

NATIONAL TECHNICAL UNIVERSITY OF ATHENS School of Civil Engineering – Geotechnical Department

Computational Methods in the Analysis of Underground Structures

Spring Term 2023 – 24

Lecture Series in Postgraduate Programs:

- 1. Analysis and Design of Structures (DSAK)
- 2. Design and Construction of Underground Structures (SKYE)

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LECTURE 2: Stresses and deformations around a cylindrical tunnel (2D elasto-plastic analysis)



Evolution of wall convergence along the tunnel axis (x)



NOTE: Floor rise is equal to crest settlement

- Convergence starts at distance 0.5-0.75 D ahead of the tunnel face
- 30% 50% of the total convergence has occurred at the tunnel face
- Wall convergence ceases to increase beyond about 1.5 D behind the tunnel face

Evolution of wall convergence along the tunnel axis (x)

Tunnel advance and wall support in steps with length (p).

The front part of the tunnel, close to the tunnel face (length d_1), remains unsupported for construction purposes (access limitation of machinery). The maximum unsupported length close to the tunnel face is $d_2 = d_1 + p$





Evolution of wall convergence along the tunnel axis

Wall convergence at the tunnel face (x=0) is about 31% of the maximum value

The maximum value increases in weaker ground, larger tunnel depth and larger tunnel size.

P_o

Evolution of wall convergence along the tunnel axis (x)

Reference	Analytical Solution	Medium Behaviour	
Pane and Guenot (1982)	$\frac{u_r}{u_{max}} = 0.28 + 0.72[1 - (\frac{0.84}{0.84 + \frac{x}{R}})^2$	Elasto-Plastic	E C I
Corbeta et al. (1991)	$\frac{u_r}{u_{max}} = 0.29 + 0.71[1 - (-1.5(x/R)^{0.7})]$	Elastic	
Panet (1993, 1995)	$\frac{u_r}{u_{max}} = 0.25 + 0.75 \left[1 - \left(\frac{0.75}{0.25 + x/R}\right)^2\right]$	Elastic	(
Chern et al. (1998)	$\frac{u_r}{u_{max}} = \left[1 + exp\left(\frac{-x/R}{1.1}\right)^{-1.7}\right]$	Elasto-plastic	
Unlu and Gercek (2003)	$\begin{aligned} \frac{u_r}{u_{max}} &= \frac{u_o}{u_{max}} + A_a (1 - e^{B_a (x/R)}), & x/R \le 0\\ \frac{u_r}{u_{max}} &= \frac{u_o}{u_{max}} + A_b [1 - ((B_b + (x/R))^2], & x/R \ge 0\\ \frac{u_o}{u_{max}} &= 0.22\nu + 0.19, & x/R \ge 0\\ A_a &= -0.22\nu + 0.19 & B_a = 0.73\nu + 0.81\\ A_b &= -0.22\nu + 0.81 & B_b = 0.39\nu + 0.65 \end{aligned}$	Elastic	
Vlachopoulos and Diederichs (2009)	$\begin{aligned} \frac{u_r}{u_{max}} &= \frac{u_o}{u_{max}} e^{x/R}, & x/R \leq 0\\ \frac{u_r}{u_{max}} &= 1 - (1 - \frac{u_o}{u_{max}}) e^{(-3x/R)/(2^{2r}p/R)}, & x/R \geq 0\\ \frac{u_o}{u_{max}} &= \frac{1}{3} e^{-0.15 {r_p/R}}, & x/R = 0\\ \frac{u_o}{u_{max}} &= \frac{1}{3} e^{-0.15 {r_p/R}}, & x/R = 0 \end{aligned}$	Elasto-plastic	

Empirical relationships obtained from the results of 3D finite element analyses with a wide range of ground parameters and tunnel geometries (size and depth) Evolution of wall convergence along the tunnel axis (x) (Chern, 1998)



$$\frac{u_R(x)}{u_{R\infty}} = \left[1 + exp\left(0.91\frac{x}{R}\right)\right]^{-1.7}$$

Chern (1998): Empirical relationship from the results of a set of 3D finite element analyses with a wide range of ground parameters and tunnel geometries (size and depth) Evolution of wall convergence along the tunnel axis (x) (Chern, 1998)

Wall convergence $u_R(x)$ of an unsupported tunnel at distance (x) from the tunnel face (located at x = 0):

$$\frac{u_R(x)}{u_{R\infty}} = \left[1 + exp\left(0.91\frac{x}{R}\right)\right]^{-1.7} \text{ or } \frac{x}{R} = 1.10 \ln\left[\left(\frac{u_R(x)}{u_{R\infty}}\right)^{-0.588} - 1\right]$$

R = tunnel radius

 $u_{R\infty}$ = the final (maximum) wall convergence at large distance from the tunnel face ($x = -\infty$). Can be calculated with analytical methods (present section), but more accurately with finite element analyses

 $u_R(o)$ = wall convergence at the tunnel face (location x = 0) According to Chern: $u_R(o) = 0.308 u_{R\infty}$ Stresses and deformations around a cylindrical tunnel - Assumptions • 2D model of tunnel excavation: The initial geostatic pressure (p_o) gradually reduces to (p) and eventually becomes zero. As the stress reduces, the tunnel wall converges (U_R) up to a maximum value $U_{R,max}$ (when p=0). Deconfinement = Reduction of pressure p

Deconfinement coefficient: $\lambda = 1 - \frac{P}{2} = 1$



$$1 - \frac{p}{p_o} \implies p = (1 - \lambda) p_o$$

Wall convergence U_R reaches a maximum value $U_{R,max}$ and does not continue to increase more. Why ? Because the stress change (p in 2D models) that causes ground deformation, only occurs close to the tunnel face, i.e., along the length between λ =0 and 1.

