

1 **Small strain shear stiffness anisotropy of a saturated clayey loess**

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10

11 **Abstract**

12 The mechanical behaviour of clayey loess is strongly affected by the soil structure,
13 but although anisotropy has been identified in loess by some, the anisotropy of small
14 strain behaviour is rarely reported. This paper presents an experimental study on the
15 inherent and stress-induced small strain shear stiffness anisotropy of a clayey loess
16 from China. Both undisturbed and reconstituted specimens were tested with bender
17 elements under isotropic compression and shearing conditions. Under isotropic stress
18 state, an inherent anisotropy was found for undisturbed specimens, while the
19 reconstituted specimens prepared by moist tamping behaved isotropically. During
20 shearing, the ratio of horizontal to vertical shear moduli of the undisturbed specimens
21 decreased due to both an increase of stress anisotropy and the destruction of the intact
22 structure. On the other hand, the stiffness ratio of the reconstituted specimens only
23 decreased due to stress anisotropy and it became more anisotropic at the critical state.
24 This study reveals the influence of intact structure and inherent anisotropy on the
25 behaviour of loess soils, which cannot be reproduced by compaction, thus
26 highlighting the importance of characterising the undisturbed loess.

27

28 **Keywords**

29 Loess, Laboratory testing, Anisotropy, Small strain stiffness, Soil structure

30

31 **Introduction**

32

33 Structured soils often display an anisotropic mechanical behaviour. In sands, during
34 natural deposition or sample preparation, an orientated soil fabric tends to form
35 because of gravity, resulting in an anisotropic mechanical behaviour (e.g. Arthur &
36 Menzies, 1972; Bellotti et al., 1996; Ezaoui & Di Benedetto, 2009). Bahadori et al.
37 (2008) reported that the initial anisotropy of sand decreases when there is a presence
38 of silts, since the sand-sand particle contacts are interrupted and a more disturbed soil
39 fabric is obtained. Similarly, Ghadr (2020) observed that the initial anisotropy is
40 reduced when the sand is reinforced with a small amount of fibres. Anisotropic
41 behaviour is also largely reported for clays (e.g. Jovičić & Coop, 1998; Callisto &
42 Rampello, 2002; Gasparre et al., 2007a; Cho & Finno, 2010; Yimsiri & Soga, 2011).
43 Gasparre et al. (2007a) presented the anisotropy of naturally deposited London Clay,
44 which increases with depth, caused by a packed and orientated clay structure. Ignat et
45 al. (2019) found that a soft post-glacial clay near Enköping, Sweden, shows
46 anisotropic behaviour after cementation. It can be concluded that anisotropy is closely
47 related to the development of soil structure.

48

49 The anisotropic behaviour of soils is generally investigated from two aspects: the
50 inherent anisotropy, which results from the initial structural anisotropy of the soil; and
51 the stress-induced anisotropy, which results from the further applied anisotropic stress
52 conditions (Bellotti et al., 1996; Jiang et al., 1997; Jovičić & Coop, 1998; Fioravante,

2000, Mašín & Rott, 2014). There are different methods for the determination of soil anisotropy experimentally, for instance, testing different soil samples cored from vertical and horizontal directions (e.g. Xu et al., 2019), testing a single soil sample with the rotation of principal stress directions (e.g. Ignat et al., 2019), and testing the small strain stiffnesses of a single soil sample from different directions (e.g. Zuo & Baudet, 2020). Compared to the first two methods, in which there is uncertainty brought by non unique samples or the requirement for complex testing, the small strain stiffness measurement is a method that can avoid variability, by using a single sample. The stiffness being obtained at a strain level less than $10^{-3}\%$, can be considered as non-destructive to the soil structure during measurement (Viggiani & Atkinson, 1995b; Cai et al., 2015), while the small strain stiffnesses of a single soil sample from different directions can be obtained conveniently with a conventional triaxial apparatus equipped with bender elements, allowing the stiffness to be measured along a controlled stress path (Mitaritonna et al., 2014).

67

Bender element has been adopted in laboratory tests to measure the small strain shear stiffness in both vertical and horizontal planes (e.g. Viggiani & Atkinson, 1995b; Kuwano et al., 1999; Gasparre et al., 2007b; Ng & Yung, 2008; Choo et al., 2011; Li et al., 2012; Heitor et al., 2013; Mitaritonna et al., 2014). In the vertical plane, the small strain shear stiffnesses denoted as G_{vh} and G_{hv} are measured. G_{vh} is measured with a pair of vertically embedded bender elements, which transmit and receive shear waves propagating vertically and vibrating horizontally; G_{hv} is measured with a pair

75 of horizontally embedded bender elements, which transmit and receive shear waves
 76 propagating horizontally and vibrating vertically. In the horizontal plane, the small
 77 strain shear stiffness G_{hh} is measured with a pair of horizontally embedded bender
 78 elements, which transmit and receive shear waves both propagating and vibrating
 79 horizontally. Based on the cross-anisotropic model, it is well established that the small
 80 strain shear stiffness G_{vh} , G_{hv} and G_{hh} is related to the soil structure, the void ratio,
 81 and the in-plane effective principal stresses (e.g. Jamiolkowski et al., 1995; Rampello
 82 et al., 1997; Santagata et al., 2005) with the expressions as:

$$83 \quad \frac{G_{vh}}{p_r} = \frac{G_{hv}}{p_r} = S_{vh} f(e) \left(\frac{\sigma'_v}{p_r} \right)^{n_v} \left(\frac{\sigma'_h}{p_r} \right)^{n_h} \quad (1)$$

$$84 \quad \frac{G_{hh}}{p_r} = S_{hh} f(e) \left(\frac{\sigma'_h}{p_r} \right)^{2n_h} \quad (2)$$

85 where p_r is a reference stress, e is the void ratio, $f(e)$ is a function of void ratio with
 86 different proposed equations (e.g. Hardin & Richard, 1963; Pennington et al., 1997),
 87 S_{vh} , S_{hh} , n_v , and n_h are soil parameters (e.g. Viggiani & Atkinson, 1995; Jovičić &
 88 Coop, 1997) related to soil structure, such as particle arrangements and contacts
 89 (Cascante & Santamarina, 1996; Cho et al., 2006; Lee et al., 2007), σ'_v and σ'_h are
 90 effective principal stresses in vertical and horizontal direction respectively. To
 91 investigate the inherent anisotropy, small strain shear stiffness should be measured
 92 under isotropic stress condition (e.g. Jovičić & Coop, 1998; Teachavorasinskun &
 93 Lukkanaprasit, 2008; Ezaoui & Di Benedetto, 2009), then the equation (1) and (2) can
 94 be derived as:

$$95 \quad \frac{G_{vh}}{p_r} = \frac{G_{hv}}{p_r} = S_{vh} f(e) \left(\frac{p'}{p_r} \right)^{n_v + n_h} \quad (3)$$

$$96 \quad \frac{G_{hh}}{p_r} = S_{hh} f(e) \left(\frac{p'}{p_r} \right)^{2n_h} \quad (4)$$

97 where p' is the mean effective stress. The small strain shear stiffness anisotropy is
 98 then expressed by the ratio of G_{hh}/G_{hv} .

