

SMITH'S ELEMENTS OF Soil Mechanics

IAN SMITH



WILEY Blackwell

Smith's Elements of Soil Mechanics

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10TH EDITION

Ian Smith

WILEY Blackwell

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Contents

Prefa	ace		xi
About the Author			xiii
Notation Index			xv
Abo	ut the (Companion Website	xxi
Part	l Fur	ndamentals of Soil Mechanics	1
1		ification and Physical Properties of Soils	3
		ing objectives	3
	1.1	Agricultural and engineering soil	3
	1.2	The rock cycle	5
	1.3	Clay soils	7
	1.4	Field identification of soil	9
	1.5	Soil classification laboratory testing	10
	1.6	Soil classification and description	22
	1.7	Soil properties	27
	Exerc	ises	37
2	Perm	eability and Flow of Water in Soils	41
	Learni	ing objectives	41
	2.1	Subsurface water	41
	2.2	Flow of water through soils	43
	2.3	Darcy's law of saturated flows	45
	2.4	Coefficient of permeability, k	45
	2.5	Determination of permeability in the laboratory	45
	2.6	Determination of permeability in the field	49
	2.7	Approximation of coefficient of permeability	52
	2.8	General differential equation of flow	53
	2.9	Potential and stream functions	54
	2.10	Flow nets	55
	2.11	Critical flow conditions	60
	2.12	Design of soil filters	64
	2.13	Capillarity and unsaturated soils	65
	2.14	Earth dams	70
	2.15	Seepage through non-uniform soil deposits	73
	Exerc		83

.

3	Stres	ses in the Ground	87
	Learr	ning objectives	87
	3.1	State of stress in a soil mass	87
	3.2	Total stress	93
	3.3	Pore water pressure	93
	3.4	Effective stress	94
	3.5	Undrained and drained conditions in a soil	97
	3.6	Stresses induced by applied loads	97
	Exer		112
4	Shea	r Strength of Soils	115
	Learr	ing objectives	115
	4.1	Shear strength of soil	115
	4.2	Determination of the shear strength parameters	126
	4.3	The pore pressure coefficients A and B	147
	4.4	Behaviour of soil during shearing	154
	4.5	Operative strengths of soils	158
	4.6	Sensitivity of clays	160
	4.7	Residual strength of soil	161
	Exer		163
5	Stres	s Paths and the Critical State	167
	Learr	ning objectives	167
	5.1	Stress paths in two-dimensional space	167
	5.2	Stress paths in three-dimensional space	175
	5.3	Isotropic consolidation	176
	5.4	Stress paths in the triaxial apparatus	178
	5.5	Introduction to critical state soil mechanics	182
	5.6	Undrained and drained planes	185
	5.7	State boundaries	190
	5.8	Residual and critical strength states	197
	Exer	lises	197
Part	II G	eotechnical Codes and Standards and Site Investigation	201
6	Euro	code 7	203
	Learr	ning objectives	203
	6.1	Preface to Chapter 6	203
	6.2	Introduction to the Eurocodes	204
		Section A: Eurocode 7 – first generation (EN 1997:2004 and 2007)	206
	6.3	Eurocode 7 – first generation	206
	6.4	Geotechnical design by calculation	207
	6.5	Ultimate limit states	213
	6.6	The EQU limit state	214
	6.7	The GEO limit state and design approaches	218
	6.8	Serviceability limit states	223
	6.9	Geotechnical design report	223