NOTE: Need a relation between p (i.e., λ) and location (x) to link 2D with 3D models

Relation U_R and p (or λ): from 2D analysis (next) Relation U_R and x (from Chern)

- Relation p (or λ) and x

Stresses and deformations around a cylindrical tunnel - Assumptions

- 2D (plane) strain (no change along tunnel axis z)
- Cylindrical unsupported tunnel, with radius R
- Hydrostatic initial (geostatic) stress state (K_o = 1 $\rightarrow \sigma_{vo} = \sigma_{ho} = \rho_o$)
- Elastic perfectly plastic ground, yielding with Mohr-Coulomb criterion (strength parameters: c, φ)
- Constant dilatancy (δ) in the plastic domain: $\tan \delta = \frac{\varepsilon_r + \varepsilon_{\theta}}{\varepsilon_r \varepsilon_{\theta}} = \frac{volumetric strain}{shear strain}$

Original curve

 $90 + \varphi$

 σ_{11}

 σ_3

 σ





 σ_1

$$\sigma_1 = k \sigma_3 + \sigma_{cm}$$

Stresses and deformations around a cylindrical tunnel - Assumptions

1

0.8

0.6

0.4

0.2

0

0

 σ_{ci}

 $\frac{\sigma_{cm}}{=} = 0.02 \exp \left| \right|$

20

40

strength of rockmass / intact strength

Definitions:
Overstress factor:
$$N_s = \frac{2 p_o}{\sigma_{cm}}$$
 (for K_o = 1)
Ground strength: $\sigma_{cm} = 2c\sqrt{k} = \frac{2c\cos\phi}{1-\sin\phi}$



GSI

25.5

60

GSI

80

100

Rockmass strength (empirical correlation with GSI):

 $\sigma_{cm} = \frac{\sigma_{ci}}{50} \exp\left(\frac{GSI}{25.5}\right)$



Stresses and deformations around a cylindrical tunnel - Assumptions

Ground deformations in plastic domain ($r < r_p$): Dilatancy is constant in plastic domain (parameter K):

$$\tan \delta \equiv \frac{\varepsilon_r + \varepsilon_\theta}{\varepsilon_r - \varepsilon_\theta} \quad \text{where:} \quad K \equiv \frac{1 + \tan \delta}{1 - \tan \delta}$$

Strain definitions (u = radial displacement):

$$\varepsilon_r = \frac{du}{dr}$$
 $\varepsilon_{\theta} = \frac{u}{r}$ $\varepsilon_z = 0$



The above formulae give (inside the plastic domain (i.e., for $r < r_p$):

$$\frac{du}{dr} + \frac{K}{r}u = 0 \Rightarrow u = c r^{-K} \Rightarrow c = u_p r_p^K \Rightarrow u = u_p \left(\frac{r_p}{r}\right)^K \text{ For } R < r < r_p$$

$$(\text{at } r = r_p \rightarrow u = u_p)$$

 u_p is the radial displacement at $r = r_p$ (calculated from the elastic zone)

At the tunnel wall (r = R): $u_R = u_p \left(\frac{r_p}{R}\right)^K$

Stresses and deformations around a cylindrical tunnel – Elastic domain ($r > r_p$) Stress-strain relationships in plane strain (cylindrical coordinates):

$$\begin{split} \mathcal{E}_{r} = & \frac{1}{\Lambda} \left\{ \dot{\mathbf{c}} & \cdot \\ \mathbf{\epsilon}_{\theta} = & \frac{1}{\Lambda} \left\{ \dot{\mathbf{\sigma}}_{\theta} - K_{o} \dot{\mathbf{\sigma}}_{r} \right\} \end{split}$$

$$\Lambda \equiv \frac{E}{(1+\nu)(1-\nu)} \qquad K_o \equiv \frac{\nu}{1-\nu}$$
$$\dot{\sigma}_o \equiv \sigma_o - p \qquad \dot{\sigma}_o \equiv \sigma_o - p$$

 $D = \frac{E(1 - v)}{(1 + v)(1 - 2v)}$

 $\frac{d\dot{\sigma}_r}{d\dot{\sigma}_r} + \frac{\dot{\sigma}_r - \dot{\sigma}_{\theta}}{d\dot{\sigma}_{\theta}} = 0$

Solving for the stress increments:

$$\dot{\sigma}_r = D\{\varepsilon_r + K_o\varepsilon_\theta\} \qquad \dot{\sigma}_\theta = D\{\varepsilon_\theta + K_o\varepsilon_\eta\}$$

Equilibrium equation (along axis r):

Strain definitions (u = radial displacement):

$$\varepsilon_r = \frac{du}{dr} \qquad \varepsilon_0 = \frac{u}{r} \qquad \varepsilon_z = 0 \qquad \Longrightarrow \qquad \frac{d^2u}{dr^2} + \frac{1}{r}\frac{du}{dr} - \frac{u}{r^2} = 0 \quad \Rightarrow \quad u = c_1r + \frac{c_2}{r}$$

Boundary conditions: $c_1 = 0$ (u cannot increase with r) If plastic zone exists: At $r = r_p \rightarrow u = u_p \rightarrow c_2 = u_p r_p \rightarrow u = u_p \left(\frac{r_p}{r}\right)$ (in elastic zone) If plastic zone does not exist: At $r=R \rightarrow \sigma_r=p \rightarrow c_2 = \lambda \frac{p_o R^2}{2G} \rightarrow u = \lambda R \left(\frac{p_o}{2G}\right) \frac{R}{r}$ Deformations around a cylindrical tunnel

1. Linearly elastic ground, $K_o = 1$

The differential equation of equilibrium gives: $u = \frac{c_2}{u}$

Constant c₂ is determined from the stress boundary condition: $\sigma_r(r=R) = p = p_o(1-\lambda)$

Thus, the radial displacement at distance (r) is:

$$u = \lambda \ R\left(\frac{p_o}{2G}\right)\left(\frac{R}{r}\right) \implies u = \left(1 - \frac{p}{p_o}\right)R\left(\frac{p_o}{2G}\right)\left(\frac{R}{r}\right)$$

