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# METHODOLOGY TO CHARACTERIZE THE SEISMIC COMPRESSION OF UNSATURATED SANDS UNDER DIFFERENT DRAINAGE CONDITIONS

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**ABSTRACT:** This study focuses on a new experimental setup and methodology to characterize the volumetric contraction of unsaturated sands during cyclic shearing under different drainage conditions. A new cyclic simple shear device was developed with suction-saturation control using a hanging column suitable for testing unsaturated granular soils with a maximum suction of 11 kPa. The pore water and pore air pressures are monitored during cyclic shearing using an embedded tensiometer and a gauge pressure transducer protected by a hydrophobic filter, respectively. In addition to describing the specimen preparation techniques and testing methodology, typical results for the seismic compression of nearly-saturated, dry, and unsaturated sand specimens during cyclic shearing under different drainage conditions are compared. The differences in the response of these sand specimens were interpreted using the changes in mean effective stress and secant shear modulus during cyclic shearing. The unsaturated sand specimen showed lower seismic compressions than the dry sand specimen and the nearly-saturated sand specimen in drained conditions. A greater contraction observed for the unsaturated sand specimen in undrained conditions was attributed to decreases in mean effective stress and secant shear modulus associated with a decrease in matric suction due to different rates of pore water and air pressure generations and an increase in degree of saturation due to volumetric contraction.

**KEYWORDS:** Cyclic simple shear; Unsaturated soils; Seismic compression

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## 22 INTRODUCTION

23 Unsaturated soils are often encountered in engineered geostructures like embankments or  
24 retaining walls involving compacted backfills, in near-surface natural soil layers above the water  
25 table, and even in natural soil deposits below the ground water table where occluded air bubbles  
26 are present due to ground water level fluctuations or decomposition of organic materials  
27 (Tsukamoto et al. 2002). Although one of the greatest potential impacts of earthquakes on soil  
28 layers is liquefaction and the associated loss in shear strength, the liquefaction resistance of soils  
29 increases remarkably with even a small reduction in the degree of saturation (Chaney 1978;  
30 Yoshimi et al. 1989; Ishihara 2001; Tsukamoto et al. 2002; Mele et al. 2019). Okamura and Soga  
31 (2006) suggested two possible mechanisms that contribute to the enhancement of the liquefaction  
32 resistance of unsaturated soils. The first mechanism is the existence of pore air in the form of the  
33 occluded air bubbles that could absorb excess pore water pressure during undrained cyclic shearing  
34 by reducing its volume. The second mechanism is associated with the increased interparticle  
35 connections due to the impacts of matric suction and degree of saturation on the stress state. While  
36 several studies found that unsaturated soils can liquefy under some conditions (i.e., certain  
37 combinations of cyclic shear strain magnitude and number of cycles), these conditions are more  
38 severe than those causing liquefaction of saturated soils (Yoshimi et al. 1989; Unno et al. 2008;  
39 Kimoto et al. 2011; Mele et al. 2019). While liquefaction of unsaturated soils having relatively  
40 high initial degrees of saturation (above 70%) may be an important failure mechanism to consider  
41 in seismic analyses, seismic compression may become more relevant for unsaturated soils with  
42 lower degrees of saturation (Whang et al. 2000; Stewart et al. 2001; Stewart et al. 2004; Rong and  
43 McCartney 2019, 2020a, 2020b, 2020c). In engineered soil layers, even small seismically-induced  
44 settlements may have a major effect on overlying structures like bridge decks, roadways, or

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3 45 railways. Although empirical formulations are available for estimating seismic compression of  
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5 46 unsaturated sand layers under different earthquake shaking events (e.g., Yee et al. 2011; Ghayoomi  
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7 47 et al. 2013), some of the relationships in these formulations do not consider the hydro-mechanical  
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9 48 coupling that may occur during cyclic shearing.

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12 49 Seismic compression of unsaturated soils is a complex problem as it may occur in both drained  
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14 50 (slow cyclic shearing) and undrained conditions (faster cyclic shearing). Volume changes may be  
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16 51 resisted by interparticle stresses which could change with shear-induced excess pore water  
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18 52 pressures. Volumetric contraction also leads to increases in the degree of saturation. Coupled  
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20 53 changes in pore air pressure, pore water pressure, and degree of saturation, together with volume  
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22 54 change effects on the soil-water retention curve (SWRC) of soils, will lead to complex changes in  
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24 55 the effective stress (Bishop and Blight 1963; Lu et al. 2010). Further, the effective stress is closely  
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26 56 linked with the shear modulus and damping at both small and large cyclic shear strains (Khosravi  
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28 57 et al. 2010; Hoyos et al. 2015; Le and Ghayoomi 2017; Dong et al. 2016, 2017). To evaluate the  
29  
30 58 seismic compression of unsaturated sands in an experiment, careful monitoring of the volume,  
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32 59 pore water pressure, pore air pressure, and volumetric outflow (for drained conditions) is needed  
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34 60 during cyclic shearing. This information can be used to interpret the state parameters like the  
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36 61 degree of saturation and matric suction as well as the SWRC and effective stress.

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42 62 To address the challenges in measuring the seismic compression of unsaturated sands, a new  
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44 63 cyclic simple shear device was developed that includes a hanging column for suction-saturation  
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46 64 control along with special top and bottom caps that permit independent measurements of pore  
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48 65 water pressure and pore air pressure, respectively, during cyclic shearing under different drainage  
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50 66 conditions. The capabilities of this device were investigated through drained and undrained cyclic  
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52 67 shearing tests on sand specimens with an initial relative density of 0.45 in dry, nearly-saturated  
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3 68 and unsaturated conditions. The unsaturated sand specimens evaluated in this study have relatively  
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5 69 low initial degree of saturation (0.3) that fall in the funicular regime of the SWRC (Lu and Likos  
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7 70 2004). The reasons for focusing on an initial degree of saturation in the funicular regime are that  
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9 71 the chances of liquefaction are relatively low but the coupling between the pore fluid pressures,  
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11 72 degree of saturation, volume change, and effective stress is expected to be high.  
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## 14 73 **BACKGROUND**

### 15 74 **Simple Shear Device**

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19 75 Monotonic simple shear testing was originally developed to measure the stress-strain and in-  
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21 76 situ shear strength of highly sensitive clays encountered in disastrous slope failures in Norway  
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23 77 (Bjerrum and Landva 1966). Monotonic simple shear testing permitted evaluation of soil behavior  
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25 78 under stress paths that were closer to those responsible for triggering slope failures than those  
26  
27 79 achieved in triaxial testing. Since that time cyclic simple shear testing has been used extensively  
28  
29 80 to measure the dynamic properties of soils (i.e., the shear modulus and damping ratio) as a function  
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31 81 of cyclic simple shear strength (Hardin and Drnevich 1972; Doroudian and Vucetic 1995; Vucetic  
32  
33 82 et al. 1998), along with the shear-induced volume change behavior associated with void collapse  
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35 83 in dry soils (Seed and Idriss 1971; Finn et al. 1976; Dobry and Petrakis 1990) and liquefaction in  
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37 84 water-saturated soils (Ishihara et al. 1975; Martin et al. 1975; Ishihara and Yoshimine 1992), as it  
38  
39 85 allows free rotation of principal stresses within the soils in a cyclic manner and it is thus considered  
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41 86 more suitable for the simulation of the stress-strain behavior of soils expected during earthquakes.  
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47 87 Recent experimental advancements have extended the potential of the simple shear apparatus  
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49 88 to unsaturated soils to address the increasing demands in engineering profession for understanding  
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51 89 the unsaturated effect on the dynamic properties of soils and the mechanism governing the volume  
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53 90 change in monotonic and cyclic loading conditions. Most modifications for monotonic loading  
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3 91 conditions were aimed at understanding the triggering mechanisms of rainfall-induced landslides  
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5 92 involving unsaturated soils and special attention has been given to the volume change of  
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7 93 unsaturated soils on wetting (Sorbino et al. 2011; Cuomo et al. 2017). Most previous studies  
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10 94 focused on the cyclic shearing of unsaturated soils used cyclic triaxial devices (Okamura and Soga  
11  
12 95 2006; Unno et al. 2008; Okamura and Noguchi 2009; Craciun and Lo 2009; Oka et al. 2010;  
13  
14 96 Kimoto et al. 2011; Zhou and Ng 2016). An issue with cyclic triaxial testing is that the use of a  
15  
16 97 one-sided loading path involving compression only without a stress-strain reversal (e.g., Zhou and  
17  
18 98 Ng 2016), or a loading path that does provide a symmetric stress-strain reversal, (e.g., Unno et al.  
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21 99 2008 and Mele et al. 2019) may affect the generation of pore air and water pressures.

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23  
24 100 Fewer studies have focused on the cyclic shearing on unsaturated soils using cyclic simple  
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26 101 shear devices despite their advantage in applying full reversals of shear similar to that observed in  
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28 102 earthquakes. Early studies using cyclic simple shear devices investigated unsaturated soils without  
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30 103 control of the suction or measurement of changes in degree of saturation during shearing (Whang  
31  
32 104 et al. 2004, 2005; Duku et al. 2008), so the role of unsaturated conditions was not fully understood.  
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34 105 Rahnenma et al. (2003) implemented the axis translation technique to control and measure matric  
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36 106 suction within a cylindrical simple shear device that can perform both monotonic and cyclic  
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38 107 shearing tests. Milatz and Grabe (2015) used a computer controlled vacuum regulator to apply  
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40 108 negative water pressures to the base of a stacked-ring type simple shear device, and water outflow  
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42 109 was measured using a horizontal pipette. A flexible membrane was incorporated inside the stacked  
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44 110 ring device to prevent leakage of fluids. They also used an embedded tensiometer to measure  
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46 111 changes in pore water pressure during cyclic shearing. Although their suction-saturation control  
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48 112 approach is similar to the hanging column approach used in this study, they did not include an  
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51 113 approach to independently measure changes in pore air pressure. Instead the top cap of the  
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3 114 specimen was vented to atmosphere, and the cyclic shearing tests were partially drained (drained  
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5 115 air but undrained water). Le and Ghayoomi (2017) modified a stacked-ring type cyclic simple  
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8 116 shear apparatus to investigate the strain-dependent dynamic properties of unsaturated sand, which  
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10 117 used the axis translation technique and a tensiometer to control and measure the matric suction,  
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12 118 respectively. However, their study focused on the dynamic properties of unsaturated sands in  
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14 119 drained condition at the first few cycles and no special attention has been given to the hydro-  
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16 120 mechanical coupling during cycles of shearing. Le and Ghayoomi (2017) also did not include an  
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18 121 approach to measure changes in pore air pressure during undrained cyclic shearing, but different  
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20 122 than Milatz and Grabe (2015) they performed fully drained tests (drained air and drained water).  
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24 123 The authors have applied the experimental setup and methodology described in this paper to  
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26 124 investigate the trends in the seismic compression of unsaturated sands having different initial  
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28 125 degrees of saturation in the funicular regime. Rong and McCartney (2020a) interpreted drained  
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30 126 seismic compression results presented by Rong and McCartney (2019) to understand the evolution  
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32 127 in effective stress associated with the increasing degree of saturation during volumetric contraction  
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34 128 and to develop a model for predicting the drained seismic compression after many cycles of  
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36 129 shearing. Rong and McCartney (2020b) interpreted undrained seismic compression data from  
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38 130 Rong and McCartney (2020c) to understand the independent evolution in hydro-mechanical  
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40 131 variables for unsaturated sand specimens in the funicular regime and discovered that all specimens  
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42 132 followed the same trend between volume change and effective stress. This paper describes the  
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44 133 methodology and setup used in these other studies that were focused on understanding specific  
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46 134 issues, and includes more detailed interpretation for dry, nearly-saturated, and unsaturated sand  
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48 135 specimens to demonstrate the approach. It also includes a comparison between the results from  
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50 136 this approach with others described in this literature review.  
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## 137 **Effective Stress in Unsaturated Soils**

