



Mo, Pin-Qiang and Marshall, Alec M. and Yu, Hai-Sui (2016) Interpretation of cone penetration test data in layered soils using cavity expansion analysis. *Journal of Geotechnical and Geoenvironmental Engineering* . ISSN 1943-5606

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Interpretation of Cone Penetration Test Data in Layered Soils using Cavity Expansion Analysis

Pin-Qiang Mo ¹, Alec M. Marshall ², and Hai-Sui Yu ³

ABSTRACT

Cavity expansion theory plays an important role in many geotechnical engineering problems, including the cone penetration test (CPT). One of the challenges of interpreting CPT data is the delineation of interfaces between soil layers and the identification of distinct thin layers, a process which relies on an in-depth understanding of the relationship between penetrometer readings and soil properties. In this paper, analytical cavity expansion solutions in two concentric regions of soil are applied to the interpretation of CPT data, with specific focus on the layered effects during penetration. The solutions provide a large-strain analysis of cavity expansion in two-concentric regions for dilatant elastic-perfectly plastic material. The analysis of CPT data in two-layered soils highlights the effect of respective soil properties (strength, stiffness) on CPT measurements within the influence zones around the two-soil interface. Results show good comparisons with numerical results and elastic solutions. A simple superposition method of the two-layered analytical approach is applied to the analysis of penetration in multi-layered soils. A good comparison with field data and numerical results is obtained. It is illustrated that the proposed parameters effectively capture the influence of respective soil properties in the thin-layer analysis. It is also shown that results based on this analysis have better agreement with numerical results compared with elastic solutions.

Keywords: cone penetration test, layered soils, cavity expansion analysis.

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INTRODUCTION

The cone penetration test (CPT) is a proven tool for in situ soil testing. The test method can provide data for evaluation of important geotechnical design parameters, delineation of different soil profiles within the ground, calculation of end-bearing capacity of piles, and assessment of liquefaction potential. There are a number of methods available for the analysis and interpretation of CPT data, as discussed in Yu and Mitchell (1998), which include bearing capacity theory, steady state approaches, empirical relationships based on experimental tests, numerical analysis, and cavity expansion theory. The focus of this paper is on the use of cavity expansion theory for interpretation of CPT data in layered soils.

Cavity expansion theory has been applied to the analysis of many engineering problems. One of its first applications was for the analysis of the indentation of ductile materials (Bishop et al. 1945). For geotechnical application, Gibson and Anderson (1961) adopted the theory of cylindrical cavity expansion for the estimation of soil properties from pressuremeter test data. Thereafter, numerous analytical and numerical solutions have been proposed using increasingly sophisticated constitutive soil models. The development of the theory and its application to geomechanics was described in detail in Yu (2000). The application of cavity expansion analyses to penetration problems was first reported by Bishop et al. (1945) who noted that the penetrating force is proportional to cavity expansion pressure. Since that time, a considerable amount of research has been carried out to improve the theoretical solutions relating to cavity pressure (particularly the limit pressure) and to investigate the correlation between the cavity pressure and penetrometer resistance. Cone penetration certainly involves more than a single mechanism, such as either cylindrical or spherical cavity expansion. As pointed out by Yu (2006) in his Mitchell Lecture, cone penetration can be modelled by three different ways using cavity expansion theory. They include a spherical cavity expansion approach (e.g. Vesic 1977), a cylindrical cavity approach (e.g. Salgado et al. 1997), and a combined cylindrical-spherical cavity expansion approach (Yu 2006). For each approach, a different correlation would need to be used to approximate cone penetration using cavity

49 expansion solutions. Based on precedence of other researchers, the spherical cavity expansion
50 analysis was considered to be more appropriate for this study due to its reasonable replication
51 of the displacement patterns near the penetrometer tip and the available correlations between
52 spherical cavity expansion pressure and penetration resistance, which this paper relied on.

53 Despite the wide application of the theory to geotechnical problems, very little work has
54 been done to consider the effect of distinct soil layers within the framework of cavity expan-
55 sion analyses. Sayed and Hamed (1987) were the first to apply analytical cavity expansion
56 analyses of concentrically layered media to the field of geomechanics. They applied an elastic
57 solution for spherical expansion to evaluate pile settlement in soil layers, and a cylindrical
58 analysis was used to investigate the effect of a remoulded annulus on the stress-strain be-
59 havior and deformation response of the intact soil. Xu and Lehane (2008) used a numerical
60 analysis of spherical cavity expansion to investigate pile or probe resistance in two-layered
61 soil profiles using a nonlinear elastic hardening soil model. Mo et al. (2014) provided the
62 first analytical solutions of cavity expansion in two concentric regions for dilatant elastic-
63 perfectly plastic material, using a Mohr-Coulomb yield criterion, a non-associated flow rule,
64 and a large-strain analysis.

65 The results presented by Mo et al. (2014) illustrated that the cavity expansion method
66 can be used to study problems involving two concentric regions of soil. The purpose of
67 this paper is to illustrate that the analytical solutions of Mo et al. (2014) can be effectively
68 applied to the interpretation of CPT data in two-layered as well as multi-layered soils. The
69 advantage of the analytical method over numerical and experimental methods is that it
70 provides a more efficient tool for studying the problem. There are numerous examples of
71 numerical and experimental analyses of CPT tip resistance or pile end bearing capacity in
72 layered soils (Xu and Lehane 2008, Ahmadi and Robertson 2005, Mo et al. 2013, 2015) and
73 multi-layered soils (Hird et al. 2003, Ahmadi and Robertson 2005, Walker and Yu 2010),
74 from which some useful data are used in this paper for validation of the proposed analytical
75 method.

76 The paper is organized into four main sections. The correlation between concentric and
77 horizontal layering is provided first, aiming to reveal the analogue between cavity expansion
78 in concentric soils and cone penetration in horizontally layered soils. After illustrating the
79 combination method to relate the theoretical model to the penetration problem, cone tip
80 resistance during penetration in layered soils is investigated using the analytical solutions.
81 The layered and thin-layer effects on penetration resistance are then studied using the an-
82 alytical solutions, with some parametric studies also provided. Results of interpretation of
83 CPT measurements are then compared with numerical results from the literature.

84 **CONCENTRIC AND HORIZONTAL LAYERING**

85 The use of cavity expansion in concentric media as an analogue to cone penetration in hori-
86 zontal soil layers is discussed in this section. For theoretical solutions, an infinite medium or
87 circular/spherical boundary is generally preferred since the symmetric boundary conditions
88 simplify the solutions significantly. Equivalently, most cavity expansion methods employ
89 similar boundary assumptions. A direct application of a concentrically layered model of
90 cavity expansion to pile foundations was proposed by Sayed and Hamed (1987) using elastic
91 analyses. The comparison of cavity expansion in concentric regions and cone penetration in
92 horizontal layers is shown in Fig. 1.

93 In order to study the differences between cavity expansion in concentric and hori-
94 zontally layered models, numerical simulations using Abaqus/Standard were conducted. A
95 schematic of the two models is shown in Fig. 2, where an axisymmetric model was used to
96 provide the spherical cavity expansion analysis. The cavities were expanded from an initial
97 radius of $a_0 = 6 \text{ mm}$ under an initial isotropic pressure of $P_0 = 1 \text{ kPa}$ by increasing the cavity
98 pressure, P_a . The size of the two-soil interface b_0 varied from a_0 to infinity. The analogy
99 presented in Fig. 2b considers penetration from Soil 1 (weaker soil) into Soil 2 (stronger soil).
100 Note that the terms weak and strong are used throughout the paper to indicate not only
101 relative strength of materials but also stiffness. A non-associated Mohr-Coulomb soil model
102 was used for the analytical solutions, as described in Mo et al. (2014), where the plastic flow

103 rule assumes the soil dilates plastically at a constant rate. In general, drained behaviour
 104 of sand could be accurately modelled by the non-associated Mohr-Coulomb model, while
 105 the perfect plasticity indicates the strength of material remains constant during loading and
 106 unloading. Five parameters are required to represent the soil stress-strain relationship: Y-
 107 oung’s modulus (E), Poisson’s ratio (ν), friction angle (ϕ), cohesion (C) and dilation angle
 108 (ψ). The soil parameters were set as follows: $\nu = 0.2$, $\phi = 10^\circ$, $\psi = 10^\circ$, $C = 10 \text{ kPa}$;
 109 $E_{Soil1} = 1 \text{ MPa}$ and $E_{Soil2} = 10 \text{ MPa}$.

110 The penetration process in the concentric model was simulated in two stages correspond-
 111 ing to the states when the cone tip was located within the two different soils. The cone tip
 112 starts within the weaker Soil 1 and approaches the stronger Soil 2. The approach of the cone
 113 tip towards the soil interface is simulated by decreasing b_0 from ∞ to a_0 with Soil A = Soil 1
 114 and Soil B = Soil 2 (Fig. 2a). The cone tip then enters the stronger soil, and the reversal of
 115 Soil A and Soil B is required for the concentric model, hence Soil A = Soil 2 and Soil B =
 116 Soil 1. Movement of the cone tip away from the interface is simulated by increasing b_0 from
 117 a_0 to ∞ . The cavity expansion in the horizontal model (Fig. 2b) is simulated correspondingly
 118 by moving the position of the soil interface, given by b_0 .

