
1 **DEM analysis of passive failure in structured sand ground**
2 **behind a retaining wall**

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17 **Abstract**

18 Assessment of active and passive earth pressures is of crucial importance in design of retaining
19 structures. This paper aims to explore the progressive failure mechanism towards the passive state of
20 natural sand ground, and to quantify the lateral earth pressure, resultant force and overturning moment
21 on the retaining wall under both translational and rotational movement modes. A numerical modelling
22 using the two-dimensional (2D) Discrete Element Method (DEM) is conducted with an advanced micro
23 contact model considering the inter-particle bond strength of natural sand. Rankine theory based
24 semi-analytical solutions of the lateral earth pressure and resultant force/moment have been proposed
25 and compared with the numerical data. The results show that not only the wall movement mode but also
26 the inter-particle bond strength has significant effects on the progressive formation of shear failure zone
27 and mobilization characteristics of earth pressure. The larger the inter-particle bond strength is, the
28 higher the lateral earth pressure can be mobilized, and hence more significant post-peak softening can
29 be produced. The proposed solution can well describe the progressive mobilization of earth pressure
30 towards the passive state and the post-peak softening state at rotational movement modes, potentially
31 optimizing the design of retaining structures.

32 **Key words:** retaining wall; structured sand; passive earth pressure; Discrete Element Method; soil
33 failure

34

35 **1. Introduction**

36 Assessment of active and passive earth pressures (i.e. earth pressures mobilized to the active / passive
37 states as the retaining wall moves away from / towards the soil ground) against retaining structures, e.g.
38 retaining walls, bridge abutments, anchor blocks, and sheet piles, is an important and classical problem
39 in geotechnical and structural engineering [1, 2]. External factors that may result in translational or
40 rotational movement of a retaining structure include surcharge loading, seismic activity, groundwater
41 flow, etc. [3-5]. The distribution of earth pressure as well as the resultant force and moment on the
42 retaining wall is closely associated with the characteristics of the retaining wall, such as the interface
43 friction [6], movement mode [7-9] and displacement magnitude [10-14]. They also largely depend on
44 the soil properties and surface inclination of backfills [15-20]. Three main types of retaining wall
45 movement, i.e. translation (T), rotation about the bottom (RB), and rotation about the top (RT) of wall,
46 and their combinations have been recognized [7, 9]. All above concerns make this classical problem of
47 complexity and remain an open issue in many aspects, though considerable attention has been paid.

48 Some classical analytical approaches, such as the Rankine, Coulomb, and log-spiral theories, have
49 been used in practice and the literature, assessing the active and passive earth pressures and the critical
50 slip surface [2, 21-25]. However, these analytical studies have mainly focused on the translational
51 movement mode with limited attempts made on the rotational movement modes [26]. In addition, the
52 progressive mobilization of earth pressure and its effect on the resultant force on the retaining wall have
53 not been fully understood and considered in most analytical approaches. Some pioneering investigations
54 on the displacement-dependent evolutions of earth pressure towards the active or passive state have
55 been carried out during the last two decades [10, 11, 13, 27, 28]. Yet, the post-peak softening evolution
56 of earth pressure on the retaining wall supporting a natural sand ground needs to be further explored to

57 calculate the resultant force and moment correctly.

58 In addition to analytical studies, the earth pressure on the retaining wall and the wall response have
59 been investigated and discussed via physical model tests [9, 29-33] and numerical modelling [34-38].
60 They have been mainly focused on cohesionless (or remoulded) backfills with very little addressing the
61 active and passive failure of structured soils which are not seldom in practice, e.g., in deep excavations
62 [14] and landslide mitigations. Due to sedimentary and loading histories, most natural soils are of
63 bonding/cementing structures at the particulate level [39-40]. Consequently, structured [51, 52] (or
64 cohesive /cemented [42] /bonded [50]) soils are usually equipped with somewhat cohesion and face
65 strain softening during degradation. Although the cohesion effect has been early considered in the
66 modified Rankine solution [41], its application has been limited to the translational movement (T) mode
67 of retaining wall. A rotating retaining wall results in non-uniform displacements along the ground depth,
68 which may cause the progressive failure of structured soil. Its effect on the gradual mobilization of earth
69 pressure on the rotating retaining wall can be hardly revealed by the physical modeling because of the
70 difficulty in preparing structured soil samples. The Discrete Element Method (DEM), which can
71 simulate the micro scale bond structures [42-43], may provide an efficient tool to gap the problem.

72 This paper explores the passive failure mechanism from the microscopic view of point and the
73 evolution of earth pressure from pre-peak to post-peak stages under both translational and rotational
74 movement modes of retaining wall in natural sand ground by DEM. To investigate the effect of
75 inter-particle bond structures of natural sands, an advanced bond contact model is employed in the DEM
76 modelling. Based on the DEM investigations of translational mode and classical Rankine theory, an
77 original semi-analytical solution is developed to assess the evolutions of resultant force and moment at the
78 rotation modes, considering the displacement-dependent mobilization and post-peak softening

79 characteristics of earth pressure. The proposed solution is expected to optimize the design of retaining
80 structure, which needs further improvements to consider the realistic rough wall-soil interface and ‘soil
81 arching’ effect.

82 **2. Numerical details**

83 *2.1. Bond contact model for structured sand*

84 A simplified 2D bond contact model based on Jiang et al. [44] was employed in this study. As observed
85 from a scanning electron micrograph of natural sand [45], the formation of inter-particle bond structures
86 requires a sufficiently small inter-particle gap. The critical gap, which is the maximum thickness of
87 bonding materials, is denoted as h_{max}^{cr} here. With the presence of bond structures, the contact behaviours
88 are jointly controlled by the particle surfaces (defined as the inter-particle contact) and the bonding
89 materials (defined as the bond contact). They are briefed as follows.

90 The inter-particle contact, considering the rolling resistance [46], is activated once the two
91 neighboring particles touch with each other (i.e. inter-particle gap $h_{min} = 0$, overlap between particles
92 $u_n \geq 0$) or the inter-particle bond breaks. A linear elasticity is considered with the normal, tangential and
93 rolling stiffness of particles being k_n^p , k_r^p and k_s^p , respectively; while the elasticity thresholds are
94 controlled by the inter-particle frictional coefficient μ^p in the tangential direction and the inter-particle
95 rolling resistance coefficient β^p in the rolling direction. The inter-particle mechanical response can be
96 described as follows:

$$97 \quad F_n^p = \begin{cases} k_n^p u_n, & u_n \geq 0 \\ 0, & u_n < 0 \end{cases}, \quad F_s^p \leftarrow \min[k_s^p \Delta u_s + F_s^p, \mu^p F_n^p], \quad M^p \leftarrow \min[k_r^p \Delta \theta + M^p, \frac{F_n^p \beta^p \bar{R}}{6}] \quad (1)$$

98 where F_n^p , F_s^p and M^p are normal force, shear force, and moment transmitted between particles,
 99 respectively; the rolling stiffness $k_r^p = k_n^p (\beta^p \bar{R})^2 / 12$; Δu_s and $\Delta \theta$ are the incremental relative shear
 100 displacement and rotational angle, respectively.

101 The bond contact behaviours, on the other hand, are governed by the bond contact model accounting
 102 for bond rolling resistance. The bond rolling resistance coefficient β^b is related to the dimensions of
 103 bonding materials and given by [44]

$$104 \quad \beta^b = \frac{\sqrt{4\bar{R}^2 - (2\bar{R} + h_{min} - h_{max}^{cr})^2}}{\bar{R}} \quad (2a)$$

105 where $\bar{R} = \frac{2R_1R_2}{R_1 + R_2}$ is the average radius of the two particles of radii R_1 and R_2 , respectively. For the
 106 bond contact, the thresholds in the normal, tangential and rolling directions are denoted by F_n^b , F_s^b ,
 107 and M^b , respectively; and they are limited by an ellipsoid in the $F_n^b - F_s^b - M^b$ space (i.e. the red
 108 envelop in Fig. 1). For each $F_s^b - M^b$ cut plane normal to the F_n^b axis, an elliptic envelope can be given
 109 by

$$110 \quad \left(\frac{F_s^b}{R_{sb}} \right)^2 + \left(\frac{M^b}{R_{rb}} \right)^2 = 1 \quad (\text{critical state}) \quad (2b)$$

111 where R_{sb} and R_{rb} represent the shear strength and rolling strength of bond, respectively, which depend
 112 on the normal bond force F_n^b , compressive bond capacity R_{cb} , tensile bond capacity R_{tb} and critical
 113 bond thickness h_{max}^{cr} , given by

$$114 \quad R_{sb} = \mu^b \cdot R_{cb} \cdot \frac{F_n^b + R_{tb}}{R_{cb} + R_{tb}} \cdot \left[1 + g_s \cdot \left(\ln \frac{R_{cb} + R_{tb}}{F_n^b + R_{tb}} \right)^{f_s} \right], \quad R_{rb} = \frac{\bar{R} \beta^b R_{cb}}{6} \cdot \frac{F_n^b + R_{tb}}{R_{cb} + R_{tb}} \cdot \left[1 + g_r \cdot \left(\ln \frac{R_{cb} + R_{tb}}{F_n^b + R_{tb}} \right)^{f_r} \right] \quad (2c)$$

115 where f_s , g_s , f_r , g_r are fitting parameters [44]. Before reaching the force/moment limits, simple
 116 linear-elastic relationships are assumed in each direction with the constant elastic modulus of bond
 117 denoted by E^b . Once broken, the remaining bond materials attached to the individual particles may still
 118 contribute to inter-particle behaviours as long as they are in contact with each other (i.e. $F_n^b > 0$ upon

119 compressive breakage). The corresponding residual bond strengths are denoted by $F_{n,resid}^b$, $F_{s,resid}^b$, and
 120 M_{resid}^b , respectively, which depend on the magnitudes of F_n^b , β^b and frictional coefficient of bond μ^b .
 121 Upon tensile breakage, however, the broken bond materials attached to each particle are separated, and
 122 thus the residual bond strength falls to zero in each direction. The residual envelope is highlighted in
 123 blue in Fig. 1. The mechanical response of bond can be expressed as follows:

$$124 \quad F_n^b = \begin{cases} k_n^b (u_n - u_0), & -R_{tb} < F_n^b < R_{cb} \\ F_{n,resid}^b = \lambda R_{cb}, & F_n^b \geq R_{cb} \\ 0, & F_n^b \geq -R_{tb} \end{cases}, \quad F_s^b = \begin{cases} k_s^b \Delta u_s, & F_s^b < R_{sb} \\ F_{s,resid}^b = \mu^b F_n^b, & F_s^b \geq R_{sb} \text{ and } F_n^b > 0, \\ 0, & F_s^b \geq R_{sb} \text{ and } F_n^b \leq 0 \end{cases}$$

$$125 \quad M^b = \begin{cases} k_r^b \Delta \theta, & M^b < R_{rb} \\ M_{resid}^b = \frac{F_n^b \beta^b \bar{R}}{6}, & M^b \geq R_{rb} \text{ and } F_n^b > 0 \\ 0, & M^b \geq R_{rb} \text{ and } F_n^b \leq 0 \end{cases} \quad (2d)$$

126 where u_0 is the initial overlap at the formation of bond, k_n^b , k_s^b and k_r^b are the normal, shear and
 127 rolling stiffness of bond respectively which can be calculated by E^b . In summary, the bond contact
 128 behaviours are controlled by parameters including R_{cb} , R_{tb} , μ^b , E^b and h_{max}^{cr} , and more details about the
 129 bond contact can be referred to Jiang et al. [44].

130 2.2. Parameters and properties of sand

131 Four types of sand are considered in the study: pure sand (i.e. cohesionless or reconstituted sand) and
 132 structured sand (i.e. cohesive/cemented/bonded sand) I/II/III. Their main micro parameters are given in
 133 Table 1, which would be used in both the simulated biaxial compression tests and subsequent
 134 boundary-value modelling. The parameters of inter-particle contact are the same in all the cases. This
 135 ensures that the residual strengths of structured sands approach the pure sand, though minor difference
 136 is expected as the remaining bond materials attached to individual particles may still work when broken
 137 (as presented later in Fig. 2c). Regarding the bond contact parameters, the compressive and tensile bond

138 strengths (i.e. R_{cb} and R_{tb}) are varied among cases to simulate different cementation levels while the
139 other bond parameters remain the same, as listed in Table 1.

140 To calibrate their macro mechanical properties, a series of numerical biaxial compression tests were
141 performed, and details can be referred to the Appendix. On this basis, the apparent cohesion c and peak
142 (residual) internal friction angle φ (φ_r) can be obtained, which fall in the range of practical cemented
143 sands [53], as illustrated in Table 1. The apparent cohesion of the structured sands increases significantly
144 with the increase of bond strength and is valued at 25.2 kPa, 44.7 kPa, and 62.5 kPa for structured sand
145 I/II/III, respectively. The peak and residual internal friction angles, however, increase slightly with bond
146 strength, and remain almost a constant ranging $30.21^\circ \sim 31.73^\circ$ and $23.87^\circ \sim 25.42^\circ$ respectively.

147 *2.3. Generation of ground and set of retaining wall*

148 The structured sand ground was generated by the following steps.

- 149 • Using the multi-layer under-compaction method [47], the sand ground was first generated by
150 compacting eight layers of particles to the target void ratio e of 0.27, and its final size was 6
151 m \times 2.75 m (width \times height), as presented in Fig 2.
- 152 • The generated ground was then consolidated with an amplified gravity level of 5g in a spirit of
153 centrifuge physical modelling, and thus the prototype of sand ground is 30 m \times 13.75 m and
154 the retaining wall is 10 m high.
- 155 • The inter-particle bond behaviours were finally assigned to the certain real/visual contacts
156 with their inter-particle gaps less than the critical value.

157 The ground was composed of 298,550 particles with the scaled particle size distribution given in Fig.
158 16a, and there were 711,797 bond contacts at the initial state. The particle diameters range from 6 mm to
159 9 mm with the mean value d_{50} of 7.6 mm. A rigid retaining wall of $h = 2$ m in height was used to sustain

160 the ground, with an additional wall element of 0.2 m set above to avoid flowing over of particles during
161 the movement of the retaining wall. The size effect of d_{50} value on the earth pressure and its resultant
162 force can be effectively eliminated as long as $d_{50}/h < 1/200$ is satisfied [57], and here d_{50}/h was set to be
163 about 260 which is sufficiently small. In addition, the ground below the bottom of retaining wall is 0.75
164 m in depth, which is sufficient to eliminate any boundary effect. The wall-soil interface was set to be
165 smooth here as assumed in the Rankine theory, so that a direct comparison between numerical results and
166 Rankine solutions can be made. To track key field parameters during the wall movement, 57×25 global
167 measurement circles were placed uniformly across the sand ground. The size of measurement circle was
168 chosen such that it was sufficiently large to ensure a representative elementary volume but not to lose
169 localised features. Here the radius of each measurement circle was taken as 75 mm (i.e., around 19 times
170 d_{50}), containing about 320 particles, and it moves with the particle located closest to the circle center.

