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3 **Lateral resistance of pipes and strip anchors buried in dense sand**

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34 **Abstract**

35 The response of buried pipes and vertical strip anchors in dense sand under lateral loading is  
36 compared based on finite-element (FE) modeling. Incorporating strain-softening behaviour of  
37 dense sand, the progressive development of shear bands and the mobilization of friction and  
38 dilation angles along the shear bands are examined, which can explain the variation of peak and  
39 post-peak resistances for anchors and pipes. The normalized peak resistance increases with  
40 embedment ratio and remains almost constant at large burial depths. When the height of an anchor  
41 is equal to the diameter of the pipe, the anchor gives approximately 10% higher peak resistance  
42 than that of the pipe. The transition from the shallow to deep failure mechanisms occurs at a larger  
43 embedment ratio for anchors than pipes. A simplified method is proposed to estimate the lateral  
44 resistance at the peak and also after softening at large displacements.

45 **Introduction**

46 Buried pipelines are one of the most efficient modes of transportation of hydrocarbons, both in  
47 onshore and offshore environments. Permanent ground deformations caused by various factors  
48 (e.g. landslides, slow movement of soil in a slope, nearby excavation) and thermal expansion (e.g.  
49 lateral displacement of the pipeline at the side bends) result in relative displacement between the  
50 pipe and surrounding soil. To develop the force–displacement relationships, in addition to the  
51 research on buried pipelines, studies on strip anchors (simply referred to as “anchor” in this paper)  
52 have been utilized, assuming that a geometrically similar pipe and anchor essentially behave in a  
53 similar fashion (Dickin 1994; Ng 1994). However, comparing the behaviour of buried pipes and  
54 anchors, some contradictory results have been obtained. Based on centrifuge tests, Dickin (1994)  
55 showed no significant difference between uplift behaviour of pipes and anchors. Reanalyzing 61  
56 tests on model pipes and 54 on anchors, White et al. (2008) showed that the same limit equilibrium

57 (LE) method overpredicts the maximum uplift resistance (mean value) of pipes by 11%, while it  
58 underpredicts the anchor resistance by 14%. The authors suggested that this discrepancy might  
59 result simply from the feature of the database or be an indication that pipes and anchors behave  
60 differently.

61 Very limited research comparing lateral resistance of pipes and anchors is available. In a limited  
62 number of centrifuge tests, Dickin (1988) showed no significant difference between the force–  
63 displacement curves for pipes and anchors up to the peak resistance; however, the anchors give  
64 higher resistance than pipes after the peak.

65 Pipelines and anchors buried in dense sand are the focus of the present study. Anchors can be  
66 installed directly in dense sand (Das and Shukla 2013). Buried pipelines are generally installed  
67 into a trench. When the trench is backfilled with sand, the backfill material might be in a loose to  
68 medium dense state. However, during the lifetime of an onshore pipeline, the backfill sand might  
69 be densified due to traffic loads, nearby machine vibrations or seismic wave propagation  
70 (Kouretzis et al. 2013). Furthermore, Clukey et al. (2005) showed that the relative density of sandy  
71 backfill of an offshore pipe section increased from less than ~ 57% to ~ 85–90% in 5 months after  
72 construction, which has been attributed to wave action at the test site in the Gulf of Mexico. The  
73 behaviour of buried pipes and anchors can be compared through physical modeling and numerical  
74 analysis. Physical modeling is generally expensive, especially the full-scale tests at large burial  
75 depths, in addition to having some inherent difficulties, including the examination of the  
76 progressive formation of thin shear bands in dense sand. Through a joint research project between  
77 Memorial University of Newfoundland and Queen’s University, Canada, the authors and their co-  
78 workers used the particle image velocimetry (PIV) technique (White et al. 2003) in full-scale tests  
79 for lateral pipe–soil interaction in both loose and dense sand (Burnett 2015). While PIV results

80 provide deformation of the soil particles and location of the shear bands, tests on a wide range of  
81 burial depths could not be conducted. In addition, a number of centrifuge tests were also conducted  
82 using the geotechnical centrifuge at C-CORE (Daiyan et al. 2011; Debnath 2016).

83 Force–displacement behaviour is generally expressed in normalized form using  $N_h = F_h/(\gamma HD)$   
84 and  $\tilde{u} = u/D$ , where  $D$  is the diameter of the pipe (replace  $D$  with height of the anchor ( $B$ ) for  
85 anchor–soil interaction),  $\gamma$  is the unit weight of the soil,  $F_h$  is the lateral force per unit length of the  
86 pipe/anchor,  $H$  is the depth of the center of the pipe or anchor and  $u$  is the lateral displacement.  
87 The burial depth is also expressed in normalized form using the “embedment ratio,  $\tilde{H} = H/D$ .”

88 A considerable number of physical experiments were conducted on lateral pipe–soil interaction  
89 (Trautmann 1983; Hsu 1993; Daiyan et al. 2011; Burnett 2015; Monroy et al. 2015). Guo and  
90 Stolle (2005) compiled data from 11 experimental tests on dense sand and showed that the  
91 maximum dimensionless force ( $N_{hp}$ ) increases with  $\tilde{H}$  and decreases with an increase in pipe  
92 diameter. Note, however, that a very limited number of tests for large diameters at large  $\tilde{H}$  are  
93 available. Most of the tests for  $\tilde{H} > 7$  were conducted using small diameter pipes ( $D = 25\text{--}50$  mm),  
94 except for the Trautmann (1983) tests with a 102-mm diameter pipe. Physical experiments on  
95 dense sand show a reduction of resistance after the peak (Trautmann 1983).

96 Lateral pipeline–soil interactions can occur in the field in two ways: (i) soil can push the  
97 pipeline when ground moves (e.g., during landslides), and (ii) the pipeline can push the soil—for  
98 example, thermal expansion due to operating temperature increase could cause lateral  
99 displacement at horizontal bends. When the  $N_h\text{--}\tilde{u}$  relation is used to model the force on the pipe  
100 due to ground movement, the use of the maximum dimensionless force ( $N_{hp}$ ) is conservative  
101 because it gives a higher force on the pipe. However, for the latter cases, a lower bound estimation  
102 of soil resistance is necessary for safe design (Oswell 2016). For example, Oswell (2016)

103 suggested that the consideration of a higher soil resistance is often non-conservative when a  
104 pipeline pushes the soil due to thermal expansion at the side bends. In these cases, softer horizontal  
105 soil springs considering the post-peak  $N_h$  would be conservative because it will give greater pipe  
106 displacement and bending stress. In the current industry practice, stresses in the pipeline are  
107 calculated based on both upper and lower bound soil resistances, and the calculated stresses for  
108 the maximum operating temperature should not exceed the allowable values defined in the design  
109 code. The lateral displacements at the bend, when the stresses in the pipe exceeds the acceptable  
110 limits, could be higher than the displacement required to mobilize the peak force, especially when  
111 the soil has strain-softening behaviour (e.g., dense sand). In such cases, consideration of post-peak  
112 degradation of soil resistance will improve the modelling of structural response.

113 The existing design guidelines recommend simplified methods to calculate  $N_{hp}$  based on angle  
114 of internal friction of the soil,  $\phi'$  (ALA 2005). However, as will be discussed in the following  
115 sections,  $N_{hp}$  depends on mobilized shear resistance of soil along the slip planes that form due to  
116 relative displacement between the pipe and surrounding soil.

117 Similar to pipeline research, a large number of experimental studies have been conducted on  
118 lateral anchor–soil interaction for loose to dense sands, with a main focus on the maximum  
119 capacity,  $N_{hp}$  (Neely et al. 1973; Das et al. 1977; Akinmusuru 1978; Dickin and Leung 1983;  
120 Hoshiya and Mandal 1984; Choudhary and Das 2017). Among the experimental studies, limited  
121 number of tests were conducted on dense sands (e.g. Dickin and Leung 1983). However,  
122 theoretical studies (Neely et al 1973; Dickin and Leung 1985; Murray and Geddes 1989), finite-  
123 element analyses (Rowe and Davis 1982; Dickin and King 1993) and finite-element limit analyses  
124 (Merifield and Sloan 2006; Kumar and Sahoo 2012; Bhattacharya and Kumar, 2013) have been  
125 performed to calculate the peak lateral resistance assuming a constant representative value of

126 friction angle ( $\phi'$ ) for dense sand. Similar to pipes, physical experiments show a post-peak  
127 degradation of lateral resistance for anchors in dense sand (Dickin and Leung 1983). The use of a  
128 resistance after post-peak reduction might be safe for anchors buried in dense sand as the anchor  
129 might undergo considerably large displacements. Furthermore, some studies suggested that the  
130 modeling of progressive development of shear bands would better simulate the response of anchors  
131 in dense sand (e.g. Tagaya et al. 1983; Sakai and Tanaka 2007).

132 The lateral resistance evolves from a complex deformation mechanism and the stress–strain  
133 behaviour of soil around the pipe and anchor. More specifically, the progressive development of  
134 shear bands in dense sand due to strain-softening and mobilization of shear resistance along these  
135 planes govern the lateral resistance. The stress–strain behaviour of dense sand involves the pre-  
136 peak hardening, post-peak softening, relative density and effective mean stress ( $p'$ ) dependent  $\phi'$   
137 and  $\psi$ . Therefore, single representative values of  $\phi'$  and/or  $\psi$  for the Mohr-Coulomb model in FE  
138 simulation or in simplified limit equilibrium analysis should be carefully selected. For anchors,  
139 Dickin and Leung (1983) showed that the peak friction angle gives considerably higher resistance  
140 compared to the experimental results. Similarly, for pipelines in dense sand, O'Rourke and Liu  
141 (2012) showed that ALA (2005) or PRCI (2004) guidelines that adopted Hansen's (1961) study  
142 on piles give  $N_{hp}$  more than twice of Trautmann and O'Rourke's (1983) recommendations based  
143 on physical modeling.

144 The aim of the present study is to conduct FE analyses to identify potential reasons behind the  
145 similarities and differences between the response of pipes and anchors in dense sand subjected to  
146 lateral loading. The progressive formation of shear bands with lateral displacement is simulated  
147 implementing a modified form of the Mohr–Coulomb model for dense sand. The mobilization of  
148  $\phi'$  and  $\psi$  along the shear band is examined to explain soil failure mechanisms and mobilized

149 resistances at the peak and post-peak degradation stages. Finally, a set of simplified equations is  
150 proposed for practical applications.