119 A comparison between the two model results of cavity pressure with variation of the soil
 120 interface (b_0/a_0) at an expansion stage of $a/a_0 = 1.2$ is illustrated in Fig. 3 (a refers to the
 121 radius of cavity after expansion). The two horizontal reference lines are the cavity pressures
 122 required to achieve this expansion stage in uniform weak and strong soils. The horizontally
 123 layered soil model provides a smooth transition of cavity pressure (and implied penetration
 124 resistance) from one layer to the next. The cavity pressures from the concentrically layered
 125 numerical model don’t show a smooth transition across the interface but instead range from
 126 the uniform soil extremes on each side of the interface. The size of the influence zones
 127 around the interface is related to the stiffness and strength of the respective soil layers, as
 128 demonstrated by the results from both the concentrically and horizontally layered models.
 129 Included in Fig. 3 is a transition line based on a proposed combination method in which

130 the concentrically layered results are used to provide a transition curve which is comparable
131 to that obtained from the horizontally layered model. The combination method will be
132 explained later in the following section.

133 It should be noted that the Mo et al. (2014) analytical solution gives exactly the same
134 results as the concentric numerical model for the same model conditions. A limitation of the
135 numerical simulation of this problem is that the degree of cavity expansion is limited by the
136 allowable level of distortion of the numerical soil elements. The results presented in Fig. 3
137 are therefore based on the simulation of a relatively small expansion ratio of $a/a_0 = 1.2$.
138 The analytical method, on the other hand, can provide precise solutions for expansion to an
139 arbitrary size (Mo et al. 2014), thereby improving the applicability of the method.

140 **PENETRATION IN TWO-LAYERED SOILS**

141 **Combination Method**

142 The limit pressure is often applied to predict pile capacity or probe resistance in conventional
143 cavity expansion solutions (e.g. Randolph et al. 1994). This approach is appropriate for
144 uniform soils since the limiting pressure is only affected by the parameters of a single soil
145 layer. In layered soils, the results in Mo et al. (2014) showed that the limiting pressure
146 depends only on the properties of Soil B (the outer layer or the lower layer). For penetration
147 problems such as CPT or pile capacity analysis, the resistance of a probe located in Soil A
148 depends in part on the properties of Soil A (refer to Fig. 4), so the limit pressure approach
149 is not adequate for layered soils. A more suitable approach for layered soils, as suggested by
150 Xu and Lehane (2008), is to consider a realistic increase in cavity size (given by a/a_0) and
151 evaluate the cavity pressure required to achieve this expansion. Therefore, to investigate cone
152 tip resistance (q_c) in layered soils, the cone penetration process at a given depth is modeled as
153 a spherical cavity expanded slowly from an initial diameter close in size to the average grain
154 size of the soil to a final size corresponding to the diameter of the penetrometer (i.e. $a = B/2$).
155 The cone tip resistance is then related to the corresponding cavity pressure that is calculated,
156 as depicted in Fig. 4. The penetration process is simulated by first considering an analysis

157 point in Soil A (a weaker soil) sufficiently far away from the Soil A/B interface such that
 158 Soil B has no effect, then considering points increasingly close to the interface, and finally
 159 moving into Soil B (a stronger soil). The distance to the soil interface is defined as H , which
 160 is equivalent to b_0 in the cavity expansion analysis.

161 As b_0 decreases from infinity to a_0 (i.e. the cone tip approaches the interface between
 162 Soil A and Soil B), cavity pressure (P_a) transforms from $P_{a,A}$ to $P_{a,B}$ (see to Fig. 5 where
 163 the subscripts w and s refer to the layers of weaker and stronger soil). The cavity pressure
 164 variation during this process provides the transition from Soil A to Soil B (dashed lines in
 165 Fig. 5). However, these two lines do not give an adequate description of the transition of
 166 cavity pressure P_a between the soil layers, owing to the two extremes at the soil interface
 167 (as discussed earlier for the data in Fig. 3). To overcome this deficiency, the lines need
 168 to be combined to provide an interpolated transition of cavity pressure, $P_{a,tr}$. A simple
 169 combination approach for the scenario of a weaker soil overlying a stronger soil is provided
 170 in Fig. 5, which is based on the secant angles (θ_1 and θ_2) at points located $1B$ from the
 171 interface (i.e. a straight line on each side of the interface formed by two points at $|H| = 0$
 172 and $|H| = B$). The modified cavity pressure at the interface ($P_{a,int}$) is calculated by:

$$\frac{P_{a,int} - P_{a,w}}{P_{a,s} - P_{a,int}} = \frac{\tan \theta_1}{\tan \theta_2} \quad (1)$$

173 and the transitionary cavity pressure curve ($P_{a,tr}$) is obtained by:

$$P_{a,tr} = \begin{cases} P_{a,w} + (P_a - P_{a,w}) \times \frac{P_{a,int} - P_{a,w}}{P_{a,s} - P_{a,w}} & \text{(cavity in weak soil)} \\ P_{a,s} - (P_{a,s} - P_a) \times \frac{P_{a,s} - P_{a,int}}{P_{a,s} - P_{a,w}} & \text{(cavity in strong soil)} \end{cases} \quad (2)$$

174 A cavity pressure ratio is defined as $\eta'_{P_a} = (P_{a,tr} - P_{a,w}) / (P_{a,s} - P_{a,w})$ to represent the
 175 transition from weak soil ($\eta'_{P_a} = 0$) to strong soil ($\eta'_{P_a} = 1$). Ultimately, the prediction
 176 of cone tip resistance is needed. The correlations for calculating cone tip resistance from
 177 spherical cavity pressure in cohesionless and cohesive soils proposed by Yasufuku and Hyde

178 (1995) and Ladanyi and Johnston (1974), respectively, were used to estimate q_c in this
 179 analysis:

$$q_c = \begin{cases} P_{a,tr} / (1 - \sin \phi_{smooth}) & \text{(cohesionless soils)} \\ P_{a,tr} + \sqrt{3} s_{u,smooth} & \text{(cohesive soils)} \end{cases} \quad (3)$$

180 where ϕ_{smooth} and $s_{u,smooth}$ are ‘smoothed’ friction angle and undrained shear strength, re-
 181 spectively. Mathematically, the correlation between cavity pressure and penetration re-
 182 sistance is a function of soil properties, therefore a smooth transition of soil properties is
 183 required to obtain a smooth curve of penetration resistance. The ratio η'_{P_a} is used to smooth
 184 the transition of soil properties within the analysis (e.g. $\phi_{smooth} = \phi_w + \eta'_{P_a} \times (\phi_s - \phi_w)$).
 185 The transition of cone tip resistance, q_c , from the weaker to the stronger soil can then be
 186 obtained by combining the data from Eq. 1 and 2 into Eq. 3.

187 To evaluate layered effects on the resistance of penetrometers, Xu and Lehane (2008)
 188 performed a series of numerical analyses of spherical cavity expansion and proposed a re-
 189 sistance ratio, defined as $\eta = q_c/q_{c,s}$, based on a parametric study which was also validated
 190 against centrifuge tests. The influence zone in the stronger layer was defined as the lo-
 191 cation where $\eta = 0.95$, whereas in the weaker layer it was defined as the location where
 192 $\eta = 0.05 + 0.95 \eta_{min}$.

193 A modified cone tip resistance ratio, η' , is proposed here as:

$$\eta' = \frac{q_c - q_{c,w}}{q_{c,s} - q_{c,w}} \quad (4)$$

194 which like η'_{P_a} also varies from 0 to 1 corresponding to the transition from a relatively weak
 195 to strong soil. The influence zones within the weaker and stronger soil layers, referred to as
 196 Z_w and Z_s , respectively, are defined as areas where $0.05 < \eta' < 0.95$.

197 The newly defined resistance ratio (Eq. 4) can also be related to the resistance ratio
 198 proposed by Xu and Lehane (2008) as $\eta' = (\eta - \eta_{min})/(1 - \eta_{min})$. This allows a direct
 199 comparison of the expression obtained in Xu and Lehane (2008), based on their regression

200 analysis of the numerical model results, to the new resistance ratio η' , using the following
201 expression:

$$\eta' = \exp [-\exp (B_1 + B_2 \times H/B)] \quad (5)$$

202 where $B_1 = -0.22 \ln (q_{c,w}/q_{c,s}) + 0.11 \leq 1.5$ and $B_2 = -0.11 \ln (q_{c,w}/q_{c,s}) - 0.79 \leq -0.2$.

203 Interpretation of results

204 A series of cavity expansion simulations in two-layered soils was carried out to explore the
205 effect of changing soil relative density (D_R) across an interface. The simulations considered
206 an initial condition of constant confining stress in order to replicate the environment in a
207 calibration chamber test with no boundary effects. A value of $P_0 = 1 \text{ kPa}$ was used in the
208 simulations. The soil model parameters for different values of D_R are provided in Table 1
209 using the approach presented in Appendix 1, with estimated values of cone resistance in a
210 uniform soil layer based on a penetrometer with a diameter of 12 mm using Eq. 3.