138 Many mechanical properties of soils, including the shear strength, shear modulus, and damping  
 139 ratio, are directly related to the effective stress. To extend the mechanistic framework established  
 140 for saturated soils to unsaturated soils, Bishop (1959) proposed the following definition of  
 141 effective normal stress for unsaturated soils:

$$\sigma' = (\sigma - u_a) + \chi(u_a - u_w) \quad (1)$$

142 where  $\sigma$  is the total normal stress,  $u_a$  is the pore air pressure,  $u_w$  is the pore water pressure, and  $\chi$   
 143 is Bishop's effective stress parameter. The difference between total normal stress and air pressure  
 144 is referred to as the net normal stress and the difference between pore air and pore water pressures  
 145 is referred to as the matric suction. Many definitions of the effective stress parameter  $\chi$  have been  
 146 proposed in the literature, some related to the suction and others related to the degree of saturation.  
 147 Lu et al. (2010) replaced the product of  $\chi$  and matric suction in Equation 1 with a single term called  
 148 suction stress  $\sigma_s$  that incorporates all interparticle forces. They calculated suction stress by  
 149 assuming  $\chi$  is equal to the effective saturation  $S_e$ , which can be defined as follows:

$$S_e = \frac{S - S_{res}}{1 - S_{res}} \quad (2)$$

150 where  $S$  is the degree of saturation and  $S_{res}$  is the residual saturation. This assumption for  $\chi$  has the  
 151 advantage that the SWRC can be integrated into the definition of effective stress. The effective  
 152 saturation can be related to suction through the van Genuchten (1980) SWRC model, as follows:

$$S_e = \left\{ \frac{1}{1 + [\alpha_{vG} (u_a - u_w)]^{N_{vG}}} \right\}^{1 - \frac{1}{N_{vG}}} \quad (3)$$

153 where  $\alpha_{vG}$  and  $N_{vG}$  are the van Genuchten (1980) SWRC fitting parameters. The effective stress  
 154 definition of Lu et al. (2010) obtained by combining Equations (1) and (3) is given as follows:



$$\sigma' = (\sigma - u_a) + \left[ \frac{u_a - u_w}{(1 + [\alpha_{vg}(u_a - u_w)]^{N_{vg}})^{1 - \frac{1}{N_{vg}}}} \right] \quad (4)$$

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9 155 In this equation, the term in brackets can be referred to as the suction stress  $\sigma_s$ , and the relationship  
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11 156 between suction stress and matric suction (or degree of saturation) is referred to as the suction  
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13 157 stress characteristic curve (SSCC). In this study, Equation (4) will be used to quantify the stress  
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15 158 state of unsaturated soils. Khosravi and McCartney (2009) synthesized test results from several  
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17 159 studies on unsaturated soils and found that the relationship between small-strain shear modulus  
18  
19 160 and effective stress follows a similar power law relationship to that commonly used for saturated  
20  
21 161 and dry soils. However, Khosravi et al. (2010) found that using a suction stress equal to the matric  
22  
23 162 suction (i.e.,  $\chi=1$ ) led to a good fit in matching the trend in measured small-strain shear modulus  
24  
25 163 of clean sand with effective stress. Dong et al. (2016) found that a relationship between effective  
26  
27 164 stress and small strain shear modulus that incorporates the degree of saturation provides a good fit  
28  
29 165 for many types of soils including sands.  
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## 34 166 **CYCLIC SIMPLE SHEAR APPARATUS WITH SUCTION-SATURATION CONTROL**

### 35 167 **Cyclic Shearing Mechanism**

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39 168 Characterization of the seismic compression of unsaturated sands requires special  
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41 169 considerations to monitor the pore water and the pore air, as well as the capability to control the  
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43 170 unsaturated states of soils. In this study, a monotonic simple shear apparatus manufactured by the  
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45 171 Norwegian Geotechnical Institute (NGI) was modified to perform cyclic tests on unsaturated sands  
46  
47 172 incorporating a hanging column setup to control the matric suction and monitor outflow needed to  
48  
49 173 evaluate changes in degrees of saturation. A picture of the new simple shear apparatus is shown in  
50  
51 174 Figure 1. The horizontal forces are applied using a linear actuator (ETH series manufactured by  
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53 175 Parker) driven by a brushless rotary motor with low backlash (BE series manufactured by Parker).  
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3 176 The system was configured to apply displacement-controlled cyclic motions with smooth  
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5 177 transitions during reversals in movement. The stroke range of the linear actuator is 50 mm and the  
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7 178 motor can apply a maximum continuous torque of 4.8 N-m at a maximum speed of 0.33 m/s. The  
8  
9 179 motor system is controlled using a drive module (SPiiPlus CMnt module by ACS Motion Control)  
10  
11 180 connected to a rotary encoder on the motor. A rigid transmission frame was designed to transmit  
12  
13 181 horizontal forces from the motor to the top cap of the specimen to eliminate tilting. Vertically  
14  
15 182 oriented bearings on either side of the transmission frame also permit free vertical displacement of  
16  
17 183 the top cap in response to volume changes of the soil specimen.  
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## 22 184 **Instrumentation**

23  
24 185 A high-accuracy S-Beam tension and compression load cell with a capacity of 2224 N (model  
25  
26 186 LSB350 manufactured by Futek of Irvine, CA) was installed between the rigid transmission frame  
27  
28 187 and the linear actuator to measure the horizontal force during displacement-controlled cyclic  
29  
30 188 shearing. Two DC voltage output linear displacement transducers (model LD620 manufactured by  
31  
32 189 Omega Engineering of Norwalk, CT) with a stroke range of 5 mm and a resolution of 0.001 mm  
33  
34 190 were used to measure the cyclic shear displacement and the vertical settlement experienced in the  
35  
36 191 soil specimen. A tensiometer (model T5 obtained from UMS GmbH of Munich, Germany) with a  
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38 192 range of -85 kPa to 100 kPa and a resolution of 0.01 kPa was used to monitor pore water pressures  
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40 193 in the soil specimen. The tensiometer was used to both verify the pore water pressure applied to  
41  
42 194 the specimen using the hanging column approach and to measure changes in pore water pressure  
43  
44 195 during undrained shearing. The tensiometer has a small ceramic tip with a surface area of 50 mm<sup>2</sup>  
45  
46 196 and a slender shaft filled with a small amount of de-aired water, which exerts negligible impact on  
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48 197 the soil specimen during test while measuring, but was found to provide a sufficiently fast response  
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50 198 time for the rates of shearing applied in this study, as demonstrated in the results. Additionally, to  
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3 199 measure the pore air pressure separately in fully undrained tests, a gauge pressure transducer  
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5 200 (model PXM409 manufactured by Omega Engineering of Norwalk, CT) with a measurement range  
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7 201 of 0 to 100 kPa and a resolution of 0.01 kPa was utilized. The linear displacement transducers were  
8  
9 202 monitored using a NI 9219 data acquisition module while the load cell, tensiometer, and gauge  
10  
11 203 pressure sensor were monitored using a NI 9237 data acquisition module. Both data acquisition  
12  
13 204 modules are manufactured by National Instruments of Austin, TX.

### 17 205 **Hanging Column Device for Suction-Saturation Control**

18  
19 206 To control the initial conditions of soil specimens and to assess the effect of pore water and  
20  
21 207 pore air during testing in different drainage conditions, a special specimen housing with separate  
22  
23 208 routes for the measurements of pore water and pore air was designed for the cyclic simple shear  
24  
25 209 device. A schematic of the specimen housing and the hanging column is shown in Figure 2. The  
26  
27 210 cylindrical specimen has a height of 20 mm and a diameter of 66.7 mm, resulting in a height to  
28  
29 211 diameter ratio of  $H/D = 0.3$ , which is less than the maximum value of 0.4 set by ASTM D6528-17,  
30  
31 212 *Standard Test Method for Consolidated Undrained Direct Simple Shear Testing of Fine Grain*  
32  
33 213 *Soils*. The hanging column shown in this schematic was developed based on the approach used by  
34  
35 214 Khosravi et al. (2010) that uses a graduated Mariotte burette to monitor inflow and outflow of  
36  
37 215 water while maintaining a constant head.

38  
39 216 Lateral confinement of the specimen was maintained using a wire-reinforced rubber membrane  
40  
41 217 (diameter 66.8 mm, manufactured by Geonor), shown in Figure 3(a). This membrane provides  
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43 218 lateral constraint and minimizes radial deformation of the specimen during preparation, application  
44  
45 219 of vertical stresses, and cyclic shearing but allows vertical and shear deformation with negligible  
46  
47 220 stiffness from the boundaries. Therefore,  $K_0$  conditions can be assumed when quantifying the mean  
48  
49 221 effective stress of the unsaturated specimens during cyclic simple shear testing.

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3 222 The top platen incorporates a coarse porous stone and recessed grooves for air drainage or pore  
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5 223 air pressure measurements in undrained condition while providing a rough surface to transmit  
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7 224 shear stresses to the top boundary of the specimen. To increase friction between the specimen and  
8  
9 225 the top cap and to ensure horizontal displacement fully applied to the top of the specimen during  
10  
11 226 cyclic shearing, the top cap of the specimen housing, shown in Figure 3(b), is specially designed  
12  
13 227 with several embedded vertical pins that intrude approximately 2 mm into the top of the specimen.  
14  
15 228 Prior to pushing the pins into the top of the soil specimen, the pins are pushed through a  
16  
17 229 hydrophobic filter which helps minimize the movement of pore water into the top cap while  
18  
19 230 allowing free passage of pore air. This hydrophobic membrane was found to improve the  
20  
21 231 measurement of the pore air pressure during undrained shearing. It is also assumed that during  
22  
23 232 cyclic shearing, where the top platen is moved horizontally with respect to the bottom platen, the  
24  
25 233 shear stress is equally distributed on the horizontal cross section of the specimen. The bottom  
26  
27 234 platen incorporates a circular fritted glass disk with an air-entry suction of 50 kPa that transmits  
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29 235 water from a hanging column consistent with ASTM D6836 but cut off the flow of air so that pore  
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31 236 water pressure can be measured. The edge of the fritted glass disk would be sealed with epoxy to  
32  
33 237 prevent leakage so that pore air and pore water can be accurately controlled. The fritted glass disk  
34  
35 238 has a drilled channel in the center to permit insertion of the tensiometer through the base platen  
36  
37 239 into the lower portion of the soil specimen to monitor changes in pore water pressure during cyclic  
38  
39 240 shearing, shown in Figure 3(c). The tensiometer can be used to monitor the pore water pressure  
40  
41 241 during initial suction application as well as during either drained or undrained shearing. An  
42  
43 242 insertion distance of 3 mm from the base (15% of the specimen thickness) is expected to be  
44  
45 243 sufficient to measure shear-induced pore water pressures without having major effect on the  
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47 244 formation of shearing planes in the specimen. An “O”-ring, as well as silicon sealant, was used  
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3 245 before the preparation of specimens to seal the small gap between the fritted glass disk and the  
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5 246 tensiometer tip to prevent leakage of pore air and pore air during testing. The hydraulic seal  
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8 247 provided by this approach prevented leakage of fluids around the fritted glass disk but could be  
9  
10 248 readily removed and replaced.