171 Three basic retaining wall movement modes, i.e., T, RB, and RT modes, were simulated, as presented
172 in Fig. 2. The translational and angular velocities of the retaining wall were set to be small sufficiently
173 as $\dot{u} = 7 \times 10^{-4}$ m/s and $\dot{\theta} = 7 \times 10^{-4}$ rad/s, respectively. Such that, the 2D inertia number quantifying the
174 dynamic effects is $I = \dot{\epsilon} \sqrt{m/p} = 4.3 \times 10^{-5} \ll 1$ (where $\dot{\epsilon}$, m and p denote the shear strain rate, mass
175 of sand ground and confining pressure respectively; average values of later numerical results have been
176 adopted), ensuring that the DEM simulations were performed under quasi-static conditions [48]. In the
177 following analysis, the lateral displacement is denoted by s . It is constant along the wall depth at the T
178 mode, but various at the RB and RT modes with the average located at the wall center and denoted by
179 s_{avg} . Hence, the normalized average lateral displacement s_{avg}/h ($h = 2$ m) is equal to $s/2$ at the T mode
180 and $\theta/2$ (where θ represents the rotation angle of the wall) at the RB and RT modes, respectively.

181 **3. Numerical results**

182 *3.1. Passive failure mechanism of structured sand ground*

183 In this section, the passive failure mechanism is investigated under different movement modes of the
184 retaining wall for all four types of sand grounds.

185 *3.1.1. Characteristics of shear band formation*

186 The bond breakage ratio, defined as the ratio of the broken bond number to the initial bond number, can
187 be used to analyze the progressive formation of localized shear zone in structured sands [42]. Fig. 3
188 shows the evolutions of the bond breakage ratio for all structured sand cases. Regardless of the
189 inter-particle bond strength, at the T and RT modes, the bond breakage ratio grows rapidly until it
190 approaches a asymptotic steady value with the increase of the retaining wall displacement, corresponding
191 to the formation of an unique shear band (as given later in Fig. 4). By contrast, the growth of bond
192 breakage ratio at the RB mode is much slower and more gentle than the other two modes, corresponding
193 to the successive formation of several parallel shear bands (as depicted later in Fig. 4). For structured sand
194 cases I and II, it can be observed that the steady bond breakage ratio is the smallest at the RT mode while
195 the largest at the T mode till the end of the simulation (s_{avg}/h increases to 7%); however, the latter is
196 expected to be surpassed by the RB mode with further wall displacement as observed in structured case III.
197 For each movement mode, the larger the bond strength is, the smaller the steady bond breakage ratio is.

198 The features of evolved localized shear zone (i.e. shear band) are further visualized with the contours
199 of shear strain in Fig. 4. Some major features are described below.

- 200 • For the retaining wall under the T mode, the development of shear strain is generally uniform
201 over the whole shear band though it is slightly more concentrated at the wall bottom. As the

202 value of s_{avg}/h approaches the critical (around 3%, which will be discussed later in section
203 3.2), a straight shear band becomes apparent showing the planar wedge failure mechanism
204 (i.e. the Coulomb mechanism). With the further increase of s_{avg}/h , the shear strain within the
205 shear band grows continually, making the rupture surface more significant.

- 206 • For the retaining wall under rotation modes, the shear strain is initially localized near the
207 wall bottom and wall top for the RT and RB modes, respectively. At a later stage, a distinct
208 curved shear band gradually propagates upwards to the ground surface at the RT mode,
209 showing a log-spiral failure mechanism. Rather than a distinct and unique shear band found
210 at other movement modes, there are several parallel shear bands developing from the ground
211 surface to the wall back at the RB mode.
- 212 • For each movement mode, the strain localization is more significant (concentrated) in the
213 sand ground with the larger bond strength (or apparent cohesion), as shown in Fig. 4b. While
214 the geometry features of the shear failure zone is independent of the bond strength. The ratio
215 of shear band width to the average particle diameter d_{50} is approximately 20~30 at each mode,
216 which is large enough to obtain reliable information within the shear bands [42]. At the T mode,
217 the plane shear failure surface in the pure sand ground is inclined at around $(\pi/4 - \varphi/2)$ to the
218 horizontal as proposed by Rankine, while its inclination in structured sands is slightly larger
219 than the theoretical solution, as depicted in Fig. 4b.
- 220 • The characteristics of shear failure zone at each movement mode in four sand cases observed
221 from the numerical modeling are similar to those emerging in dense pure sand investigated
222 from experimental tests by Niedostatkiewicz et al. [32] (Fig. 4c), except for the slight
223 discrepancy of T mode. It should be noted that, compared with the practical rough wall surface,

224 the assumption of smooth wall-soil interface limits the development of the accompanied radial
 225 localized shear zone from wall top observed in Fig. 4c. The similar phenomenon of missing
 226 radial shear zone in a smooth wall case at the T mode was also investigated by Benmeddour et
 227 al. [19], Guo and Zhao [58], and Altunbas et al. [59], as illustrated in Fig. 4d. Moreover, as the
 228 roughness of wall-soil interface increases, the main shear zone connecting wall toe with top
 229 free surface for the T mode changes from linear to curvilinear geometry.

230 More details of the shear band development under various retaining wall movement modes can be
 231 revealed through the investigations of the force chains and the contours of void ratio, bond breakage
 232 ratio, average pure rotation rate (i.e. APR) and soil displacement. Fig. 5 presents these details for the
 233 structured sand I case with $s_{avg}/h = 5.25\%$. Among them, the contours of void ratio, bond breakage ratio
 234 and APR (as given in Figs. 5a, 5b and 5c) are obtained based on the average value measured in each global
 235 measurement circle, and the detailed calculations are given as follows, as referred to [42, 60]. The void
 236 ratio in each measurement circle is calculated by $(S - S_p) / S_p$, where S is the area of a measurement
 237 circle and S_p is the total area of particles within the circle. The bond breakage ratio is calculated as
 238 $N_b - N_r / N_b$, where N_b and N_r represent the number of bond at the initial state and a certain s_{avg}/h
 239 respectively within each circle. The APR is defined as $\frac{1}{N} \sum_{k=1}^N \left[\frac{1}{r^k} (\dot{\theta}_1^k r_1^k + \dot{\theta}_2^k r_2^k) \right]$, where N is the number
 240 of contacts in a measurement circle, r_i^k and $\dot{\theta}_i^k$ ($i = 1, 2$) are the radii and rotation rates of the two discs
 241 forming the k^{th} contact, and $r^k = 2r_1^k r_2^k / (r_1^k + r_2^k)$ is the average radius. The positive and negative APR
 242 in Fig. 5c represent the anticlockwise and clockwise rotation of grains, respectively. It can be seen that,
 243 the void ratio, bond breakage ratio, and soil particle rotation inside the shear band are all significantly
 244 larger than those outside the band, representing the volumetric dilation and concentrated energy
 245 dissipation inside the band. The disturbed zone at the passive failure state can be clearly observed

246 through the displacement field as shown in Fig. 5d. The vector arrows in the displacement field are
247 assigned with colors according to the relative magnitudes of particle displacements, as grouped in the
248 color scale on the right sides of the figures. Compared with the T mode, the disturbed zone is much
249 narrowed at the RB mode but slightly enlarged at the RT mode with a curved boundary. Different from
250 the pure sand case, the input energy tends to be dissipated more intensively not only through the grain
251 rearrangement but also through the bond breakage inside the shear band in structured sand cases. In Fig.
252 5e, the compressive and tensile contact forces are marked as black and red lines, respectively, with the line
253 thickness being proportional to the magnitude of contact force. Compared with the compressive contact
254 forces, the tensile contact forces are far smaller and hence the red lines can be only observed with an
255 enlarged view. As expected, within the main localized shear zones, the force chains are relatively sparse
256 for the sand dilatancy and most of the stronger ones gradually rotate so that their preferred directions tend
257 to be perpendicular to the retaining wall or the shear bands (see Fig. 5e), which is in agreement with the
258 observation by Nikta et al. [37]. In the triangle region between retaining wall and shear zone, the strong
259 force chains mainly develop along the inclination of linear/curved shear zone at the T/RT mode, and those
260 of RT mode distribute more non-uniformly with depth implying a significant stress redistribution behind
261 the retaining wall.

262 *3.1.2. Stress path inside the shear band*

263 The evolution of stress status (or the stress path) inside the shear failure zone is monitored and
264 discussed in this subsection, taking the structured sand I case as an example. A series of local
265 measurement circles with the same radius of 75 mm as global ones, as representative element volumes,
266 were placed inside the shear band prior to the simulation, as illustrated in Fig. 6. The mean stress and

267 deviatoric stress are calculated as $p = \frac{\sigma_1 + \sigma_3}{2} = \frac{\sigma_x + \sigma_y}{2}$ and $q = \frac{\sigma_1 - \sigma_3}{2} = \sqrt{\left(\frac{\sigma_x - \sigma_y}{2}\right)^2 + \tau_{xy}^2}$,
268 respectively (where σ_1 and σ_3 are the major and minor principal stresses, respectively, σ_x and σ_y
269 are the horizontal and vertical stresses, respectively, and τ_{xy} is the shear stress on the plane normal to
270 the horizontal direction). In Fig. 6, the strength envelopes are plotted based on the elementary testing
271 results (as listed in Table 1, and see Appendix). K_0 lines are given by $K_0 = 1 - \sin\varphi$ where the frictional
272 angle is also determined from the elementary tests. It can be seen that, in this case, both the initial and
273 failure points of the boundary value problem fall at the analytical lines with parameters from the
274 elementary tests, suggesting the macro properties of granular soils from designed elementary tests are
275 applicable to the boundary value problem studied here.

276 The stress path starts at a point (which depends on the stress level and hence the depth of interest) of
277 the K_0 line, and then moves towards the mean stress axis, representing the decrease of the deviatoric
278 stress. It owes to that the horizontal stress which initially acts as the minor principal stress gradually
279 grows and surpasses the vertical stress becoming the major principal stress. With the increase of the
280 retaining wall displacement or rotation angle, the horizontal stress is further mobilized, making both the
281 mean and deviatoric stresses increase continuously. Those stress paths are all limited by the peak
282 strength envelope at the critical displacement of the retaining wall (literately, the passive failure state).
283 Thereafter, the stress paths drop towards the residual strength envelope accompanied by the shear band
284 formation.

285 To sum up, the geometry features of the shear failure zone mainly depends on the retaining wall
286 movement mode, while the degree of shear strain localization tends to increase with the bond strength
287 (cohesion) of sand ground. The progressive formation of shear band, especially in the structured sand

288 grounds, can be well captured by the DEM micro scale information, e.g. the bond breakage ratio, APR,
289 void ratio, force chains and stress path.

290 *3.2. Evolution of lateral earth pressure and resultant force*

291 In this section, the evolutions of distributed lateral earth pressure and the resultant force during the
292 retaining wall movement are discussed for all cases, addressing the effects of the wall movement mode
293 and inter-particle bond strength.

294 *3.2.1. Distribution of lateral earth pressure*

295 To analyze the effect of inter-particle bond structures of sand grounds on the lateral earth pressure, two
296 cases: pure sand and structured sand I, under the basic movement mode (i.e. T mode) are selected. The
297 distributions of lateral earth pressure at different stages for the two cases are provided in Fig. 7. The
298 theoretical at-rest earth pressure σ_0 and the modified Rankine solution of passive earth pressure σ_p
299 considering the cohesion effect [41] are also presented for comparison. They are given by

$$300 \quad \sigma_0 = \gamma z K_0 \quad (3)$$

$$301 \quad \sigma_p = \gamma z K_p + 2c\sqrt{K_p} \quad (4)$$

302 respectively, where z is the depth, γ is the soil unit weight, and $K_p = \tan^2(\pi/4 + \varphi/2)$ (φ
303 corresponds to the peak internal friction angle given in Table 1) is the passive earth pressure coefficient.

304 At the initial K_0 state, the measured lateral earth pressure has a good agreement with the theoretical
305 solution (Eq. (3)). Due to the identical translational displacement along the wall depth, the soils behind
306 the retaining wall are mobilized uniformly at the T mode. Consequently, the lateral earth pressure σ_h
307 tends to distribute linearly along the retaining wall independently of s_{avg}/h . The peak lateral earth
308 pressure σ_p at the passive state is therefore mobilized almost simultaneously along the wall depth

309 regardless of the soil cohesion, which evidences the Rankine assumption. The finding about
310 simultaneous mobilization of σ_h in pure sand behind the retaining wall moving at the T mode has also
311 been revealed experimentally by some other studies (e.g. Fang et al. [9]). This conclusion is extended to
312 the structured sands in the study. Note that, the critical s_{avg}/h is defined as the s_{avg}/h at the passive (peak)
313 state of the lateral earth pressure σ_p (or the peak resultant force E_p). As observed from Fig. 7, the critical
314 s_{avg}/h to the passive state of σ_h is about 4% ~ 5% in the pure sand case, which falls in the empirical
315 range summarized by Clough and Duncan [1] and Zhang et al. [28]. In the structured sand I case,
316 however, it is a bit smaller at around 3%. Note that, the value of critical s_{avg}/h is affected by the wall-soil
317 interface friction and other granular properties in addition to the cohesion [9, 15]. Moreover, the distinct
318 post-peak softening behavior of the lateral earth pressure can be observed in the structured sand I case,
319 which is absent in the hardening pure sand. For the structured sand cases, the lateral earth pressure σ_h
320 gradually decreases to the residual value σ_r with the further increase of s_{avg}/h , which approximates the
321 passive earth pressure σ_p of the pure sand case calculated by Eq. (4) with $c = 0$. Generally, the lateral
322 earth pressure at the post-peak stage also remains linearly distributed along the depth though slight
323 non-uniformity is exhibited during its declination.

324 Regarding the rotation modes, nonlinear distribution of lateral earth pressure along the depth is
325 apparent in the structured sand case indicating the non-uniform mobilization of soils behind the
326 retaining wall, which is similar to the pure sand case. As shown in Fig. 8, at the RB mode, the lateral
327 earth pressures near the wall toe are far less mobilized than those at shallow depths and the soils may
328 not reach the passive failure state in theory. While at the RT mode, the soils near the wall toe are more
329 quickly mobilized to the passive state with the lateral earth pressure close to the Rankine solution,
330 compared to the less mobilized counterparts near the wall top. Such that, only a portion of the soils

331 behind the retaining wall can be fully mobilized to the passive state at the rotation modes, which is
332 expected to decrease the peak resultant force E_p acting on the retaining wall. Moreover, the early
333 mobilized soils may enter the post-peak softening stage when the later mobilized soils just approach or
334 still far below the peak, further reducing the peak resultant force on the wall.