		Section B: Eurocode 7 – second generation (EN 1997: 202x)	223
	6.10	Eurocode 7 – second generation	223
	6.11	Basis of structural and geotechnical design – EN 1990:202x	224
	6.12	Design of a geotechnical structure – EN 1997: Parts 1, 2 and 3 (202x)	227
	6.13	Verification by the partial factor method	231
	6.14	Execution, Monitoring and Reporting	237
7	Site l	nvestigation	241
	Learn	ing objectives	241
	7.1	Eurocode 7 and execution standards	242
	7.2	Planning of ground investigations	242
	7.3	Site exploration methods	246
	7.4	Soil and rock sampling	251
	7.5	Groundwater measurements	259
	7.6	Field tests in soil and rock	261
	7.7	Geotechnical reports	270
	Exerc	ises	273
Part	III Ad	dvanced Soil Mechanics and Applications	275
8	Latera	al Earth Pressure	277
	Learn	ing objectives	277
	8.1	Earth pressure at rest	277
	8.2	Active and passive earth pressure	278
	8.3	Rankine's theory: granular soils, active earth pressure	279
	8.4	Rankine's theory: granular soils, passive earth pressure	286
	8.5	Rankine's theory: cohesive soils	287
	8.6	Coulomb's wedge theory: active earth pressure	291
	8.7	Coulomb's wedge theory: passive earth pressure	297
	8.8	Surcharges	301
	8.9	Choice of method for determination of active pressure	307
	8.10	Backfill material	308
	8.11	Influence of wall yield on design	314
	8.12	Design parameters for different soil types	315
	Exerc	ises	318
9	Retai	ning Structures	321
	Learn	ing objectives	321
	9.1	Main types of retaining structures	321
	9.2	Gravity walls	322
	9.3	Embedded walls	324
	9.4	Design of retaining structures	325
	9.5	Design of gravity retaining walls	329
	9.6	Design of sheet pile walls	348
	9.7	Braced excavations	364
	9.8	Reinforced soil	367
	9.9	Soil nailing	368
	Exerc	ises	369

viii Contents

10	Beari	ng Capacity and Shallow Foundations Design	373
	Learn	ing objectives	373
	10.1	Bearing capacity terms	373
	10.2	Types of foundation	374
	10.3	Ultimate bearing capacity of a foundation	374
	10.4	Determination of the safe bearing capacity	383
	10.5	The effect of groundwater on bearing capacity	383
	10.6	Developments in bearing capacity equations	384
	10.7	Designing spread foundations to Eurocode 7 (first generation)	390
	10.8	Designing spread foundations to Eurocode 7 (second generation)	407
	10.9	Non-homogeneous soil conditions	410
	10.10	•	410
	Exerc	5 1 5 5	416
11	Pile F	oundations	419
••		ing objectives	419
	11.1	Introduction	419
	11.2	Classification of piles	419
	11.3	Method of installation	420
	11.4	Pile load testing	424
	11.5	Determination of the bearing resistance of a pile	426
	11.6	Pile groups	435
	11.7	Designing pile foundations to Eurocode 7 (first generation)	438
	11.8	Designing pile foundations to Eurocode 7 (met generation)	447
	11.9	Piles subjected to additional, non-compressive loadings	458
	Exerc		459
12	Found	dation Settlement and Soil Compression	463
		ing objectives	463
	12.1	Settlement of a foundation	463
	12.2	Immediate settlement	464
	12.3	Consolidation settlement	475
	12.4	Application of consolidation test results	486
	12.5	General consolidation	487
	12.6	Settlement analysis	488
	12.7	Eurocode 7 serviceability limit state	496
	12.8	Stress paths in the oedometer	498
	12.9	Stress path for general consolidation	499
	Exerc		501
13	Rate	of foundation settlement	505
-		ing objectives	505
	13.1	Analogy of consolidation settlement	505
	13.2	Distribution of the initial excess pore pressure, u _i	506
	13.3	Terzaghi's theory of consolidation	506
	13.4	Average degree of consolidation	510

	40 5		- 44
	13.5	Drainage path length	511
	13.6	Determination of the coefficient of consolidation, c_v , from the consolidation test	511
	13.7	Determination of the permeability coefficient from the consolidation test	513
	13.8	Determination of the consolidation coefficient from the triaxial test	513
	13.9	The model law of consolidation	516
	13.10	5	517
		Consolidation by drainage in two and three dimensions	520
		Numerical determination of consolidation rates	520
	13.13	Construction pore pressures in an earth dam	526
	13.14	Numerical solutions for two- and three- dimensional consolidation	528
	13.15	Wick, or prefabricated vertical, drains	531
	13.16	Preconsolidation by surface loading	537
	Exerci	Ses	537
14	Stabili	ty of Slopes	541
		ng objectives	541
	14.1	Planar failures	542
	14.2	Rotational failures	547
	14.3	Slope stability design charts	572
	14.4	Wedge failure	576
	14.5	Slope stability assessment to Eurocode 7	578
	Exerci		586
15	Soil C	ompaction, Highway Foundation Design and Ground Improvement	591
		ng objectives	591
	15.1	Field compaction of soils	591
	15.2	Laboratory compaction of soils	593
	15.3	Specification of the field compacted density	601
	15.4	Field measurement tests	603
	15.5	Highway design	606
	15.6		615
	15.8	Subgrade improvement through soil stabilisation	
		The moisture condition value, MCV	616
	15.8 15.0	Ground improvement techniques	621
	15.9	Environmental geotechnics	624
	Exerci	Ses	624
16		roduction to Constitutive Modelling in Geomechanics	627
		ng objectives	627
		Introduction	627
	16.2	Stress-strain behaviour	628
	16.3	Selecting the most appropriate constitutive model	629
	16.4	Linear elasticity theory	631
	16.5	Rigid plasticity theory	639
	16.6	Elastoplasticity theory	640
Refe	rences		663
Inde	x		669