11  
12 249 Before the application of negative water pressures to the specimen to reach the target degree  
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14 250 of saturation or matric suction, the flushing port at the bottom was kept open so that any trapped  
15  
16 251 air bubbles below the fritted glass disk can be flushed out prior to the application of negative water  
17  
18 252 pressures, shown in Figure 3(d). The flushing port was then closed if no air bubbles were observed  
19  
20 253 to flush out, and negative water pressure is applied to the bottom of the saturated fritted glass plate  
21  
22 254 by changing the elevation of the hanging column with respect to the base of the specimen while  
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24 255 the air path in the top platen is kept open ( $u_a = 0$  in the specimen). The matric suction, which is the  
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26 256 absolute value of the applied negative water pressure when  $u_a = 0$ , will vary with height in the  
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28 257 specimen due to the elevation head, but for 20 mm-thick specimens, the suction difference between  
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30 258 the top and bottom of the specimen will be 0.2 kPa and the suction can be assumed to be uniform.  
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32 259 Based on the height of the benchtop used to support the simple shear device, the hanging column  
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34 260 used in this study can apply negative water pressures up to 11 kPa, which is sufficient to reach the  
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36 261 funicular region of the SWRC of most sands (McCartney and Parks 2009). As mentioned, the  
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38 262 hanging column system can track outflow from the specimen during drained cyclic shearing tests  
39  
40 263 while maintaining a constant head using a specialized Mariotte tube built from a graduated burette,  
41  
42 264 similar to that used by Khosravi et al. (2010). If water flows out of the Mariotte tube (i.e., during  
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44 265 imbibition of the specimen), a vacuum will naturally occur within the burette which will cause  
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46 266 bubbling to occur, making the pressure head at the tip of the bubbling tube equal to zero. However,  
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48 267 if water flows into the Mariotte tube (i.e., during specimen drainage), then an external vacuum  
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3 268 must be applied to the top of the burette with a magnitude equal to the pressure exerted by the  
4  
5 269 height of water  $H$ . This external vacuum is controlled using a regulator, with a magnitude selected  
6  
7  
8 270 manually to maintain steady bubbling in the burette.  
9

## 10 271 **MATERIAL PROPERTIES**

11  
12 272 The sand used in this study is classified as a well-graded sand (SW) according to the Unified  
13  
14 273 Soil Classification System (USCS) and was previously used in the shaking table experiments on  
15  
16 274 mechanically-stability earth bridge abutments performed by Zheng et al. (2018). The particle size  
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18 275 distribution curve of the sand is shown in Figure 4, and the mean grain size  $D_{50}$  and the effective  
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20 276 grain size  $D_{10}$  are 0.8 mm and 0.2 mm, respectively. The sand has a coefficient of uniformity of  
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22 277  $C_u = 6.1$  and a coefficient of curvature of  $C_c = 1.0$ . The specific gravity is 2.61, and the maximum  
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24 278 and minimum void ratios are 0.853 and 0.371, respectively. The SWRC of the sand at a relative  
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26 279 density of 0.45 was measured using a different hanging column setup that can apply higher suction  
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28 280 magnitudes than the cyclic simple shear device.  
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33 281 To measure the SWRC, a pre-determined mass of dry sand was poured at a constant rate from  
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35 282 a funnel into a Büchner funnel having a fritted glass disk with an air-entry suction of 50 kPa at the  
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37 283 bottom that was filled with de-aired water. It was found that a target density of 0.45 could be  
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39 284 reached reliably without tamping. This specimen preparation approach is similar in principle to  
40  
41 285 that adopted by Tatsuoka et al. (1979). This initially saturated specimen was incrementally  
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43 286 desaturated by applying negative water pressures ( $u_w$ ) to the hanging column while leaving the  
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45 287 surface of the specimen open to the atmosphere (air pressure  $u_a = 0$ ). Once the outflow of water  
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47 288 from the bottom boundary remained constant over a time between readings of 30 minutes, the sand  
48  
49 289 specimen was assumed to be at hydraulic equilibrium. Different regimes of the SWRC defined by  
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51 290 Lu and Likos (2004) are shown in Figure 5(a), along with the test results including the primary  
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3 291 drying path and the primary wetting path: the capillary regime where soils remain saturated under  
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5 292 negative pore water pressure, the funicular regime where the water phase is continuous, and the  
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7  
8 293 residual regime where the water phase is discontinuous. The best-fit SWRC model parameters are  
9  
10 294 summarized in Table 1. The air-entry suction  $\psi_{aes}$  of the sand at the relative density of 0.45 was  
11  
12 295 found to be 1.43 kPa using the graphical approach proposed by Pasha et al. (2015), shown in Figure  
13  
14 296 5(b), which considers volume change of the specimen during desaturation. The best-fit values of  
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16  
17 297 the parameters  $a_{vG}$  and  $N_{vG}$  for the drying path were used to define the SSCC, which is plotted in  
18  
19 298 terms of both degree of saturation and matric suction in Figure 6. Lu et al. (2010) found that if the  
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21 299 value of  $N_{vG}$  is greater than 2.0, as is the case for the sand tested in this study, the SSCC does not  
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23  
24 300 increase monotonically with suction but instead increases with suction (or decreasing degree of  
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26 301 saturation) up to a certain value (1.15 kPa for this sand) then decreases to zero at high suctions.  
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## 302 SPECIMEN PREPARATION

303 Unlike the wet tamping method used in previous studies on seismic compression involving  
304 unsaturated soils (e.g., Whang et al. 2004, 2005; Duku et al. 2008), which may lead to different  
305 soil structures, the initial unsaturated conditions of sand specimens were achieved by desaturation  
306 on the saturated specimens in this study. The bottom platen of the specimen housing was first  
307 fastened on the simple shear device using the T-clamps, and the tensiometer was inserted through  
308 the porous glass disk and sealed with an “O”-ring into place to prevent leakage. To avoid  
309 preferential flow of air around the edges of the fritted glass disk, epoxy was used to seal to the  
310 base platen around the outer edges and the space around the tensiometer was sealed using silicone  
311 prior to the preparation of sand specimens, as shown in Figure 3(c). Several pore volumes of de-  
312 aired pore water were passed upward through the fritted glass disk to ensure saturation of the disk.  
313 A wire-reinforced rubber membrane was installed and fastened to the bottom platen using a pair

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3 314 of “O”-rings. Dry pluviation was used to place pre-weighed sand into the space within the  
4  
5 315 membrane through a funnel with a low drop height to reach a target relative density of 0.45. The  
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7 316 water level in the initially dry sand specimen was then slowly raised by maintaining the water level  
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9 317 in the graduated burette higher than the top of the sand specimen. The sand specimen was assumed  
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11 318 nearly-saturated if de-aired water was observed to leave the top of the specimen.  $S$  was found to  
12  
13 319 reach as high as 0.94 for the initially dry sand used in this study without the application of  
14  
15 320 backpressure when following this approach. After leveling the top of the sand specimen, the top  
16  
17 321 cap with the hydrophobic filter paper was placed on the top of the specimen and the wire-reinforced  
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19 322 rubber membrane was fastened to the top cap with a pair of “O”-rings. Finally, a vertical stress  
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21 323 was applied to the top of the sand specimen using dead weights and the top cap was fastened to  
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23 324 the shearing plate of the cyclic simple shear device.

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28 325 To prepare the unsaturated specimens, saturated specimens were desaturated using the hanging  
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30 326 column to reach the target matric suction. Water outflow was monitored during the process, and  
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32 327 the tensiometer reading was used to confirm that the target matric suction was reached. Once the  
33  
34 328 reading of the tensiometer was constant and the water outflow did not change over 30 minutes, the  
35  
36 329 unsaturated specimen is assumed to be at hydraulic equilibrium and ready for shearing.

## 37 38 39 40 330 **TESTING PROCEDURES**

41  
42 331 Prior to cyclic shearing, the top cap was fastened to the rigid shearing plate on the simple shear  
43  
44 332 device and the actual initial height of the unsaturated specimen under the applied vertical stress  
45  
46 333 was measured so that volumetric strains during cyclic shearing can be calculated from the change  
47  
48 334 in height. In the drained constant suction test, the gauge air pressure transducer was not connected  
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50 335 and the grooved air path in the top platen was left open. Thus, the pore air pressure within the  
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52 336 specimen was atmospheric during the drained experiments, and the matric suction was equal to  
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3 337 the negative of the applied negative water pressure (i.e., a positive value) at the bottom of the  
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5 338 specimen housing. Water outflow from the sand specimen, due to the volumetric contraction  
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7 339 during cyclic shearing, was collected and measured using the graduated burette while the vacuum  
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9 340 regulator was operated carefully to ensure a steady flow of air bubbles in the graduated burette so  
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11 341 that constant suction can be maintained in the drained test. In the fully undrained constant water  
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13 342 content test, the gauge air pressure transducer was firmly connected to the sealed fitting on the top  
14  
15 343 platen so that excess pore air pressure can be measured separately. The amount of the space  
16  
17 344 between the air pressure transducer and the top boundary of the specimen is small enough to ensure  
18  
19 345 the accurate measurement of the pore air pressure in the unsaturated sand specimen. And the  
20  
21 346 drainage valve for the water at the bottom was closed so that pore water pressure can be measured  
22  
23 347 through the inserted tensiometer. Pore water and pore air are expected to be pressurized due to the  
24  
25 348 volume contraction during undrained cyclic shearing. Further, the volume of the unsaturated sand  
26  
27 349 specimen is expected to change during both drained and undrained cyclic shearing due to the  
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29 350 compression of the pore air.  
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## 35 351 **EXPERIMENTAL RESULTS AND DISCUSSION**

### 36 352 **Testing Program Overview**

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40 353 In this study, strain-controlled cyclic shearing tests on dry, nearly-saturated, and unsaturated  
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42 354 specimens in both drained and undrained conditions were performed to validate the capability of  
43  
44 355 the cyclic simple shear apparatus with suction control system to characterize seismic compression  
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46 356 of unsaturated sands. The selected three initial conditions are shown on the SWRCs in Figure 5(a)  
47  
48 357 as well. Nearly-saturated and dry conditions cannot be plotted on a logarithmic scale for matric  
49  
50 358 suction but are still shown on the plot as points A and C, respectively. Based on the SWRC fit in  
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52 359 Figure 5(a), the dry specimen ( $\theta_w = 0$ ) is assumed to have a matric suction of 100 kPa. Although  
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3 360 the sand specimen cannot be fully saturated without the application of cell pressures in the current  
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5 361 setup, the nearly-saturated sand specimen having a zero matric suction is assumed equivalently as  
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7 362 saturated for the purpose of characterizing seismic compressions in this study, as the volume of  
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10 363 pore air in the nearly-saturated state is small and its effect on the volume change of the sand  
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12 364 specimen during cyclic shearing under the stress condition evaluated in this study is negligible.

14 365 Although the test device is capable of applying cyclic shear strains with different amplitudes,  
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17 366 along with sufficient accuracy, a representative cyclic strain  $\gamma_c$  of 1% was applied with the same  
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19 367 number of cycles  $N = 200$  for all the specimens in this study, as shown in Figure 7. The goal of  
20  
21 368 choosing this number of cycles was to allow the hydro-mechanical processes to stabilize to  
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23 369 demonstrate the capabilities of the cyclic simple shear under different drainage conditions. A strain  
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25  
26 370 rate of 0.833 %/min was chosen for all tests based on preliminary testing to ensure drainage based  
27  
28 371 on the matric suction measurements in drained conditions, as well as to ensure hydraulic  
29  
30 372 equilibrium when recording pore pressures in fully undrained conditions. As the cyclic shearing  
31  
32 373 was performed in drained conditions, the valve on the hanging column burette was kept open and  
33  
34 374 matric suction was maintained constant while monitoring any outflow of water from the specimen.  
35  
36 375 Some amount of excess pore water pressures will be generated in any cyclic shearing test  
37  
38 376 regardless of the drainage conditions, but to be considered drained the rate of dissipation should  
39  
40 377 be similar to the rate of generation. In undrained conditions, the valves in the top and bottom caps  
41  
42 378 were closed and the pore water and air pressures are expected to change during cyclic straining.  
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44 379 Since radial expansion of the specimen is minimized by the wire-reinforced rubber membrane, the  
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46 380 volumetric strain  $\varepsilon_v$  during cyclic shearing is assumed to be due to changes in height. Shear stress  
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48 381 required to apply the cyclic strain with constant amplitude was directly measured using the load  
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50 382 cell. The applied vertical total stress for all the specimens was 50 kPa, which represents the stress  
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3 383 state of a near-surface backfill soil layer. As each initial condition was assessed in both drained  
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5 384 and undrained conditions, a total of 6 tests were performed. The initial specimen height  $h_0$ , matric  
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8 385 suction  $\psi_0$ , degree of saturation  $S_0$ , gravimetric water content  $w_0$ , volumetric water content  $\theta_{v0}$ ,  
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10 386 applied cyclic shear strain  $\gamma_c$  and the gravimetric water content  $w_f$  for each specimen after shearing  
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12  
13 387 are summarized in Table 2.

