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1 **TITLE**

2 Driven cast-in-situ pile capacity: insights from dynamic and static load testing

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12 **ABSTRACT**

13 Driven cast-in-situ (DCIS) piles are classified as large displacement piles. However, the use of an
14 oversized driving shoe introduces additional complexities influencing shaft resistance mobilisation,
15 over and above those applicable to preformed displacement piles. Therefore, several design codes
16 restrict the magnitude of shaft resistance in DCIS pile design. In this paper, a series of dynamic load
17 tests was performed on the temporary steel driving tubes during DCIS pile installation at three UK
18 sites. The instrumented piles were subsequently subjected to maintained compression load tests to
19 failure. The mobilised shear stresses inferred from the dynamic tests during driving were two to five
20 times smaller than those on the as-constructed piles during maintained load testing. This was attributed
21 to soil loosening along the tube shaft arising from the oversized base shoe. Nevertheless, the radial
22 stress reductions appear to be reversible by the freshly-cast concrete fluid pressures which provide
23 lower-bound estimates of radial total stress inferred from the measured shear stresses during static
24 loading. This recovery in shaft resistance is not recognised in some European design practices,
25 resulting in conservative design lengths. Whilst the shaft resistance of DCIS piles was underpredicted
26 by the dynamic load tests, reasonable estimates of base resistance were obtained.

27 **KEY WORDS:** Driven cast-in-situ; dynamic load tests; static load tests; instrumented piles

28 **WORD COUNT:** 6846

29 INTRODUCTION

30 Driven cast-in-situ (DCIS) piles are typically classified as large displacement piles in European
31 practice (e.g. BSI, 2015; DDG, 2013; NBN, 2014; NEN, 2019), despite sharing aspects of their
32 construction with replacement piles (Flynn and McCabe 2016). As illustrated in Figure 1, the
33 installation process involves driving a hollow steel tube to the required depth (or set) using an impact
34 hammer. The tube is fitted with a sacrificial circular steel plate (driving shoe) at its base to prevent
35 ingress of soil and water during driving; the diameter of this plate usually exceeds that of the tube with
36 the purpose of reducing installation shaft resistance. Once driving is complete, the tube is filled with
37 high slump concrete before being withdrawn. The reinforcement is typically inserted into the tube prior
38 to casting; alternatively, it may be plunged into the wet concrete after removal of the tube.

39 While DCIS piles have been shown by Flynn and McCabe (2016, 2021) to behave in a similar manner
40 to traditional preformed piles (i.e. precast concrete and closed-ended steel piles) when installed in
41 coarse-grained strata, the DCIS pile construction process introduces additional complexities
42 influencing the mobilisation of shaft resistance, over and above those applicable to traditional
43 preformed displacement piles. These factors, discussed in detail by Flynn and McCabe (2021), include
44 the possibility of soil loosening after the passage of the oversized driving shoe, the possibility of
45 friction fatigue during driving (defined as the reduction in radial stress due to cyclic loading), changes
46 in radial stresses following casting and subsequent curing, and increases in radial stresses during
47 loading due to enhanced dilation resulting from the rough soil-pile interface created by in-situ
48 concreting. Unfortunately, the absence of suitable instrumentation that can withstand the in-situ
49 concreting process prevents a direct assessment of the changes in stress state at the pile-soil interface
50 during these processes.

51 It is assumed by some practitioners that the reduced shaft resistance during installation, resulting from
52 the use of an oversized driving shoe, prevails once the pile is constructed. For example, the Belgian
53 annex to EC7 (NBN, 2014; Huybrechts et al. 2016) does not permit shaft resistance to be considered
54 when an oversized shoe (defined as a diameter at least 50mm greater than diameter of the installation
55 tube) is deployed; therefore, DCIS piles must be designed as fully end-bearing piles, unless the shaft
56 resistance is validated by instrumented pile tests. Furthermore, the authors have observed a tendency in
57 some DCIS piling projects for the design resistance to be verified using dynamic testing performed on
58 the tube during installation (and prior to concreting) only, forsaking traditional static testing. While
59 such a practice is somewhat motivated by the reliable predictions of static pile resistance obtained by
60 dynamic load testing during installation and restrike of traditional preformed displacement piles (Likins
61 and Rausche, 2004), as well as reduced costs (by omitting static load testing) and programme
62 constraints, it inherently assumes that the capacity of tube during installation is representative of the
63 final (post-construction) pile behaviour. This practice may be reinforced, at least to some extent, by the
64 use of a design value for the coefficient of earth pressure at failure of $K_f=1$ recommended by Fleming
65 et al. (2008) for DCIS pile shafts, which has been shown by Flynn and McCabe (2021) to be overly
66 conservative. The assumption that the process of tube installation governs the performance of the
67 constructed pile, which has significant implications for the efficiency of DCIS pile designs, has not
68 been formally challenged to date.

69 In this paper, dynamic load tests during installation and standard static load tests on DCIS piles are
70 compared for three sites in the United Kingdom. Dynamic testing was initially performed on the steel
71 installation tubes during driving to determine the mobilised resistances on the external shaft of the
72 tubes, as well as those on the sacrificial driving shoe at the base. Following casting and an appropriate
73 curing period, the same test piles were loaded to failure under maintained compression loads. The
74 reinforcement cage of each test pile was instrumented with several levels of vibrating wire strain

75 gauges to enable assessment of the shaft and base resistances during maintained loading. The capacities
76 inferred from the static and dynamic load tests were compared to provide an insight into the installation
77 process and its subsequent influence on DCIS pile behaviour. The arguments presented are supported
78 by the results of dynamic pile tests on other displacement pile types at two of the sites.

79 **BACKGROUND**

80 The total resistance of a closed-ended pile under compression load Q_t comprises the shaft resistance Q_s
81 and the base resistance Q_b , as given in Equation 1, assuming that the pile weight is insignificant:

$$82 \quad Q_t = Q_s + Q_b = \tau_s A_s + q_b A_b \quad \text{Eqn. 1}$$

83 where τ_s is the shear stress, A_s is the external shaft area ($= \pi D_s$, where D_s = pile shaft diameter), q_b is
84 the base pressure and A_b ($= \pi D_b^2/4$, where D_b = pile base diameter) is the cross-sectional area at the
85 base of the pile. Whilst the definition of pile failure remains contentious (Fellenius, 2020), the total
86 resistance corresponding to a pile head displacement equivalent to 10% of the pile diameter is specified
87 by Eurocode 7 (CEN, 2004).

88 ***Shear resistance***

89 The ultimate shear stress τ_{sf} mobilised in granular soil is traditionally expressed using the following
90 equation, based on conventional earth pressure theory:

$$91 \quad \tau_{sf} = K_f \sigma'_{v0} \tan \delta_f \quad \text{Eqn. 2}$$

92 where K_f is the lateral earth pressure coefficient at failure, σ'_{v0} is the vertical effective stress and δ_f is
93 the interface friction angle at failure. Using a high-instrumented closed-ended steel pile known as the
94 Imperial College Pile (ICP), Lehane et al. (1993) demonstrated that τ_{sf} for displacement piles in
95 granular soil obeys the Coulomb failure criterion:

96 $\tau_{sf} = \sigma'_{rf} \tan \delta_f = (\sigma'_{rc} + \Delta \sigma'_{rd}) \tan \delta_{cv}$ Eqn. 3

97 where σ'_{rf} is the radial effective stress at failure, σ'_{rc} is the radial effective stress after installation and
 98 equalisation, $\Delta \sigma'_{rd}$ is the change in radial effective stress due to interface dilation during loading and δ_{cv}
 99 is the constant-volume interface friction angle (which is typically assumed to be equivalent to the
 100 constant-volume soil friction angle ϕ'_{cv} for cast-in-situ piles).

101 A series of instrumented DCIS pile tests in granular soil by Flynn (2014) and Flynn and McCabe
 102 (2016, 2021) demonstrated that the shaft resistance of DCIS piles in coarse-grained soils were
 103 comparable to traditional preformed piles. Whilst the normalised shear stresses mobilised between
 104 successive gauge levels $\tau_{sf}/q_{c,avg}$ (where $q_{c,avg}$ is the average cone resistance between the gauge levels in
 105 question) showed a reduction with increasing normalised distance from the base h/D_b , the inability to
 106 measure local radial stresses during installation, curing and loading ultimately prevented validation of
 107 the friction fatigue mechanism for driven cast-in-situ piles.

108 ***Base resistance***

109 The ultimate base resistance $q_{b,ult}$ of a pile in granular soil is typically related to the free-field vertical
 110 effective stress at the base $\sigma'_{v0,b}$ using the following relationship:

111 $q_{b,ult} = N_q \sigma'_{v0,b}$ Eqn. 5

112 where N_q is the bearing capacity factor which is typically a function of the soil's angle of friction ϕ'
 113 (Berezantsev et al. 1961). Given the difficulties in obtaining undisturbed samples in sands and gravels,
 114 the ultimate base resistance of closed-displacement driven piles (at 10% of the pile base diameter)
 115 $q_{b,0.1D}$ is more successfully related to the average cone resistance $q_{c,avg}$ using the following equation, as
 116 recommended by the UWA-05 method (Lehane et al. 2005):

117 $q_{b,0.1D} = 0.6q_{c,avg}$ Eqn. 6

118 where $q_{c,avg}$ is the average cone resistance determined using the Dutch q_c averaging method
119 (Schmertmann, 1978). Using a database of 16 No. piles, Flynn and McCabe (2021) showed that
120 Equation 6 provided superior estimates of the base resistance of DCIS piles in granular soils in
121 comparison to other CPT-based methods, with the mean predicted-to-measured resistance ratio of the
122 piles in the database in agreement with those reported for closed-ended driven piles in sand by Xu et al.
123 (2008).

124 **Dynamic testing**

125 Dynamic pile testing is a cost-effective alternative to traditional pile testing methods which require the
126 application of static compression loads to the pile head using either kentledge or a steel test beam
127 connected to ground anchors or tension reaction piles. The dynamic pile testing technique, which was
128 initially developed for precast concrete piles in the 1960s, involves the measurement of wave
129 propagation within a pile induced by the impact of a ram (or hammer in the case of driven piles during
130 installation) at the pile head. By measuring the variation in strain and acceleration at or close to the pile
131 head using diametrically-separated pairs of strain gauges and accelerometers, the variation in mobilised
132 force F and pile velocity v with time after impact can be determined (Figure 2a). In an infinite rod free
133 of resistance, the force is theoretically equivalent to the velocity times pile impedance Z , as defined in
134 Equation 7 (where E is the pile axial elastic stiffness, A is the cross-sectional area of the pile, c is the
135 wave speed of the pile, ρ is the density of the pile material). However, F and Zv will deviate due to end
136 fixity in a finite elastic rod and resistance effects along the rod shaft, consistent with the response of a
137 pile under axial compression load (Hannigan et al. 2016). A comparison of the measured force F and
138 predicted force Zv after impact enables the total pile resistance to be determined using closed-form
139 solutions such as the Case method (Rausche et al. 1972).

$$140 \quad Z = EA/c = EA/\sqrt{E/\rho} \quad \text{Eqn. 7}$$

141 Predictions of (i) mobilised total, shaft and base resistances, (ii) the distribution of shear stresses on the
142 shaft of the pile and (iii) the load-displacement response at the pile head and base, for a given blow,
143 may be obtained using the Case Pile Wave Analysis Program or CAPWAP (PDI, 2006). As shown in
144 Figure 2b, this method uses a series of discrete uniform elastic elements to simulate the pile, with the
145 mobilised resistance on the shaft and base of the pile modelled using springs, sliders and dashpots. By
146 solving the mathematical model using one-dimensional wave theory (Smith, 1960), predictions of the
147 time-dependent force response of the pile after impact are obtained. The properties of the springs and
148 dashpots are subsequently adjusted to obtain improved estimates of the measured stress waves in a
149 process referred to as ‘signal matching’. The primary variables in this process are the quake q ,
150 representing the displacement u required to fully mobilise the static pile resistance Q_{static} , and the
151 damping factor J which accounts for the dynamic component of resistance mobilised after impact due
152 to, for example, rate effects in the soil arising from the pile velocity v (Figure 2b). The total resistance
153 to driving Q_{total} (i.e. the sum of static and dynamic components) can be obtained using the following
154 equation, based on the model by Smith (1960):

$$155 \quad Q_{\text{total}} = \min(u/q, 1) (1 + Jv) Q_{\text{static}} \quad \text{Eqn. 8}$$

156 Equation 8 is applied to the individual elements using quake and damping values appropriate to the pile
157 shaft, as summarised in Table 1, to derive the shaft resistance. The base resistance is derived for the
158 bottom pile element using the same process with appropriate values of quake and damping factors for
159 the base. The dynamic parameters are subsequently adjusted to improve the predicted force trace until a
160 match is obtained with the measured response. However, the signal matching process is often criticised
161 for lacking a unique solution (Fellenius and Massarsch 2008), as various combinations of quake and
162 damping factors may lead to a sufficient match with the measured stress waves, and hence it relies on
163 the experience of the operator. The method also requires sufficient displacement to mobilise the pile
164 resistance beyond the quake, which may occur at a time greater than that at which the waves return to

165 the sensors (referred to as time $2L/c$, where L is distance from the sensors to the pile base). Regardless
166 of these criticisms, the method has been shown to provide reliable estimates of pile resistance,
167 particularly in offshore settings where static load testing is cost-prohibitive (Buckley et al. 2020).

168 **EXPERIMENTAL PROGRAMME**

169 Full-scale DCIS piles were installed at three separate sites in the United Kingdom (Pontarddulais,
170 Dagenham and Ryton-on-Dunsmore; see Figure 3) to compare capacity predictions arising from
171 dynamic load tests during installation with measured static load test capacities following in-situ
172 concreting and curing. The results of the dynamic tests on the DCIS pile tubes were compared to those
173 on (i) precast concrete piles which were installed at Pontarddulais and Dagenham, and (ii) a closed-
174 ended steel pile installed at Pontarddulais.

175 **Ground Conditions**

176 A brief synopsis of the ground conditions encountered at the three sites is provided in this section;
177 further information is available in Flynn (2014), Flynn et al (2012) and Flynn and McCabe (2016,
178 2019).

