

# Protecting surface and buried structures from tunnelling using pile walls: a prediction model

A. Franza\*    N. Losacco†    A. Ledesma‡    G. M.B. Viggiani§    R. Jimenez¶

## Abstract

When tunnelling poses excessive risks for buildings and buried foundations, a pile row barrier may shield the existing structure from ground movements. This paper presents a three-dimensional linear elastic prediction method to evaluate the protective action of pile walls against surface and subsurface ground movements due to new tunnels, both directly behind the wall as well as within the entire ground. Analyses are carried out to evaluate the vertical and horizontal movements of the ground and the pile wall as the result of soil-pile row interaction. New factors that quantify the wall efficiency in reducing settlements and deflections behind the wall are proposed; the results indicate that the effectiveness of the pile wall at reducing horizontal displacements is limited. Subsequently, predictions are compared against field and numerical data to demonstrate that the elastic solution is applicable, particularly for small ground losses. Finally, the barrier efficiency in reducing settlements is discussed comparing pile walls and diaphragm walls.

Keywords: Tunnelling, settlement, pile, soil/structure interaction

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\*ETSI Caminos Canales y Puertos, Universidad Politécnica de Madrid, Madrid, Spain. Email: andreafranza@gmail.com.

†Dept. of Civil, Environmental, Land, Building Engineering and Chemistry, Polytechnic University of Bari, Bari, Italy.

‡Dept. of Civil and Environmental Engineering, Universitat Politècnica de Catalunya and International Centre for Numerical Methods in Engineering, Barcelona, Spain.

§Dept. of Engineering, University of Cambridge, Cambridge, UK.

¶ETSI Caminos Canales y Puertos, Universidad Politécnica de Madrid, Madrid, Spain.

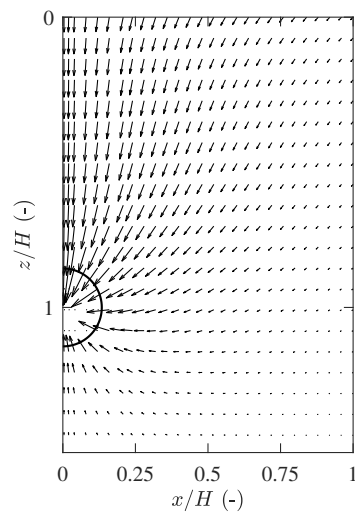
# 1 Introduction

2 Engineers need to estimate the effects of tunnelling-induced ground movements on surface  
3 buildings, monuments, deep foundations and infrastructure as the result of tunnel-structure  
4 interaction (TSI). Figure 1 shows an example distribution of tunnelling-induced displace-  
5 ments in greenfield conditions (GF), when no structures are present. Typically, for pre-  
6 liminary assessments of the category of likely damage, a staged approach is used in which  
7 greenfield ground movements are estimated first and subsequently the TSI caused by the  
8 greenfield movements is addressed. Tensile strains in the structure under examination can  
9 be inferred directly from GF movements (Mair et al., 1996), using modification factors ap-  
10 plied to the GF deformation parameters (Potts and Addenbrooke, 1997), or with two-stage  
11 interaction models using GF movements as input (Franza et al., 2020). Whatever the ap-  
12 proach, an accurate prediction of greenfield ground movements is key for risk assessments.

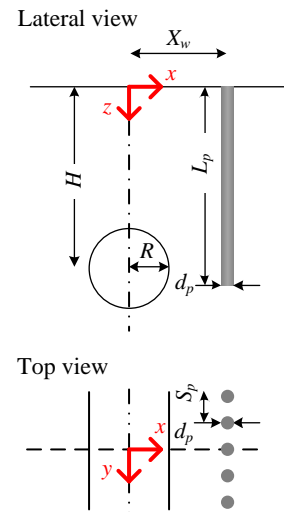
13 When the risk predicted from the preliminary assessment is not deemed acceptable, mit-  
14 igation actions must be implemented. Among others, a common protective measure against  
15 tunnelling-induced damage is the construction of embedded barriers (continuous diaphragm  
16 walls or rows of piles/micropiles) between the tunnel and the structure (Harris, 2001). The  
17 consequent tunnel-barrier interaction (TBI) results in mitigated ground movements for the  
18 TSI with respect to GF conditions. The efficacy of embedded barriers arising from the TBI  
19 problem has been addressed in numerical (Bilotta and Russo, 2011; Rampello et al., 2019),  
20 centrifuge (Song, 2019; Bilotta et al., 2006), and analytical studies (Ledesma and Alonso,  
21 2017). However, previous empirical/analytical works (Ledesma and Alonso, 2017; Bilotta  
22 and Russo, 2011) focused on the effect of TBI on surface settlements. Thus, there is a lack  
23 of tools for a quick estimate of TBI subsurface vertical and horizontal ground movements,  
24 without the need for complex numerical models.

25 This paper aims to fill this gap by describing how an elastic 3D solution can be used

26 to evaluate the effect of pile wall barriers on TBI movements while considering the barrier  
 27 stiffness and geometry as well as the surface and subsurface GF ground input. The considered  
 28 problem of piles/micropiles walls is described in Figure 2. In particular, a continuum-based  
 29 two-stage model is used to solve the TBI and, then, to compute resulting displacements  
 30 both at the wall location and within the ground. The wall mitigating effects are efficiently  
 31 quantified by describing the problem geometry with respect to the tunnel depth and, thus,  
 32 dimensionless results can be developed to be used in design. Finally, the proposed solution  
 33 is compared with numerical and real data of pile and diaphragm walls, considering the  
 34 predicted efficiency in reducing settlements as a function of the pile length-to-tunnel depth  
 35 ratio.



**Figure 1.** Tunnelling-induced displacements in the x-z plane: greenfield (GF) semi-analytical distribution from Loganathan and Poulos (1998).



**Figure 2.** Considered problem of the tunnel-barrier interaction (TBI) and used notation.

## 36 2 Greenfield displacement fields

37 The interaction mechanisms with the wall depend on the greenfield displacement distribution  
 38 and, if a linear elastic model with a perfect compatibility condition at the soil-wall interface

39 is adopted, model outcomes are directly proportional to the tunnel ground loss. Therefore,  
 40 it is important to analyse the shape associated with typical tunnelling-induced displacement  
 41 fields. To this end, empirical and (semi-) analytical methods can be employed, as described  
 42 next.

## 43 2.1 Empirical methods

44 In empirical approaches, greenfield tunnelling-induced settlements  $u_z$  are usually described  
 45 using a standard Gaussian distribution, while the horizontal movements  $u_x$  are related to  
 46  $u_z$  by assuming that the ground displacement vectors point towards a specific point, either  
 47 coinciding with or below the tunnel axis (Mair and Taylor, 1997). The resulting equations,  
 48 widely adopted in practice, are:

$$\begin{aligned}
 u_z^{emp} &= u_{z,max} \exp \left[ -\frac{x^2}{2i^2} \right] && \text{in which } \frac{i}{H} = K_s + \frac{\partial i}{\partial z} \frac{z}{H} \\
 u_x^{emp} &= \frac{x}{(H-z)} u_z && \text{vector focus at tunnel axis} \\
 u_x^{emp} &= \frac{x}{(1 + 0.175/0.325) H} u_z && \text{vector focus deeper than tunnel axis}
 \end{aligned} \tag{1}$$

49 where  $x$  and  $z$  are the spatial coordinates (see Figure 2),  $u_{z,max} = \Delta V / (\sqrt{2\pi}i)$  is the maxi-  
 50 mum settlement at the centreline (proportional to the ground loss  $\Delta V$ ), and  $i$  is the horizontal  
 51 distance from the tunnel centreline to the inflection point of the curve. The value of this off-  
 52 set  $i$  at depth, which controls the shape of the displacement field, can be computed using its  
 53 surface value ( $K_s$ ) and its slope with depth ( $\partial i / \partial z$ ). For clays, Mair et al. (1993) suggested  
 54  $K_s = 0.5$  and  $(\partial i / \partial z) = -0.325$ ; for sands and gravels, Mair and Taylor (1997) reported a  
 55 significant data scatter for  $K_s$ , with values ranging from 0.25 to 0.45. In practice, the ground  
 56 loss is often normalised, resulting in the tunnel volume loss (in percentage)  $V_{l,t} = \frac{\Delta V}{V_0} \times 100$ ,  
 57 where  $V_0$  is the theoretical tunnel volume.

58 Normalising the spatial coordinates by the tunnel depth  $H$ , it is obtained that the shape  
 59 of the displacement field is not affected by the tunnel diameter  $D$ ; i.e., we have:

$$u_z^{emp} = u_{z,max} \exp \left[ -\frac{x'^2}{2 \left( K_s + \frac{\partial i}{\partial z} z' \right)^2} \right] \quad (2)$$

$$u_x^{emp} = \frac{x'}{(1 - z')} u_z \quad \text{vector towards tunnel axis}$$

$$u_x^{emp} = \frac{x'}{(1 + 0.175/0.325)} u_z \quad \text{vector towards point deeper than tunnel axis}$$

60 where the prime ( $'$ ) denotes normalisation by  $H$  (e.g.  $x' = x/H$ ).

## 61 2.2 Analytical solutions

62 Analytical solutions relate tunnelling displacements to a displacement field at the tunnel  
 63 periphery. Assuming an infinite space (ideal for deep tunnels), Pender (1980) provided the  
 64 displacements induced by a tunnel in an elastic medium with anisotropic initial stresses:  
 65 volumetric stress relief produces a uniform convergence of the tunnel periphery, while de-  
 66 viatoric stress changes induce an ovalization. These uniform convergence and ovalization  
 67 displacements may be normalised by the tunnel radius,  $R$ , to define the tunnel deforma-  
 68 tion components  $\varepsilon$  and  $\delta$ , respectively. As an alternative, the relative distortion parameter  
 69  $\rho = \delta/\varepsilon$  can be used.