### 151 **Problem statement and finite-element modeling**

152 An anchor or a section of pipe is placed at the desired embedment ratio ( $\tilde{H}$ ) in dense sand and  
153 then pulled laterally. Two-dimensional FE analyses in plane strain condition are performed using  
154 Abaqus/Explicit FE software (Dassault Systèmes 2010). Figure 1 shows the typical FE mesh at  
155 the start of lateral loading. Four-node bilinear plane-strain quadrilateral elements (CPE4R in  
156 Abaqus) are used for modeling the soil while the pipe/anchor is modelled as a rigid body. The  
157 thickness of the anchor is 200 mm. Analyses are also performed for other thicknesses (100–300  
158 mm); however, no significant effects on lateral resistance are found. The bottom of the FE domain  
159 is restrained from any horizontal and vertical movement, while all the vertical faces are restrained  
160 from lateral movement. The boundaries are placed at a sufficiently large distance from the  
161 pipe/anchor to minimize boundary effects on lateral resistance. To avoid numerical issues related  
162 to large mesh distortion, soil is defined as an adaptive mesh domain with the default Lagrangian  
163 type boundary regions (lines in the present two-dimensional analysis), which creates new smooth  
164 mesh with improved aspect ratios at given intervals.

165 The interface behaviour is modeled using a surface-based contact method that allows slip and  
166 separation between pipe/anchor and soil. The frictional resistance is defined using the interface  
167 friction coefficient ( $\mu$ ) as  $\mu = \tan(\phi_\mu)$ , where  $\phi_\mu$  is the interface friction angle.  $\phi_\mu$  depends on  
168 interface characteristics and relative movement between the pipe/anchor and soil and typically lies  
169 between 50 and 100% of the peak friction angle (Yimsiri et al. 2004). Such variation of  $\phi_\mu$  can  
170 change the maximum lateral resistance by 5%–8% (Yimsiri et al. 2004; Jung et al. 2013). In the  
171 present study,  $\phi_\mu = 17.5^\circ$  is used.

172 The numerical analysis is conducted in two steps. In the geostatic step, all the soil elements are  
173 brought to the in-situ stress condition under  $K_0 = 1.0$ , where  $K_0$  is the at-rest earth pressure  
174 coefficient. The value of  $K_0$  does not significantly affect the lateral resistance in FE analysis (Jung  
175 et al. 2016). In the second step, the pipe/anchor is displaced laterally by specifying a displacement  
176 boundary condition at the reference point (center of the pipe/anchor).

### 177 **Modeling of soil**

178 Two soil models are used in this study: (i) Mohr–Coulomb (MC) and (ii) a modified Mohr–  
179 Coulomb (MMC) model. In the MC model, the angles of internal friction ( $\phi'$ ) and dilation ( $\psi$ ) are  
180 given as input, which remain constant during FE analysis. However, in the MMC model, the  
181 mobilized  $\phi'$  and  $\psi$  are updated during the progress of FE analysis, as a function of accumulated  
182 plastic shear strain ( $\gamma^p$ ) and mean effective stress ( $p'$ ). Note that modified forms of the MC model  
183 have also been used in previous studies (Guo and Stolle 2005; Jung et al. 2013; Robert and  
184 Thusyanthan 2014). The details of the MMC model used in the present study have been presented  
185 by the authors elsewhere (Roy et al. 2016). The key features of the MMC model are presented  
186 below, while the mathematical equations are listed in Table 1 (Eqs. (1)–(10)).

187 i) Laboratory tests on dense sand show that  $\phi'$  and  $\psi$  vary with  $D_r$ ,  $\gamma^p$ ,  $p'$  and mode of shearing  
188 (triaxial (TX) or plane strain (PS)). However, constant representative values of  $\phi'$  and  $\psi$  are  
189 commonly used in the MC model. The peak friction angle ( $\phi'_p$ ) increases with  $D_r$  but decreases  
190 with  $p'$  (Bolton 1986; Houlsby 1991), which are modeled using Eqs. (1) to (3) as in the work of  
191 Bolton (1986), where  $\phi'_c$  is the critical state friction angle and  $A_\psi$  and  $k_\psi$  are two constants. Bolton  
192 (1986) suggested  $A_\psi = 5.0$  and  $3.0$  for plane strain and triaxial conditions, respectively.  
193 Chakraborty and Salgado (2010) recommended  $A_\psi = 3.8$  for both TX and PS conditions from their



194 analysis of test results on Toyoura sand. In the present study,  $A_\psi = 5$  with  $\phi'_p - \phi'_c \leq 20^\circ$  for PS  
195 configuration is used (Bolton 1986).

196 ii) The mobilization of  $\phi'$  and  $\psi$  with  $\gamma^p$  is modeled using Eqs. (6) to (9), which show that  $\phi'$   
197 and  $\psi$  gradually increase from the initial value  $(\phi'_{in}, 0)$  to the peak  $(\phi'_p, \psi_p)$  at  $\gamma^p_p$ . In the post-peak  
198 region,  $\phi'$  and  $\psi$  are reduced exponentially, as in Eqs. (7) and (8), from the peak to the critical state  
199 values  $(\phi' = \phi'_c, \psi = 0)$  at large  $\gamma^p$ . As the analysis is performed for the PS condition,  $\phi'_c = 35^\circ$  is  
200 used, which is typically  $3^\circ$ – $5^\circ$  higher than that of the TX configuration (Bishop 1961; Cornforth  
201 1964; Pradhan et al. 1988; Yoshimine 2005).

202 iii) The Young's modulus ( $E$ ) is calculated using Eq. (10) (Janbu 1963; Hardin and Black 1966),  
203 where  $p'$  is the initial mean effective stress at the springline of the pipe,  $p'_a$  is the atmospheric  
204 pressure (= 100 kPa),  $K$  is a material constant, and  $n$  is an exponent. Equation (10) has also been  
205 used in the previous studies for FE modeling of pipe–soil interaction (Yimsiri et al. 2004; Guo and  
206 Stolle 2005; Daiyan et al. 2011; Jung et al. 2013). In the present study,  $K = 150$  and  $n = 0.5$  is used.  
207 The Poisson's ratio of 0.2 is used for the soil, which is considered as the representative value for  
208 dense sand (Jefferies and Been 2006).

209 The implementation of the MMC model in Abaqus using a user defined subroutine has been  
210 discussed elsewhere (Roy et al. 2016).

### 211 **Model tests simulations**

212 In order to show the performance of the present FE modeling, simulations are first performed  
213 for two 1g model tests with 100-mm diameter pipe and two centrifuge tests with 1,000-mm high  
214 strip anchor (in prototype scale), conducted by Trautmann (1983) and Dickin and Leung (1983),  
215 respectively. These tests were conducted in dense sand having  $D_r \sim 80\%$ . Dickin and Leung (1983)  
216 conducted tests on a fine and fairly uniform dense dry Erith sand ( $\gamma \sim 16$  (kN/m<sup>3</sup>). A comprehensive

217 experimental study, including plane strain and triaxial compression tests, on this sand shows that  
218  $\phi'_p$  increases with reduction of confining pressure, and  $\phi'_p$  is higher in PS condition than in TX  
219 condition (Eqs. (1)–(3)). Dickin and Laman (2007) simulated the response of anchors in this sand  
220 at loose condition using a friction angle of  $35^\circ$ , which is similar to  $\phi'_c$  (Dickin 1994). Trautmann  
221 (1983) conducted the tests on clean and subangular dense Cornell filter sand ( $\gamma = 17.7$  (kN/m<sup>3</sup>)).  
222 Analyzing a large number of tests on different sands, Bolton (1986) suggested  $Q = 10$  and  $R = 1$   
223 for Eq. (1), and  $A_\psi = 5$  and  $k_\psi = 0.8$  for Eqs. (2) and (3), respectively, for PS condition. Roy et al.  
224 (2016) calibrated the present MMC model against laboratory test results on Cornell filter sands  
225 and obtained the values of  $C_1$ ,  $C_2$  and  $m$  to model mobilized  $\phi'$  and  $\psi$  with  $\gamma^p$  (Eqs. (4)–(9)). Dickin  
226 and Leung (1983) did not provide the stress–strain curves of Erith sand used in their centrifuge  
227 modeling; therefore, the values of  $C_1$ ,  $C_2$  and  $m$  of this sand are assumed to be the same as Cornell  
228 filter sand.

229 FE simulations are performed for  $\tilde{H} = 1.5$  and  $5.5$  for pipes and  $\tilde{H} = 1.5$  and  $4.5$  for anchors, to  
230 explain the effects of the embedment ratio. The soil parameters used in FE simulations are listed  
231 in Table 2. Although  $c' = 0$  for sand, a small value of  $c' (\leq 0.01$  kPa) is used to avoid numerical  
232 issues. Further details on lateral pipe–soil interaction and performance of the MMC model can be  
233 found in Roy et al. (2016).

#### 234 Force–displacement behaviour of anchor

235 Figure 2 (a) shows the normalized force–displacement curves for anchors. The FE simulation  
236 with the MMC model for  $\tilde{H} = 1.5$  shows that  $N_h$  increases with  $\tilde{u}$ , reaches the peak ( $N_{hp}$ ) at  $\tilde{u} \sim$   
237  $0.05$  (point A) and then quickly decreases to point B, which is primarily due to the strain-softening  
238 behaviour of dense sand. After that,  $N_h$  remains almost constant. In the present study, the rapid  
239 reduction of the lateral resistance segment of the  $N_h$ – $\tilde{u}$  curve (e.g. segment AB for  $\tilde{H} = 1.5$ ) is

240 called the “softening segment,” while the segment after softening (e.g. segment after point B) is  
241 the “large-deformation segment.” Although some cases show a slight decrease in resistance in the  
242 large deformation segment, the resistance at the end of softening segment (e.g. at point B) is  
243 considered to be the “residual resistance ( $N_{hr}$ ).”

244 For comparison, centrifuge test results from Dickin and Leung (1983) are also plotted in Fig.  
245 2(a). The following are the key observations: (i)  $N_{hp}$  and  $N_{hr}$  obtained from FE analysis with the  
246 MMC model are comparable to those obtained from the centrifuge tests; (ii) both centrifuge and  
247 FE simulations with the MMC model have softening and large-deformation segments in the  $N_h-\tilde{u}$   
248 curve; (iii)  $\tilde{u}$  required to mobilize a  $N_h$  (e.g.  $N_{hp}$  and  $N_{hr}$ ) is significantly higher in centrifuge tests  
249 than in FE simulations. Regarding this discrepancy, it is to be noted that, conducting 1g and  
250 centrifuge tests for uplift resistance in dense sand, Palmer et al. (2003) showed that while the peak  
251 resistances obtained from these tests are comparable, the normalized mobilization distance in the  
252 centrifuge is significantly higher than that required in 1g tests. They also inferred that the  
253 centrifuge scaling law may not be fully applicable to strain localization and shear band formation  
254 in dense sand, although the magnitude of resistance could be successfully modeled. The present  
255 FE analysis for lateral anchor–soil interaction also shows a similar trend, which implies that the  
256 mobilization distance in FE analysis might be comparable to 1g tests.

