

1 **Influences of buried depth and grain size distribution on seepage erosion in**
2 **granular soils around tunnel by coupled CFD-DEM approach**

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42 **Abstract:**

43 For tunnels built in the saturated silty sand ground, fine particles may be migrated into tunnels
44 through seams of tunnel segmental joints and then seepage erosion is triggered, which may
45 induce ground settlement. However, the process from fine particles erosion to the stress
46 redistribution and soil properties' change surrounding the tunnel and ground settlement has not
47 been clarified up to now. For this purpose, five numerical tests of seepage erosion in granular
48 soils around the tunnel are conducted using the Computational Fluid Dynamics and Discrete
49 Element Method (CFD-DEM) coupling method. The influences of buried depth and grain size
50 distribution (GSD) of gap graded soils (mainly controlled by the fines content and mean
51 particle size ratio from coarse to fine) on the seepage erosion around the tunnel are investigated.
52 Eroded mass, fines loss mode, surface vertical displacement, stress redistribution, fabric
53 anisotropy, soil behavior and water pressure around the tunnel during the seepage erosion
54 process for five tests are presented and compared. The following results can be upscaled to the
55 practical tunnel engineering, such as: (1) the number of fines loss, the eroded zone and the
56 ground settlement increase with buried depth and mean particle size ratio; (2) the earth pressure
57 near the crack significantly increases due to the stress redistribution induced by fines loss, and
58 the stress redistributed area expands with buried depth; (3) the strength and stiffness of granular
59 soils around the crack are significantly reduced by the seepage erosion. All results revealed
60 that the CFD-DEM simulations provide a new sight on understanding the mechanics of tunnel
61 seepage erosion from a microscopic perspective.

62

63 **Keywords:** CFD-DEM; seepage; suffusion; tunnel; grading; silty sand

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66 **1. Introduction**

67 Regarding tunnels assembled with segmental lining, segmental joints may open and dislocate
68 due to the tunnel convergence and differential longitudinal settlement (Shen et al., 2014; Wu
69 et al., 2015, 2014). Then, tunnel leakage occurs through the opened and dislocated segmental
70 joints (Lyu et al., 2019; X.-W. Wang et al., 2019; Z.-F. Wang et al., 2019; Xu et al., 2019).
71 When tunnels are built in saturated sand or silty sand, which is highly permeable soil, neither
72 the reduction in the pore pressure nor ground and tunnel settlement will be caused by the tunnel
73 leakage (Zhang et al., 2015, 2012). Nevertheless, for the low cohesive force between the
74 silt/sand particles, fine particles can be easily eroded by the drag force induced by the tunnel
75 leakage through the broken segmental joints. This erosion of fine particles then causes the
76 ground loss with increasing the void ratio of soils. The increase of the void ratio could result
77 in a severe reduction in the strength and stiffness of the soils around the tunnel (Chang and Yin,
78 2011; Yang et al., 2019a; Yin et al., 2016b, 2014). Then under the combination of the strength
79 reduction and external loads, a further settlement will be induced up to severe engineering
80 hazards. However, up to now, the seepage erosion induced hazards have been mainly focused
81 on earth dams/dikes (Chang and Yin, 2011; Fox et al., 2006; Midgley et al., 2012; Richards
82 and Reddy, 2007; Wan and Fell, 2004; Yang et al., 2019b, 2017; Yin et al., 2016a), little
83 attention was paid to the tunnel engineering.

84 Previous researches on piping and suffusion in earth dams can provide valuable insight for
85 studying seepage erosion around the tunnel, although they are two different problems.
86 According to relative research about earth dams, the erosion process is affected by factors like
87 the grain size distribution (GSD), the confining pressure, hydraulic pressure, and the
88 controlling constriction size. For instance, Kenney and Lau (1985) put forward an H-F
89 geometrical curve to differentiate between the stable grading and the unstable grading for fine
90 particle erosion. Tomlinson and Vaid (2000) stated that high confining pressure can induce the
91 collapse of arching bridges that cross the inter-particle voids and are assembled by the fine
92 particles. Thus, more significant particle erosion occurs. Kenney et al. (1985) defined the
93 controlling constriction size as the diameter of the largest soil particles that can be carried

94 through the granular soil filter by seepage. The controlling constriction size distribution is
95 closely related to GSD, material relative density and the cumulative number of eroded particles
96 (Indraratna et al., 2007; Reboul et al., 2010).

97 No matter seepage erosion around tunnel or piping and suffusion in earth dams, the interaction
98 of soil particles and water is involved. Among many numerical methods, the CFD-DEM
99 coupling method has been proved to be a promising method for investigating the seepage
100 erosion, specifically the migration and erosion of fine particles (Cheng et al., 2018; Shi et al.,
101 2018; Sibille et al., 2015; Zhao and Shan, 2013). The method can both consider the effect of
102 fluid and provide an insight of fundamental physics. The discrete element method (DEM)
103 proposed by Cundall and Strack (Cundall and Strack, 1979) has been recognized as an effective
104 numerical tool to explore the macroscopic behavior of granular materials at the particulate level.
105 Recently, some studies using DEM investigated the macro and micro responses of soil to propose
106 micromechanical models (Jiang et al., 2020; Liu et al., 2020; Xiong et al., 2019). DEM is a
107 powerful numerical method for calculating the motion of many particles in the simulation of
108 particle erosion involving large deformation and discontinuous. Soil is treated as an assembly
109 of discrete particles in DEM. The calculation of DEM starts with the basic constitutive laws at
110 inter-particle contacts at the particulate level and develops into the responses of the particle
111 assembly under different loading conditions on the macroscopic scale. Consequently, the large
112 deformation and discontinuous process of granular materials under quasi-static and dynamic
113 conditions can be simulated (Jiang et al., 2016; Jiang and Yin, 2014, 2012). While the large
114 deformation and discontinuous process in the FEM simulation about internal erosion are
115 difficult to be achieved or usually simplified by many assumptions. In the post-processing
116 section, the microstructure such as force transmission and contact network of granular materials
117 can be measured in DEM, while it is impossible to know in FEM. Therefore, the fundamental
118 mechanism of granular materials can be better understood in DEM simulation. The coupling
119 of CFD and DEM inherits all the advantages of DEM and can consider the action of fluid at
120 the same time. This combination makes it possible to investigate the interaction between
121 particles and fluid at the microscopic level.

122 Recently, Zhang et al. (2019) successfully conducted a series of numerical tests using the
123 coupled CFD-DEM method to investigate the seepage erosion mechanism of soils around
124 shield tunnels. The quantitative relationships between the loss of fines, the volumetric strain
125 and four influencing factors (i.e. time, hydraulic pressure, consolidated stress ratio and void
126 ratio) have been obtained. However, the study was only focused on the localized area of soils
127 around the tunnel at the element level. Several shortcomings, such as the simulation of the
128 complicated flow field and stress field in actual condition, still cannot be remedied.

129 The major objectives of this paper are as follows: (1) to investigate the seepage erosion
130 mechanism of gap graded silty sand around tunnels under various buried depths and GSDs
131 (mainly fines content and mean particle size ratio from coarse to fine), and (2) to obtain the
132 influence of the seepage erosion in the soil around tunnel including the ground surface, void
133 ratio, stress redistribution, soil fabric, soil behavior and water pressure. To achieve these
134 objectives, five CFD-DEM numerical models of seepage erosion in granular soils around the
135 tunnel are prepared and conducted with various buried depths and GSDs. The results are
136 discussed in terms of the fines loss, stress distribution, mechanical properties of soil under
137 tunnel crack and pore pressure around the tunnel.

138 **2. Description of coupled CFD-DEM method**

139 In this paper, the combination of the DEM and the CFD calculation is enabled by the open-
140 source software CFDEM (<http://www.cfdem.com>). It is based on the OpenFOAM CFD
141 modeling environment (<http://www.openfoam.org>) and the LIGGGHTS (LAMMPS improved
142 for general granular and granular heat transfer simulations) (<http://www.liggghts.com>). To
143 simulate the actual situation and output the available fluid information as much as possible,
144 more and more four-way instead of two-way coupling methods are adopted in CFD-DEM
145 simulation (Jing et al., 2016). Coupling both momentum and volume of solids on fluids and
146 fluids on solids, which is often called four-way coupling, can be achieved by the CFDEM code.

147 A critical issue of the four-way coupling method is the precise calculation of the void fraction
148 of grid cells, since previous researches (Kawaguchi et al., 2000; Kloss et al., 2012; Link et al.,

149 2005) have pointed out that inaccuracy may occur when the particle size approaches the cell
 150 size. However, if we keep the cell size larger enough than the particle size in this study, the
 151 grid will be too coarse to get the precise result, too. To overcome the dilemma, the porous
 152 sphere model according to Jing et al. (2016) was adopted in this study to ensure the accuracy
 153 of the results while using a relatively fine grid. The principle and validations of the porous
 154 sphere model can be found in (Jing et al., 2016).

155 In this study, the unresolved CFD-DEM approach was chosen. The governing equation
 156 (volume-averaged Navier-Stokes equations) describing the motion of an incompressible-fluid
 157 phase in the presence of a solid phase can be written as (Kloss et al., 2012):

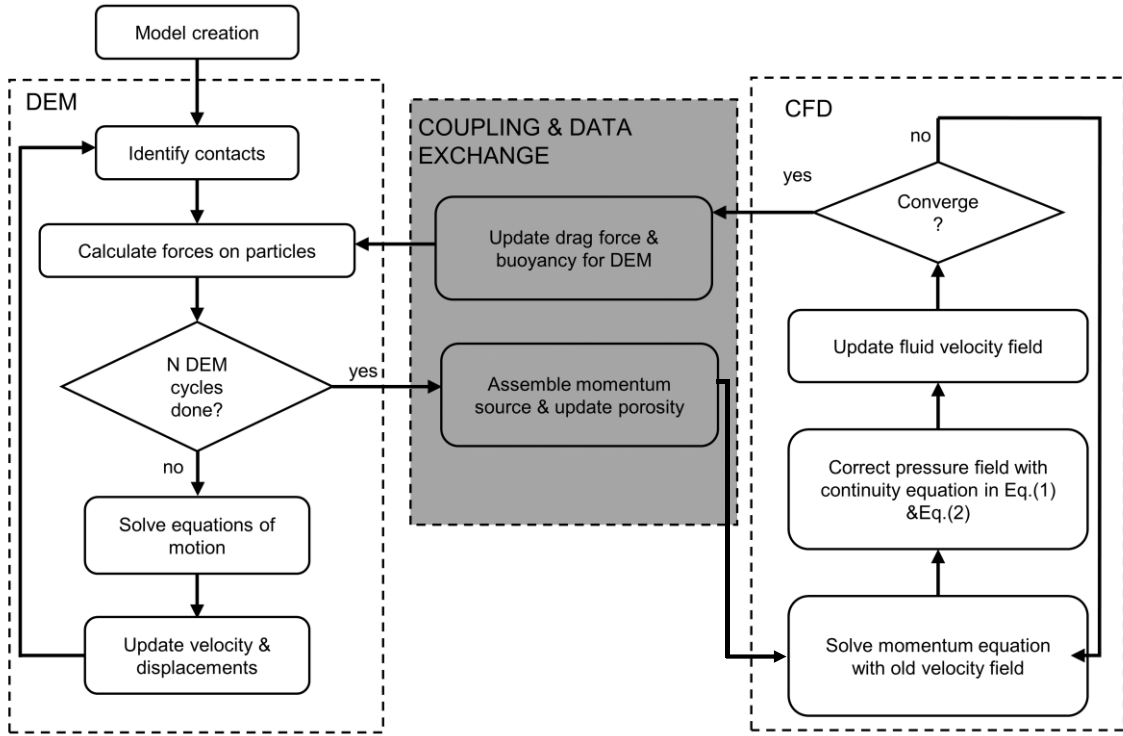
$$158 \quad (\partial \alpha_f) / \partial t + \nabla \cdot (\alpha_f \mathbf{u}_f) = 0 \quad (1)$$

$$159 \quad \frac{\partial \alpha_f \mathbf{u}_f}{\partial t} + \nabla \cdot \alpha_f \mathbf{u}_f \mathbf{u}_f = -\alpha_f \nabla \frac{p}{\rho_f} - \mathbf{R}_{pf} + \nabla \cdot (\alpha_f \boldsymbol{\tau}) \quad (2)$$

160 where α_f is the volume fraction occupied by the fluid, ρ_f and \mathbf{u}_f are the fluid density and
 161 fluid velocity respectively, and $\boldsymbol{\tau}$ is the stress tensor of the fluid phase. \mathbf{R}_{pf} is the momentum
 162 exchange with the solid phase. The momentum exchange for each cell is collected from the
 163 relevant particles' drag force.

164 To solve the above-mentioned equations, a pressure-based solver, which adopts PISO pressure
 165 velocity coupling is used. The coupling scheme of this CFD-DEM model is shown in Fig.
 166 1(refer to (Jing et al., 2016)).

167



168
169

Fig. 1. Computational fluid dynamics and discrete element method (CFD-DEM) coupling scheme

170 The momentum exchange per unit volume applied by the particles to the fluid in each fluid
171 element is defined as

172

$$\mathbf{R}_{pf} = \mathbf{K}_{pf} (\mathbf{u}_f - \langle \mathbf{u}_p \rangle) \quad (3)$$

173 where $\langle \mathbf{u}_p \rangle$ is the cell-based ensemble averaged particle velocity. To calculate \mathbf{K}_{pf} , kinds of
174 drag correlations have been put forward in recent years (Kafui et al., 2002; Koch and Hill, 2001;
175 Tsuji et al., 2008; Zhu et al., 2007). This paper adopted a widely used drag correlation proposed
176 by Gidaspow et al. (1991), which is a combination of the Wen and Yu (1966) model and the
177 Ergun equation (ERGUN and S., 1952).