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15 388 Typical test results for sand specimens in dry conditions, nearly-saturated conditions, and  
16  
17 389 unsaturated conditions in the funicular regime (an initial matric suction of 6 kPa) in both drained  
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19 390 and undrained conditions are presented and discussed to demonstrate the capabilities of the testing  
20  
21 391 setup in characterizing the hydro-mechanical couplings during seismic compression. The initial  
22  
23 392 states for the different specimens are shown in Figure 5(a). The time series of relevant variables  
24  
25 393 during cyclic shearing are presented to demonstrate capabilities of the test apparatus and to better  
26  
27 394 understand the hydro-mechanical coupling during cyclic shearing. Further, the evolution in the  
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29 395 secant shear modulus during cyclic shearing was evaluated by using the measured maximum and  
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31 396 minimum shear stresses corresponding to the applied maximum and minimum cyclic shear strains,  
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33 397 which provides additional insight into the mechanisms of seismic compression for different  
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35 398 drainage conditions.

### 399 **Results for Dry Sand Specimens**

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41  
42 400 Time histories of the monitored variables during cyclic shearing of dry sand in drained and  
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44 401 undrained drainage conditions when subjected to a cyclic strain of 1% under an applied vertical  
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46 402 stress of 50 kPa are shown in Figure 8. Since specimens were tested in dry condition, there were  
47  
48 403 no pore water pressure measurements in both drainage conditions. In Figure 8(a), the cyclic shear  
49  
50 404 stress required to maintain the constant shear strain amplitude of 1% increased gradually with  
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52 405 number of cycles at a moderate rate in both drainage conditions, as the volume of sand specimens  
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3 406 contracted during cyclic shearing which led to a denser state. Dry specimen in undrained condition  
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5 407 experienced more seismic compression than that in drained condition, shown in Figure 8(b), which  
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7 408 was mainly due to the increased pore air pressure of the dry specimen in undrained condition, as  
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9  
10 409 shown in Figure 8(c). The increase in pore air pressure for the dry specimen sheared in undrained  
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12 410 conditions led to a decrease in net stress, which caused a softening effect when compared with  
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14 411 results for the dry specimen tested in drained conditions. This led to greater seismic compression  
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16 412 for the specimen sheared in undrained conditions. Despite this softening effect for the specimen  
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18 413 sheared in undrained conditions which led to a lower shear modulus overall, an increase in secant  
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20 414 shear modulus with cycles of shearing was observed for the dry soils tested in both drainage  
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22 415 conditions, as shown in Figure 8(d). This can be attributed to the densification during cyclic  
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24 416 shearing for both soils.  
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### 28 417 **Results for Nearly-Saturated Sand Specimens**

29  
30 418 Although the sand could not be fully saturated in the current setup due to the lack of  
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32 419 backpressure, the degree of saturation of the nearly-saturated specimen was found to reach a value  
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34 420 as high as 0.94 using the procedures described above. In this condition, some air bubbles were  
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36 421 occluded in the sand specimen and the air phase was disconnected. Accordingly, the pore air  
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38 422 pressure was not measured for the nearly-saturated specimens in both drainage conditions. The  
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40 423 cyclic shear stress measured during application of cyclic shear strains was observed to increase  
41  
42 424 gradually with number of cycles for the tests performed in drained conditions due to volume  
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44 425 contraction, while the measured cyclic shear stress decreased rapidly in the first 30 cycles and then  
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46 426 stabilized for the subsequent shearing cycles for the tests performed in undrained conditions, as  
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48 427 shown in Figure 9(a). The nearly-saturated specimen still experienced a small amount of volume  
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50 428 contraction in undrained condition due to the compressibility of the occluded air bubbles, as shown  
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3 429 in Figure 9(b). The decrease in cyclic shear stress in the first 30 cycles of undrained cyclic shearing  
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5 430 was primarily due to the increase in pore water pressure and a consequent remarkably decreased  
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7 431 effective stress in the first 30 cycles observed in Figure 9(c). The pore water pressure increased at  
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9 432 a much slower rate after the first 30 cycles, and the densification of the specimen due to cycles of  
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11 433 shearing balanced the softening caused by the increase in excess pore water pressure, which led to  
12  
13 434 the stabilized monitored shear stress observed in Figure 9(a). The stabilization after  $N = 30$  at a  
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15 435 cyclic shearing amplitude of 1% is likely specific to the sand tested in this study. The changes in  
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17 436 secant shear modulus during shearing under both drainage conditions are shown in Figure 9(d).  
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19 437 During drained cyclic shearing, the secant shear modulus increased steadily with number of cycles.  
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21 438 However, during undrained cyclic shearing the secant shear modulus was observed to drop  
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23 439 significantly in the first 30 cycles, corresponding to the decrease in effective stress associated with  
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25 440 the increase in pore water pressure in Figure 9(c), after which it stabilized. Despite this large drop  
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27 441 in secant shear modulus, the volumetric contraction was relatively small for the nearly-saturated  
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29 442 specimen during undrained shearing due to the relatively small air content.

### 443 **Results for Unsaturated Sand Specimens**

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35 444 The cyclic shearing test results for an unsaturated specimen with an initial matric suction of  
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37 445 6 kPa are shown in Figure 10. A suction of 6 kPa corresponds to the initial degree of saturation of  
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39 446 0.30 based on the drying path SWRC at the relative density of 0.45. The results in Figure 10(a)  
40  
41 447 indicate that the measured cyclic shear stresses during cyclic shearing at a constant strain amplitude  
42  
43 448 were similar for both drainage conditions, although the values for the specimen sheared in drained  
44  
45 449 condition were slightly higher. It is interesting to observe that undrained cyclic shearing led to  
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47 450 more seismic compression than drained cyclic shearing for the specific case in this study shown in  
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49 451 Figure 10(b). The reasons for this difference in behavior with drainage conditions could be  
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3 452 attributed to the changes in pore water and air pressure as well as the secant shear modulus. For  
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5 453 the specimen sheared in drained conditions, air and water in the pores could escape freely from  
6  
7 454 the specimen to maintain the constant suction within the specimen during cyclic shearing, so the  
8  
9 455 effect of matric suction could be isolated. The pore water and pore air pressures were observed to  
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11 456 be almost constant throughout the test performed in drained condition as shown in Figures 10(c)  
12  
13 457 and 10(d). The pore water pressure increased slightly by approximately 0.5 kPa in the first few  
14  
15 458 cycles which was due to the temporarily different rate in the generation and dissipation of excess  
16  
17 459 pore water pressure in the unsaturated specimen when cyclic shearing started. However, during  
18  
19 460 undrained cyclic shearing the pore water and air pressures increased at different rates from -6.0 to  
20  
21 461 0.8 kPa and 0.0 to 4.0 kPa, respectively. These changes in pore air and water pressure are similar  
22  
23 462 to those observed in the undrained cyclic triaxial shearing tests performed by Unno et al. (2008)  
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25 463 and Oka et al. (2010). It is also interesting to note that the volumetric strains in Figure 10(b) were  
26  
27 464 still observed to be increasing after  $N = 200$ , while the pore water and pore air pressures in Figures  
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29 465 10(c) and 10(d) stabilized after a fewer number of cycles at approximately  $N = 110$ . For  
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31 466 unsaturated soils, volumetric contraction accumulates during cyclic shearing due to rearrangement  
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33 467 of particles into the relatively compressible air-filled voids. During drained shearing, water  
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35 468 outflow from the specimen was monitored using the Mariotte tube. The water outflow shown in  
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37 469 Figure 10(e) can be used along with the volumetric strain in Figure 10(b) to calculate the degree  
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39 470 of saturation for the specimen sheared in drained conditions. As there is no water outflow during  
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41 471 undrained shearing, the degree of saturation can be calculated directly from the volumetric strain  
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43 472 for the specimen sheared in undrained conditions. Similar to the tests on dry specimens, gradual  
44  
45 473 increases in secant shear modulus were observed for the unsaturated specimens sheared in both  
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47 474 drainage conditions, as shown in Figure 10(f). The increases in secant shear modulus can be

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3 475 attributed to the observed densification during drained and undrained cyclic shearing shown in  
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5 476 Figure 10(b). Although a decrease in secant shear modulus was not observed for the unsaturated  
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8 477 specimen sheared in undrained conditions like that observed for the nearly-saturated specimen  
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10 478 sheared in undrained conditions, an interesting observation is that the magnitudes of secant shear  
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12 479 modulus were lower for the specimen sheared in undrained conditions. The larger seismic  
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14 480 compressions for the unsaturated specimens sheared in undrained conditions could be directly  
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17 481 attributed to the smaller secant shear moduli values observed in this figure.  
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19 482 Understanding the difference in the secant shear moduli for the unsaturated specimens sheared  
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21 483 in drained and undrained conditions shown in Figure 10(f) requires an interpretation of the  
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23 484 evolution in mean effective stress during drained and undrained cyclic shearing. The evolution of  
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25 485 relevant variables that affect the mean effective stress during drained and undrained cyclic shearing  
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28 486 of the unsaturated sand specimens are shown in Figure 11. Although the results in Figures 10(c)  
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30 487 and 10(d) indicate that the pore water and pore air pressures both increased during undrained cyclic  
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33 488 shearing, the pore water pressure increased at a greater rate than the pore air pressure.  
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35 489 Accordingly, the matric suction was observed to decrease from 6.0 kPa to 3.2 kPa during undrained  
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37  
38 490 cyclic shearing, as shown in Figure 11(a). Unno et al. (2008) and Okamura and Noguchi (2009)  
39  
40 491 also observed a decrease in matric suction during undrained cyclic shearing of unsaturated soils.  
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42 492 The matric suction was relatively constant during drained cyclic shearing. Because the specimen  
43  
44 493 sheared in undrained conditions experienced volumetric contraction without a change in the  
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47 494 volume of water, the degree of saturation was found to increase from 0.207 to 0.218 during  
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49 495 undrained cyclic shearing, as shown in Figure 11(b). However, only a slight increase in the degree  
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51 496 of saturation from 0.207 to 0.208 was observed during drained cyclic shearing. The effective stress  
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54 497 calculated from the matric suction and degree of saturation using Equation (1) with  $\chi = S_e$  is shown  
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3 498 in Figure 11(c). The results in this figure are interesting as the effective stress for the unsaturated  
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5 499 specimen sheared in undrained conditions decreases by nearly 2.5 kPa while the effective stress  
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7 500 for the unsaturated specimen sheared in drained conditions remained relatively constant. The  
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9 501 decrease in mean effective stress during undrained cyclic shearing helps explain the greater  
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11 502 decrease in secant modulus during undrained cyclic shearing. This in turn helps explain the greater  
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13 503 amount of volumetric contraction observed during undrained cyclic shearing compared to drained  
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15 504 cyclic shearing. Overall, the comparison of the results in Figure 11 confirms that drainage  
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17 505 conditions can play a key role in the amount of seismic compression observed in unsaturated soils.  
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### 21 506 **Validation of the Test Results**