Preface

When the ninth Edition of this book was published in 2014, I was pleased to receive positive feedback for making the understanding of the new geotechnical design code, Eurocode 7, straightforward and easy to follow. At that same time, a review of all Eurocodes commenced with the intention of producing a 'second generation' of the codes containing improvements and changes to the design procedures. The second generation of the Eurocodes will be published throughout the 2020s and Eurocode 7, in particular, is set to be significantly different from the first generation of the code.

The changes in the new Eurocode 7 affect many aspects of the existing design procedure, and I describe these and explain how to perform the new geotechnical design process in this tenth edition of the book. Many new worked examples help to illustrate the new procedures. Since the first generation of Eurocode 7 is still very much in use in geotechnical design, I have retained the content on it so that readers of this book can gain a thorough understanding of the design procedures used in both generations of the code.

As with the ninth edition, to help the reader fully understand the stages of a Eurocode 7 design, I have arranged the sequence of chapters in the book appropriately: Chapter 6 describes the design methods (aligning mainly to Eurocode 7 Part 1) and Chapter 7 describes the ground investigation aspects (aligning to Part 2). The new Part 3 of the second generation of the code is then introduced in the appropriate later chapters in the book (e.g. retaining structures, shallow and deep foundations).

In recognition of the growing coverage of geomechanical modelling in university degrees, I have introduced a brand-new chapter on constitutive modelling in geomechanics (Chapter 16). The content of this chapter was provided by my friend and colleague Dr Rodaina Aboul Hosn from the *École Spéciale des Travaux Publics*, Paris. What Rodaina does not know about constitutive modelling is not worth knowing, and I owe her an immense amount of thanks for her excellent work. I have embedded Rodaina's work into my style of writing so that the chapter sits neatly alongside all the other chapters.

In addition to the above new content, I have also updated all sections on laboratory and field testing to align the descriptions of the procedures with the new international standards for these tests (Chapters 1, 4 and 7). Another update introduced in this edition is highway pavement foundation design (Chapter 15) – brought about as a result of revisions to the UK Design Manual for Roads and Bridges (DMRB). The early chapters of the book continue to cover the fundamentals of the behaviour of soils. To ease understanding of critical state soil mechanics, I have rearranged and expanded this subject and this is now in a new chapter alongside description of stress paths (Chapter 5).

As with previous editions, I have provided many worked examples throughout the book that illustrate the principles of soil mechanics and the geotechnical design processes. To help the reader further, I have produced a suite of spreadsheets and documents to accompany the book that match up against many of the worked examples. These can be used to better understand the analysis being adopted in the examples. In addition, I have produced the solutions to the exercises at the end of the chapters, a suite of video animations of lab tests and geotechnical processes, and various other teaching resources to accompany the book. All of these files can be freely downloaded from the companion website.

The content of the book aligns to the subjects typically covered in all university geotechnics courses. Teachers should find the content and teaching resources helpful for the own needs, and students will find that the book covers all courses in all years of their degree – all written in an easy-to-follow style.

In addition to Dr Aboul Hosn, I must also express my thanks to Dr Andrew Bond (past Chair TC250/SC7 – Eurocode 7) and to Dr Daniel Barreto (Edinburgh Napier University) for answering the various questions I posed to them as I wrote this edition.