211 By varying the relative density of each soil layer, the cone tip resistance and resistance
212 ratio curves shown in Fig. 6 and 7, respectively, were obtained (using the relationship from
213 Yasufuku and Hyde 1995). The transformation curves are plotted against the normalised
214 distance to the interface (H/B) and show that the influence zone in the stronger layer is
215 larger than in the weaker soil, which agrees with experimental observations (Xu and Lehane
216 2008, Mo et al. 2015) and field tests (Meyerhof and Sastry 1978a, 1978b, Meyerhof 1983).

217 The studies of Meyerhof (1976, 1977) suggested a constant size influence zone around the
218 soil interface: $10 B$ in dense sand, and $2 B$ in loose sand. A linear transition is generally used
219 for pile design. However, from the resistance ratio curves presented, the transition zones on
220 both sides of the soil interface are shown to be non-linearly dependent on the properties of
221 both soil layers. The size of the influence zones varies with the relative density of the soil
222 layer; it can be seen that Z_w increases with an increase of relative density of the weaker soil
223 and that Z_s increases with an increase of relative density of the stronger soil. The size of the
224 influence zone in a soil layer is also affected by the relative density of the adjacent soil; the

225 size of Z_w is shown to decrease with an increase of relative density of the stronger soil and
 226 the size of Z_s is shown to decrease with an increase of relative density of the weaker soil.

227 It was found that the size of the influence zones in the stronger and weaker zones could
 228 be effectively related to the relative densities of the two soils: $D_{R,w}$ and $D_{R,s}$. The data of Z_s
 229 and Z_w , normalized by B , are plotted against $D_{R,w}$ and $D_{R,s}$ in Fig. 8. A surface was fitted
 230 to the data to provide expressions of normalized influence zones, as illustrated in Fig. 8 and
 231 given by:

$$\begin{aligned} Z_w/B &= -0.0871 \times D_{R,w} + 0.0708 \times D_{R,s} - 5.8257 \\ Z_s/B &= -0.1083 \times D_{R,w} + 0.1607 \times D_{R,s} + 5.1096 \end{aligned} \quad (6)$$

232 where D_R is in ‘%’. The correlation coefficients R^2 are 0.9639 and 0.9955, respectively. The
 233 expressions are only valid for this particular soil in a certain stress condition, however they
 234 imply a linear relationship between influence zone size and relative density.

235 **Comparison with numerical results and elastic solutions**

236 This section compares results obtained using the cavity expansion analysis proposed in this
 237 paper against other data available for penetration resistance in layered soils. Fig. 9 compares
 238 η' values obtained from the various sources (discussed below) for equivalent soil properties
 239 and stress conditions. The data illustrate that the results from this study compare very well
 240 with other published methods.

241 The data from Ahmadi and Robertson (2005) is based on a numerical model of cone tip
 242 resistance in layered soils using a Mohr-Coulomb elastic-plastic material. The results of η'
 243 from two of their tests are plotted in Fig. 9: (a) loose sand ($D_R = 30\%$) overlying dense
 244 sand ($D_R = 90\%$); (b) soft clay ($s_u = 20\text{ kPa}$) overlying dense sand ($D_R = 90\%$). Note
 245 that the undrained behaviour of clay was modelled with the Mohr-Coulomb model by setting
 246 Poisson ratio close to 0.5 with a stress independent shear modulus of 6 MPa and cohesion
 247 (undrained shear strength) of 20 kPa . Model parameters were consistent with those from
 248 van den Berg (1994), Ahmadi et al. (2005) and Ahmadi and Robertson (2005), who used
 249 them for numerical analysis using FLAC.

250 The results of Xu and Lehane (2008) were determined using Eq. 5, which was proposed
251 according to the numerical simulation of cavity expansion. The lines of Vreugdenhil et al.
252 (1994) are based on an approximate elastic analysis for interpretation of cone penetration
253 results in multi-layered soils where the CPT is represented by a circular uniform load. The
254 resistance ratio curve is solely dependent on the stiffness ratio, and this ratio here is ap-
255 proximated as $q_{c,w}/q_{c,s}$ for comparison. Note that q_c for clay was determined based on the
256 relationship of Ladanyi and Johnston (1974), as presented in Eq. 3.

257 **PENETRATION IN MULTI-LAYERED SOILS**

258 The cone penetration resistance in multi-layered soils can be obtained by superposition of
259 resistance ratios (η') in two-layer systems. When a cone tip is in a thin ‘sandwiched’ soil
260 layer, the cone tip resistance becomes affected by the subsequent soil layer before it reaches
261 a steady-state resistance in the thin soil layer. Hence, interpretation of CPT data in thin
262 layers may easily over- or under-predict soil properties. The effects of thin layer thickness
263 and soil properties are investigated in this section.

264 **Analysis Methodology**

265 Figure 10 describes the cone penetration process in multi-layered soils where a strong soil is
266 embedded within a weak soil (assuming the layers of weak soil have the same properties).
267 A similar scenario of weak soil embedded in strong soil can also be considered. When the
268 thickness of the strong soil (H_t) is thin enough ($< 2Z_s$), the maximum achieved cone tip
269 resistance ($q_{c,max}$) is less than the resistance in the uniform strong soil ($q_{c,s}$). The maximum
270 resistance is affected by the influence zones (Z_w and Z_s) and the thickness of the strong soil
271 (H_t). A schematic profile of cone tip resistance ratio (η') in the thin-layer of strong soil
272 is shown in Fig. 11a, with definition of maximum resistance ratio (η'_{max}). For the scenario
273 of a thin-layer of weak soil in Fig. 11b, penetration resistance in the strong soil ($\eta' = 1$) is
274 influenced by the weak layer, and the thin-layer effect is evaluated by the minimum resistance
275 ratio (η'_{min}). The difference between the peak resistance ratio and the uniform value provides

276 a measure of the thin-layer effect (i.e. $1 - \eta'_{max}$ for the thin strong layer and $\eta'_{min} - 0$ for
 277 the thin weak layer).

278 From the analytical solution in two-layered soils presented in the previous section, the
 279 resistance ratio for multi-layered soils can be obtained by superposition of η' in multiple two-
 280 layered profiles. For example, when the strong soil is sandwiched by two layers of weak soil,
 281 the profile is a combination of 'weak-strong' (subscript ws) and 'strong-weak' (subscript sw),
 282 with resistance ratios of $\eta'_{ws} = \eta'(H)$ and $\eta'_{sw} = \eta'(H_t - H)$. This is based on a symmetric
 283 assumption, $\eta'_{ws}|_{H=0} = \eta'_{sw}|_{H=H_t}$ and $\eta'_{ws}|_{H=H_t/2} = \eta'_{sw}|_{H=H_t/2}$. When simply multiplying
 284 the resistance ratios, the maximum resistance ratio equals $(\eta'_{ws}|_{H=H_t/2})^2$, and varies from
 285 $(\eta'_{ws}|_{H=0})^2$ to 1 when increasing the thickness of the sandwiched soil layer (H_t) from 0 to
 286 infinity. In order to eliminate this inconsistency, a correction factor (χ_{ws}) is integrated
 287 within the superposition of η'_{ws} and η'_{sw} . The generated resistance ratio and the maximum
 288 resistance ratio in the three-layered system with a thin layer of strong soil are expressed as:

$$\eta' = \eta'_{ws} \times \eta'_{sw} \times \chi_{ws} \quad (7)$$

$$\eta'_{max} = (\eta'_{ws}|_{H=H_t/2})^2 \times \chi_{ws} \quad (8)$$

290 where

$$\chi_{ws} = \frac{(\eta'_{ws}|_{H=H_t/2})^2 - (\eta'_{ws}|_{H=0})^2}{1 - (\eta'_{ws}|_{H=0})^2} \quad (9)$$

291 Correspondingly, the system with a thin layer of weak soil can be produced in a similar
 292 process for the calculation of η'_{min} using:

$$\eta' = 1 - (1 - \eta'_{sw}) \times (1 - \eta'_{ws}) \times \chi_{sw} \quad (10)$$

$$\eta'_{min} = 1 - (1 - \eta'_{sw}|_{H=H_t/2})^2 \times \chi_{sw} \quad (11)$$

294 where

$$\chi_{sws} = \frac{\left(1 - \eta'_{ws}|_{H=H_t/2}\right)^2 - \left(1 - \eta'_{ws}|_{H=0}\right)^2}{1 - \left(1 - \eta'_{ws}|_{H=0}\right)^2} \quad (12)$$

295 **Thin-layer analysis results**

296 *Strong soil within weak soil*

297 Fig. 12 shows the resistance ratio curves for a thin-layer of strong soil ($D_R = 90\%$) embedded
298 within a weak soil ($D_R = 10\%$) with variation of H_t/B from 10 to 50. Thin-layer effects
299 increase significantly with decreasing layer thickness. When $H_t = 50$, the thickness is larger
300 than $2Z_s$ ($Z_s \approx 20$ for the test with $D_R = 10\%$ overlying $D_R = 90\%$) and the maximum
301 value of η' reaches 1, indicating no thin-layer effect.