70 The superposition of singularities method may also be used to estimate tunnelling-  
 71 induced ground displacements within a linear elastic half-space. Sagaseta (1987) evaluated  
 72 movements assuming that a void (at depth  $H$  and of volume equal to the tunnel ground  
 73 loss,  $\Delta V$ ) is filled by the surrounding incompressible, linear elastic, and isotropic soil. Then,  
 74 Verruijt and Booker (1996) used Pender's equations with the superposition of singularities

75 method to account for convergence and ovalization, quantified by  $\varepsilon$  and  $\delta$ , which are regarded  
 76 as input parameters. For a small tunnel convergence,  $\frac{\Delta V}{V_0} \approx 2\varepsilon$  and, thus, the tunnel volume  
 77 loss  $V_{l,t} \approx 200\varepsilon$ .

78 By rearranging [Verruijt and Booker \(1996\)](#) and [González and Sagaseta \(2001\)](#) solutions,  
 79 horizontal ( $u_x$ ) and vertical ( $u_z$ ) displacements for an incompressible elastic medium (Pois-  
 80 son's ratio  $\nu_s = 0.5$ ) can be obtained in a normalised form. They are:

$$\begin{aligned} \frac{u_x^{el}}{u_{norm}} &= -\frac{x'}{2r_1'^2} \left( 1 - \rho \frac{x'^2 - z_1'^2}{r_1'^2} \right) - \frac{x'}{2r_2'^2} \left( 1 - \rho \frac{x'^2 - z_2'^2}{r_2'^2} \right) + \frac{4x'z'}{2r_2'^2} \left( \frac{z_2'}{r_2'^2} - \rho \frac{x'^2 - 3z_2'^2}{r_2'^4} \right) \\ \frac{u_z^{el}}{u_{norm}} &= -\frac{z_1'}{2r_1'^2} \left( 1 - \rho \frac{x'^2 - z_1'^2}{r_1'^2} \right) + \frac{z_2'}{2r_2'^2} \left( 1 + \rho \frac{x'^2 - z_2'^2}{r_2'^2} \right) \\ &\quad - \frac{1}{2r_2'^2} \left( 2(z' + \rho) \frac{x'^2 - z_2'^2}{r_2'^2} + 4\rho z'z_2' \frac{3x'^2 - z_2'^2}{r_2'^4} \right) \end{aligned} \quad (3)$$

81 where  $u_{norm}$  is a scalar proportional to the ground loss  $\Delta V$  as shown Equation (4)

$$u_{norm} = 2\varepsilon R \left( \frac{R}{H} \right) = 2u_\varepsilon \left( \frac{R}{H} \right) = \frac{\Delta V}{\pi H} \quad (4)$$

82 and  $z_1 = z - H$ ,  $z_2 = z + H$ , and  $r_1 = \sqrt{x^2 + (z - H)^2}$ . Note, therefore, that the right terms  
 83 of Equation (3) describe the shape of the displacement field, while the left terms are the  
 84 normalised displacements. As in Equation (2), the shape of the elastic displacement field in  
 85 Equation (3) is not affected by the tunnel size, while its amplitude is directly proportional  
 86 to the tunnel ground loss.

87 The robustness of analytical solutions was illustrated by [Pinto et al. \(2014\)](#) through  
 88 comparison with case studies, while [Pinto and Whittle \(2014\)](#) developed closed formulas  
 89 to consider the heading advancement by integrating volume losses, and the resulting three-  
 90 dimensional displacement field.

### 91 2.3 Semi-analytical formulas

92 Semi-analytical solutions,  $u^{sa}$ , have been developed by applying an empirical corrective term,  
 93  $\xi$ , to elastic displacement patterns,  $u^{el}$ . Loganathan and Poulos (1998) proposed evaluat-  
 94 ing vertical and horizontal undrained movements in clays correcting the elastic solution of  
 95 Sagaseta (1987) (i.e. Equation (3) for  $\delta = 0$ ) with the term in Equation (5), chosen to  
 96 account for field observations and centrifuge model test outcomes (Pinto and Whittle, 2006).

$$u_z^{sa} = \xi u_z^{el}; \quad u_x^{sa} = \xi u_x^{el}; \quad \xi = 2 \exp \left[ - \left( \frac{1.38x'^2}{(1 + R/H)^2} + 0.69z'^2 \right) \right] \quad (5)$$

97 Differently than before, this  $\xi$  correction makes the displacement field shape to depend on  
 98 tunnel size, through its radius,  $R$ . However, Loganathan and Poulos (1998) reported that the  
 99 inflection point offset for the semi-analytical field is  $i = 0.62H^{0.9}R^{0.1}$  so that, for a tunnel  
 100 radius between 2 and 8 m,  $R^{0.1} = 1.07 - 1.23$ . This relatively small range suggests that  
 101 the semi-analytical displacement field is not highly dependent on  $R$  (this point is further  
 102 discussed in the paper). Assuming a representative value of  $R^{0.1} \approx 1.16$ , it follows that  
 103  $i \approx 0.72H^{0.9}$ . Recently, Zhang et al. (2020) generalised the expression for the corrective  
 104 factor in sandy soils to account for the head advancement.

### 105 3 Tunnel-barrier interaction problem parameters

106 To generalise the outcomes of the elastic solution, the TBI problem can be described in  
 107 dimensionless form, hence reducing the number of variables involved. The output variables  
 108  $(u_z, u_x)$  depend on the input non dimensional groups and on the tunnel volume loss,  $V_{l,t}$ .  
 109 Two sets of dimensionless groups are analysed in this paper.

110 Group set II are consistent with Ledesma and Alonso (2017), and are also used to compare

111 with their plane-strain results:

$$\Pi_1 = \frac{H}{R} \quad \Pi_2 = \frac{X_w}{R} \quad \Pi_3 = \frac{L_p}{R} \quad \Pi_4 = \frac{E_s R S_p}{E_p A_p} \quad \Pi_5 = \frac{E_s R^3 S_p}{E_p I_p} \quad \Pi_6 = \frac{S_p}{d_p} \quad (6)$$

112 Group set  $\Psi$  are suggested (for the first time in this paper) as an improved alternative,  
 113 considering with respect to  $H$  the marginal effect of  $R$  on the shape of the displacement field  
 114 affecting the soil-wall interaction:

$$\Psi_1 = \frac{H}{R} \quad \Psi_2 = \frac{X_w}{H} \quad \Psi_3 = \frac{L_p}{H} \quad \Psi_4 = \frac{E_s H S_p}{E_p A_p} \quad \Psi_5 = \frac{E_s H^3 S_p}{E_p I_p} \quad \Psi_6 = \frac{S_p}{d_p} \quad (7)$$

115 In Equations (6) and (7),  $X_w$  is the pile wall offset from the tunnel centreline;  $L_p$ ,  $S_p$ ,  $d_p$   
 116  $A_p$  and  $I_p$  are the length of embedment, the longitudinal spacing, the diameter, the cross-  
 117 sectional area and the second moment of area of the piles; and  $E_p$  and  $E_s$  are the Young's  
 118 modulus of the pile and of the soil, respectively. Equation (8) specialises dimensionless  
 119 groups  $\Psi$  for piles with a circular solid cross-section, a frequent construction case:

$$\Psi_1 = \frac{H}{R} \quad \Psi_2 = \frac{X_w}{H} \quad \Psi_3 = \frac{L_p}{H} \quad \Psi_4 = 1.3\Psi_6 \frac{E_s H}{E_p d_p} \quad \Psi_5 = 20.4\Psi_6 \frac{E_s}{E_p} \left(\frac{H}{d_p}\right)^3 \quad \Psi_6 = \frac{S_p}{d_p} \quad (8)$$

120 The shape of the greenfield GF input is another important aspect that impacts the  
 121 TBI interaction results. For brevity, all analyses in this paper were conducted using the  
 122 greenfield displacement field from Loganathan and Poulos (1998), which is considered an  
 123 effective approximation of a tunnelling-induced ground deformation mechanism. However,  
 124 any greenfield input may be selected in the considered model.

125 The impact of the wall on the displacements is described using two dimensionless terms:  
 126 the **wall efficiency**,  $\eta_w$ , that considers settlements at the wall location; and the **local**  
 127 **efficiency**,  $\eta_l$ , that considers vertical and horizontal displacements over the entire ground



128 (i.e. both surface and subsurface locations). They are defined as:

$$\eta_w = 1 - \frac{u_{z,w}}{u_{z,w}^{GF}} \quad \eta_{l,z} = 1 - \left| \frac{u_{z,s}}{u_{z,s}^{GF}} \right| \quad \eta_{l,x} = 1 - \left| \frac{u_{x,s}}{u_{x,s}^{GF}} \right| \quad (9)$$

129 where the superscript GF stands for greenfield, while the subscripts  $w$  and  $s$  stand for  
 130 wall and soil, respectively. Note that efficiencies are defined using the absolute value of the  
 131 ratio between displacements; this is to make them describe the normalised magnitude of  
 132 the interaction displacement (rather than being affected by a change in movement direction  
 133 between greenfield and interaction analyses). A positive efficiency ( $\eta_l > 0$ ) indicates a  
 134 decrease in the pile or local soil displacement with respect to the greenfield condition, whereas  
 135 a negative efficiency ( $\eta_l < 0$ ) occurs when the magnitude of movements increases due to the  
 136 wall action.

137 Finally, the efficiency to reduce the wall curvature with respect to the greenfield horizontal  
 138 displacement profile is defined as:

$$\omega_w = 1 - \frac{\chi_w}{\chi_w^{GF}} \quad (10)$$

139 where  $\chi$  is the curvature (i.e., second derivative of the horizontal displacement profiles). This  
 140 factor  $\omega_w$  depends on the relative soil-pile bending stiffness, and quantifies the barrier action  
 141 to prevent flexural distortions of structures buried close to the barrier.