99

100 Loess is a silt-sized Aeolian soil that is encountered all around the world (Li et al.,
 101 2016), with wide deposits in northwest China (Heller & Liu, 1982). Three different
 102 kinds of loess, namely sandy, silty, and clayey loess, can be classified based on the
 103 soil grading (Liu, 1985). It is well recognized that the mechanical behaviour of loess
 104 is strongly affected by its structure, especially for the clayey loess (Gao, 1988; Jiang
 105 et al., 2014; Xu & Coop, 2016; Ng et al., 2017a). However, the anisotropic behaviour
 106 of loess has rarely been reported, until recent years, and it is still less investigated.
 107 Liang et al. (2015) reported anisotropy in compressibility and shear strength (friction
 108 angle and cohesion) for a clayey loess by conducting simple laboratory tests such as
 109 direct shear test and unconsolidated undrained shear test. Xu et al. (2019) performed
 110 oedometer and triaxial tests on vertically and horizontally cored clayey loess under
 111 saturated conditions, and found anisotropy in the normal compression line (NCL) and
 112 critical state line (CSL) at relatively low stress levels, while both NCL and CSL
 113 became unique as the stress increased to higher levels. While there is evidence of
 114 anisotropy in loess behaviour, the small strain stiffness anisotropy is still missing in
 115 published literatures, although there has been research on the small strain behaviour

116 of loess (Ng et al., 2017b; Song et al., 2017; Liu et al., 2019; Zuo et al., 2020). In this
117 study, a triaxial shear apparatus equipped with both vertical and horizontal bender
118 elements was used to determine the small strain shear stiffnesses G_{vh} , G_{hv} and G_{hh} of a
119 typical clayey loess under different stress states. Both saturated undisturbed and
120 reconstituted specimens were first isotropically compressed to different stress levels
121 to investigate the inherent anisotropy, then followed by undrained or drained shearing
122 to large strain level to achieve different stress ratios and the critical state, thus the
123 induced anisotropy was allowed to be investigated at different stress and strain
124 conditions. Scanning electron microscope (SEM) tests were conducted with
125 specimens before and after shearing to investigate the micro-scale structure evolution.
126 The inherent and stress-induced anisotropy in the small strain shear stiffness
127 determined with bender element tests were analysed and the structure effect was
128 discussed.

129

130 **Materials, testing apparatus and procedures**

131

132 *Materials*

133 The soils tested were recovered at a depth of 50m in a typical location of clayey loess
134 deposition near Xi'an city, China. The structure was kept intact by using block
135 sampling, each block sample was trimmed by hand and carefully sealed with layers of
136 cling film and tape. It is an effective sampling method to keep the clayey loess
137 structure intact as formerly reported by Xu & Coop (2016) and Xu et al. (2019).

138 Undisturbed specimens were vertically cored from the blocks with a cutting ring,
139 while the soil's cut-offs were used to make reconstituted specimens. The soil has a
140 clay content around 18%, silt content around 75%, and mean particle size D_{50} around
141 $7.7\mu\text{m}$. The intact void ratio varies in a narrow range within 0.72-0.74, the natural
142 water content is around 15%, and the specific gravity is 2.74. The minerals of the
143 clayey loess were determined by X-ray diffraction (XRD) and they consist mainly of
144 quartz, albite, calcite, and clay minerals including illite, montmorillonite, and chlorite.
145 More detailed soil properties can be referred to Xu & Coop (2016).

146

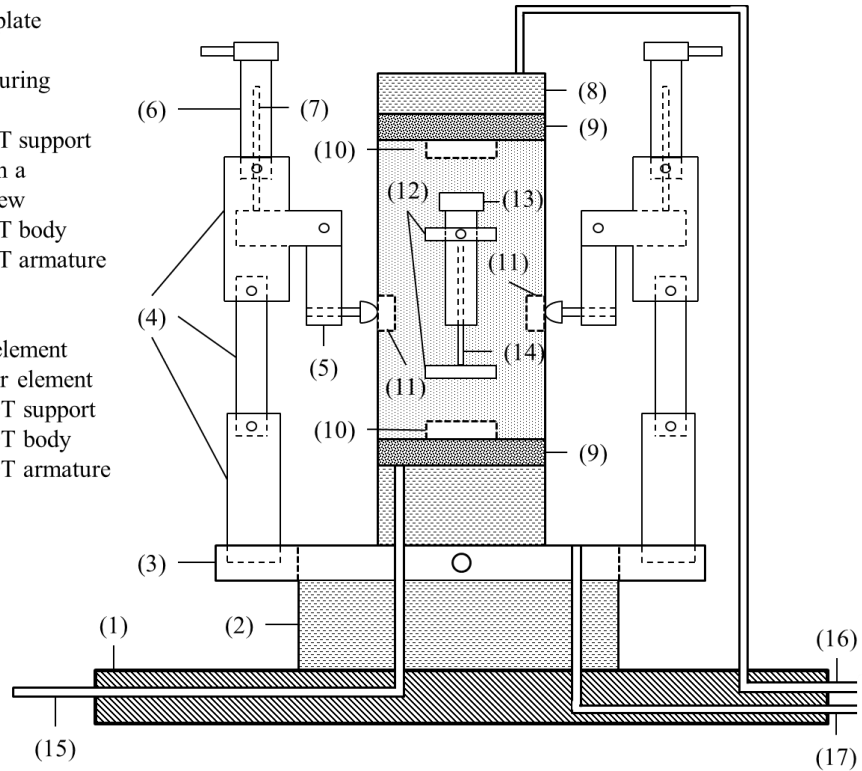
147 *Testing apparatus and procedures*

148 The tests were conducted in a triaxial system equipped with bender elements and local
149 strain measuring LVDTs as illustrated in figure 1. The tested sample size was 50mm
150 in diameter and 100mm in height. A pair of vertical bender elements was embedded
151 in the top cap and pedestal to measure G_{vh} (figure 1, part 10), and a pair of horizontal
152 bender elements was mounted on the side of the specimen (e.g. Pennington et al.,
153 1997; Gasparre & Coop, 2006) to measure G_{hv} and G_{hh} (figure 1, part 11). A signal
154 generator with a maximum applied voltage of 12V and an oscilloscope were used to
155 generate and receive the signals respectively. The time-domain method, more
156 specifically the first arrival method was used to determine the small strain stiffness.
157 The time delay between transmitter and receiver elements was calibrated by "tip to tip"
158 method. To minimize the uncertainty brought by near-field effects, a series of
159 sinusoidal input signals of frequencies in the range 2-15kHz was used, and a common

160 travel time was obtained by comparing all the received signals (e.g. Viggiani &
161 Atkinson, 1995a; Jovičić et al., 1996; Viana da Fonseca et al., 2009). Two LVDTs for
162 local axial strain measurement were directly glued on the specimen membrane (figure
163 1, part 12-14), and a system recommended by Ackerley et al. (2016) was set up for
164 the local radial strain measurement, particularly on the horizontal wave propagation
165 plane for travel length measurement (figure 1, part 3-7). The measuring range of the
166 LVDTs was 0–10mm and the resolution was ± 0.0004 mm. Before tests, the triaxial
167 cell, loading frames, and pressure controllers were all confirmed to be working
168 normally, and the transducers, including load cell, water pressure transducer, and
169 LVDTs were all calibrated. The L-shaped component with local LVDT (figure 1, part
170 5-7) for radial strain measurement was also calibrated with a micrometer to obtain the
171 factor between the readings and true displacements.