257 A very similar trend is found for  $\tilde{H} = 4.5$  when the centrifuge test results are compared with FE  
258 simulation using the MMC model. However, in this case,  $N_{hr}$  and the large-deformation segment  
259 of the  $N_h-\tilde{u}$  curve could not be identified from centrifuge test results because the test was stopped  
260 at  $\tilde{u} = 0.4$ , before the completion of softening. FE calculated  $N_{hp}$  and  $N_{hr}$  for  $\tilde{H} = 4.5$  are higher  
261 than those values for  $\tilde{H} = 1.5$ .

262

263 Force–displacement behaviour of pipe

264 Figure 2(b) shows that the force–displacement curves obtained from FE analysis with the MMC  
265 model are very similar to the model test results of Trautmann (1983). For a high  $\tilde{H}$  (= 5.5), there  
266 is a post-peak reduction of  $N_h$ ; however, for a low  $\tilde{H}$  (= 1.5), no significant post-peak reduction of  
267  $N_h$  is found. Unlike Fig. 2(a), no significant discrepancy in the normalized mobilization distance  
268 between the model test and FE simulation results is found, because in this case the tests were  
269 conducted at 1g while the tests presented in Fig. 2(a) were conducted at 40g.

270 The model tests conducted by Audibert and Nyman (1978) using a 25-mm diameter pipe buried  
271 in dense Carver sand also show similar response: no significant post-peak degradation of  $N_h$  for  
272 shallow-buried pipelines ( $\tilde{H} = 1.5$  and 3.5), but a considerable post-peak degradation for deeper  
273 pipelines ( $\tilde{H} = 6.5$  and 12.5).

274 As will be discussed later in the “Failure mechanisms” section that the shear bands form  
275 gradually with lateral displacement of the pipe/anchor, and plastic shear strains generate in the  
276 shear band even before the mobilization of peak resistance. Therefore, the shape of pre-peak  $N_h$ –  
277  $\tilde{u}$  curves in Fig. 2 is influenced by: (i) burial depth (i.e.  $p'$ ) dependent Young’s modulus,  $E$  (Eq.  
278 (10)), (ii)  $p'$  and  $\gamma^p$  dependent  $\phi'$  and  $\psi$  (Eqs. (6)–(9)), and (iii) burial depth dependent shape of the  
279 slip planes, as will be shown later in Fig. 7. Proper estimation of  $E$  is a challenging task. Based on  
280 multiple linear regression analyses of data, O’Rourke (2010) proposed an empirical equation for  
281  $E$  as a function of vertical effective stress at pipe centre and dry unit weight of soil. Jung et al.  
282 (2013) used a strain-compatible secant modulus for modeling elastic behaviour, which was derived  
283 based on the hyperbolic stress–strain relationship of Duncan and Chang (1970), and showed a  
284 good match between the force–displacement curves obtained from numerical simulation and  
285 model test results. The slight difference in  $N_h$ – $\tilde{u}$  curves between model test and the present FE

286 simulation results, as shown in Fig. 2(b), could be reduced further by selecting a more appropriate  
287 value for Young's modulus.

### 288 Limitations of the Mohr-Coulomb model

289 To show the advantages of the MMC model, three FE simulations with the MC model are  
290 performed for  $\tilde{H} = 1.5$  using three sets of  $\phi'$  and  $\psi$  values ( $\phi' = 50^\circ, \psi = 19^\circ$ ;  $\phi' = 44^\circ, \psi = 16^\circ$  and  
291  $\phi' = 35^\circ, \psi = 0^\circ$ ). Here, for a given  $\phi'$ , the value of  $\psi$  is calculated using Eq. (3) in Table 1. As  
292 expected, for the MC model,  $N_h$  increases with  $\tilde{u}$ , reaches the peak ( $N_{hp}$ ) and then remains constant  
293 (Fig. 2(a)). Figure 2(a) also shows that the MC model for  $\phi'=44^\circ$  and  $\psi=16^\circ$  gives  $N_{hp}$  comparable  
294 to the peak of the centrifuge test results. For  $\phi'=50^\circ$  and  $\psi=19^\circ$ ,  $N_{hp}$  is significantly higher, and for  
295  $\phi'=35^\circ$  and  $\psi=0^\circ$ ,  $N_{hp}$  is significantly lower than the centrifuge test results. Although it is not  
296 explicitly mentioned in the design guidelines, equivalent (representative) values for these two  
297 parameters should be carefully selected, as they vary with  $\gamma^p$  (Roy et al. 2016). In general, the  
298 equivalent values of  $\phi'$  and  $\psi$  should be smaller than the peak and higher than the critical state  
299 values. For example, Dickin and Leung (1983) mentioned that if the peak friction angle obtained  
300 from laboratory tests is used, the theoretical models (Ovesen and Stromann 1972; Neely et al.  
301 1973) significantly overestimate the resistance as compared to model test results. Therefore,  
302 although  $\phi'_p > 50^\circ$  was obtained from laboratory tests, they used an equivalent friction angle of  
303  $39.4^\circ$ – $43.5^\circ$  to calculate  $N_{hp}$ . Another key observation from Fig. 2(a) is that the simulations with  
304 the MC model do not show any post-peak degradation of  $N_h$ , as observed in centrifuge tests.

305 The difference between the  $N_h$ – $\tilde{u}$  curves with the MC and MMC models can be further  
306 explained from the progressive development of shear bands, the zones of localized plastic shear

307 strain,  $\gamma^p = \int_0^t \sqrt{\frac{3}{2} (\dot{\epsilon}_{ij}^p \dot{\epsilon}_{ij}^p) dt}$ , where  $\dot{\epsilon}_{ij}^p$  is the plastic deviatoric strain rate tensor (Figs. 3(a–d)).

308 These figures show the variations of  $\gamma^p$  at points C, D, E and F in Fig. 2(a). Three distinct shear  
309 bands ( $f_1$ – $f_3$ ) form in all the cases. However, the approximate angle of the shear band  $f_1$  to the  
310 vertical increases with  $\phi'$  and  $\psi$ , as shown by drawing lines through the shear bands (Fig. 3(e)),  
311 which in turn increases the size of the passive failure wedge and thereby lateral resistance. An  
312 opposite trend, a decrease in size of the active failure wedge (on the left side of the anchor) with  
313 an increase in  $\phi'$  and  $\psi$  is found; however, the active zone does not have a significant effect on  
314 lateral resistance. Further details on soil failure mechanisms, including the comparison with  
315 physical model test results, are available in Roy et al. (2016, 2016a).

### 316 **Mesh sensitivity**

317 As the MMC model considers the strain-softening behaviour of dense sand, FE simulations  
318 with this model are expected to be mesh sensitive. More specifically, the formation of shear bands  
319 and mobilization of  $\phi'$  and  $\psi$  need to be modeled properly. For sand, the ratio between the thickness  
320 of the shear band ( $t_s$ ) and the mean particle size ( $d_{50}$ ) varies between 3 and 25; the lower values  
321 mostly correspond to coarse-grained sands (Loukidis and Salgado 2008; Guo 2012). As the soil is  
322 modeled as a continuum in the FE analysis, the width of the shear band can be controlled by  
323 varying element size, which is described by the characteristic length of the finite element ( $t_{FE}$ ).  
324 Very small  $t_{FE}$  gives an unrealistically thin shear band, while large  $t_{FE}$  cannot capture strain  
325 localization properly. The ratio of  $t_s/t_{FE}$  also depends on loading conditions. For example, Loukidis  
326 and Salgado (2008) used  $t_{FE} = t_s$  in the zone of strain localization near the pile to calculate the shaft  
327 resistance in dense sand. However, the deformed mesh under the footing in dense sand shows  $t_s \sim$   
328  $(2-3)t_{FE}$  (Tejchman and Herle 1999; Tejchman and Górski 2008), which is consistent with model  
329 tests results (Tatsuoka et al. 1991). As will be shown later, during lateral movement of the pipe,  
330 strain localization extends to more than one element. Therefore,  $t_{FE} < t_s$  should be used to capture

331 the strain localization properly. Assuming  $d_{50} \sim 0.5$  mm and  $t_s/d_{50} \sim 25$  for fine sand,  $t_s \sim 12.5$  mm  
332 is calculated, which is also consistent with experimentally observed shear band width. For  
333 example, Sakai et al. (1998) showed  $t_s \sim 9$  mm for fine Soma sand and Uesugi et al. (1988) found  
334  $t_s \sim 8$  mm for Seto sand.

335 Several authors proposed element scaling rules to reduce the effects of FE mesh on simulated  
336 results (Pietruszczak and Mróz 1981; Moore and Rowe 1990; Andresen and Jostad 2004;  
337 Anastasopoulos et al. 2007). Using the work of Anastasopoulos et al. (2007) and assuming the  
338 reference FE mesh  $t_{FE\_ref} = 10$  mm, analyses are performed for  $t_{FE} = 30$  mm and 50 mm, where  $\gamma_c^p$   
339 in Eq. (4) is scaled by a factor of  $f_{scale} = (t_{FE\_ref}/t_{FE})^m$ , where  $m$  is a constant. Anastasopoulos et al.  
340 (2007) suggested  $m = 1$  (i.e.  $f_{scale}$  is inversely proportional to element size) for fault rupture  
341 propagation. However, a number of FE simulations of lateral loading of pipes for varying  
342 geotechnical properties, element size, and pipe diameter show that  $m \sim 0.7$  gives a better  $f_{scale}$  than  
343  $m = 1$  for mesh independent  $N_h-\tilde{u}$  curves. As an example, for  $D_R = 80\%$ ,  $\gamma_c^p = 0.132$  for both 50-  
344 mm and 10-mm mesh, when the scaling rule is not used. However,  $\gamma_c^p = 0.132*(10/50)^{0.7} = 0.043$   
345 for 50-mm and  $\gamma_c^p = 0.132$  for 10-mm mesh when the scaling rule is used.

346 Figure 4 shows the sample mesh sensitivity analysis results for a 500-mm diameter pipe. If the  
347 scaling rule is not used, the peak resistance and the rate of post-peak degradation are considerably  
348 higher for coarse mesh ( $t_{FE} = 50$  mm) than for fine mesh ( $t_{FE} = 10$  mm). However, the mesh size  
349 effect on  $N_h$  is negligible at very large  $\tilde{u}$ , because at this stage the shear strength along the shear  
350 bands is simply governed by the critical state parameters. Figure 4 also shows that the scaling rule  
351 brings the  $N_h-\tilde{u}$  curves closer for the three mesh sizes. A very similar trend is found for other  
352 diameters. In the present study, except for mesh sensitive analysis,  $t_{FE} \sim 10$  mm, while a few rows  
353 of elements near the pipe have  $t_{FE} < 10$  mm.