179 ***Pontarddulais***

180 The site at Pontarddulais is located approximately 12 km northwest of Swansea in Wales. The cone
181 resistance q_c profile at the location of the DCIS test pile is shown in Figure 4a. The ground conditions
182 inferred from the CPTs comprised up to 1.8 m of sand and gravel (historical fill) overlying soft organic
183 clay with peat lenses. At 4.7 mbgl, the cone encountered a layer of medium dense silty sand which in
184 turn was underlain by a layer of firm clay, followed by loose to medium dense silty sand at 7.5 mbgl.
185 Pore pressure measurements during each CPT sounding indicated that the groundwater level was at 2
186 mbgl.

187 ***Dagenham***

188 The Dagenham pile test was carried out on a brownfield site located 1.5 km north of the River Thames
189 and 20 km east of London. Ground investigation information comprised cable percussion boreholes
190 supplemented by CPTs. The stratigraphy at the site comprised made ground of variable composition
191 and anthropogenic material associated with historical industrial activities, overlying very soft to soft
192 marshland deposits of amorphous clay, together with various bands of fibrous peat, followed by an
193 intermixed layer of loose to very dense fine to coarse sands and gravels at a depth of 7.0 mbgl. CPT
194 testing proved difficult within the latter stratum, with numerous refusals occurring at the base of the
195 alluvium; the q_c profiles in the vicinity of the test pile are illustrated in Figure 4b. Perched water tables
196 were routinely encountered within the made ground (due to its variable composition and fines content),
197 with sub-artesian pressures present in sands and gravels due to the relatively impermeable overlying
198 fine-grained soils.

199 ***Ryton-on-Dunsmore***

200 The ground conditions at Ryton-on-Dunsmore, south east of Coventry in Warwickshire, comprised a
201 1.8 m thick layer of clay fill overlying medium dense to dense sand, known colloquially as Baginton
202 Sand. The sand is typically uniformly graded with a mean particle size $D_{50} = 0.3$ mm and a coefficient
203 of uniformity $C_u = 1.69$. A series of direct shear box tests on dry air-pluviated samples (Flynn and
204 McCabe 2016) reported a constant volume friction angle ϕ'_{cv} of 35° . The average cone resistance q_c
205 profiles of three CPTs in the vicinity of the test piles is shown in Figure 4c. An in-situ small strain
206 shear stiffness G_0 of approximately 110 MPa was inferred for the sand layer using a seismic cone
207 penetrometer performed in the centre of the test area. No pore pressures were observed during
208 penetration in each test and groundwater monitoring at an adjacent site indicated that the groundwater
209 level was in excess of 15 mbgl.

210 **Test Pile Details**

211 Relevant details of the instrumented DCIS piles (Pontarddlais (P1), Dagenham (D1) and Ryton-on-
212 Dunsmore (R1, R2 and R3)) are provided in Table 2. All DCIS piles were constructed using a 320mm
213 outer diameter 20mm thick steel tube fitted with a 380mm diameter and 10mm thick base plate. In
214 order to measure the shaft and base resistances during static loading, the reinforcement cage for each
215 DCIS test pile was instrumented with sister-bar vibrating wire strain gauges at four separate levels (one
216 of which was near the pile base), with four gauges at each level to capture bending effects. The gauge
217 level positions were chosen to optimize the measurement of shaft resistance across soil layers
218 (particularly important at the layered soil sites at Dagenham and Pontarddlais).

219 In addition, details of tests on other displacement pile types subject to dynamic loading at Pontarddlais
220 (two 250mm square precast concrete piles: PCC1 and PCC2, and a single 140mm diameter steel
221 closed-ended pile: CEP1) and Dagenham (a 275mm square precast concrete pile: PCC3) are also
222 presented in Table 2.

223 ***Installation and dynamic load testing***

224 The DCIS pile tubes were installed using either four or five tonne Junttan HHK hydraulic hammers.
225 Due to the oversized driving shoe, a gap developed between the exterior of the tube and the soil at the
226 ground surface during driving of all test piles (Figure 5a). Each DCIS test pile installation was
227 monitored dynamically during driving using a diametrically-separated pair of accelerometers and strain
228 gauges mounted to the outer wall of the steel installation tube prior to driving (Figure 2a). The
229 instrumentation was connected to a Pile Driving Analyzer (PDA) in order to measure the induced stress
230 waves, dynamic resistance and energy transferred to the tube during driving. CAPWAP signal
231 matching was undertaken by suitably-qualified operators from commercial testing companies on blows
232 selected by the authors during the initial and intermediate stages of driving, as well at the end-of-

233 driving (subsequently denoted EOD). The primary purpose of the CAPWAP analyses was to assess the
234 mobilised shaft and base resistances on the installation tube and base plate, respectively, during
235 driving. The maximum displacement of the installation tube during each dynamic test, typically
236 denoted DMX (Hannigan et al. 2016), ranged from 19 to 26mm, but was locally up to 65mm for Pile
237 P1.

238 Upon completion of driving to the required depth, the steel installation tube was filled with high slump
239 concrete and subsequently retracted. To ensure the concrete was adequately compacted and free of any
240 voids, the tube was subjected to several hammer blows during the withdrawal process. Following
241 completion of the pile, the reinforcement cage was inserted into the freshly cast concrete, as shown in
242 Figure 5b.

243 Piles PCC1, PCC2 and CEP1 at Pontarddulais were also subject to dynamic testing during installation.
244 While PCC3 at Dagenham was not subjected to a dynamic test during driving, a dynamic restrike test
245 was performed approximately 10 days after installation. CAPWAP signal matching was also conducted
246 for these piles.

247 *Curing*

248 The DCIS test piles were left to cure for a period of 9 to 24 days to enable the concrete to gain
249 sufficient strength prior to static load testing. The strains and temperatures within test pile D1 at
250 Dagenham were monitored at regular intervals (every 15 mins, increased to hourly after 25 hours)
251 during curing in order to assess the development of residual loads; these include internal processes such
252 as the restraint arising from shrinkage and swelling and external processes such as dragloads associated
253 with consolidation of the alluvium resulting from upfilling and dissipation of excess pore pressures
254 during driving of the steel installation tube in this case. Further details of the strain and temperature
255 measurements during curing of pile D1 are presented by Flynn et al. (2012).

256 ***Static load testing***

257 The test piles were subjected to maintained compression load tests using a steel testing frame anchored
258 to DCIS reaction piles (Figure 5c). The reaction piles were constructed at a minimum distance
259 equivalent to eight pile diameters from the test pile (ICE, 2007) in order to minimise interaction effects.
260 The test instrumentation comprised a load cell, hydraulic jack, displacement transducers and a data
261 acquisition unit. The load applied during the tests was measured using a 3000 kN capacity load cell,
262 calibrated prior to use, which was placed between the underside of the loading frame and the hydraulic
263 jack. Four linear potentiometric displacement transducers (LPDT), rigidly mounted to an independent
264 aluminium reference beam, were used to measure the pile head displacements upon flat surfaces
265 attached to the side of the pile cap. Data during loading were acquired using a Campbell Scientific
266 datalogger which was connected to the LPDTs, load cell and strain gauge instrumentation. A digital
267 thermometer was also used to monitor the ambient temperature throughout the duration of the load test.

268 The maintained compression load tests on the instrumented DCIS piles P1 and D1 were performed in
269 accordance with the Institution of Civil Engineers Specification for Piling and Embedded Retaining
270 Walls *or* SPERW (ICE, 2007) which is the standard specification for static load testing of piles in the
271 United Kingdom. Loading was performed in several stages, with the increment size based on the design
272 verification load (DVL) of the pile which was calculated by dividing the estimated total capacity
273 (determined by either earth pressure or CPT-based methods) by the geotechnical factor of safety.
274 Cycling (i.e. a single unload-reload loop) was also performed at applied loads corresponding to 100 %
275 DVL and 100 % DVL + 50% SWL, where SWL is the specified working load. The test piles at Ryton-
276 on-Dunsmore (R1, R2 and R3) were not performed in accordance with ICE SPERW as, unlike at the
277 other sites, these tests were not part of a commercial piling contract and hence were loaded in
278 increments equivalent to 10% of the predicted compression capacity, reducing to 5% when pile failure
279 was imminent, without unload-reload loops.

280 Derivation of the load distribution from the measured strains in each pile during static loading was
281 determined using the secant modulus method (Lam and Jefferis, 2011). As the test piles were not
282 exhumed after testing, the shaft diameters of the piles were assumed to correspond to the driving plate
283 diameters at the base of the installation tube in order to provide conservative lower-bound estimates of
284 the mobilised shear stresses (Flynn and McCabe 2021). Further details of the interpretation process are
285 presented in Flynn (2014).

286 **RESULTS**

287 **Installation**

288 *Driving records*

289 The driving records (number of blows per 250mm penetration) for the DCIS piles at Pontarddulais
290 (P1), Dagenham (D1) and Ryton-on-Dunsmore (R1, R2 and R3), are presented in Figures 6(a), 6(b)
291 and 6(c) respectively. At Pontarddulais and Dagenham, the blow counts varied considerably during
292 driving (primarily due to the layered stratigraphy at both sites), with the installation tube tending to
293 plunge through the soft alluvial layers under a single hammer blow. A strong increase in resistance was
294 noted at Dagenham once the installation tube penetrated the underlying dense sands and gravels, with
295 driving terminated at 7.7 mbgl when the blowcount had reached 20 blows/250mm. The measured blow
296 counts per 250mm at Pontarddulais were considerably lower due to the loose nature of the sands and
297 gravels at the site in comparison to Dagenham, with 4 blows/250mm recorded upon reaching the
298 required toe level. The corresponding final blowcounts for the Ryton-on-Dunsmore piles were in the
299 range 15-24 blows/250mm.

300 Figure 6a also illustrates the installation records for the 250mm square precast concrete piles PPC1 and
301 PPC2, as well as the 140mm diameter closed-ended steel pile CEP1, which were also driven at the
302 Pontarddulais site using a similar hammer and drop height to P1. Despite having smaller shaft and base

303 areas in comparison to DCIS Pile P1, the number of blows required for 250mm penetration for PPC1,
304 PPC2 and CEP1 were all double or greater than that recorded for Pile P1 after penetration below the
305 soft layers (i.e. beyond a depth of 6.0m). Given that the installation tube of the DCIS pile is analogous
306 to a traditional closed-ended circular pile, the reduced resistance to driving may be attributed to the
307 oversized driving shoe at the base of the tube and its effect on the mobilised resistance on the external
308 shaft of the installation tube. This effect is explored in more detail in conjunction with the dynamic test
309 results during installation in the following section.

310 *Dynamic measurements*

311 Figures 7 shows the variation in measured force F and velocity times impedance Zv traces with time
312 after impact (as multiples of L/c) at the end-of-driving of the installation tube for the DCIS test piles P1
313 and D1, while the corresponding dynamic traces for R1 to R3 are illustrated in Figure 8. The traces for
314 selected blows at the intermediate depths (identified in Table 2) during driving of the DCIS test piles
315 are presented as Figures S1 to S7 in Supplementary Information. The initial values of F and Zv shown
316 on the figures represent hammer impact (at negative values of time), with peak values occurring at a
317 time of zero where the wave first passes the sensor. The following points are noteworthy:

- 318 • The F and Zv traces for each pile show minimal separation for the majority of the period
319 between impact and return of the waves to the sensors at time $2L/c$.
- 320 • Approaching time $2L/c$, F and Zv begin to diverge rapidly, with F becoming negative (i.e.
321 tensile) and Zv increasing as the pile accelerates downwards.
- 322 • The above pattern typically repeated for the remainder of each trace after time $2L/c$ as the
323 waves travel up and down the tube; this repetitive pattern was most apparent for pile P1.

324 The minimal separation in the stress waves until time $2L/c$, and repetitive cyclic nature thereafter,
325 implies that little resistance was mobilised on the shaft of the installation tube during driving, with the

326 rapid increase in Z_v approaching time $2L/c$ indicative of a tension wave in the installation tube induced
327 by an apparent free-end condition at the base, as the tube tended to plunge or ‘run’. Given that no
328 physical connection exists between the installation tube and sacrificial base plate to resist tension, this
329 observation would suggest that a gap may open at this location due to tensile force in the tube.

330 The measured dynamic responses of the precast concrete pile PPC1 and closed-ended steel pile CEP1
331 at the end-of-driving at Pontarddulais are shown in Figure 9a and 9b, respectively, while Figure 9c
332 illustrates the response of precast pile PCC3 during a restrike test at Dagenham. In contrast to the
333 measurements for the DCIS piles during installation, the Z_v traces exhibited a large divergence from
334 the F waves between 0 and $2L/c$, which is indicative of greater resistance encountered along the pile
335 shaft for these piles. Furthermore, the responses of the three traditional displacement piles after $2L/c$
336 were notably different when compared to the DCIS piles, with the Z_v trace becoming tensile and the F
337 trace remaining relatively constant or slightly increasing during the period up to about $8L/c$. These stark
338 differences prompted a quantitative CAPWAP analysis of load-settlement behaviour of the DCIS piles,
339 interpreted in the next section in conjunction with the static load tests.

340 **Load settlement behaviour – CAPWAP analyses and static load tests**

341 ***CAPWAP analyses during installation***

342 The total, shaft and base load-displacement responses of the installation tube predicted by CAPWAP
343 signal matching of stress waves at the end-of-driving for each site are illustrated in Figure 10 for
344 Pontarddulais and Dagenham, and Figure 11 for Ryton-on-Dunsmore. As expected from inspection of
345 the dynamic wave traces obtained by the PDA instrumentation, the majority of total resistance was
346 generated on the underside of the driving shoe at the base of the installation tube.

347 ***Static load tests***

348 Figures 10 and 11 also illustrate the mobilisation of total, shaft and base resistance with pile
349 displacement of the DCIS piles during static compression loading which were obtained from the strain
350 gauge instrumentation installed in each pile after in-situ concreting. In contrast with the observations
351 during driving, it is evident that the shaft resistance accounts for a substantial portion of the total pile
352 resistance during static loading, ranging from 30% for D1 to 83% for P1; this implies that some level of
353 recovery in radial stresses (and hence shear stresses during loading) occurred following in-situ
354 concreting of the pile after driving. However, the estimates of base resistance of the installation tubes
355 from the CAPWAP analyses are more comparable with those measured under static loading,
356 particularly at Ryton-on-Dunsmore. The under-predictions of base resistance at Dagenham and
357 Pontarddulais may be partly explained by the residual base loads mobilised on the test piles prior to
358 static loading arising from dragloads induced by on-going settlement in the overlying soft clay layers
359 (Flynn et al. 2012, Flynn 2014), as well as the lower pile displacement mobilised during the dynamic
360 load test at the end-of-driving (as evident for the test pile at Dagenham). Improved predictions of base
361 resistance are obtained when these dragloads are included for these piles (Figure 10), particularly for
362 Pile P1.