178 When $\alpha_f > 0.8$, the momentum exchange is calculated as:

179

$$\mathbf{K}_{pf} = \frac{3}{4} \frac{(1 - \alpha_f) |\mathbf{u}_f - \mathbf{u}_p|}{d_p} \alpha_f^{-2.65} \quad (4)$$

180
$$C_d = \frac{24}{\alpha_f Re_p} [1 + 0.15(\alpha_f Re_p)^{0.687}]$$
 (5)

181
$$Re_p = \frac{|\mathbf{u}_f - \mathbf{u}_p|}{\nu_f} d_p$$
 (6)

182 When $\alpha_f \leq 0.8$, the Ergun equation is applied:

183
$$K_{pf} = 150 \frac{(1 - \alpha_f)^2 \nu_f}{\alpha_f d_p^2} + 1.75 \frac{(1 - \alpha_f) |\mathbf{u}_f - \mathbf{u}_p|}{d_p}$$
 (7)

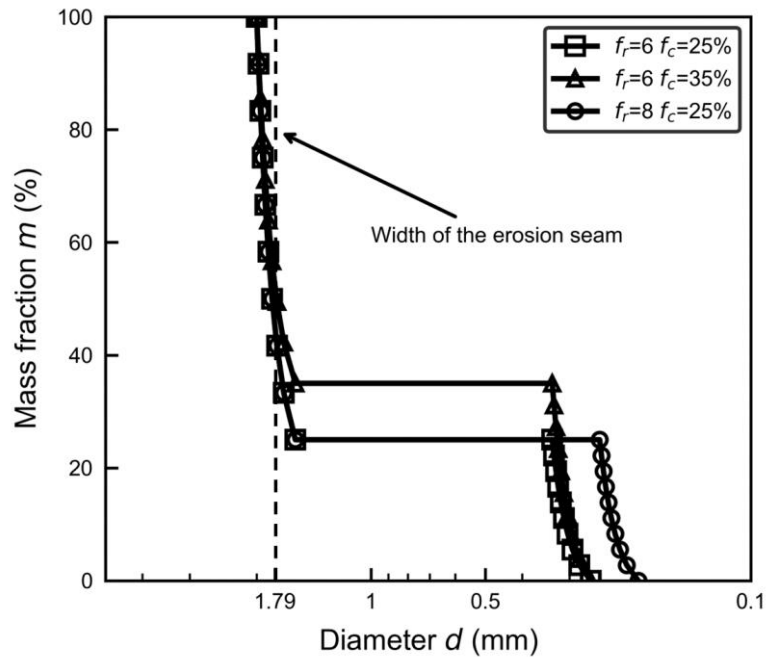
184 The DEM code of Liggghts is used to build solid phase models. The inter-particle contact and
 185 the particle-wall contact in normal and tangential directions are modeled by the simplified
 186 Hertz-Mindlin contact model. The contacts in both normal and tangential directions contain a
 187 spring with nonlinear stiffness coefficients, a dashpot and a divider which resets the contact
 188 force to zero in the condition of separated particles. Besides, a slider is set especially in the
 189 tangential direction to trigger slip once the tangential force exceeds the normal force times the
 190 friction coefficient. In Chand et al. (2012), the equations of the contact model can be found in
 191 detail.

192 More details about the unresolved CFD-DEM approach can also be found in the literature
 193 (Goniva et al., 2012; Kloss et al., 2012). Note that both the scaling effect and the number of
 194 particles need to be considered in DEM simulations. According to previous studies Karim
 195 (2005) and Maynar and Rodríguez (2005), the ratio of model size to the mean particle size is
 196 of more interests and is recommended to be no less than 10, which is followed in this study.
 197 Besides, in the open-source software OpenFOAM, the fluid condition can be rep-defined as
 198 laminar flow throughout the whole simulation. As a result, the laminar flow is ensured, and
 199 there is no effect on the particle-fluid interaction forces by changing the viscosity coefficient.

200 3. Simulation process

201 **3.1 Properties and mechanical behavior of granular soil**

202 Spherical particles are adopted in this study to reduce computational effort. There are three
 203 GSDs in the DEM part of our CFD-DEM simulations, shown in Fig. 2. According to Kenney
 204 and Lau (1985), the particles finer than d would be likely to be eroded from a soil matrix if
 205 particles of grain size from d to $4d$ occupied a less content proportion than particles of
 206 grain size less than d . Therefore, the GSD follows the gap-graded pattern proposed by Wan
 207 and Robin (Wan and Fell, 2004), which has been widely used to study the erosion related issues.
 208 The gap-graded GSD method divides the particles into two simplified categories of coarse and
 209 fine particles. The three kinds of GSD differentiate from each other by the percentage of fine
 210 particles (f_c) and the mean size ratio of coarse particles to fine particles (f_r).



211
 212 Fig. 2. Grain size distributions of gap-graded granular material in numerical simulations

213 Particle parameters are listed in

214 Table 1. A granular density of 2650 kg/m^3 and a friction coefficient of 0.3 are adopted based
 215 on previous studies (Jiang and Yin, 2014; D.-M. Zhang et al., 2019). Moreover, Young's

216 modulus is $2.5 \times 10^8 \text{ Pa}$ to ensure that the overlap in the CFD-DEM simulations is not larger
 217 than 2% of the total solid volume. The parameters of the fluid cell are derived based on the
 218 behavior of pure water under the pressure of 100 kPa and the temperature of 20°C .

219
 220

Table 1 Parameters for DEM simulation

Parameter	Value
Coefficient of restitution	0.5
Poisson's ratio	0.25
Young's modulus	$2.5 \times 10^8 \text{ Pa}$
Coefficient of friction, particle-particle	0.3
Coefficient of friction, particle-wall	0
Particle density	2650 kg/m^3
Timestep	$1 \times 10^{-7} \text{ s}$

221 The hydraulic conductivity is a predominant property of soil and is greatly affected by GSD
 222 and void ratio (Skempton and Brogan, 1994). To know the difference between the hydraulic
 223 conductivity of materials adopted in the tunnel seepage simulation, three downward seepage
 224 flow tests on three soil samples ($f_r=6$ and $f_c=25\%$, $f_r=6$ and $f_c=35\%$, $f_r=8$ and $f_c=25\%$) were
 225 conducted. The downstream filter is composed of a 0.833 mm (2.5 times the maximum fine
 226 particle diameter) pore opening grid. Such a pore opening allows the migration of fines. GSDs
 227 are shown in Fig. 2, and the prepared void ratio is 0.35, which is close to the soil in the tunnel
 228 model (Table 2). The measurement method of hydraulic conductivity refers to the laboratory
 229 test (Rochim et al., 2017). The model dimension is 15mm, 15mm, 30mm respectively in length,
 230 wide and height. A single-staged hydraulic gradient of 4 was applied. Corresponding results
 231 are shown in Fig. 3, from which the permeability of three samples are obtained: The hydraulic
 232 conductivities of all the three samples grow first and then tend to be stable. The sample with
 233 $f_r=6$ and $f_c=25\%$ and the sample with $f_r=6$ and $f_c=35\%$ have a close hydraulic conductivity while
 234 the hydraulic conductivity of the sample with $f_r=8$ and $f_c=25\%$ is about half of the former two.

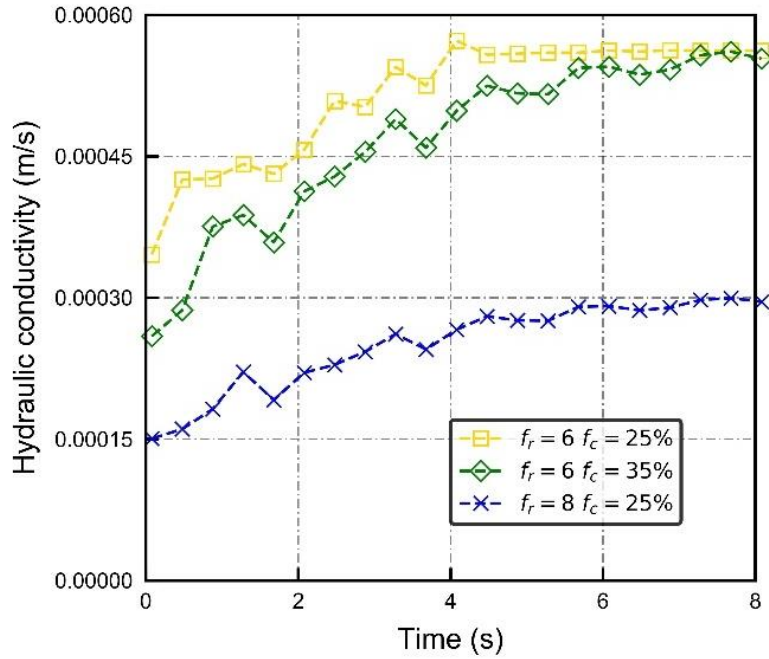


Fig. 3. Hydraulic conductivity of samples with different GSDs

Table 2 Summary information of DEM models

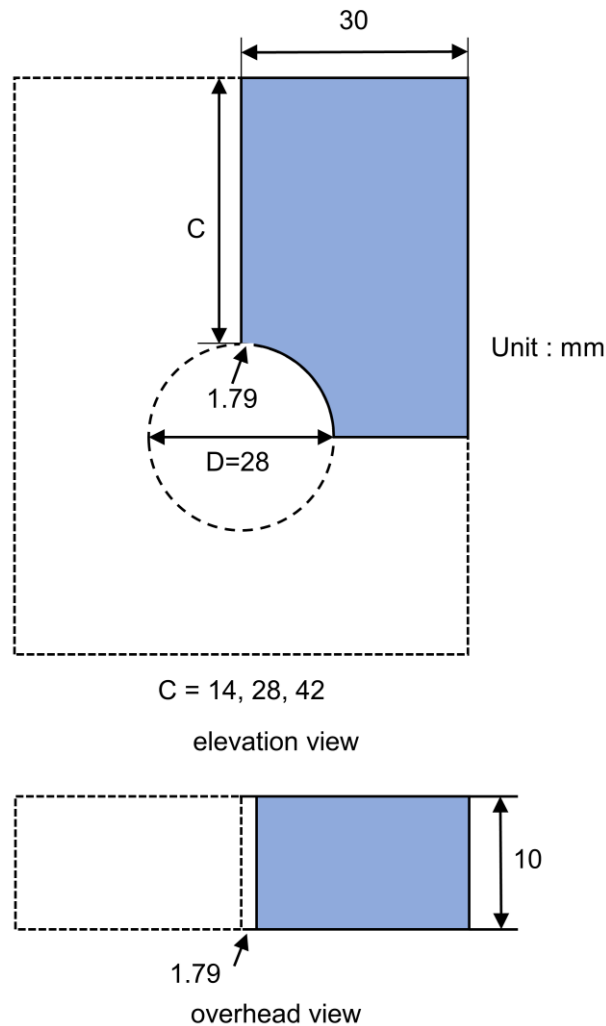
Model No.	C/D	Fines content, f_c	Particle diameter ratio of coarse particles to fine particles, f_r	Number of particles	Void ratio, e
Model-1	0.5	25%	6	97207	0.348
Model-2	1.0	25%	6	152319	0.343
Model-3	1.5	25%	6	204894	0.337
Model-4	0.5	35%	6	128040	0.351
Model-5	0.5	25%	8	236662	0.347

3.2 CFD-DEM models for seepage erosion around tunnel

Five numerical models of seepage erosion around the tunnel with different GSDs and different buried depths (expressed by the ratio of the depth of tunnel top to the tunnel diameter, $C/D = 0.5, 1, 1.5$) were prepared and conducted. All models are summarized in Table 2. Similar to previous studies (Jiang and Yin, 2012), 100g Gravity acceleration ($9.81m/s^2 \times 100$) was adopted in the numerical experiments to simulate centrifuge test conditions.

The size and shape of the DEM model are presented in detail in Fig. 4. There are three different

246 heights (z) (28mm, 42mm, 56mm) corresponding to three different overburden-to-diameter
 247 ratios ($C/D = 0.5, 1, 1.5$) in these models. The width (x) and depth (y) of the model and the
 248 diameter of the tunnel (D) are 30 mm, 10 mm and 28 mm respectively.



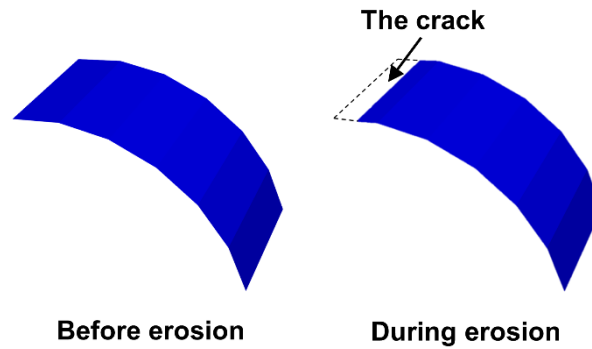
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Fig. 4. Schematic diagram of seepage erosion model

251 Since the change induced by seepage erosion mainly occurs above the tunnel, the lower half
 252 part of the tunnel is not considered in the simulations. Also according to the symmetry, only
 253 half of the model was considered. These simplifications aim to reduce the number of particles
 254 in DEM and cells in CFD as much as possible and thus to reduce computational cost.

255 In the above DEM models, the tunnel is represented by the wall element in LIGGGHTS and a
 256 shorter curved wall represents the tunnel with a crack, as seen in Fig. 5. The width of this crack
 257 is set to be 1.79 mm, aiming to guarantee as many eroded fines as possible without the loss of

258 coarse particles. For the limitation of the CFD-DEM coupling method (CFDEM), neither
259 moving wall nor moving CFD boundary can be realized. Therefore, the tunnel is assumed to
260 be fixed during the process of seepage erosion, and this assumption is reasonable as soil
261 particles are the main concern.