### 354 **Peak anchor resistance**

355 Figure 5 shows that the peak resistance obtained from FE analyses with the MMC model is  
356 higher for a 500-mm anchor than that of a 1,000-mm anchor. The normalized peak dimensionless  
357 force ( $N_{hp}$ ) increases with  $\tilde{H}$ ; however, it remains almost constant at large embedment ratios.  
358 Physical model test results available in the literature are also included in this figure for comparison.  
359 A significant difference between  $N_{hp}$  for different anchor heights is also evident in the physical  
360 model tests; for example, compare the triangles and open squares in Fig. 5 that represent  $N_{hp}$  for  
361 50-mm and 1,000-mm anchors, respectively. In other words, there is a “size effect” on  $N_{hp}$ , and  
362 that can be explained using the MMC model. The dependency of  $\phi'$  and  $\psi$  on the mean effective  
363 stress ( $p'$ ) is the primary cause of size effect. For a larger anchor height, overall  $p'$  is higher, which  
364 gives smaller mobilized  $\phi'$  and  $\psi$  (Eqs. (1)–(3)). The smaller values of  $\phi'$  and  $\psi$  reduce not only the  
365 frictional resistance along the slip plane but also the inclination of the slip plane to the vertical and  
366 thereby the size of the passive failure wedge. Moreover, as discussed later in the “Failure  
367 mechanisms” section, once the failure wedges are formed, the inclination of a shear band (e.g.  $f_1$   
368 in Fig. 3(d)) does not change significantly with anchor displacement. This implies that the size  
369 effect also exists in residual resistance because the size of failure wedges governs by the  $p'$   
370 dependent  $\phi'$  and  $\psi$  at the early stage of displacements, not by the critical state values (independent  
371 of  $p'$ ). Further discussion on this issue is provided later in the “Proposed simplified equations”  
372 section.

### 373 **Comparison of response between pipes and strip anchors**

374 Figure 6 shows the  $N_h-\tilde{u}$  curves for a similar-sized pipe and anchor ( $B = D = 500$  mm), on  
375 which the points of interest for further explanation are labeled (circles, squares and diamonds are  
376 for the peak, residual and large displacements, respectively). Similar to physical model test results



377 for anchors and pipes (Dickin and Leung 1983; Hoshiya and Mandal 1984; Trautmann 1983;  
378 Paulin et al. 1998),  $N_h$  increases with  $\tilde{u}$ , reaches the peak value and then decreases to a residual  
379 value. For deeper conditions (e.g.  $\tilde{H} = 6$  & 8), the decrease in  $N_h$  continues even at large  $\tilde{u}$ ;  
380 however, for simplicity, the  $N_h$  after the square symbols is assumed to be constant (residual) for  
381 further discussion. Figure 6 also shows that, for a given  $\tilde{H}$  and  $B (= D)$ , an anchor offers higher  
382 resistance than pipe. Note that, in a limited number of centrifuge tests, Dickin (1988) found higher  
383 residual resistance for an anchor than a similar-sized ( $B = D$ ) pipe, although the peak resistances  
384 were similar. In other words, there is a “shape effect” on lateral resistance—the resistance is higher  
385 for the flat-surfaced anchor than the curve-surfaced pipe. In addition,  $\tilde{u}$  required to mobilize the  
386 peak and residual resistances is higher for the anchor than for the pipe (e.g.  $\tilde{u}$  at A' is greater than  
387  $\tilde{u}$  at A, Fig. 6). This is because of the difference in soil failure mechanisms between anchors and  
388 pipes, as will be discussed in the following sections.

389 FE analyses are also performed for a large  $\tilde{H} (= 15)$ . No significant increase in peak resistance  
390 occurs for an increase in  $\tilde{H}$  from 8 to 15. Moreover, the post-peak degradation of resistance for  $\tilde{H}$   
391 = 15 is not significant.

### 392 Failure Mechanisms

393 The trend of lateral resistance shown in the previous sections can be further explained from the  
394 progressive development of shear bands (Figs. 7(a)–(x)). For small embedment ratios ( $\tilde{H} = 2$ –4),  
395 the lateral displacement of the pipe or anchor results in formation of active and passive soil  
396 wedges, which is known as “wedge” type failure (Figs. 7 (a–l)). For a pipe at  $\tilde{H} = 2$ ,  $\gamma^p$  accumulates  
397 mainly in three shear bands, and the length of the shear bands increases with lateral displacement  
398 of the pipe (Figs. 7(a–c)). At the peak,  $\gamma^p$  generates in the shear bands mainly near the pipe, while  
399  $\gamma^p$  is very small when it is far from the pipe. This implies that, in the segments of the shear band

400 far from the pipe,  $\gamma^p$  is not sufficient to mobilize the peak friction and dilation angles. Figure 7(b)  
401 shows that significant  $\gamma^p$  generates in the shear band which reduces  $\phi'$  and  $\psi$  of the soil elements  
402 in the shear bands. At large displacements, the accumulation of  $\gamma^p$  in the shear bands continues  
403 together with a significant movement of the wedges resulting in ground heave above the passive  
404 wedge and settlement above the active wedge. A very similar pattern of failure planes and ground  
405 movement has been reported from physical model tests (Paulin et al. 1998; O'Rourke et al. 2008;  
406 Burnett 2015; Monroy et al. 2015).

407 Similar to the pipe case, three shear bands develop progressively for an anchor (Figs. 7(d–f)).  
408 At the peak,  $\gamma^p$  in the shear band is higher for the anchor than for the pipe (Figs. 7(a) and 7(d)).  
409 Moreover, a larger passive wedge forms for the anchor than for the pipe (compare Fig. 7(b) and  
410 7(e)). The distance between the center of the anchor and the point where  $f_1$  reaches the ground  
411 surface ( $l_a$ ) is  $\sim 4.5B$ , while for the pipe, this distance ( $l_p$ ) is  $\sim 4D$ . Because of this larger size of the  
412 passive wedge ( $l_a > l_p$ ), the anchor offers higher resistance than pipe, as shown in Fig. 6. A similar  
413 response is found for  $\tilde{H} = 4$  (Figs. 7(g–l)); however,  $l_a/l_p \sim 1.3$  (as compared to  $l_a/l_p \sim 1.1$  for  $\tilde{H} =$   
414 2), which is the primary reason for a significant difference between the resistances for pipe and  
415 anchor for  $\tilde{H} = 4$  (Fig. 6). Dickin and Leung (1985) observed the formation of similar failure planes  
416 in their centrifuge tests for  $\tilde{H} = 2.5$  and 4.5.

417 For a moderate embedment ratio ( $\tilde{H} = 6$  & 8), at the peak, plastic deformation occurs mainly  
418 around the pipe (Fig. 7(m)). However, for the anchor, two horizontal shear bands in the front and  
419 a curved shear band at the back form at this stage (Fig. 7(p)). Three distinct shear bands, similar  
420 to the small embedment ratio cases, form at relatively large  $\tilde{u}$  (Figs. 7(n) & 7(q)). At large  $\tilde{u}$ , a  
421 number of shear bands also form around the pipe and anchor, which also influence the force–

422 displacement behaviour. Not shown in Fig. 7, at large burial depths ( $\tilde{H} = 15$ ), only local flow  
423 around mechanisms are observed both for anchor and pipe.

424 In summary, the force–displacement curves obtained from the model tests or numerical analysis  
425 evolve from complex soil failure mechanisms during lateral loading. Because of the considerable  
426 difference in soil failure mechanisms, anchors offer higher resistance than pipes.

### 427 **Proposed simplified equations**

428 A set of simplified equations is proposed in this section to calculate the peak ( $N_{hp}$ ) and residual  
429 ( $N_{hr}$ ) resistances for pipes and anchors. These equations are developed based on the following trend  
430 observed in model tests and the present FE simulations: (i) both  $N_{hp}$  and  $N_{hr}$  increase with  $\tilde{H}$ ;  
431 however,  $N_{hp}$  remains constant after a critical embedment ratio ( $\tilde{H}_c$ ); (ii) the difference between  
432  $N_{hp}$  and  $N_{hr}$  is not significant at large  $\tilde{H}$ ; (iii) for a given  $\tilde{H}$ , the smaller the pipe diameter or anchor  
433 height, the higher the  $N_{hp}$  and  $N_{hr}$ ; (iv) for a given  $B = D$ , anchor resistance is higher than pipe  
434 resistance.

435 In order to capture these phenomena, the following equations are proposed:

$$436 \quad (11) \quad N_{hp} = N_{hp0} \tilde{H}^{m_p} f_D f_s \quad \text{for } \tilde{H} \leq \tilde{H}_c$$

$$437 \quad (12) \quad N_{hp} = N_{hp0} \tilde{H}_c^{m_p} f_D f_s \quad \text{for } \tilde{H} > \tilde{H}_c$$

$$438 \quad (13) \quad N_{hr} = N_{hr0} \tilde{H}^{m_r} f_D f_s \quad \text{with } N_{hr} \leq N_{hp}$$

439 where  $N_{hp0}$  and  $N_{hr0}$  are the values of  $N_{hp}$  and  $N_{hr}$ , respectively, for a reference diameter of the  
440 pipe ( $D_0$ ) and embedment ratio ( $\tilde{H}_0$ );  $f_D$  is a size factor (e.g. the effects of  $D/D_0$  for pipes and  $B/B_0$   
441 for anchors);  $f_s$  is a shape factor (i.e. pipe or anchor); and  $m_p$  and  $m_r$  are two constants.

442 In the present study,  $D_0 = 500$  mm and  $\tilde{H}_0 = 1$  are used. Guo and Stolle (2005) used their FE  
443 calculated resistance for a 330-mm diameter pipe buried at  $\tilde{H} = 2.85$  as the reference value to  
444 estimate the peak resistance for other pipe diameters and embedment ratios. To provide a

445 simplified equation for the reference resistance, the following equation proposed by O'Rourke and  
 446 Liu (2012) for shallow-buried pipeline is used in the present study.

$$447 \quad (14) \quad N_{hp0} = \frac{(\tilde{H} + 0.5)^2 \tan\left(45^\circ + \frac{\phi'_e}{2}\right) (\sin\beta + \mu_1 \cos\beta)}{2\tilde{H}(\cos\beta - \mu_1 \sin\beta)}$$

448 where  $\phi'_e$  is the equivalent friction angle,  $\mu_1 = \tan\phi'_e$ , and  $\beta = 45^\circ - \phi'_e/2$  is the inclination of an  
 449 assumed linear slip plane to the horizontal that generates from the bottom of the pipe to form the  
 450 passive wedge (i.e. an approximate linear line through the shear band  $f_1$  in Fig. 3(d)).

