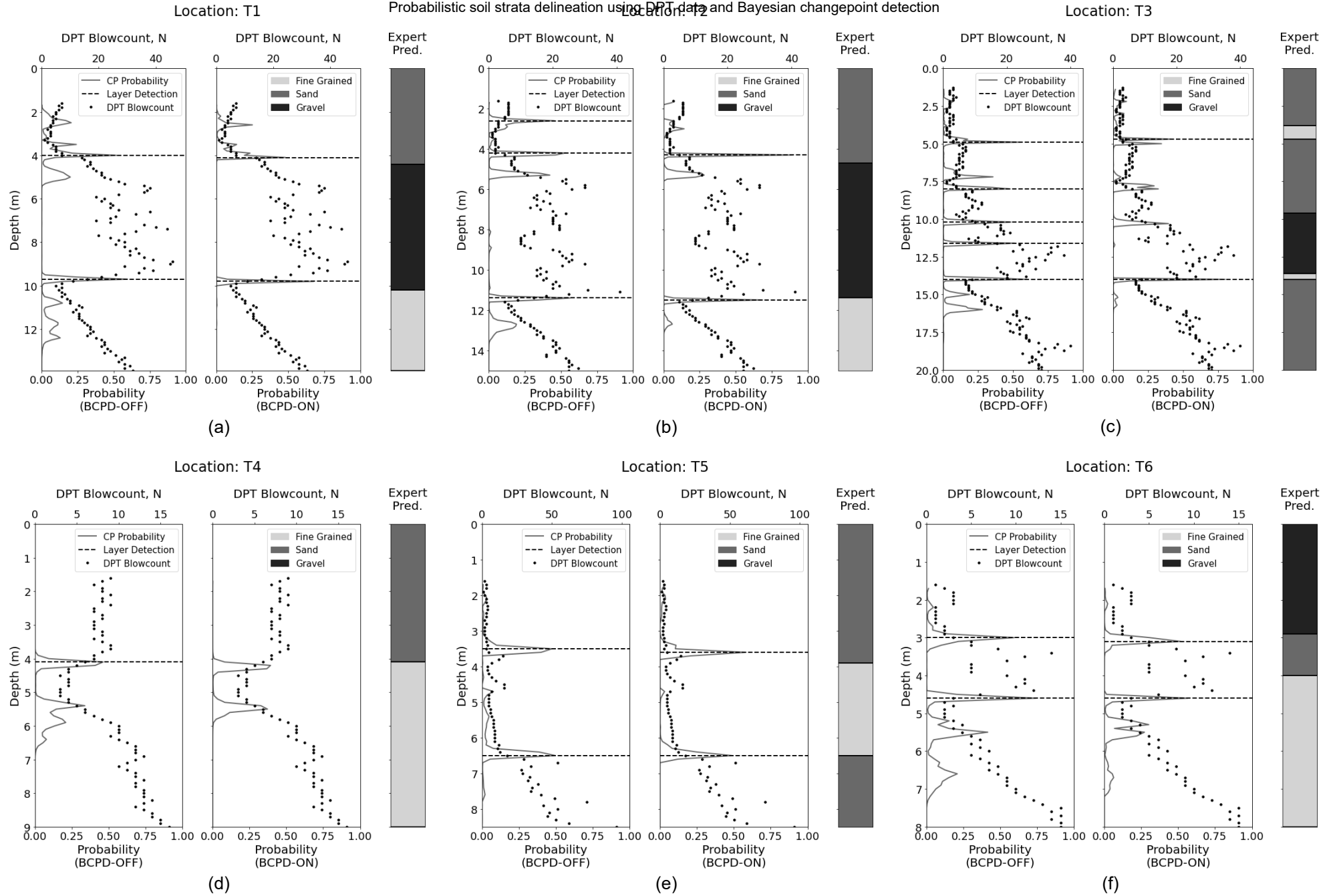
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**Fig. 4** Cumulative distribution of the variance of the transformed  $N$  data within each soil strata identified in the DPT calibration dataset, compared with the inverse gamma cumulative distribution with  $\alpha = 1.8, \beta = 0.38$ .

Probabilistic soil strata delineation using DPT data and Bayesian changepoint detection



**Fig. 5** Comparison of soil strata boundaries (shown as horizontal black lines) predicted by BCPD-OFF and BCPD-ON, with the expert predictions, at locations T1 to T6.