335 It can be clearly observed from the figures that, the classical Rankine solution can predict the passive
336 earth pressure only for the T mode, which needs to be adjusted to account for a) the non-uniform
337 mobilization of soils behind a rotating retaining wall, and b) strain softening in structured sand ground.
338 Note that the progressive growth of lateral earth pressure σ_h before reaching the passive state and its
339 post-peak softening in structured sand cases are essentially related to the lateral displacement s behind
340 the retaining wall. This is supported by the following facts, as observed in Fig. 8.

- 341 • Although the critical s_{avg}/h (or critical θ) required to achieve the peak lateral earth pressure
342 σ_p is observed to be different along wall depth under the rotation modes (e.g. around 1% ~ 2%
343 near the wall top at the RB mode or the wall toe at the RT mode, and approximately 3%
344 behind the central point of the retaining wall for the both modes), the values of s/h basically
345 coincide with the critical s_{avg}/h (i.e. around 3% as aforementioned) observed at the T mode.
- 346 • Except for the portions near the rotation center, the lateral earth pressure σ_h along the
347 rotating wall exhibit somewhat softening, which is in accordance with the post-peak behavior
348 at the T mode.

349 In addition, Fig. 9 compares the lateral earth pressure distributions at certain values of s_{avg}/h for all
350 cases. As shown in the figure, the general findings obtained from the structured sand I case are also
351 valid for the other two structured sand cases, though the earth pressure magnitude and distribution

352 curvature vary among cases. For each displacement mode, the larger the bond strength is, the higher the
353 lateral earth pressure can be mobilized and hence more significant post-peak softening can be produced.

354 3.2.2. Evolution of resultant force and action point

355 The reaction force directly measured from the retaining wall should be balanced by the integration of
356 the earth pressure along the wall (i.e. the resultant force on the wall) in the quasi-static condition. Fig.
357 10 provides the evolutions of reaction force E_h in the structured sand I case for all three movement
358 modes. The theoretical values of E_0 and E_p are also given for comparison. They can be derived from Eq.
359 (3) and (4), given by

$$360 \quad E_0 = \frac{1}{2} \gamma h^2 K_0 \quad (5)$$

$$361 \quad E_p = \frac{1}{2} \gamma h^2 K_p + 2ch\sqrt{K_p} \quad (6)$$

362 respectively. The mobilized peak cohesion and internal friction angle (i.e. c and φ) used in Eqs. (3)-(6)
363 here were taken from the elementary test (as given in Table 1). This has been justified in Fig. 6 where the
364 stress paths of soils behind the retaining wall during passive failure are well governed by the strength
365 envelopes (as functions of c and φ) obtained from the elementary biaxial compression tests, though the
366 actual mobilized cohesion and internal frictional angle to the passive state might be slightly different and
367 governed by diverse factors, e.g., wall movement mode, wall roughness and soil types [6]. The
368 consistency of mobilized soil properties in the two tests leads to the good agreement between the DEM
369 and analytical (Eqs. (4) and (6)) results of lateral earth pressure σ_h and its resultant force E_p at the
370 passive state for the T mode, as presented in Figs. 7 and 10. As shown in Fig. 10, the curves of E_h against
371 s_{avg}/h at the T and RT modes show notable softening tendency, while hardening trend is recognized at
372 the RB mode. The simulated peak reaction force E_p at the T mode is just about 5% smaller than the
373 Rankine solution given by Eq. (6), while the values at the rotation modes are nearly 15% smaller than

374 the Rankine solution. Note that, the trend of E_h and its peak value E_p mainly depend on the earth
375 pressures acting at the bottom segment of wall because of the higher stress level there, which are
376 significantly affected by the ‘soil arching’ (as stated later in section 4.2). Hence, for the RT mode, the
377 post-peak softening behaviors of the more quickly mobilized earth pressure σ_h near the wall bottom
378 dominates the significant softening trend of E_h-s_{avg}/h . As the wall toe displacement is twice larger than the
379 average at the wall center, a smaller (i.e. around 50%) critical s_{avg}/h of E_p can be observed at the RT mode
380 than the T mode. At the RB mode, however, the wall toe displacement is relatively smaller than the critical
381 value, and thus the post-peak decrease of the earlier mobilized σ_h at shallow depths is compensated by
382 the later mobilized higher σ_h at the bottom segment of wall, leading to the hardening trend of E_h-s_{avg}/h .

383 Fig. 11 compares the reaction forces in all cases. Despite the bond strength, the trends (i.e. softening
384 at the T and RT modes and hardening at the RB mode) of E_h observed from the structured sand I case
385 are valid for the other structured sand cases. Due to the hardening trend of E_h-s_{avg}/h , a characteristic
386 reaction force determined by the intersection of two linear trending lines [62] is chosen as a representative
387 of the ‘peak’ value at the RB mode, as depicted in Fig. 11b. The peak reaction force E_p increases with the
388 increase of bond strength despite the wall movement mode. The critical values of s_{avg}/h to the peak
389 reaction force E_p (i.e. peak point in the softening E_h-s_{avg}/h at the T and RT modes, and bilinear failure
390 point in the hardening E_h-s_{avg}/h at the RB mode) in the three structured sand cases fall in the range of
391 2.5%~3.5%, 1.5% ~ 2.0% and 1.0% ~1.5% for the T, RT and RB modes, respectively, which is due to
392 their similar bond breakage evolution and shear band formation history as discussed earlier in the paper.
393 Note that, for the T mode, the passive (peak) lateral earth pressure σ_p at different depths and the peak
394 reaction force E_p are mobilized almost at the same critical s_{avg}/h (Figs. 7b and 11a). The critical s_{avg}/h to E_p
395 is reached at the state when the passive earth pressure σ_p is mobilized near the wall toe and top,

396 respectively, for the RT and RB modes (Figs. 8, 11b and 11c). Moreover, at the T mode, the residual
397 reaction forces E_r of three structured sand cases all approach the peak reaction force E_p of the pure sand
398 case (Fig. 11a), as a result of the soil reconstitution within shear bands. Though for structured sands the
399 elementary tests provide consistent macro properties with the retaining wall boundary value problem, the
400 stress-strain responses in the two scales are slightly different for the pure sand case, with the elementary
401 test exhibiting slight strain softening (Fig. 16b) while the retaining wall test of T mode exhibiting
402 hardening E_h-s_{avg}/h (Fig. 11a). This means the threshold values of the void ratio e (and thus relative
403 density) for distinguishing strain hardening/softening behaviours might be different in the two scales,
404 which has also been investigated by some other studies [15, 61]. However, the macro property of the pure
405 sand, i.e., the frictional angle, is broadly the same in the two scales (as in Fig. 7a).

406 The action point of the reaction force is of great significance to assess the anti-overturning stability of
407 a retaining wall. Fig. 12 presents the evolutions of the normalized action point of E_h given by y/h (where
408 y is the distance from the wall toe to the action point of E_h) in all cases. For the pure sand case, y/h is
409 always close to the theoretical value, i.e. $1/3$, at the T mode while a bit higher around 0.47 at the RB
410 mode and lower around 0.25 at the RT mode, respectively. In contrast, for the structured sand cases, the
411 reaction force center y at the T mode firstly stays around $1/3h$ before reaching the passive state but then
412 slightly drops, which is in accordance with the slightly non-uniform softening of lateral earth pressure
413 along the wall depth, as evidenced in Figs. 7b and 9a. Note that, the slight non-uniformity during the
414 post-peak stage of σ_h would be neglected for simplicity in the following analysis.

415 **4. Assessment of passive force and overturning moment on rotating walls**

416 *4.1. Establishment of the semi-analytical solution*

417 As noted above, the mobilization of the lateral earth pressure σ_h towards the passive state and its
418 post-peak softening in structured sand cases essentially depend on the lateral displacement of different
419 depths behind the retaining wall. As the lateral displacement of soils behind the wall is the same over
420 the depth, the relationship between the reaction force and the lateral displacement at the T mode has
421 been adopted as a cornerstone for the assessment of lateral earth pressure at the rotation modes.
422 Moreover, at the T mode, the Rankine passive solutions with cohesion and non-cohesion can well
423 describe the numerical peak and residual results, respectively, which are adopted in the proposed fitted
424 solutions to the rotation modes to ensure a simple application.

425 To compare the numerical results with the Rankine solutions, the normalized numerical reaction force
426 E_h/E_p (E_p is the Rankine passive resultant force) against s_{avg}/h is plotted at the T mode for all sand cases
427 in Fig. 13a. The theoretical values of E_r/E_p for both cohesive and cohesionless sand cases are also given
428 in the figure. The theoretical residual resultant force E_r in all sand cases can be given by the Rankine
429 solution of E_p without cohesion (Eq. (6)), and hence $E_r/E_p = 1$ for the pure sand case as the hardening
430 behavior is relevant. Note that, at the T mode, the numerical results of E_p and E_r in all cases are close to
431 the Rankine solutions with the differences between 5% and 10%. Moreover, for a better fitting later, the
432 curves of $E_h/E_p - s_{avg}/h$ in structured sand cases at the T mode can be divided into two stages, i.e., the
433 pre-peak stage (i.e. from the initial K_0 state to the passive state) and the post-peak stage (i.e. from the
434 passive state to the residual state), separated at the critical s_{avg}/h (hereinafter denoted by s_{cri}^p/h). By
435 contrast, only the pre-peak stage is relevant for the pure sand case.

436 On this basis, the relationships of numerical reaction force and lateral displacement at the T mode for
 437 both cohesive and cohesionless sand cases are fitted. To standardize the fitting process, the numerical
 438 reaction force E_h at the T mode is normalized as $\frac{E_h - E_0}{E_p - E_0}$ and $\frac{E_h - E_r}{E_p - E_r}$ (where E_0 , E_p , and E_r are
 439 numerical results) for the pre-peak and post-peak stages, respectively. Meanwhile, the lateral
 440 displacement s_{avg} is normalized as $\frac{s_{avg}}{s_{cri}^p}$ and $\frac{s_{avg} - s_{cri}^r}{s_{cri}^r - s_{cri}^p}$ (where the parameter s_{cri}^r represents the
 441 value of s_{avg} achieving 95% reduction in $\frac{E_h - E_r}{E_p - E_r}$, as used in Zhang et al. [49]) for the pre-peak and
 442 post-peak stages, respectively. Such that, the normalized values can be forced to range between zero and
 443 unity. Figs. 13b and 13c give the scatters of the normalized numerical data and the exponential fitting
 444 curves for the pre-peak and post-peak stages, respectively. The best fit of all numerical data using the
 445 least squares method gives

$$446 \quad \begin{cases} \frac{E_h - E_0}{E_p - E_0} = -e^{\left(-\alpha \frac{s_{avg}}{s_{cri}^p}\right)} + 1 & \left(\begin{array}{l} \text{pure sand} \\ \text{structured sand } (s_{avg} \leq s_{cri}^p) \end{array} \right) \\ \frac{E_h - E_r}{E_p - E_r} = e^{\left(-\beta \frac{s_{avg} - s_{cri}^r}{s_{cri}^r - s_{cri}^p}\right)} & \left(\text{structured sand } (s_{avg} > s_{cri}^p) \right) \end{cases} \quad (7)$$

447 for the pre-peak and post-peak stages, respectively. Note that, the fitting parameters α and β are
 448 problem specific and here valued at 3.91 and 2.97, respectively. Their values may change from case to
 449 case and can be determined through the resultant force - lateral displacement response under the T mode.

450 As the lateral earth pressure of different depths is considered to be mobilized uniformly at the T mode,
 451 the fitting curves of the normalized reaction force are expected to work for the normalized earth
 452 pressure as well, i.e.,

$$\begin{cases} \frac{\sigma_h - \sigma_0}{\sigma_p - \sigma_0} = -e^{\left(-\alpha \frac{s}{s_{cri}^p}\right)} + 1 & \left(\begin{array}{l} \text{pure sand} \\ \text{structured sand } (s \leq s_{cri}^p) \end{array} \right) \\ \frac{\sigma_h - \sigma_r}{\sigma_p - \sigma_r} = e^{\left(-\beta \frac{s - s_{cri}^p}{s_{cri}^r - s_{cri}^p}\right)} & \left(\text{structured sand } (s > s_{cri}^p) \right) \end{cases} \quad (8)$$

453 Where the two fitted parameters $\alpha = 3.91$ and $\beta = 2.97$ are obtained, respectively, as in the Eq. (7), the
454 lateral displacement s along the wall depth can be expressed as $s = \dot{\theta}tz$ and $s = \dot{\theta}t(h - z)$ (where t is
455 the time) at the RT and RB modes, respectively. The Eq. (8) is determined by four basic parameters: the
456 passive and residual earth pressures (i.e. σ_p and σ_r), and the critical lateral displacements to the peak
457 and residual states (i.e. s_{cri}^p and s_{cri}^r). The σ_p and σ_r can be calculated based on the Rankine
458 theory (Eq. (4)) with certain c and φ), while the s_{cri}^p and s_{cri}^r can be determined by the numerical
459 results. As observed from Fig. 13a, the s_{cri}^p / h is about 3% to 5%, which here is set to 3.25% and
460 4.25% for the pure and structured sand cases, respectively. The s_{cri}^r / h is only relevant for the
461 structured sand cases and set to 7.25% here. Note that, those four basic parameters can also be
462 determined by other theoretical solutions, numerical modelling or physical tests for the T mode. In
463 addition, the wall roughness has effects on both strain localization characteristics and mobilization of
464 lateral earth pressure [19, 58], which has not been considered in the current study. Some caution should be
465 taken in application of the developed prediction in a rough wall case as the same in using the (modified)
466 Rankine solution, though the prediction based on a smooth wall is generally conservative.

468 *4.2 Applications on the rotating wall cases*

469 Based on the exponential fitted solution (Eq. (8)), the distributions of lateral earth pressure σ_h at
470 different rotation angles of the retaining wall are assessed for the RB and RT modes. As shown in Figs.
471 14a and 14b, non-linear distribution of the lateral earth pressure can be reflected by the proposed
472 solution. Specially, the earth pressure is less mobilized near the rotation center of the wall and reaches

473 the peak or even post-peak softening stage near the other end of the wall. By integrating the lateral earth
474 pressure along the wall depth, the reaction force E_h , action point, and overturning moment M_h can also
475 be assessed. Figs. 14c and 14d compares the proposed solutions and numerical results of the evolved
476 reaction force and overturning moment on the rotating retaining wall, taking the structured sand I case
477 as an example. The exponential fitted predictions and numerical data of the peak reaction force E_p ,
478 action point y/h , and peak moment resistance M_p for all cases are also listed in Table 2. As observed, the
479 proposed solution modified from the Rankine solution can well agree with the peak reaction force and
480 overturning moment measured from the DEM modelling, with most of the difference less than 15%.
481 The predicted peak reaction force is slightly higher than the numerical data. However, the predicted
482 peak moment resistance is slightly smaller than the numerical data due to the smaller moment arm (i.e.
483 from the reaction force point to the rotation center) predicted, indicating a conservative estimation.