At the tunnel wall (r=R): $u_R = \lambda R \left(\frac{p_o}{2G} \right)$

and for complete deconfinement ($\lambda = 1, r = R$): $u_{R\infty} = R \left(\frac{p_o}{2G} \right)$

$$\frac{u_R}{u_{R\infty}} = \lambda$$

Convergence-confinement curve in linearly elastic ground

 $G = \frac{E}{2(1+v)}$

G = ground shear modulus R = tunnel radius , p_o = geostatic stress $\lambda = \lambda$ (x) = deconfinement coefficient



NOTE: Strains and stresses calculated by differentiation



 $0 < \lambda < 1$

 p_o

Stresses and deformations around a cylindrical tunnel – Only elasticity



Linearly elastic ground

$$K_{o} = 1$$

$$\sigma_{r} = p_{o} \left[1 - \lambda \left(\frac{R}{r} \right)^{2} \right]$$

$$\sigma_{\theta} = p_{o} \left[1 + \lambda \left(\frac{R}{r} \right)^{2} \right]$$

$$\lambda = 1 - \frac{p}{p_{o}}$$

At tunnel wall (r=R): $\sigma_r = p = (1 - \lambda)p_o$ $\sigma_\theta = 2p_o - p = (1 + \lambda)p_o$ and for λ =1: $\sigma_r = 0, \ \sigma_\theta = 2p_o$

Stresses and deformations around a cylindrical tunnel – Only elasticity Linearly elastic ground – $K_0 \neq 1$ (Kirsch solution)

Circular tunnel (radius r_0) at depth (H), unit weight of ground (γ), horizontal stress coefficient K ($\sigma_h = K \sigma_v$). Geostatic stresses: $\sigma_v = \gamma H$, $\sigma_h = K \gamma H$ (do not vary with depth). Angle (θ) is measured from tunnel center, with respect to the vertical (θ =0)

Tunnel is unsupported and $\lambda = 1$ ($\sigma_{rr} = 0$ at $r = r_o$)

Kirsch solution (for p=0):

$$\sigma_{rr} = \gamma H \left[\frac{1+K}{2} \left(1 - \frac{r_0^2}{r^2} \right) \right] + \gamma H \left[\frac{1-K}{2} \left(1 + 3\frac{r_0^4}{r^4} - 4\frac{r_0^2}{r^2} \right) \cos 2\vartheta \right]$$

$$\sigma_{\vartheta\vartheta} = \gamma H \left[\frac{1+K}{2} \left(1 + \frac{r_0^2}{r^2} \right) \right] - \gamma H \left[\frac{1-K}{2} \left(1 + 3\frac{r_0^4}{r^4} \right) \cos 2\vartheta \right]$$

$$\sigma_{r\vartheta} = -\gamma H \frac{1-K}{2} \left(1 - 3\frac{r_0^4}{r^4} + 2\frac{r_0^2}{r^2} \right) \sin 2\vartheta$$



Circumferential stress at springline (θ =90°): $\sigma_{\theta\theta}$ = (3-K)γH - Initial value: $\sigma_{\theta\theta}$ = γH For K = 0.5 -> $\sigma_{\theta\theta}$ = 2.5 γH K = 1 -> $\sigma_{\theta\theta}$ = 2 γH

Circumferential stress at crest and invert (θ =0 & 180°): $\sigma_{\theta\theta}$ = (3K-1) γ H - Initial value: $\sigma_{\theta\theta}$ = K γ H For K = 0.5 -> $\sigma_{\theta\theta}$ = 0.5 γ H (initial value 0.5 γ H) K = 1 -> $\sigma_{\theta\theta}$ = 2 γ H (initial value γ H)

Stresses and deformations around a cylindrical tunnel – Only elasticity Linearly elastic ground – $K_o \neq 1$ (Kirsch solution)



Stresses and deformations around a cylindrical tunnel

2. Elastic – perfectly plastic ground, $K_0 = 1$



The limit of the plastic zone (r_p) depends on:

- •The tunnel radius (R)
- the ground strength parameters (c,φ)
- the initial geostatic stress (p_o)
- the deconfinement coefficient (λ), i.e., the internal pressure (p)

Convergence – confinement curve in elasto-plastic ground Influence of the σ - ϵ curve



The ground pressure (p) on the tunnel lining decreases with increasing tunnel wall convergence

Convergence – confinement curve in elasto-plastic ground Influence of the σ - ϵ curve



If ground continuity is preserved, the convergence-confinement curve does NOT turn upward (collapse) even in strongly strain softening ground. If, however, ground continuity is lost (e.g. rock block contact is lost) due to large ground deformations, then the convergence-confinement curve may turn upwards (collapse).

This means that ground pressure on the tunnel lining will increase at large ground deformations.

Stresses around a cylindrical tunnel

2. Elastic – perfectly plastic ground, $K_0 = 1$

Calculation of the minimum internal pressure $p = p_{cr}$ to maintain elasticity in the ground:

Stress distribution in the elastic domain:

$$\sigma_r = p_o \left[1 - \lambda \left(\frac{R}{r} \right)^2 \right] \qquad \sigma_\theta = p_o \left[1 + \lambda \left(\frac{R}{r} \right)^2 \right] \qquad \lambda = 1 - \frac{p_{cr}}{p_o}$$

Stresses (elastic) at the tunnel wall (r=R): $\begin{aligned} \sigma_1 &= \sigma_\theta = 2 p_o - p_{cr} \\ \sigma_3 &= \sigma_r = p_{cr} \end{aligned}$ Marginal fulfillment of the M-C failure criterion at the tunnel wall:

$$\sigma_1 = k \,\sigma_3 + \sigma_{cm} \quad \Longrightarrow \quad \frac{p_{cr}}{p_o} = \left(\frac{2}{1+k}\right) \left(\frac{N_s - 1}{N_s}\right)$$