Professor Ian Smith Edinburgh, January 2021

About the Author

Ian Smith is a freelance Geotechnical and Educational consultant, and Professor of Geotechnical Engineering and Leader of the Built Environment Education at Heriot Watt University, Edinburgh. He has taught Geotechnical Engineering for 25 years at various universities across the globe, having spent some years beforehand working in the site investigation industry. He was Head, then Dean, of the School of Engineering and the Built Environment at Edinburgh Napier University before leaving to set up his own consultancy in 2017. He is an authority on the use of Eurocode 7 in geotechnical design, and has instructed designers and academics in the use of the code throughout the UK, Europe and in China. He is also Visiting Professor at three universities in China and is regularly invited to teach geotechnical engineering at universities across Europe and Asia.

Notation Index

The following is a list of the more important symbols used in the text.

Notation specific to the second generation of Eurocode 7 are indicated where appropriate.

A	Area, pore pressure coefficient
A'	Effective foundation area
A _b	Area of base of pile
A _s	Area of surface of embedded length of pile shaft
В	Width, diameter, pore pressure coefficient, foundation width
Β′	Effective foundation width
С	Cohesive force, constant
Ca	Area ratio
C _C	Compression index, soil compressibility, coefficient of curvature
C _{d,SLS}	Eurocode 7 serviceability limit state limiting design value
C _N	SPT overburden correction factor
C _r	Static cone resistance
Cs	Constant of compressibility
C _u	Uniformity coefficient
Cv	Void fluid compressibility
Cw	Adhesive force
D	Diameter, depth factor, foundation depth, embedded length of pile
Dw	Depth of groundwater table
D _r	Relative density
D ₁ , D ₂	Cutting shoe diameters
D ₁₀ , D ₃₀ , D ₆₀	Effective particle sizes (10, 30, 60%)
E	Modulus of elasticity, efficiency of pile group
E'0	One-dimensional modulus of elasticity
Ed	Eurocode 7 design value of effect of actions
E _{dst;d}	Eurocode 7 design value of effect of destabilising actions
E _{stb;d}	Eurocode 7 design value of effect of stabilising actions
E _M	Pressuremeter modulus
E _m	Eurocode 7 design value of modulus of elasticity
Er	SPT energy ratio
F	Factor of safety
F _b	Factor of safety on pile base resistance
F _{c;d}	Eurocode 7 design axial compression load on a pile
F _d	Eurocode 7 design value of an action
F _{rep}	Eurocode 7 representative value of an action
Fs	Factor of safety on pile shaft resistance

A A	
G; G'	Shear modulus; effective shear modulus
G _k ; G _d	Eurocode 7 (2nd G) characteristic permanent action; design permanent action
G _{dst;d}	Eurocode 7 design value of destabilising permanent vertical action (uplift)
Gs	Particle specific gravity
G _{stb;d}	Eurocode 7 design value of stabilising permanent vertical action (uplift)
G′ _{stb;d}	Eurocode 7 design value of stabilising permanent vertical action (heave)
G _{wk}	Eurocode 7 (2 nd G) characteristic value of G _w
G _{w,rep}	Eurocode 7 (2^{nd} G) representative value of G_w
G _{wk;inf}	Eurocode 7 (2^{nd} G) inferior (lower) characteristic value of G _w
G _{wk;sup}	Eurocode 7 (2 nd G) superior (upper) characteristic value of G _w
Н	Thickness, height, horizontal load
1	Index, moment of inertia
I _D	Density index
IL	Liquidity index
l _P	Plasticity index, immediate settlement coefficient
l _σ	Vertical stress influence factor
ĸ	Boussinesq Influence factor, ratio of σ_3/σ_1 , bulk/volumetric modulus
Κ′	Effective bulk/volumetric modulus
K _a	Coefficient of active earth pressure
Κ _F	Eurocode 7 (2nd G) action consequence factor
К _М	Eurocode 7 (2nd G) material consequence factor
K ₀	Coefficient of earth pressure at rest
К _р	Coefficient of passive earth pressure
K'_{ps}	Effective plane strain bulk/volumetric modulus
K _s	Pile constant
L	Length
Ľ	Effective foundation length
M	Moment, slope projection of critical state line, mass, mobilisation factor
M _s	Mass of solids
M _s	Mass of water
N	Number, stability number, uncorrected blow count in SPT
N ₆₀	Number of blows from the SPT corrected to energy losses
(N ₁) ₆₀	Number of blows from the SPT corrected to energy losses, rod length and normalised for
(111/60	effective vertical overburden stress
N_{c}, N_{q}, N_{γ}	Bearing capacity coefficients
N_{p}	Immediate settlement coefficient
P	Force
Pa	Thrust due to active earth pressure
P _p	Thrust due to passive earth pressure
P _w	Thrust due to water or seepage forces
Q	Total quantity of flow in time t, applied surface line load
Q _b	Ultimate soil strength at pile base
Q _k ; Q _d	Eurocode 7 (2nd G) characteristic variable action; design variable action
Q_{s}	Ultimate soil strength around pile shaft
Q _u	
R	Ultimate load carrying capacity of pile Radius, reaction
	Eurocode 7 calculated value of pile base resistance
R _{b;cal} R	Eurocode 7 calculated value of pile base resistance
R _{b;k} R	Eurocode 7 (2nd G) representative base resistance
R _{b,rep}	Luiocode / Izila O/ representative base resistance