## 142 4 Model

143 In this paper, a linear elastic continuum-based two-stage analysis model is adopted (Franza  
 144 et al., 2019b,a) to analyse the three-dimensional response of a pile row with free heads  
 145 and aligned with the tunnel longitudinal direction (as sketched in Figure 2). Each pile is  
 146 modelled as a vertical beam embedded into the elastic half-space subjected to steady-state

147 tunnelling-induced ground movements; thus, the soil response in the three directions ( $x$ ,  
148  $y$ ,  $z$ ) is fully coupled while for the pile axes vertical, horizontal, and rotational degrees of  
149 freedom are considered. This approach is consistent with previous works considering tunnel-  
150 pile group interaction analyses (Basile, 2014; Chen et al., 1999; Loganathan et al., 2001). The  
151 excavation is considered using its induced greenfield ground movements and an equivalent  
152 set of forces capable to induce these greenfield movements in the absence of piles, while  
153 the soil response to loading is not affected by the presence of the excavation. The soil is  
154 modelled as a homogeneous and isotropic half-space (referred to as a continuum) with a  
155 perfect compatibility condition at the soil-pile interface. The soil flexibility along the pile  
156 is obtained by integrating Mindlin's solutions, while Mindlin's formulas directly provide the  
157 displacement field of the remaining ground.

158 The three-dimensional elastic solution (EL 3D) was obtained using the Finite Element  
159 method solving the equilibrium Equation (11). This equation provides the pile wall displace-  
160 ments  $\mathbf{u}_w$  for the barrier-soil system subjected to the tunnelling-induced equivalent forces,  
161 which induce the tunnelling-induced displacements at the wall locations for no barrier. Then,  
162 the vector of the forces applied by the pile group to the soil continuum in the tunnelling-  
163 induced equilibrium condition are inferred from Equation (12), which was obtained from the  
164 principle of action and reaction (forces applied by the piles to the soil opposite to the forces  
165 applied by the soil to the piles). Alternatively, this force vector may be also expressed as  
166 the forces needed to displace the continuum of the difference between the soil displacements  
167 in presence of the barrier and the greenfield soil displacements. Once the interaction forces  
168 applied along the pile axes are known, Equation (13) gives the post-tunnelling displace-  
169 ment field within the entire half-space  $\mathbf{U}_s$ , summing the ground interaction displacement  
170 (propagated from the pile to the entire ground) and the greenfield displacement field. That

171 is

$$(\mathbf{k}_w + \mathbf{k}_s) \mathbf{u}_w = \mathbf{k}_s \mathbf{u}_w^{gf} \quad (11)$$

172

$$\mathbf{f}_w = -\mathbf{k}_w \mathbf{u}_w = \mathbf{k}_s (\mathbf{u}_w - \mathbf{u}_w^{gf}) \quad (12)$$

173

$$\mathbf{U}_s = \mathbf{U}_s^{int} + \mathbf{U}_s^{gf}; \quad \mathbf{U}_s^{int} = \mathbf{L}_s \mathbf{F}_w \quad (13)$$

174 where  $\mathbf{u}_w$  is the displacement vector of the pile group;  $\mathbf{u}_w^{gf}$  is the greenfield displacement  
 175 vector along the piles;  $\mathbf{k}_w$  and  $\mathbf{k}_s$  are, respectively, the stiffness matrix of the pile group  
 176 and the ground (at the pile axis nodes);  $\mathbf{f}_w$  is the vector of interaction forces applied by the  
 177 pile nodes to the soil;  $\mathbf{U}_s$  and  $\mathbf{U}_s^{gf}$  are the final and greenfield displacements of the ground;  
 178  $\mathbf{F}_w = [\mathbf{f}_w, 0, 0 \dots 0]^T$  is the vector of interaction forces applied to the ground;  $\mathbf{L}_s$  is the soil  
 179 flexibility matrix (giving the relationship between applied forces and displacements).

180 In other words, the model propagates within the half-space the displacement difference, at  
 181 the pile location, between the tunnelling-induced displacements and the greenfield profiles.  
 182 The final interaction displacement field is given by the superposition of the propagated  
 183 difference in displacements at the pile location and the greenfield movements. In this paper,  
 184 ground movements  $\mathbf{U}_s$  within the transverse plane passing through the barrier centre are  
 185 reported ( $y = 0$  in Figure 2).

## 186 5 Parametric study

### 187 5.1 Considered scenarios

188 Two tunnelling scenarios having a tunnel axis depth of  $H = 15$  m are considered: ‘**Case**  
189 **A**’ with tunnel radius  $R = 5$  m and a cover to diameter ratio  $C/D = 1$ ; ‘**Case B**’ with  
190  $R = 2.5$  m and  $C/D = 2.5$ . Both tunnels are constructed in a homogeneous soil with  
191 a Young’s modulus  $E_s = 7.5$  MPa and a Poisson’s ratio  $\nu_s = 0.5$ . A protective wall is  
192 considered consisting of 11 bored concrete piles of varying length  $L_p = 10, 20, 30, 40$  m with  
193 a longitudinal spacing  $S_p = 2$  m, diameter  $d_p = 1.12$  m, and Young’s modulus  $E_p = 30$  GPa.  
194 Pile walls at two different transverse offsets from the tunnel centreline of  $X_w = 5, 10$  m are  
195 studied, so that the first is relatively close to the tunnel ( $X_w/H = 0.33 \approx 0.3$ ) and the  
196 second is relatively far from it ( $X_w/H = 0.67 \approx 0.7$ ). These offsets are referred to as ‘**close**  
197 **location**’ and ‘**far location**’, respectively. The normalised pile spacing for both Cases A  
198 and B is  $S_p/d_p = 1.79$ , since that is close to frequent construction scenarios. This value  
199 also produces a nearly uniform displacement field within the vertical plane containing the  
200 piles, i.e. there is only a minor variation of displacements along the longitudinal direction  $y$   
201 (Bilotta and Russo, 2011).

202 Table 1 reports  $\Pi$  and  $\Psi$  values associated with all analysed scenarios. Selected pile  
203 lengths cover the scenario of wall tip above ( $L_p/H \approx 0.7$ ), adjacent ( $L_p/H \approx 1.3$ ), and  
204 below ( $L_p/H \approx 2.7$ ) the tunnel axis. More importantly, this choice of dimensionless groups  
205 and the adopted greenfield allows to: [i] compare results directly with the elastic settlement  
206 prediction of Ledesma and Alonso (2017) who considered a 2D scenario equivalent to Case  
207 A; [ii] evaluate the efficiency of dimensionless inputs  $\Psi$  against  $\Pi$ , considering that Cases A  
208 and B have equal  $\Psi$  groups (except for  $\Psi_1$  whose impact is limited within the considered  
209 range).

210 Additionally to the simulations in Table 1, and to investigate the influence of the relative

211 soil-to-pile stiffness, simulations were repeated, for the pile wall with  $X_w/H \approx 0.7$ , for several  
 212  $E_s/E_p$  ratios and, thus, for an extended range of  $\Psi_4$  and  $\Psi_5$  values.

**Table 1.** Considered scenarios for both Case A ( $C/D = 1$ ) and Case B ( $C/D = 2.5$ ): dimensionless groups.

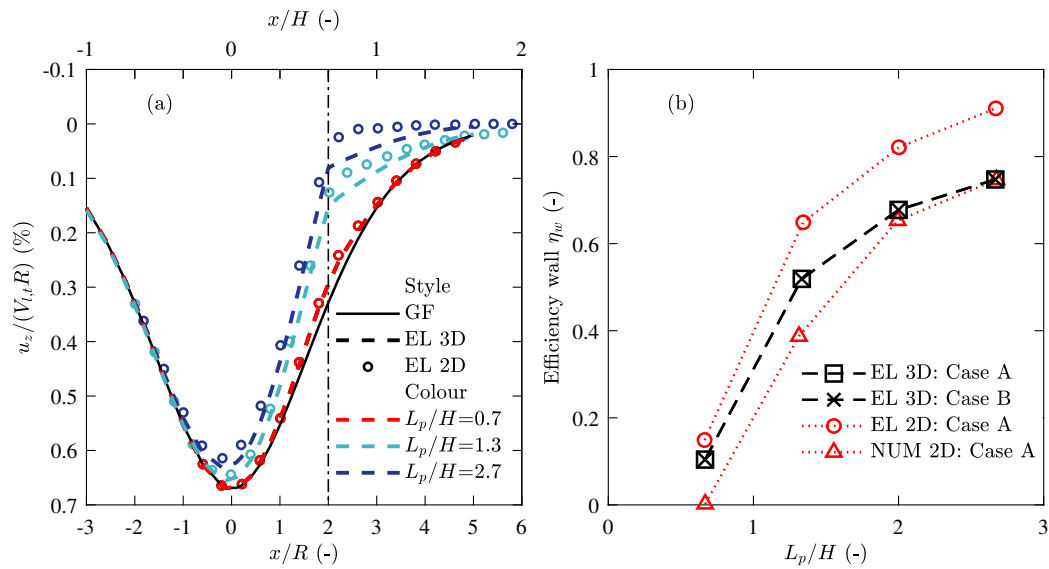
|        | $\Pi_1$  | $\Pi_2$  | $\Pi_3$       | $\Pi_4$  | $\Pi_5$  | $\Pi_6$   |
|--------|----------|----------|---------------|----------|----------|-----------|
|        | $H/R$    | $X_w/R$  | $L_p/R$       | Axial    | Bending  | $S_p/d_p$ |
| Case A | 3        | 1,2      | 1,2,4,8       | 0.0025   | 0.81     | 1.79      |
| Case B | 6        | 2,4      | 2,4,8,16      | 0.0013   | 0.10     | 1.79      |
|        | $\Psi_1$ | $\Psi_2$ | $\Psi_3$      | $\Psi_4$ | $\Psi_5$ | $\Psi_6$  |
|        | $H/R$    | $X_w/H$  | $L_p/H$       | Axial    | Bending  | $S_p/d_p$ |
| Case A | 3        | 0.3,0.7  | 0.7,1.3,2,2.7 | 0.0076   | 21.85    | 1.79      |
| Case B | 6        | 0.3,0.7  | 0.7,1.3,2,2.7 | 0.0076   | 21.85    | 1.79      |

## 213 5.2 Comparison with 2D elastic solutions

214 For selected cases with a pile offset  $X_w/H \approx 0.7$ , Figure 3 shows surface settlements (Fig-  
 215 ure 3a) and the wall efficiency  $\eta_w$  (Figure 3b) predicted from the proposed model (EL 3D),  
 216 along with 2D elastic (EL 2D) and numerical (NUM 2D) results from [Ledesma and Alonso](#)  
 217 (2017).