172

- (1) triaxial cell base plate
- (2) pedestal
- (3) radial strain measuring system base
- (4) radial strain LVDT support
- (5) L-component with a round-headed screw
- (6) radial strain LVDT body
- (7) radial strain LVDT armature
- (8) top cap
- (9) porous stone
- (10) vertical bender element
- (11) horizontal bender element
- (12) axial strain LVDT support
- (13) axial strain LVDT body
- (14) axial strain LVDT armature
- (15) pore pressure
- (16) back pressure
- (17) cell pressure



173

174 **Figure 1** Schematic diagram triaxial apparatus equipped with vertical and horizontal
 175 bender elements and axial and radial LVDTs

176

177 Both undisturbed and reconstituted specimens were tested. For undisturbed specimens,
 178 a cutting ring with a chosen dimension was placed on the soil block and some
 179 downward pressure was applied, then the soil out of the ring edge was cut off by hand
 180 carefully to avoid any micro-cracks or structure destruction and the specimen was
 181 trimmed into the ring gradually (Xu & Coop, 2016). For reconstituted specimens, the
 182 moist tamping method was used for sample preparation. As compared to the slurry
 183 method, which is another commonly used sample preparation method, moist tamping
 184 method tends to create a soil structure more different to that of the in-situ samples (Li
 185 & Coop, 2019). The soil was first oven-dried and grinded to aggregate sizes less than

186 0.3mm to remove the existence of intact structure as much as possible. Then the soil
187 was weighed according to the designed initial void ratio for the experiments (loose,
188 medium-dense and dense) and mixed well at an initial water content of 7.5%, until a
189 homogeneous fabric was obtained. Then the soil was compacted on the pedestal in 4
190 even layers with the help of a split mould. Each layer had a thickness of 25mm.

191

192 A modified membrane with a pair of lateral supporting parts was used, and after the
193 specimens were set up in the triaxial system, horizontal bender elements were inserted
194 and sealed with O-rings and latex rubber. After de-aired water flushing, the specimen
195 was subjected to back pressure saturation to achieve a B-value above 0.95. After
196 saturation, the cell pressure was increased in steps to conduct isotropic compression
197 together with the bender element tests, and the maximum effective stress achieved
198 was 600kPa. After compression, the specimens were sheared undrained or drained to
199 reach the critical state, with the largest axial strain equal to 25%. The strain rate was
200 0.002%/min, which was slow enough for the full dissipation or the reliable
201 measurement of the excess pore water pressure during shearing.

202

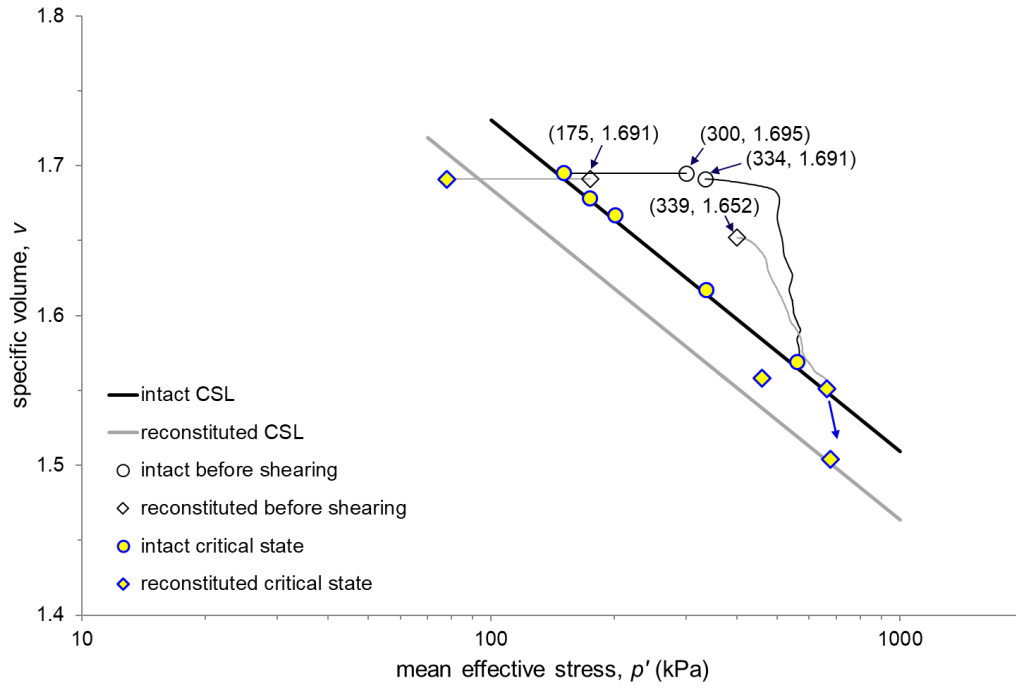
203 Typical stress-strain curves and stress paths are shown in figure 2. Figure 2(a)
204 summarizes the paths in the v - $\ln p'$ plane, where v is the specific volume, along with
205 the CSLs of both intact and reconstituted specimens. The undisturbed specimens were
206 sheared from similar initial void ratio e_0 and initial mean effective stress p'_0 while the
207 reconstituted specimens started from different states, the specimen tested undrained

208 located much closer to the CSL than that sheared drained, indicating an initial denser
209 state. From the shearing results presented in figure 2(b), both undisturbed specimens
210 show a similar stiff behaviour, attributed to a strong intact structure effect that was
211 also reported by Xu & Coop (2016). The denser initial state of the reconstituted
212 specimen tested undrained compared to that tested drained is reflected in its much
213 stiffer response (Fig. 2(c)). From figure 2(a) it is also noted that the reconstituted
214 specimen sheared undrained started from a closer distance to its CSL than the intact
215 undrained specimen, which may explain its high stiffness in spite of being
216 reconstituted, and the strain softening as seen from the development of excess pore
217 water pressure (Fig. 2(d)).

218

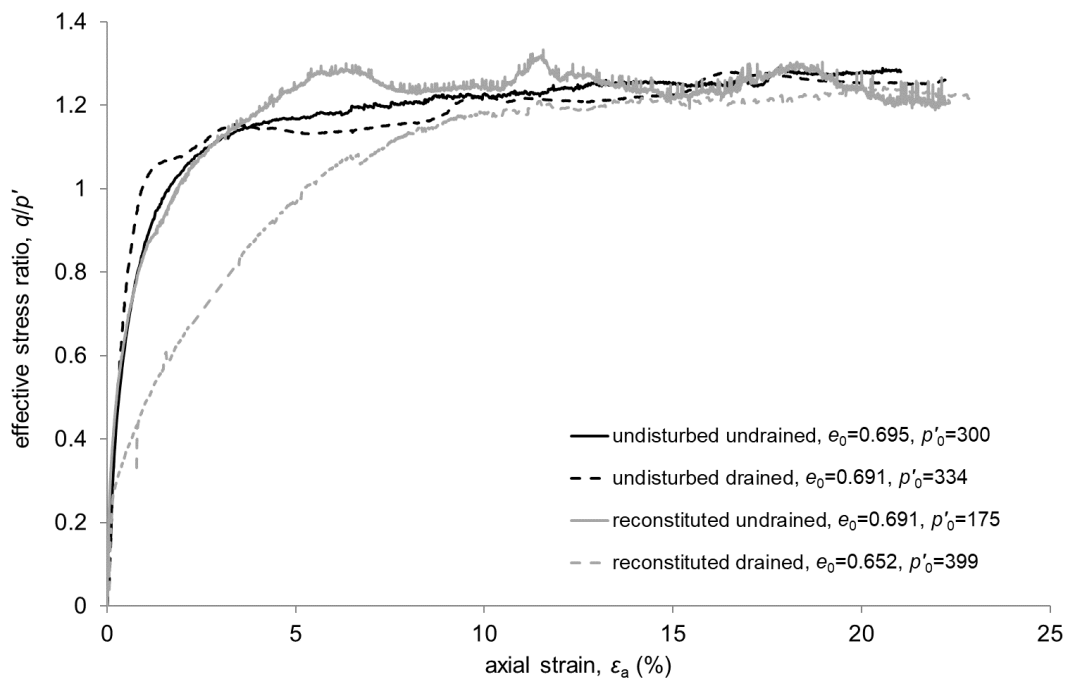
219 During shearing, the bender element tests were conducted at stress ratio η of 0.2, 0.4,
220 0.6, 0.8, 1.0, and 1.2 as illustrated in figure 2(e), where η is calculated as q/p' and q is
221 the deviatoric stress. The triaxial loading was not stopped when the bender element
222 signals were captured, since the shearing strain rate was slow enough to obtain stable
223 received signals. The stress ratio at critical state is 1.25 as shown in figure 2, which
224 means there is little variation of η value after reaching 1.2 as the axial strain keeps
225 increasing. However, this strain development may also cause the anisotropy evolution,
226 so more bender element tests were conducted at different axial strain levels as the
227 specimens approaching the critical state.