484 The slight differences between the proposed solutions and the numerical results result from the
485 inaccurate predictions of the lateral earth pressure σ_h at certain locations of the rotating wall, as
486 presented in Figs. 14a and 14b. This can be mainly attributed to the significant stress redistribution by
487 ‘soil arching’, whereby soils are more mobilized at some locations compensating less mobilized nearby
488 areas, and the soil arching effect tends to be more significant in stronger sand grounds, as shown in Figs.
489 9b and 9c. This stress redistribution phenomenon, which dooms to add nonlinearity to the earth pressure
490 distribution, is not reflected in the proposed solution and worth further analysis. Two facts can be
491 revealed from the soil arching caused stress redistribution: a) it mainly affect the curvature of lateral
492 earth pressure distribution as well as the post-peak hardening/softening extent of integrated reaction
493 force E_h at RB/RT mode, but has little effect on the pre-peak E_h especially its peak value E_p , which is

494 verified in Fig. 14 and Table 2. b) the action center of reaction force may leave further away from the
495 wall rotation center and hence the overturning moment M_h is higher than the prediction.

496 Furthermore, the proposed displacement-controlled solution can be also used to assess the more
497 practical movement modes of retaining wall, i.e. rotation about a point below the wall bottom (RBT) or
498 above the wall top (RTT). As shown in Fig. 2, a parameter n is used to indicate the location of wall
499 rotation center. The RBT and RTT modes become the RB and RT modes respectively as n equals 0, and
500 become T mode as n approaches infinity. Here the two cases (one RBT and one RTT) were selected with n
501 = 0.5 in each case to compare the DEM numerical results and the predictions by the proposed solution, are
502 given in Fig. 15. Compared with RB (RT) mode, larger displacement is allowed near the wall toe (top) at
503 the RBT (RTT) mode at the same s_{avg}/h , and thus the higher lateral earth pressure can be mobilized there,
504 implying that the ‘soil arching’ effect is weakened. As a result, the nonlinearity of lateral earth pressure
505 distribution (i.e. the non-uniformity of earth pressure mobilization) is declined, and the peak values of
506 resultant force E_p and moment M_p tend to increase as the parameter n increases from 0 to 0.5 (Figs. 14 and
507 15), all of which can be well predicted by the proposed solution. Moreover, the slight softening tendency
508 of E_h-s_{avg}/h at the RBT mode (as marked in Fig. 15c) can be also basically grasped by the prediction,
509 indicating the gradual transition from rotation mode to T mode as n increases.

510 **5. Conclusions**

511 This paper has focused on the passive failure mechanism of the structured sand ground supported by a
512 retaining wall under three basic retaining wall movement (i.e. translation - T, rotation about the bottom -
513 RB, and rotation about the top - RT) modes. Semi-analytical solutions of the lateral earth pressure,
514 resultant force and overturning moment on the rotating retaining wall have been proposed. The analysis

515 has been conducted using the Discrete Element Method (DEM) with an advanced bond contact model
516 for structured sand. The main conclusions can be drawn as follows.

517 As the retaining wall translates or rotates towards the passive failure state, strain localization within a
518 band or multiple bands gradually becomes pronounced indicating the progressive formation of the
519 rupture surface/surfaces, which is accompanied by soil dilation and concentrations of inter-particle bond
520 breakage, particle rotation and shear displacement. The geometry characteristics of shear failure zone
521 are largely affected by the retaining wall movement mode, while its localization extent is mainly related
522 to the magnitude of bond strength. With a smooth wall-soil interface, the plane shear failure surface of the
523 T mode in the pure sand case is inclined at around $(\pi/4 - \varphi/2)$ to the horizontal as indicated in the
524 Rankine theory, while its inclination in structured sand cases is slightly larger. The stress state within the
525 shear failure zone evolves from the K_0 line to the peak strength envelope accompanied by the rotation of
526 principal stress, and then drops to the residual state as the shear band forms.

527 Both the wall movement mode and the magnitude of bond strength (or cohesion) have significant
528 effects on the evolution of lateral earth pressure as well as its resultant force. The lateral earth pressure
529 σ_h with the increasing wall displacement exhibits a hardening response in the pure sand case, while a
530 distinct post-peak softening response in the structured sand cases. The progressive mobilization of the
531 lateral earth pressure to the passive state and its post-peak softening response in structured sands
532 essentially depend on the lateral displacement of different depths behind the translating / rotating
533 retaining wall. In structured sands, the passive (peak) lateral earth pressure σ_p at different depths and its
534 peak resultant force E_p are mobilized almost at the same critical s_{avg}/h of around 2.5%~3.5% for the T
535 mode, while for the RT (or RB) mode, the peak (or characteristic) E_p is reached at a smaller critical s_{avg}/h
536 of around 1.5% (i.e. nearly 50% of the T mode) when the passive earth pressure σ_p is only mobilized

537 near the wall toe (or wall top). The numerical results of lateral earth pressure σ_h and resultant force E_h
538 at the peak and residual states for the T mode have a good agreement with the Rankine passive solutions.
539 With the same movement mode, the larger the bond strength is, the higher the lateral earth pressure can
540 be mobilized, and hence more significant post-peak softening can be produced.

541 Rankine theory-based solutions have been proposed to assess the resultant force and overturning
542 moment on the retaining wall at the rotation modes, considering the displacement-dependent
543 non-uniform mobilization of lateral earth pressure along the wall and its post-peak softening in the
544 structured sand. Input parameters of the proposed method include the passive and residual earth
545 pressures and their corresponding critical displacements. The former can be determined through the
546 classical Rankine solutions and the latter can be obtained from numerical modelling or physical tests.
547 The proposed method produces quite close predictions to the numerical results with respect to the peak
548 reaction force and overturning moment. This warrants an optimization for design of retaining walls
549 allowed to move rotationally.

550 The well predictions at the basic rotation (i.e. RB and RT) and more complex (i.e. RBT and RTT)
551 modes demonstrate the solidarity of the proposed exponential fitted solution. Main shortages of the
552 proposed solution include: a) the wall-soil interface is considered to be smooth to ensure the application
553 of the Rankine theory; b) the soil arching effect can not be reflected, leading to inaccuracies of the earth
554 pressure distribution, though which has been found to have little effect on the peak resultant force. Both
555 issues worth further studies which however do not reduce the credibility of the semi-analytical
556 framework proposed here.

557 The numerical results here could add contributions to the database of structured sands, and further
558 comprehensive studies (including both numerical and physical tests, and considering more practical

559 cases e.g. complex wall movements and wall roughness) are needed to solve the issue more
560 systematically. The fitted solution was proposed based on the dimensionless numerical results and
561 classical Rankine theory, which can provide a framework for future similar studies, and a careful
562 validation is still suggested before any applications.

563 **Appendix**

564 A series of numerical biaxial compression tests were performed with a strain rate of 5%/min under five
565 different confining pressures, i.e., 50 kPa, 100 kPa, 200 kPa, 400 kPa and 500 kPa. The grain size
566 distribution is uniform in all specimens and provided in Fig. 16a in comparison with the Ottawa sand
567 adopted by Wang and Leung [53]. To achieve computational efficiency, the DEM particles were
568 enlarged by a certain scale maintaining almost the same grain size distribution curve with the realistic
569 sands, as adopted in other studies [42, 43, 54, 55]. As has been investigated by [35-37], the magnitude of
570 d_{50} would not make an appreciable difference to the strain localization patterns and the E_h-s_{avg}/h
571 relationship, though a relatively large d_{50} can lead to a slightly increase of the shear band width and the
572 peak resultant force E_p .

573 It can be seen from Figs. 16b-16e that, the numerical results can well capture the cementation effect
574 on the mechanical properties of granular soils: a) the higher the cementation level, the higher the peak
575 strength; b) the residual strength is almost independent of the cementation level. Moreover, the peak
576 friction angles (30.21 °~ 31.73 °, as listed in Table 1) from the numerical modelling is rather comparable
577 to the experimental values (28.6 °~ 32.1 °).

578 **Acknowledgements**

579 The research has been supported by the National Natural Science Foundation of China with Grant
580 Nos. 51579178 and 51639008, which are all greatly appreciated.

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716

Table 1 Model parameters and target mechanical properties used in the DEM simulations

Parameters	Values			
	Pure sand	Structured sand I	Structured sand II	Structured sand III
Cohesion c [kPa]	0	25.2	44.7	62.5
Peak internal frictional angle φ [°]	30.21	30.86	31.59	31.73
Residual internal friction angle φ_r [°]	23.87	24.32	25.05	25.42
Particle density ρ [kg/m ³]			2600	
Inter-particle frictional coefficient μ^p			0.5	
Inter-particle rolling resistance coefficient β^p			1.4	
Normal contact stiffness of particle k_n^p [N/m]			2.0×10^8	
Tangential contact stiffness of particle k_s^p [N/m]			1.5×10^8	
Frictional coefficient of bond μ^b	/		0.5	
Critical bond thickness h_{max}^c [m]	/		0.0013	
Elastic modulus of bond E^b [kPa]	/		2.5×10^5	
Tensile strength of bond R_{tb} [N/m]	/	6.0×10^4	8.6×10^4	1.1×10^5
Compressive strength of bond R_{cb} [N/m]	/	1.3×10^6	1.75×10^6	2.3×10^6
Frictional coefficient between wall and particle μ^w			0	
Normal contact stiffness of wall k_n^w [N/m]			1.5×10^9	
Tangential contact stiffness of wall k_s^w [N/m]			1.0×10^9	

Table 2 Comparisons between numerical and empirical results at the passive state for all cases

All cases of target sands	E_p [kN]			y/h of E_p		M_h by E_p [kN m]			
	DEM	Prediction	Difference	DEM	Prediction	DEM	Prediction	Difference	
Pure sand	T	630.05	597.77	5.12%	0.343	0.337	/	/	/
	RB	415.07	442.56	6.62%	0.485	0.401	403.01	354.53	12.03%
	RT	574.57	579.46	0.85%	0.233	0.320	881.96	787.92	10.66%
Structured sand I	T	766.00	793.39	3.58%	0.366	0.373	/	/	/
	RB	575.77	617.07	7.17%	0.460	0.394	529.27	486.53	8.08%
	RT	699.97	722.75	3.25%	0.227	0.344	1082.22	948.33	12.37%
Structured sand II	T	896.00	945.21	5.49%	0.380	0.391	/	/	/
	RB	675.05	717.61	6.31%	0.456	0.423	615.95	607.56	1.36%
	RT	807.40	839.07	3.92%	0.222	0.351	1255.87	1089.42	13.25%
Structured sand III	T	1048.70	1074.90	2.50%	0.389	0.404	/	/	/
	RB	799.27	802.87	0.45%	0.433	0.420	691.86	674.30	2.54%
	RT	892.50	940.22	5.35%	0.206	0.360	1416.42	1203.41	15.04%

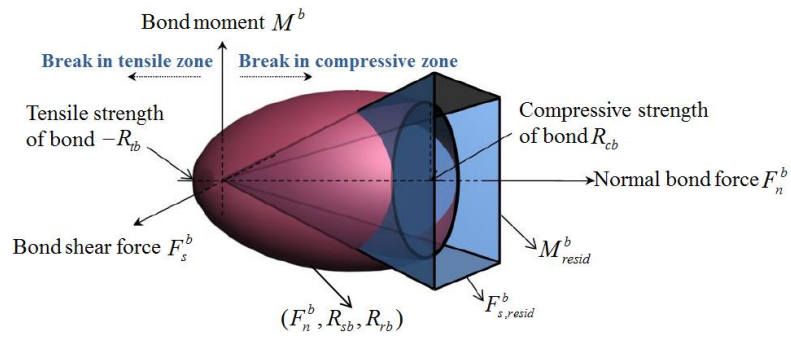


Fig.1 Bond strength envelope of the bond contact model [44]

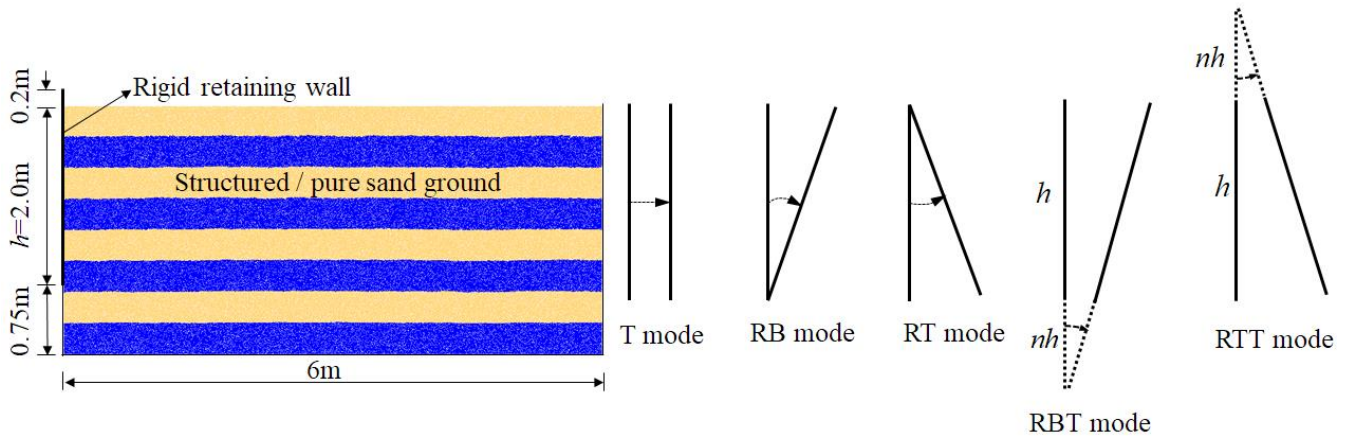


Fig.2 DEM modelling of sand ground with a rigid retaining wall and schematics of passive movement modes