D	Eurocodo 7 comproceivo registance of ground against a nile at ultimate limit state
R _c	Eurocode 7 compressive resistance of ground against a pile at ultimate limit state
R _{c;cal}	Eurocode 7 calculated value of R _c
R _{c;d}	Eurocode 7 design value of R _c
R _{cd}	Eurocode 7 (2nd G) design value of R _c
R _{c;k}	Eurocode 7 characteristic value of R _c
R _{c;m}	Eurocode 7 measured value of R _c
R _{c,rep}	Eurocode 7 (2nd G) representative total pile resistance
R _d	Eurocode 7 design resisting force
R _o	Overconsolidation ratio (one-dimensional)
R _p	Overconsolidation ratio (isotropic)
R _{s;cal}	Eurocode 7 calculated value of pile shaft resistance
R _{s;k}	Eurocode 7 characteristic value of pile shaft resistance
R _{s,rep}	Eurocode 7 (2nd G) representative shaft resistance
S	Vane shear strength
S _{dst;d}	Eurocode 7 design value of destabilising seepage force
Sr	Degree of saturation
St	Sensitivity
T	Time factor, tangential force, surface tension, vane torque
T _d	Eurocode 7 design value of total shearing resistance around structure
U	Average degree of consolidation
Uz	Degree of consolidation at a point at depth z
V	Volume, vertical load
V _a	Volume of air, percentage air voids
V _{dst;d}	Eurocode 7 design value of destabilising vertical action on a structure
Vs	Volume of solids
V _v	Volume of voids
V _w	Volume of water
Ŵ	Weight
Ws	Weight of solids
W _w	Weight of water
X _d	Eurocode 7 design value of a material property
X _a X _k	Eurocode 7 representative value of a material property
Λ_{k}	Eurocode 7 (2nd G) characteristic value of a material property
x	Eurocode 7 (2nd G) representative value of a material property
X _{rep} Z	Section modulus
	Area, wall adhesion, intercept of MCV calibration line with w-axis
a b	Width, slope of MCV calibration line
	Unit cohesion
c c	
c'	Unit cohesion with respect to effective stresses
с _b	Undisturbed soil shear strength at pile base
c' _d	Eurocode 7 design value of effective cohesion
Cr	Residual value of cohesion
Cu	Undrained unit cohesion
Cu	Average undrained shear strength of soil
c _{u;d}	Eurocode 7 design value of undrained shear strength
Cv	Coefficient of consolidation
c _w	Unit cohesion between wall and soil
d	Pile penetration, pile diameter, particle size
d_c , d_q , d_γ	Depth factors