302 The effect of the relative density of the strong soil (Fig. 13a) and weak soil (Fig. 13b)
303 on the influence of the thin-layer are investigated with a constant thin-layer thickness ($H_t =$
304 $20B$). In Fig. 13a, the value of η'_{max} seems to decrease linearly ($\Delta \eta'_{max}/\Delta D_R \approx -0.2/20\% =$
305 -0.01) when the value of D_R of the thin strong soil is increased from 30% to 90% . In
306 Fig. 13b, the effect of the value of D_R of the weak soil is shown to have less of an effect,
307 where $\Delta \eta'_{max}/\Delta D_R \approx 0.15/20\% = 0.0075$.

308 The variation of η'_{max} with the thickness of the thin-layer is illustrated in Fig. 14. The
309 value of $1 - \eta'_{max}$ indicates the magnitude of the thin-layer effect, which vanishes gradually
310 as H_t increases. The curves also indicate the effect of varying $D_{R,s}$ and $D_{R,w}$. An increase
311 of D_R of the strong soil or a decrease of D_R of the weak soil is shown to increase the effects
312 of the thin strong soil layer.

313 *Weak soil within strong soil*

314 Fig. 15 shows the resistance ratio curves for a thin-layer of weak soil ($D_R = 10\%$) embedded
315 within a strong soil ($D_R = 90\%$) with variation of H_t/B from 5 to 25. Compared to the thin
316 layer of strong soil, a smaller size of H_t is required to produce a thin-layer effect, owing to the
317 smaller size of the influence zone in the weak soil. When $H_t < 15$, the minimum resistance
318 ratio starts to be affected by the strong layers. However, the existence of the weak thin-layer

319 significantly and extensively affects the measurements in both strong layers. When the thin
320 weak layer has a significant effect in this situation, an estimate of the actual $q_{c,w}$ is required
321 to prevent an over-prediction of soil strength. For example, for the test with $H_t/B = 5$ in
322 Fig. 15, the measured minimum penetration resistance is about 848.5 kPa for $\eta'_{min} = 0.167$,
323 whereas the actual penetration resistance in uniform weak soil is 309.1 kPa , which is only
324 36% of the measured resistance.

325 The variation of η' with D_R in each soil layer is shown in Fig. 16, with a constant
326 $H_t = 10 B$. Fig. 16a shows that an increase of the thin-layer effect (given by an increase in
327 $\eta'_{min} - 0$) is observed when the value of D_R of the weak soil is increased. However, as the
328 value of D_R of the thin weak layer is increased, the effect of the thin-layer on the penetration
329 resistance within the surrounding strong soil becomes less significant. Inversely, Fig. 16b
330 shows that when the value of D_R of the strong soil is increased, the thin-layer effect reduces
331 (η'_{min} approaches zero) but the effect of the thin weak layer on the penetration resistance in
332 the surrounding strong soil becomes more significant.

333 Consistent with the gradual reduction of the thin-layer effect with an increase of H_t shown
334 for a thin strong layer of soil (Fig. 14), the minimum resistance ratio in the sandwiched weak
335 soil decreases with H_t , implying a decrease in the thin-layer effect (Fig. 17). A decrease of
336 $D_{R,w}$ or an increase of $D_{R,s}$ are also shown to reduce the thin-layer effect of the embedded
337 weak soil.

338 **Comparisons with field data and numerical results**

339 For penetration in thin layered soils, most of the research and applications reported from
340 the literature are based on the simplified elastic solution carried out by Vreugdenhil et al.
341 (1994). Robertson and Fear (1995) proposed a correction factor $K_H = q_{c,s}/q_{c,max}$ for the
342 interpretation of penetration in thin sand layers embedded in softer deposits, which is used to
343 estimate the actual properties in thinly interbedded soils based on the measured maximum
344 tip resistance ($q_{c,max}$). The degradation curves of K_H with H_t were also investigated for
345 different stiffness ratios G_s/G_w (i.e. $q_{c,s}/q_{c,w}$), based on the method of Vreugdenhil et al.

346 (1994). After some field data reported by an unpublished work by Robertson and Castro,
347 indicating the over-prediction of the thin-layer effects from the elastic solution, Youd et al.
348 (2001) plotted this area with field data, and provided an empirical equation of K_H for the
349 lower bound of the field observation.

350 A series of numerical simulations was also carried out by Ahmadi and Robertson (2005) to
351 examine the variation of the correction factor K_H with thickness H_t , following the simulation
352 of two-layered tests mentioned in the previous section. The sample was a thin sand layer
353 embedded in soft clay layers under a relatively low confining stress ($\sigma'_{v0} = 70 \text{ kPa}$, $\sigma'_{h0} =$
354 35 kPa). Loose sand ($D_{R,s} = 30 \%$), medium dense sand ($D_{R,s} = 50 \%$), and dense sand
355 ($D_{R,s} = 90 \%$) were investigated.

356 Fig. 18 compares the parameters (K_H and η'_{max}) for investigation of the thin-layer effects.
357 Again, the soil properties for the comparisons are equivalent to those from the simulations
358 of Ahmadi and Robertson (2005). The value of K_H in Fig. 18a decreases to 1 when the layer
359 thickness is increased (i.e. $K_H = 1$ implies no thin-layer effects). The field data provided by
360 Robertson and Castro for the NCEER workshop (as reported by Youd et al. 2001) is shown
361 in the shaded area. The current analytical solution for the equivalent problem provides the
362 magnitude of η'_{max} , and therefore calculates $K_H = \frac{q_s/q_w}{(q_s/q_w - 1)\eta'_{max} + 1}$.

363 Comparing with the field data, the analytical results obtained using the cavity expansion
364 analysis proposed in this paper show similar trends of K_H , and illustrate the effect of
365 the relative soil properties. The results from this analysis show that for a given thin layer
366 thickness, a stronger thin layer soil has a larger correction factor K_H . Unfortunately, de-
367 tails of the soil from the field data are not available so it is not possible to make a direct
368 quantitative comparison. The analytical results agree reasonably well with the results of the
369 numerical simulations from Ahmadi and Robertson (2005) (also shown in Fig. 18a), for the
370 same assumed ground conditions.

371 Fig. 18b compares values of η'_{max} obtained using the proposed cavity expansion method
372 with the numerical results and results obtained using the elastic solutions of Vreugdenhil

373 et al. (1994). The numerical results are based on the data in Fig. 18a and the transition
374 curves in Ahmadi and Robertson (2005). The data illustrate the effect of layer thickness
375 (H_t) and relative density of the thin layer, and although similar trends are noted, the elastic
376 solution is shown to predict much higher thin-layer effects (given by $1 - \eta'_{max}$) than the
377 numerical predictions. The current analytical elastic-plastic solutions provide a more rea-
378 sonable evaluation of the thin-layer effects, which show better agreement with the numerical
379 results.

380 DISCUSSION

381 It should be noted that the values of the many parameters (Z_s and Z_w ; K_H and η'_{max})
382 were calculated for specific situations and should not be taken as generally applicable. The
383 influence zones depend not only on the soil properties and profiles, but also on the stress
384 state and probe diameter, which are included in the analytical calculations. The magnitude
385 of in situ confining stress has an impact on the size of the influence zones. A higher stress
386 condition is found to result in smaller values of Z_s and Z_w , though the impact was found to
387 be relatively small. All of the results with distance to the interface have been normalized by
388 the probe diameter. The size of the influence zones are proportional to the probe diameter,
389 and thus a smaller penetrometer will have a less significant layered effect and will be better
390 at detecting thin layers, as mentioned in Ahmadi and Robertson (2005) and Xu and Lehane
391 (2008). Similarly, the thin-layer effects are also influenced by stress condition and probe
392 diameter.

393 Various complexities that affect penetrometer response were intentionally disregarded
394 from the analysis presented in the paper so that the intended focus (i.e. layering effects)
395 would not be diminished. For example, the cone and shaft interface friction (Lee 1990), stress
396 gradient (Bolton et al. 1999), and the pore-water pressure dissipation of the surrounding soil
397 (Sultan and Lafuerza 2013) influence penetrometer readings. The purpose of this paper
398 was to illustrate how an analytical cavity expansion methodology could be applied to the
399 analysis of layered soils. The proposed method could be modified to account for additional

400 complexities, or even to the application of other penetration problems such as the ball
401 penetration test. For example, it may be possible to modify the analysis to consider a stress
402 gradient by including many layers of soil with parameters changing to account for increasing
403 stress level, and the ground surface modelled as an extremely weak soil layer.

404 The analytical solutions presented here used the mean stress as the in situ hydrostatic
405 stress. The effect of the coefficient of at-rest earth pressure (K_0) was not considered. Further
406 work on the application to layered scenarios could use cylindrical solutions with non-isotropic
407 in situ stress condition (e.g. Chen and Abousleiman 2013), or focus on developing elliptical
408 cavity expansion solutions (e.g. Kong et al. 2014).