263 Fig. 5. Curved walls representing tunnel and tunnel with crack

264 In the generation of these models, the Multi-layer Method according to Jiang and Yin (Jiang
265 and Yin, 2014, 2012; Jiang et al., 2003) was adopted to ensure the homogeneity of the ground
266 as much as possible. The void ratio of each DEM model is summarized in Table 2. The void
267 ratio (e) decreases slightly with the increasing buried depth for Models 1, 2 and 3 due to gravity.
268 For Models 1, 4 and 5 to study the influence of GSD (i.e. fines content and mean particle size
269 ratio), the void ratio of the models is roughly the same, so that the influence of the initial void
270 ratio can be ignored. All generated DEM models are presented in Fig. 6.

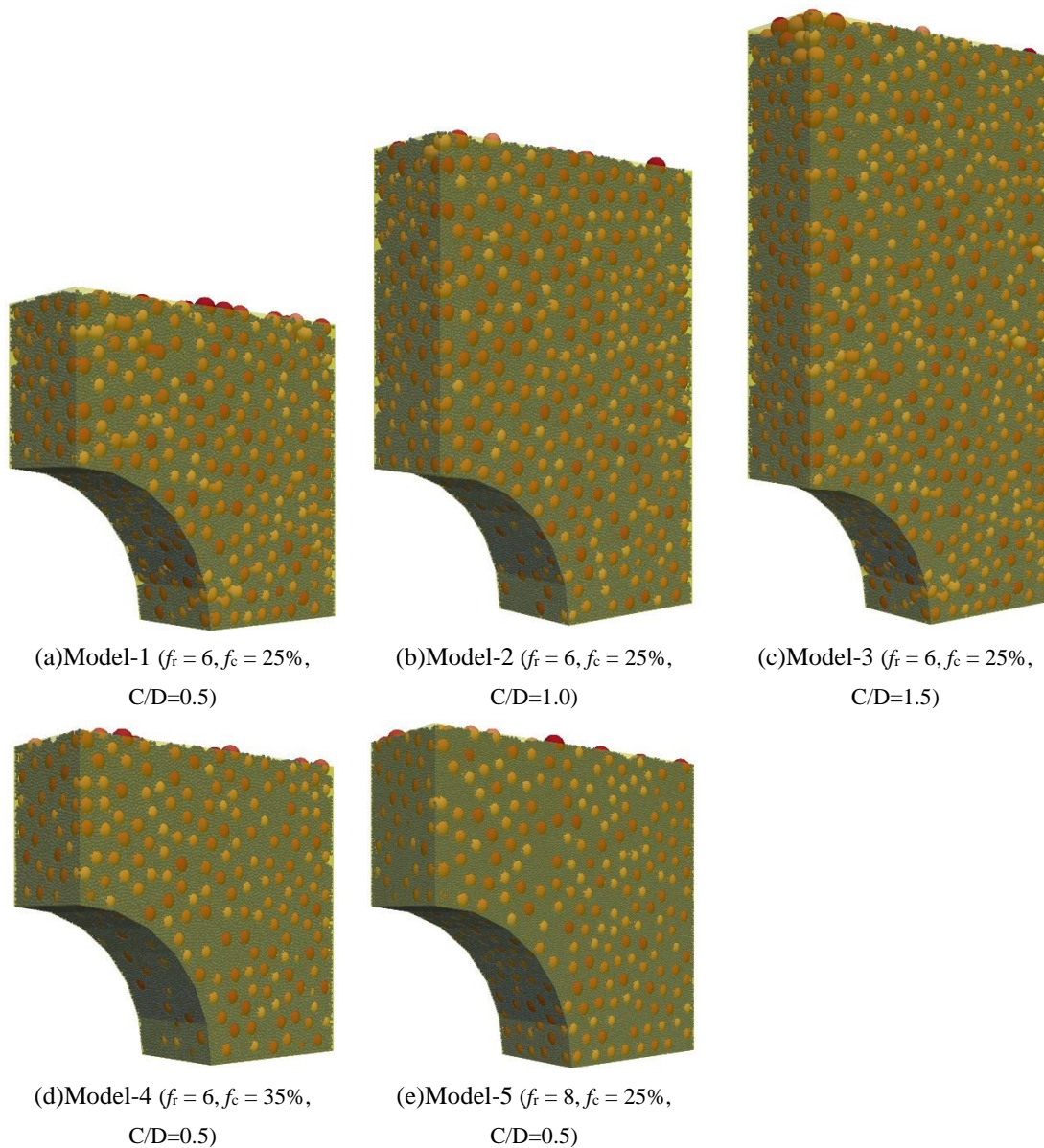
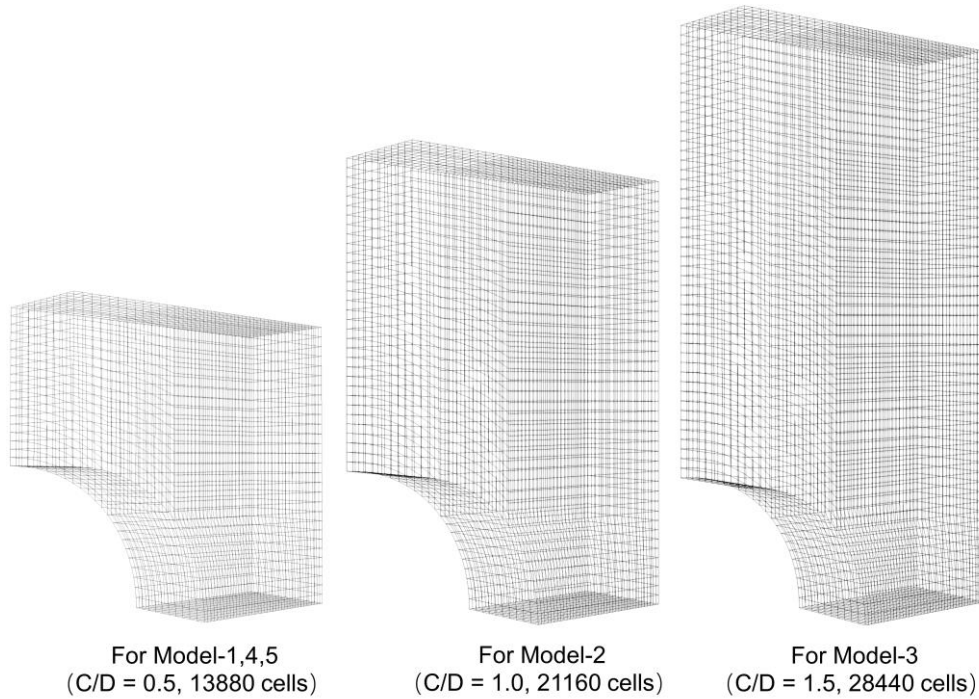


Fig. 6. DEM Models after generation

271

272 The geometries and cells of three CFD computational domains corresponding to three different
 273 overburden-to-diameter ratios ($C/D = 0.5, 1.0, 1.5$) are shown in Fig. 7 and they respectively
 274 contain 13880, 21160 and 28440 cells, divided by structured hexahedron grids. In the fluid
 275 domain, the groundwater table was assumed to be at the ground surface and the water pressure
 276 was generated accordingly. The zero pressure boundary condition was applied to the crack to
 277 simulate the flow. Different values of constant underground water pressure were used
 278 corresponding to different buried depths of tunnel crack.

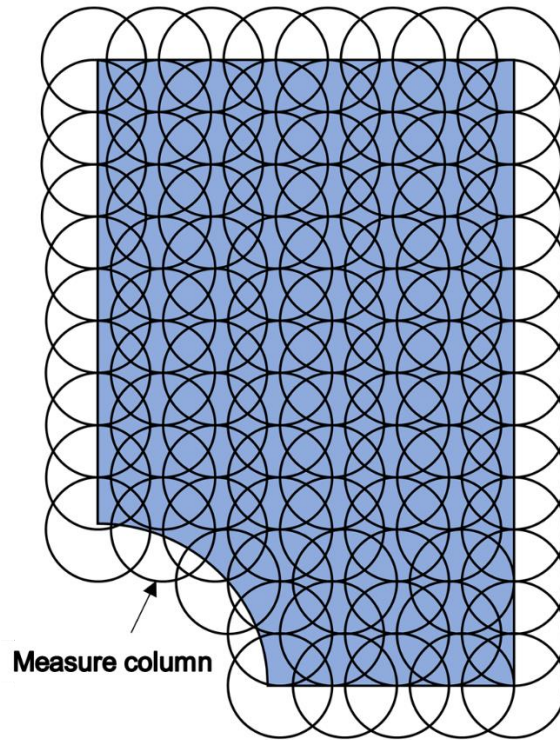


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280

Fig. 7.CFD grids for all simulations

281 To get the distribution of fines content, void ratio and stress state, a few measurement columns
 282 (derived from measurement circles) were placed in each model. In order to get more accurate
 283 information, there are many overlaps between measure columns and the measure columns
 284 placed on the boundary of the models as shown in Fig. 8. The real distribution of measure
 285 columns in models is much denser than that shown in Fig. 8. The total number of measure
 286 columns is 183.



287

288

Fig. 8. Schematic diagram of measure columns

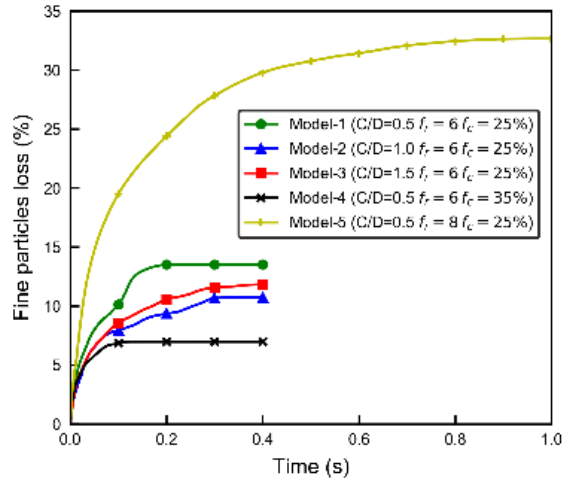
289 After the generation of the DEM model, the CFD-DEM coupling simulation started. The
 290 curved wall was replaced by the shorter one as shown in Fig. 5 to open the crack. The seepage
 291 erosion progress started, and particle migration was triggered. The migration was caused by
 292 both the gravity and seepage flow.

293 **4. Results and discussion**

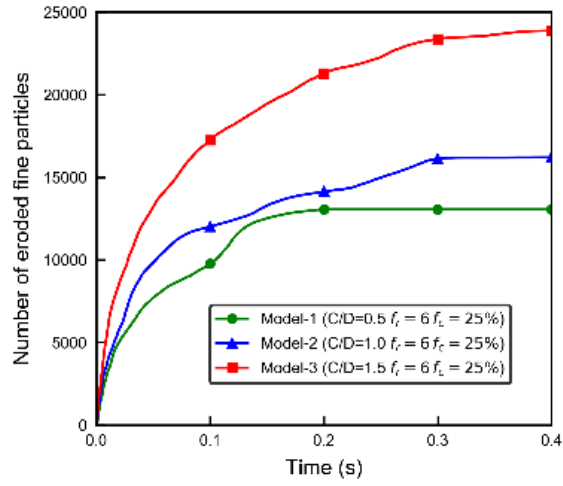
294 **4.1 Fines loss**

295 The comparison of the temporal evolution of fines loss quantity in different models provides a
 296 direct way to investigate the difference in seepage erosion between these models. The
 297 progression of eroded particles percentage (mass ratio of the loss of fine particles to all fine
 298 particles) with time for all five models is presented in Fig. 9.(a). The fine particle loss in these
 299 five models were all induced by both gravity and flow field. To exclude the influence of gravity
 300 on the loss of fines, the progression of fine particle loss without hydraulic pressure for all
 301 models is shown in Fig. 9.(c) as a reference. The significant difference in fines loss between

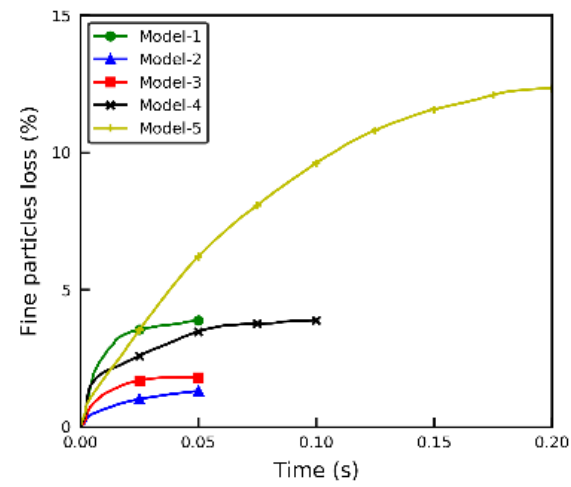
302 the two conditions confirms that seepage causes fines loss.



303 (a)



304 (b)



305 (c)

306

307 Fig. 9. Results of fins loss during seepage erosion: (a) percentage of fines loss versus time, (b) number of
308 eroded fine particles versus time, and (c) percentage of fines loss due to only gravity versus time

309 For all five models, the fines loss increased rapidly with time at first and then the loss rate is
310 gradually decreased until seepage erosion stabilized. This trend is in good agreement with the
311 numerical simulation results (Zhang et al., 2019) and the experimental results (Rochim et al.,
312 2017).

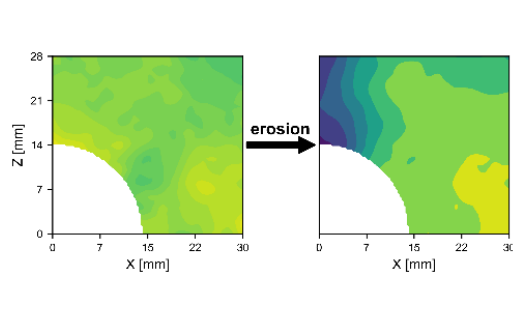
313 For Model-1, Model-2 and Model-3, which possess the same GSD and only differ in model
314 size, it is more reasonable to compare the number of fines loss than to compare the percentage
315 of loss. As shown in Fig. 9.(b), the number of eroded fines increases with the increase of buried
316 depth.