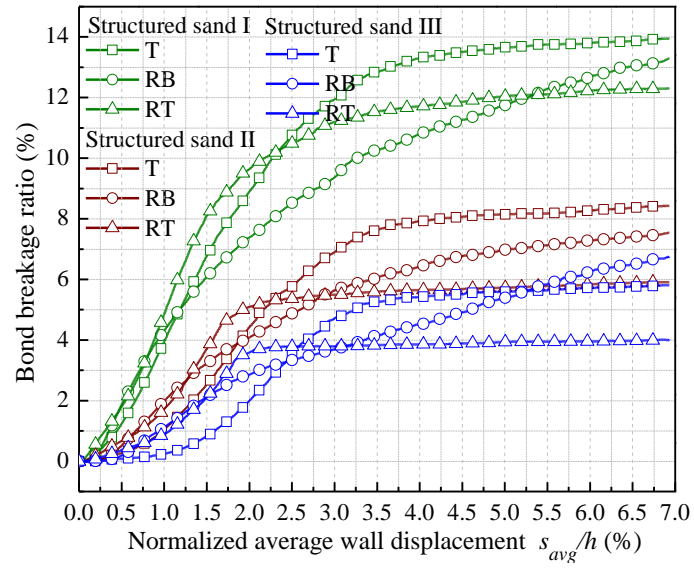
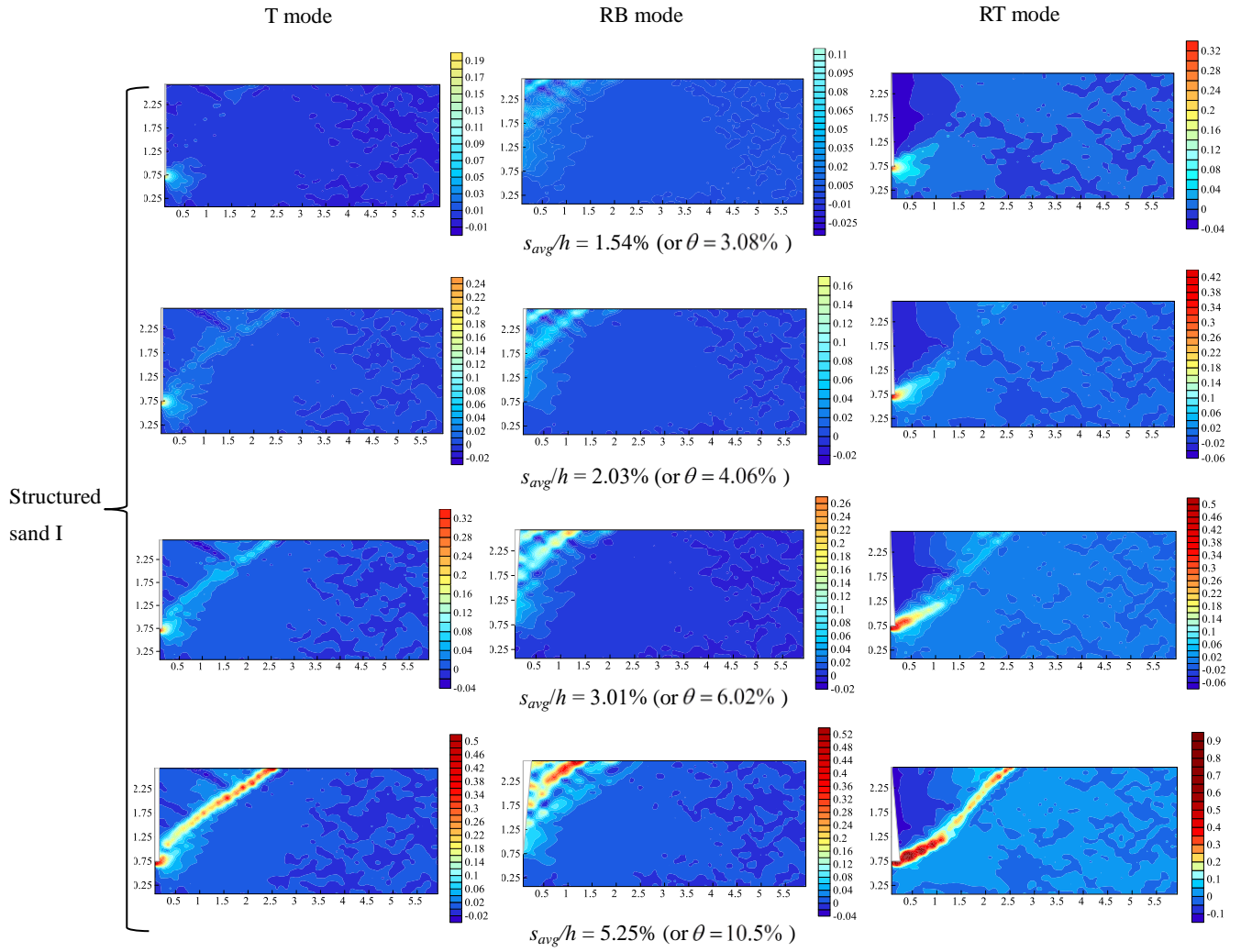
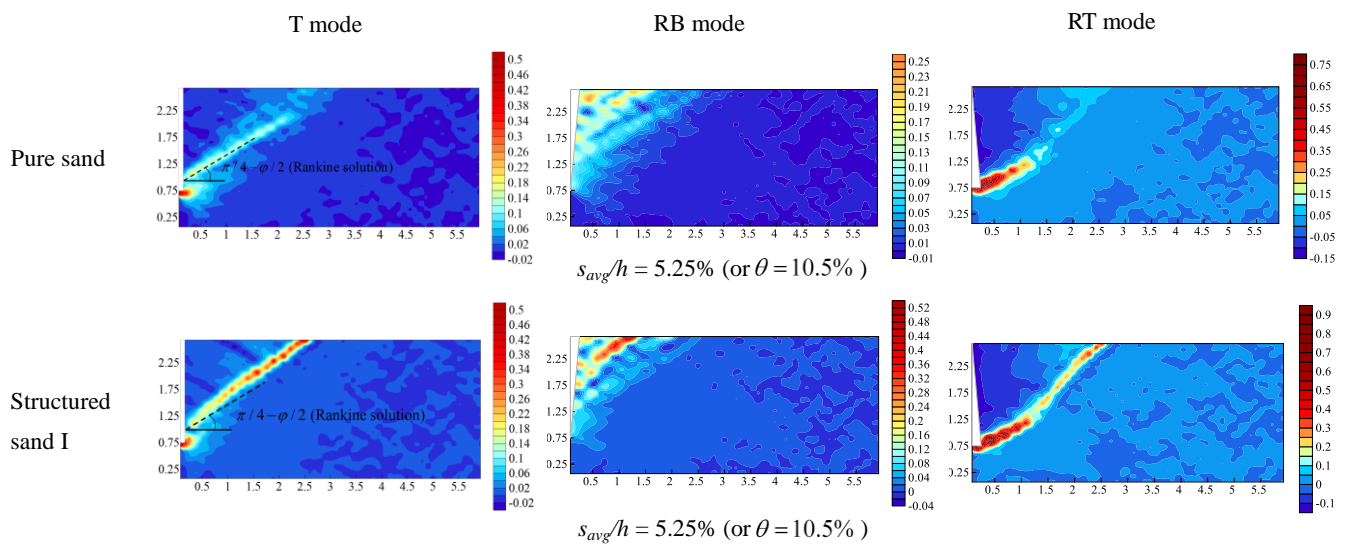
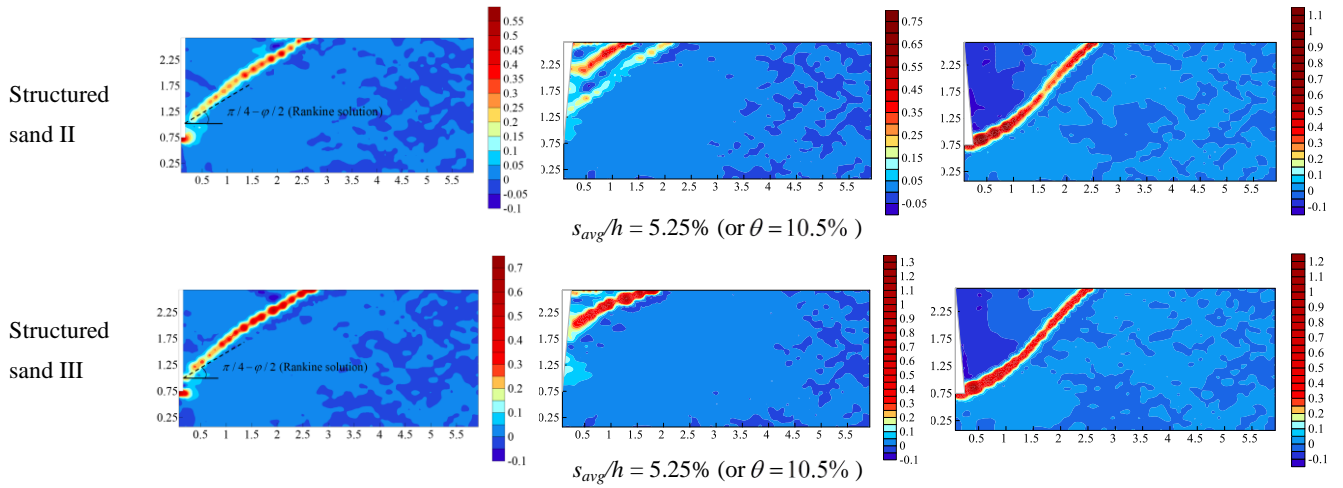


Fig.3 Evolution of bond breakage ratio against s_{avg}/h in all structured sand cases

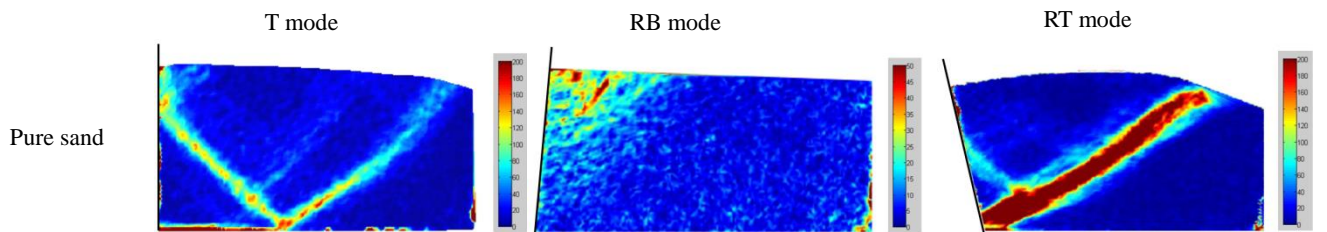


(a) Structured sand I case at the different s_{avg}/h by DEM modelling

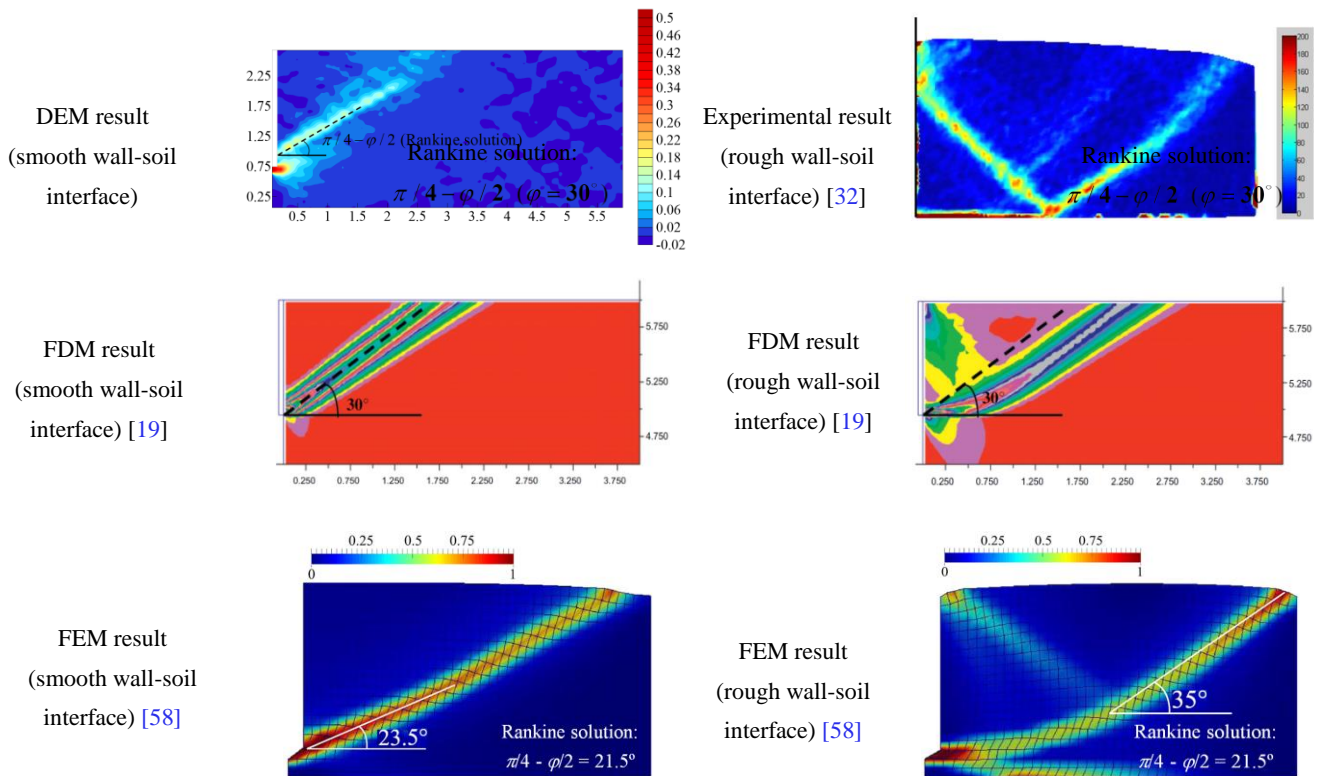




(b) Four sand cases at $s_{avg}/h = 5.25\%$ (or $\theta = 10.5\%$ at rotation movement modes) by DEM modelling



(c) Experimental results in initially dense pure sand with $s_{avg}/h = 6.94\%$ [32]



(d) Effect of wall-soil interface roughness on the shear strain contours in pure sand at the T mode

Fig.4 Contours of shear strain in different cases by numerical simulations and experiments