409 CONCLUSIONS

410 Analytical cavity expansion solutions in two concentrically layered soils were applied to the
411 interpretation of CPT results, with specific focus on the layered effects during penetration.
412 A discussion on concentric and horizontal layering was provided to validate the relevance
413 between the two types of models. The analogy between the CPT and cavity expansion in
414 two-layered soils was described, and a combination approach for predicting tip resistance in
415 two-layered soils was provided. The analyses of CPT in two-layered soils highlighted the
416 effect of respective soil properties (strength, stiffness) on CPT measurements within the
417 influence zones around the two-soil interface. The resistance ratios and influence zones in
418 the weak and strong soils were found to be affected by the soil properties of both layers. The
419 results provided good comparisons with numerical results and the elastic solutions. A simple
420 superposition method of the two-layered analytical results was applied for the analysis of
421 penetration in multi-layered soils. The thin-layer effects were investigated by analyzing a
422 thin layer of both strong and weak soils. The correction factor (K_H) determined using the
423 proposed solution compared well with field data and numerical results, and the proposed
424 parameters (η'_{max} , η'_{min}) were shown to give a good measurement of the thin layer effects.
425 The influence of soil properties in each layer as well as layer geometry on the magnitude of
426 thin-layer effect was demonstrated. It was also shown that the results of η'_{max} showed better

427 agreement with numerical predictions than those obtained using existing elastic solutions.

NOTATION

The following symbols are used in this paper:

a_0, a = radii of cavity;

b_0, b = radii of Soil A/B interface;

q_c = cone tip resistance;

s_u = undrained shear strength for clay;

C = cohesion of soil;

B = diameter of probe or pile;

D = diameter of centrifuge container;

D_R = relative density of soil;

E = Young's modulus of soil;

G, G_0 = shear modulus and small-strain shear modulus of soil;

G_s = specific gravity;

H = distance to soil interface;

H_t = thickness of sandwiched soil layer;

K_0 = coefficient of at-rest earth pressure;

K_H = correction factor for thin-layer effects;

P_0 = initial cavity pressure and in situ hydrostatic stress;

P_a = radial stress at the cavity;

P_{lim} = limit pressure of cavity expansion;

R = radius of probe or pile;

Z_s, Z_w = size of influence zones in strong and weak soils;

ϕ = friction angle of soil;

ψ = dilation angle of soil;

η' = cone tip resistance ratio in layered soils;

ν = Poisson's ratio of soil; and

σ_{atm} = atmospheric pressure, as the reference pressure.

APPENDIX 1. APPROACH FOR PREDICTION OF SOIL MODEL PARAMETERS

The analytical cavity expansion solutions use a non-associated Mohr-Coulomb soil model, where five parameters are required to represent the soil stress-strain relationship: Young's modulus (E), Poisson's ratio (ν), friction angle (ϕ), cohesion (C) and dilation angle (ψ). This appendix provides a simple approach to determine the soil model parameters of Fraction E silica sand.

Many analytical models have been proposed to predict the stress-strain behaviour for granular material (e.g. Santamarina and Cascante 1996, Liao et al. 2000, McDowell and Bolton 2001), especially for the evaluation of small-strain shear modulus, G_0 (where $G = E/[2(1 + \nu)]$). The Fahey-Carter model (Fahey and Carter 1993) was used in this work to define G_0 . For non-linear elastic behaviour, G_0 is defined as a function of in situ confining stress (P_0), as follow:

$$\frac{G_0}{\sigma_{atm}} = c' \left(\frac{P_0}{\sigma_{atm}} \right)^{n'} \quad (13)$$

where c' and n' are soil-specific parameters, and σ_{atm} is atmospheric pressure.

Shear stiffness degradation with increasing shear strain is not included in the analytical solutions, hence G_0 is used to represent the shear stiffness of the soil. Note that, due to the model used for G_0 , the estimated shear modulus is independent of soil density. A different model for G_0 could be adopted to consider the effect of soil density. Poisson's ratio is defined as 0.2, which is reasonable for many soils (Mitchell and Soga 2005). The soil properties are based on Fraction E silica sand, with data obtained from Tan (1990) and Zhao (2008). This same sand was also used in the centrifuge tests reported in Mo et al. (2015). Curve-fitting using the Fahey-Cater model resulted in the soil-specific parameters of $c' = 1000$ and $n' = 0.5$.

In terms of strength and dilatancy of sands, Bolton (1986) proposed a correlation between peak friction angle (ϕ'_{max}), critical state friction angle (ϕ'_{crit}) and peak dilatancy (ψ_{max}), and introduced a relative dilatancy index (I_R), based on triaxial tests of 17 sands: $\phi'_{max} - \phi'_{crit} = 0.8 \psi_{max} = 3 I_R$ (the triaxial scenario was used according to the assumption of spherical

458 cavity expansion). I_R was also defined as a function of relative density (D_R) and in situ
459 confining stress (P_0): $I_R = D_R(Q' - \ln P_0) - R'$, where Q' and R' are material constants;
460 D_R is the relative density value in ‘%’ and P_0 is in kPa .

461 For Leighton Buzzard sand, these material constants were obtained from triaxial tests
462 by Wang (2005): $Q' = 9.4$ and $R' = 0.28$. In addition, the cohesion (C) was set as zero
463 for the cohesionless soil. Considering the assumption of constant material parameters for
464 the analytical solution, a simple averaging method suggested by Randolph et al. (1994) was
465 used for soil between the initial and critical state: $\phi = \frac{\phi'_{max} + \phi'_{crit}}{2}$ and $\psi = \frac{\psi_{max}}{2}$.

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564 **List of Tables**

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TABLE 1. Soil model parameters and estimated cone resistance in uniform soil layer

Relative density	Soil parameters					Cone tip resistance
D_R (%)	G (MPa)	ν	C (kPa)	ϕ ($^\circ$)	ψ ($^\circ$)	q_c (kPa)
10	10.1	0.2	0	33.0	1.2	309
30	10.1	0.2	0	35.8	4.8	573
50	10.1	0.2	0	38.6	8.3	1064
70	10.1	0.2	0	41.5	11.8	1958
90	10.1	0.2	0	44.3	15.3	3542

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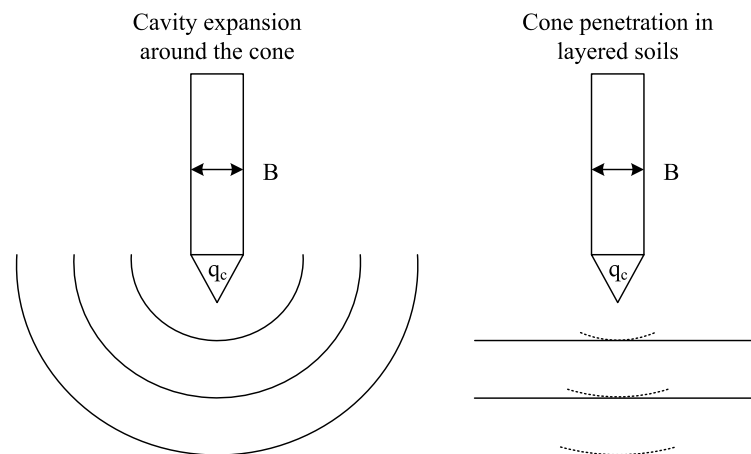


FIG. 1. Comparison of cavity expansion in concentric regions and cone penetration in horizontal layers (adapted from S. M. Sayed and M. A. Hamed, 1987, "Expansion of cavities in layered elastic system." International Journal Journal for Numerical and Analytical Methods in Geomechanics, Vol. 11, No. 1, pp. 203 – 213, ©1999 – 2016 John Wiley & Sons, Inc. Reproduced with permission)

FIG. 2. Numerical models for cavity expansion in: (a) concentric layers; and (b) horizontal layers

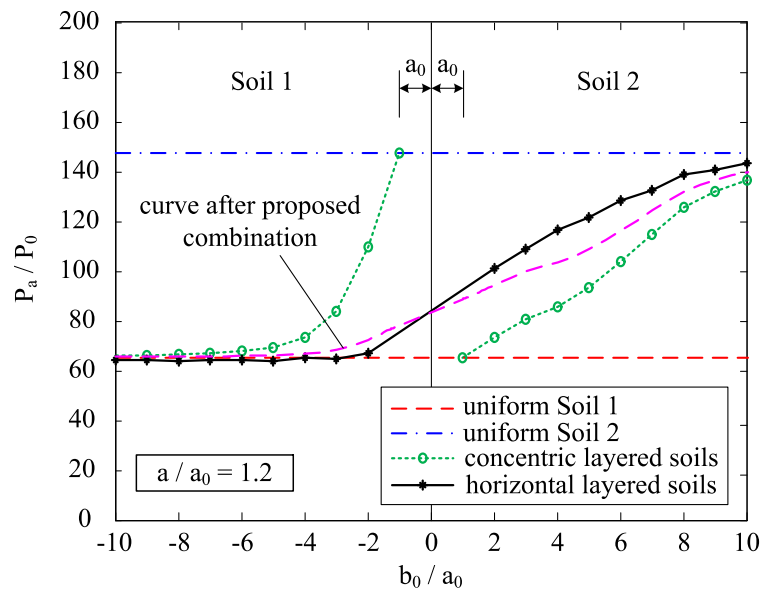


FIG. 3. Cavity pressure with variation of b_0/a_0 in concentric and horizontal layered model when $a/a_0 = 1.2$