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24 507 To validate the results from the cyclic shearing tests on unsaturated sands using the developed  
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26 508 apparatus and the proposed methodology, the drained and undrained cyclic shearing test results  
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28 509 from this study along with those from other studies that investigated seismic compression of sands  
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30 510 under various degrees of saturation are plotted together in Figure 12. This figure includes  
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32 511 volumetric strains normalized by the volumetric strains corresponding to the dry conditions in each  
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34 512 of these studies due to apparent difference, i.e. testing methodology, soil properties, cyclic loading,  
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36 513 drainage conditions, etc. in these studies, which include partially-drained centrifuge shaking table  
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38 514 tests by Ghayoomi et al. (2011) where the magnitude of cyclic shear strains are unknown, along  
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40 515 with drained and partially-drained cyclic simple shearing tests by Le and Ghayoomi (2017) and  
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42 516 Whang et al. (2004, 2005) where the magnitude of cyclic shear strain is smaller than that  
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44 517 investigated in this study. Detailed information of the aforementioned experiments as well as the  
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46 518 soil tested in these studies are summarized in Table 3. Since there was no reported minimum void  
47  
48 519 ratio of the soil tested in Whang et al. (2004, 2005), the initial density was expressed in terms of  
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50 520 relative compaction. The data from Le and Ghayoomi (2017) were reported in terms of the initial  
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3 521 suction, so the SWRC was used to estimate the corresponding degree of saturation. Although the  
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5 522 soil characteristics, initial densities, magnitude of applied or induced cyclic shear strains, number  
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8 523 of cycles applied, drainage conditions and testing methodology are different or unknown for each  
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10 524 of these studies which introduced deviations of the test results in Figure 12, similar trends are  
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12 525 observed in the results from the drained tests. Specifically, the greatest amounts of seismic  
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14 526 compression are observed for dry and saturated specimens, and lower amounts are observed for  
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17 527 unsaturated conditions in the funicular regime. The trend from the partially drained centrifuge tests  
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19 528 on unsaturated sands also follows a similar trend to the results from the drained tests. While the  
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21 529 trends from the undrained tests from this study follow similar trends to the drained tests for low  
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23 530 degrees of saturation, a difference in behavior is noted for the nearly-saturated specimen. Since  
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25 531 back-pressure saturation could not be used to ensure full saturation of the sand specimens, very  
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27 532 small volumetric strains were observed for the nearly-saturated specimen due to the small air  
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29 533 content in the initial saturation process in the proposed methodology focusing on characterizing  
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31 534 unsaturated sands. If the specimen had been fully saturated, no volumetric strain would have been  
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33 535 observed during undrained cyclic shearing. Despite the difference in testing conditions, the results  
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35 536 shown in Figure 12 indicate that the apparatus and testing methodology show similar trends to  
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37 537 other studies in the literature and thus confirm their validity. Needless to say, the strength of the  
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39 538 test device and the proposed testing methodology can be verified by separately controlling the  
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41 539 drainage conditions for pore water and pore air in unsaturated sand specimens during testing and  
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43 540 thus the effective stress in different drainage conditions, which provides an experimental approach  
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45 541 to evaluate the effects of effective stress on the seismic compression of unsaturated sands as well  
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47 542 as to calibrate the constitutive models in the literature for unsaturated soils. A limitation of the test  
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49 543 apparatus in this study is that it can only be used to understand the seismic compression  
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3 544 mechanisms in unsaturated sands up to initial suctions of 11 kPa. To characterize the seismic  
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5 545 compression of fine soils with this apparatus, additional advancements including the axis  
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7 546 translation technique or vapor flow technique to apply higher suction values would be needed.  
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10 547 Further, the suction distribution within the specimen is not uniform but will vary with the elevation  
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12 548 head above the fritted glass disk, so the results presented in this study are representative of the  
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14 549 location of the tensiometer. Other limitations include issues encountered in the wire-reinforced  
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16 550 membranes when applying cyclic shear strains greater than 10%, and possible radial deformations  
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18 551 of the wire-reinforced membrane when applying higher axial stresses. Nonetheless, large cyclic  
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20 552 shear strains and high vertical stresses are not always encountered in the seismic response of near-  
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22 553 surface unsaturated soil layers.  
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## 25 26 554 **CONCLUSION**

27  
28 555 A new cyclic simple shear device with a suction-saturation control system was developed to  
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30 556 characterize the seismic compression of unsaturated sands when subjected to intermediate to large  
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32 557 cyclic shear strains. A special specimen housing was developed for the test apparatus to permit  
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34 558 independent measurement of pore water and pore air pressure in unsaturated sands. Sand  
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36 559 specimens under a nearly-saturated condition, dry condition, and an unsaturated condition in the  
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38 560 funicular regime of the SWRC were assessed using the device. The results obtained during tests  
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40 561 under a cyclic strain amplitude of 1% confirm the capability of the test apparatus to consistently  
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42 562 capture changes in hydro-mechanical state parameters governing the seismic compression of  
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44 563 unsaturated sands. The results from dry and nearly-saturated sand specimens during drained and  
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46 564 undrained cyclic shearing highlight the roles of net stress, effective stress and compressibility of  
47  
48 565 the pore air on the seismic compression. Liquefaction was found to not be a concern during  
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50 566 undrained cyclic shearing of unsaturated sand specimens with an initial degree of saturation in the  
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3 567 funicular regime. The unsaturated sand specimen during undrained cyclic shearing were found to  
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5 568 show greater seismic compression than the unsaturated sand specimen during drained cyclic  
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8 569 shearing. This was attributed to a lower secant shear modulus for the unsaturated specimen sheared  
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10 570 in undrained conditions. This lower secant shear modulus occurred due to complex hydro-  
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12 571 mechanical coupling during undrained cyclic shearing. Specifically, a decrease in effective stress  
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15 572 occurred during undrained cyclic shearing because the pore water and pore air pressures increased  
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17 573 differentially during undrained cyclic shearing, leading to a decrease in matric suction, and the  
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19 574 volumetric contraction caused an increase in degree of saturation during undrained cyclic shearing.  
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21  
22 575 Overall, the new testing apparatus and methodology was demonstrated to have the capabilities to  
23  
24 576 quantify the relevant variables governing seismic compression of unsaturated soils in different  
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26 577 drainage conditions. The insight gained from the analysis of the results emphasizes the importance  
27  
28 578 of considering hydro-mechanical coupling in estimating seismic compression of unsaturated soils.

## 30 579 **ACKNOWLEDGMENTS**

31  
32  
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37 582 San Diego Academic Senate Grant A050757.

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714 **TABLE 1:** Hydraulic properties of the unsaturated well-graded sand at a relative density of 0.45  
 715 (note: same van Genuchten (1980) SWRC parameters for the wetting and drying paths)

Parameter	Value
van Genuchten (1980) SWRC parameter, $\alpha_{vG}$ ( $\text{kPa}^{-1}$ )	0.70
van Genuchten (1980) SWRC parameter, $N_{vG}$	2.10
Residual volumetric water content, $\theta_r$	0.00
Volumetric water content at zero suction on drying path, $\theta_{0, \text{drying}}$	0.38
Volumetric water content at zero suction on wetting path, $\theta_{0, \text{wetting}}$	0.20
Hydraulic conductivity of saturated soil, $k_{\text{sat}}$ (m/s)	$1.5 \times 10^{-7}$

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717 **TABLE 2:** Initial conditions of the tested sand specimens

SPECIMENS	$h_0$ (mm)	$\psi_0$ (kPa)	$S_0$	$w_0$	$\theta_{w0}$
A-1 (nearly-saturated, drained)	20.02	0.02	0.94	0.238	0.380
A-2 (nearly-saturated, undrained)	20.04	0.04	0.94	0.236	0.379
B-1 (unsaturated, drained)	19.95	6.01	0.20	0.049	0.078
B-2 (unsaturated, undrained)	20.03	5.97	0.20	0.052	0.079
C-1 (dry, drained)	19.88	100.00	0.00	0.000	0.000
C-2 (dry, undrained)	19.94	100.00	0.00	0.000	0.000

$h_0$ : Initial specimen height;  $\psi_0$ : Initial matric suction;  $S_0$ : Initial degree of saturation;  
 $w_0$ : Initial gravimetric water content;  $\theta_{w0}$ : Initial volumetric water content;

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732 **TABLE 3:** Details of seismic compression studies from the literature used for comparison with  
 733 the results from the new device and methodology

	Type of Testing	Soil Description	Initial Density	Initial Degrees of Saturation Studied	Applied Vertical Stress (kPa)	Cyclic Shear Strain Amplitude	Loading Frequency (Hz)	Drainage Conditions	Number of Cycles
Whang et al. (2004)	Strain-controlled Cyclic Simple Shear Test	As-compacted Low-plastic Silty Fines	Relative Compaction, RC = 84%, 88%, 92%	0.62, 0.75, 0.87	101.3	0.1%, 0.4%, 1.0%	1	Partially Drained	15
Whang et al. (2005)	Strain-controlled Cyclic Simple Shear Test	Non-plastic Silty Sand	Relative Compaction, RC = 87%, 92%, 95%	0, 0.30, 0.60	101.3	0.1% - 1%	1	Partially Drained	15
Ghayoomi et al. (2011)	Centrifuge Shake Table Test	F-75 Ottawa Sand	Relative Density, $D_r$ = 45%	0, 0.16, 0.28, 0.50	0	-	40 in model scale, 1 in prototype scale	Partially Drained	15
Le and Ghayoomi (2017)	Strain-controlled Cyclic Simple Shear Test	F-75 Ottawa Sand	Relative Density, $D_r$ = 45%	0, 0.18, 0.19, 0.23, 0.63	50	0.02% - 0.06% (0.05% was selected for comparison)	1	Drained	5

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3 735 **LIST OF FIGURES**  
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5 736 **FIG. 1.** Cyclic simple shear apparatus for unsaturated soils

6  
7 737 **FIG. 2.** Schematic view of the specimen housing with suction-saturation control system  
8 738 (dimensions in mm)  
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10 739 **FIG. 3.** Details of the components in the specimen housing for unsaturated sands: (a) Wire-  
11 740 reinforced rubber membrane; (b) Top cap with hydrophobic filter; (c) Top view of the  
12 741 bottom platen; (d) Bottom view of the bottom platen

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14 742 **FIG. 4.** Particle size distribution curve of the well-graded sand

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16 743 **FIG. 5.** Drying- and wetting-path SWRCs of the well-graded sand at  $D_r = 0.45$ : (a) SWRCs fitted  
17 744 to the experimental data along with lines delineating regions of water retention; (b) Drying  
18 745 path SWRC showing the approach to determine the air-entry suction (Pasha et al. 2015)  
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21 746 **FIG. 6.** SSCC of the well-graded sand at  $D_r = 0.45$  plotted in terms of matric suction and degree  
22 747 of saturation  
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24 748 **FIG. 7.** Applied cyclic shear strains with an amplitude of 1% at a shear strain rate of 0.833%/min:  
25 749 (a) Representative single applied cycle; (b) Example of 200 applied cycles

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27 750 **FIG. 8.** Monitored test results for dry sand specimens in drained and undrained conditions:  
28 751 (a) Cyclic shear stress; (b) Volumetric strain; (c) Pore air pressure; (d) Secant shear  
29 752 modulus

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31 753 **FIG. 9.** Monitored test results for nearly-saturated sand specimens in drained and undrained  
32 754 conditions: (a) Cyclic shear stress; (b) Volumetric strain; (c) Pore water pressure; (d)  
33 755 Secant shear modulus  
34 756