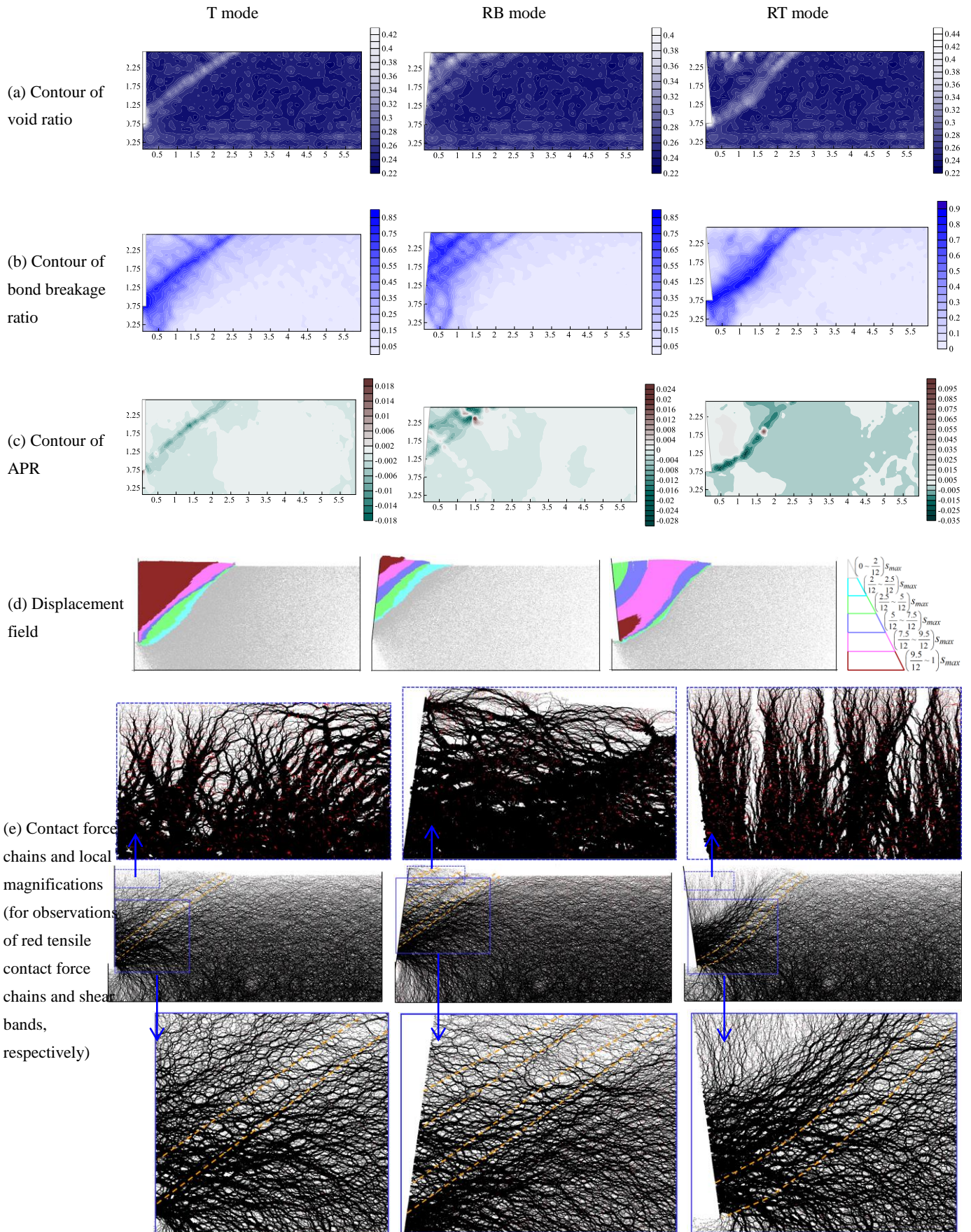
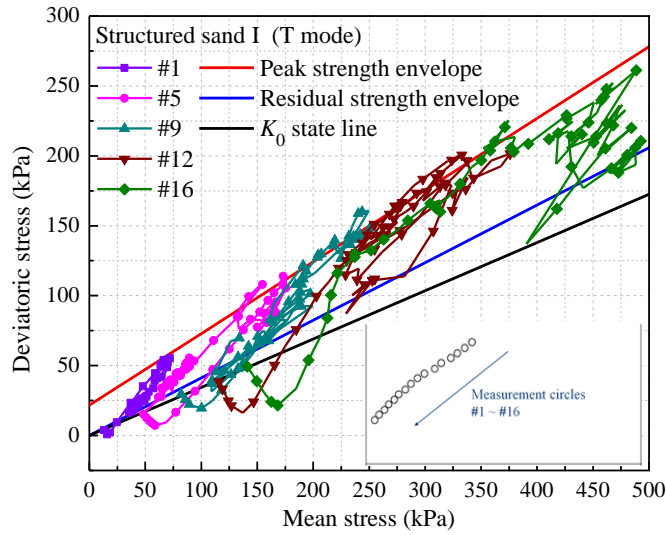
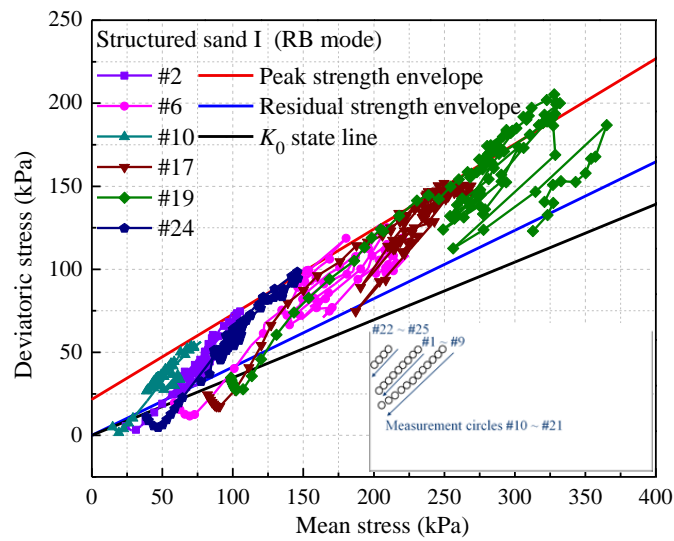


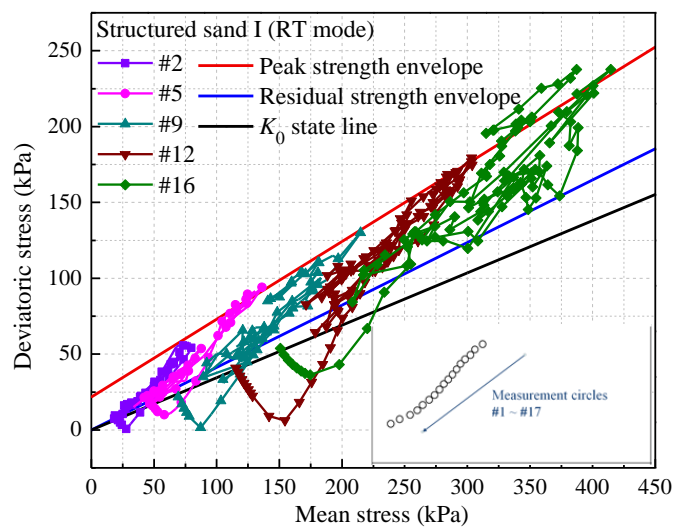
Fig.5 Related distributions in structured sand I case at $s_{avg}/h = 5.25\%$ (or $\theta = 10.5\%$ at rotation movement modes).



(a) At the T mode

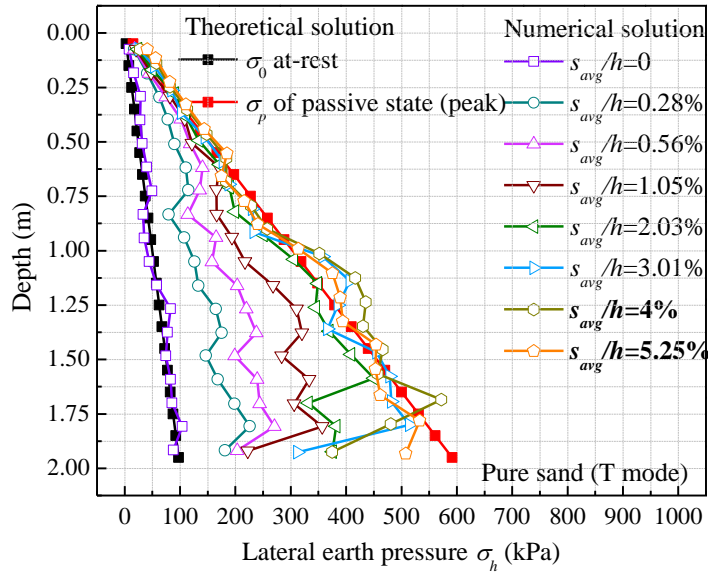


(b) At the RB mode

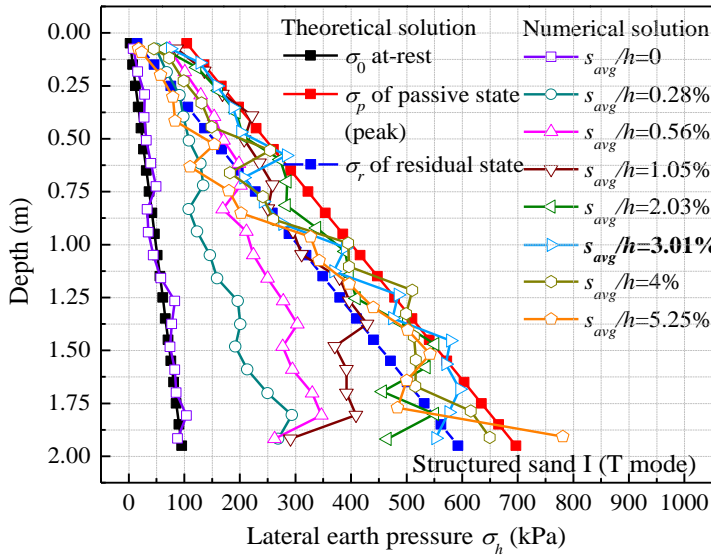


(c) At the RT mode

Fig.6 The traced stress paths of shear bands in structured sand I

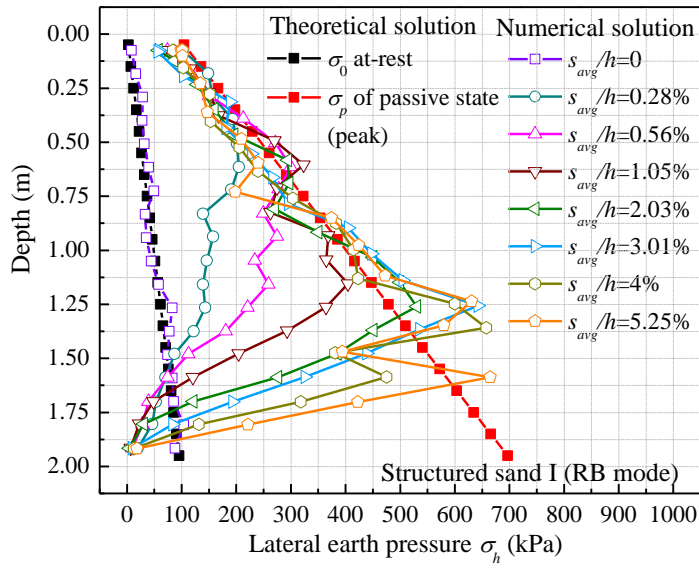


(a) In pure sand case

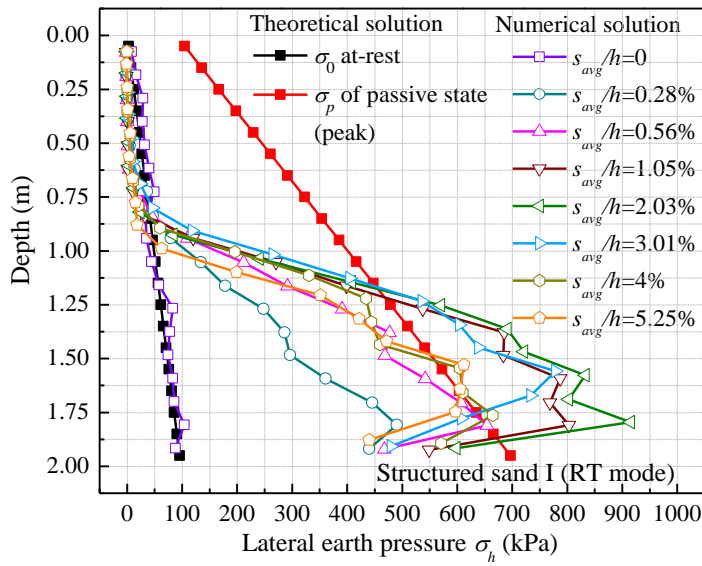


(b) In structured sand I case

Fig.7 Distribution of lateral earth pressure σ_h at different values of s_{avg}/h at the T mode

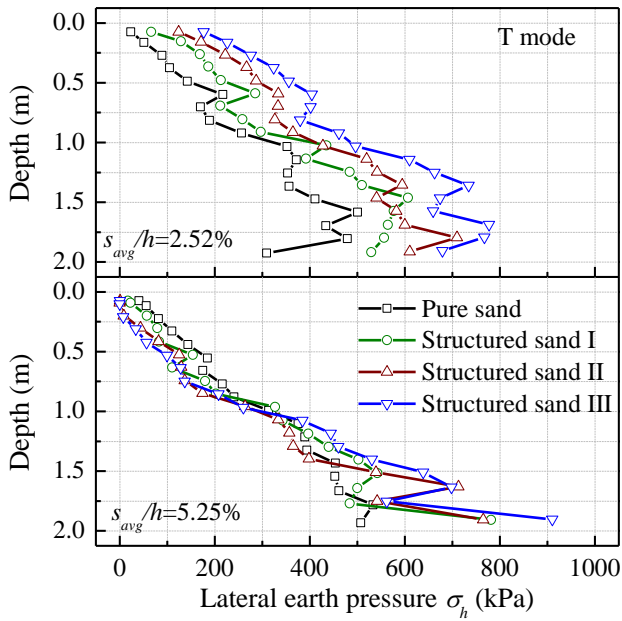


(a) At the RB mode

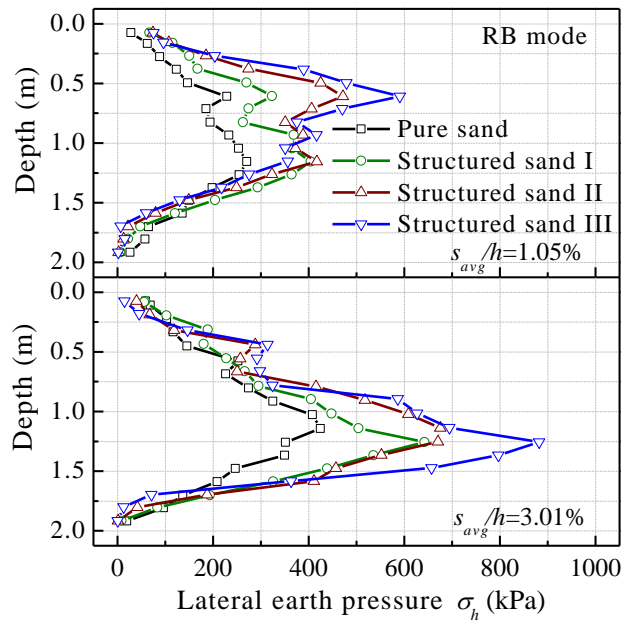


(b) At the RT mode

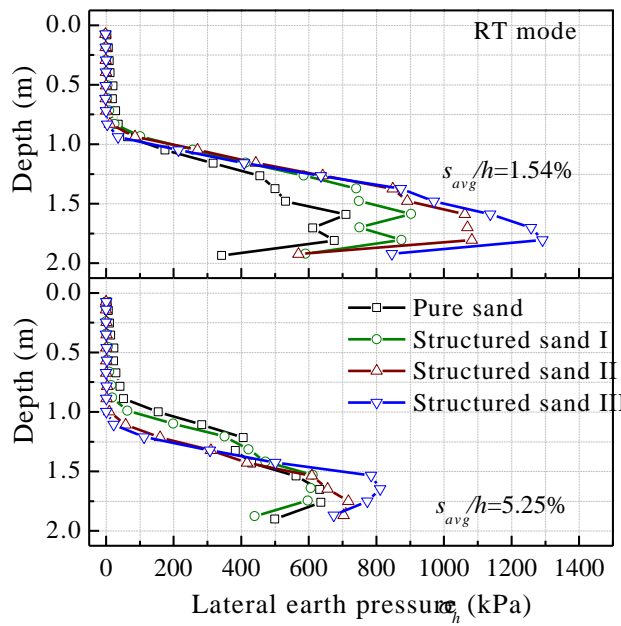
Fig.8 Distribution of lateral earth pressure σ_h at different values of s_{avg}/h in structured sand I case