228



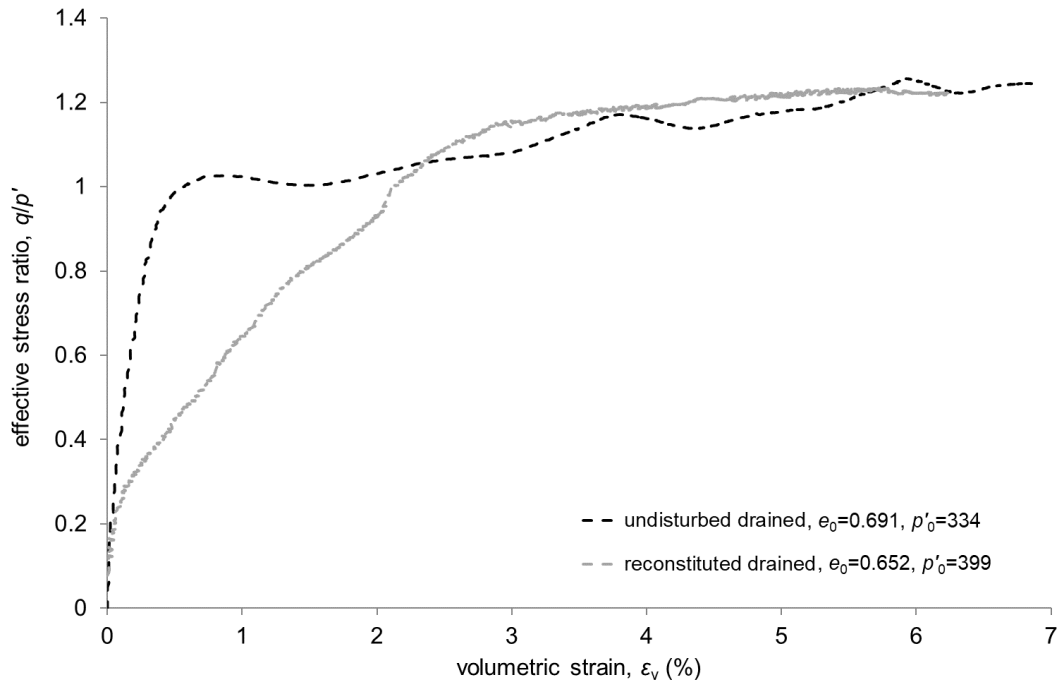
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230 2(a)



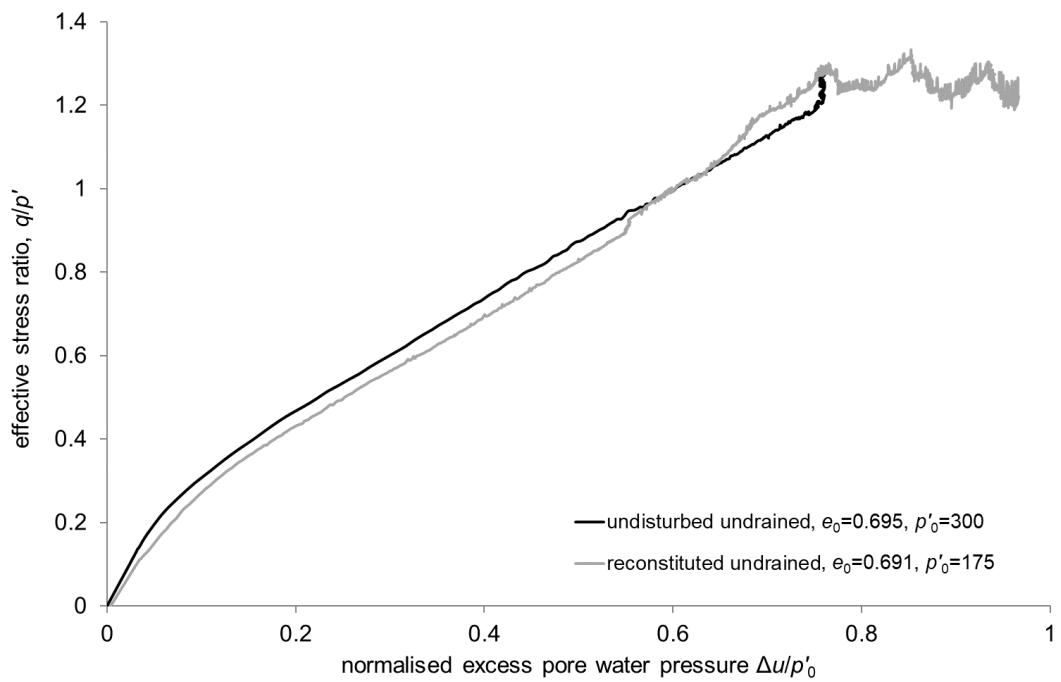
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232 2(b)



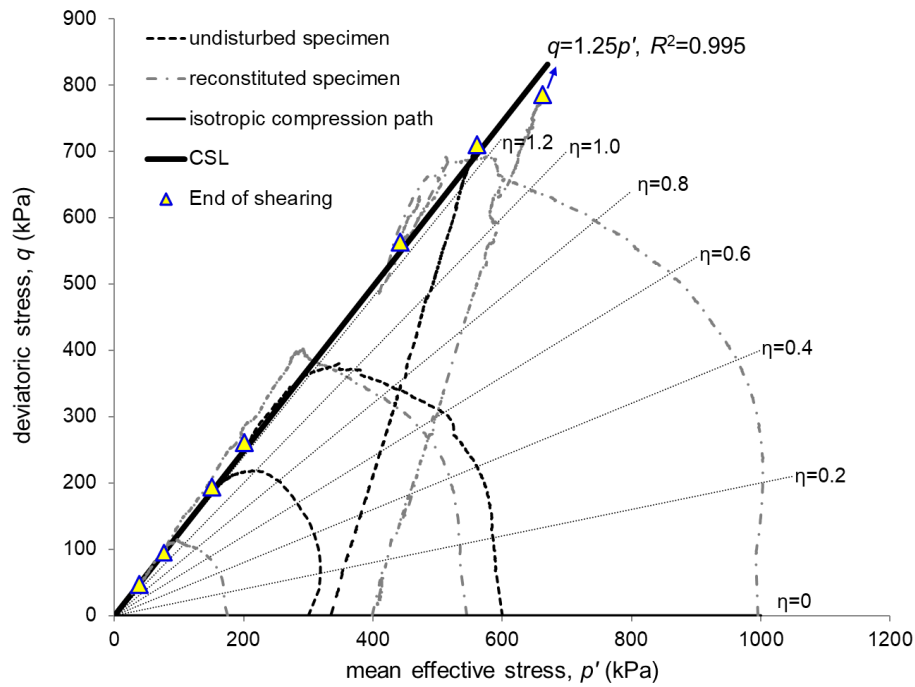
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234 2(c)