451 When the peak resistance is mobilized, the plastic shear strain along the entire shear band is not  
 452 the same—in some segments  $\gamma^p < \gamma_p^p$  (i.e. pre-peak hardening state) while in some segments  $\gamma^p >$   
 453  $\gamma_p^p$  (i.e. post-peak softening state). Therefore, if one wants to use only one approximate value of  $\phi'$   
 454 for the entire length of the shear band, (i.e.  $\phi'_e$  in Eq. (14)), it should be less than  $\phi'_p$ . Therefore,  $\phi'_e$   
 455 =  $44^\circ$  is used in Eq. (14) to calculate  $N_{hp0}$ . Note that a similar approach of using  $\phi'_e$  to calculate the  
 456 bearing capacity of footing on dense sand, where shear bands form progressively, has been  
 457 presented by Loukidis and Salgado (2011). Similarly, a representative value of  $\phi'$  ( $< \phi'_p$ ) has also  
 458 been used to calculate the anchor resistance (Dickin and Leung 1983; Dickin 1994).

459 To calculate  $N_{hr0}$ ,  $\mu_1 = \tan\phi'_c$  is used, because, at this stage, significant plastic shear strains  
 460 generate along the entire length of the failure plane that reduce  $\phi'$  to the critical state value (e.g.  
 461 Fig. 7(b)). It is also found that  $\beta$  does not change significantly with lateral displacement (e.g. see  
 462 Figs. 7(a–c)). Therefore,  $\beta$  is calculated using  $\phi'_e = 44^\circ$ .

463 Similar to the work of Guo and Stolle (2005), the size factor is calculated using  $f_D = 0.91(1 +$   
 464  $D_0/(10D))$ . The present FE results also show that  $\tilde{H}_c$  is higher for smaller size pipes or anchors,  
 465 which is incorporated using  $\tilde{H}_c = f_{Hc}\tilde{H}_{c0}$ , where  $f_{Hc} = 0.6(1 + D_0/(1.5D))$ .

466 For the geometry and soil properties used in the present study, the peak resistance remains  
467 constant after  $\tilde{H} \sim 7.5$  for a 500-mm diameter pipe. Therefore,  $\tilde{H}_{c0} = 7.5$  is used for the reference  
468 condition. It is also found that the calculated resistances using Eqs. (11) to (13) fit well with the  
469 FE results for  $m_p = 0.37$  and  $m_r = 0.5$ . Note that, Guo and Stolle (2005) found  $m_p = 0.35$  as the  
470 representative value from their FE analysis. FE analyses also show that, for a given  $B = D$ , the  
471 anchor resistance is  $\sim 10\%$  higher than pipe resistance (i.e.  $f_s = 1.0$  for pipes and  $f_s = 1.1$  for  
472 anchors).

473 Figure 8(a) shows that  $N_{hp}$  and  $N_{hr}$  obtained from Eqs. (11) to (13) match well with FE calculated  
474 values. The considerable difference between  $N_{hp}$  for different pipe dimeters is similar to that in the  
475 work of Guo and Stolle (2005). For a large embedment ratio (e.g.  $\tilde{H} > 10$  for  $D = 500$  mm),  $N_{hp} =$   
476  $N_{hr}$ . Physical model tests on dense sand also show no significant reduction of post-peak reduction  
477 of resistance at large  $\tilde{H}$  (Hsu 1993).

478 Figure 8(b) shows that, when  $f_s = 1.1$  is used for the anchor, Eqs. (11) to (13) calculate  $N_{hp}$  and  
479  $N_{hr}$  similar to FE results. A significant difference in  $N_{hp}$  between small and large sized anchors at  
480 large  $\tilde{H}$  was also found in physical model tests, as shown in Fig. 5. In order to show the importance  
481 of the shape factor  $f_s$ ,  $N_{hp}$  for the reference pipe ( $D_0 = 500$  mm) is also shown in this figure, which  
482 is below the FE calculated values for a 500-mm high anchor.

483 In summary, while Guo and Stolle (2005) found a gradual increase in  $N_{hp}$  for pipe with the  
484 embedment ratio, the present study shows that both  $N_{hp}$  and  $N_{hr}$  increase with  $\tilde{H}$  for pipes and  
485 anchors, and reach a constant maximum value after a large  $\tilde{H}$ . For practical purposes, without  
486 conducting FE analysis, the reference resistance can be calculated using the O'Rourke and Liu  
487 (2012) analytical solution with an equivalent friction angle (Eq. (14)). The present FE analysis and  
488 the simplified equations provide a method to estimate the peak and residual resistances. Finally,  
489 the above calculations are valid only for the given reference conditions ( $D = 500$  mm and  $\tilde{H} = 1$ );

490 for other reference conditions at shallow burial depths ( $\tilde{H}_0 < 3.0$ ), the model parameters in Eqs.  
491 (11)–(13) and  $\phi'_e$  in Eq. (14) might be different.

## 492 **Conclusions**

493 Under lateral loading, the behaviour of buried pipelines and vertical strip anchors are generally  
494 assumed to be similar. In the present study, the similarities and differences between the behaviour  
495 of pipes and vertical strip anchors in dense sand subjected to lateral loading are examined through  
496 a comprehensive FE analysis. A modified Mohr-Coulomb (MMC) model for dense sand that  
497 captures the variation of friction and dilation angles with plastic shear strain, confining pressure  
498 and relative density are implemented in the FE analysis. The plastic shear strain localization (shear  
499 band) is successfully simulated, which can explain the soil failure mechanisms and the variation  
500 in lateral resistance for pipes and anchors for a wide range of embedment ratios. The proposed  
501 MMC model can simulate the peak resistance and also the post-peak degradation, as observed in  
502 physical model tests, which cannot be done using the Mohr-Coulomb model. The following  
503 conclusions can be drawn from the present study:

- 504 • The peak and residual resistances ( $N_{hp}$  and  $N_{hr}$ ) increase with the embedment ratio ( $\tilde{H}$ ) both  
505 for pipes and anchors. However, after a critical  $\tilde{H}$ ,  $N_{hp}$  remains almost constant. The anchor  
506 resistance is  $\sim 10\%$  higher than that of a similar-sized pipe.
- 507 • The critical embedment ratio ( $\tilde{H}_c$ ) is higher for smaller diameter pipe.
- 508 • The difference between  $N_{hp}$  and  $N_{hr}$  is significant at small to moderate  $\tilde{H}$ ; however, the  
509 difference is not significant at large  $\tilde{H}$ .
- 510 • Both  $N_{hp}$  and  $N_{hr}$  are higher for smaller diameter pipes and smaller height of anchors.
- 511 • At a small  $\tilde{H}$ , the soil failure mechanisms involve dislocation of active and passive wedges  
512 bounded by three distinct shear bands. At an intermediate  $\tilde{H}$ , the active and passive wedges

513 form at large displacements of the anchor/pipe. However, at a large  $\tilde{H}$ , flow around  
514 mechanisms govern the behaviour.

515 • The transition from shallow to deep failure mechanisms occurs at a lower  $\tilde{H}$  in pipes than in  
516 anchors.

517 • The mobilized  $\phi'$  along the entire length of the shear band at the peak or post-peak degradation  
518 stages is not constant, because it depends on plastic shear strain. Even when  $M_{hp}$  is mobilized,  
519  $\phi' = \phi'_p$  only in a small segment of the shear band. Therefore, an equivalent friction angle,  $\phi'_e$   
520 ( $< \phi'_p$ ) is required to match the peak resistance in test results. At a very large displacement,  
521  $\phi'$  in the shear bands  $\sim \phi'_c$  because of significant strain accumulation in these zones.

522 • The proposed simplified equations can be used to estimate the peak and residual resistances  
523 of pipelines and anchors for shallow to intermediate embedment ratios. For large burial  
524 depths, no significant difference between these two resistances is found.

525 One practical implication of the present numerical study is that the parametric study can  
526 complement existing experimental data because it covers a wide range of pipe diameters and  
527 burial depths, including the cases of large diameter pipes and large embedment ratios, which  
528 represent the conditions of very costly full-scale tests. A limitation of this study is related to the  
529 selection of soil parameters for the MMC model. Additional laboratory tests in plane strain  
530 condition are required for a better estimation of model parameters to define the variation of  
531 mobilized friction and dilation angles.

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536 **List of symbols**

537 The following abbreviations and symbols are used in this paper:

TX	triaxial
PS	plane strain
FE	finite element
PIV	particle image velocimetry
MC	Mohr–Coulomb model
MMC	modified Mohr–Coulomb model
$A_{\psi}$	slope of $(\phi'_p - \phi'_c)$ vs. $I_R$ curve, Eq. (2)
$m, C_1, C_2$	soil parameters, Eqs. (4) and (5)
$D_r$	relative density
$B$	height of the strip anchor
$D$	diameter of pipe
$D_0$	reference diameter of pipe
$E$	Young's modulus
$F_h$	lateral force
$H$	distance from ground surface to the center of pipe/anchor
$\tilde{H}$	embedment ratio
$\tilde{H}_0$	reference embedment ratio
$\tilde{H}_c$	critical embedment ratio
$\tilde{H}_{c0}$	reference critical embedment ratio
$I_R$	relative density index
$K$	material constant
$K_0$	at-rest earth pressure coefficient
$N_h$	normalized lateral resistance



$N_{hp}, N_{hr}$  normalized peak and residual resistances

$N_{hp0}, N_{hr0}$  reference peak and residual resistances

$Q, R$  material constants (Bolton 1986)

$d_{50}$  mean particle size

$f$  shear bands

$f_{HC}$  size factor for critical embedment ratio

$f_D$  size factor for normalized resistance

$f_s$  shape factor

$k_{\psi}$  slope of  $(\phi'_p - \phi'_c)$  vs.  $\psi_p$  curve, Eq. (3)

$l_a, l_p$  width of passive failure wedges, Fig.7

$m_p, m_r$  constants in Eqs. (12) and (13)

$n$  an exponent in Eq. (10)

$p'$  mean effective stress

$t_s$  thickness of shear band

$t_{FE\_ref}$  reference FE mesh size

$t_{FE}$  FE mesh size

$u$  lateral displacement of pipe/anchor

$\tilde{u}$  normalized lateral displacement

$\beta$  inclination of linear slip plane to the horizontal

$\mu$  interface friction coefficient

$\dot{\epsilon}_{ij}^p$  plastic deviatoric strain rate

$\phi'$  mobilized angle of internal friction

$\phi'_{in}$   $\phi'$  at the start of plastic deformation  
 $\phi'_p$  peak friction angle  
 $\phi'_c$  critical state friction angle  
 $\phi'_e$  equivalent friction angle  
 $\phi_\mu$  pipe/anchor–soil interface friction angle  
 $\psi$  mobilized dilation angle  
 $\psi_p$  peak dilation angle  
 $\gamma$  unit weight of soil  
 $\gamma^p$  engineering plastic shear strain  
 $\gamma^p_p$   $\gamma^p$  required to mobilize  $\phi'_p$   
 $\gamma^p_c$  strain softening parameter