363 Figure 12 presents the respective distributions of unit shear stress at failure with depth inferred between
364 successive gauge levels for piles P1 and D1, while Figure 13 shows the corresponding distributions for
365 R1, R2 and R3. Also included in Figures 12 and 13 are the predicted unit shear stress distributions from
366 the CAPWAP analyses from the dynamic load tests at the end-of-driving of each test pile. Whilst it is
367 acknowledged that the inferred values of shear stress from the CAPWAP analyses are a function of the
368 displacement induced, as well as the quality of the signal match obtained by the operator, it is clearly
369 evident from these figures that the mobilised shear stresses during static compression load are
370 significantly greater than those on the external shaft of the installation tube during driving.
371 Furthermore, the magnitude of the shear stresses on the installation tube inferred from the CAPWAP

372 analyses are below 50 kPa (and below 20 kPa in most cases) over the majority of the embedded tube
373 length, regardless of the ground conditions. As such, the resistance to driving for the test piles at each
374 site was almost exclusively due to end-bearing resistance on the underside of the sacrificial base plate.

375 The variations in shear stresses on the installation tube and as-constructed DCIS piles during dynamic
376 and static load testing at Pontarddulais and Dagenham were also compared with those from the
377 dynamic tests performed on precast concrete piles at both sites. As shown in Figure 12(a), the inferred
378 distribution of shear stresses along the embedded length of the precast pile from the CAPWAP signal-
379 matching analyses exceed those on the installation tube of the DCIS pile (below a depth 4m) during
380 driving. A similar conclusion can be drawn from the restrike test on PCC3 at Dagenham approximately
381 10 days after installation (Figure 12b). However, the mobilised shear stresses on the DCIS test piles
382 during static loading were significantly greater than those for the precast piles at both sites, with such
383 increases arising from the enhanced roughness of the DCIS piles created by in-situ concreting in
384 granular strata with coarse angular particles, particularly the Thames Gravels present at Dagenham.
385 These particles, in conjunction with the rougher shaft interface, promote enhanced shearing and
386 dilation under loading which cannot be matched by the smoother interface of a precast concrete pile.

387 It is important to note that differences in geometry (square, circular), material type (steel, concrete),
388 surface roughness (steel, precast concrete, cast-in-situ concrete) and time-related effects (ageing / soil
389 set-up due to consolidation) may influence the comparison of shear stresses for the steel installation
390 tubes, as-built DCIS piles and precast concrete or steel piles. Nonetheless, the increases in shear
391 stresses observed at the time of static load testing of the DCIS test piles (which were two to five times
392 greater than those inferred from CAPWAP analyses on the installation tube) cannot be solely attributed
393 due to the differences noted above and hence are explored in more detail in the next section.

394 **DISCUSSION**

395 The negative effect of oversized driving shoes on the shaft resistance of displacement piles has been
396 reported in the literature. For example, Finlay et al. (2001) investigated the effects of internal and
397 external shoes on the shaft resistance of 319mm outer diameter, 17mm thick, open-ended steel piles
398 installed in sand. The piles were instrumented with radial stress sensors to capture the variations in
399 internal and external radial stresses during jacking, with the results showing a four-fold reduction in
400 external radial stresses (and hence shear stresses) when the piles were fitted with a driving shoe with a
401 diameter that was 9% larger than the external shaft diameter. Crucially, the reductions in radial stress
402 were sufficient to bring the soil into a state of active failure after flowing around the oversized driving
403 shoes.

404 For DCIS pile installation tubes having 508mm outer diameter, Verstraelen et al. (2016) reported a
405 reduction of up to 15% in the shaft resistance upon replacing the standard 550mm diameter base plate
406 (8% oversized) with a 600mm diameter base plate (18% oversized). In practice, however, the base plate
407 oversize percentage for DCIS piles is typically greater than the standard 8% value used by Verstraelen
408 et al. (2016), and indeed the 9% value modelled by Finlay et al. (2001). The diameters of driving shoes
409 used at the three test sites in this paper were oversized by approximately 19%, in keeping with the
410 average value of 15% from the DCIS pile database (excluding Franki piles) compiled by Flynn and
411 McCabe (2021). Hence, the evidence is convincing that the abnormally low shear stresses mobilised on
412 the external shaft of the DCIS installation tube are due to active failure of the soil after flowing past the
413 oversized driving shoe.

414 Following in-situ concreting and curing, the mobilised shear stresses on the shaft of the DCIS piles
415 during static compression load testing at the three sites were typically two to five times greater than
416 those on the exterior of the steel installation tube inferred from dynamic testing during driving. The
417 average radial effective stress acting between successive gauge levels on the shaft of each DCIS test
418 pile during static loading may be tentatively inferred from the corresponding shear stress at τ_{sf} , using

419 Equation 2 with $\delta = \phi'_{cv} = 35^\circ$ from shear box tests at Ryton-on-Dunsmore and for the remaining sites,
 420 33° for siliceous sand (Bolton, 1986) and 38° for gravel (Paul et al., 1994). The total radial stress is then
 421 obtained by $\sigma_{r,i} = \sigma'_{r,i} + u_i$, where u_i is the hydrostatic pore pressure at the mid-point between the gauge
 422 levels in question. Figure 14 presents the distribution of $\sigma_{r,i}$ with depth for the piles at the three test
 423 sites, as well as additional pile data for sites at Erith and Shotton reported by Flynn (2014). Also shown
 424 in Figure 14 is the theoretical bi-linear distribution of radial total stress with depth induced by the fluid
 425 pressure of freshly-cast concrete $\sigma_{r,conc}$ using Equation 9 proposed by Lings et al. (1994):

$$426 \quad \sigma_{r,conc} = \gamma_c z \quad \text{for } z \leq h_{crit} \quad \text{Eqn. 9a}$$

$$427 \quad \sigma_{r,conc} = \gamma_w z + (\gamma_c - \gamma_w) h_{crit} \quad \text{for } z > h_{crit} \quad \text{Eqn. 9b}$$

428 where γ_c is the unit weight of fluid concrete (taken as 24 kN/m^3), γ_w is the unit weight of water, z is the
 429 depth below top of concrete fluid and h_{crit} is the critical depth. Lings et al. (1994) define h_{crit} as the
 430 depth equivalent to one-third of the head of concrete cast which, for the dataset in Figure 14 with pile
 431 lengths ranging from 5.5 to 11.0m, results in h_{crit} varying from 1.8 to 3.7 mbgl. It is evident that the
 432 theoretical radial total stress induced by the wet concrete forms a lower-bound to the radial stresses
 433 inferred from the shear stresses on the shaft of the test piles, indicating that the reductions in radial
 434 stress during installation due to the over-sized base plate are recoverable by the concreting process.
 435 Further increases in radial stress, over and above those predicted by Equation 9, are likely to be
 436 attributed to enhanced interface dilation on the rough surface of the pile shaft created by in-situ
 437 concreting.

438 An unanticipated finding from the Flynn and McCabe (2021) DCIS pile database was that the
 439 simplified LCPC-82 method (Bustamante and Ganeselli 1982) produced better predictions of DCIS
 440 pile shaft resistance than the more advanced UWA-05 (Lehane et al. 2005) and ICP-05 (Jardine et al.
 441 2005) methods. In Figure 14, the radial total stresses appear to be distributed somewhere between the

442 bi-linear distribution of fluid pressure with depth and constant (no variation) with depth. Therefore, the
443 relative success of the LCPC-2A in predicting the variation in DCIS pile shaft resistance with
444 embedment length may be related to its weaker stress level dependence, compared to the UWA-05 and
445 ICP-05 methods which use non-linear functions to model the reduction in shear stresses with
446 normalised distance h/D_b from the pile base. Unfortunately, as previously mentioned, definitive
447 conclusions in relation to changes in shear stresses following installation, casting, curing and load
448 testing cannot be reached in the absence of radial stress measurements at present.

449 Figure 15 shows a comparison of the base resistances inferred from CAPWAP analyses of selected
450 blows during driving of the installation tubes with the measured base resistance from the five static
451 load tests at the three sites. In contrast to the discrepancies in shaft resistance observed between
452 installation and static loading, the base resistance of the DCIS piles remained relatively unchanged.
453 This is expected however, as the steel driving shoe remains at the base of the pile following casting of
454 the concrete and withdrawal of the installation tube and hence would not be affected by loosening or
455 stress relief to the same extent as the pile shaft. Hence, the base resistance of a DCIS pile may be
456 inferred reliably from the results of a dynamic load test on the steel tube during installation. Also
457 shown in Figure 15 are the profiles of base resistance $Q_{b,0.1D_b}$ predicted from the measured cone
458 resistance q_c profiles at each pile location using Equation 6. Whilst some degree of scatter in the
459 CAPWAP results is evident (given the aforementioned issues with interpretation of the dynamic tests,
460 in particular the partial mobilisation of resistance due to insufficient displacement induced during the
461 test), the inferred base resistances from the CAPWAP analyses are comparable with Equation 6 over a
462 wide range of embedded lengths (with the exception of Pontarddulais, where the residual load
463 represented a significant portion of the base resistance prior to static load testing), indicating that the
464 results of dynamic load tests on the steel tube during installation can provide reasonable first-order
465 estimates of the base resistance for DCIS piles. The static load test on Pile R3 resulted in a

466 considerably larger base resistance than predicted by the dynamic test during installation; however, as
467 discussed by Flynn and McCabe (2016), this pile exhibited an unexpectedly higher total resistance than
468 envisaged (with the test terminated at the maximum allowable load of the reaction frame). Given that
469 the dynamic test predicted a base resistance which is in agreement with that estimated by Equation 6, it
470 is postulated that the additional resistance of the pile during the load test was generated by the
471 underside of the pile cap bearing on the ground; ignoring this additional resistance results in an over-
472 estimation of the base resistance in the static load test, as illustrated in Figure 15.

473 In summary, the dynamic tests showed that low shaft resistances were mobilised on the steel tube
474 during installation which were attributed to loosening of soil after flowing around the oversized driving
475 shoe at the base of the installation tube, inducing active conditions. However, the maintained
476 compression load tests on the instrumented DCIS test piles demonstrated that any reductions in shaft
477 resistance resulting from the use of the oversized driving shoe were subsequently recoverable. This
478 outcome contrasts with design practice in Belgium (NBN, 2014; Huybrechts et al. 2016) which
479 stipulates that the shaft resistance of DCIS piles must be ignored when an oversized driving shoe (with
480 a diameter at least 50mm greater than the installation tube) is utilised during installation and would
481 result in excessive design lengths if applied to the test piles in this study.

482 **CONCLUSIONS**

483 A series of dynamic load tests were performed on the temporary steel driving tubes during the
484 installation of DCIS piles at three sites in the United Kingdom. The piles were subsequently
485 instrumented with strain gauges after concreting and subjected to maintained compression load tests to
486 failure after a suitable curing period. The shear stresses mobilised on the shaft of the as-constructed
487 DCIS piles during the maintained load testing were two to five times greater than those inferred from
488 the results of the dynamic tests on the steel installation tube during driving. This was primarily

489 attributed to the loosening of soil on the shaft of the installation tube arising from the over-sized
490 sacrificial driving shoe at the base. However, the reductions in radial stress are likely to be reversible
491 by the fluid pressures from the freshly-cast concrete which were shown to provide lower-bound
492 estimates of radial total stresses tentatively inferred from the measured shear stresses during static
493 loading. The recovery of shaft resistances following concreting and curing conflicts with European
494 design practice (which neglects the shaft resistance of a DCIS pile when an oversized driving shoe is
495 utilised), resulting in overly-conservative design lengths if applied to the test piles in this study. Whilst
496 the shaft resistance of DCIS piles was significantly underpredicted by the dynamic load tests during
497 installation, reasonable estimates of the base resistance were obtained.

498 Based on the foregoing, the practice of relying solely on dynamic tests performed on the installation
499 tube to predict the total capacity of DCIS piles is inappropriate. However, this should not be interpreted
500 as an outright rejection of dynamic testing for DCIS piles; there is merit in performing such tests on the
501 final concrete pile, once it has gained sufficient compressive strength and the shaft resistance has
502 developed.

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Table 2: Summary of pile and testing details

Table 1. Typical dynamic soil parameters for CAPWAP analyses

Dynamic Soil Parameter	Quake q (mm)	Damping factor J (s/m)
Shaft	2.5	0.16 to 0.65
Base	$D_b/60$ to $D_b/120$, where D_b = pile base diameter	0.15

Table 2: Summary of pile and testing details

Site	Pile Type	Pile Ref	Shaft / tube diameter / width (mm)	Base / driving shoe diameter / width (mm)	Length (m)	Dynamic test during driving	Dynamic test during restrike	Static load test after curing/ equalisation	Depth(s) of dynamic load test (m)	Depth of static load test (m)	Curing/ Equalisation period between installation and static load test or restrike (days)
Pontarddulais	DCIS	P1	320	380	8.5	✓		✓	1.2, 8.5	8.5	9
	PC	PCC1	250	250	10.5	✓			10.5	-	-
	PC	PCC2	250	250	10.5	✓			10.5	-	-
	CES	CEP1	140	140	9.8	✓			9.8	-	-
Dagenham	DCIS	D1	320	380	7.7	✓		✓	1.6, 7.4, 7.7	7.7	14
	PC	PCC3	275	275	7.8		✓		7.8	-	10
Ryton-on-Dunsmore	DCIS	R1	320	380	6.0	✓		✓	6.0	6.0	20
	DCIS	R2	320	380	7.0	✓		✓	3.5, 5.3, 7.0	7.0	21
	DCIS	R3	320	380	5.5	✓		✓	3.5, 4.5, 5.5	5.5	24

DCIS = driven cast-in-situ, PC = precast, CES = closed-ended steel

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Fig. 8. Dynamic load test results at end-of-driving of DCIS test piles (a) R1, (b) R2 and (c) R3 at Ryton-on-Dunsmore.