235

236 2(d)



237

238 2(e)

239 **Figure 2** Typical results (a) CSLs and shear paths in v - $\ln p'$ plane (b) shearing

240 stress-strain curves (c) effective stress ratio vs. volumetric strain in drained tests (d)

241 effective stress ratio vs. excess pore water pressure in undrained tests (d) CSLs and

242 shear paths in v - $\ln p'$ plane (e) compression and shearing stress paths and stress ratios

243 where small strain shear stiffness measured

244

245 **Inherent anisotropy**

246

247 *Isotropic compression*

248 The isotropic compression curves obtained for both undisturbed and reconstituted

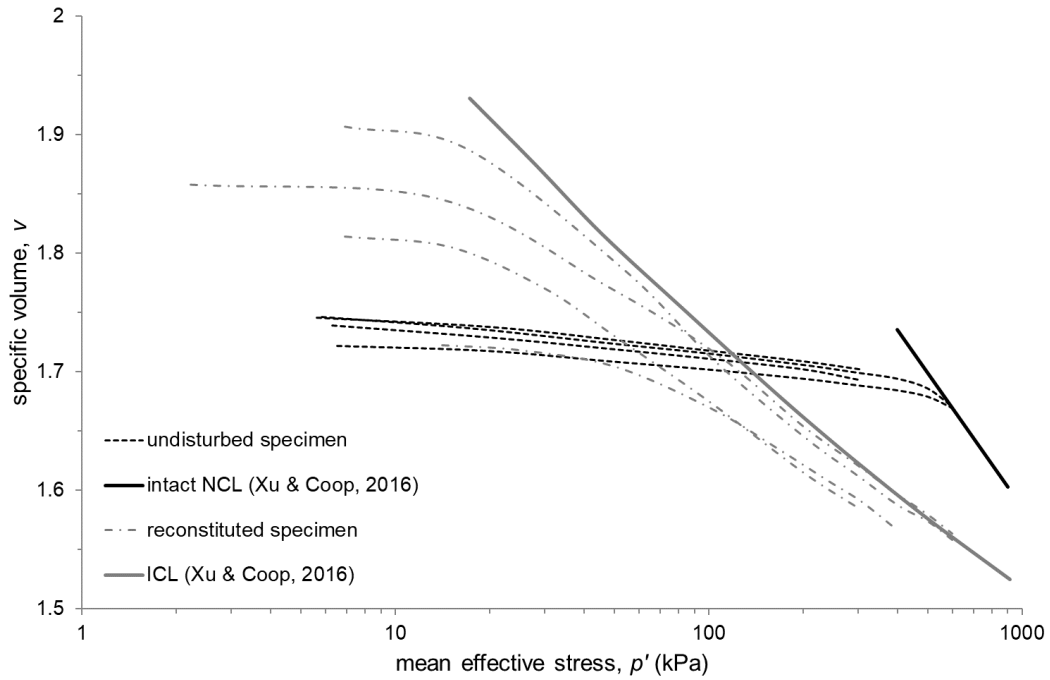
249 specimens are plotted in figure 3 in terms of specific volume v against mean effective250 stress p' . It shows that a unique NCL can be reached for undisturbed specimens at p'

251 around 600kPa, which is in good agreement with the results reported by Xu & Coop
252 (2016), indicating a good specimen quality as well. For reconstituted specimens
253 looser or denser than the undisturbed ones, the compression curves tend to converge
254 to a unique intrinsic compression line (ICL). The compression curves of undisturbed
255 specimens all reach the state well outside the ICL, indicating a clear structure effect.
256 Note that the undisturbed specimens do not yield to the NCL before 600kPa, which
257 means the intact structure does not suffer distinct damage during compression.

258

259 With the measurements of local LVDTs, the axial and radial deformations during
260 compression can be determined. The axial strain ε_a was calculated as the average
261 value of the axial strains determined by the two axial local LVDTs, and the sum of the
262 radial deformations determined by the two radial local LVDTs was used to calculate
263 the radial strain ε_r . It allows an analysis of inherent anisotropy from a global strain
264 point of view. Figure 4 shows the strain increment ratio of $\Delta\varepsilon_r/\Delta\varepsilon_a$ during compression,
265 where $\Delta\varepsilon_r$ and $\Delta\varepsilon_a$ are the increments of radial and axial strain in each compression
266 stress level, comprising both elastic and plastic components. It shows that despite a
267 little scattered, the ratio for the undisturbed specimen remains around 1.98 during
268 compression, indicating an anisotropic behaviour. The ratio for the reconstituted
269 specimen is around 1.00, showing a more isotropic behaviour. Similar phenomenon is
270 also reported by Jovičić & Coop (1998) for London clay.

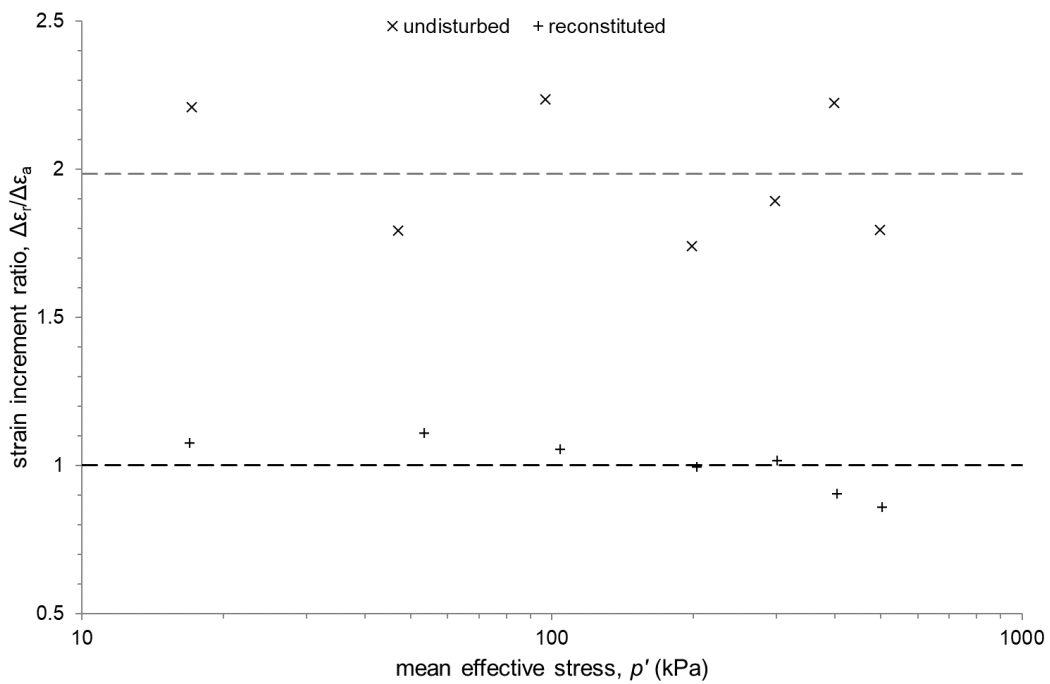
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272