317 By comparing the fines loss of model-1 and model-4, the fines loss for the model of larger fines
318 content ($f_c=35\%$) is much smaller than that of smaller fines content ($f_c=25\%$). Fewer fines loss
319 for the model of $f_c=35\%$ confirms that excessively high fines content would lead to a blockage
320 between coarse particles (Wan and Fell, 2004). Moreover, Fig. 9.(a) shows the fines loss of
321 model-5 ($f_i=8$) is about 3 times bigger than that of model-1 ($f_i=6$). The obvious difference in
322 fines loss shows that the size ratio of coarse to fine particles has a significant effect on seepage
323 erosion.

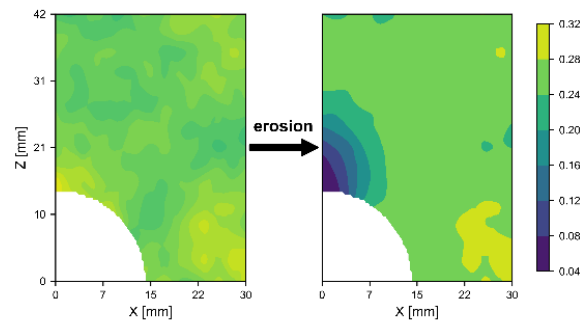
324 The spatial distribution of fines content and void ratio around the tunnel would change during
325 the seepage erosion. Many researches put forward constitutive models for soils considering
326 fines content (Yin et al., 2016b) and conducted FEM simulation with these models to simulate
327 the seepage erosion around the tunnel (Yang et al., 2019c, 2019d). In these simulations,
328 changes in the spatial distribution of fines content caused by seepage erosion often were
329 presented as dominating results. As a numerical simulation method based on the microscopic
330 mechanism with fundamentals of physics, CFD-DEM can simulate the variation of fines
331 distribution from the basic principles of mechanics to provide more reliable results.

332 The distributions of fines content and the void ratio at the beginning and the end of the seepage

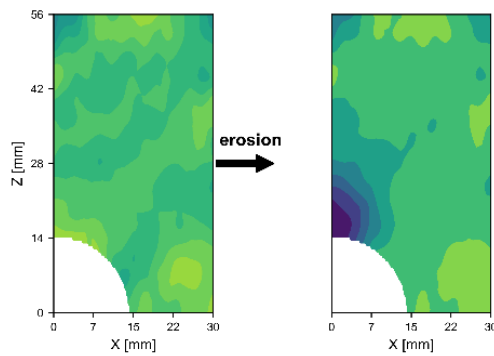
333 erosion in the models are shown in Fig. 10 and Fig. 11. Seepage erosion leads to the decrease
 334 of the fines content especially around the crack. Comparing models with different buried depth
 335 (Model-1, Model-2, Model-3), it is found that the eroded zone increases with the buried depth.
 336 It could be directly attributed to the difference in the eroded fines mass of models with different
 337 buried depth. Compared to the model of $f_c=25\%$ (Model-1), the model of $f_c=35\%$ (Model-4)
 338 and the model of $f_r=8$ (Model-5) possess the smallest eroded zone and the largest eroded zone
 339 respectively.



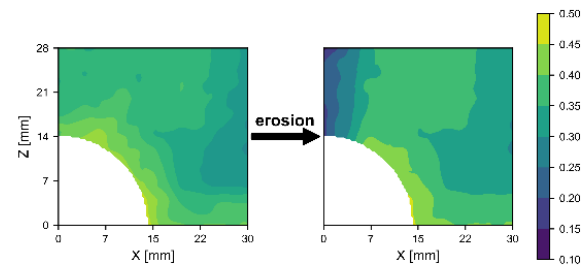
(a) Model-1 ($f_r = 6, f_c = 25\%, C/D=0.5$)



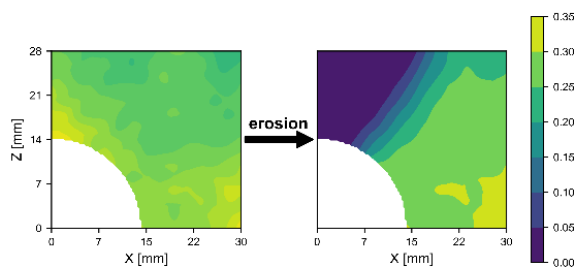
(b) Model-2 ($f_r = 6, f_c = 25\%, C/D=1.0$)



(c) Model-3 ($f_r = 6, f_c = 25\%, C/D=1.5$)



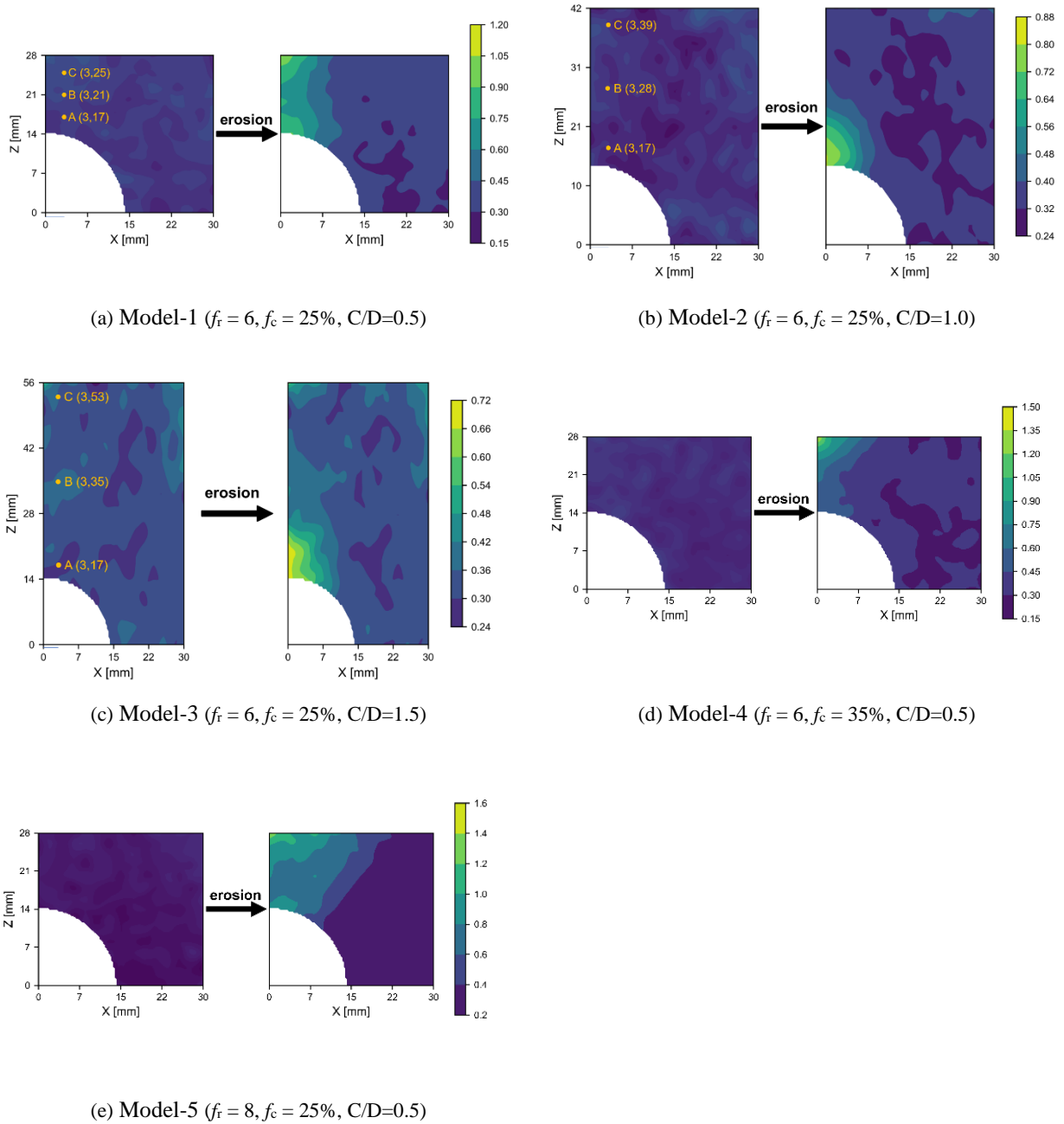
(d) Model-4 ($f_r = 6, f_c = 35\%, C/D=0.5$)



(e) Model-5 ($f_r = 8, f_c = 25\%, C/D=0.5$)

340

Fig. 10. Field of fines content for all models before and after erosion



341

Fig. 11. Field of void ratio for all models before and after erosion

342

The temporal evolution of the void ratio in different positions of the models would help to

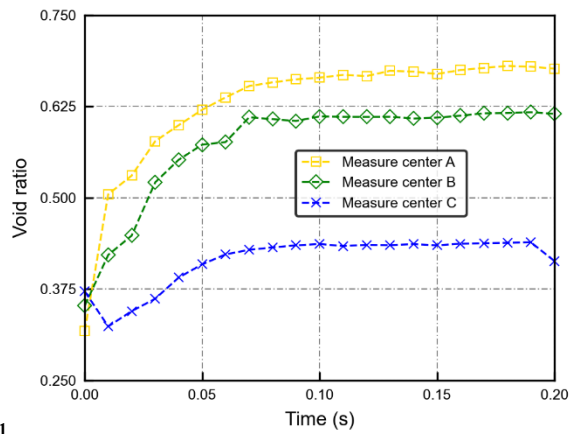
343

investigate the variation of void ratio in the complete process of seepage erosion. Fig. 12

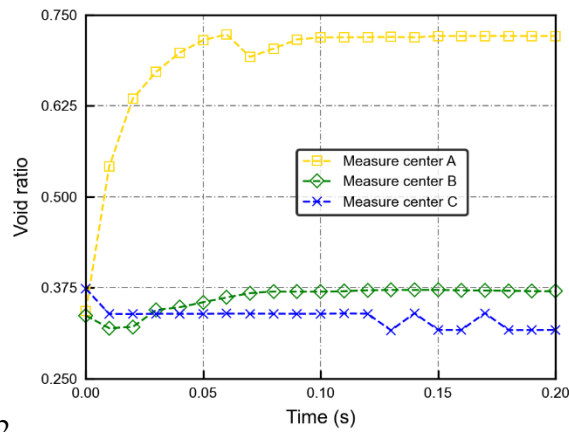
344

presents the evolution of the void ratio for three measure points (equidistant distribution above

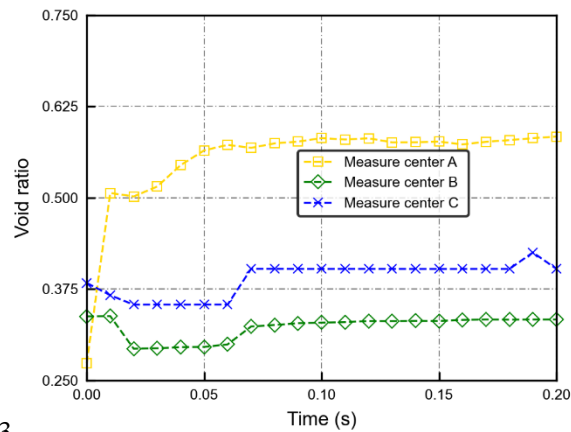
345 the crack) in Models 1, 2 and 3 which vary in model size. The positions of the measure points
 346 are presented in Fig. 11. The void ratio at bottom points firstly grows and then tends to be
 347 stable. When the model is smaller, the growth rate difference of the void ratio among different
 348 points is less obvious. All three void ratio values in Model-1 show that the void ratio increases
 349 while the increasing rate decreases with height. In Model-2 and Model-3, the void ratio of top
 350 and middle points is almost unaffected by seepage.



351 (a) Model-1



352 (b) Model-2



(c) Model-3

353

354

Fig. 12. Temporal evolution of void ratio at specific points in Models-1, 2 and 3

355

Fines loss in simulation consists of each individual eroded particle. The flow path of particles can be displayed with the aid of DEM, which helps us to better understand the process of particle mitigation from a microscopic insight.

357

358

In the models, the erodible fines were driven by fluid drag force and particle-particle contact force and flowed through the gap between coarse particles. To investigate the eroded particle movement under the hydraulic pressure and soil pressure, the flow paths in Model-3 (the largest model) of three eroded particles, initial positions of which are relatively far from the crack, are recorded and presented in Fig. 13. The positions of the particles were recorded every 10000 steps (0.001s). Dense points in the flow path indicate that the particle flowed slowly and even was blocked. Whilst loose points indicate that the particle flowed rapidly without obstruction. Three modes of particle flow in the process of seepage (i.e. detachment, transport and filtration) can be observed in Fig. 13. It can also be seen that three modes appeared alternately in one particle's eroded path.