218 Figure 3a displays a good qualitative agreement between the surface settlement profiles  
 219 predicted by 3D EL and 2D EL models, for all relative pile-to-tunnel depth  $L_p/H$ . Also,  
 220 3D results confirmed previous works indicating that the barrier effect is negligible for the  
 221 wall tip located above the tunnel ( $L_p/H \approx 0.7$ ), while it is significant for piles embedded  
 222 below the tunnel level ( $L_p/H > 1$ ). Importantly, the wall efficiency associated with the 3D  
 223 model is lower than for 2D results, as quantified by Figure 3b. This is due to the proposed  
 224 3D EL model taking into account the pile spacing and the finite number of piles within  
 225 the barrier. Therefore, for a conservative estimate of pile wall settlement reduction, the 3D  
 226 solution should be used instead of the 2D model.

227 Next, the effects of the tunnel radius on the wall efficiency  $\eta_w$  are discussed. Despite the  
 228 use of the [Loganathan and Poulos \(1998\)](#) semi-analytical formula for the greenfield settle-



**Figure 3.** Comparison between 3D proposed model and 2D results of Ledesma and Alonso (2017) for varying wall length  $L_p/H$  and pile offset  $X_w/H = 0.7$ . (a) Surface settlements for Case A; (b) wall efficiency for Cases A and B.

229 ments (with a slight displacement shape dependence on  $R/H$ ), the wall efficiency calculated  
 230 by the EL 3D model are nearly identical in Figure 3b for Cases A and B, having different  
 231 tunnel radius  $R$  and, thus,  $R/H$ . Consequently, Figure 3b demonstrates that the radius  $R$   
 232 has a negligible role on the wall efficiency and, thus, the tunnel-wall interaction mechanism.  
 233 Also, it supports the argument that the dimensionless groups  $\Psi$  (defined with respect to the  
 234 tunnel depth  $H$ ) are more adequate than groups  $\Pi$  (using the tunnel radius  $R$ ). To support  
 235 both statements, analyses for the pile walls with  $X_w/H \approx 0.7$  and  $L_p/H \approx 1.3$  in Cases A  
 236 and B gave nearly identical surface and subsurface ground movements (see supplemental  
 237 data in Figure S1).

### 238 5.3 Influence of wall on surface and subsurface ground deformations

239 In this section, the capabilities of the model to predict vertical and horizontal movements  
 240 are studied, and the local efficiencies for the eight pile walls considered in the parametric

241 study (**close barrier**  $X_w/H \approx 0.3$ , **far barrier**  $X_w/H \approx 0.7$ , and  $L_p/H = 0.7, 1.3, 2.0, 2.7$ ).  
 242 Although reported, ground settlements obtained from the relatively short walls with  $L_p/H \approx$   
 243  $0.7$  are close to greenfield conditions and, thus, they are not discussed.

244 Firstly, vertical and horizontal ground movements normalised by  $u_{norm}$  at the surface  
 245 ( $z/H = 0$ ) and mid-depth ( $z/H = 0.5$ ) are plotted in Figures 4a and b, respectively. In-  
 246 terestingly, similar settlements are obtained at  $x/H > 0.7$ , beyond the far wall location, for  
 247 both pile wall offsets ( $X_w/H \approx 0.3$  and  $0.7$ ). However, the close barrier ( $X_w/H = 0.3$ ) also  
 248 decreases the settlements directly above the tunnel, particularly near the surface, while this  
 249 latter mechanism is negligible for the far barrier ( $X_w/H = 0.7$ ).

250 Then, Figures 4c and e show, for both pile locations, the ground settlements along the  
 251 control vertical sections located at the pile locations ( $X_w/H = 0.3$  and  $0.7$ ). Horizontal  
 252 ground movements are smoothed by the pile wall bending stiffness at the wall location (when  
 253  $x = X_w$ ), with the wall deflection shape depending on the greenfield ground distribution,  
 254 which differs between  $X_w/H = 0.3$  and  $0.7$ . Interestingly, Figure 4e displays a dragging effect  
 255 that the pile wall close to the tunnel applies on the ground at the far location (when  $x \neq X_w$ );  
 256 this is due to the wall bending stiffness resulting in a smooth horizontal displacement profile  
 257 at the pile location ( $\mathbf{U}_s^{int}$ ) that propagates from the piles (a source) within the half-space.

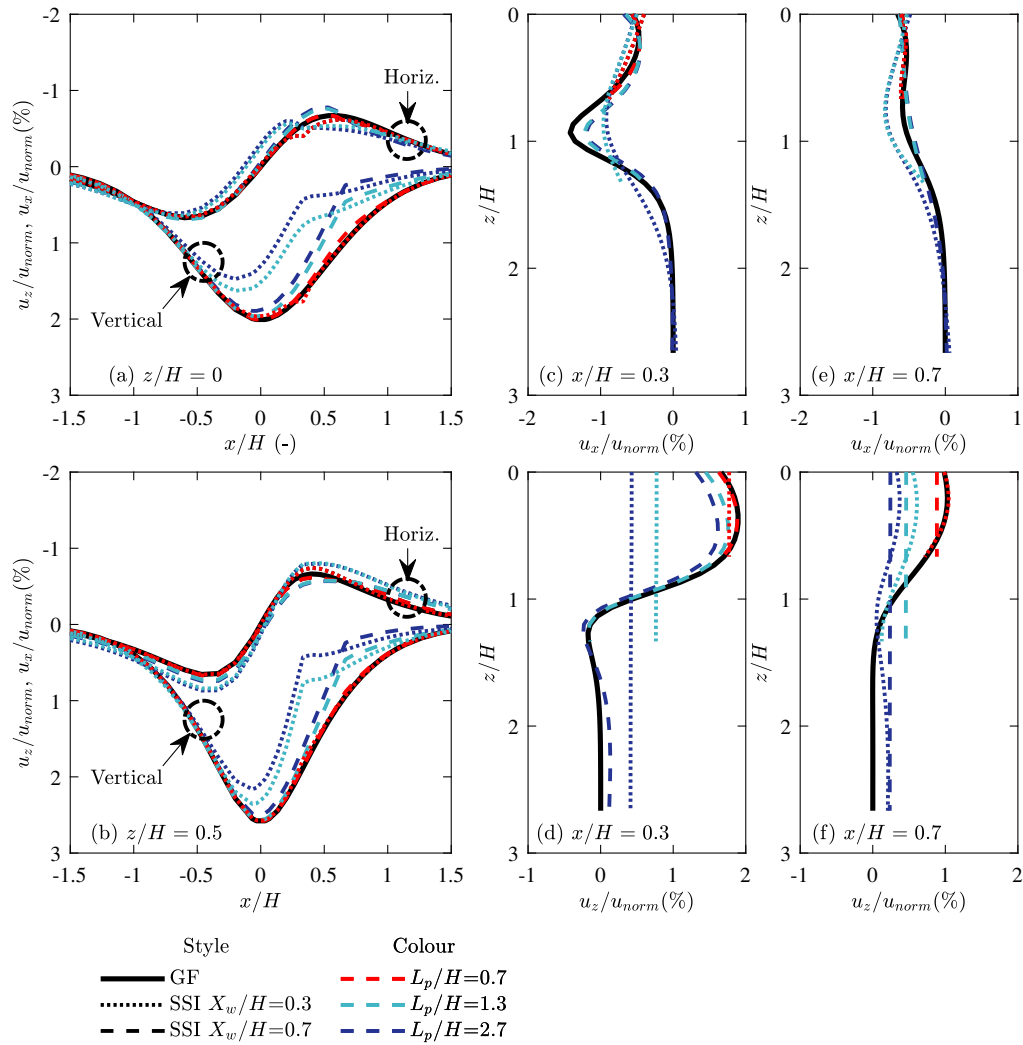
258 Similarly, ground settlements in Figures 4d and f also indicate the high axial stiffening  
 259 action of the barrier at the wall location for the pile tip below the tunnel (nearly preventing  
 260 differential settlements at  $x = X_w$  along the pile depth). While the difference between  
 261 interaction and final ground settlements (propagated to the entire ground, see Equation (12))  
 262 contributed to the damping of the settlements at the far location of  $x/H = 0.7$  when the pile  
 263 is at  $X_w/H = 0.3$ , nearly negligible effects are induced by the far wall with  $X_w/H = 0.7$  on  
 264 the control section at  $x/H = 0.3$ . This is due to smaller greenfield settlements at  $X_w/H = 0.7$   
 265 and, as a consequence, a smaller difference in displacements between the pile settlements and  
 266 the greenfield.