273 **Figure 3** Isotropic compression curves of undisturbed and reconstituted specimens

274



275

276 **Figure 4** Strain increment ratio of undisturbed and reconstituted specimens during

277 isotropic compression

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279 *Small strain shear stiffness during isotropic compression*

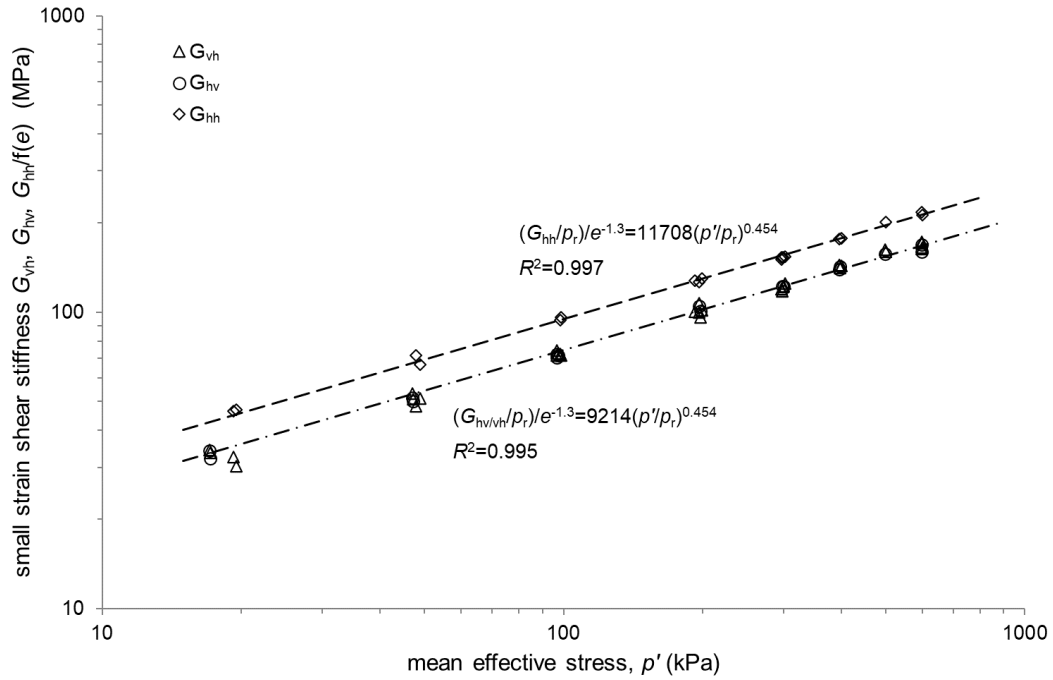
280 The small strain shear stiffness data points obtained for undisturbed specimens during
281 compression are plotted in figure 5(a), and the stiffness ratios of G_{vh}/G_{hv} and G_{hh}/G_{hv}
282 are plotted in figure 5(b), both against p' . It has been proved that when a unique
283 normal compression line is reached, the small strain shear stiffness is only related to
284 the stress condition and a unique NCL in the $\ln G_0 - \ln p'$ plane can be found (e.g.
285 Jovičić & Coop, 1997; Zuo & Baudet, 2020). However, as shown in figure 3, most of
286 the small strain stiffness data points measured during compression were under low
287 stress levels and still far from reaching the NCL, which means the effect of void ratio
288 should be taken into consideration. In figure 5, the stiffness value is then normalized
289 by the void ratio function $f(e)=e^{-1.3}$, which has been commonly used for fine-grained
290 soils (e.g. Jamiolkowski et al., 1995; Pennington et al., 1997; Li et al., 2012), to
291 remove the influence of void ratio. It can be observed that the values of G_{vh} are
292 slightly higher than those of G_{hv} with an average stiffness ratio of 1.02, which is
293 consistent with the cross-anisotropy model. The values of G_{hh} are higher than those of
294 the other two, and the value of stiffness anisotropy ratio G_{hh}/G_{hv} generally lies in the
295 range of 1.2 to 1.35 with an average value of 1.27, indicating an inherent anisotropy
296 degree similar to some natural clays (e.g. Callisto & Rampello, 2002;
297 Teachavorasinskun & Lukkanaprasit, 2008; Kim & Finno, 2012; Li et al., 2012). Like
298 for the global strains shown earlier in figure 4, the test data indicate cross-anisotropy
299 although a direct comparison cannot be made. According to equation (3) and (4),
300 straight lines can be fitted for the stiffness data points in a double logarithmic graph.

301 The fitting lines are shown in figure 5(a) together with the expressions, and the
302 reference stress p_r is taken as 1kPa. It shows that the fitting results are quite good and
303 the two lines are parallel to each other, indicating a same value of n_v and n_h , which
304 equals to 0.227 (half of 0.454).

305

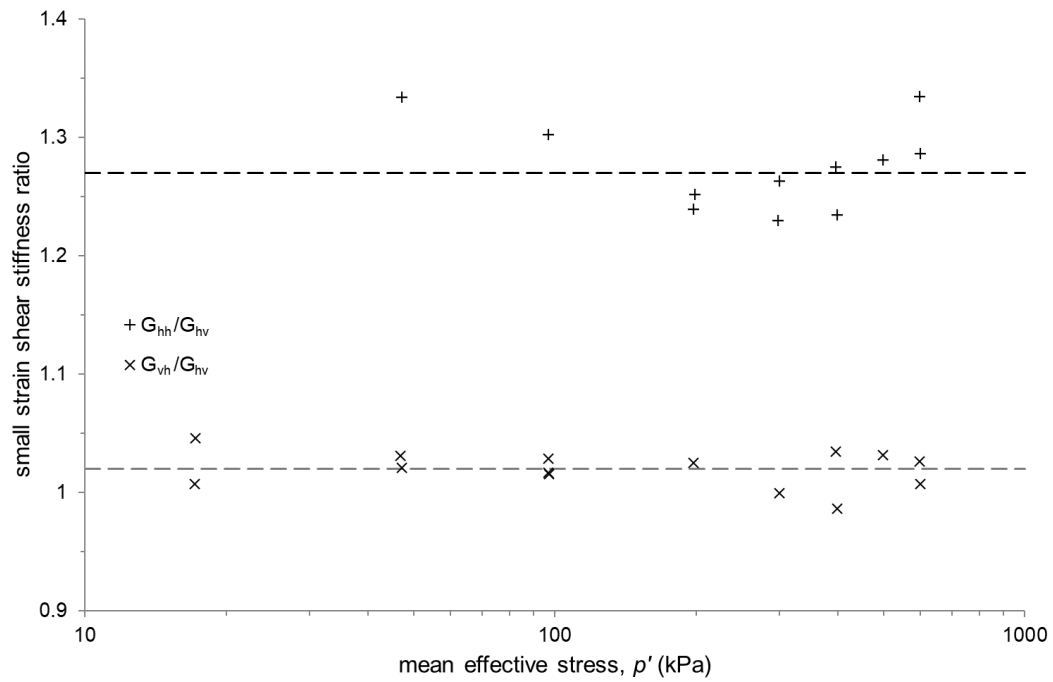
306 Xu et al. (2019) performed oedometer and triaxial experiments on undisturbed
307 specimens cored vertically and horizontally from the same sample of clayey loess
308 tested here, which was retrieved as described earlier. The results of one-dimensional
309 compression show that the yielding stress of the vertically cored specimen is 1.24
310 times as large as that of the horizontally cored specimen. Similarly, the results of
311 undrained shearing show that under the same initial confining pressure, the deviatoric
312 stress of vertically cored specimens increases faster than that of horizontally cored
313 specimens, and the peak strength of vertically cored specimens is averagely 1.55
314 times as large as that of the horizontally cored specimens. It then can be concluded
315 that the soil inherent anisotropy determined from small strain shear stiffness
316 measurements can be used as an indicator of anisotropic mechanical behaviour at
317 different stress-strain conditions.