•	Void ratio accontribity
e	Void ratio, eccentricity
f	Settlement coefficient
f _s	Ultimate skin friction for piles
g	
h	Hydraulic head, height, head loss
h _c	Capillary rise, tension crack depth
h _e	Equivalent height of soil
h _w	Excess head
i	Hydraulic gradient
i _c	Critical hydraulic gradient
i _c , i _q , i _γ	Inclination factors
k	Coefficient of permeability
	Length, length of flow path
m	Stability coefficient
m _B , m _L	Eurocode 7 load inclination factor parameters
m _v	Coefficient of volume compressibility
n	Porosity, stability coefficient
р	Pressure, mean pressure, mean normal stress
р'	Mean normal effective stress
pa	Active earth pressure
pc	Preconsolidation pressure (one-dimensional)
p _e '	Equivalent consolidation pressure (isotropic)
PLM	Pressuremeter limit pressure
p ₀	Earth pressure at rest
p'm	Preconsolidation pressure (isotropic)
p'o	Effective overburden pressure
pp	Passive earth pressure
q	Unit quantity of flow, deviator stress, uniform surcharge, bearing pressure
q'	Effective deviator stress
q _a	Allowable bearing pressure
qu	Ultimate bearing capacity
q _{u net}	Net ultimate bearing capacity
r	Radius, radial distance, finite difference constant
r _u	Pore pressure ratio
S	Suction value of soil, stress parameter, settlement
s_c, s_q, s_γ	Shape factors
Sw	Corrected drawdown in pumping well
t	Time, stress parameter
u, u _w	Pore water pressure
u _a	Pore air pressure, pore pressure due to σ_3 in a saturated soil
u _d	Pore pressure due to $(\sigma_1 - \sigma_3)$ in a saturated soil
u _{dst;d}	Eurocode 7 design value of destabilising total pore water pressure
u _i	Initial pore water pressure
u _t	Pore water pressure at toe of sheet pile wall
V	Velocity, specific volume
W	Water, or moisture, content
WL	Liquid limit
WP	Plastic limit
Ws	Shrinkage limit

х	Horizontal distance
у	Vertical, or horizontal, distance
Z	Vertical distance, depth
Za	Depth of investigation points
Zo	Depth of tension crack
z _w	Depth below water table
α	Angle, pile adhesion factor, slope of K_f line
β	Slope angle
Γ	Eurocode 7 over-design factor, specific volume at $\ln p' = 0$
γ	Unit weight (weight density), shear strain
γ'	Submerged, buoyant or effective unit weight (effective weight density)
γ A;dst	Eurocode 7 partial factor: accidental action – unfavourable
γb	Bulk unit weight (bulk weight density), Eurocode 7 partial factor: pile base resistance
γc	Eurocode 7 partial factor: effective cohesion
γ _{cu}	Eurocode 7 partial factor: undrained shear strength
γd	Dry unit weight (dry weight density)
γe	Eurocode 7 partial factor for effects of actions,
	Eurocode 7 (2nd G) partial factor for unfavourable effects of actions
γ́E,fav	Eurocode 7 (2nd G) partial factor for favourable effects of actions
γ _F	Eurocode 7 partial factor for an action
γ _G	Eurocode 7 (2nd G) partial factor for permanent unfavourable/destabilising action
γG;dst	Eurocode 7 partial factor: permanent action – unfavourable
γG,fav	Eurocode 7 (2nd G) partial factor for permanent favourable action
γG;stb	Eurocode 7 partial factor: permanent action – favourable
ŶG,w	Eurocode 7 (2nd G) partial factor for unfavourable/destabilising water action
γG,w,stb	Eurocode 7 (2nd G) partial factor for stabilising water action
γм	Eurocode 7 partial factor for a soil parameter
γα	Eurocode 7 (2nd G) partial factor for variable (unfavourable) action
γQ;dst	Eurocode 7 partial factor: variable action – unfavourable
ŶQ,w	Eurocode 7 (2nd G) partial factor for unfavourable water action
γ _{qu}	Eurocode 7 partial factor: unconfined compressive strength
γr	Eurocode 7 partial factor for a resistance
γrb	Eurocode 7 (2nd G) pile design base resistance factor
γRc	Eurocode 7 (2nd G) pile design total resistance factor
γRd	Eurocode 7 (2nd G) pile design model factor
γ _{Re}	Eurocode 7 partial factor: earth resistance
γ̈́Rh	Eurocode 7 partial factor: sliding resistance
γ̈́Rs	Eurocode 7 (2nd G) pile design shaft resistance factor
γrv	Eurocode 7 partial factor: bearing resistance
γs	Eurocode 7 partial factor: pile shaft resistance
γ_{sat}	Saturated unit weight (saturated weight density)
γt	Eurocode 7 partial factor: pile total resistance
$\gamma_{tan\delta}$	Eurocode 7 (2nd G) partial factor: ground/structure interface friction
$\gamma_{ an\phi}$	Eurocode 7 (2nd G) partial factor: angle of shearing resistance
γts	Eurocode 7 (2nd G) partial factor: effective shear strength
γw	Unit weight of water (weight density of water)
γ_{γ}	Eurocode 7 partial factor: weight density
γφ'	Eurocode 7 partial factor: angle of shearing resistance
δ	Ground-structure interface friction angle