Critical deconfinement coefficient: $\lambda_{cr} = 1 - \frac{p_{cr}}{p_o} = 1 - \left(\frac{2}{1+k}\right) \left(\frac{N_s - 1}{N_s}\right)$

CONCLUSION: There is no plastic zone around the tunnel, If: $\lambda_{cr} \ge 1$ (i.e., N_s ≤ 1) or if: $\lambda_{cr} < 1$ and $\lambda \leq \lambda_{cr}$

Plastic zone develops around the tunnel if: $\lambda_{cr} < 1$ (i.e., N_s > 1) and $\lambda > \lambda_{cr}$



Stresses around a cylindrical tunnel – elastoplastic ground

Critical deconfinement coefficient – ground remains elastic but M-C failure criterion is marginally fulfilled at the tunnel wall (i.e., r_p=R):

$$\lambda_{cr} = 1 - \frac{p_{cr}}{p_o} \implies \lambda_{cr} = 1 - \left(\frac{2}{1+k}\right) \left(\frac{N_s - 1}{N_s}\right)$$

$$\kappa_{s} = 2p_{o} / O_{cm}$$
$$k = \tan^{2} \left(45 + \frac{\varphi}{2} \right)$$
$$\sigma_{cm} = \frac{\sigma_{ci}}{52.63} \exp \left(\frac{GSI}{20} \right)$$

 $N = 2n \sqrt{\sigma}$

Values of λ_{cr} (plastic zone around the tunnel develops if $\lambda > \lambda_{cr}$)

φ (deg)	N _s = 1	N _s = 2.5	N _s = 5	N _s = 10	N _s = 15	N _s = 20
20	1.0	0.61	0.47	0.41	0.41	0.39
25	1.0	0.65	0.54	0.48	0.48	0.46
30	1.0	0.70	0.60	0.55	0.55	0.53
35	1.0	0.74	0.66	0.62	0.62	0.60
40	1.0	0.79	0.71	0.68	0.68	0.67
ELASTIC PLASTIC						
		λ=0	$\widetilde{\lambda_{cr}}$	λ=1		

Stresses around a cylindrical tunnel – elastoplastic ground

Example: $\gamma = 22 \text{ kN/m^3}$, H = 100 m, K_o = 0.60 \Rightarrow p_o = 0.5 (1+K_o) γ H = 1.76 MPa GSI = 25, σ_{ci} = 12 MPa, E_i = 13.5 GPa $\Rightarrow \sigma_{cm}$ = 0.64 MPa , E = 821 MPa $G = \frac{E}{2(1+\nu)} \qquad \sigma_{cm} = \frac{\sigma_{ci}}{52.63} \exp\left(\frac{GSI}{20}\right)$ $v = 0.30 \implies G = 316 \text{ MPa}$ $\varphi = 32^{\circ} \implies k = 3.2546$ $\delta = 7^{\circ} \implies K = 1.28$ $E_{\rm rm} = E_{\rm i} \left(0.02 + \frac{1 - D/2}{1 + e^{((60 + 15D - GSI)/11)}} \right)$ $k = \tan^2 \left(45 + \frac{\varphi}{2} \right) \qquad K = \frac{1 + \tan \delta}{1 - \tan \delta}$ D = damage factor (=0)

Calculations:

$$N_s = \frac{2 p_o}{\sigma_{cm}} = 5.5$$
 $\lambda_{cr} = 1 - \left(\frac{2}{1+k}\right) \left(\frac{N_s - 1}{N_s}\right) = 0.615$

Result: For λ >0.615, i.e., for p/p_o < 0.385 plastic zone develops around the tunnel



CASE 1: Ground remains elastic (no plastic zone) $\lambda_{cr} = 1 - \left(\frac{2}{1+k}\right) \left(\frac{N_s - 1}{N}\right)$

- If $N_s \leq 1 \rightarrow$ for all λ
- If $N_s > 1 \rightarrow$ for $\lambda \leq \lambda_{cr}$

Stresses around the tunnel:

$$\sigma_{r} = p_{o} \left[1 - \lambda \left(\frac{R}{r} \right)^{2} \right]$$
$$\sigma_{\theta} = p_{o} \left[1 + \lambda \left(\frac{R}{r} \right)^{2} \right]$$

Displacement around the tunnel:

$$u = \lambda \ R\left(\frac{p_o}{2G}\right)\left(\frac{R}{r}\right)$$

At the tunnel wall (r=R):

$$u_R = \lambda \ R\left(\frac{p_o}{2G}\right)$$





CASE 2: Plastic zone develops in the ground
If N_s > 1 and
$$\lambda > \lambda_{cr}$$

$$\sum_{\lambda=0}^{\infty} ELASTIC \longrightarrow \lambda_{cr} \lambda_{s1}$$
Radius of plastic zone (r_p):
1. If $\varphi = 0$: $\frac{r_p}{R} = \exp\left[\frac{1}{2}(\lambda N_s - 1)\right]$
2. If $\varphi > 0$: $\frac{r_p}{R} = \left\{\left(\frac{2}{k+1}\right)\left[\frac{2+N_s(k-1)}{2+N_s(k-1)(1-\lambda)}\right]\right\}^{\frac{1}{k-1}}$
And in full deconfinement ($\lambda=1$): $\frac{r_{p\infty}}{R} = \left\{\left(\frac{1}{k+1}\right)[2+N_s(k-1)]\right\}^{\frac{1}{k-1}}$

CASE 2: Plastic zone develops in the ground If N_s > 1 and $\lambda > \lambda_{cr}$

Proof of formulae for σ_r and σ_{θ} :