318



319

320 5(a)



321

322 5(b)

323 **Figure 5** Small strain shear stiffness for undisturbed specimens under isotropic stress

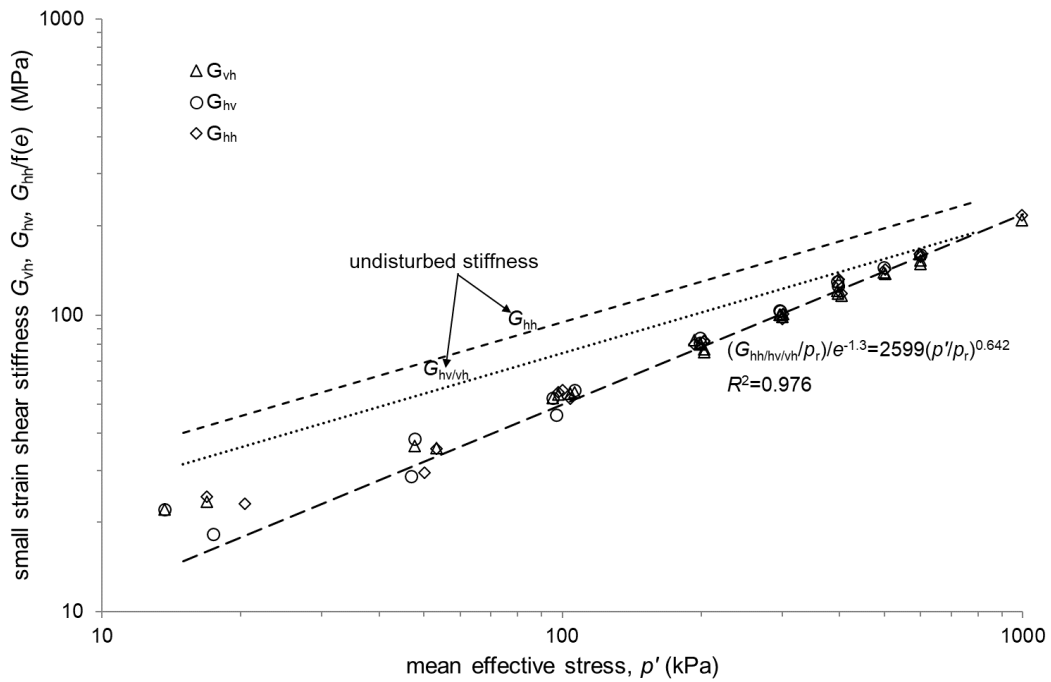
324 condition (a) stiffness in vertical and horizontal planes (b) stiffness ratios

325

326 Similarly, the small strain shear stiffness results of reconstituted specimens under
327 isotropic compression are shown in figure 6. It shows that the inherent anisotropy is
328 much reduced due to the destruction of the intact structure during specimen
329 preparation. As shown in figure 6(b), the stiffness anisotropy ratio G_{hh}/G_{hv} mainly
330 ranges between 0.96 and 1.03 with an average value of 1.01, and the ratio G_{vh}/G_{hv}
331 mainly ranges between 0.96 and 1.00 with an average value of 0.98. The scatter in
332 data points is possibly due to the complexity and subjectivity of the determination of
333 arrival time, and the high sensitivity of the stiffness ratio to the arrival time as well.
334 As shown in figure 6(b), a decrease of only 2 microseconds in the arrival time of G_{hh}
335 (which is also a reasonable result from the signal analysis) makes the stiffness
336 anisotropy ratio G_{hh}/G_{hv} increase from 0.96 (solid red circle) to 1.00 (dotted red
337 circle). Although there are some uncertainties brought by the limitation of testing
338 method, it still clearly indicates an isotropic behaviour, which is in good agreement
339 with the global strain increment ratio as shown in figure 4. Based on the data points
340 with effective stress in excess of 300kPa, the NCL in the $\ln G_0 - \ln p'$ plane can be
341 determined as shown in figure 6(a). There are some data points above the NCL under
342 lower stresses since they are too far away from reaching the ICL in the $v - \ln p'$ plane
343 and the effect of void ratio cannot be fully normalized. This phenomenon seems
344 independent with the testing method, since Yang & Liu (2016) found similar results
345 when measuring the small strain shear stiffness of sand-fines mixtures using both
346 bender element and resonant column techniques. It shows that compared to
347 undisturbed specimens, reconstituted specimens have much lower S_{vh} and S_{hh} value of

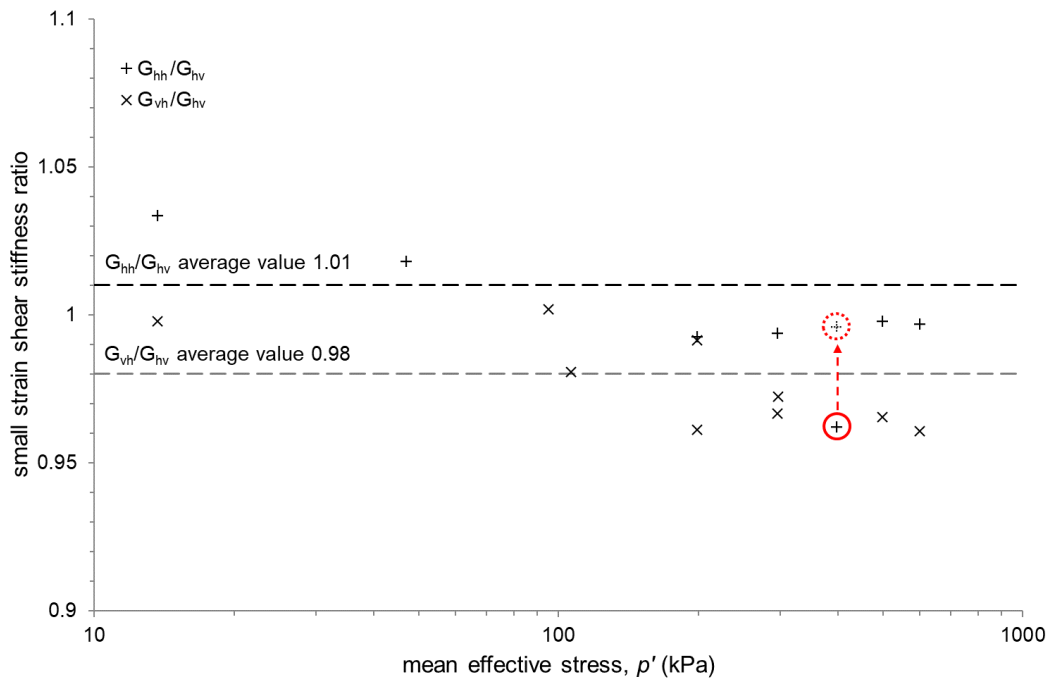
348 2599, and higher n_v and n_h values of 0.321 (half of 0.642), indicating a much less
 349 stable soil structure (Cascente & Santamarina, 1996; Lee et al., 2007; Yang & Liu,
 350 2016), which is consistent with the compression behaviour.