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36 756 **FIG. 10.** Monitored test results for unsaturated sand specimens with the matric suction of 6 kPa  
37 757 in drained and undrained conditions: (a) Cyclic shear stress; (b) Volumetric strain; (c) Pore  
38 758 water pressure; (d) Pore air pressure; (e) Water outflow data for the drained test with fitted  
39 759 curve; (f) Secant shear modulus  
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41 760 **FIG. 11.** Evolution of the state parameters for unsaturated sand specimens at an initial matric  
42 761 suction of 6 kPa: (a) Matric suction; (b) Degree of saturation; (c) Mean effective stress  
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45 762 **FIG. 12.** Comparison of drained and undrained seismic compression results for unsaturated soils  
46 763 having different initial degrees of saturation with results from the literature  
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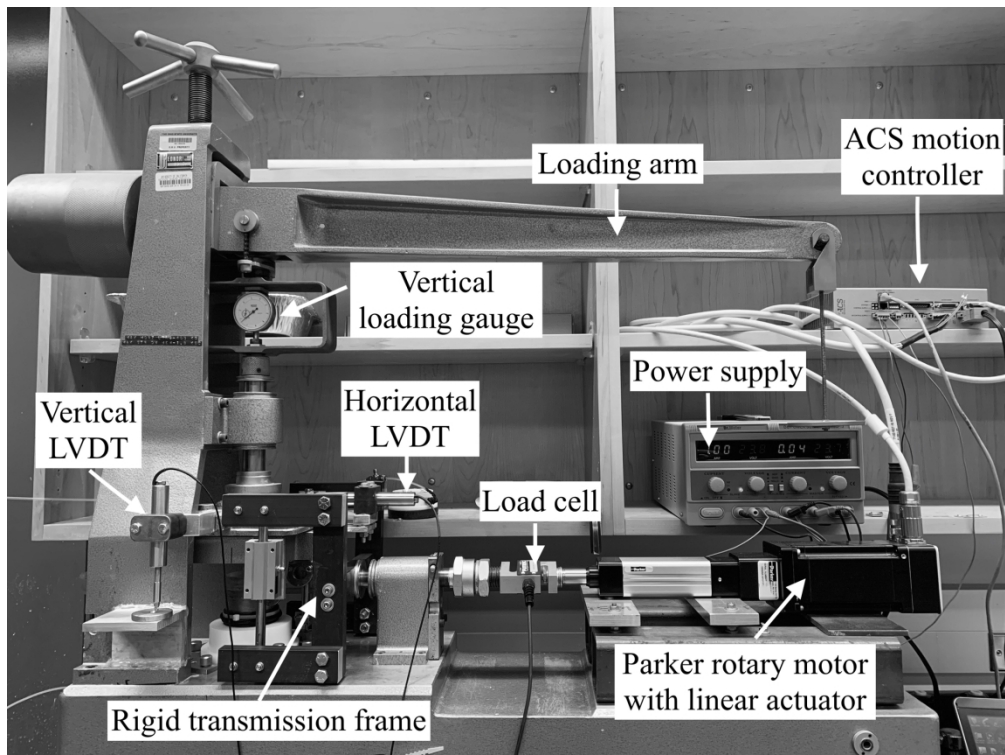


FIG. 1. Cyclic simple shear apparatus for unsaturated soils  
88x67mm (600 x 600 DPI)

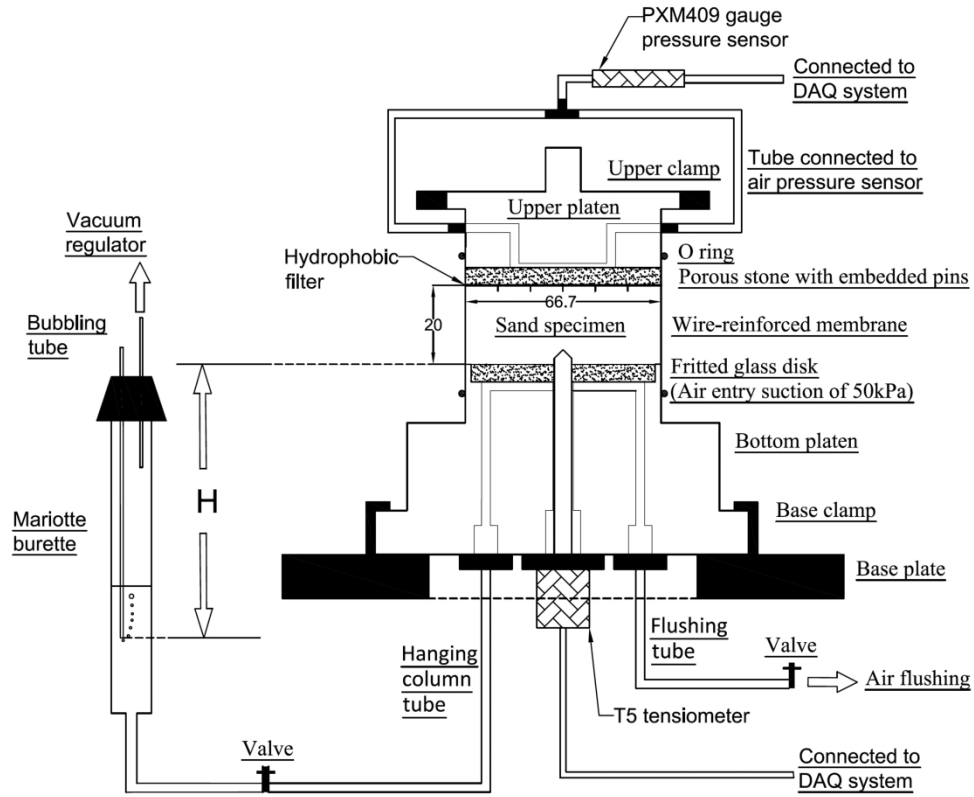


FIG. 2. Schematic view of the specimen housing with suction-saturation control system (dimensions in mm)

177x143mm (600 x 600 DPI)

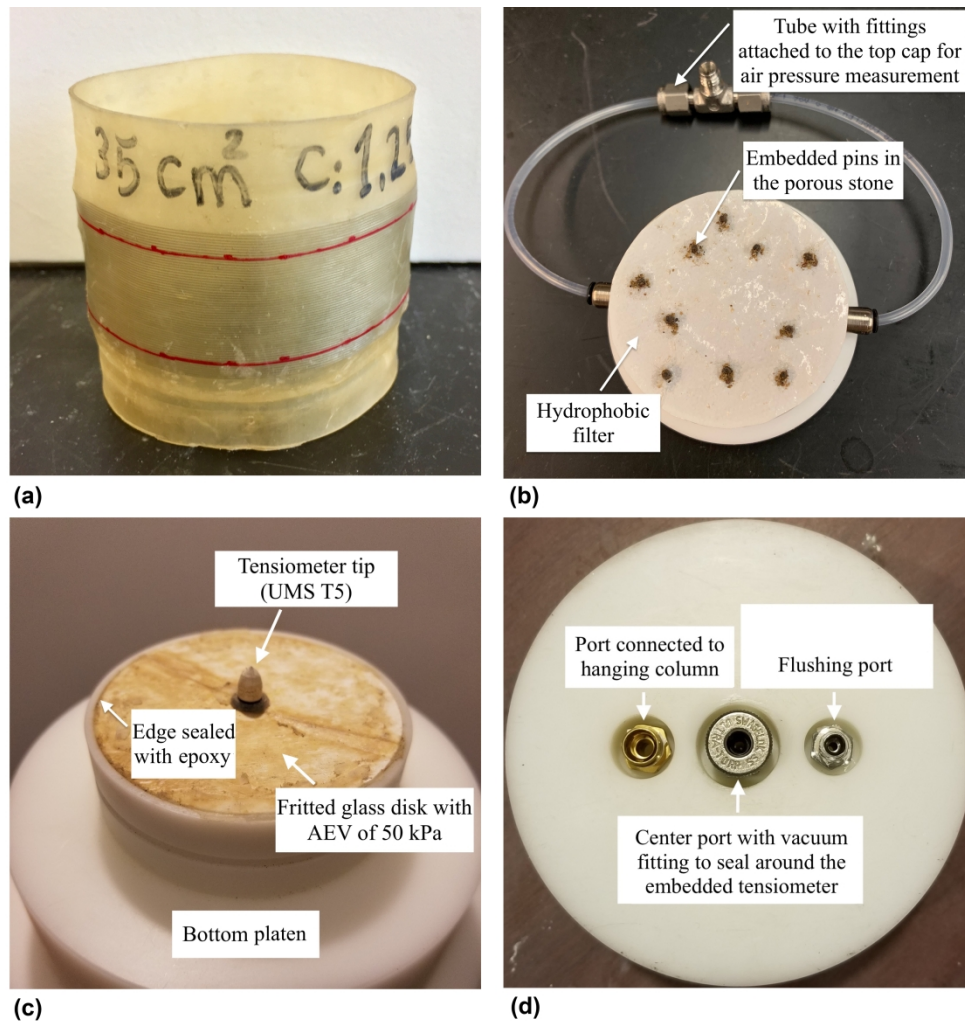


FIG. 3. Details of the components in the specimen housing for unsaturated sands: (a) Wire-reinforced rubber membrane; (b) Top cap with hydrophobic filter; (c) Top view of the bottom platen; (d) Bottom view of the bottom platen

177x181mm (600 x 600 DPI)

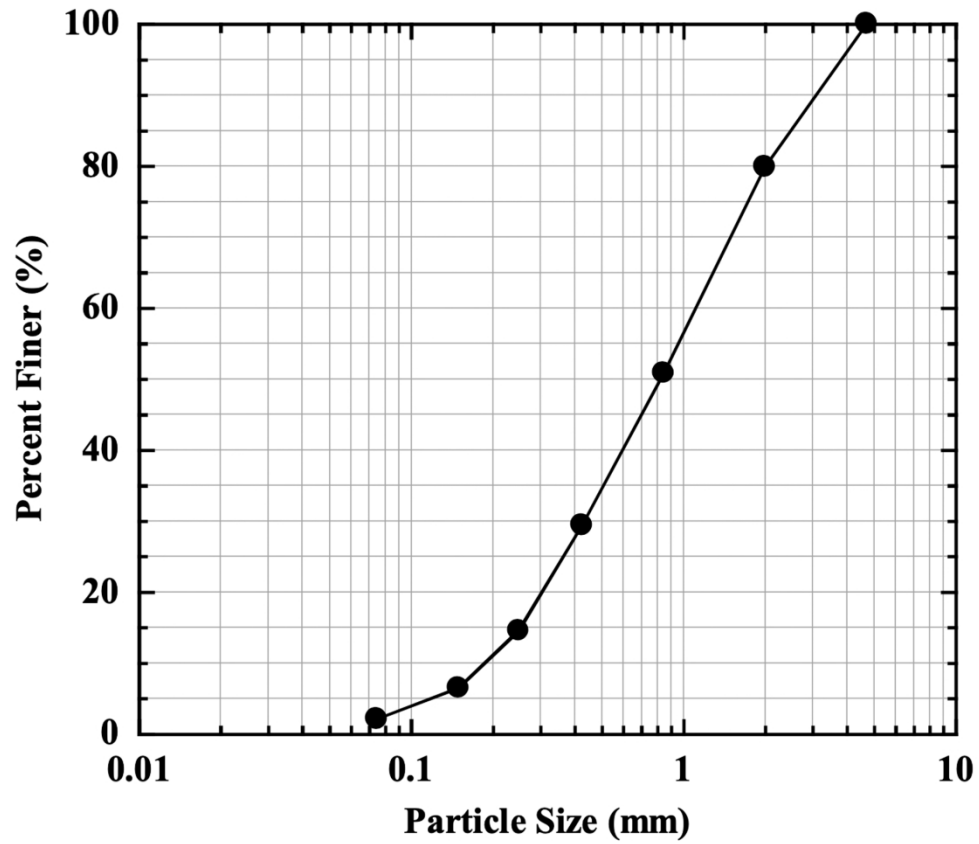


FIG. 4. Particle size distribution curve of the well-graded sand

88x75mm (600 x 600 DPI)