Fig. 9. Dynamic load test results for precast piles at (a) Pontarddlais and (b) Dagenham.

Fig. 10. Test pile load-displacement curves at (a) Pontarddlais and (b) Dagenham

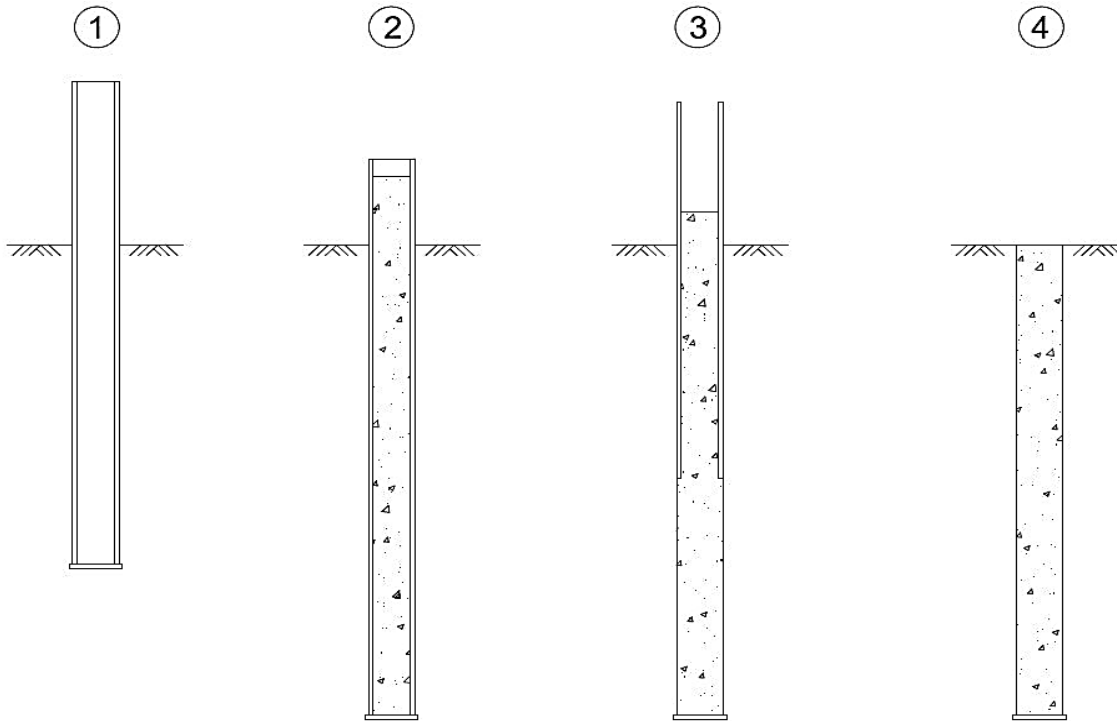
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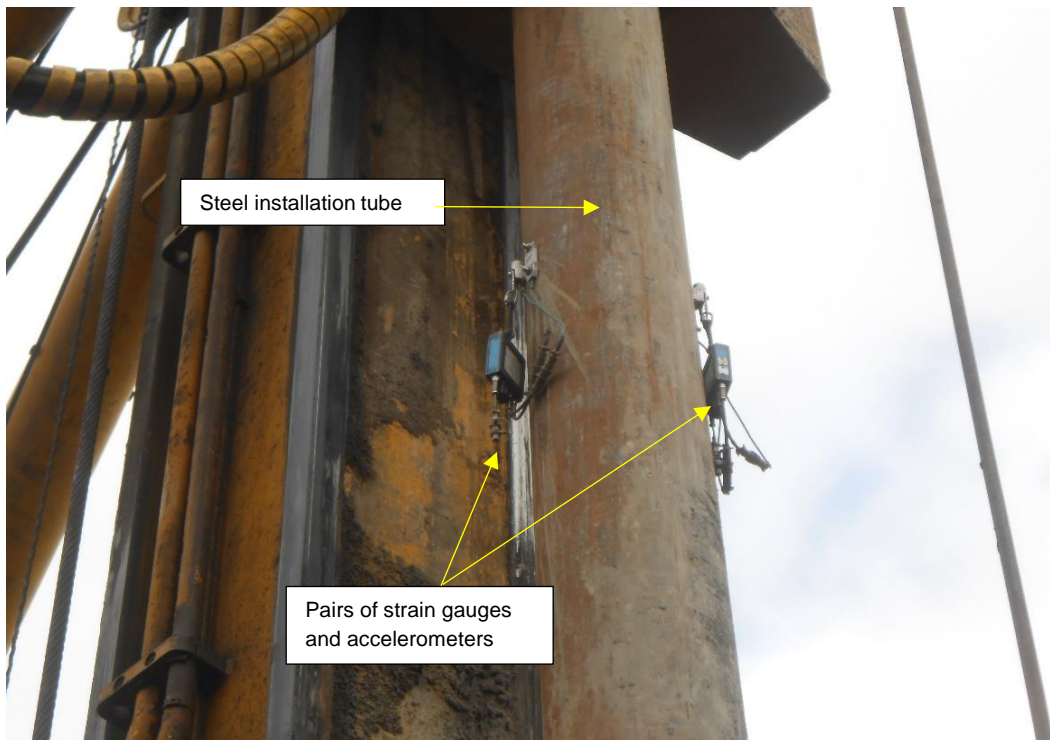
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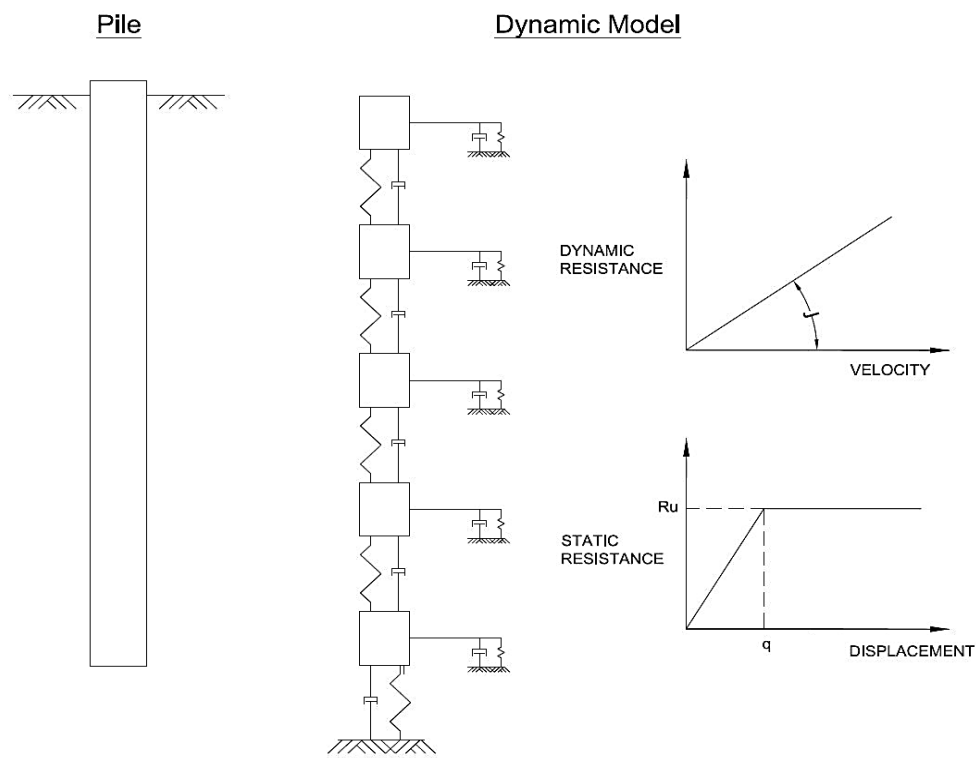


1. Steel tube with sacrificial shoe at the base driven to required depth/set.
2. Tube filled with high-slump concrete.
3. Tube extracted, shoe remains at the base of the pile.
4. Pile left to cure in-situ prior to testing and/or application of structural loads. Reinforcement may be inserted prior to casting or after extraction of tube.

Fig. 1. Schematic of driven cast-in-situ pile construction (adapted from Flynn and McCabe 2016)



(a)



(b)

Fig. 2. (a) Dynamic load test instrumentation and (b) pile and dynamic soil resistance model for CAPWAP analyses.



Fig. 3. Test site locations

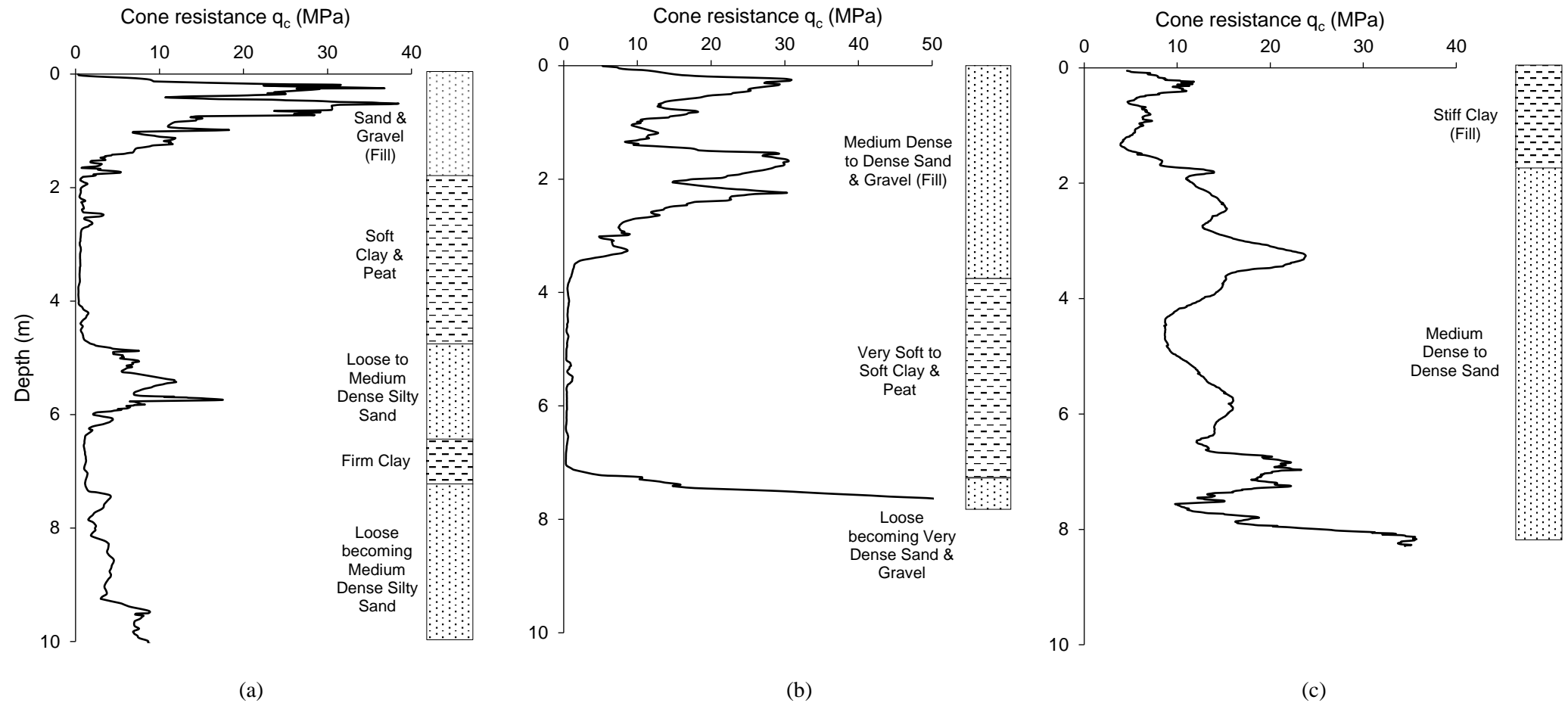


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(a)

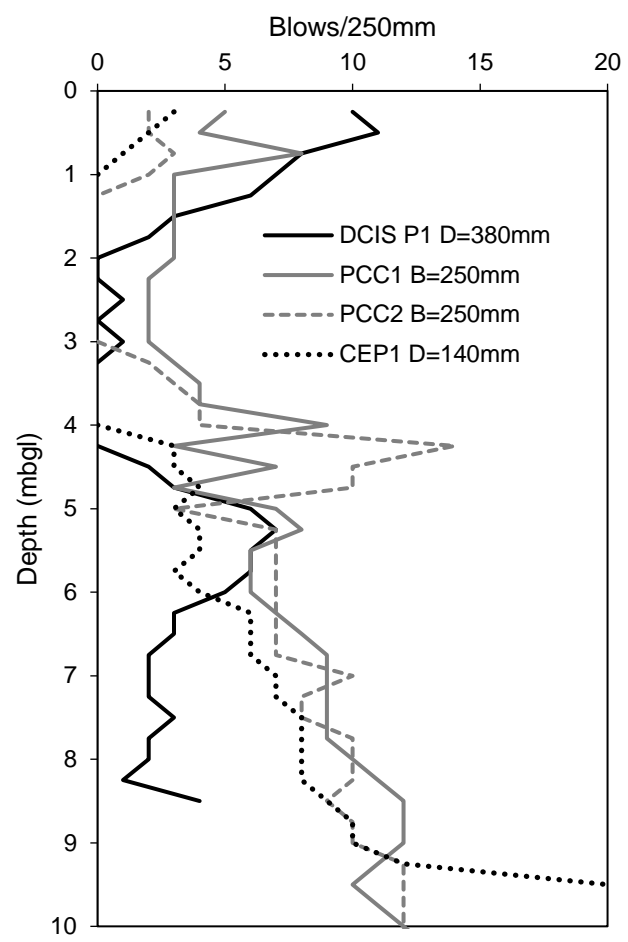


(b)