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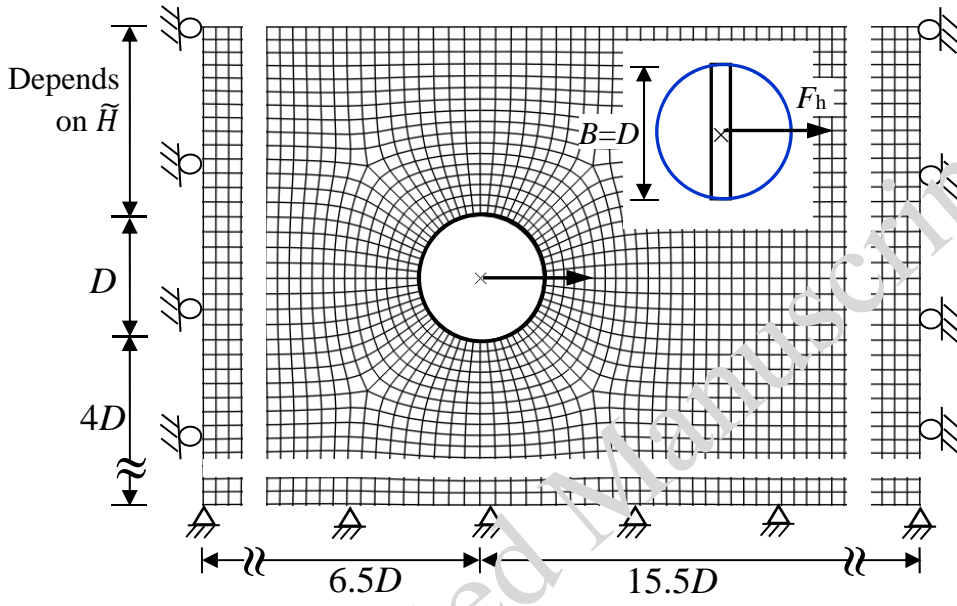
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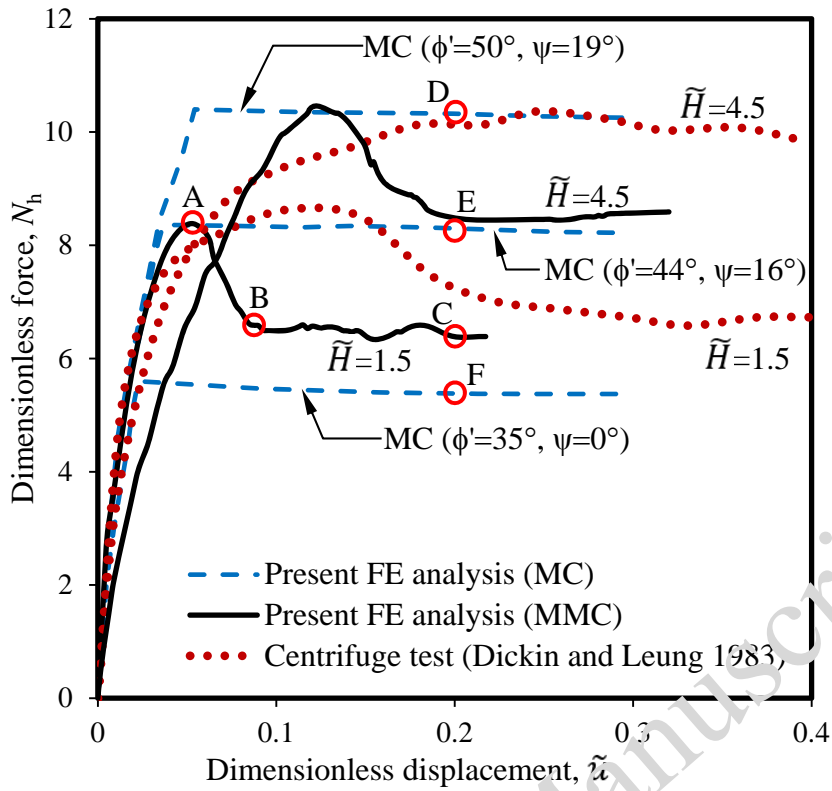
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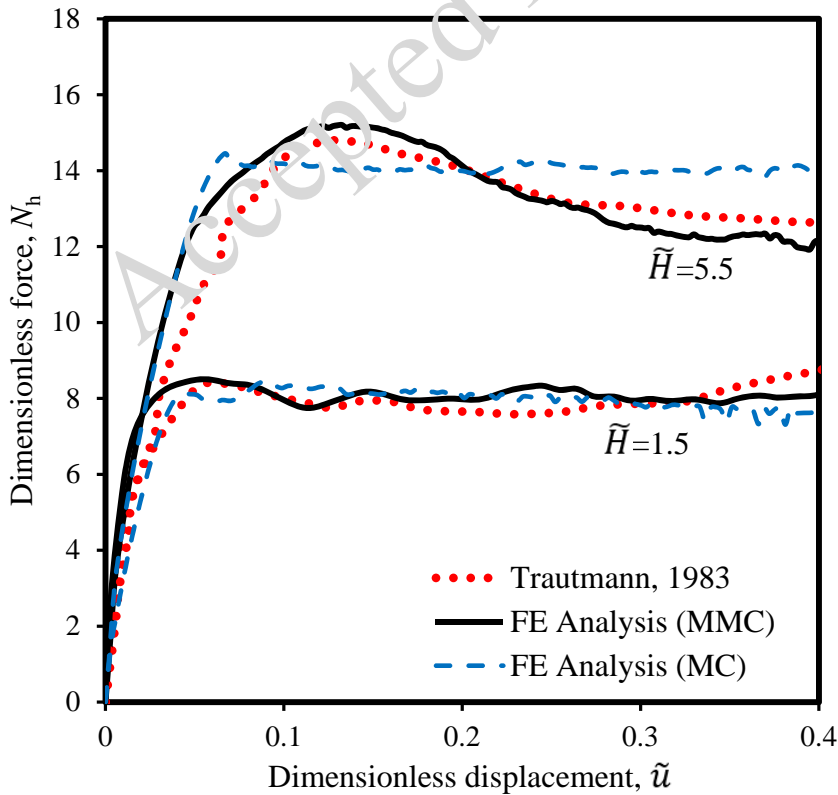
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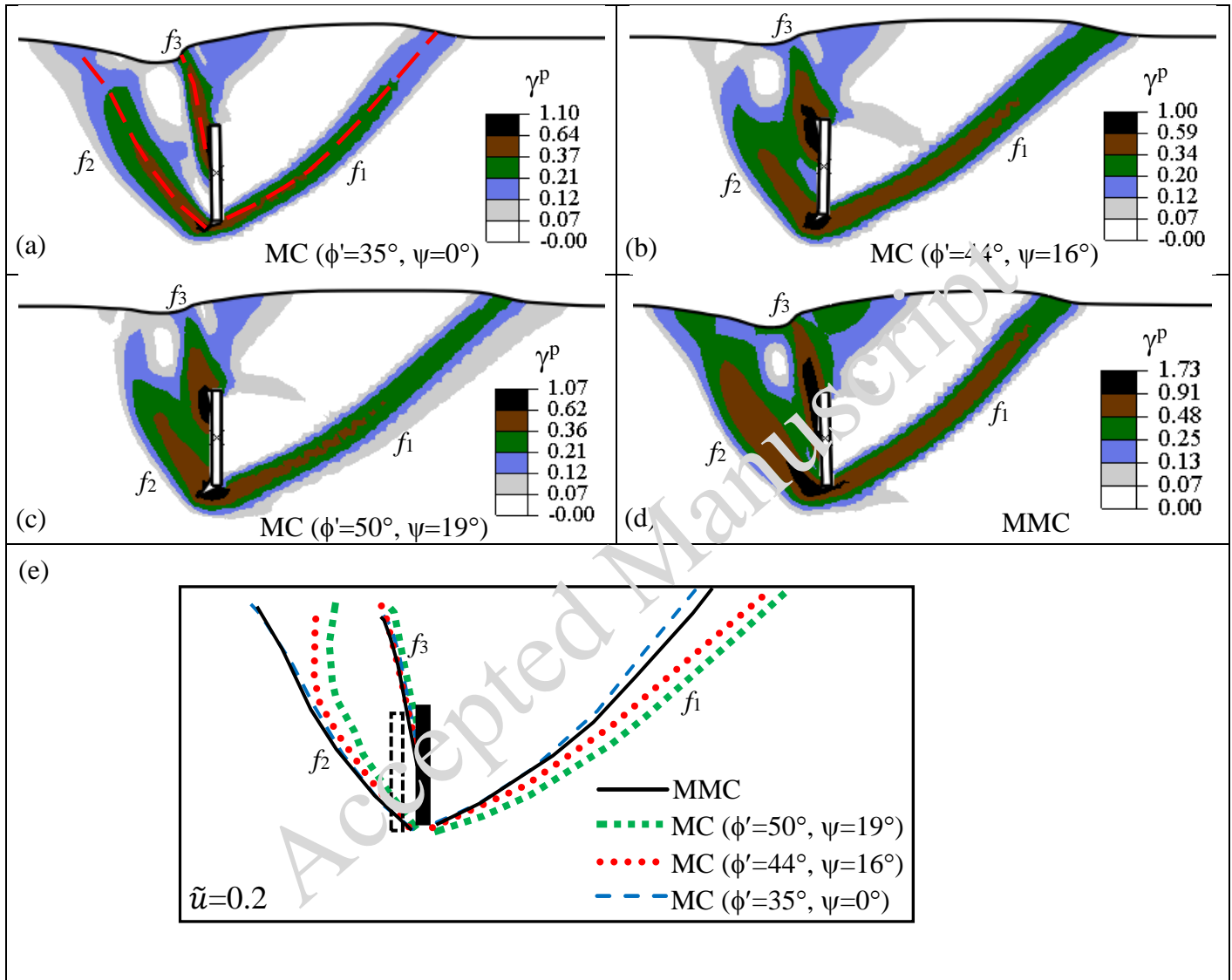
**Fig. 1.** Typical finite element mesh for  $D=500$  mm