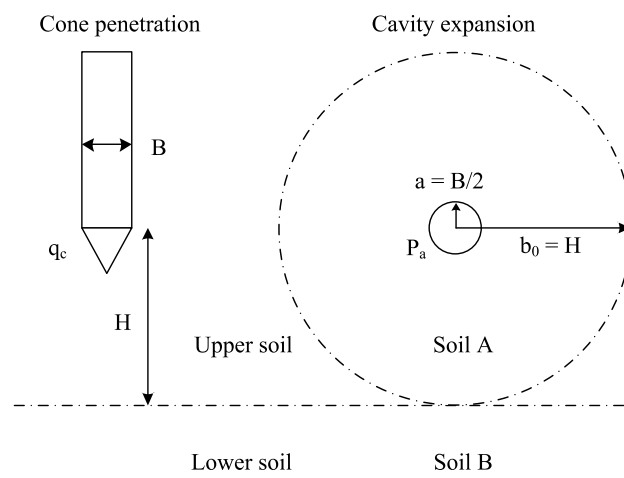


FIG. 4. Schematic of cone penetration and cavity expansion in two-layered soils

FIG. 5. Schematic of combination method for cavity pressure transition in two-layered soils

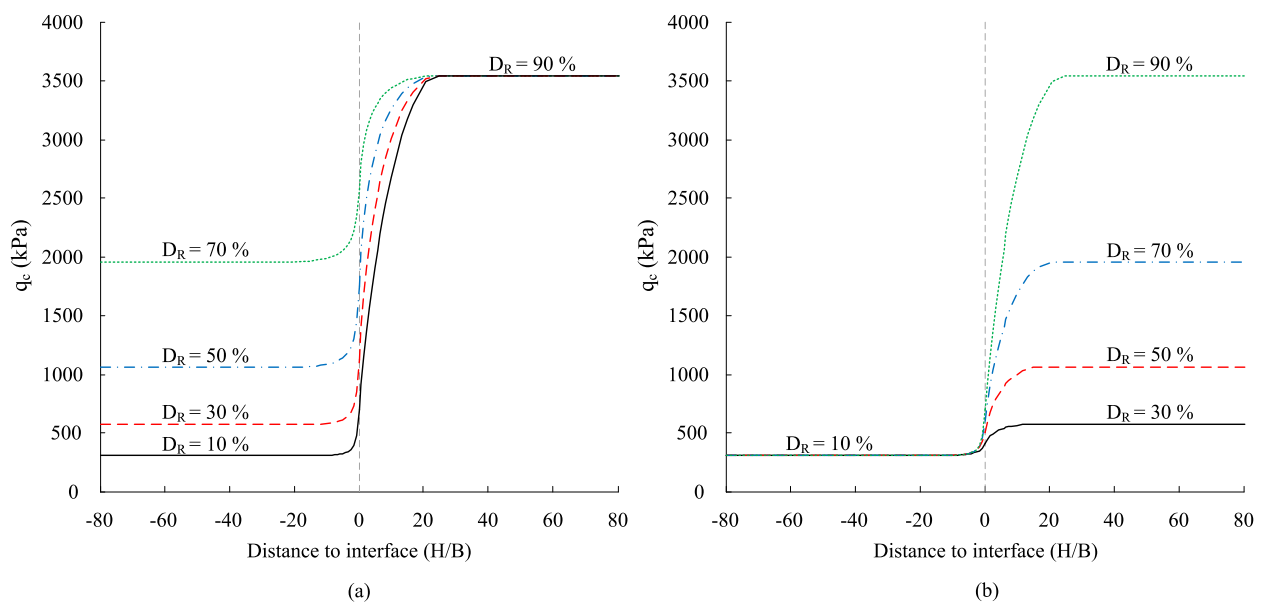


FIG. 6. Cone tip resistance in two-layered (D_R) soils: (a) variation of weaker soil; (b) variation of stronger soil

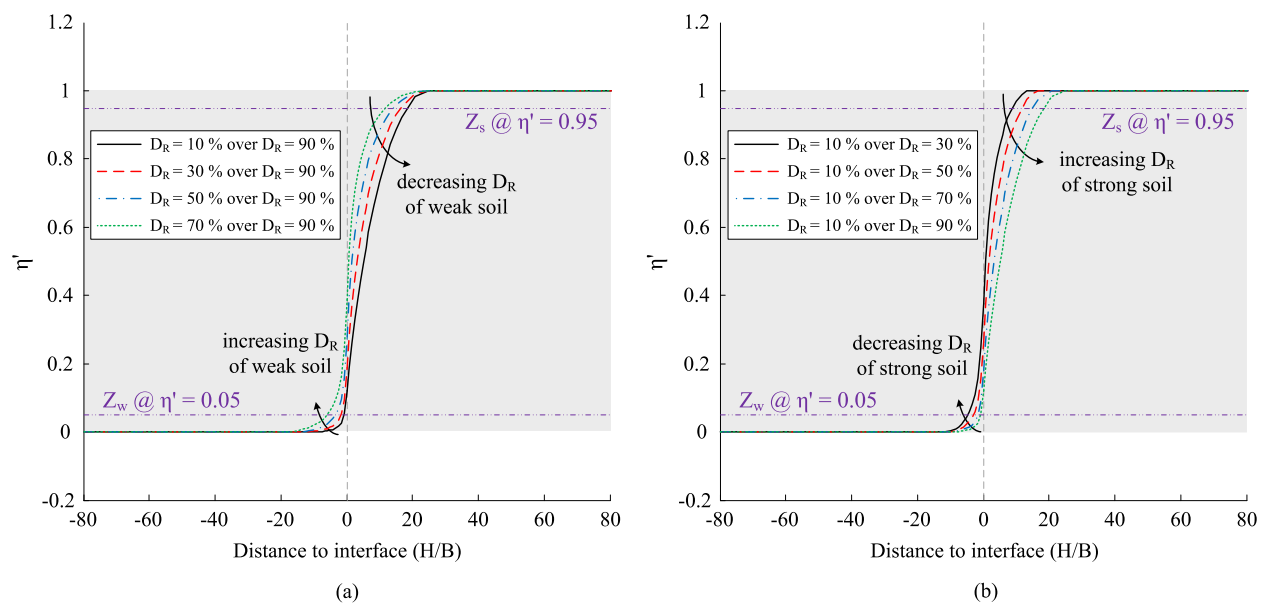


FIG. 7. Cone tip resistance ratio curves in two-layered (D_R) soils: (a) variation of weaker soil; (b) variation of stronger soil

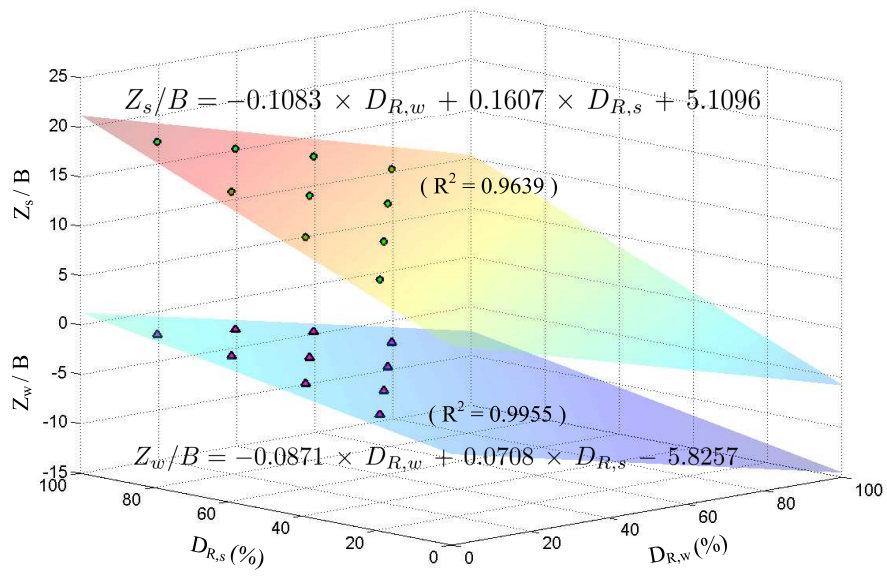


FIG. 8. Influence zones in both weak and strong soils with variation of D_R

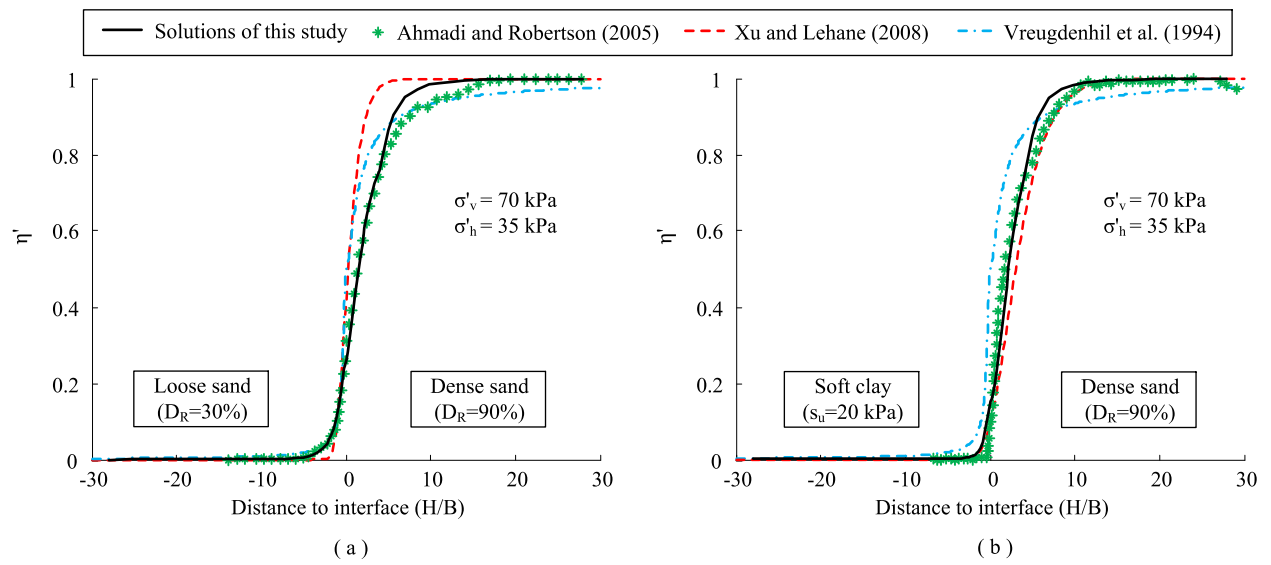


FIG. 9. Comparison of cone tip resistance ratio (η') in two-layered soils: (a) loose sand over dense sand; (b) soft clay over dense sand