267 It is also of interest to consider the vertical wall efficiency  $\eta_w$  associated with the six pile  
268 configurations. When the pile tip is above the tunnel axis depth ( $L_p/H = 0.7$ ) negative  
269 efficiency is obtained for the close pile location  $X_w/H = 0.3$  because the pile is within the  
270 tunnel influence, subjected to settlements increasing in magnitude with depth, and thus it  
271 settles slightly more than the greenfield trough at the surface (Franza et al., 2019b). On  
272 the other hand, although the ground movements from the pile wall (PW) analyses indicate  
273 that the wall offset  $X_w/H$  has an impact on subsurface ground movements (while its effect  
274 on surface displacement beyond the wall is small), wall efficiency factors in Figure 5 are  
275 similar for the two wall offsets ( $X_w/H = 0.3$  and  $0.7$ ) when the wall tip is below the tunnel  
276 ( $L_p/H > 1$ ), as obtained by Ledesma and Alonso (2017). Furthermore, the wall efficiency  
277 does not consider the change in the shape of the interaction displacements with respect to the  
278 greenfield. Thus, engineering judgement is needed during the design of mitigation barriers  
279 when the wall efficiency is used.

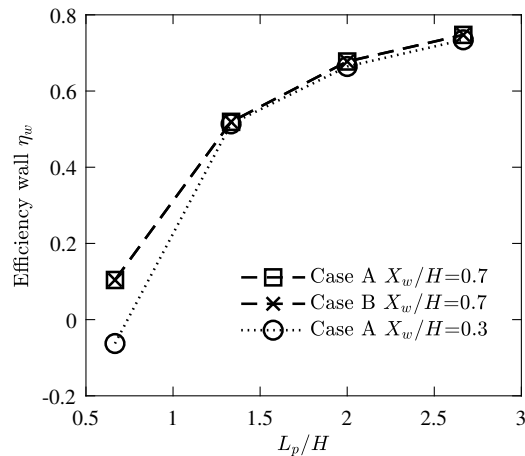
280 As an alternative to wall efficiency  $\eta_w$  defined at the pile location, the local efficiency  
281  $\eta_l$  is a more appropriate way to evaluate the effectiveness of the barrier in decreasing the  
282 ground movements at a specific location, corresponding to critical surface or subsurface  
283 structures/foundations. For three selected pile walls scenarios ( $X_w/H = 0.3$  and  $L_p/H = 1.3$ ,  
284  $X_w/H = 0.7$  and  $L_p/H = 1.3$ ,  $X_w/H = 0.7$  and  $L_p/H = 2.7$ ), Figure 6 displays contours for  
285 post-tunnelling normalised movements ( $u/u_{norm}$ ) shielded by the pile walls. Settlements are  
286 on the left and horizontal movements are on the right. For the horizontal movements the  
287 absolute value is plotted, with movements being directed towards the tunnel, while upwards  
288 settlements are set equal to zero. Using a similar layout, Figure 7 reports contours of vertical  
289 and horizontal local efficiency ( $\eta_l$ ) giving the relative reduction in movement magnitude.

290 The effect of the pile normalised offset is described by the comparison of the sub-plots  
291 a and b of Figures 6 and 7. These plots confirm that a similar vertical efficiency  $\eta_{l,z}$  is  
292 obtained along the entire pile length. However, while the mitigating effect of the closer wall





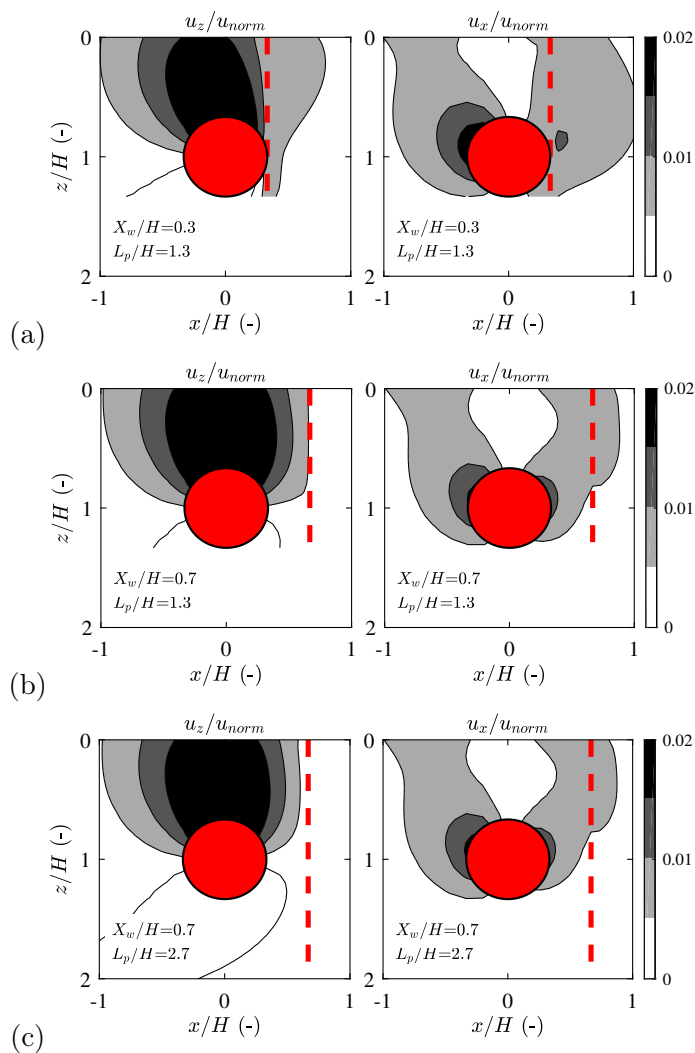
**Figure 4.** For different pile wall geometries ( $X_w/H = 0.3; 0.7$  and  $L_p/H = 0.7; 1.3; 2.7$ ), vertical and horizontal ground movements along: (a) surface level; (b) subsurface level of  $z/H = 0.5$ ; (c-d) close vertical control section at  $x/H = 0.3$ ; (e-f) far vertical control section at  $x/H = 0.7$ .



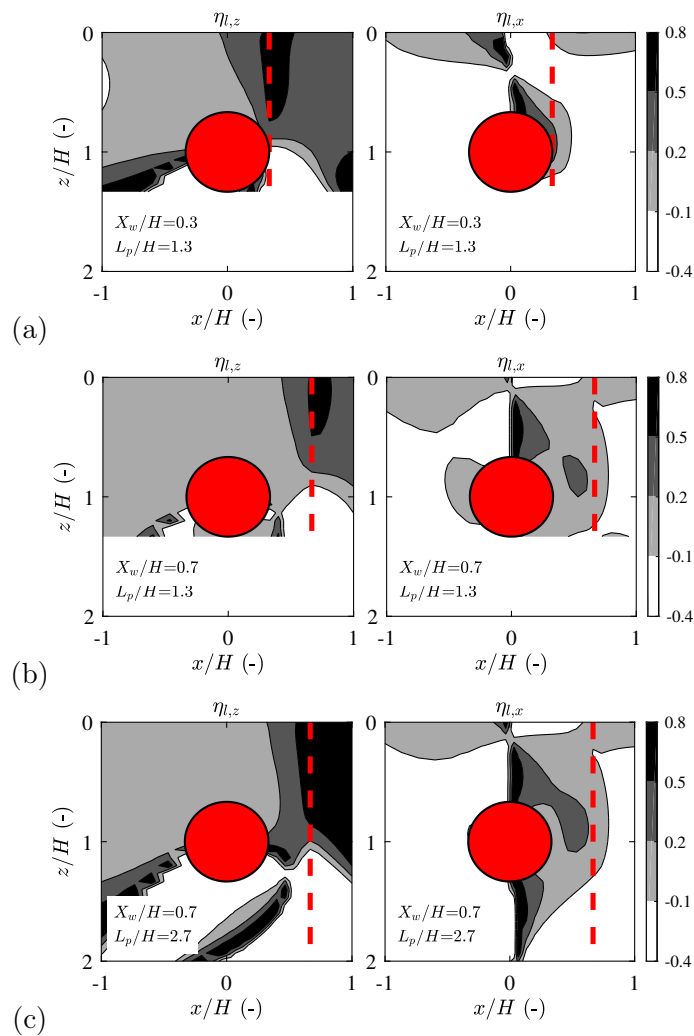
**Figure 5.** Wall efficiency for varying normalised pile length  $L_p/H$ .

293 ( $X_w/H = 0.3$ ) extends also on the tunnel side, decreasing surface settlements above the  
 294 centreline and subsurface settlements between  $x/H = 0.3 - 0.7$ , the far pile ( $X_w/H = 0.7$ )  
 295 only decreases settlements for  $x/H = 0.3 - 1.0$ . In other words, for both offsets the wall  
 296 decreases the settlements within an influence zone, extending at the surface between the  
 297 relative distance of  $\pm 0.5(x - X_w)/H$  from the wall. On the other hand, horizontally the  
 298 pile wall leads to minor variations of  $u_x$ . The local efficiency  $\eta_{l,x}$  has small positive values  
 299 at the surface beyond the wall ( $x > X_w$ ) as well as at the subsurface between the tunnel  
 300 centreline and the wall ( $x = 0$  to  $X_w$ ); however, negative values of  $\eta_{l,x}$ , associated with greater  
 301 horizontal movements, are induced underneath the surface beyond the wall ( $x > X_w$ ).

302 Next, sub-plots b and c of Figures 6 and 7 show the minor influence of the pile embedment  
 303 length  $L_p/H$  on the ground horizontal movements  $u_x$  and efficiency  $\eta_{l,x}$ , provided that the  
 304 pile tip is below the tunnel depth. However, pile length does affect settlements, and there is  
 305 a significant settlement reduction  $u_z$  and increased local efficiency  $\eta_{l,z}$  beyond the wall (i.e.,  
 306 for  $x/H$  greater than  $X_w/H$ , that is 0.7 in these figures). As previously discussed, this is  
 307 because of a greater portion of the pile being embedded in ground that is not affected by  
 308 tunnelling.



**Figure 6.** Vertical (left) and horizontal (right) normalised movements  $u/u_{norm}$ : varying pile location (a vs b) and length (b vs c).