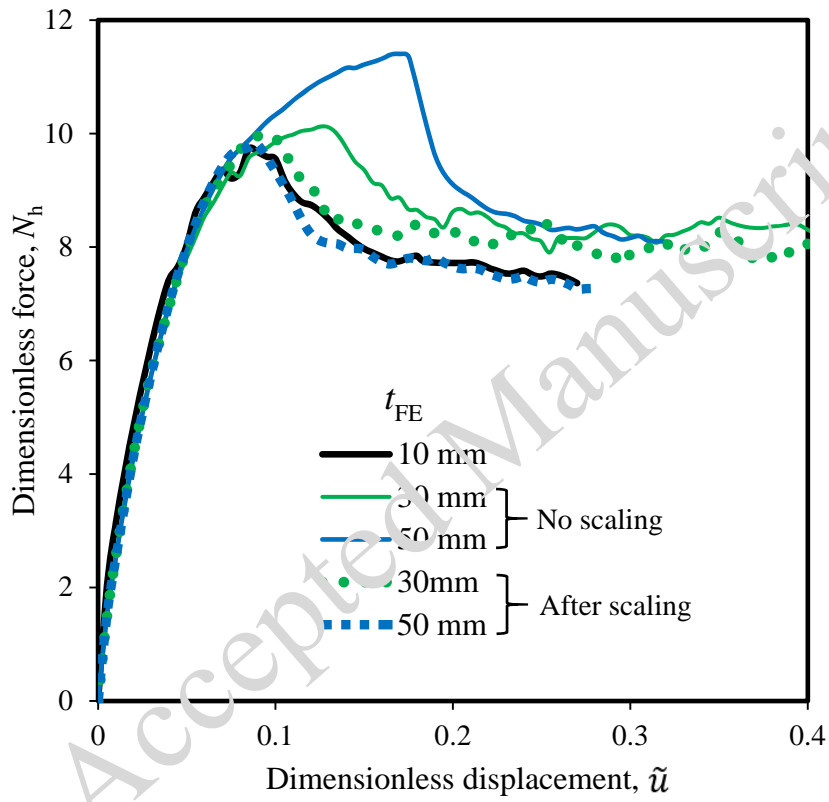
**Fig. 2.** Comparison between present FE analysis with physical model test results (a) anchor



**Fig. 2.** Comparison between present FE analysis with physical model test results (b) pipe (Roy et al 2016)



**Fig. 3.** Shear band formation for 1,000-mm high strip anchor with MC and MMC models



**Fig. 4.** Mesh sensitivity analysis for 500-mm diameter pipe with MMC model

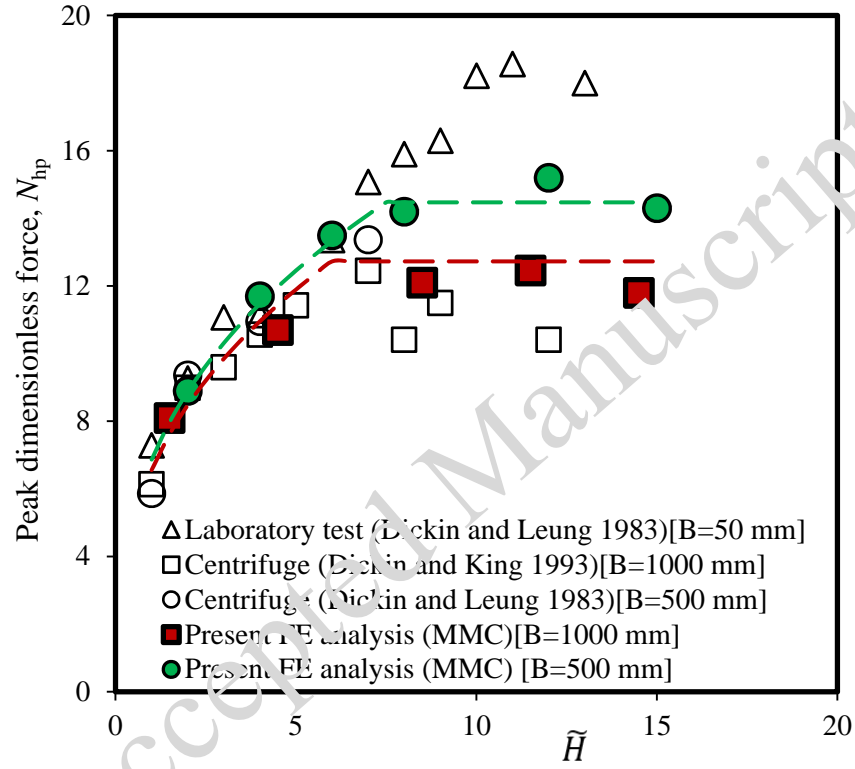
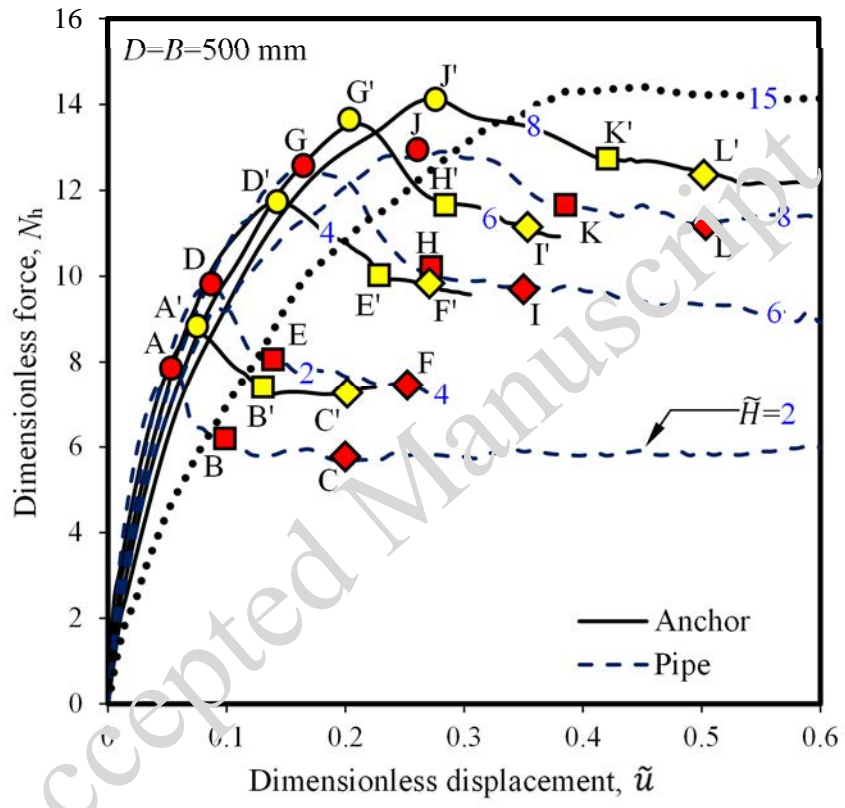
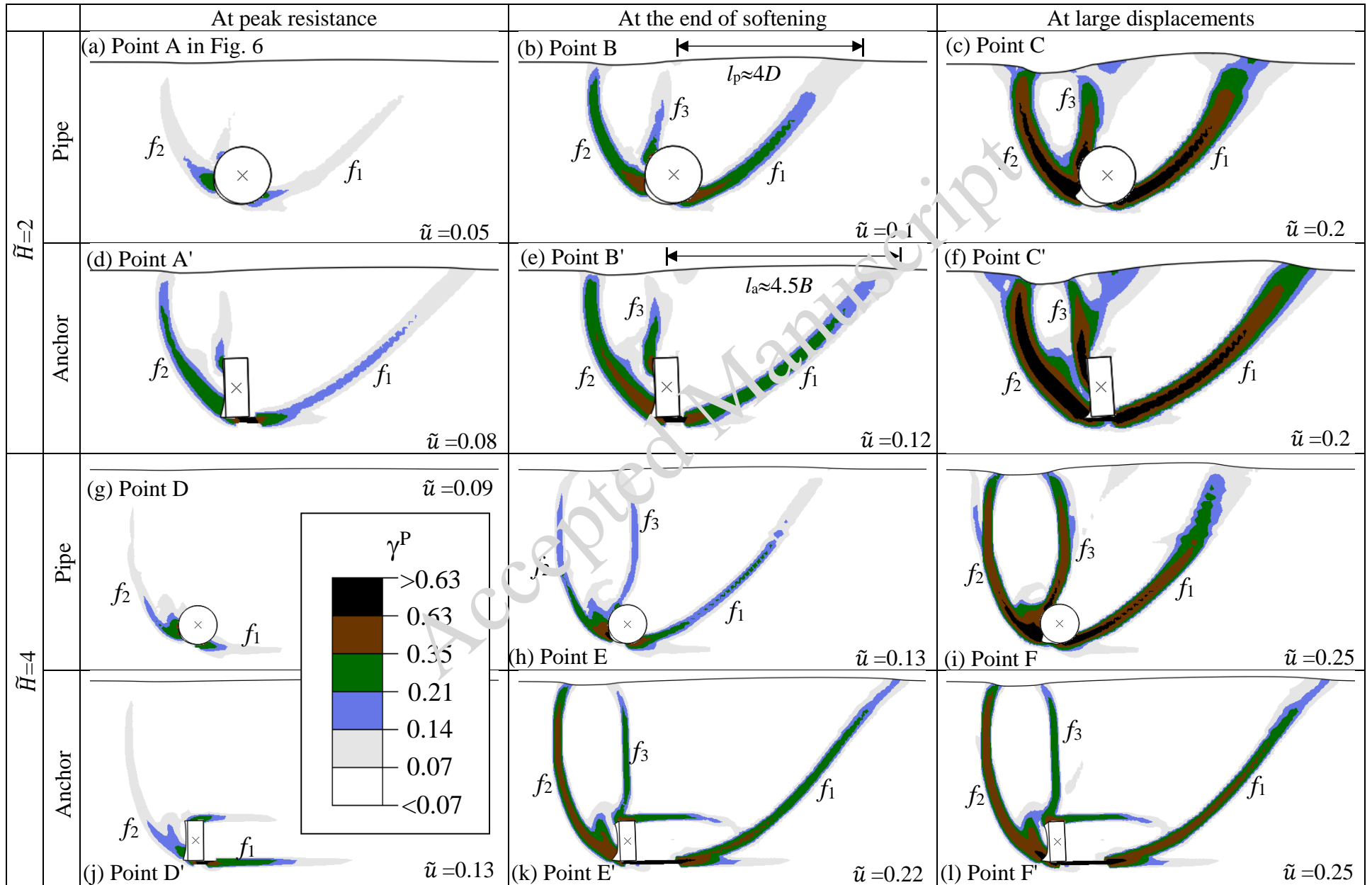