Επίλυση στην πλαστική ζώνη, δηλαδή για R < r < r_P

Εξίσωση ισορροπίας :

$$\frac{d\sigma_r}{dr} + \frac{\sigma_r - \sigma_\theta}{r} = 0$$

Κριτήριο αστοχίας Mohr-Coulomb : $\sigma_{\theta} = k\sigma_r + \sigma_{cm}$

Απαλειφή του σ_{θ} δίνει : $\frac{dc}{dt}$

$$\frac{d\sigma_r}{dr} - \frac{1}{r}(k-1)\sigma_r - \frac{1}{r}\sigma_{cm} = 0$$

Επίλυση της ανωτέρω διαφορικής εξίσωσης :

(α) Περίπτωση : $k \neq 1 \Longrightarrow \varphi \neq 0$:

Με συνοριακή συνθήκη: $\sigma_r(r=R)=p=(1-\lambda)p_o$

$$\begin{split} \sigma_r = & \left[(1-\lambda)p_o + \left(\frac{\sigma_{cm}}{k-1}\right) \right] \left(\frac{r}{R}\right)^{k-1} - \left(\frac{\sigma_{cm}}{k-1}\right) \\ \\ \bar{\mathbf{d}}\eta \lambda \mathbf{a} \bar{\mathbf{d}} \eta : \quad \frac{\sigma_r}{p_o} = & \left[(1-\lambda) + \frac{2}{(k-1)N_s} \right] \left(\frac{r}{R}\right)^{k-1} - \frac{2}{(k-1)N_s} \\ \\ \sigma_\theta = & k \sigma_r + \sigma_{cm} \quad \Rightarrow \quad \frac{\sigma_\theta}{p_o} = k \frac{\sigma_r}{p_o} + \frac{2}{N_s} \end{split}$$





CASE 2: Plastic zone develops in the ground If N_s > 1 and $\lambda > \lambda_{cr}$

Proof of formulae for r_p / R :

Εξίσωση των τιμών των σ_r και σ_θ στο όριο μεταξύ ελαστικής και πλαστικής ζώνης ($r = r_p$) δίνει τις τιμές των c_2 και r_p :

(α) Περίπτωση $k \neq 1 \Longrightarrow \varphi \neq 0$:

$$\begin{split} \frac{\sigma_r}{p_o} = & \left[(1 - \lambda) + \frac{2}{(k - 1)N_s} \right] \left(\frac{r_p}{R} \right)^{k - 1} - \frac{2}{(k - 1)N_s} = 1 - c_2 \left(\frac{2G}{p_o} \right) \frac{1}{r_p^{-2}} \\ & \frac{\sigma_\theta}{p_o} = k \frac{\sigma_r}{p_o} + \frac{2}{N_s} = 1 + c_2 \left(\frac{2G}{p_o} \right) \frac{1}{r_p^{-2}} \\ & \text{optimes} : \qquad \boxed{\frac{r_p}{R} = \left[\left(\frac{2}{k + 1} \right) \frac{N_s + \frac{2}{k - 1}}{(1 - \lambda)N_s + \frac{2}{k - 1}} \right]^{\frac{1}{k - 1}}} \end{split}$$

(β) Περίπτωση : $k=1 \Longrightarrow \varphi=0$:







Stresses around a cylindrical tunnel - elastoplastic ground

Ground remains elastic, always (for all λ) if: $N_{s} \leq 1$

Schematic size of the plastic zone (r_p) around the tunnel



Stresses around a cylindrical tunnel – elastoplastic ground Classification of tunnel excavation problems with N_s value

15			Strain ε %	Geotechnical issues
g 14	E Strain greater than 10% Extreme squeezing problems	А	Less than 1	Few stability problems and very simple
13 12 13	$N_s = 2 p_o / \sigma_{cm}$		Ns < 4.5	tunnel support design methods can be used. Tunnel support recommendations based upon rock mass classifications
10 diai		D	1 to 2.5	provide an adequate basis for design.
	Face	Б	1 10 2.5	used to predict the formation of a
re / tuni 8 2	Instability Strain between 5 and 10%		Ns = 4.5 to 8	'plastic' zone in the rock mass surrounding a tunnel and of the
	Very severe squeezing problems			development of this zone and different
	Strain between 2.5 and 5%	C	2 5 to 5	Two dimensional finite element analysis
tur ,	Face C Strain batward 1 and 2 5%	U	2.5 10 5	incorporating support elements and
	Minor squeezing problems Strain less than 1%		Ns = 8 to 10	excavation sequence, are normally used
ain	B Few support problems			for this type of problem. Face stability is
str				generally not a major problem.
0.	0.1 0.2 0.3 0.4 0.5 0.6	_	5 to 10	The desires of the twee ship density shad be
Ns =	20 $\frac{10}{\sigma_{\perp}/\rho} = \text{rock mass strength / in situ stress}$ 3.3	D	5 to 10	face stability issues and while two-
	Cm Fo		$N_{s} = 10 \text{ to } 16$	dimensional finite analyses are generally
			10 = 10 = 10	carried out, some estimates of the
				effects of forepoling and face
		_		reinforcement are required.
		Е	More than 10	Severe face instability as well as
			$N_{\rm S} > 16$	squeezing of the tunnel make this an
			113 / 10	problem for which no effective design
				methods are currently available. Most
				solutions are based on experience.

Hoek E and Marinos P 2000 Predicting Tunnel Squeezing Problems in Weak Heterogeneous Rock Masses. *Tunnels and Tunnelling International* 32(11) 45-51

Stresses around a cylindrical tunnel – elastoplastic ground

Radius of the plastic zone r_p (unsupported tunnel)



 p_o = geostatic stress λ = deconfinement coefficient σ_{cm} = ground strength N_s = overstress factor

$$p = p_o(1 - \lambda)$$

$$N_s = \frac{2 p_o}{\sigma_{cm}}$$

Graph is valid for common values of the relevant parameters

Stresses around a cylindrical tunnel – elastoplastic ground

Radius of the plastic zone r_{ρ} (supported tunnel, p_i = support pressure)



 p_o = geostatic stress λ = deconfinement coefficient σ_{cm} = ground strength N_s = overstress factor

$$p = p_o(1 - \lambda)$$



Graph is valid for common values of the relevant parameters

CASE 2: Plastic zone develops in the ground

If N_s > 1 and $\lambda > \lambda_{cr}$

 $\begin{array}{c|c} \hline & ELASTIC & \hline & PLASTIC \\ \hline \lambda=0 & \lambda_{cr} & \lambda=1 \end{array}$