ε	Strain
η	Dynamic viscosity of water, conversion factor
θ	Angle of failure plane to major principal plane, angle subtended at centre of slip circle
κ	Slope of swelling line
λ	Slope of normal consolidation line, SPT rod length correction factor
μ	Settlement coefficient, one micron
ν	Poisson's ratio
ξm	Eurocode 7 (2nd G) pile design correlation factor
sm ξ1, ξ2	Eurocode 7 correlation factors to evaluate results of static pile load tests
511 52 ξ31 ξ4	Eurocode 7 correlation factors to derive pile resistance from ground investigation results
ρ	Density, settlement
ρ'	Submerged, buoyant or effective density
ρ _b	Bulk density
ρ _c	Consolidation settlement
ρd	Dry density
$ ho_{ m i}$	Immediate settlement
$ ho_{s}$	Particle density
$ ho_{sat}$	Saturated density
$ ho_{\sf W}$	Density of water
σ	Total normal stress
σ'	Effective normal stress
σ_{a}'	Total, effective axial stress
σ'_{e}	Equivalent consolidation pressure (one-dimensional)
$\sigma_{\sf r},\sigma_{\sf r}'$	Total, effective radial stress
$\sigma_{stb;d}$	Eurocode 7 design value of stabilising total vertical stress
$\sigma'_{ m v}$	Effective overburden pressure
$\overline{\sigma'_{v}}$	Average effective overburden pressure
$\sigma_1, \sigma_2, \sigma_3$	Total major, intermediate and minor stress
$\sigma_1', \sigma_2', \sigma_3'$	Effective major, intermediate and minor stress
τ	Shear stress
ϕ'	Angle of shearing resistance with respect to effective stresses
ϕ_{cv}	Critical state, or constant volume, angle of shearing resistance
$\phi_{cv;d}$	Design value of critical state angle of shearing resistance
ϕ_{d}'	Design value of ϕ'
ϕ_u	Angle of shearing resistance with respect to total stresses (=0)
ψ	Angle of back of wall to horizontal, Eurocode 7 correlation factor

About the Companion Website

The book's companion website www.wiley.com/go/smith/soilmechanics10e provides you with resources and downloads to further your understanding of the fundamentals of soil mechanics and the use of Eurocode 7:



- A suite of editable spreadsheets which map onto the worked examples in the book, showing how they are solved.
- Solutions to the end-of-chapter exercises, including the full workings and accompanying spreadsheets.
- Convenient tables with useful data and formulae.
- Animations to demonstrate some of the more complex laboratory testing and geotechnical procedures.



Part I Fundamentals of Soil Mechanics

Chapter 1

Classification and Physical Properties of Soils

Learning objectives:

By the end of this chapter, you will have been introduced to:

- the formation of rocks and soils;
- clay soils and the field identification of soils;
- the classification of soils;
- various physical properties of soils and the relationships between them.

In the field of civil engineering, nearly all projects are built on to, or into, the ground. Whether the project is a structure, a roadway, a tunnel, or a bridge, the nature of the soil at that location is of great importance to the civil engineer. *Geotechnical engineering* is the term given to the branch of engineering that is concerned with aspects pertaining to the ground. *Soil mechanics* is the subject within this branch that looks at the behaviour of soils in civil engineering.

Geotechnical engineers are not the only professionals interested in the ground; soil physicists, agricultural engineers, farmers and gardeners all take an interest in the types of soil with which they are working. These workers, however, concern themselves mostly with the organic topsoils found at the soil surface. In contrast, geotechnical engineers are mainly interested in the engineering soils found beneath the topsoil. It is the engineering properties and behaviour of these soils, which are their concern.

1.1 Agricultural and engineering soil

If an excavation is made through previously undisturbed ground the following materials are usually encountered (Fig. 1.1).

Topsoil

A layer of organic soil, usually not more than 500 mm thick, in which humus (highly organic partly decomposed vegetable matter) is often found.

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Fig. 1.1 Materials encountered during excavation.

Subsoil

The portion of the Earth's crust affected by current weathering and lying between the topsoil and the unweathered soil below.