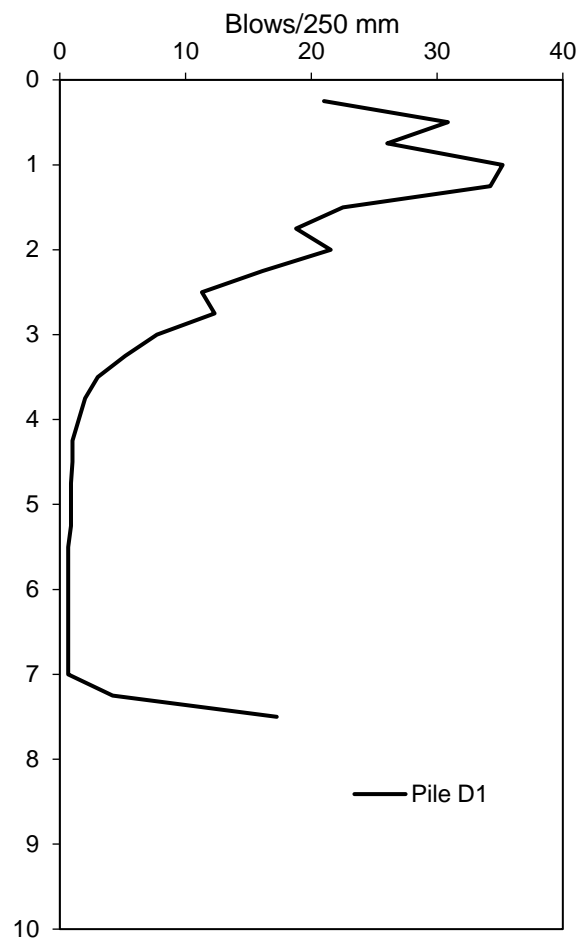


(c)

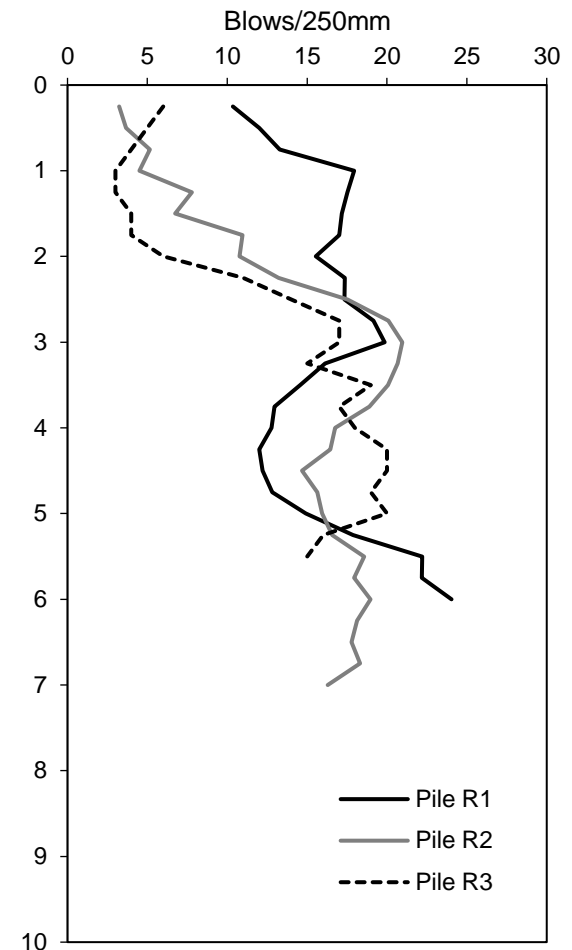
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(a)

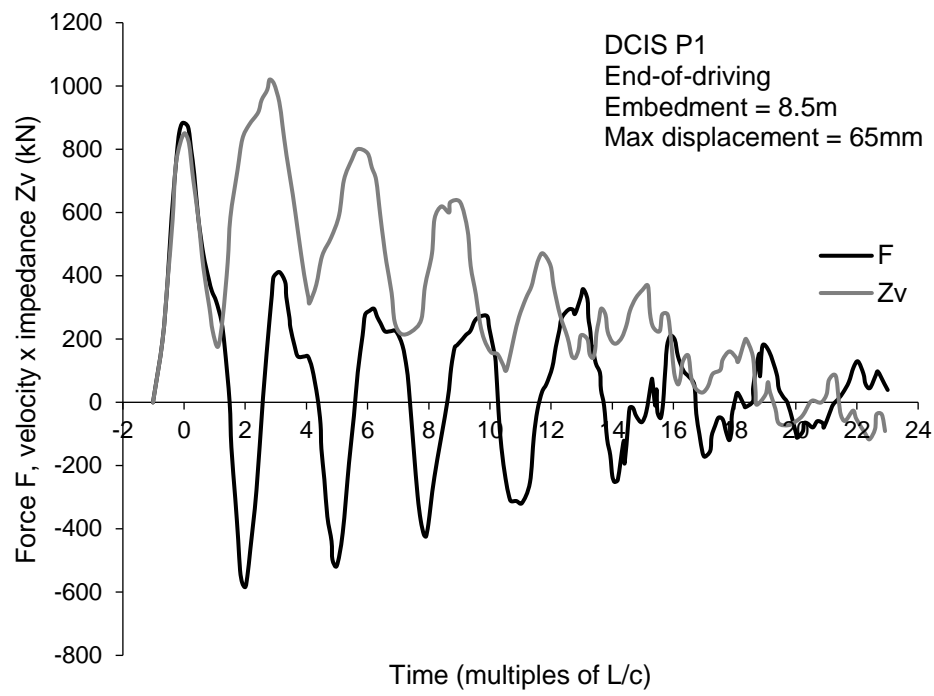


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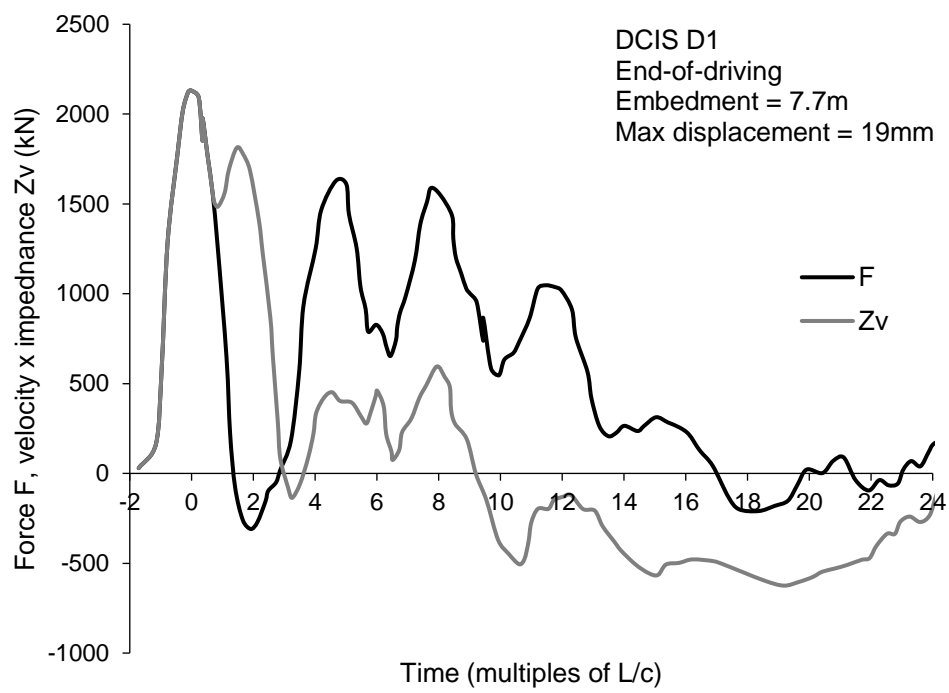


(c)

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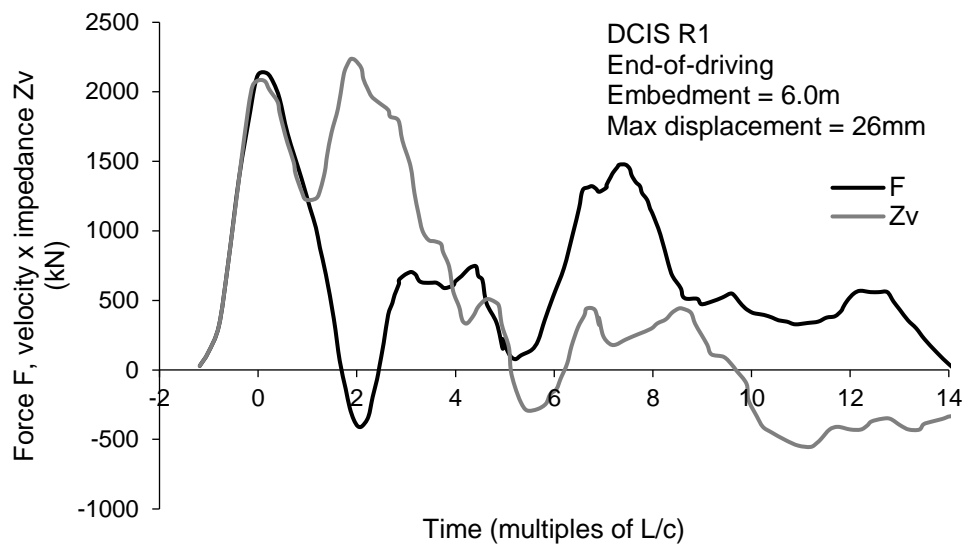


(a)

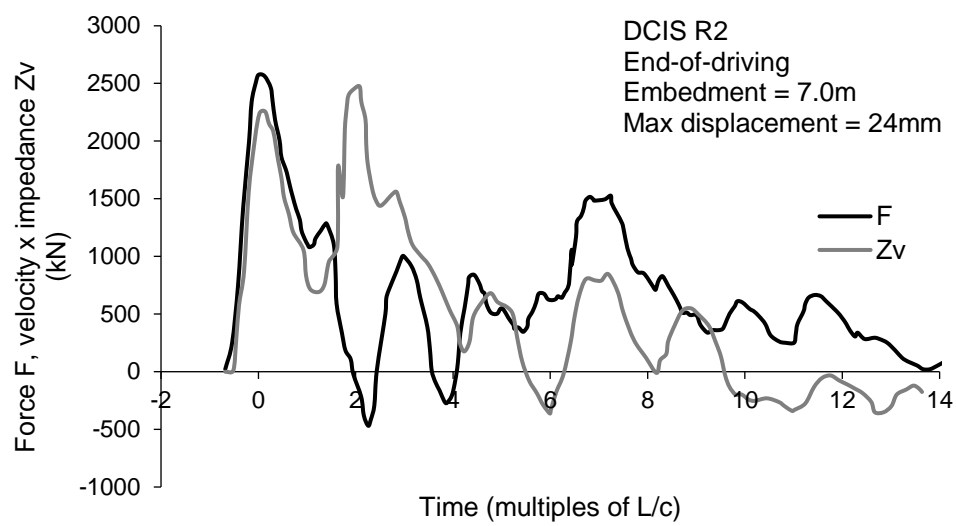


(b)

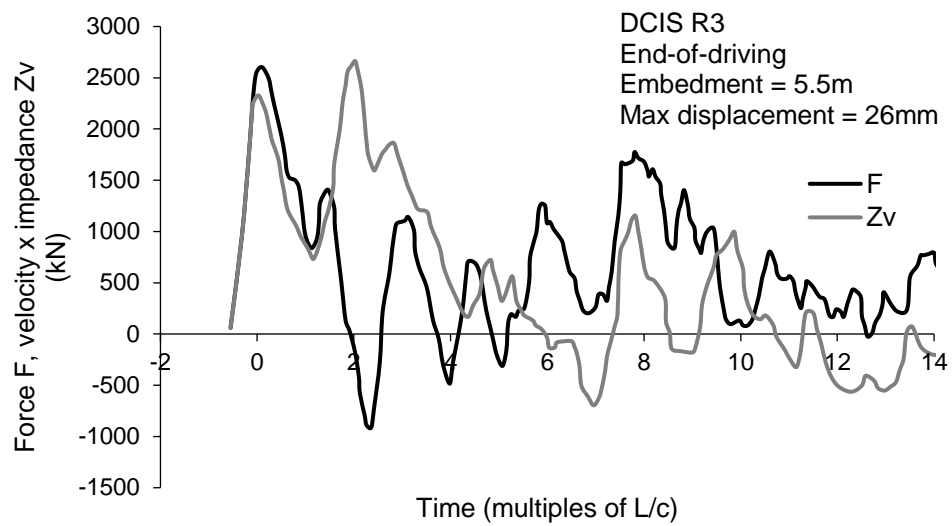
Fig. 7. Dynamic load test results at end-of-driving of DCIS test piles (a) Pontarddulais and (b) Dagenham



(a)

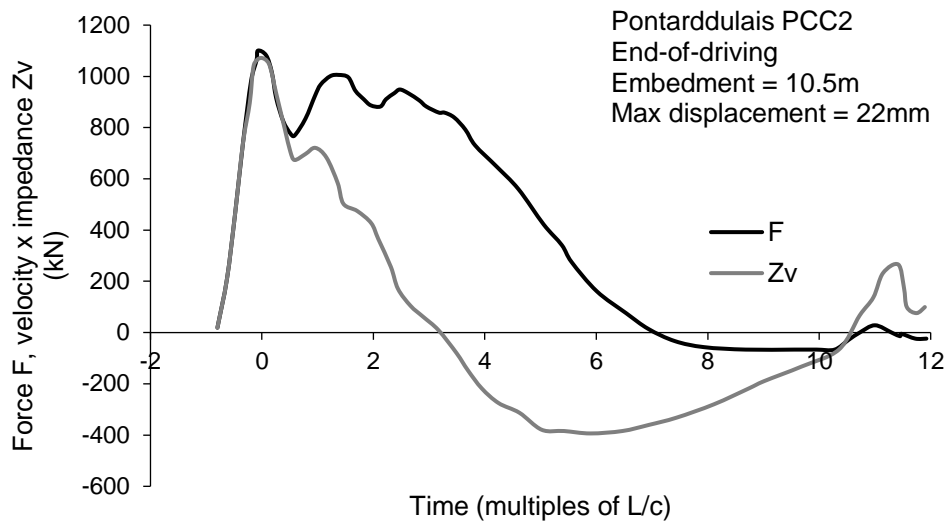


(b)