362

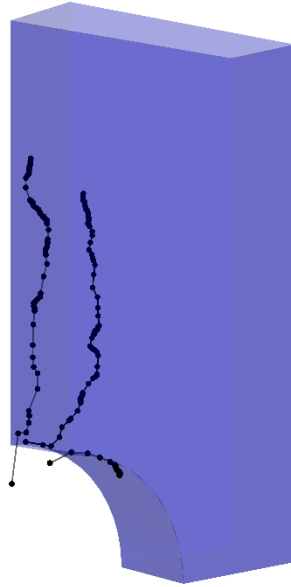
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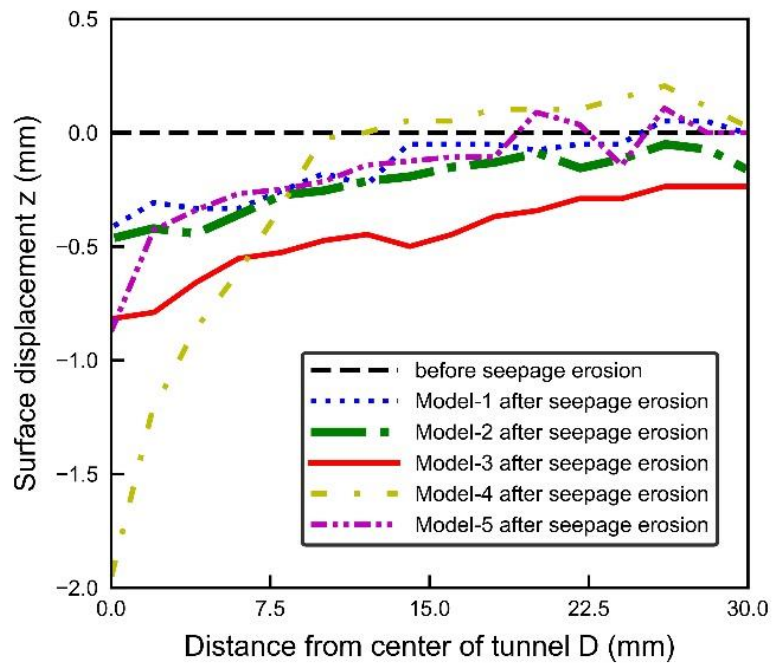
369

Fig. 13. Flow path of the selected eroded particles

370

371 **4.2 Ground settlement**

372 As mentioned earlier, seepage erosion causes fines loss. Both the fines loss-induced mass and
373 modulus reduction would induce the ground settlement. Seepage erosion-induced ground
374 settlement in the five models are plotted in Fig. 14. Like previous studies (Zhang et al., 2012),
375 the settlement decreases with the increase of the distance from the center of the tunnel. And
376 the settlement increases with the loss of fines except for the Model-4 with an initial fines
377 content of 35%. This phenomenon can be explained as follows: with bigger initial fines content,
378 more fines would cause more separation of coarse particles by fines. When the fines which
379 blocked the contact between the coarse particles were eroded, the coarse particles would move
380 and then more settlement would be induced. A similar result can be found in (Ouyang and
381 Takahashi, 2015). When the initial fines content increases from 25% to 35%, the volumetric
382 strain grows sharply.



383

384

Fig. 14. Ground settlement induced by seepage erosion in five models

385

The models at the end of the test are shown in Fig. 15 as references. The color of particles in

386

the model represents the particle position before the seepage erosion for better visualization.

387

Fig. 15 shows that the fines tend to flow over long distances. Even the fines at ground level in

388

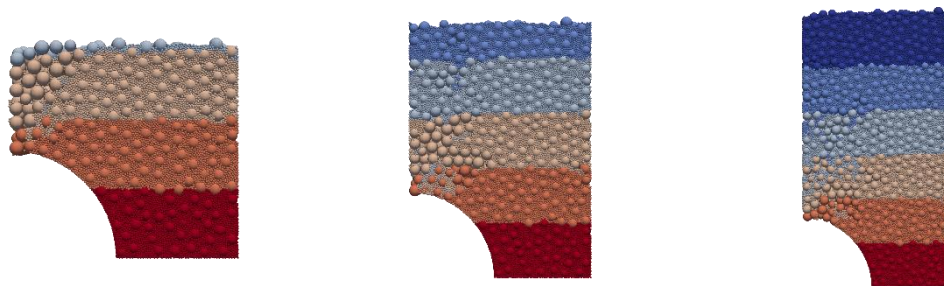
model-1 and model-5 were washed away. In model-2 and model-3, we can observe that some

389

of the fines originally in the upper part of the model also flowed for a long distance towards

390

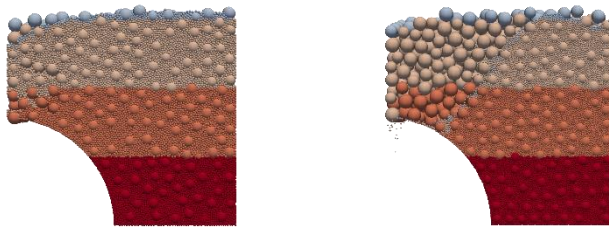
the direction of the crack.



(a) Model-1 ($f_r = 6, f_c = 25\%$,
 $C/D = 0.5$)

(b) Model-2 ($f_r = 6, f_c = 25\%$,
 $C/D = 1.0$)

(c) Model-2 ($f_r = 6, f_c = 25\%$,
 $C/D = 1.5$)



(d) Model-4 ($f_r = 6, f_c = 35\%$,
C/D=0.5)

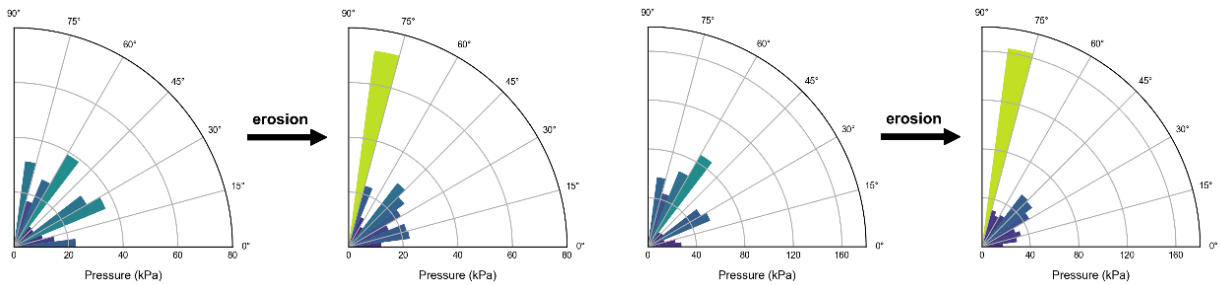
(e) Model-5 ($f_r = 8, f_c = 25\%$,
C/D=0.5)

391

Fig. 15. DEM Models after seepage erosion

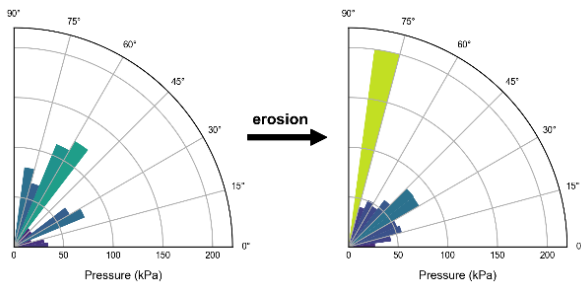
392 **4.3 Stress redistribution**

393 The stress distribution around the tunnel change with the loss of particles and fabric variation
 394 during the the seepage erosion. And the variation of earth pressure acting on tunnel segments is
 395 crucial for the safety of tunnels in engineering practice. The pressure acting on the one-quarter
 396 of tunnels in the models before seepage erosion and at the end of seepage erosion is shown in
 397 Fig. 16.



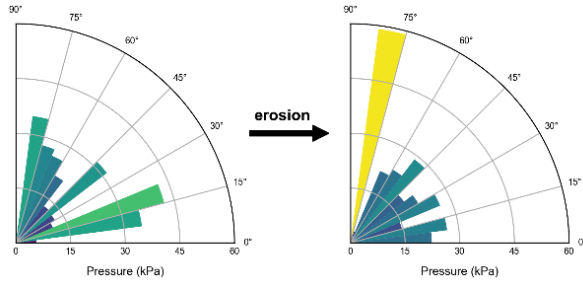
(a) Model-1 ($f_r = 6, f_c = 25\%$, C/D=0.5)

(b) Model-2 ($f_r = 6, f_c = 25\%$, C/D=1.0)



(c) Model-3 ($f_r = 6, f_c = 25\%$, C/D=1.5)

(d) Model-4 ($f_r = 6, f_c = 35\%$, C/D=0.5)



(e) Model-5 ($f_r = 8, f_c = 25\%, C/D=0.5$)

398

Fig. 16. Earth pressure acting on the curved wall before and after seepage erosion

399

The change of soil pressure acting on the tunnel lining is mainly caused by the transformation

400

of the particle-particle force structure induced by the loss of fines. When the seepage erosion

401

began, the earth pressure acting on the position of the crack is decreased sharply and the coarse

402

particles around the crack formed a force arch to bear the earth pressure. The arch springing

403

was on both sides of the crack thus the earth pressure aside of the crack is increased, which can

404

be observed in Fig. 16. The increase of earth pressure near the crack after seepage erosion

405

occurred on all five models. Moreover, the earth pressure near the crack increases with the

406

buried depth but it does not change dramatically with the GSD. Comparing the pressure near

407

the crack for Model-1, Model-4 and Model-5 (72.01 kPa, 81.06 kPa and 58.93 kPa separately),

408

it can be inferred that the redistribution degree of soil pressure acting on the tunnel lining

409

increases with fines content and decreases with mean particle size ratio. At the same time, the

410

segment near the crack is usually the weakest part of tunnels. Therefore, the increase of earth

411

pressure near the crack would most likely widen the crack and then induced more loss of fine

412

particles to form a vicious circle.

413

Since the earth pressure is determined from vertical and horizontal stresses around the tunnel,

414

the vertical and horizontal stresses (σ_z, σ_x) distributions in these five models before and after

415

erosion are also presented in Fig. 17 and Fig.18 as a reference. The average stress tensor in the

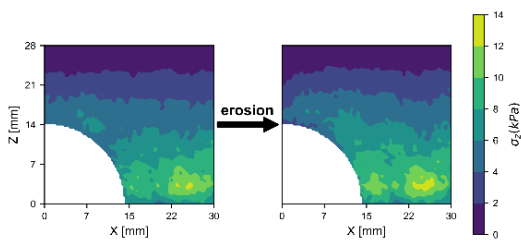
416

measure column is calculated by Eq.(8):

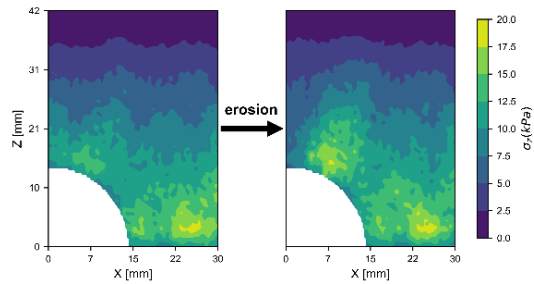
417

$$\sigma_{ij} = \frac{1}{V} \sum_1^c (R_1 + R_2) N n_i n_j + \frac{1}{V} \sum_1^c (R_1 + R_2) T n_i t_j \quad (n_i t_i = 0) \quad (8)$$

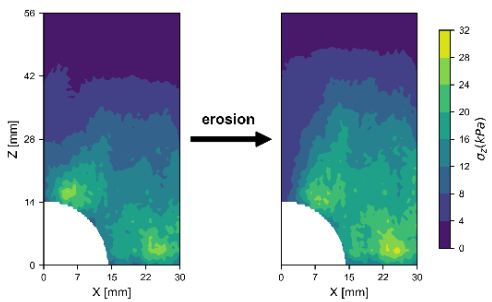
418 where V is the volume of measure column, C is the contacts in the volume, R_1 and R_2 is the
 419 diameter of the two touching particles, N and T are the magnitudes of the normal and tangential
 420 contact forces, n_i is the unit vector normal to the contact plane and t_i is the unit vector parallel
 421 to the contact plane. Note that σ_{xx} and σ_{zz} correspond to the horizontal and vertical stresses, respectively.
 422 Stresses (σ_z , σ_x) in the area above the crack was redistributed most violently in all the five
 423 models. The area where significant redistribution occurs expands with the increase of the model
 424 size. Model-5 with a bigger mean particle size ratio shows a greater degree of stress
 425 redistribution.