**Figure 7.** Vertical (left) and horizontal (right) local efficiency  $\eta_l$ : varying pile location (a vs b) and length (b vs c).

## 309 5.4 Relative soil-to-pile stiffness

310 Since the pile stiffening effect leads to the pile shielding mechanism in the elastic solution, it is  
311 worthy to quantify the influence of the relative axial/bending pile-soil stiffness; e.g., to know  
312 the threshold marking the transition from nearly rigid pile behaviour to semi-flexible and  
313 fully-flexible regimes. Results in the previous section (see Figure 4) show that large-diameter  
314 concrete pile walls can undergo bending deformations due to horizontal ground movements,  
315 while axial compressibility is almost negligible. On the other hand, pile flexibility may be  
316 significant for micropiles, hence decreasing their settlement efficiency and leading to a fully-  
317 flexible bending behaviour. For instance, Ledesma and Alonso (2017) reported the threshold  
318  $\Pi_4 \approx 0.01$  above which the pile compressibility decreases the wall efficiency  $\eta_w$ .

319 Because  $\Psi$  values should be preferred to  $\Pi$  values, the effects of pile stiffness on tunnel-  
320 wall interactions were also briefly investigated through the influence of  $\Psi_4$  and  $\Psi_5$ . Figure 8a  
321 plots the wall efficiency  $\eta_w$  against  $\Psi_4$  for Case A, with  $X_w/H = 0.7$  and varying  $L_p/H$ . It  
322 can be observed that, regardless the normalised pile length,  $\Psi_4 \approx 0.1$  marks the threshold  
323 value beyond which pile flexibility decreases the efficiency, whereas a fully-flexible behaviour  
324 occurs beyond  $\Psi_4 \approx 100$ . Similarly, the influence of bending stiffness on flexural behaviour  
325 is investigated, by looking at the pile curvature decrease with respect to a greenfield analysis  
326 (or for a fully flexible pile). Figure 8b displays the trend of the curvature factor  $\omega_w$  (i.e., the  
327 relative reduction in maximum curvature along the pile) as a function of the relative bending  
328 stiffness  $\Psi_5$ . For  $\Psi_5 < 1$  a fully rigid behaviour should be expected, while the semi-flexible  
329 range extends between  $\Psi_5 = 1 - 10^5$ .

330 For brevity, displacement contours and movement profiles for the case of nearly rigid piles  
331 are given as supplemental data (Figures S2-S3). Importantly, it can be observed that the  
332 difference in horizontal displacement magnitude  $u_x$  due to a pile stiffness increase is rather  
333 limited because of the tilt of the floating piles in homogeneous ground. These supplemental

334 data confirmed that limited horizontal efficiency  $\eta_{l,x}$  of the barrier should be expected for  
 335 piles in uniform ground, regardless of their bending stiffness.

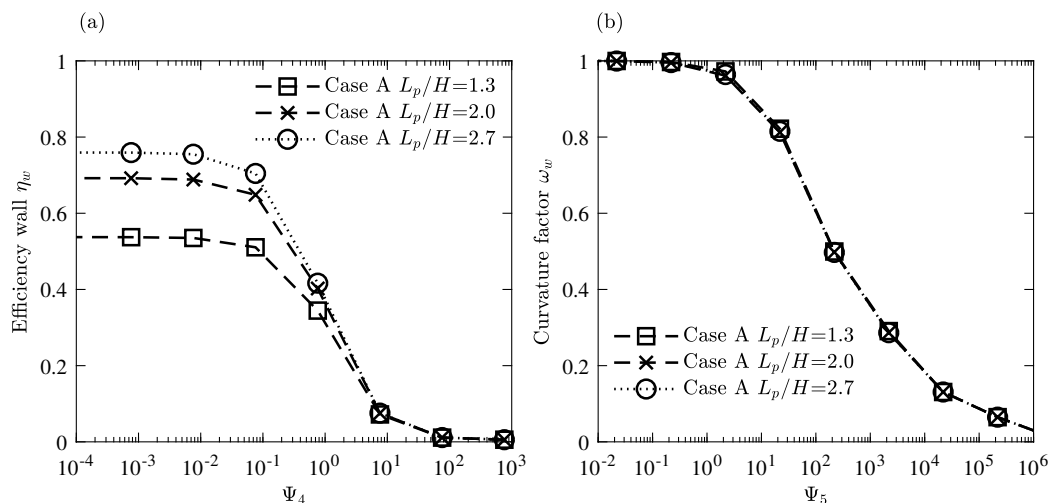


Figure 8. Soil-pile relative stiffness effects: (a)  $\eta_w$  against  $\Psi_4$ ; (b)  $\omega_w$  against  $\Psi_5$

## 336 6 Comparison with field data

### 337 6.1 Line C - Rome

338 During the construction of the twin tunnels in contract T3 of Line C in Rome, a wall of bored  
 339 piles was installed in an instrumented area without buildings. The ground conditions at the  
 340 site are coarse grained made ground (from the surface to 17 m), alluvial silty clay and sandy  
 341 clay (down to 30 m), sands and gravels (down to 42 m), and stiff clay below (Losacco et al.,  
 342 2019). The water table depth from ground surface was approximately 9 m. The two EPB  
 343 tunnels (with 6.71 m diameters, axis spacing 14.5 m, and depth to tunnel axis  $H = 25$  m)  
 344 were excavated on the east of the pile wall; however, results in this paper only consider the  
 345 North Tunnel, excavated first and closest to the wall. The barrier consisted of 48 cast-in-situ  
 346 bored piles with  $d_p = 0.6$  m, an embedment length  $L_p = 36$  m ( $L_p/H = 1.4$ ), hence with their  
 347 tip in the stiff sandy and gravelly layer, a normalised spacing of  $S_p = 1.5d_p$  and a distance

348 from the tunnel centreline  $X_w = 5.2$  m ( $X_w/H = 0.2$ ). Field data (Field) obtained during the  
349 excavation and corresponding Class A Finite Element numerical (NUM) results were reported  
350 by [Losacco et al. \(2019\)](#), [Losacco and Viggiani \(2019\)](#), and [Losacco and Viggiani \(2020\)](#). In  
351 these refined numerical analyses, the pile geometry and location was accurately described  
352 by a 3D model, while piles were modelled with elastic solid elements assuming a frictional  
353 soil-pile interface. For the tunnelling process, the mechanised excavation and construction  
354 process was modelled to consider the head advancement (including, among others, support  
355 pressure at the face, shield geometry, grouting of the tail void and its hardening behaviour).  
356 Consequently, a hydro-mechanical coupled behaviour of the soil was considered, with different  
357 constitutive models for clays and granular materials that were calibrated using information  
358 from the geotechnical ground investigation.

359 Input parameters of the proposed EL model are firstly addressed. A pile row consisting  
360 of 48 piles was considered (the numerical analyses had highlighted a dependency on pile  
361 number, relating to the barrier length), while pile characteristics were assigned based on the  
362 geometry and material properties. Engineering judgement was needed for the selection of  
363 the geotechnical parameters. For the ground, a Young's modulus of 150 MPa was assumed  
364 considering the small-strain stiffness of the soil along the shaft, a 50% reduction of its value  
365 due to a tunnelling-induced shear strain level of 0.1%, while neglecting that the base layer  
366 is stiffer than the ground at shaft. Under these assumptions,  $\Psi_4 = 0.4$ , indicating a small  
367 contribution of the pile shortening to the interaction problem. For the sake of simplicity,  
368 [Loganathan and Poulos \(1998\)](#) greenfield displacement field was implemented also for field  
369 cases.

370 The surface settlement profiles predicted by the proposed model (EL), by numerical  
371 outcomes (NUM), and by field measurements (Field) are displayed in Figure 9 for both  
372 greenfield conditions (GF) and with the pile wall (PW). Two different tunnel volume losses  
373 were selected in Figures 9a and b;  $V_{l,t} = 0.385\%$  and  $0.46\%$  were selected to match the

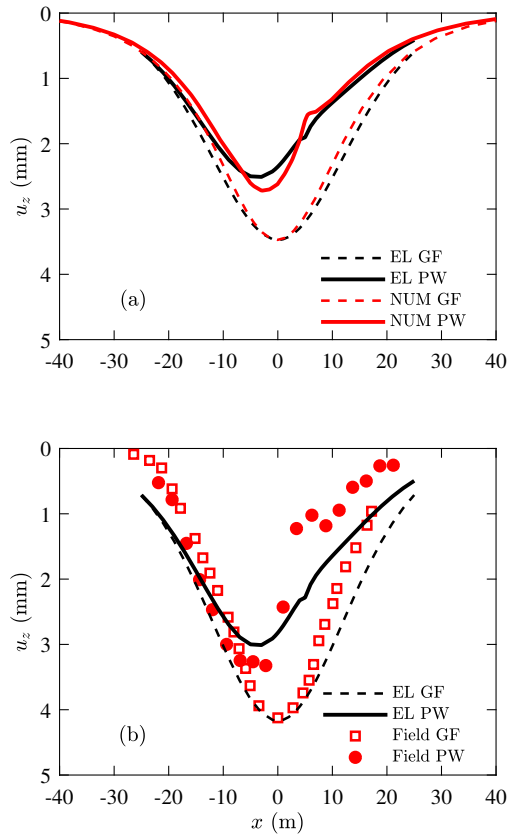
374 centreline greenfield settlement of the numerical model and field data, respectively, for a  
375 direct comparison. In Figure 9a, NUM and EL results have similar shapes, both for greenfield  
376 movements and considering the tunnel-wall interaction. The mitigating effect decreases with  
377 distance from the barrier while a similar asymmetry of the settlement trough is induced,  
378 including maximum settlement slightly shifted away from the piles. Importantly, a similar  
379 relationship between GF and PW surface settlements was obtained by Rampello et al. (2019)  
380 when comparing results for identical tunnel volume losses calculated at the tunnel boundary,  
381 as opposed to similar volume loss at the ground surface. However, a slightly greater shielding  
382 action of the barrier is predicted by the NUM model than by the EL one, likely due to the  
383 stiff ground layer at the pile wall tip (note that the EL model assumes a uniform soil). On  
384 the other hand, Figure 9b displays that a greater wall efficiency was measured in the field,  
385 making both NUM and EL results conservative.