(a) At the T mode



(b) At the RB mode



(c) At the RT mode

Fig.9 Comparisons on lateral earth pressure distributions at certain values of s_{avg}/h among all sand cases

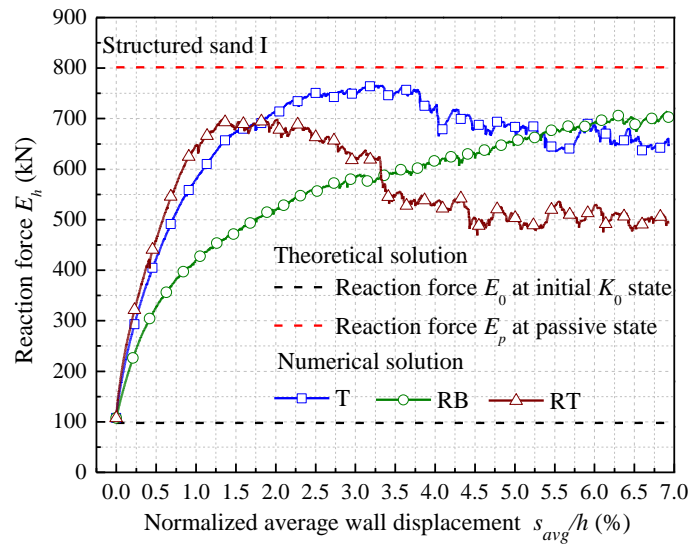
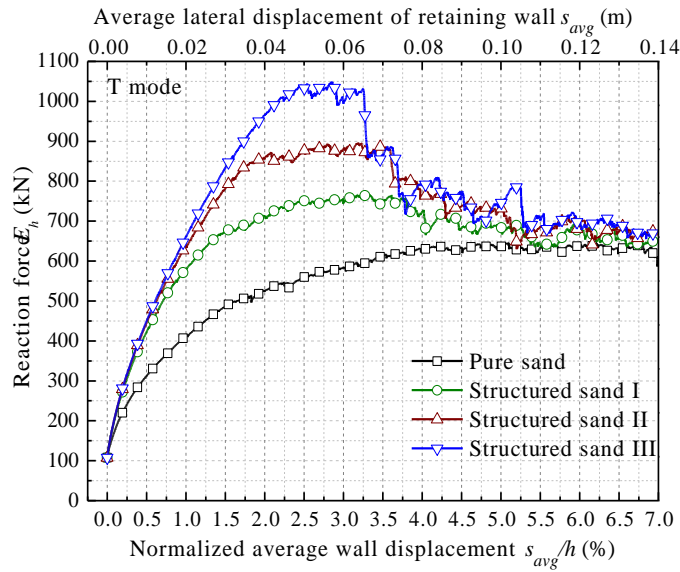
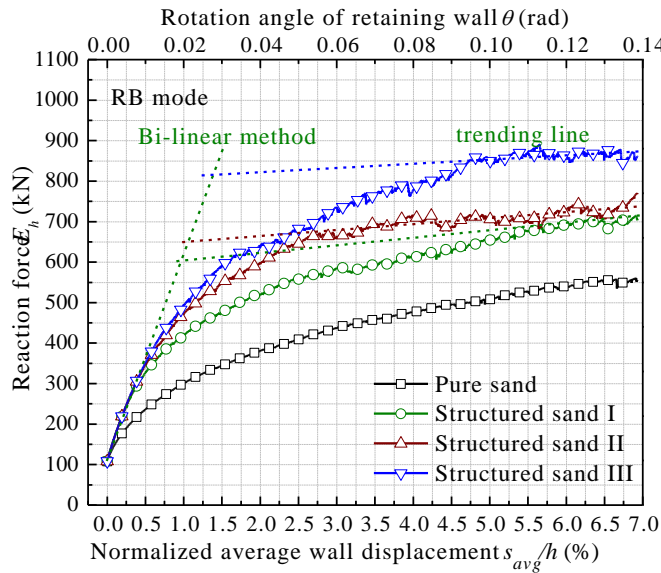


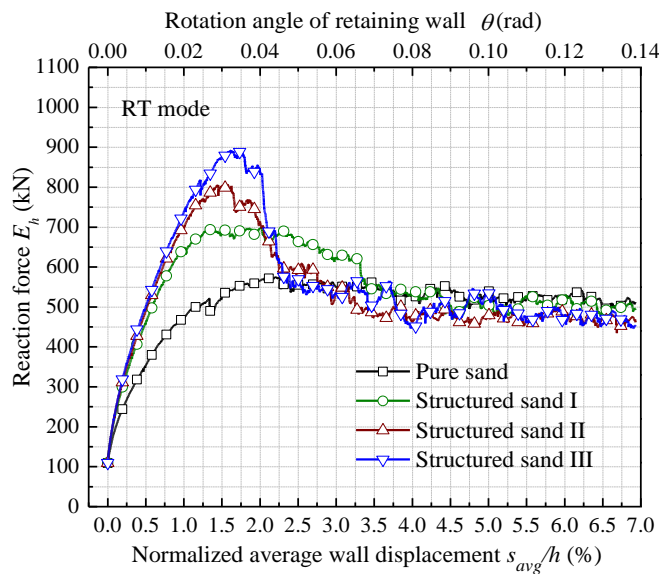
Fig.10 Evolutions of E_h against s_{avg}/h in structured sand I case



(a) At the T mode



(b) At the RB mode



(c) At the RT mode

Fig.11 Evolutions of E_h with s_{avg}/h in all sand cases

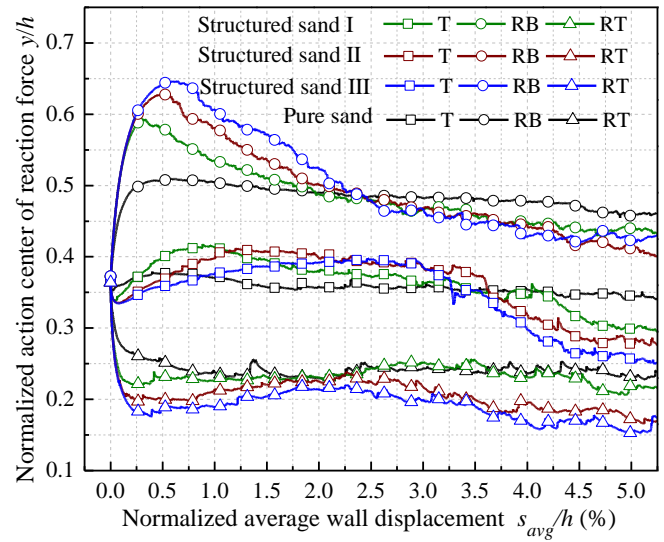
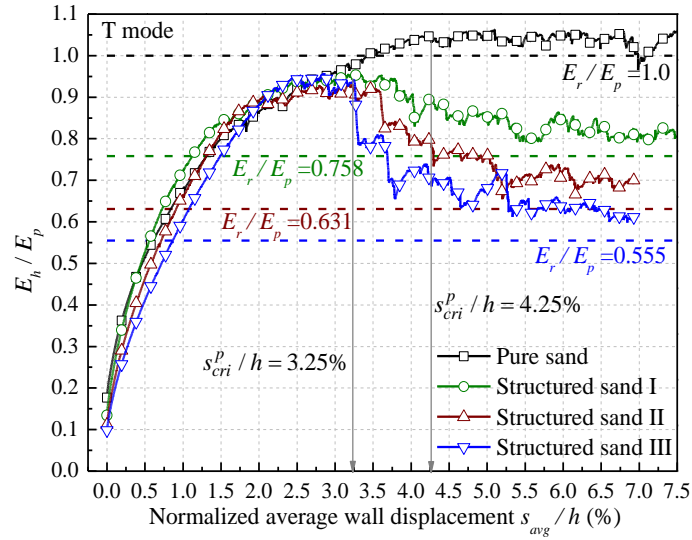
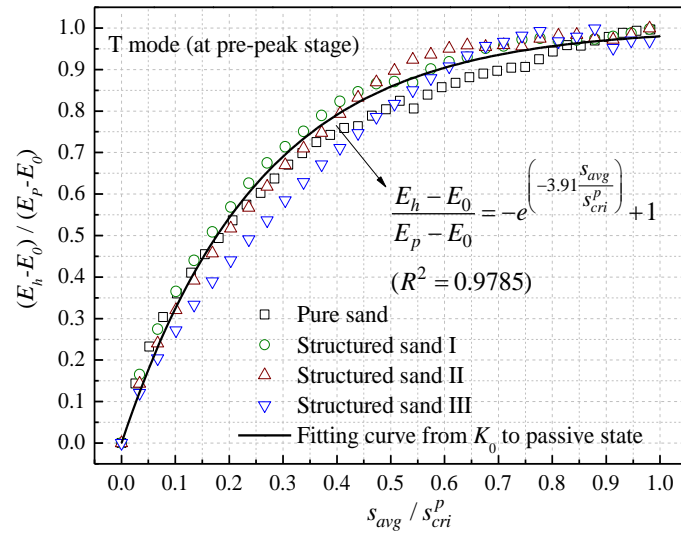


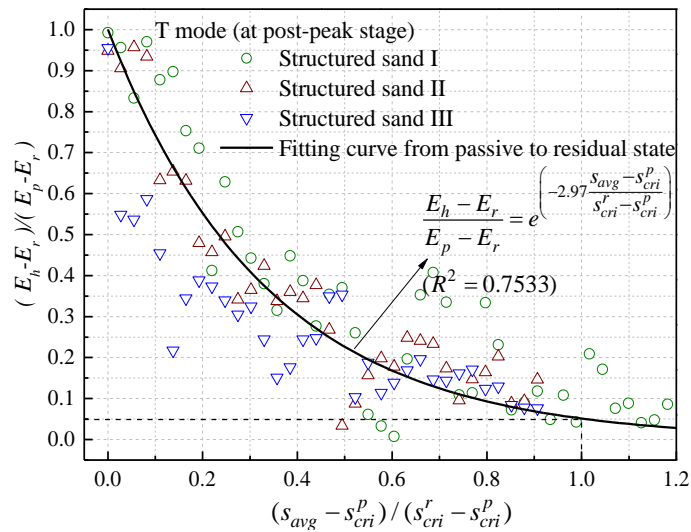
Fig.12 Evolutions of normalized reaction force center y/h in all sand cases



(a) Numerical reaction force E_h normalized by theoretical E_p (Rankine solution)

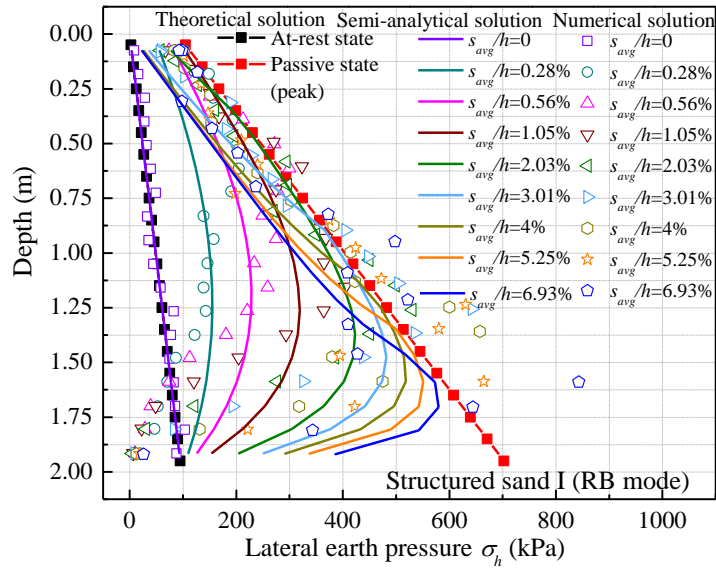


(b) Exponential fitting of normalized reaction force for the pre-peak stage

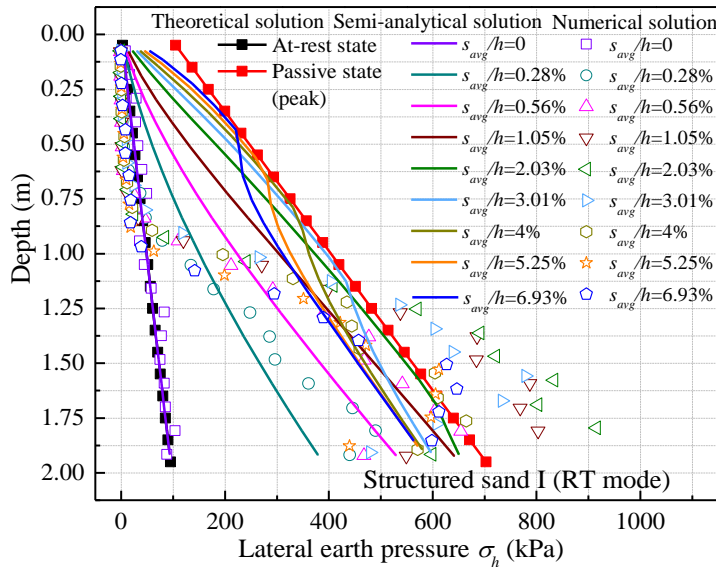


(c) Exponential fitting of normalized reaction force for the post-peak stage

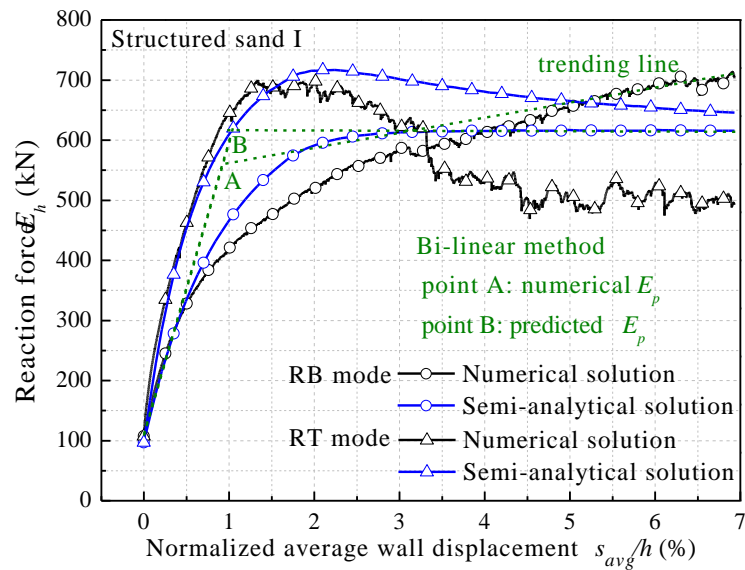
Fig.13 The numerical data of normalized reaction force and fitting curves at the T mode