Ground displacement :

(a) Displacement (u_p) at the limit of the plastic zone $(r = r_p)$:

Calculated for a tunnel with radius $R=r_p$ and critical deconfinement (λ_{cr}), in which case ground displacements are elastic for $r > r_p$:

$$\frac{u_p}{R} = \lambda_{cr} \left(\frac{r_p}{R}\right) \left(\frac{p_o}{2G}\right) \qquad \lambda_{cr} = 1 - \left(\frac{2}{1+k}\right) \left(\frac{N_s - r_s}{N_s}\right)$$

(b) Displacement (u) in the elastic zone $(r > r_p)$: $u = u_p$ Calculated by the elastic formula:

$$u = \frac{c_2}{r}$$
 with boundary condition: $u = u_p$ at $r = r_p$
c) Displacement (u) in the plastic zone (r < r_p) :
and at the tunnel wall (r = R) : $\frac{u_R}{R} = \frac{u_p}{R} \left(\frac{r_p}{R}\right)^K$

$$\frac{u}{R} = \frac{u_p}{R} \left(\frac{r_p}{r}\right)^K$$

CASE 2: Plastic zone develops in the ground If N_s > 1 and $\lambda > \lambda_{cr}$

(d) Displacement ($u_{R\infty}$) at tunnel wall at full deconfinement (λ =1):

$$\frac{u_{R\infty}}{R} = \lambda_{cr} \left(\frac{p_o}{2G}\right) \left(\frac{r_{p\infty}}{R}\right)^{K+1} \qquad \lambda_{cr} = 1 - \left(\frac{2}{1+k}\right) \left(\frac{N_s - 1}{N_s}\right) \\ \frac{r_{p\infty}}{R} = \left\{ \left(\frac{1}{k+1}\right) \left[2 + N_s \left(k - 1\right)\right] \right\}^{\frac{1}{k-1}}$$

i.e.,:
$$\frac{u_{R\infty}}{R} = f\left(\frac{p_o}{2G}, N_s, \phi, \delta\right)$$

Displacement (u_R) at tunnel wall, for any deconfinement $\lambda > \lambda_{cr}$):

$$\frac{u_R}{u_{R\infty}} = \left\{ \frac{1}{1 + \frac{N_s}{2} (k-1)(1-\lambda)} \right\}$$

$$\begin{pmatrix} \frac{K+1}{k-1} \end{pmatrix} = f(\lambda ; N_s, \phi, \delta)$$

CASE 2: Plastic zone develops in the ground If N_s > 1 and $\lambda > \lambda_{cr}$

Proof of formulae for u_r :

B.3 Υπολογισμός των μετακινήσεων στην πλαστική ζώνη (r < r_p):

Ορισμός διαστολικότητας στην πλαστική ζώνη : $\tan \delta = \frac{\varepsilon_r + \varepsilon_\theta}{\varepsilon_r - \varepsilon_\theta} \ge 0$

οπότε:
$$K = \frac{1 + \tan \delta}{1 - \tan \delta} = -\frac{\varepsilon_r}{\varepsilon_{\theta}} \ge$$

Αλλά:
$$\varepsilon_r = \frac{du}{dr}$$
 , $\varepsilon_\theta = \frac{u}{r}$

OTIMITE:
$$\varepsilon_{\theta}K + \varepsilon_r = 0 \implies \frac{u}{r}K + \frac{du}{dr} = 0 \implies u = \alpha \frac{1}{r^K}$$

Συνοριακή συνθήκη: $r = r_p \Rightarrow u = u_p \Rightarrow u = u_p \left(\frac{r_p}{r}\right)^{\kappa}$

Αλλά το up έχει υπολογισθεί από την ελαστική ζώνη. Συνεπώς :

(α) Περίπτωση $k \neq 1 \Longrightarrow \varphi \neq 0$:

$$u = u_p \left(\frac{r_p}{r}\right)^K \Longrightarrow \frac{u_R}{R} = \frac{u_p}{R} \left(\frac{r_p}{R}\right)^K$$

όπου :

$$u_p = r_p \left(\frac{p_o}{2G}\right) \left(1 - \frac{2}{k+1}\right) \left[1 + \frac{2}{(k-1)N_s}\right] \implies u_p = r_p \left(\frac{p_o}{2G}\right) \frac{(k-1)N_s + 2}{(k+1)N_s}$$

CASE 2: Plastic zone develops in the ground If N_s > 1 and $\lambda > \lambda_{cr}$

Proof of formulae for u_r :

$$\begin{aligned} & \kappa \alpha_{I} : \quad \frac{r_{p}}{R} = \left[\left(\frac{2}{k+1} \right) \frac{N_{s} + \frac{2}{k-1}}{(1-\lambda)N_{s} + \frac{2}{k-1}} \right]^{k-1} \\ & \Gamma \alpha_{I} \lambda = 1 : \\ & \frac{r_{p\infty}}{R} = \left[\frac{(k-1)N_{s} + 2}{k+1} \right]^{\frac{1}{k-1}} \kappa \alpha_{I} \quad \frac{u_{p\infty}}{R} = \frac{r_{p\infty}}{R} \left(\frac{p_{o}}{2G} \right) \frac{(k-1)N_{s} + 2}{(k+1)N_{s}} \end{aligned}$$

_1

Προσδιορισμός της τελικής (για λ=1) σύγκλισης του τοιχώματος της σήραγγας (*u*_{R∞}) :

$$\frac{u_{R^{\infty}}}{R} = \frac{u_{p^{\infty}}}{R} \left(\frac{r_{p^{\infty}}}{R}\right)^{K} \Rightarrow \frac{u_{R^{\infty}}}{R} = \frac{1}{N_{s}} \left(\frac{p_{o}}{2G}\right) \left[\frac{(k-1)N_{s}+2}{k+1}\right]^{\frac{K+k}{k-1}}$$