386 The subsurface settlements of the NUM and EL models are displayed in Figure 10. Note  
387 that isolines of greenfield settlements associated with the L&P displacement field are slightly  
388 wider than for the NUM data (see top charts). Despite this, the impact of the wall on the  
389 subsurface soil deformations is comparable, leading to similar decreases of ground settlements  
390 with depths on both sides of the wall. Interestingly, the wall action contributes to decreasing  
391 settlements both beyond the wall ( $x > X_w$ ) and above the tunnel centreline ( $x = 0$ ).

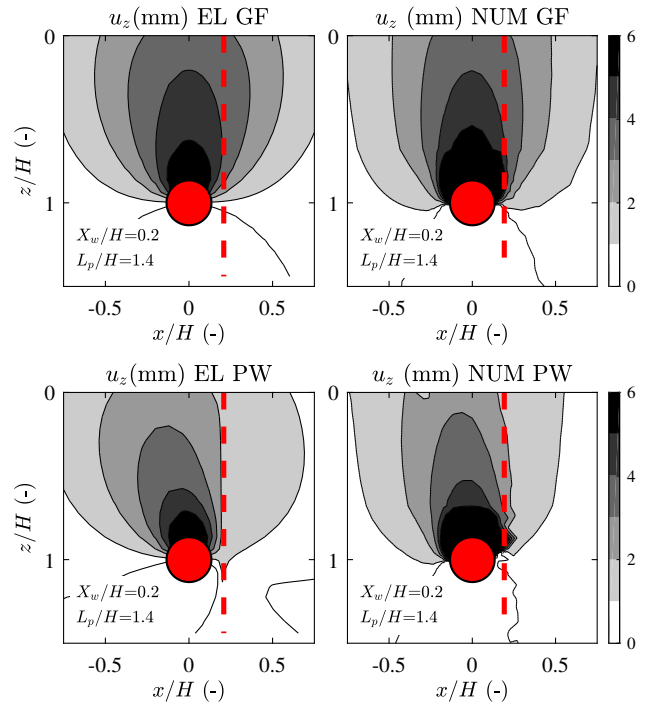
## 392 6.2 Line 9 - Barcelona

393 Next, the shielding action of the bored pile wall barrier constructed during the excavation  
394 of the Line 9 at St Adrià street, in Barcelona, is considered (Di Mariano et al., 2007). This  
395 tunnel of 12 m diameter was executed with a depth  $H = 23$  m (cover-to-diameter ratio of 1.4)  
396 close to multi-storey residential building at an offset of approximately  $0.75H$ . The soil profile  
397 is given by: fill (3 m thickness); alluvial sand (11 m thickness); alluvial silt (6 m thickness)  
398 in which the tunnel crown is located; alluvial sands and gravels (12 m thickness) in which





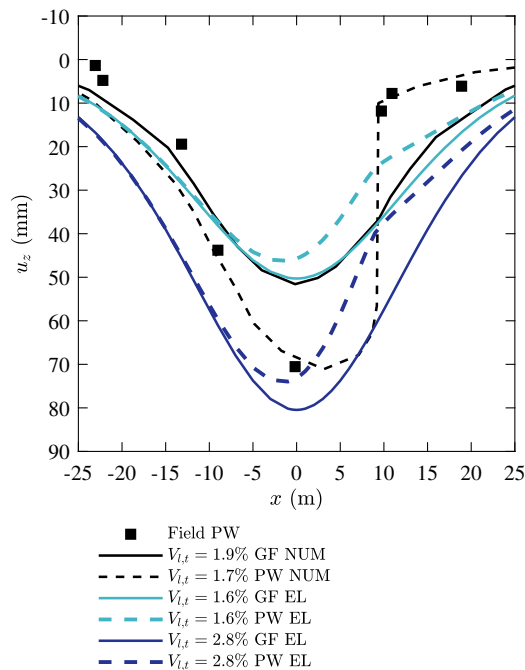
**Figure 9.** Surface settlements from the Line C field trial [Losacco and Viggiani \(2020\)](#): a) comparison with a) numerical results and b) field data.



**Figure 10.** Comparison with the Line C field trial: (left) subsurface settlements for the proposed model and  $V_{l,t} = 0.385\%$ ; (right) numerical results from [Losacco and Viggiani \(2020\)](#).

399 the tunnel springline and invert were located; all overlying a stiff Pleistocene claystone. The  
 400 water table depth from ground surface was approximately 5 m. Because of this mixed face  
 401 conditions, the large diameter tunnelling caused significant ground losses ( $V_{l,t} > 1.5\%$ ) and  
 402 settlements. In the model, the barrier was made of 11 bored cast-in-situ piles of 0.65 m  
 403 diameter with  $L_p = 29.3$  m ( $H/L_p = 1.27$ ), offset  $X_w = 8.8$  m ( $X_w/H = 0.38$ ), and a  
 404 normalised pile spacing of  $Sp/d_p = 2$ .

405 [Di Mariano et al. \(2007\)](#) reported settlements measured in the presence of the wall (Field  
 406 PW) as well as back-calculated 2D numerical results (NUM) both in greenfield conditions  
 407 (GF) and with the wall model activated (PW). In these back-analyses, the layered soil was



**Figure 11.** Comparison with the Barcelona monitoring (Di Mariano et al., 2007): surface settlements.

408 modelled with a Mohr-Coulomb constitutive law and elastic beam elements were used for  
 409 the wall. Tunnelling was modelled with the stress relief method.

410 Figure 11 compares the EL surface settlement predictions with field measurements and  
 411 with numerical results. Two tunnel volume losses were used in the EL solution ( $V_{l,t} = 1.6\%$   
 412 and  $2.8\%$ ); with values selected to replicate the numerical greenfield results and the field  
 413 settlements, respectively. For the ground,  $E_s = 100$  MPa was considered. Although the  
 414 EL solutions are conservative, their predicted shape matches neither the field data nor the  
 415 numerical results. As noted from the numerical results (NUM PW), surface settlements  
 416 were greater than for the back-calculated greenfield profile (NUM GF), while settlement  
 417 reductions induced by the pile barrier was significant, leading to a maximum settlement  
 418 behind the wall of approximately 11.8 mm rather than 36 mm. The numerical efficiency of  
 419 the wall  $\eta_w = 67\%$  is greater than the EL efficiency 35%.

420 There are several causes for the differences between NUM and EL results, discussed  
421 considering the numerical work of Rampello et al. (2019). Firstly, the poor performance  
422 of the large 12 m diameter tunnel boring machine that resulted in a rather large tunnel  
423 volume loss of  $V_{l,t} = 1.6\%$  and, thus, in large settlements. Secondly, the pile wall was  
424 modelled by Di Mariano et al. (2007) using a 2D diaphragm, rather than a pile wall. As  
425 discussed by Rampello et al. (2019) a 2D diaphragm wall prevents the tunnel ground loss  
426 from propagating beyond the wall, hence shielding the soil beyond it from the ground loss;  
427 however, this shielding effect is minor for the pile walls simulated by Rampello et al. (2019).  
428 Thirdly, this settlement level led to soil negative friction that (likely) exceeded the ultimate  
429 shaft friction of the wall. All points could contribute to the 2D numerical results from Di  
430 Mariano et al. (2007) displaying a settlement discontinuity between the two sides of the  
431 wall. Despite uncertainties on the field shape of the surface settlements, these results from  
432 the Line 9 highlighted the limitations of the proposed elastic approach EL in predicting the  
433 wall efficiency for relatively high volume losses.

## 434 7 Discussion and considerations on the model applicability

435 The first case study indicated that a reasonable estimate of the subsurface settlements on  
436 both sides of the wall is possible for small ground deformations (associated with small tunnel  
437 volume loss). The second case illustrated that conservative estimates of the wall efficiency  
438 would be provided by elastic methods for large tunnelling-induced ground losses, although  
439 the displacement distribution due to the pile wall may not be well predicted by the elastic  
440 solution (because of the soil-pile compatibility assumption is not fulfilled). Unfortunately,  
441 field evidence on displacements shapes and settlement discontinuities at the pile wall sides  
442 are not conclusive.

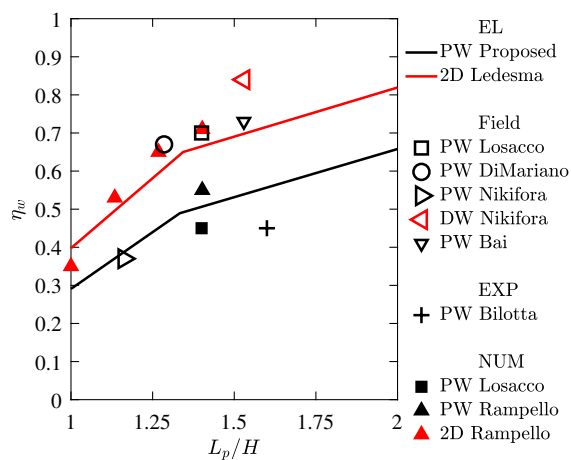
443 As a preliminary step to advanced modelling, there is scope in practice for using versatile

444 EL 3D models in risk assessments. Although numerical predictions obtained from advanced  
445 numerical modelling were satisfactory in both cases, these simulations were computationally  
446 expensive and needed a careful calibration using geotechnical investigations to produce an  
447 advanced ground model with an elasto-plastic interface. The obtained EL 3D predictions  
448 have a good level of fidelity when tunnelling results in small volume losses and millimetre-  
449 level displacements, i.e. when the assumptions of linear elastic ground behaviour and perfect  
450 pile-soil compatibility are reasonable. For large tunnelling-induced movements, the wall  
451 efficiency is under-predicted while only the shape of the soil movements beyond the wall  
452 may be considered representative.