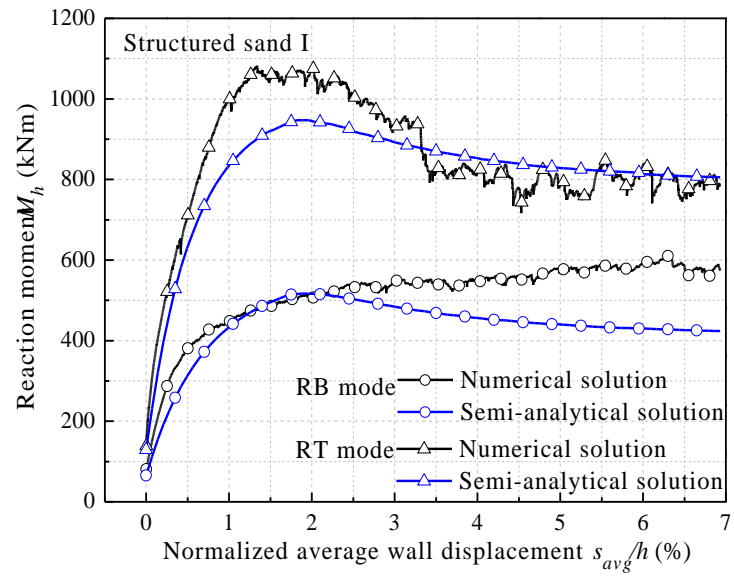
(a) Distribution of σ_h at different values of s_{avg}/h at the RB mode



(b) Distribution of σ_h at different values of s_{avg}/h at the RT mode

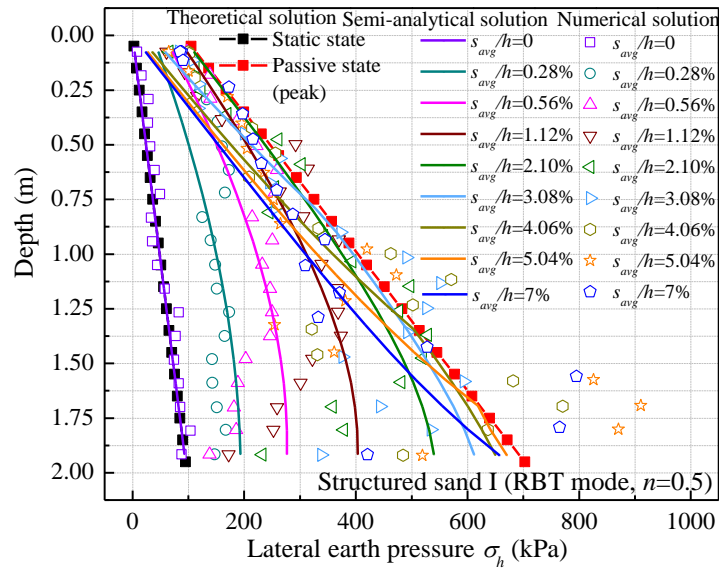


(c) Evolutions of E_h against s_{avg}/h at the RB and RT modes

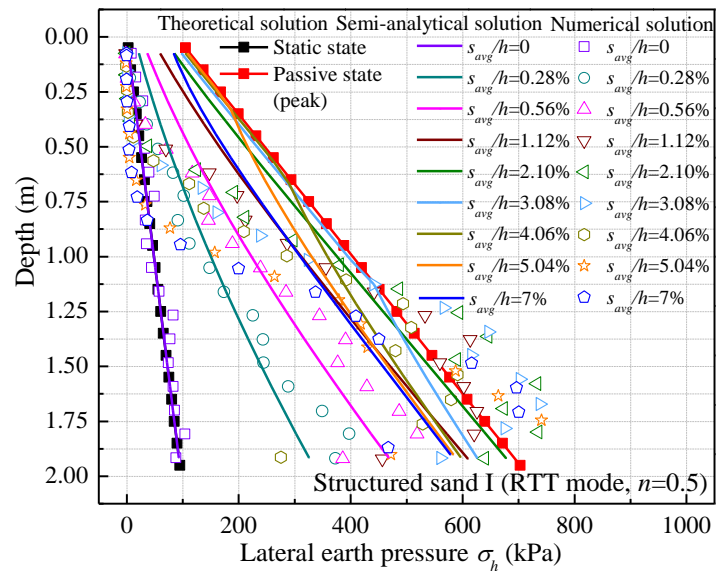


(d) Evolutions of M_h against s_{avg}/h at the RB and RT modes

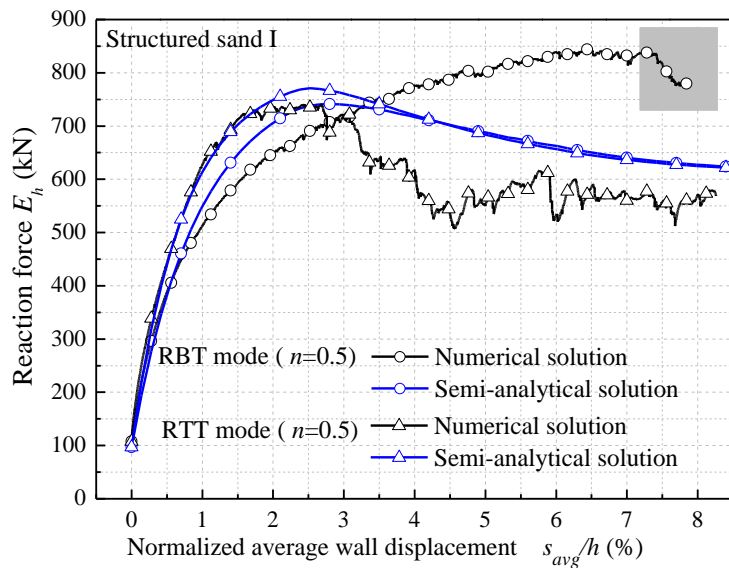
Fig.14 Comparisons on the numerical results and proposed semi-analytical solutions in structured sand I at the RB and RT modes



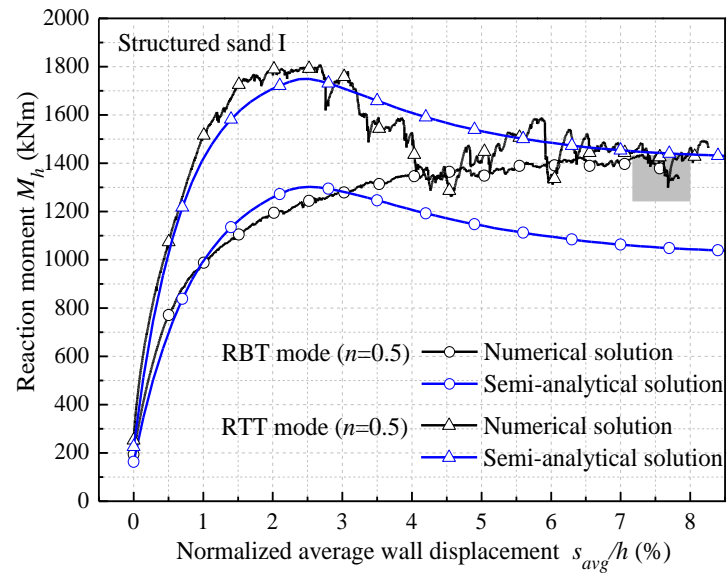
(a) Distribution of σ_h at different values of s_{avg}/h at the RBT mode



(b) Distribution of σ_h at different values of s_{avg}/h at the RTT mode

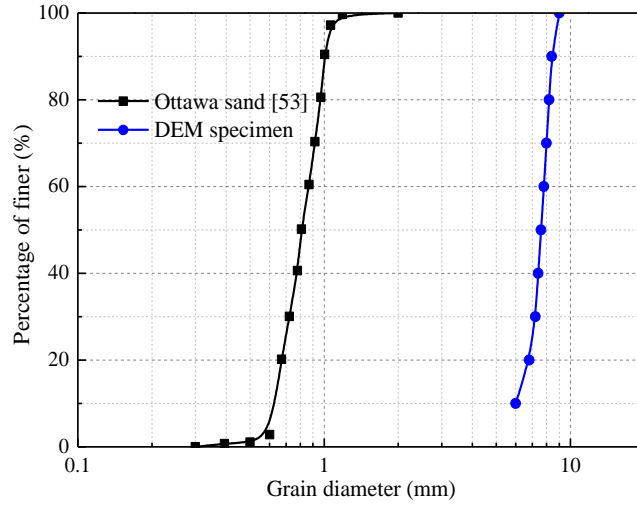


(c) Evolutions of E_h against s_{avg}/h at the RBT and RTT modes

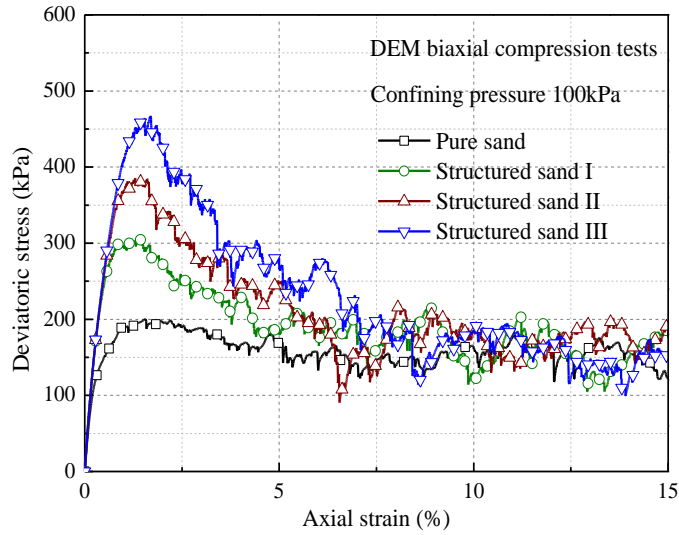


(d) Evolutions of M_h against s_{avg}/h at the RBT and RTT modes

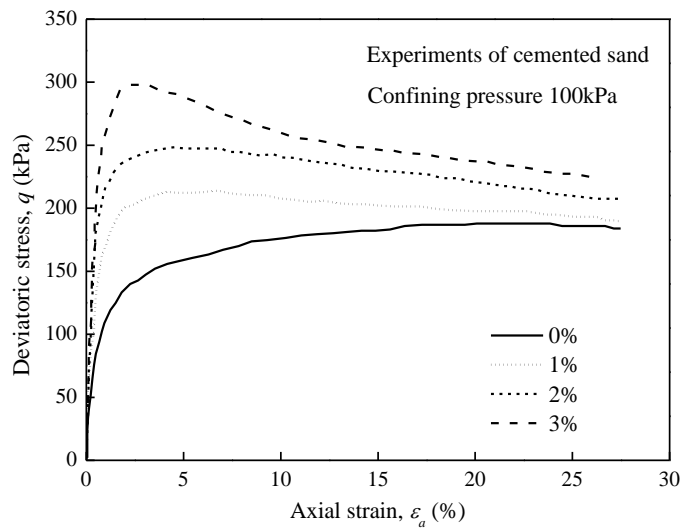
Fig.15 Comparisons on the numerical results and proposed semi-analytical solutions in structured sand I at the RBT and RTT modes with $n = 0.5$



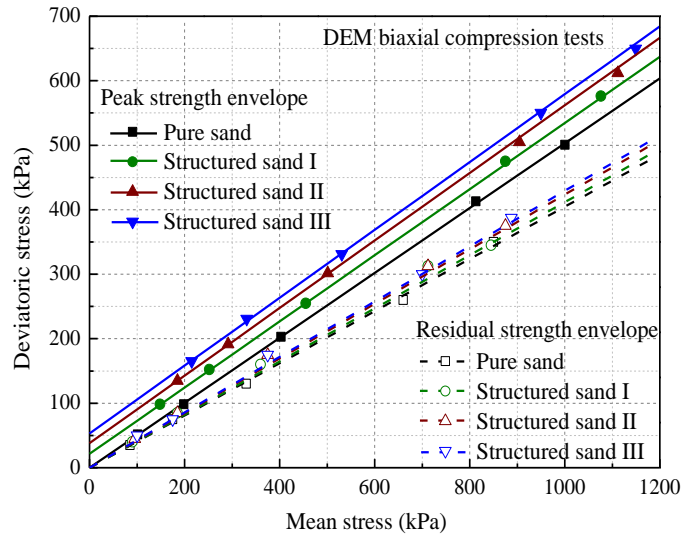
(a) Particle size distribution for experimental Ottawa sand and DEM granular material



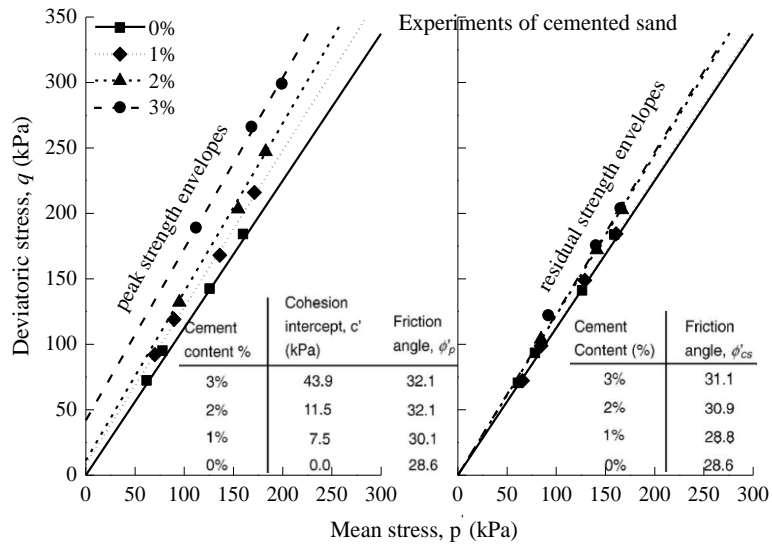
(b) Stress-strain responses of pure/structured sands by DEM biaxial compression tests



(c) Experimental stress-strain responses of cemented sands [53]



(d) Peak/residual strength envelopes of pure/structured sands by DEM biaxial compression tests



(e) Experimental peak/residual strength envelopes of cemented sands [53]

Fig. 16 Properties of the used granular materials through DEM elementary tests in comparison with experiments by Wang and Leung [53]