Hardpan

In humid climates, humic acid can be formed by rainwater causing decomposition of humus. This acid leaches out iron and alumina oxides down into the lower layers where they act as cementation agents to form a hard, rock-like material. Hardpan is difficult to excavate and, as it does not soften when wet, has a high resistance to normal soil drilling methods. A hardpan layer is sometimes found at the junction of the topsoil and the subsoil.

Soil

The soft geological deposits extending from the subsoil to bedrock constitute soils. In some soils, there is a certain amount of cementation between the grains, which affects the physical properties of the soil. If this cementation is such that a rock-hard material has been produced, then the material must be described as rock. A rough rule is that if the material can be excavated by hand or hand tools, then it is a soil.

Bedrock

Beneath the soil, rock is encountered. This rock is often referred to as *bedrock* and the horizon at which the soil meets the rock is known as the *rockhead*.

Groundwater

A reservoir of underground water. The upper surface of this water may occur at any depth and is known as the water table or groundwater level (GWL).

1.2 The rock cycle

Rocks and soils are formed within a geological process known as the *rock cycle* (Fig. 1.2). The process is continuous and has lasted for millions of years.

- 1. Magma (molten rock) rises towards the surface, cooling and solidifying along the way.
- 2. The magma crystallises beneath or above the Earth's surface forming igneous rocks.
- 3. At the surface, rocks undergo physical and chemical weathering which break down the parent rock into particles.
- 4. The rock particles (sediments) are moved downslope and transported by glaciers, rivers and wind. The combined processes of weathering and transportation are referred to as *erosion*.
- 5. Eventually the sediments are deposited in oceans and floodplains, where they undergo *lithification*: the process where the particles are compressed under great pressure over time to form rock.
- 6. Sedimentary rocks are formed.
- 7. If the sedimentary rock is subjected to further great pressures and heat, it will react and change to a metamorphic rock.
- 8. Metamorphic rocks subjected to very high pressure or temperature, liquefy into magma that eventually crystallises into igneous rock, and the cycle starts again.



Fig. 1.2 The rock cycle.

1.2.1 Rock

Rocks are made from various types of minerals. Minerals are substances of crystalline form made up from a particular chemical combination. The main minerals found in rocks include quartz, feldspar, calcite and mica. We can classify all rocks into three basic groups: *igneous, sedimentary* and *metamorphic*. The position of each within the rock cycle is shown in Fig. 1.2.

Igneous rocks

These rocks have become solid from a melted liquid state. *Extrusive* igneous rocks are those that arrived on the surface of the Earth as molten lava and cooled. *Intrusive* igneous rocks are formed from magma that forced itself through cracks into the rock beds below the surface and solidified there.

Examples of igneous rocks: granite, basalt, gabbro.

Sedimentary rocks

Weathering reduces the rock mass into fragmented particles, which can be more easily transported by wind, water and ice. When dropped by the agents of weathering, they are termed *sediments*. These sediments are typically deposited in layers or beds called strata and when compacted and cemented together through lithification, they form sedimentary rocks.

Examples of sedimentary rocks: shale, sandstone, chalk.

Metamorphic rocks

Metamorphism through high temperatures and pressures acting on sedimentary or igneous rocks produces metamorphic rocks. The original rock undergoes both chemical and physical alterations.

Examples of metamorphic rocks: *slate*, *quartzite*, *marble*.

Identification of rocks

The identification of rocks may, initially, be considered quite a tricky thing to get right. With practice and experience however, engineers and geologists can rapidly identify features, that enable the identification to be made swiftly. Features, which assist in the identification and description of the rock type, include colour, grain size, mineralogical composition, structure and void content. Guidance on the identification and description of rock types is given in BS EN ISO 14689 (BSI, 2018b) and in the *Code of practice for ground investigations*, BS 5930 (BSI, 2015).

1.2.2 Soil

The actions of frost, temperature, gravity, wind, rain and chemical weathering are continually forming rock particles that eventually become soils. There are three types of soil when considering modes of formation.

Transported soil (gravels, sands, silts and clays)

Many soils have been transported by water. As a stream or river loses its velocity, it tends to deposit some of the particles that it is carrying, dropping the larger, heavier particles first. Hence, on the higher reaches of a river, gravel and sand are found whilst on the lower or older parts, silts and clays predominate, especially where the river enters the sea or a lake and loses its velocity. Ice, in the form of huge slow-moving yet