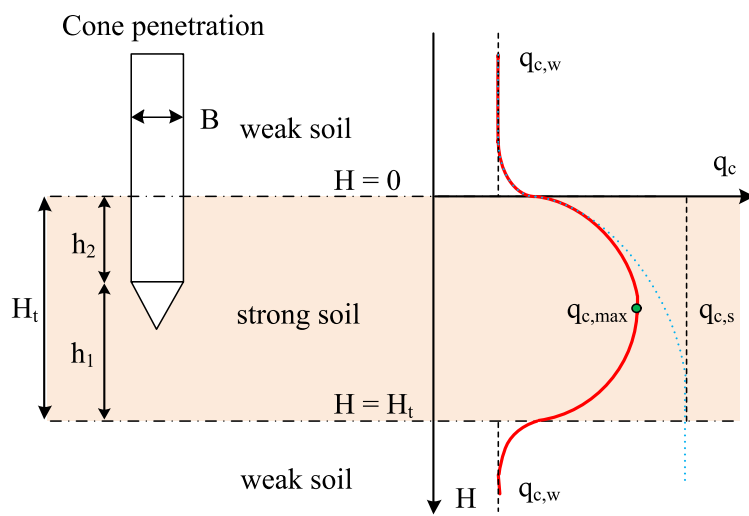


FIG. 10. Schematic of cone penetration in multi-layered soils: strong soil embedded in weak soils

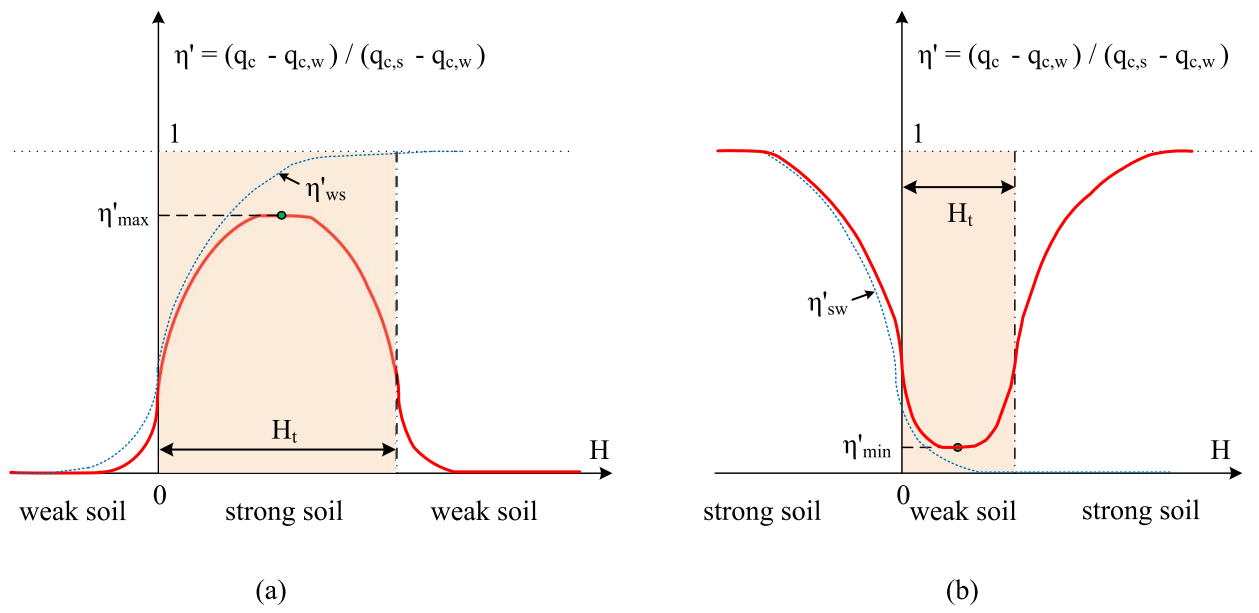


FIG. 11. Schematic of cone tip resistance ratio (η') in thin-layered soils: (a) strong soil embedded in weak soils, and (b) weak soil embedded in strong soils

FIG. 12. Resistance ratio curves for thin-layer of strong soil ($D_R = 90\%$) sandwiched by soils with $D_R = 10\%$, with variation of H_t/B from 10 to 50

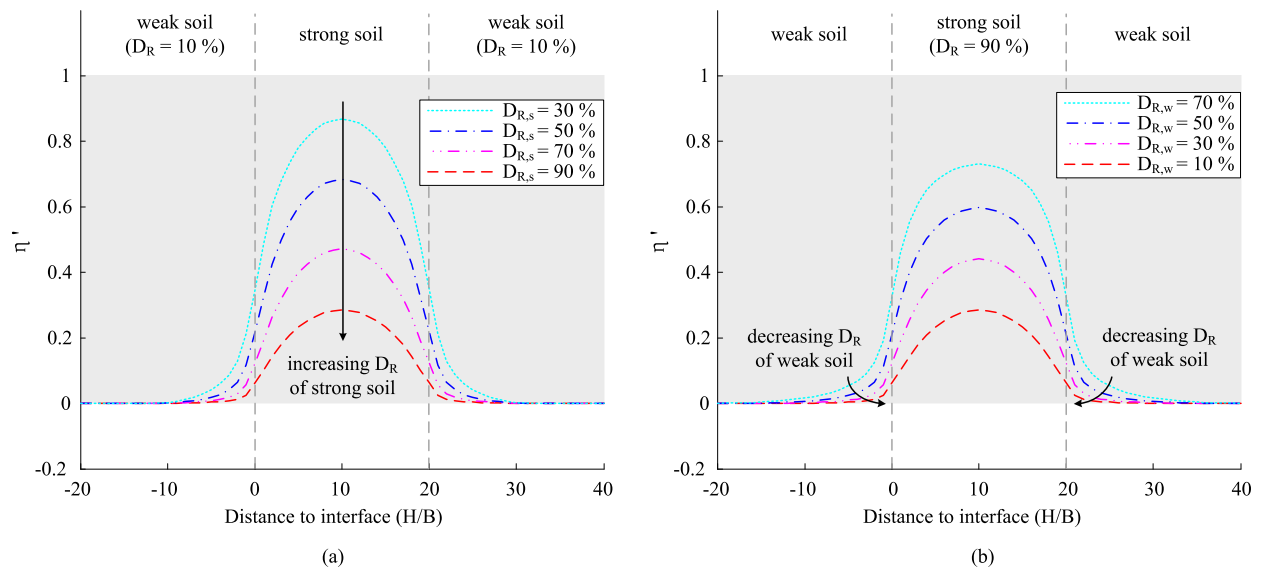


FIG. 13. Resistance ratio curves for thin-layer of strong soil ($H_t/B = 20$): (a) varying D_R in strong soil; (b) varying D_R in weak soil