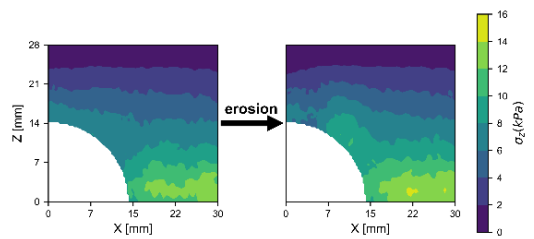
(a) Model-1 ($f_r = 6, f_c = 25\%, C/D=0.5$)



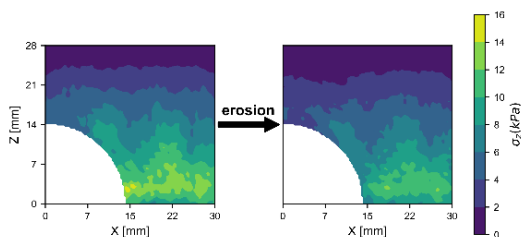
(b) Model-2 ($f_r = 6, f_c = 25\%, C/D=1.0$)



(c) Model-3 ($f_r = 6, f_c = 25\%, C/D=1.5$)



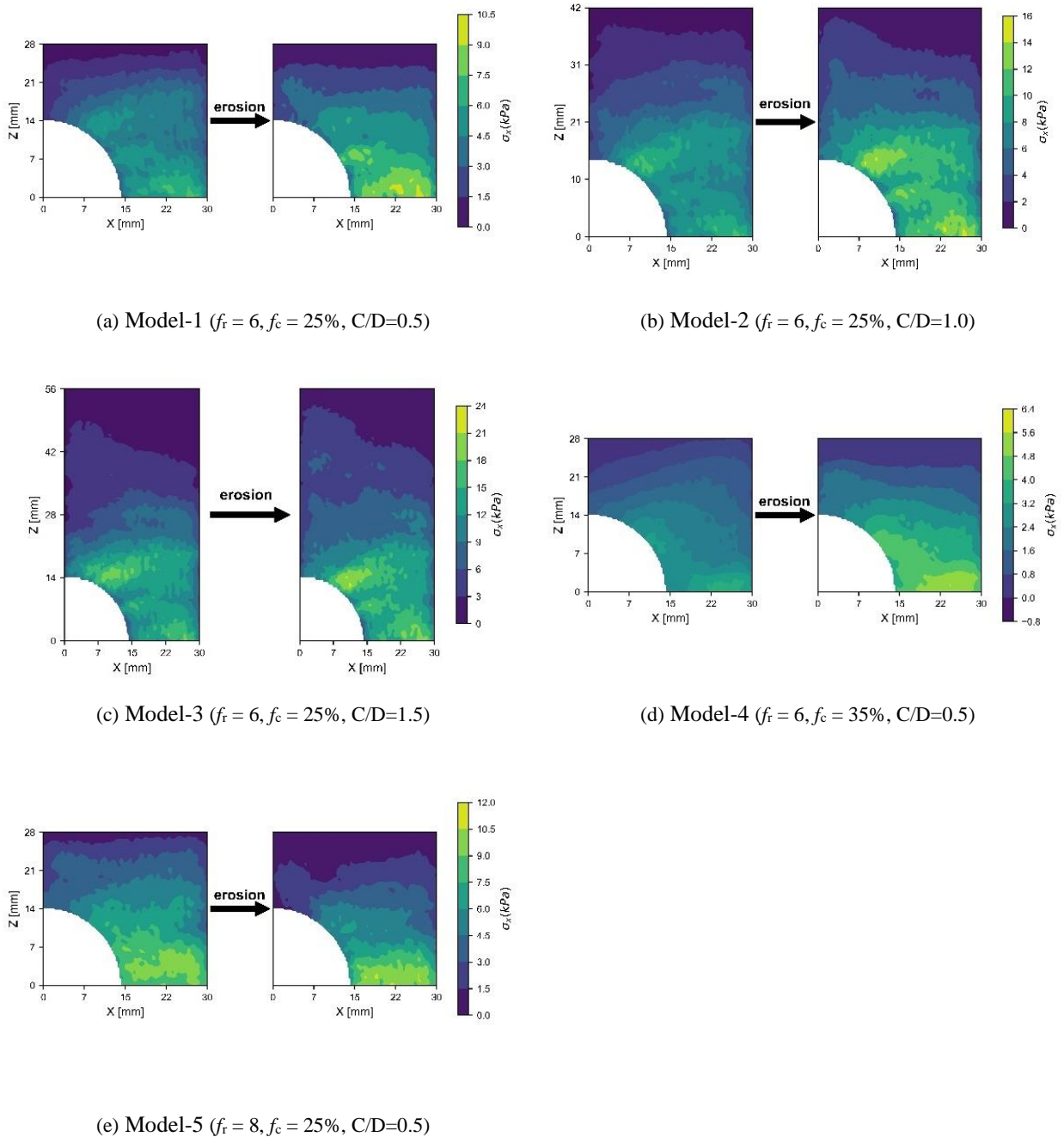
(d) Model-4 ($f_r = 6, f_c = 25\%, C/D=0.5$)



(e) Model-5 ($f_r = 8, f_c = 25\%, C/D=0.5$)

426

Fig. 17. Field of vertical stress for all models before and after erosion



427

428

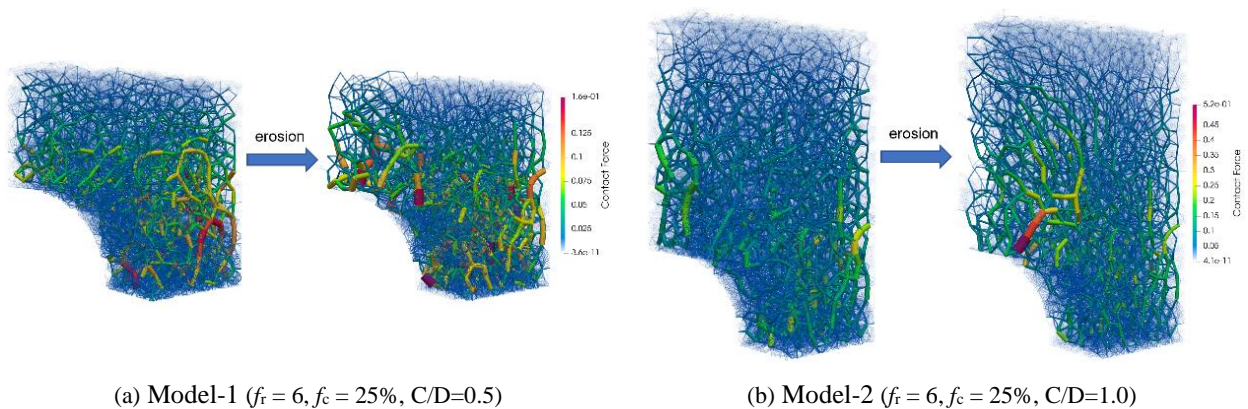
Fig.18. Field of horizontal stress for all models before and after erosion

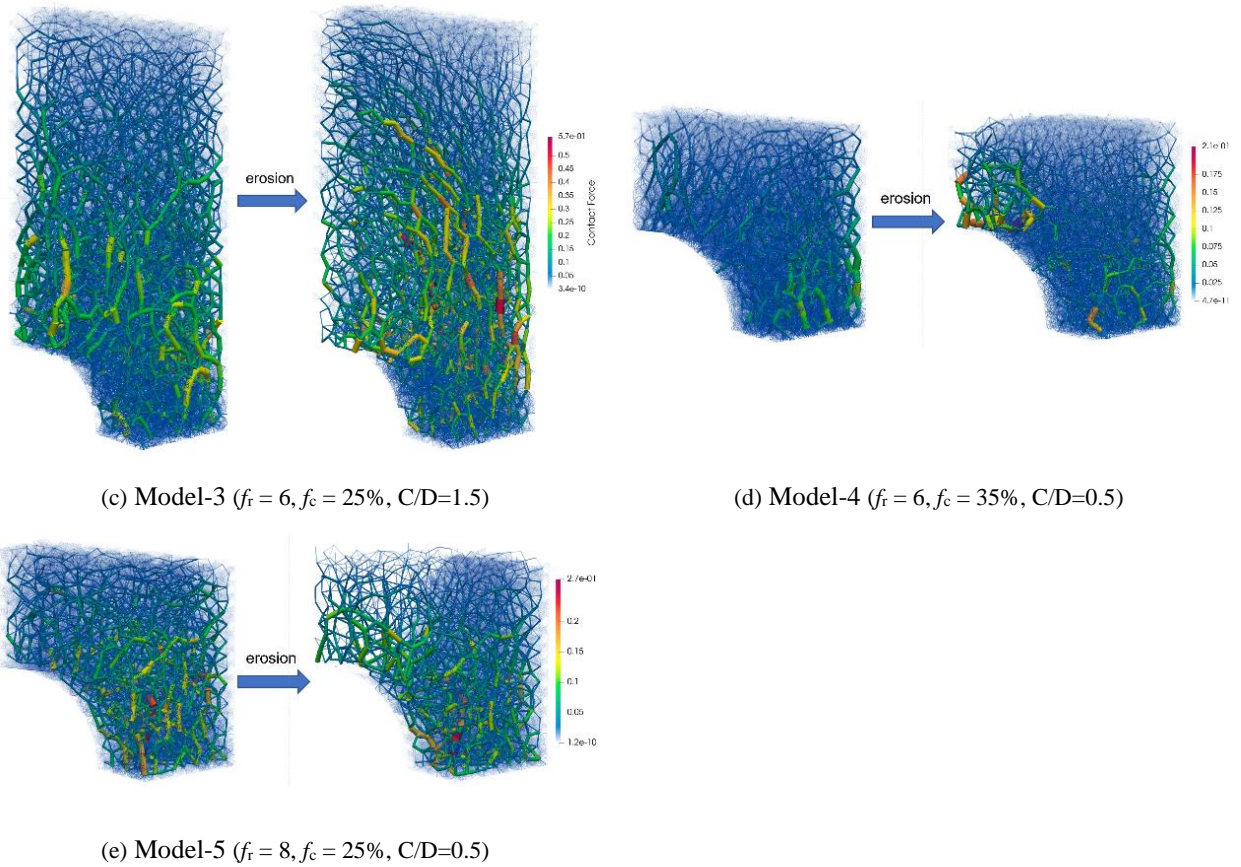
429 4.4 Analysis of micromechanics and microstructure

430 With the aid of DEM, information of each contact can be collected. The analyses of

28

431 microscopic structure would be helpful to investigate the variation of the models during the
 432 seepage erosion. To observe the evolution of contact fabric during the seepage erosion in the
 433 five models, the contact force for these models are analyzed, shown in Fig. 19. The cylinders
 434 in the figures denote the contact force, which links the centroid of adjacent particles, thus the
 435 contact types (coarse-coarse, fine-fine, fine-coarse) can be distinguished by the length of the
 436 cylinders. The radius (or thickness) and color of the cylinders represent the magnitude of the
 437 force. Before the seepage erosion, the contact force is gradually increased with depth and was
 438 distributed uniformly in the horizontal direction. After the seepage erosion, the contact force
 439 around the tunnel crack is increased and the distribution of contact force becomes
 440 heterogeneous. Similar to Fig. 17 and Fig.18, the area where the distribution and shape of the
 441 force chain increases significantly with the model size. Comparing Model-1 and Model-4,
 442 larger fines content ($f_c=35\%$) leads to a more uniform distribution of force chain whether before
 443 or after seepage erosion. In Model-5 ($f_r=8$), seepage erosion leads to the disappearance of a
 444 large number of force chains while the force chains around the crack are more uniform
 445 compared to those of Model-1 ($f_r=6$).





446

447

Fig. 19. Force chains of all models before and after erosion

448

Furthermore, the variation of fabric anisotropy is usually used to analyze the contact fabric of

449

granular materials. Some parameters are calculated to measure the degree of anisotropy in

450

previous studies to investigate the evolution of fabric anisotropy quantitatively (Gu et al., 2018,

451

2015, 2014a). In these models, the sharpest changes of stress, fines content and void ratio

452

occurred in the area above the crack. Thus, the contact information in the area (Fig. 20) were

453

collected to calculate the anisotropy parameters. Fig. 21 shows the change of the 3D angular

454

distribution of contact normal, normal contact force and shear contact force of Model-5 as an

455

example. The scalar anisotropy parameters α_r , α_n and α_t were estimated to quantify the

456

anisotropy degree of distribution of contact normal, normal contact force and shear contact

457

force respectively. The definition of the three parameters are briefly described below.

458

A second-order fabric tensor (Rothenburg and Bathurst, 1989; Sitharam et al., 2002) which is

459

from the statistics of spatial distribution of contact normal is introduced here. The fabric tensor

460

is defined as follows:

461
$$R_{ij} = \int_{\Omega} E(\Omega) n_i n_j d\Omega = \frac{1}{N} \sum_{c \in N} n_i n_j \quad (9)$$

462 where n_i is the unit contact normal in the i -direction, N is the total number of contacts, and
 463 $E(\Omega)$ is the distribution function on the unit sphere Ω .

464 Similarly, the distribution of normal contact force and tangential contact force in space can also
 465 be expressed by second-order tensor as follows (Gu et al., 2014b; Guo and Zhao, 2013):

466
$$F_{ij}^n = \frac{1}{4\pi} \int_{\Omega} \bar{f}^n(\Omega) n_i n_j d\Omega = \sum_{c \in N} \frac{f^n n_i n_j}{N(1 + a_{kl}^r n_k n_l)} \quad (10)$$

467
$$F_{ij}^t = \frac{1}{4\pi} \int_{\Omega} \bar{f}^t(\Omega) t_i n_j d\Omega = \sum_{c \in N} \frac{f^t t_i n_j}{N(1 + a_{kl}^r n_k n_l)} \quad (11)$$

468 where $\bar{f}^n(\Omega)$ and $\bar{f}^t(\Omega)$ are the spatial distributions of normal contact force and shear
 469 contact force respectively and a_{ij}^r is the second-order anisotropy tensor of contact normal,

470 which can be deduced from the deviation of fabric tensor (R'_{ij})

471
$$a_{ij}^r = \frac{15}{2} R'_{ij} \quad (12)$$

472 And then scalar anisotropy parameters are used to quantify the degree of contact normal
 473 anisotropy (Gu et al., 2014b; Guo and Zhao, 2013; Sitharam et al., 2002):

474
$$a_r = \sqrt{\frac{3}{2} a_{ij}^r a_{ij}^r} \quad (13)$$

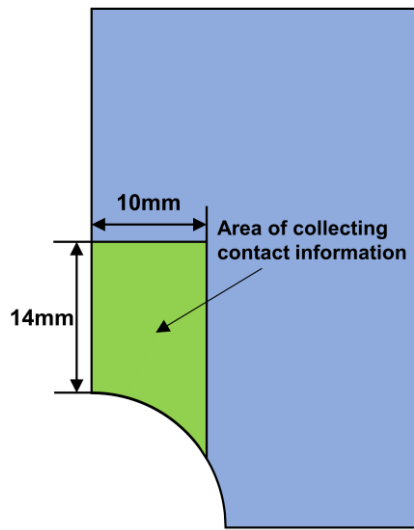
475 Similarly, two other parameters a_n and a_t are used to quantify normal contact force and shear
 476 contact force anisotropy:

477
$$a_{ij}^n = \frac{15}{2} F_{ij}^{n'} / \bar{f}_0^n \quad (14)$$

478
$$a_{ij}^t = 5 F_{ij}^{t'} / \bar{f}_0^n \quad (15)$$

479
$$a_n = \sqrt{\frac{3}{2} a_{ij}^n a_{ij}^n} \quad (16)$$

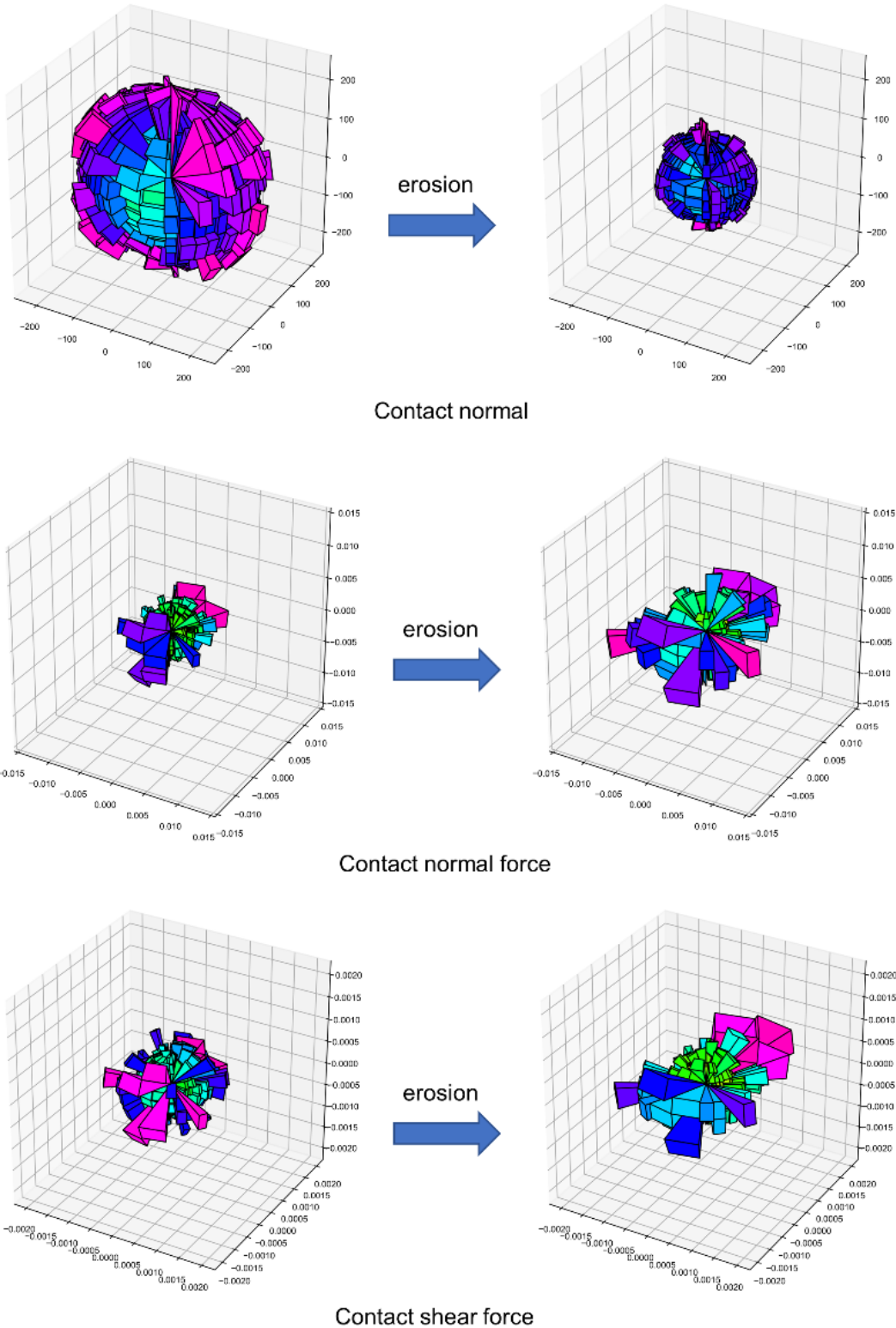
480
$$a_t = \sqrt{\frac{3}{2} a_{ij}^t a_{ij}^t} \quad (17)$$



481

482

Fig. 20. Selected area for collecting contact information

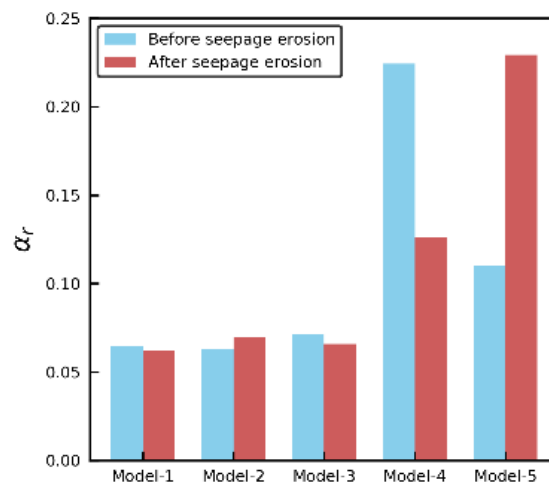


483

484 Fig. 21. Three-dimensional angular distribution for contact normal, normal contact force and shear contact force
 485 of model-5 before and after erosion

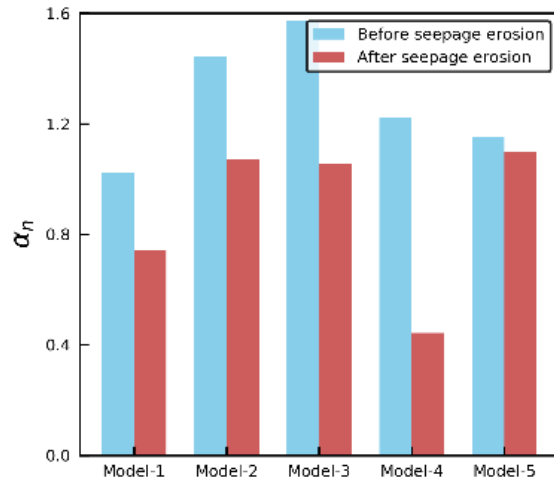
486 The change of the anisotropy parameters of the five models is shown in Fig. 22. The value of
 487 α_r is small with a slight change in Model-1, 2 and 3, while both the initial value and variation

488 trend of α_r are much influenced by the GSD comparing the case of $f_c = 25\%$ to that of $f_c = 35\%$.
 489 It can be observed that the initial value of α_r in Model-1, 4 and 5 differs with each other
 490 obviously, and α_r decreases with seepage erosion in Model-4 while increases in Model-5. The
 491 α_n value decreases with seepage erosion in all five models. This phenomenon can be explained
 492 by the stress redistribution. Because the soil in the model is in the K_0 stress state before seepage,
 493 the direction of the major principal stress is vertical, so there is a certain initial anisotropy of
 494 normal and tangential contact forces in each model. The initial a_n of each model is large. After
 495 the seepage, the upper part of the crack is lost and the upper force chain tends to be arched to
 496 carry the upper part of the soil, which makes the contact force in the horizontal direction larger,
 497 resulting in a significant decrease in both a_n and a_t . Fig. 19 shows that the main strong contacts
 498 are vertically distributed before seepage, and strong horizontal strong contacts appear around
 499 the cracks of each model after seepage. Meanwhile, the a_n of Model-5 decreases the least before
 500 and after seepage in each model, which corresponds to the lowest Model-5 pressure in the
 501 segment around the crack after seepage. Comparing to the extent of decrease in Model-1, more
 502 fines (Model-4) lead to a greater reduction of α_n , while greater mean particle size ratio causes
 503 an inconspicuous decline.



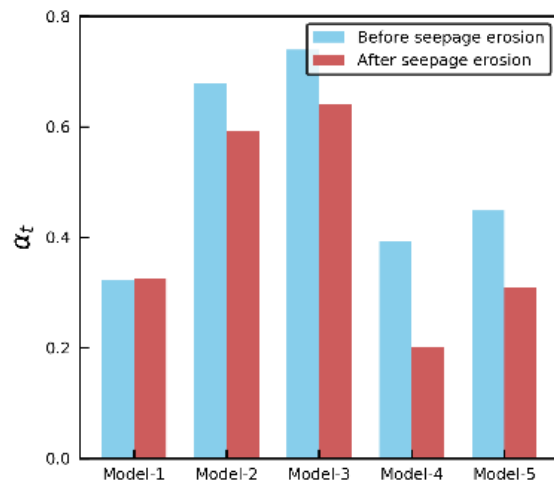
504
 505

(a) For contact normal



506
507

(b) for normal contact force



508
509

(c) for shear contact force

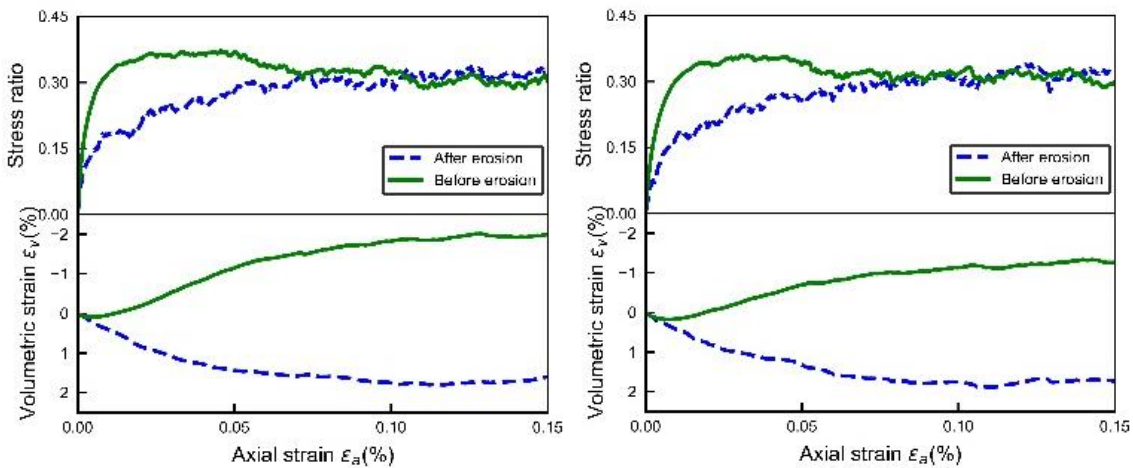
510

Fig. 22. Anisotropy parameters before and after erosion

511 4.5 Variation of soil mechanical properties

512 As mentioned earlier, seepage erosion induced the decrease of fines content and the increase
 513 of void ratio near the crack. The variations of fines content and void ratio could significantly
 514 affect the mechanical behavior, such as strength, modulus and position of the critical state line
 515 (Yin et al., 2016b, 2014). In the actual engineering case, the change of strength and deformation
 516 characteristics of soils caused by seepage may lead to a variety of engineering disasters, such
 517 as settlement, sinkhole and so on. To investigate these changes in detail, the strength and
 518 deformation characteristics of the soil near the cracks before and after seepage were tested.

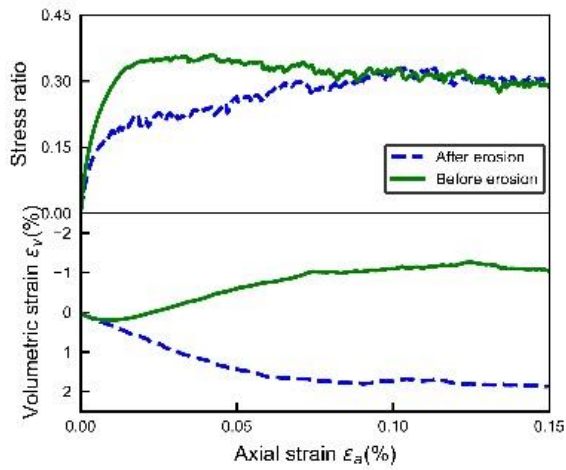
519 Void ratio and fines content in the calculation area (as seen in Fig. 20) in five models were
 520 calculated and summarized in Table 3. Ten cubic samples with the same void ratio and fines
 521 content as those of the five models before and after erosion were prepared. The method of
 522 making a sample with a specific initial void ratio is referred to Gu (2014a). That is, to control
 523 the inter-particle friction coefficient in the process of packing in two stages, and continuously
 524 adjust the inter-particle coefficient until a sample with a specified void ratio is produced. The
 525 confining pressure in the triaxial tests is the average pressure in the corresponding tunnel model.
 526 For example, buried depth ratios of 0.5, 1.0, 1.5 correspond to confining pressures of 9kPa,
 527 27kPa, 45kPa respectively. The results of triaxial loading tests on these ten samples are shown
 528 in Fig. 23. All the five samples before erosion show shear dilatancy while after erosion they
 529 exhibit shrinkage due to the loss of fines as well as the increase in void ratio. To investigate
 530 the influences of buried depth and GSD on deformation stiffness and shear strength, the peak
 531 stress ratio difference and the ratio of E_{50} (defined as the initial slope of the deviatoric stress
 532 corresponding to half of the peak strength to the axial strain) before and after erosion are
 533 presented in Fig. 24. In all the five pairs, the peak stress ratio and the stiffness generally
 534 decrease due to internal erosion. The stress ratio difference of Model-4 ($f_c = 35\%$) and the ratio
 535 of E_{50} of Model-5 ($f_r = 8$) are significantly larger than those of other models.