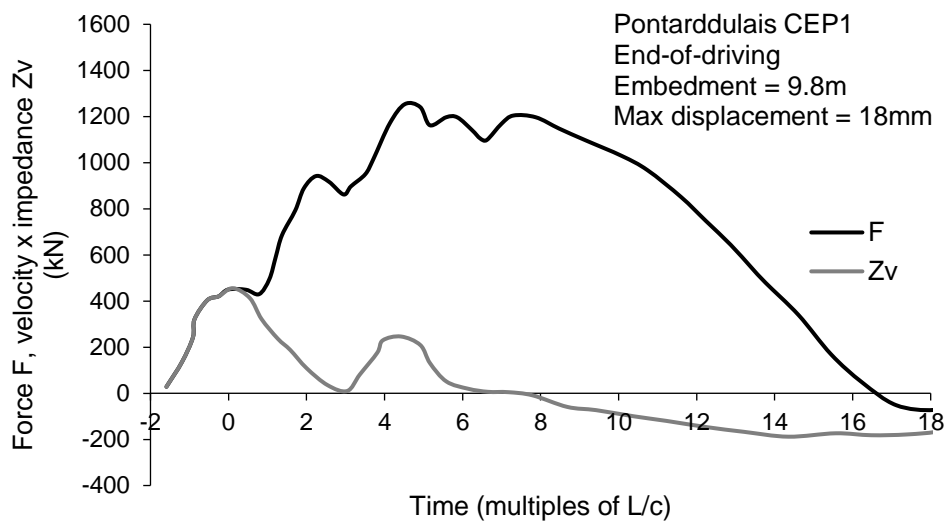


(c)

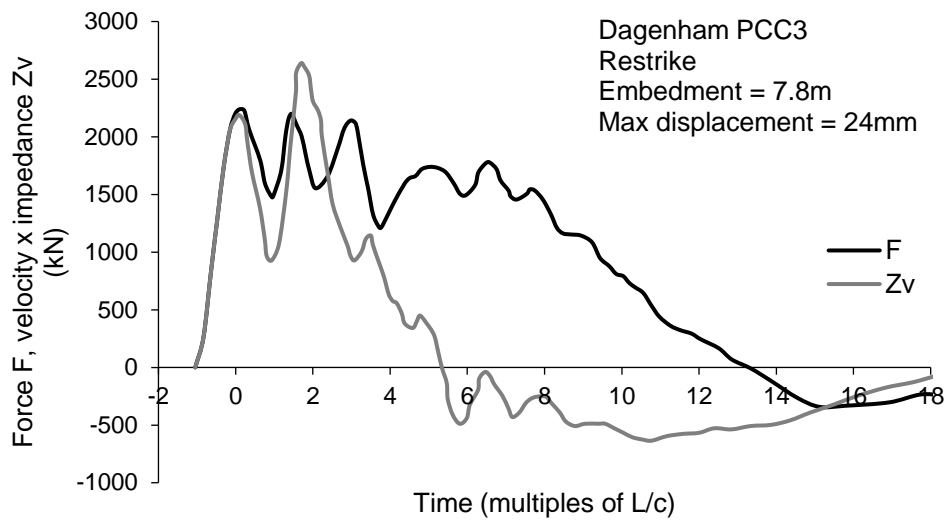
Fig. 8. Dynamic load test results at end-of-driving of DCIS test piles (a) R1, (b) R2 and (c) R3 at Ryton-on-Dunsmore



(a)

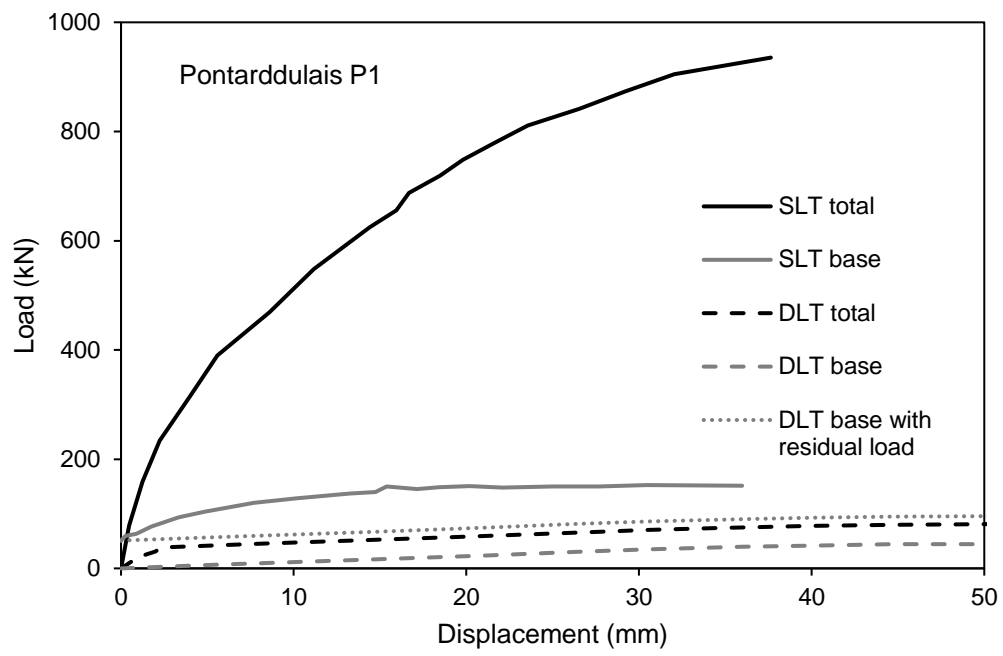


(b)

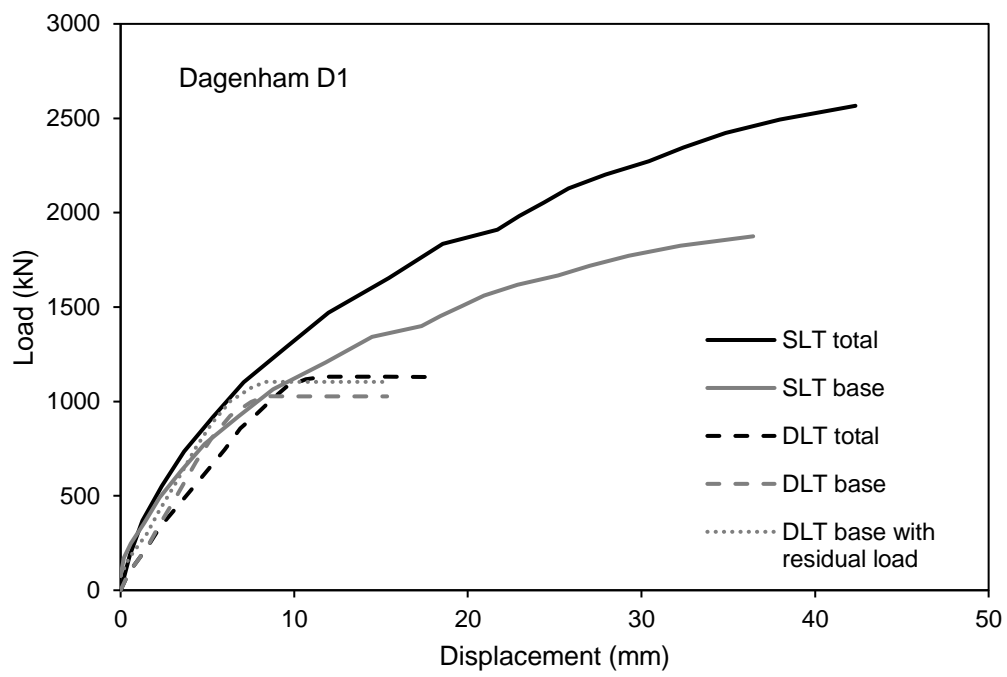


(c)

Fig. 9. Dynamic load test results (a) precast pile PCC2 at Pontarddulais, (b) closed-ended steel pile CEP1 at Pontarddulais and (c) precast pile at PCC3 at Dagenham.

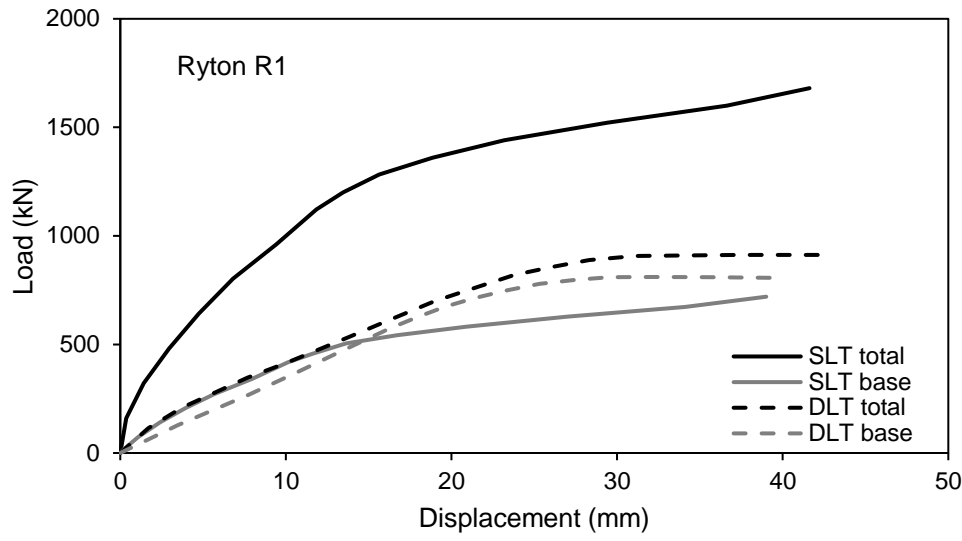


(a)

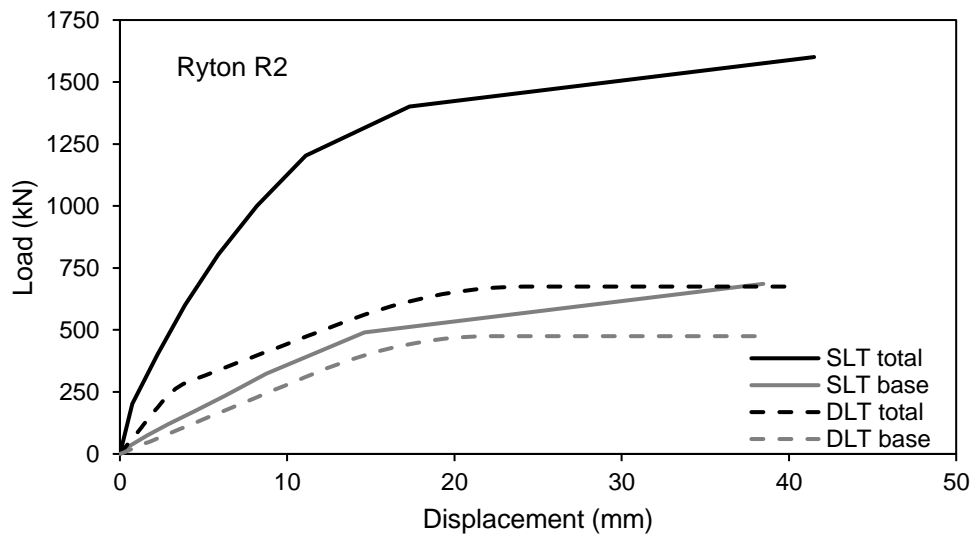


(b)

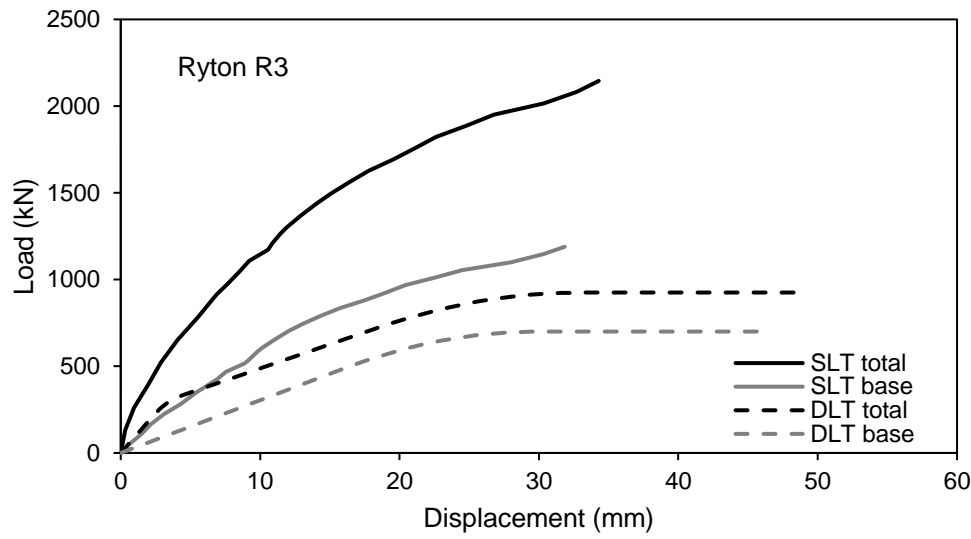
Fig. 10. Test pile load-displacement curves at (a) Pontarddlais and (b) Dagenham



(a)



(b)



(c)

Fig. 11. Test pile load-displacement curves at Ryton-on-Dunsmore for (a) Pile R1, (b) Pile R2 and (c) Pile R3.