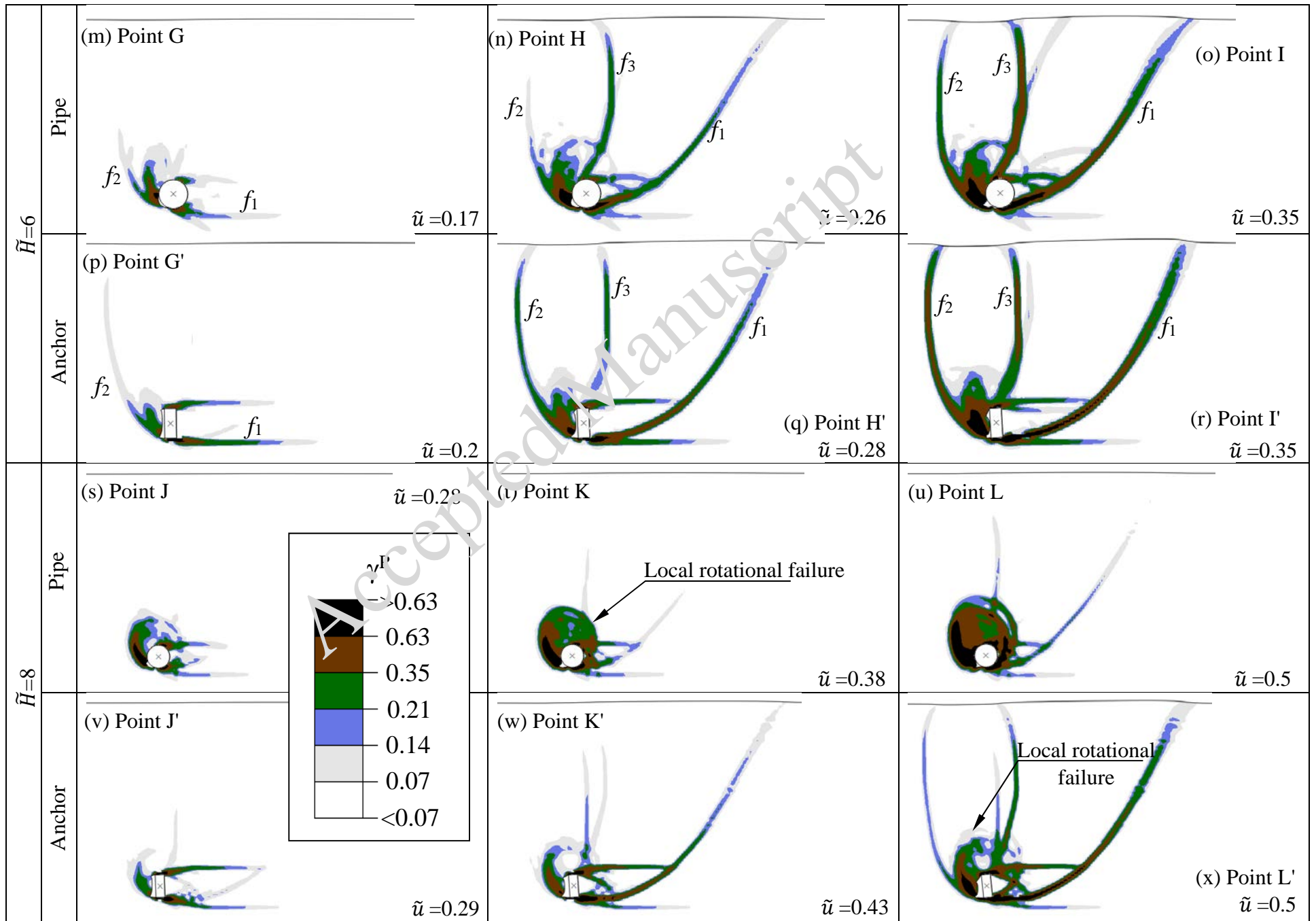
Fig. 5. Peak lateral resistance of anchors with burial depth



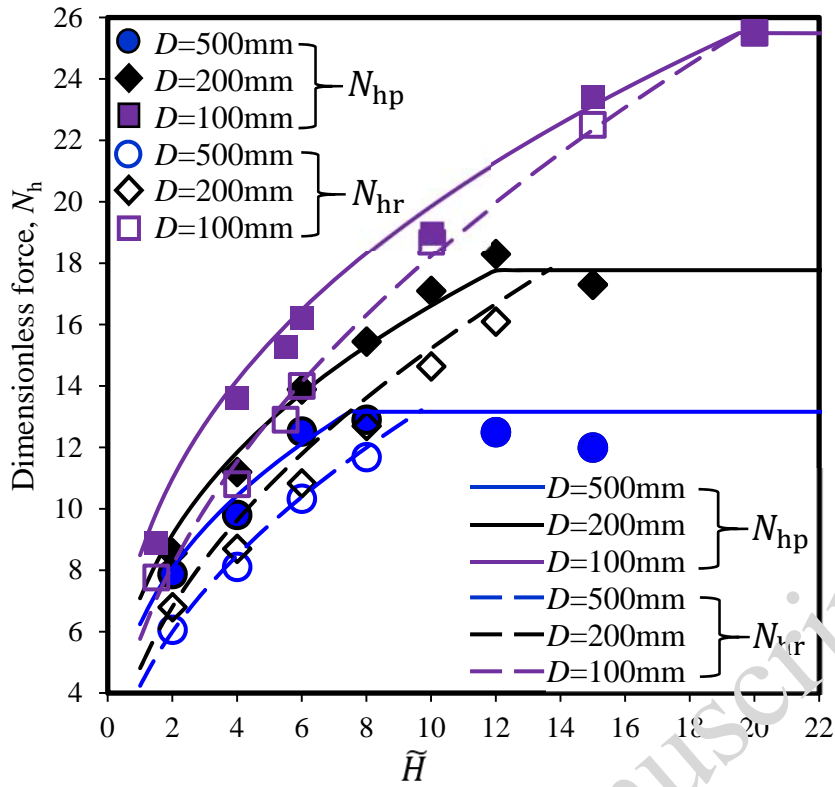
**Fig. 6.** Comparison between  $N_h$ - $\tilde{u}$  curves for pipes and strip anchors ( $B = D = 500$  mm)



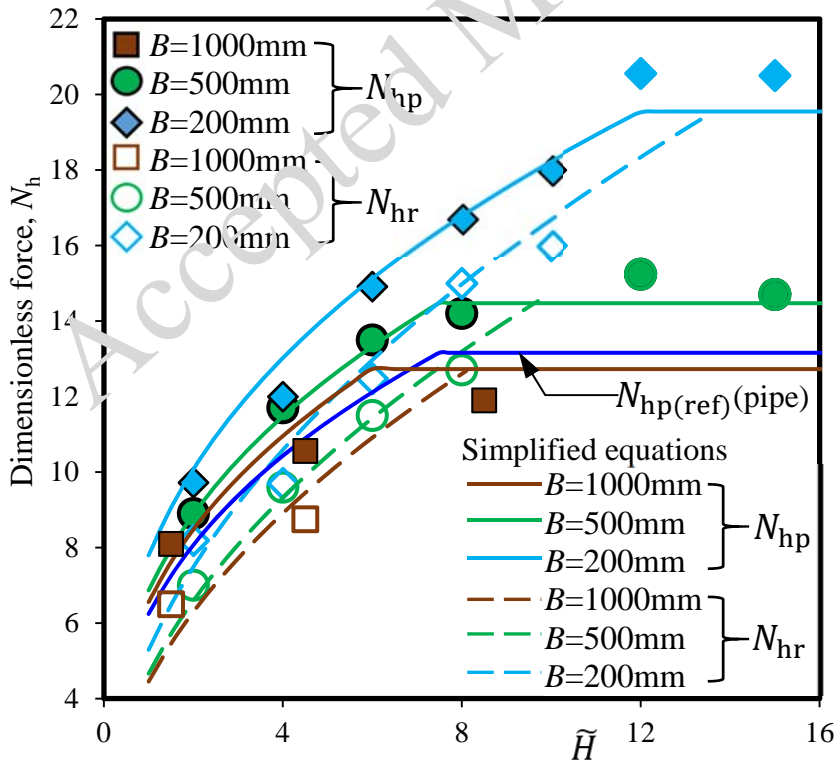




**Fig. 7.** Failure mechanism for 500-mm diameter pipe and 500-mm high anchor



**Fig. 8.** Comparison between simplified equations and finite element results (a) for pipe



**Fig. 8.** Comparison between simplified equations and finite element results (b) for anchor

**Table 1:** Equations for Modified Mohr–Coulomb Model (MMC) (summarized from Roy et al. 2016)

Description	Eq. #	Constitutive Equations
Relative density index	(1)	$I_R = I_D(Q - \ln p') - R$ where $I_D = D_r(\%)/100$ & $0 \leq I_R \leq 4$
Peak friction angle	(2)	$\phi'_p - \phi'_c = A_\psi I_R$
Peak dilation angle	(3)	$\psi_p = \frac{\phi'_p - \phi'_c}{k_\psi}$
Strain-softening parameter	(4)	$\gamma_c^p = C_1 - C_2 I_D$
Plastic shear strain at $\phi'_p$ and $\psi_p$	(5)	$\gamma_p^p = \gamma_c^p \left( \frac{p'}{p'_a} \right)^m$
Mobilized friction angle in pre-peak stress–strain curve	(6)	$\phi' = \phi'_{in} + \sin^{-1} \left[ \left( \frac{2 \sqrt{\gamma^p \gamma_p^p}}{\gamma^p + \gamma_p^p} \right) \sin(\phi'_p - \phi'_{in}) \right]$
Mobilized dilation angle in pre-peak stress–strain curve	(7)	$\psi = \sin^{-1} \left[ \left( \frac{2 \sqrt{\gamma^p \gamma_p^p}}{\gamma^p + \gamma_p^p} \right) \sin(\psi_p) \right]$
Mobilized friction angle in post-peak strain-softening region	(8)	$\phi' = \phi'_c + (\phi'_p - \phi'_c) \exp \left[ - \left( \frac{\gamma^p - \gamma_p^p}{\gamma_c^p} \right)^2 \right]$
Mobilized dilation angle in post-peak softening region	(9)	$\psi = \psi_p \exp \left[ - \left( \frac{\gamma^p - \gamma_p^p}{\gamma_c^p} \right)^2 \right]$
Young's modulus	(10)	$E = K p'_a \left( \frac{p'}{p'_a} \right)^n$

**Table 2.** Geometry and soil parameters used in the FE analyses

Parameter	Model test (Parametric Study)
External diameter of pipe, $D$ (mm)	100 (200, 500)
Height of the strip anchor, $B$ (mm)	1000 (200, 500)
Thickness of the strip anchor, $t$ (mm)	200 (100)
$K$	150
$n$	0.5
Poisson's ratio of soil, $\nu_{\text{soil}}$	0.2
$A_{\psi}$	5
$k_{\psi}$	0.8
$\phi'_{\text{in}}$ (°)	29
$C_1$	0.22
$C_2$	0.11
$m$	0.25
Critical state friction angle, $\phi'_c$ (°)	35
Relative density, $D_r$ (%)	80
Unit weight of sand, $\gamma$ (kN/m <sup>3</sup> )	17.7*
Interface friction coefficient, $\mu$	0.32
Embedment ratio, $\tilde{H}$	1.5, 4.5, 5.5 (2, 4, 6, 8, 10, 12, 15)

Notes: \* $\gamma = 16$  kN/m<sup>3</sup> is used for Dickin and Leung (1983) physical test simulations (Fig. 2(a)); numbers in parenthesis in right column show the values used in the parametric study