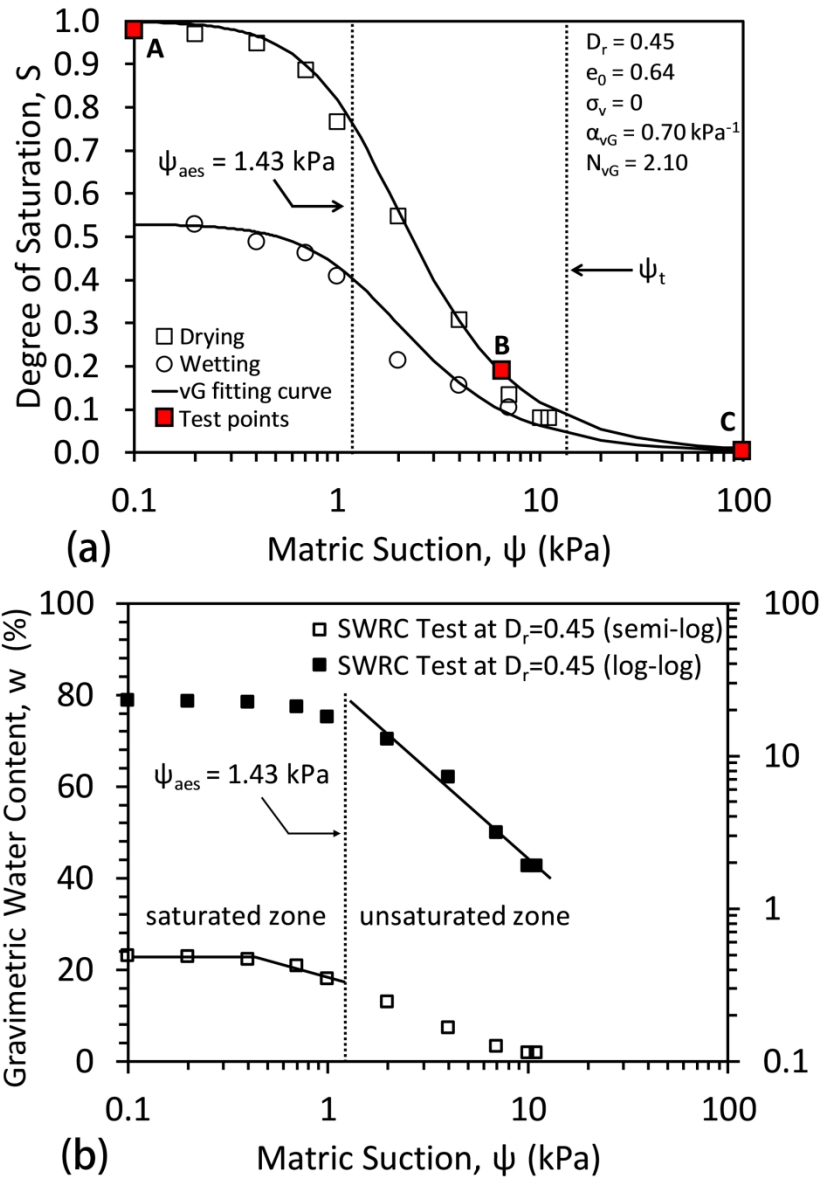


FIG. 5. Drying- and wetting-path SWRCs of the well-graded sand at  $D_r = 0.45$ : (a) SWRCs fitted to the experimental data along with lines delineating regions of water retention; (b) Drying path SWRC showing the approach to determine the air-entry suction (Pasha et al. 2015)

88x126mm (600 x 600 DPI)

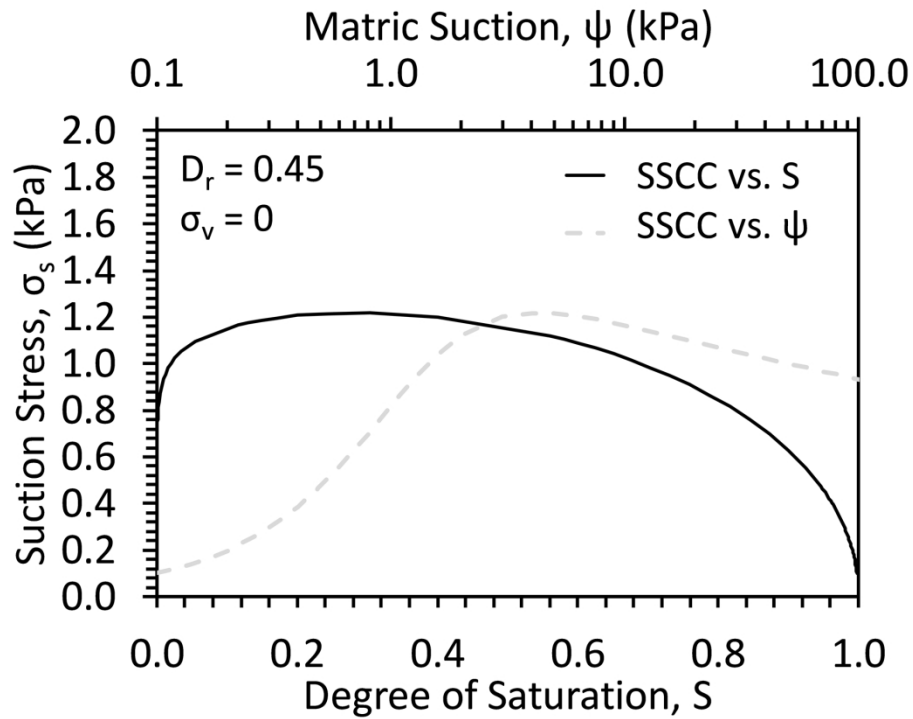


FIG. 6. SSCC of the well-graded sand at  $D_r = 0.45$  plotted in terms of matric suction and degree of saturation

88x65mm (600 x 600 DPI)

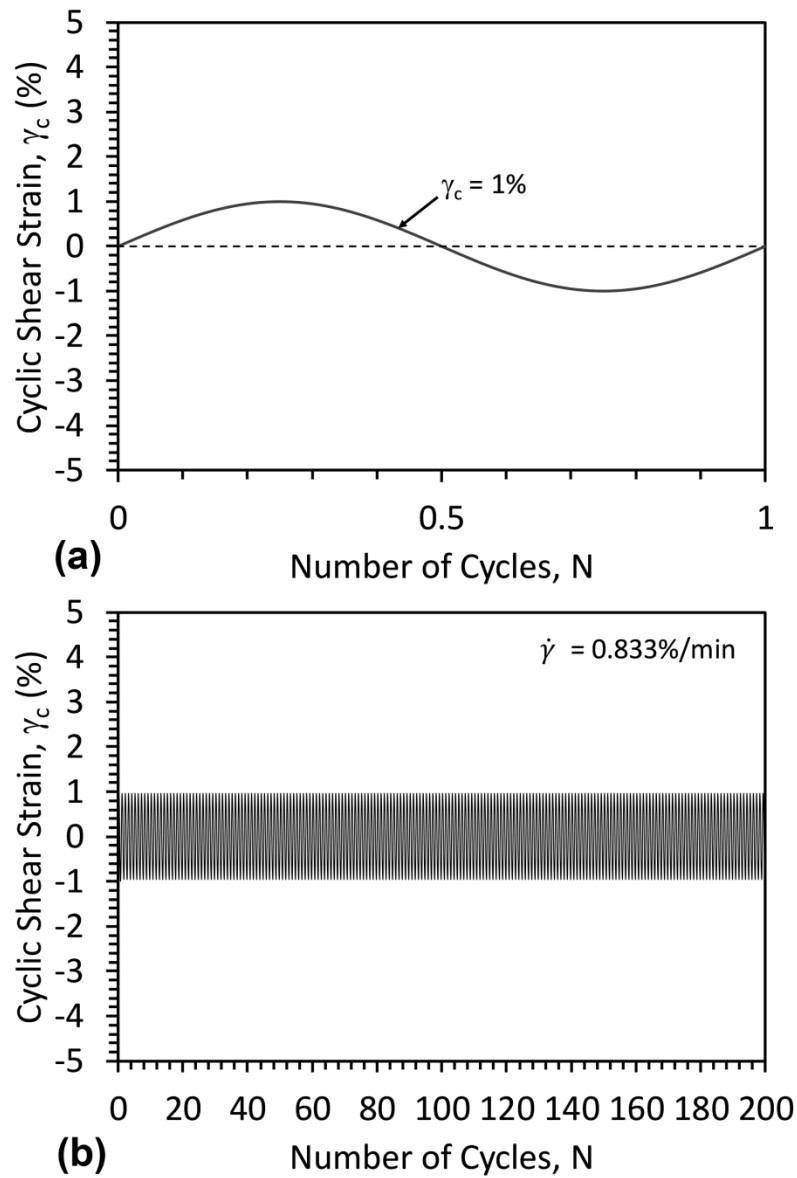


FIG. 7. Applied cyclic shear strains with an amplitude of 1% at a shear strain rate of 0.833%/min: (a) Representative single applied cycle; (b) Example of 200 applied cycles

88x127mm (600 x 600 DPI)

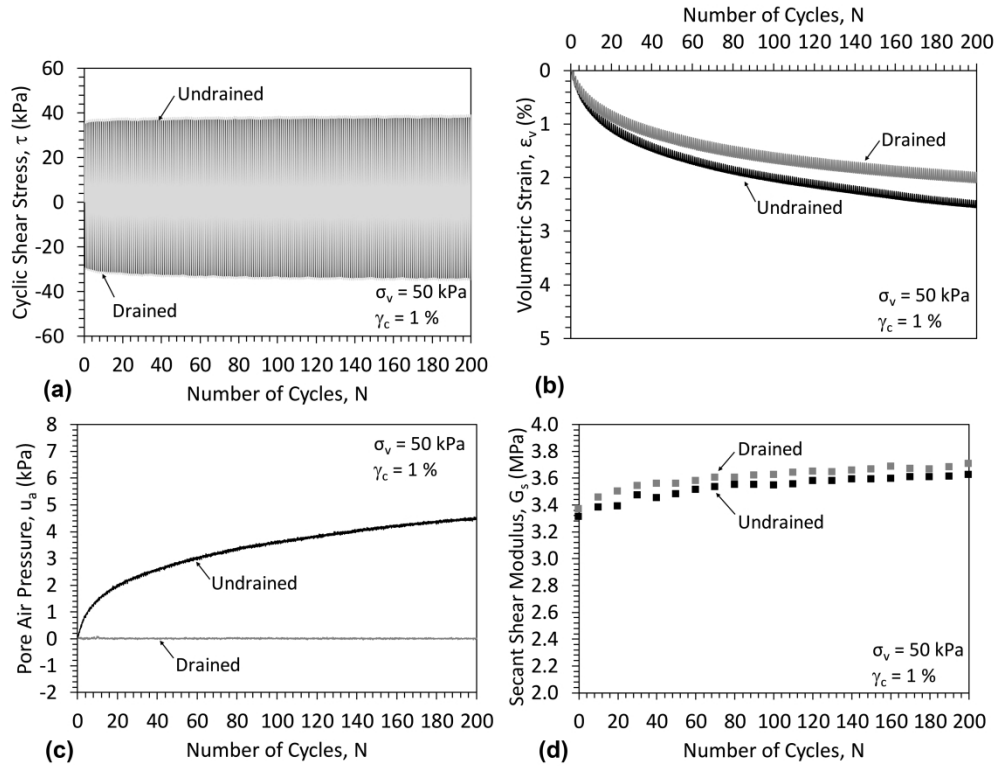


FIG. 8. Monitored test results for dry sand specimens in drained and undrained conditions: (a) Cyclic shear stress; (b) Volumetric strain; (c) Pore air pressure; (d) Secant shear modulus