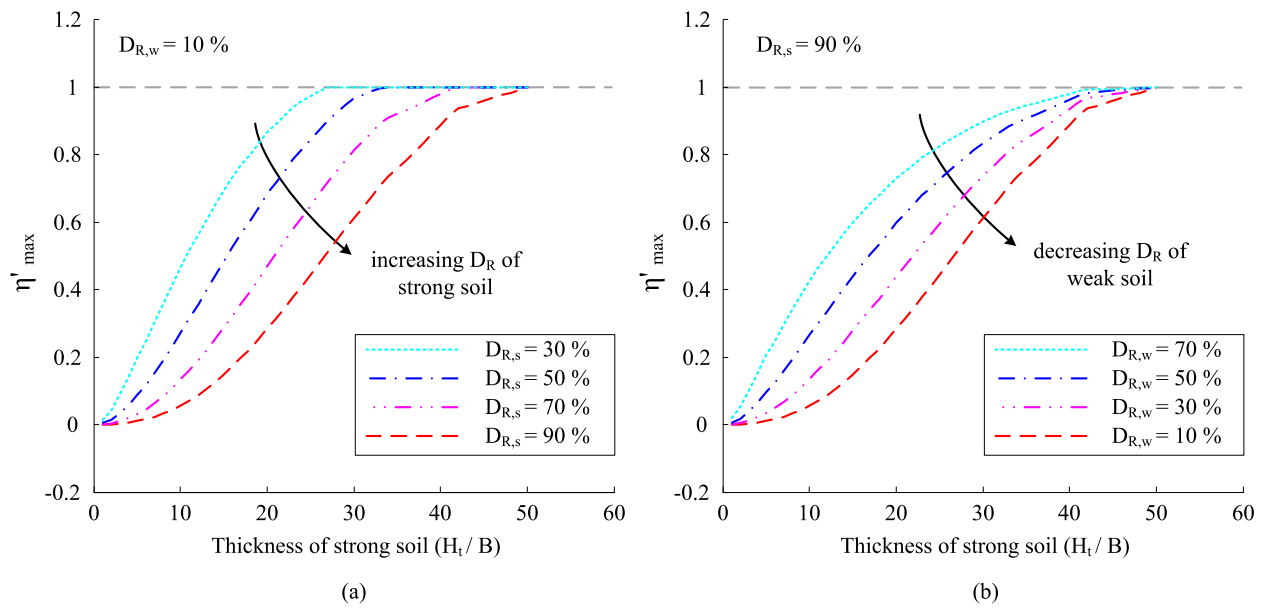


FIG. 14. Strong soil within weak soil: variation of the maximum resistance ratio η'_{max} with the thickness of the thin-layer: (a) varying D_R in strong soil; (b) varying D_R in weak soil

FIG. 15. Resistance ratio curves for thin-layer of weak soil ($D_R = 10\%$) sandwiched by soils with $D_R = 90\%$), with variation of H_t/B from 5 to 25

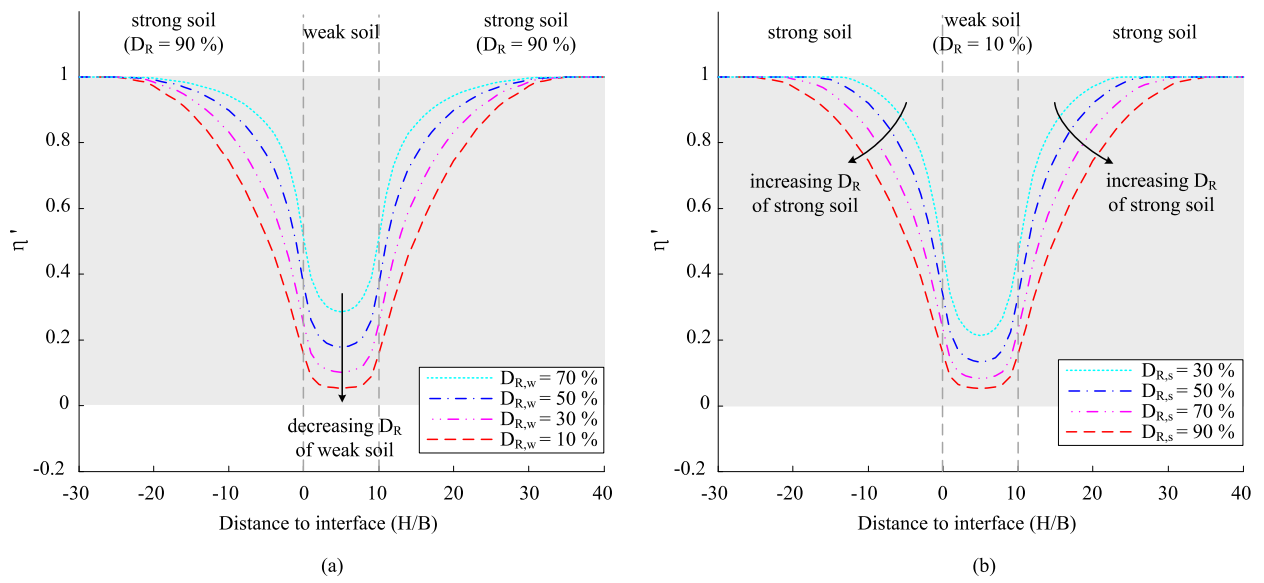


FIG. 16. Resistance ratio curves for thin-layer of weak soil ($H_t/B = 10$): (a) varying D_R in weak soil; (b) varying D_R in strong soil

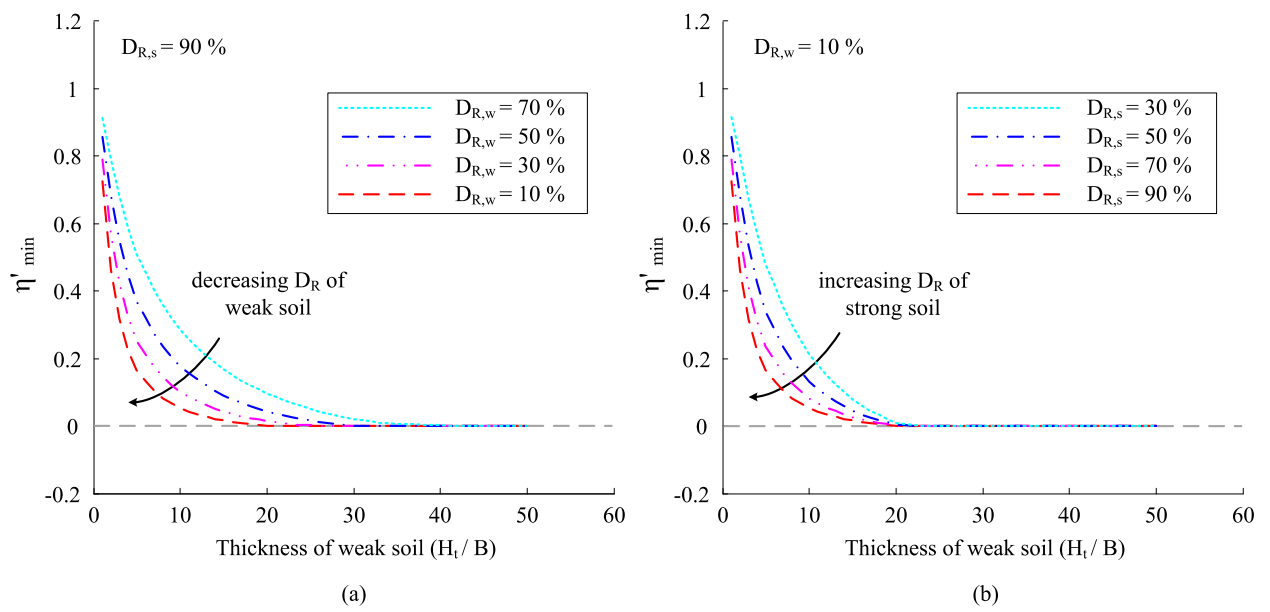


FIG. 17. Variation of the minimum resistance ratio η'_{min} with the thickness of the thin-layer: (a) varying D_R in weak soil; (b) varying D_R in strong soil

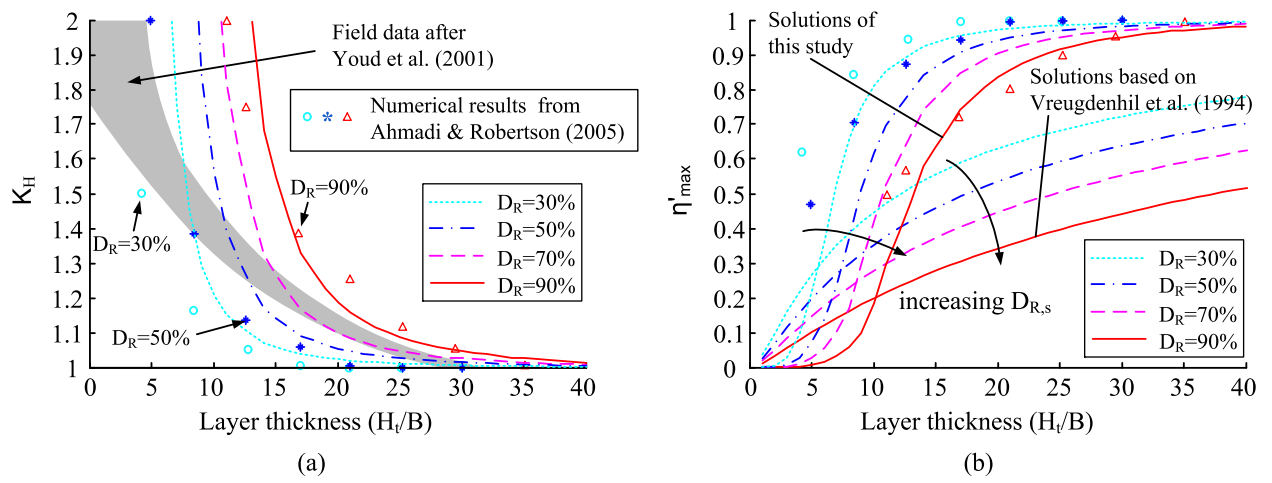


FIG. 18. Comparisons of the parameters for investigation of thin-layer effects: (a) K_H ; (b) η'_{max}