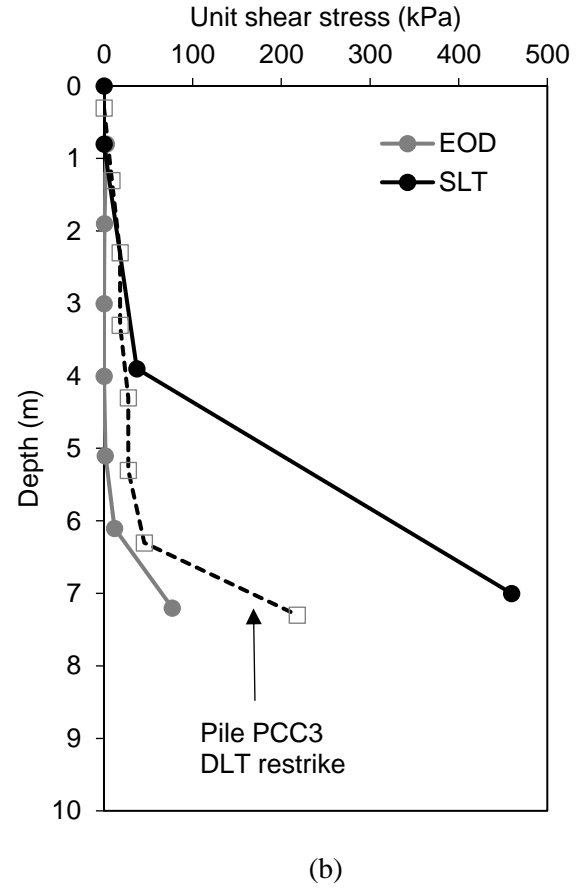
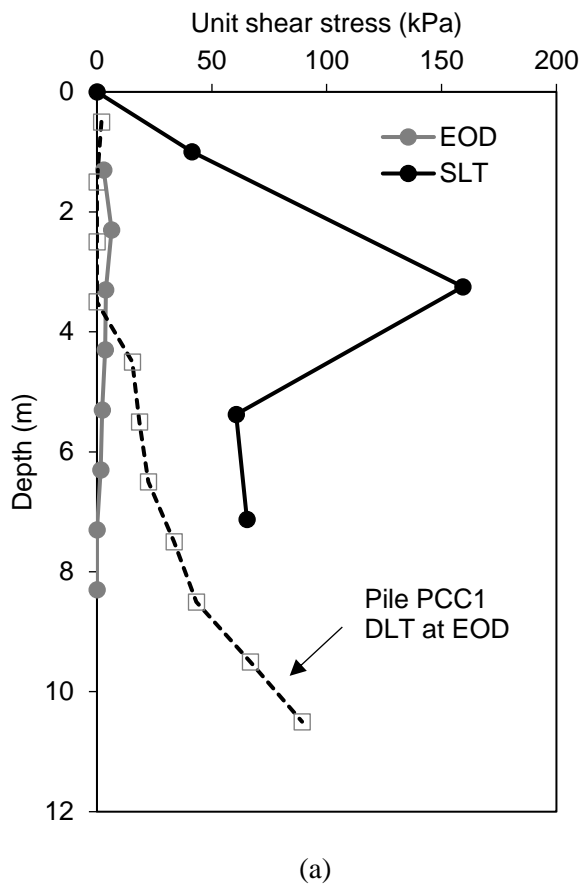
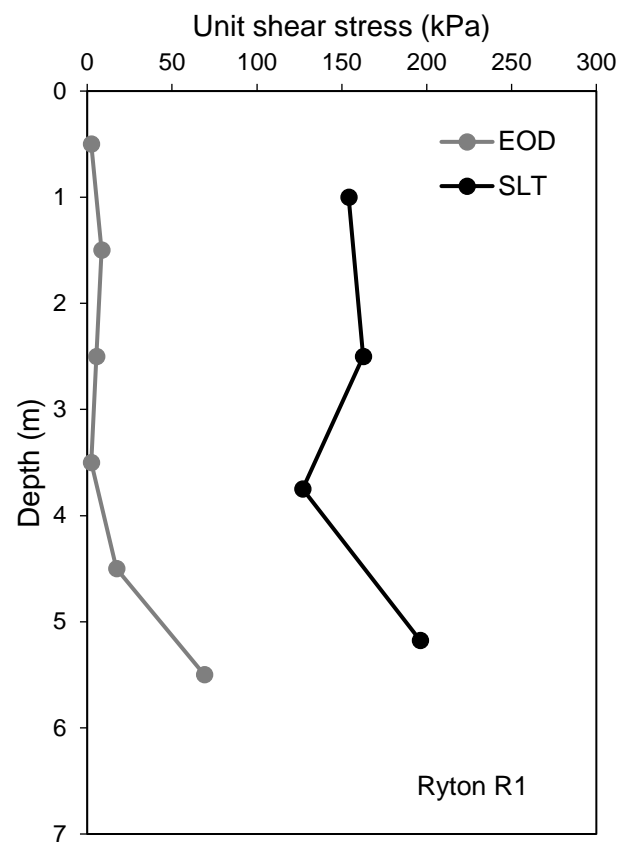
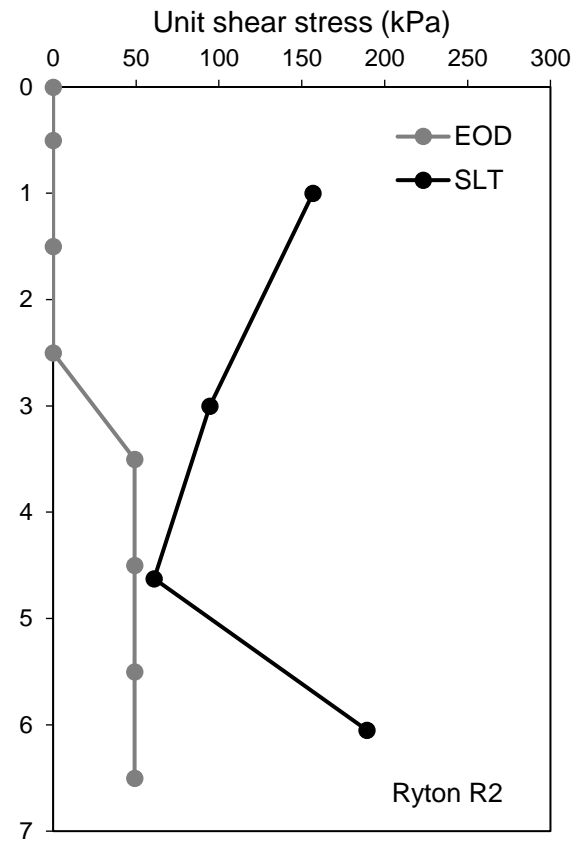


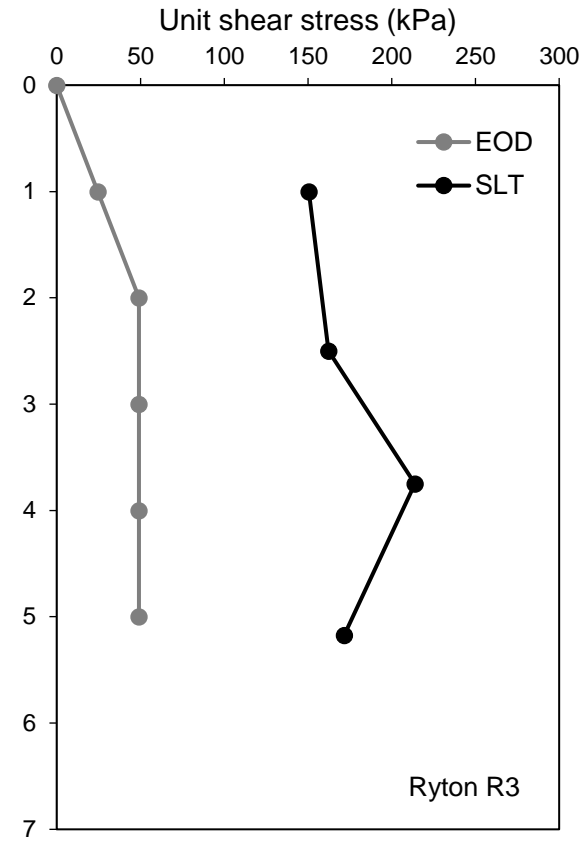
Fig. 12. Variation in mobilised unit shear stress with depth at (a) Pontarddulais and (b) Dagenham.



(a)



(b)



(c)

Fig. 13. Variation in mobilised unit shear stress with depth at Ryton-on-Dunsmore for (a) Pile R1, (b) Pile R2 and (c) Pile R3.

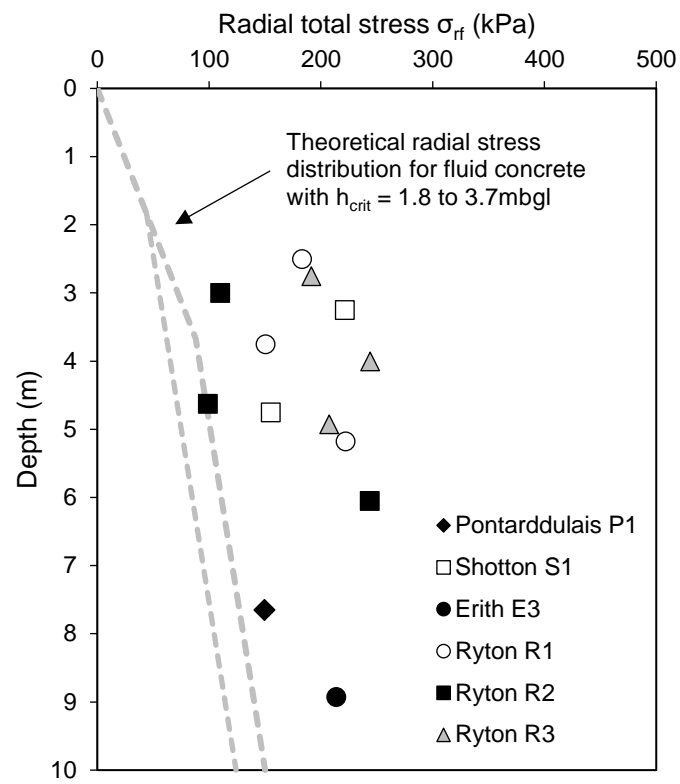


Fig. 14. Comparison of inferred radial total stress and fluid concrete pressure with depth for DCIS piles.

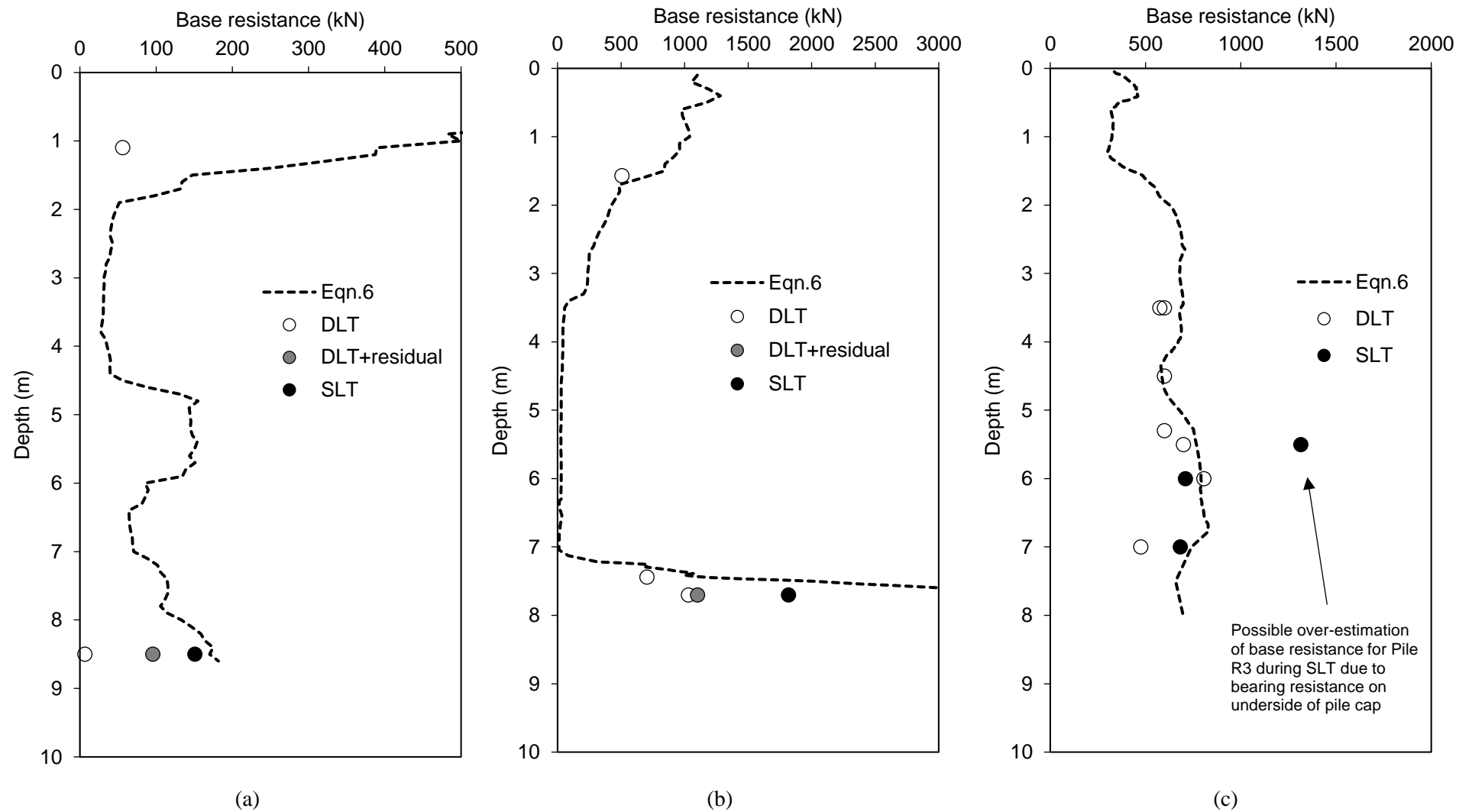


Fig. 15. Comparison of mobilised base resistance for dynamic and static load tests with predicted base resistance using Equation 6 at (a) Pontarddulais, (b) Dagenham and (c) Ryton-on-Dunsmore