177x137mm (600 x 600 DPI)

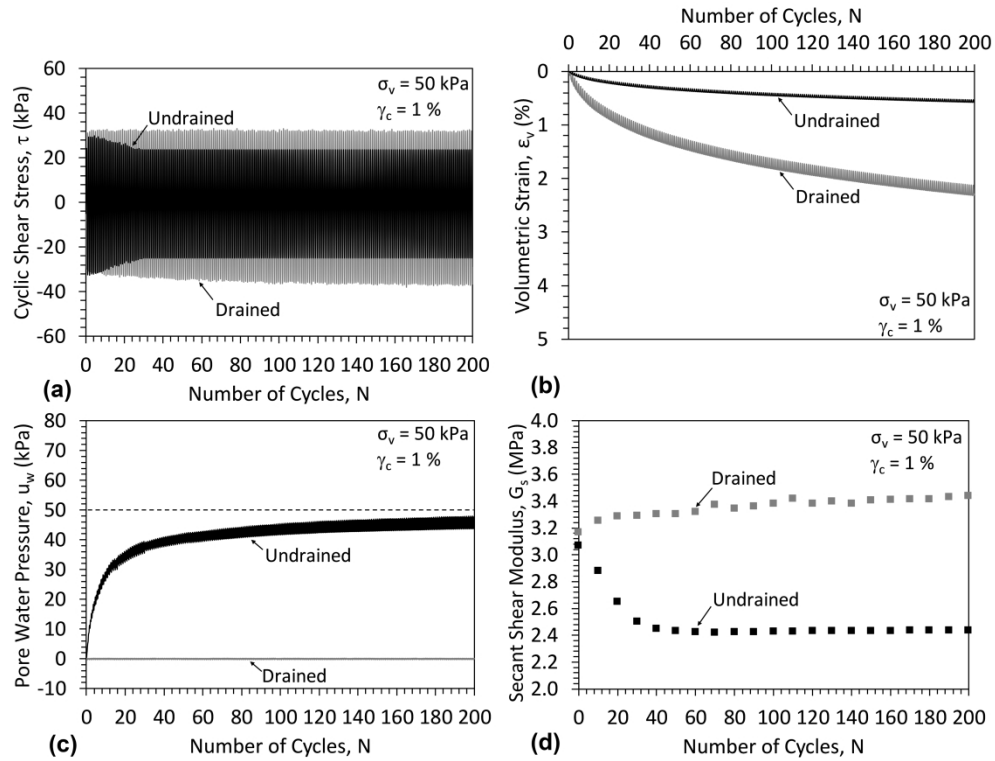


FIG. 9. Monitored test results for nearly-saturated sand specimens in drained and undrained conditions: (a) Cyclic shear stress; (b) Volumetric strain; (c) Pore water pressure; (d) Secant shear modulus

177x136mm (600 x 600 DPI)

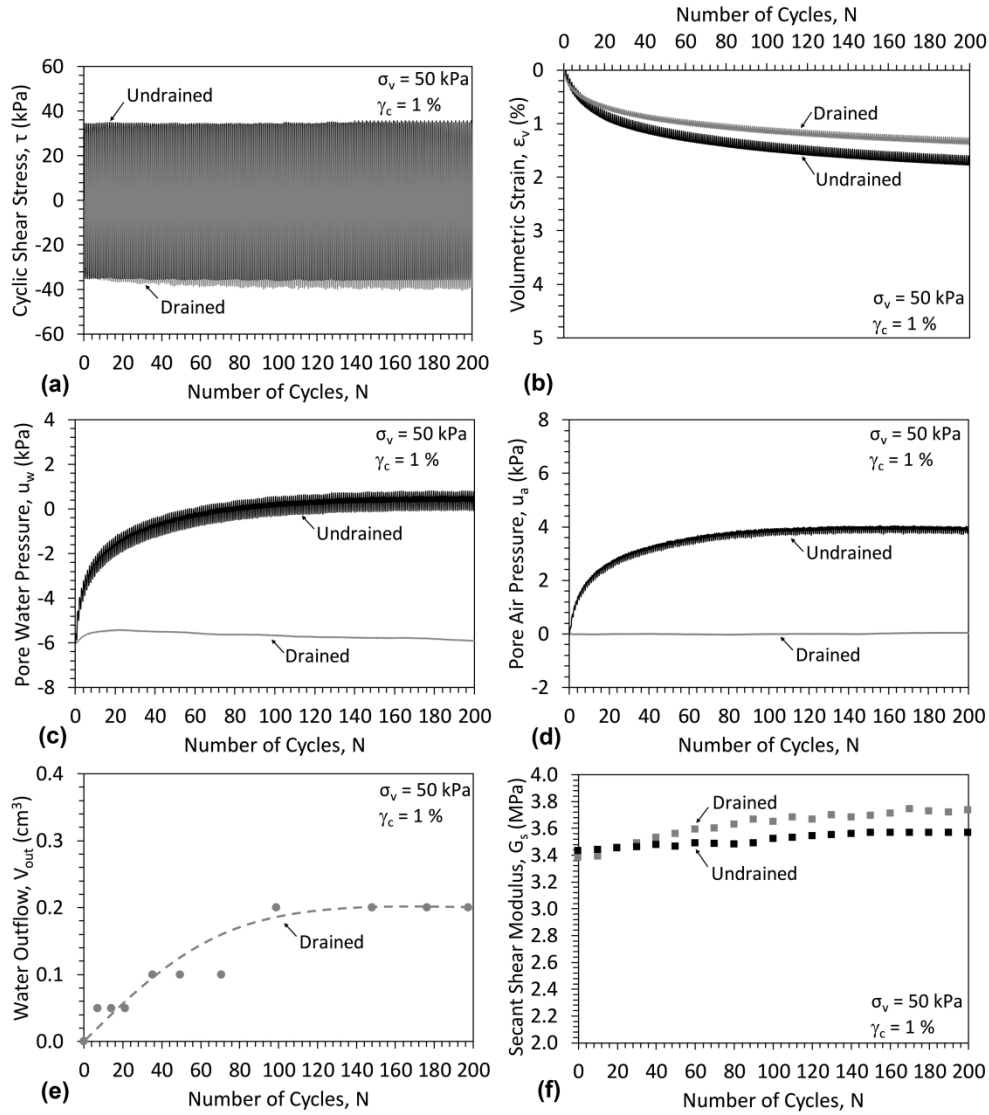


FIG. 10. Monitored test results for unsaturated sand specimens with the matric suction of 6 kPa in drained and undrained conditions: (a) Cyclic shear stress; (b) Volumetric strain; (c) Pore water pressure; (d) Pore air pressure; (e) Water outflow data for the drained test with fitted curve; (f) Secant shear modulus

177x198mm (600 x 600 DPI)

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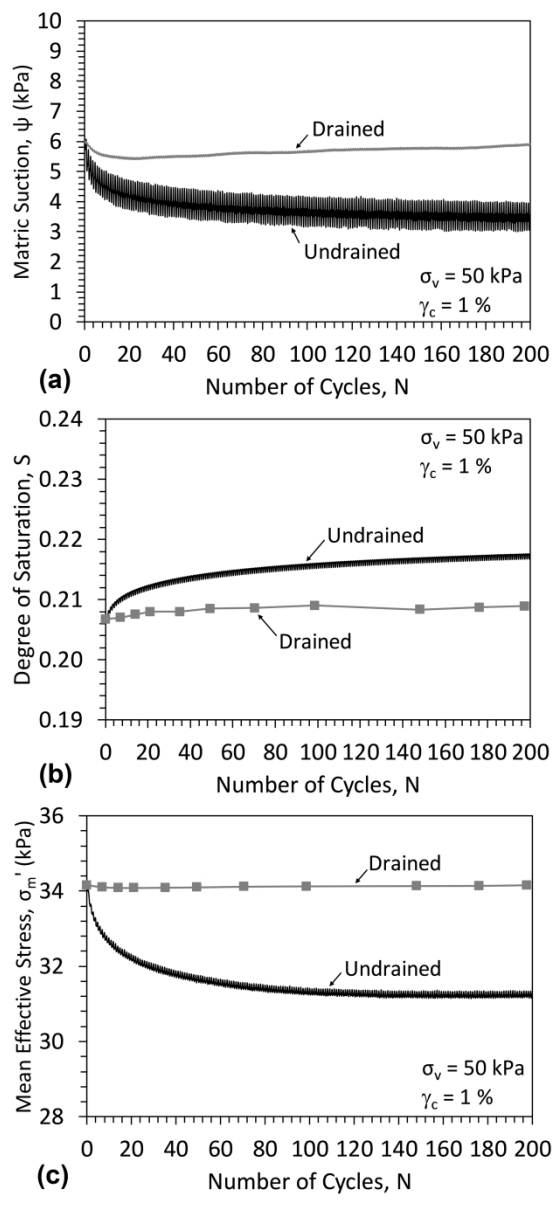


FIG. 11. Evolution of the state parameters for unsaturated sand specimens at an initial matrix suction of 6 kPa: (a) Matrix suction; (b) Degree of saturation; (c) Mean effective stress

88x189mm (600 x 600 DPI)

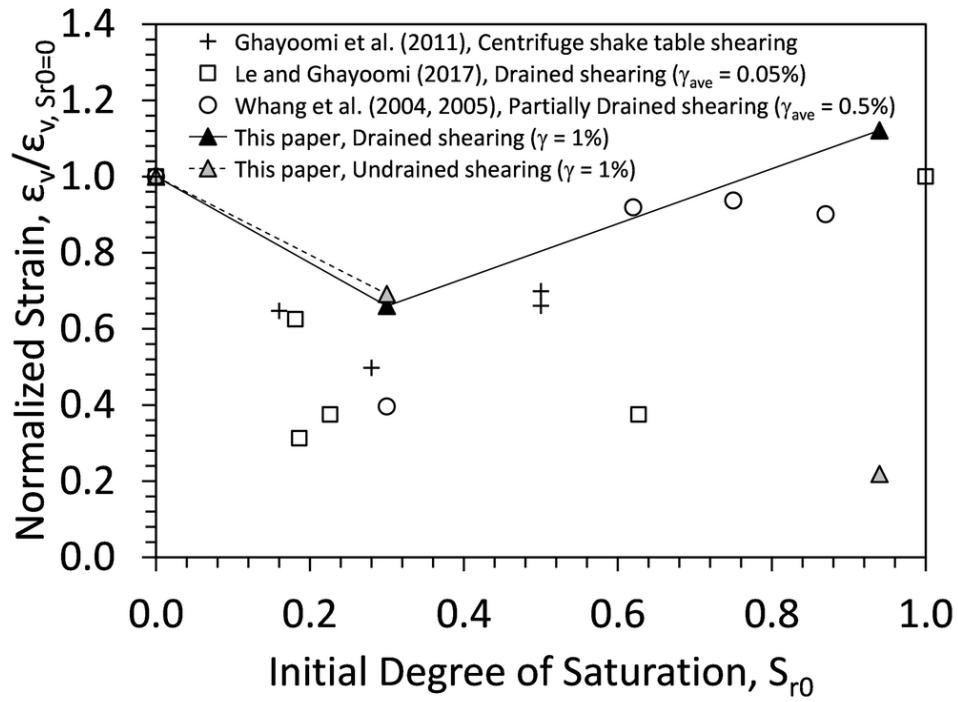


Fig. 12. Comparison of drained and undrained seismic compression results for unsaturated soils having different initial degrees of saturation with results from the literature

88x64mm (300 x 300 DPI)