Παρατήρηση :

Επειδή στην ελαστική περίπτωση η τελική (για λ=1) σύγκλιση του

τοιχώματος της σήραγγας ($u_{R^{\infty,e}}$) είναι : $\frac{u_{R^{\infty,e}}}{R} = \left(\frac{p_o}{2G}\right)$ προκύπτει ότι :

$$\frac{u_{R\infty}}{u_{R\infty,e}} = \frac{1}{N_s} \left[\frac{(k-1)N_s + 2}{k+1} \right]^{\frac{K+k}{k-1}} \quad \eta \quad \frac{u_{R\infty}}{u_{R\infty,e}} = \frac{1}{N_s} \left[\frac{r_{p\infty}}{R} \right]^{K+k}$$

CASE 2: Plastic zone develops in the ground If N_s > 1 and $\lambda > \lambda_{cr}$

Proof of formulae for u_r: (β) Περίπτωση $k = 1 \Rightarrow \varphi = 0$:

$$u = u_p \left(\frac{r_p}{r}\right)^K \Longrightarrow \frac{u_R}{R} = \frac{u_p}{R} \left(\frac{r_p}{R}\right)^K$$

óпои:
$$u_p = r_p \left(\frac{p_o}{2G}\right) \frac{1}{N_s}$$

каі: $r_p = R \exp\left[\frac{1}{2}(N_s \lambda - 1)\right]$ каі $r_{p\infty} = R \exp\left[\frac{1}{2}(N_s - 1)\right]$

Προσδιορισμός της τελικής (για λ=1) σύγκλισης του τοιχώματος της σήραγγας $(u_{R\infty})$:

$$\frac{u_{R\infty}}{R} = \frac{u_{p\infty}}{R} \left(\frac{r_{p\infty}}{R}\right)^{K} \Rightarrow$$

$$\frac{u_{R\infty}}{R} = \frac{1}{N_{s}} \left(\frac{p_{o}}{2G}\right) \exp\left[\frac{1}{2}(N_{s}-1)(K+1)\right]$$

δηλαδή:
$$\frac{u_{R\infty}}{u_{R\infty,e}} = \frac{1}{N_s} \exp\left[\frac{1}{2}(N_s - 1)(K + 1)\right] \quad \text{ή} \quad \frac{u_{R\infty}}{u_{R\infty,e}} = \frac{1}{N_s} \left[\frac{r_{p\infty}}{R}\right]$$

 $\neg K+1$

Displacement of tunnel wall (u_R)

Unsupported tunnel

Supported tunnel



Data points for common values of the relevant parameters

Significant reduction of wall displacement with increasing support pressure

Stresses at the tunnel wall (r=R)



Combining the Chern u_R -x curve (1), with the convergence-confinement u_R -p curve (2), one can develop the Chern-Panet curves λ -x (3). The Chern-Panet curves are useful in 3D numerical analyses (to compute λ from x)



Chern-Panet curves

1. Displacement u_R at tunnel wall as a function of deconfinement (λ):

For deconfinement $\lambda > \lambda_{cr}$ (plasticity):

For deconfinement $\lambda < \lambda_{cr}$ (elasticity):

$$\frac{u_R(\lambda)}{u_{R\infty}} = \left\{ \frac{1}{1 + \frac{N_s}{2}(k-1)(1-\lambda)} \right\}^{(k-1)} = f(\lambda ; N_s, \phi, \delta)$$

$$\frac{u_R(\lambda)}{u_{R\infty}} = \lambda$$

2. Displacement u_R at tunnel wall along the tunnel axis (x) (Chern, 1998) : $\frac{u_R(x)}{u_{R\infty}} = \left[1 + exp\left(0.91\frac{x}{R}\right)\right]^{-1.7}$

Combination of (1), (2) gives the Chern-Panet curves, in the form:

$$\lambda = f\left(\frac{x}{R}; N_s, \varphi, \delta\right)$$

These curves calculate the deconfinement coefficient (λ) at any location (x) along the tunnel axis. They are used in numerical analyses for the calculation of (λ) at the location (x) of support application

Example:

Tunnel radius D = 6m - tunnel depth H = 100m $\gamma = 22 \text{ kN/m}^3, \text{ K}_0 = 0.60 \implies p_0 = 0.5 (1+\text{K}_0) \gamma \text{ H} = 1.76 \text{ MPa}$ GSI = 25, $\sigma_{ci} = 12 \text{ MPa}, \text{ E}_i = 13.5 \text{ GPa} \implies \sigma_{cm} = 0.64 \text{ MPa}$, E = 821 MPa $v = 0.30 \implies \text{G} = 316 \text{ MPa}$ $G = \frac{E}{2(1+\nu)}$ $\phi = 32^\circ \implies \text{k} = 3.2546$ $\delta = 7^\circ \implies \text{K} = 1.28$ $k = \tan^2 \left(45 + \frac{\varphi}{2} \right)$ $K = \frac{1 + \tan \delta}{1 - \tan \delta}$ $E_{rm} = E_i \left(0.02 + \frac{1 - D/2}{1 + e^{((60+15D - \text{GSI})/11)}} \right)$

D = damage factor (=0)

Calculations:

$$N_{s} = \frac{2 p_{o}}{\sigma_{cm}} = 5.5$$
 $\lambda_{cr} = 1 - \left(\frac{2}{1+k}\right) \left(\frac{N_{s} - 1}{N_{s}}\right) = 0.615$

$$\frac{r_{p\infty}}{R} = \left\{ \left(\frac{1}{k+1}\right) \left[2 + N_s \left(k-1\right)\right] \right\}^{\frac{1}{k-1}} = 1.72 \qquad \frac{u_{R\infty}}{R} = \lambda_{cr} \left(\frac{p_o}{2G}\right) \left(\frac{r_{p\infty}}{R}\right)^{K+1}$$

 $\frac{u_{R\infty}}{R} = 0.00588 \implies u_{R\infty} = 600 \times 0.00588 = 3.53 \, cm$

Ground Reaction and Longitudinal Displacement (Chern) curves Convergence - Confinement (or Ground Reaction) curve: GRC = Ground Reaction Curve: $U_r(x) / U_{r,max}$ versus p_i / p_o LDP = Longitudinal Displacement Profile or Chern curve: $U_r(x) / U_{r,max}$ versus x / R Combination of the GRC and LDP curves provides the relation: p_i / p_o versus x / R which is required in 2D numerical analyses.