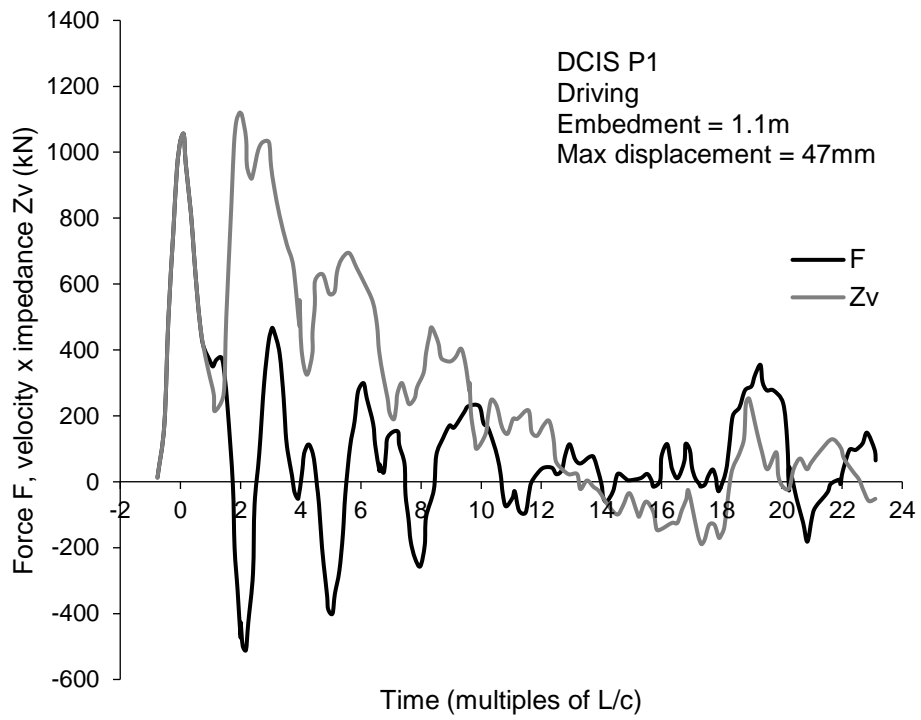


Figure S1: Dynamic load test results for Pile P1 during driving at 1.1mbgl

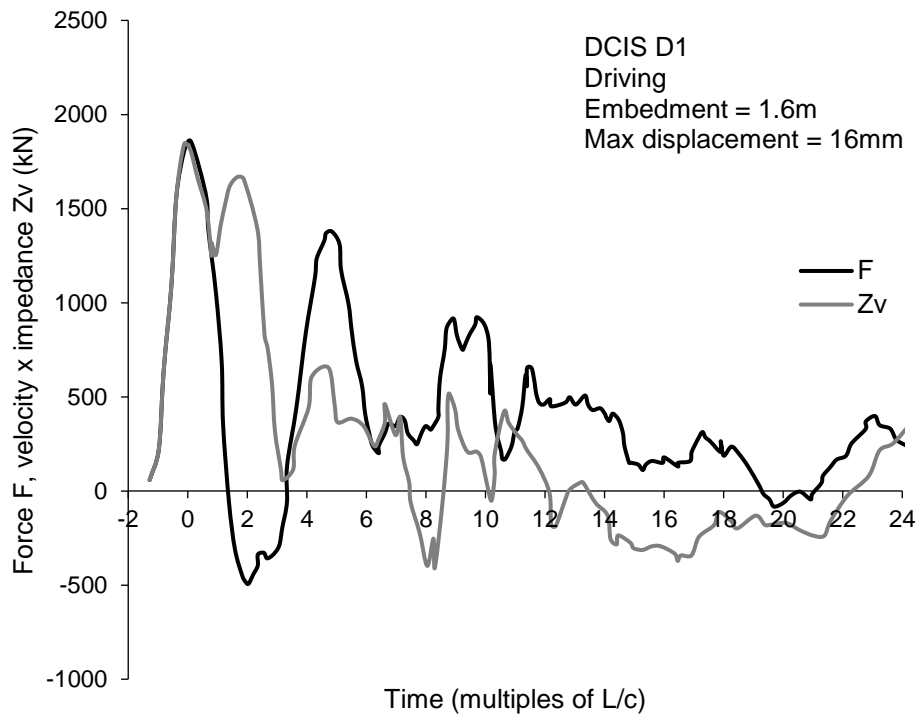


Figure S2: Dynamic load test results for Pile D1 during driving at 1.6mbgl

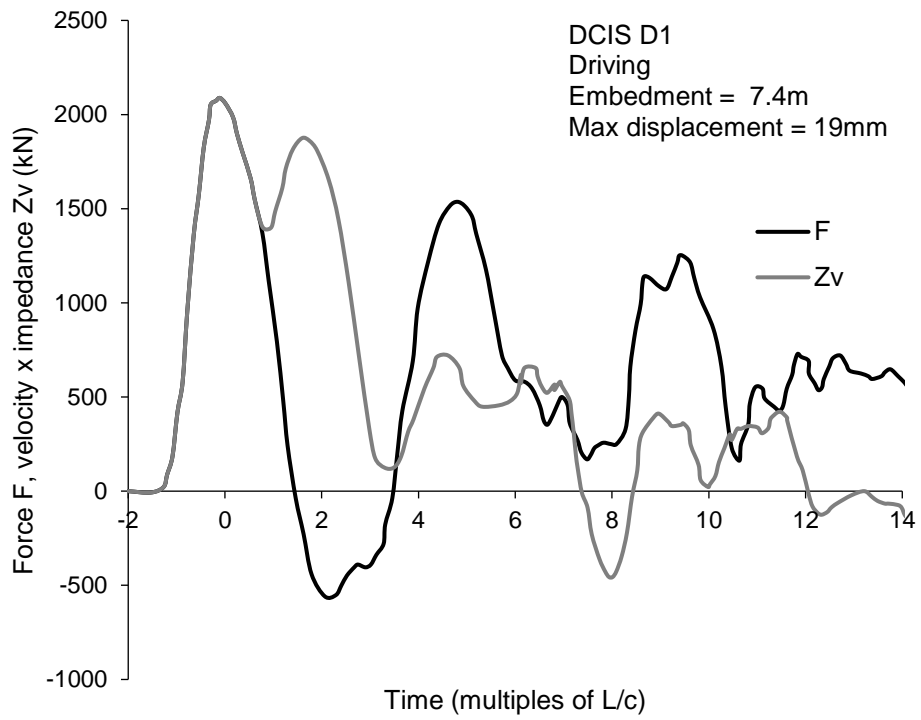


Figure S3: Dynamic load test results for Pile D1 during driving at 7.4mbgl

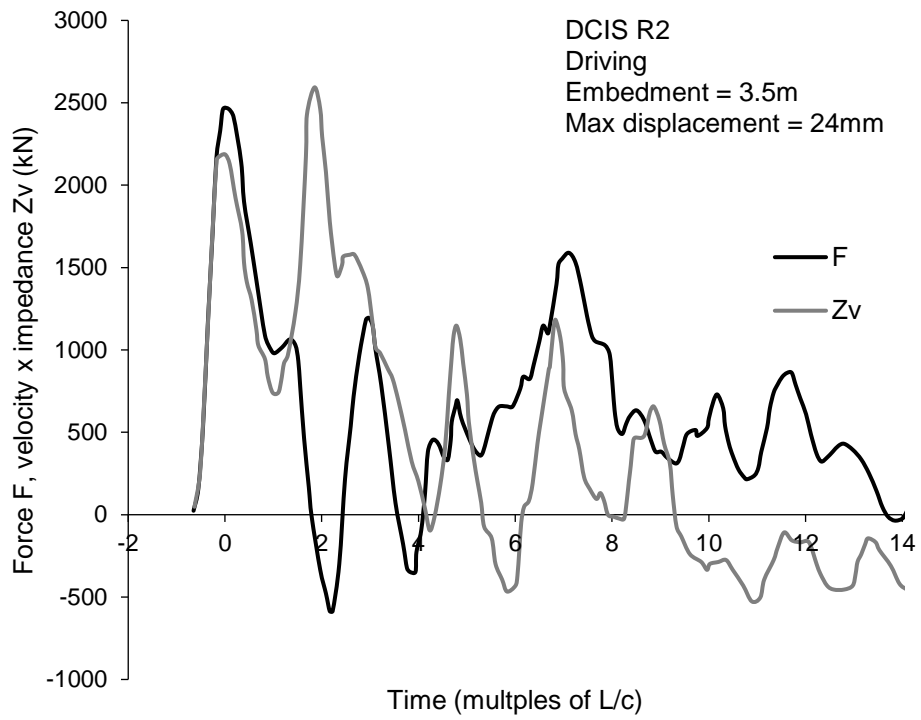


Figure S4: Dynamic load test results for Pile R2 during driving at 3.5mbgl

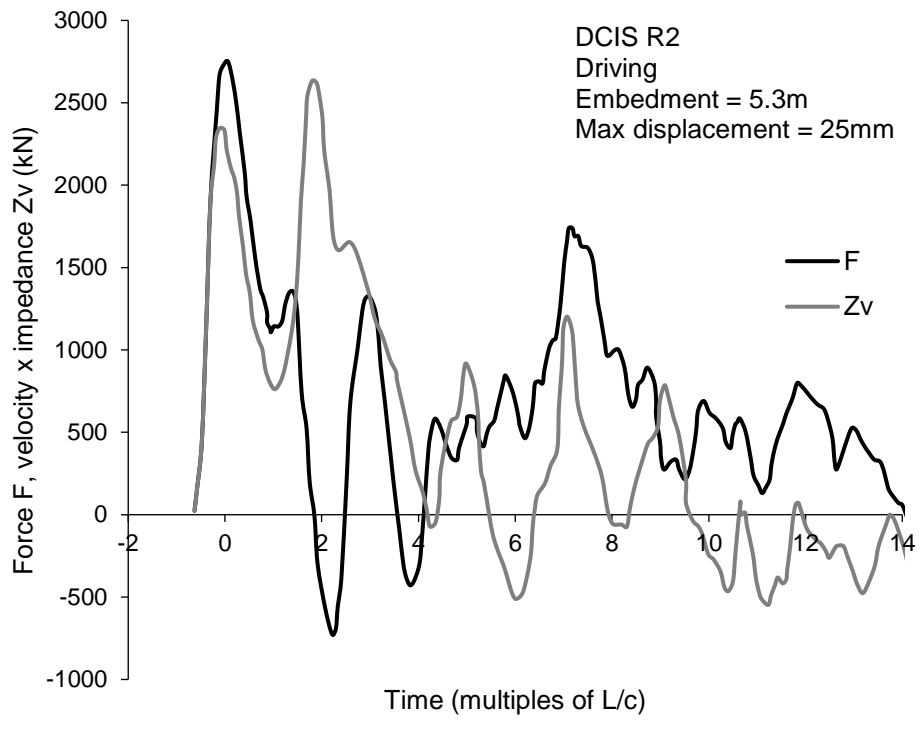


Figure S5: Dynamic load test results for Pile R2 during driving at 5.3mbgl

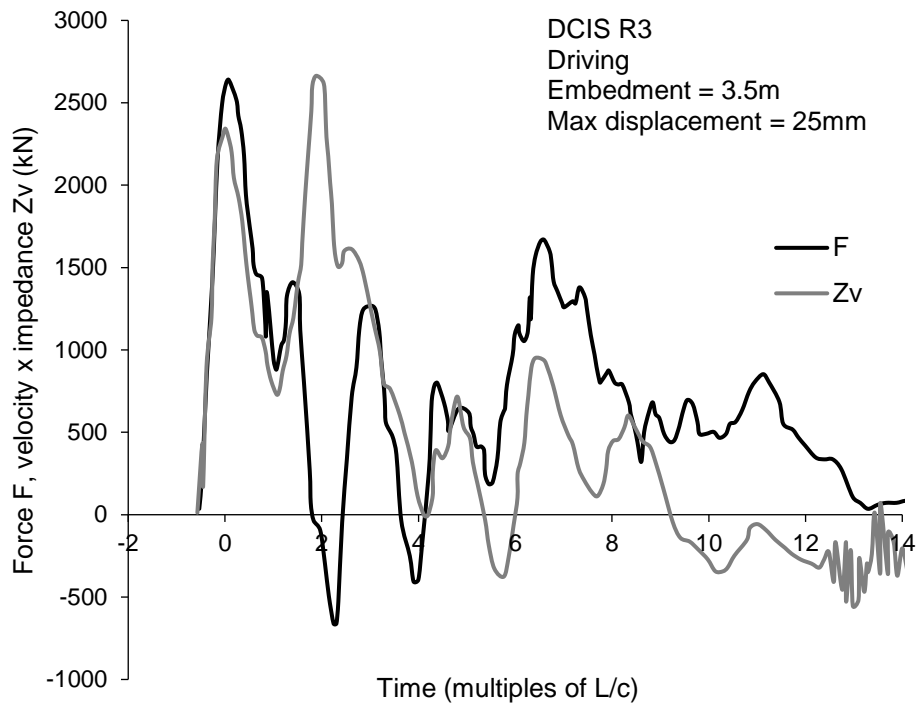


Figure S6: Dynamic load test results for Pile R3 during driving at 3.5mbgl

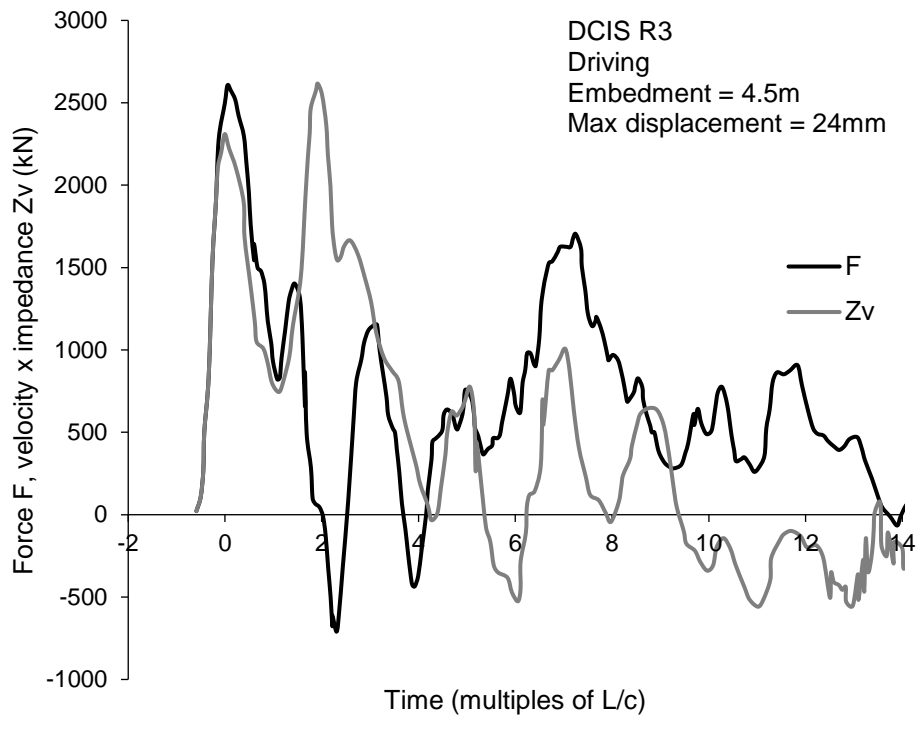


Figure S7: Dynamic load test results for Pile R3 during driving at 4.5mbgl