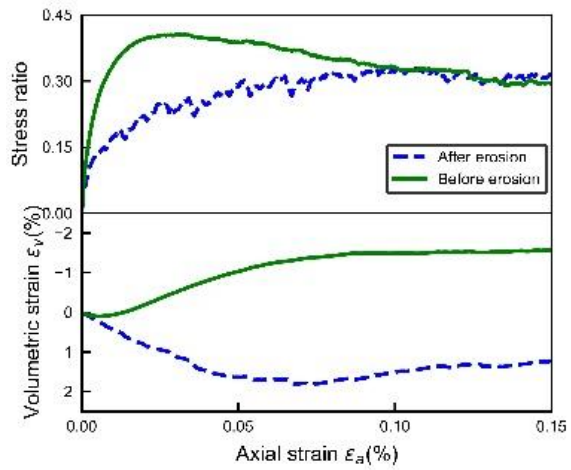
(a) Model-1 ($f_r = 6, f_c = 25\%, C/D=0.5$)

(b) Model-2 ($f_r = 6, f_c = 25\%, C/D=1.0$)

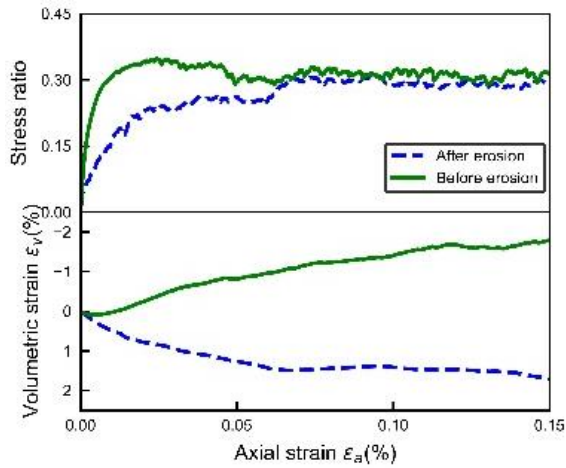
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537



(c) Model-3 ($f_r = 6, f_c = 25\%, C/D=1.5$)



(d) Model-4 ($f_r = 6, f_c = 35\%, C/D=0.5$)



(e) Model-5 ($f_r = 8, f_c = 25\%, C/D=0.5$)

538

539

540

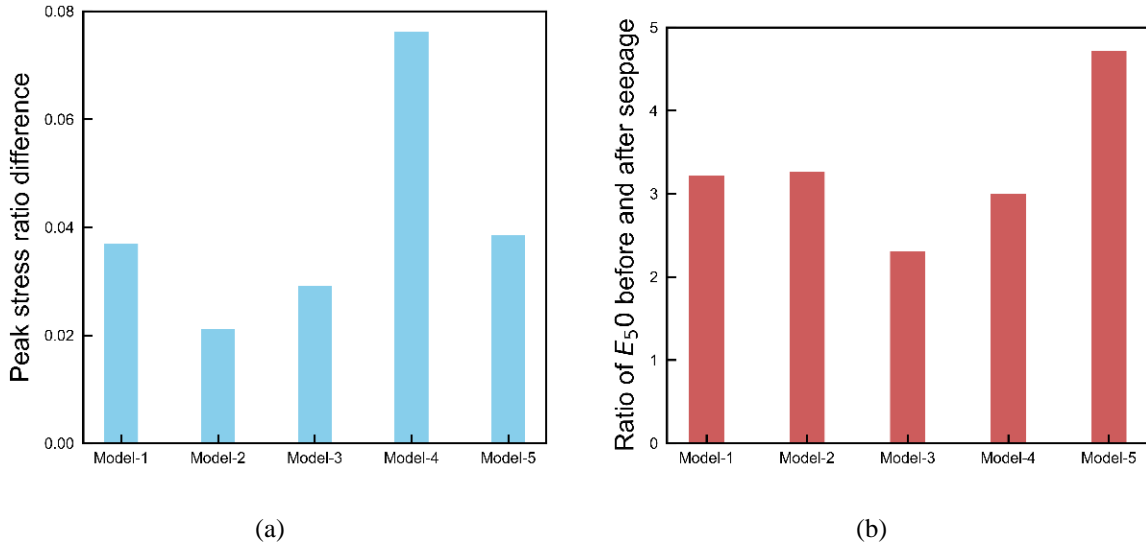
541

542

543

544

Fig. 23. Changes of strength and deformation characteristics expressed by stress ratio (deviatoric stress over mean effective stress) versus axial strain and volumetric strain versus axial strain caused by erosion for all models



545 Fig. 24. Stress ratio difference and stiffness ratio before to after erosion in the five models

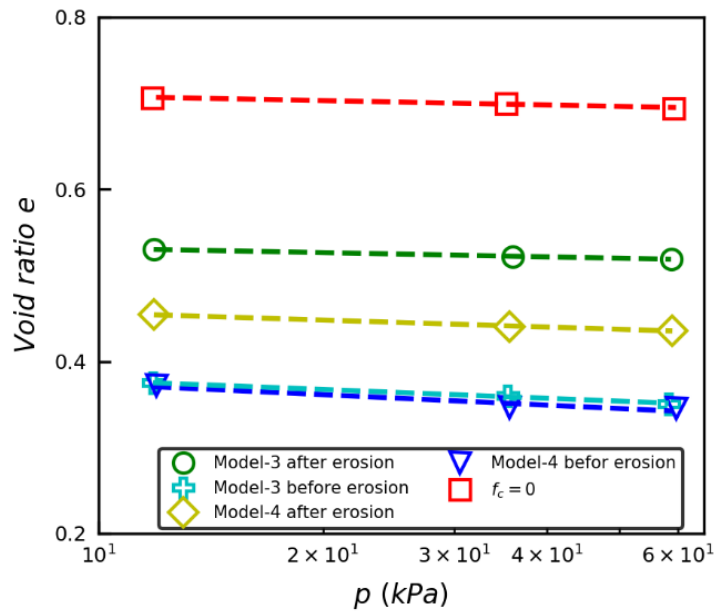
546

547 Table 3 Fines content and void ratio after erosion in the calculation area

Model No.	After erosion	
	Fines content, f_c	Void ratio, e
Model-1	15%	0.529
Model-2	17.4%	0.532
Model-3	13.2%	0.552
Model-4	23.6%	0.432
Model-5	0.459%	0.766

548

549 To estimate the movement of the critical state line, triaxial tests were carried out on 15 samples,
 550 summarized in Table 4. Five kinds of combinations of specific f_c and e were selected
 551 corresponding to all models, and “ $f_c = 0$ ” is a specific reference sample. Three confining
 552 pressures (9 kPa, 27 kPa, 45 kPa) were adopted for triaxial test simulations. The information
 553 about the critical state of the above 15 samples is shown in Fig. 25. The movement of critical
 554 state line induced by seepage erosion, or rather fines loss is confirmed. The degree of
 555 movement is affected by GSD of samples.



556

557 Fig. 25. Critical state lines in e - $\log p'$ plane for soils of different fines contents from models before or after
 558 erosion

559 Table 4 Summary information of 15 samples for triaxial tests

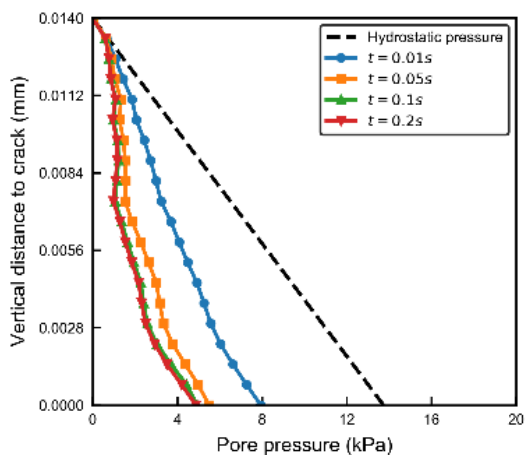
Corresponding Model	Fines content, f_c	Void ratio, e	Confining Pressure
Model-3 after erosion	13.2%	0.552	9 kPa, 27kPa, 45kPa
Model-3 before erosion	25%	0.337	9 kPa, 27kPa, 45kPa
Model-4 after erosion	23.6%	0.432	9 kPa, 27kPa, 45kPa
Model-4 before erosion	35%	0.351	9 kPa, 27kPa, 45kPa
" $f_c = 0$ "	0%	0.729	9 kPa, 27kPa, 45kPa

560

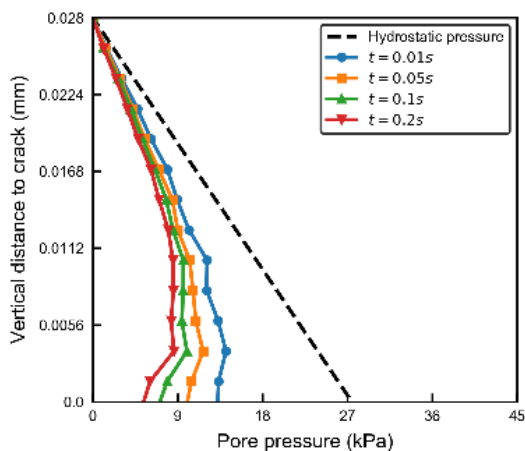
561 **4.6 Pore pressure around tunnel**

562 The pore pressure distribution in the soil around the tunnel after seepage in different models is
 563 shown in the Fig. 26. The pore pressure around the tunnel is significantly reduced due to the
 564 influence of tunnel seepage: the closer to the crack position, the more the pore pressure
 565 decreases. The degree of this decrease in pore pressure is gradually increasing over time until
 566 stable. The temporal evolution of pore pressure in different models differs slightly from each

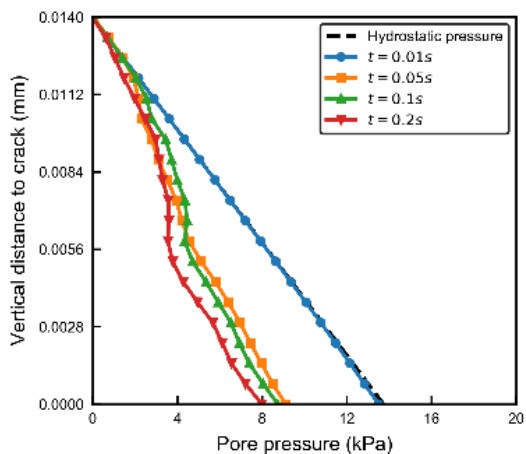
567 other but with the same trend.



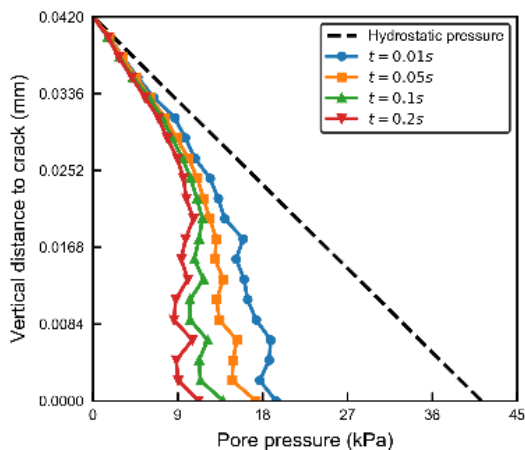
568 (a) Model-1 ($f_r = 6, f_c = 25\%, C/D=0.5$)



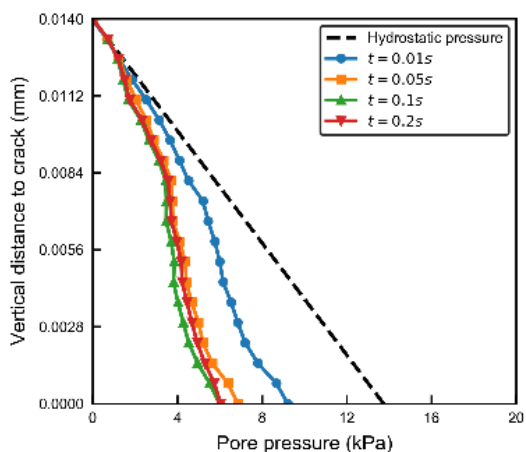
569 (b) Model-2 ($f_r = 6, f_c = 25\%, C/D=1.0$)



570 (c) Model-3 ($f_r = 6, f_c = 25\%, C/D=1.5$)



571 (d) Model-4 ($f_r = 6, f_c = 35\%, C/D=0.5$)



572 (e) Model-5 ($f_r = 8, f_c = 25\%, C/D=0.5$)

573

574 Fig. 26. Profile of the pore pressure along with the depth above the tunnels during seepage erosion for all
575 models

576 **5. Conclusion**

577 A CFD-DEM model was established for the seepage erosion in gap graded granular soils
578 around the shield tunnel. The influences of the buried depth and GSD of soils have been
579 investigated. The evolution of fines loss, ground settlement, stress redistribution, fabric
580 anisotropy, mechanical property, pore pressure during the seepage erosion were analyzed. Both
581 macro and micro results were discussed simultaneously to improve the understanding of
582 seepage erosion around the tunnel. The key findings are summarized as follows:

583 (1) The loss of fines through cracks around tunnels is induced by both soil pressure and seepage
584 drag force. The number of fines loss and the eroded zone increase with buried depth. Fewer
585 fines loss occurs in a model with more fines content, and more fines loss is found in a model
586 with a bigger mean particle size ratio.

587 (2) The ground settlement increases with buried depth. The model with a fines content of 35%
588 possesses the maximum vertical displacement. A bigger settlement is found in the model
589 with a bigger mean particle size ratio.

590 (3) The earth pressure near the crack significantly increases due to the stress redistribution
591 induced by fines loss. The redistribution degree of earth pressure acting on the tunnel lining
592 increases with fines content and decreases with mean particle size ratio. The stress
593 redistributed area expands with buried depth.

594 (4) Similar to stresses distribution, the significantly varying area of force chains expands with
595 buried depth. The GSD influences the form of force chains. The buried depth has a slight
596 effect on the changes of microscopic parameters while GSD shows a significant impact on
597 them.

598 (5) Mechanical properties such as the strength, deformability and the critical state of granular
599 soils under the crack would encounter great change during the seepage erosion process.
600 Both the strength and stiffness of soils around the crack decrease after the seepage erosion.

601 The above results can also provide evidence for further development of a continuous approach
602 to solve real engineering scale problems of tunneling and underground space.

603

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608

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