EXCEL spreadsheet for the calculation of the GRC and LDP curves

Input data: R, p_o,
$$\sigma_{cm}$$
, ϕ , δ , G

$$N_{s} = \frac{2 p_{o}}{\sigma_{cm}} \qquad k = \tan^{2} \left(45 + \frac{\phi}{2} \right)$$
Calculate N_s, k, K and λ_{cr}
Col 1: p/p_o between 1 ... 0
Col 2: λ (between 0 ... 1)

$$N_{s} = \frac{1 + \tan \delta}{1 - \tan \delta} \qquad \lambda_{cr} = 1 - \left(\frac{2}{1 + k} \right) \left(\frac{N_{s} - 1}{N_{s}} \right)$$
 $\lambda = 1 - \frac{P}{P_{o}}$

Col 3: Plastic region ? (Y/N) \longrightarrow If $\lambda > \lambda_{cr}$ then Y else N

Col 4: $r_p / R \longrightarrow If \lambda < \lambda_{cr}$ (no plastic region) then $r_p / R = 1$ else: If $\varphi = 0$: $\frac{r_p}{R} = \exp\left[\frac{1}{2}(\lambda N_s - 1)\right]$ If $\varphi > 0$: $\frac{r_p}{R} = \left\{\left(\frac{2}{k+1}\right)\left[\frac{2+N_s(k-1)}{2+N_s(k-1)(1-\lambda)}\right]\right\}^{\frac{1}{k-1}}$

Col 5: $u_p / R \longrightarrow If \lambda < \lambda_{cr}$ then $u_p = n/a$ else: $\frac{u_p}{R} = \lambda_{cr} \left(\frac{r_p}{R}\right) \left(\frac{p_o}{2G}\right)$

EXCEL spreadsheet for the calculation of the convergence – confinement curve Col 6: $u_R / R \longrightarrow$ If $\lambda < \lambda_{cr}$ (no plastic region): $\frac{u_R}{R} = \lambda \left(\frac{p_o}{2G}\right)$ else: $\frac{u_R}{R} = \frac{u_p}{R} \left(\frac{r_p}{R}\right)^K$ Calculate $u_{R\infty}/R$: equal to u_R/R for $\lambda=1$ Col 7: $u_R / u_{R\infty} \longrightarrow (u_R / R) / (u_{R\infty} / R)$ Col 8: x / R $\longrightarrow \frac{x}{R} = 1.10 \ln \left[\left(\frac{u_R}{u_{RC}} \right)^{-0.588} - 1 \right]$ Plot curves: (u_R/R) vs (p/p_o) , (r_p/R) vs (p/p_o) , (x/R) vs (p/p_o) or (u_R/R) Ground Reaction (GRC) Longitudinal Diplacement (LDP) $N_{s} \leq 1$ $N_{z} \equiv \frac{P_{o}}{c_{u}} = \frac{P_{o}}{c \sqrt{N_{o}}}$



-0.9 2c

 $c_u = \frac{c \cos\varphi}{1 - \sin\varphi}$

 λ = Deconfinement = 1 - p/p_o

EXCEL spreadsheet for the calculation of the convergence – confinement curve

Col 9:
$$\sigma_r / p_o \text{ (at r=R):} \longrightarrow \frac{\sigma_r}{p_o} = (1 - \lambda)$$

Col 10:
$$\sigma_{\theta} / p_o \text{ (at r=R):} \longrightarrow \text{ If } \lambda < \lambda_{cr} \text{ then: } \frac{O_{\theta}}{P_o} = (1 + \lambda)$$

Plot curves: $(\sigma_r / p_o \& \sigma_\theta / p_o) vs (p/p_o)$





 $\frac{\sigma_{\theta}}{p_o} = k \bigg($

else:

 $\underline{\sigma_r}$

 p_o

 $\frac{2}{N_s}$

Examples of Panet – Chern curves :



 $\lambda = f\left(\frac{x}{R}; N_s, \varphi, \delta\right)$

λ - deconfinement ratio

Examples of Panet – Chern curves :





Examples of radius of plastic zone:

$$\frac{r_P}{R} = f\left(\lambda \; ; \; N_s \, , \phi \right)$$





Examples of tunnel wall displacement:





Example: Convergence – confinement curve (u_R) - (λ)

$$\frac{u_R}{R} = f\left(\lambda, \frac{p_o}{2G} ; N_s, \varphi, \delta\right)$$

$$\frac{u_R}{u_{R\infty}} = f\left(\lambda \; ; \; N_s, \varphi, \delta\right)$$



Example: Radius of the plastic zone







Example: Radius of plastic zone





Example: Panet - Chern curve

Example: wall displacement curve (A)

$$\frac{u_R}{u_{R\infty}} = f\left(\frac{x}{R}\right) \qquad \text{(Chern)}$$

$$\frac{u_R(x)}{u_{R\infty}} = \left[1 + exp\left(0.91\frac{x}{R}\right)\right]^2$$



-1.7

Example: wall displacement curve (B)

$$\frac{u_R}{R} = f\left(\frac{x}{R}, \frac{p_o}{2G}; N_s, \varphi, \delta\right)$$