453 To illustrate the reliability and limitations of the proposed 3D EL model, wall efficiency  
454 predictions as a function of the pile length-to-tunnel depth ratio are compared with an  
455 extensive dataset covering a variety of ground conditions. Figure 12 displays the predictions  
456 of the wall efficiency values of the proposed PW EL model (black solid lines), against field  
457 data (Di Mariano et al., 2007; Losacco et al., 2019; Nikiforova and Vnukov, 2012), numerical  
458 outcomes (Rampello et al., 2019; Losacco and Viggiani, 2020; Bai et al., 2014) and centrifuge  
459 results (Bilotta et al., 2006) of pile walls (black markers). All PW results are for a pile spacing  
460  $S_p/d_p \leq 3$ . Also, the 2D EL model results of Ledesma and Alonso (2017) (light coloured line)  
461 is plotted against the results (light coloured markers) for frictional diaphragm walls (DW)  
462 obtained numerically by Rampello et al. (2019) and from field monitoring by Nikiforova  
463 and Vnukov (2012). For the 3D EL model, results from the tunnel Case A in Table 1 are  
464 considered.

465 First, the introduced case studies are briefly described. Bai et al. (2014) modelled the  
466 efficiency of a pile wall (0.8 m diameter bored piles with spacing  $s/d = 1.5$ ) embedded in the  
467 Shanghai silty and clayey soil; numerical predictions of tunnelling-induced pile settlements  
468 agreed with field measurements. Nikiforova and Vnukov (2012) measured, for tunnelling in  
469 clay overlain by sand in Moscow, induced settlements next to a pile wall consisting of 16 m

470 long steel pipes ( $d_p = 0.16$  m and spacing of  $S_p/d_p = 1.5$ ) and to a diaphragm wall consisting  
 471 of two rows of 1.2 m deep-mix secant piles). [Bilotta et al. \(2006\)](#) carried out centrifuge tests  
 472 of tunnelling adjacent to a row of aluminium micropiles (at prototype scale,  $d_p = 0.26$  m and  
 473 spacing of  $S_p/d_p = 3$ ) driven in Speswhite kaolin. [Rampello et al. \(2019\)](#) simulated floating  
 474 pile walls and continuous diaphragms embedded in a ground with a stratigraphy similar to  
 475 the field trial of the Line C.



**Figure 12.** Local efficiency  $\eta_w$  against  $L_p/H$  for pile wall (PW) and diaphragm (DW): elasticity solutions (EL) against field (Field), experimental (EXP) and numerical (NUM) data.

476 Next, results in Figure 12 are discussed. Despite the wall efficiency being obtained for  
 477 different  $\Psi$  values (for instance, different offsets), the agreement between elastic predictions  
 478 and numerical/experimental results is good for both pile and diaphragm wall barriers, except  
 479 for a few specific cases, confirming that  $L_p/H$  plays a major role in determining  $\eta_w$  (as already  
 480 suggested by Figure 5). In fact, Figure 12 shows that both EL 3D results for pile walls PW  
 481 underpredict the wall efficiency inferred from field data of [Bai et al. \(2014\)](#), [Di Mariano et al.](#)  
 482 [\(2007\)](#), and [Losacco et al. \(2019\)](#), which are interestingly close to 2D efficiency predictions.  
 483 This underestimation is partly due to a stiff soil layer at the pile tip, that restrains the  
 484 pile from settling, thus increasing the pile efficiency; the uniform soil stiffness used by the  
 485 proposed model does not capture this additional mechanism. On the other hand, the EL 3D

486 trend does agree with pile wall PW numerical results of [Losacco et al. \(2019\)](#), field data of  
487 [Nikiforova and Vnukov \(2012\)](#), and centrifuge outcomes of [Bilotta et al. \(2006\)](#).

488 Finally, the potential use of the model for more complex scenarios is also discussed. The  
489 main advantages of the 3D solutions (with respect to 2D models) are: (i) that it allows as  
490 input 2D and 3D displacement fields (e.g. due to tunnel advancement), (ii) that it rationally  
491 models any pile wall configuration (e.g. varying longitudinal spacing between piles, unaligned  
492 piles), and (iii) that, with future extensions, it can consider varying stiffness along the pile  
493 length.

## 494 8 Conclusions

495 In this paper, a three-dimensional linear elastic two-stage continuum-based model for tunnel-  
496 pile group interaction was used to study the protective action of barriers next to new tunnel  
497 excavations. This model, relying on a limited number of geometrical and elasticity parame-  
498 ters, can be used as a quick preliminary step to advanced modelling while allowing to consider  
499 any greenfield displacement input. Analyses were carried out to evaluate the capabilities of  
500 pile walls in decreasing the vertical and horizontal movements of the ground thanks to their  
501 axial and bending stiffness. The following main conclusions can be drawn.

- 502 • The presented three-dimensional elastic model allows estimating the shielding action  
503 of a pile wall barrier against tunnelling-induced settlements and horizontal movements,  
504 with the latter being not studied by previous empirical and analytical models. More  
505 importantly, the displacement field within the entire ground mass resulting from the  
506 tunnel-barrier interaction is directly obtained by solving the interaction problem, over-  
507 coming the limitations of previous methods only describing the reduction in settlements  
508 at the surface or pile heads. This displacement field can be used for risk assessments  
509 of existing surface or subsurface structures.

- 510 • For this tunnel-pile wall interaction model, it was shown that vertical and horizontal  
511 displacements at any point can be obtained, which can be used as input for uncoupled  
512 and coupled soil-structure interaction models. Results illustrated how the stiffness of  
513 the pile wall barrier modifies both surface and subsurface ground movements, confirm-  
514 ing the results of previous analytical solutions for diaphragm walls (i.e., in plane-strain  
515 conditions).
- 516 • Dimensionless displacements and local efficiency values at surface and subsurface lo-  
517 cations were illustrated. Plots in terms of displacement curves and contours may be  
518 used for preliminary assessments.
- 519 • Validation against a field-trial data and numerical Class A predictions confirmed the  
520 robustness of the proposed elastic approach when small-to-medium tunnelling-induced  
521 volume losses are induced (giving a small-strain regime for the soil). Further work is  
522 needed to improve the model predictions at large settlement levels.
- 523 • Field data reported pile wall efficiency often greater than the values predicted both by  
524 this elastic model and more numerical advanced simulations. Future work will need  
525 to provide insights into this discussion, considering the influence of layered ground  
526 conditions with different properties at each layer.

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530

## NOTATION

|              |   |                      |  |
|--------------|---|----------------------|--|
| $d_p$        | pile diameter                                     |                      |  |
| $i$          | offset of the greenfield inflection point         |                      |  |
| $u_{norm}$   | displacement as normalised ground loss            | $\mathbf{f}_w$       | interaction force vector at the pile locations       |
| $u_x$        | horizontal displacement                           | $\mathbf{k}_s$       | ground stiffness matrix at the pile locations        |
| $u_z$        | vertical displacement                             | $\mathbf{k}_w$       | stiffness matrix of the pile group                   |
| $x$          | transverse horizontal distance                    | $\mathbf{u}_w$       | displacement vector of the pile group                |
| $y$          | longitudinal horizontal distance                  | $\mathbf{u}_w^{gf}$  | greenfield displacement vector at the pile locations |
| $z$          | depth   | $\mathbf{F}_w$       | interaction force vector at the ground locations     |
| $A_p$        | pile cross-sectional area                         | $\mathbf{L}_s$       | soil flexibility matrix at the ground locations      |
| $C$          | cover   | $\mathbf{U}_s$       | final displacement vector of the ground locations    |
| $D$          | tunnel diameter                                   | $\mathbf{U}_s^{gf}$  | greenfield displacement vector of the ground         |
| $I_p$        | pile second moment of area                        | $\mathbf{U}_s^{int}$ | interaction displacement vector of the ground        |
| $E_p$        | pile Young's modulus                              | GF                   | greenfield   |
| $E_s$        | soil Young's modulus                              | PW                   | pile wall  |
| $H$          | depth of the new tunnel                           | DW                   | diaphragm wall                                       |
| $L_p$        | pile wall length                                  | NUM                  | numerical  |
| $R$          | tunnel radius                                     | EL                   | elasticity   |
| $S_P$        | longitudinal pile spacing                         | EMP                  | empirical  |
| $V_0$        | tunnel area                                       | EXP                  | experimental   |
| $V_{l,t}$    | percentage tunnel volume loss                     | P                    | pile   |
| $X_w$        | pile wall offset                                  | S                    | soil   |
| $\eta_{l,x}$ | local efficiency in horizontal movement reduction | SA                   | semi-analytical                                      |
| $\eta_{l,z}$ | local efficiency in vertical movement reduction   | TBI                  | tunnel-barrier interaction                           |
| $\eta_w$     | wall efficiency in settlement reduction           | TSI                  | tunnel-structure interaction                         |
| $\chi$       | curvature   | W                    | wall   |
| $\epsilon$   | volumetric term                                   |                      |  |
| $\omega_w$   | wall efficiency in curvature reduction            |                      |  |
| $\nu_s$      | soil Poisson's ratio of the soil                  |                      |  |
| $\rho$       | ovalization term                                  |                      |  |
| $\xi$        | corrective term                                   |                      |  |
| $\Delta V$   | ground loss                                       |                      |  |
| $\Pi_i$      | $i$ th dimensionless group $\Pi$                  |                      |  |
| $\Psi_i$     | $i$ th dimensionless group $\Psi$                 |                      |  |



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