351



352

353 6(a)



354

355 6(b)

356 **Figure 6** Small strain shear stiffness for reconstituted specimens under isotropic stress
357 condition (a) stiffness in vertical and horizontal planes (b) stiffness ratios

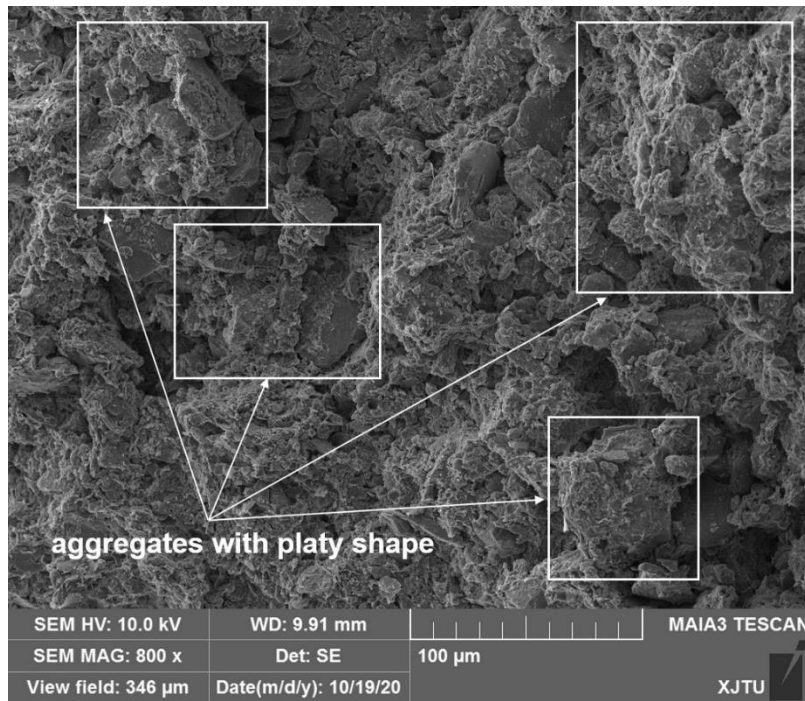
358

359 *SEM observations*

360 Both horizontal and vertical original planes of undisturbed and reconstituted
361 specimens before compression were set to SEM tests, and the representative results
362 are shown in figure 7 and 8 respectively. For undisturbed loess, it can be observed in
363 figure 7 that silty particles are well coated and combined by clay minerals to form
364 large aggregates, and the aggregates are again well bonded at the contacts by clays
365 with some large pores in between. It is interesting to notice that the aggregates tend to
366 show a platy shape, with their main surfaces on the horizontal plane, while on the
367 vertical plane, more surfaces with elongated shape can be observed. It indicates that
368 during deposition, the long axes of aggregates preferred to lie horizontally under
369 gravitational force, and this orientated aggregates/particles arrangement results in an
370 inherent anisotropy. What has been found here is supported by the researches of clays
371 and discrete element method (DEM) simulations (e.g. Mitaritonna et al., 2014; Wang
372 & Mok, 2008). For reconstituted loess, a quite different soil structure can be observed
373 clearly as shown in figure 8. Compared to undisturbed loess, large aggregates were
374 destroyed during remolding, there are more single silty particles with much less
375 coated surfaces, and instead of aggregates coatings and bondings, the clay particles
376 are more like to form clay aggregates themselves. Thus, the particle contacts are less

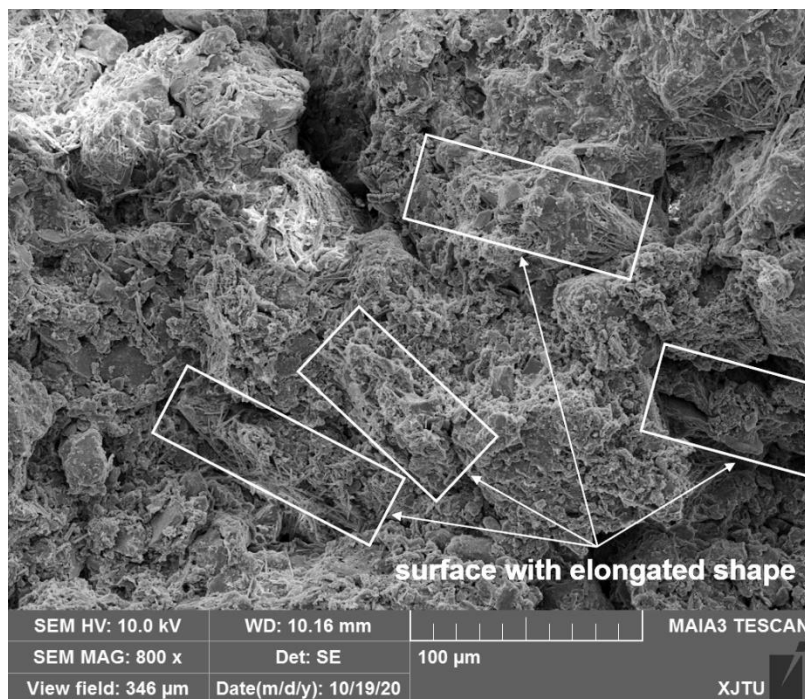
377 strengthened, resulting in a much weaker structure and further much lower small
378 strain stiffness. On both horizontal and vertical plane, the particles appear to be
379 randomly orientated, which is more likely to result in an isotropic inherent behaviour.

380



381

382 7(a)



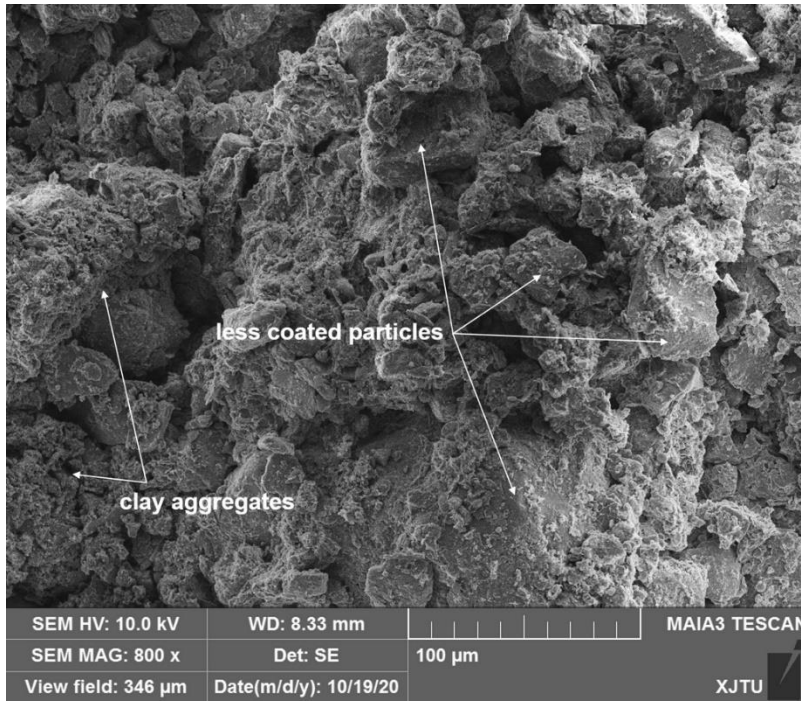
383

384 7(b)

385 **Figure 7** SEM observations of undisturbed loess before compression (a) horizontal

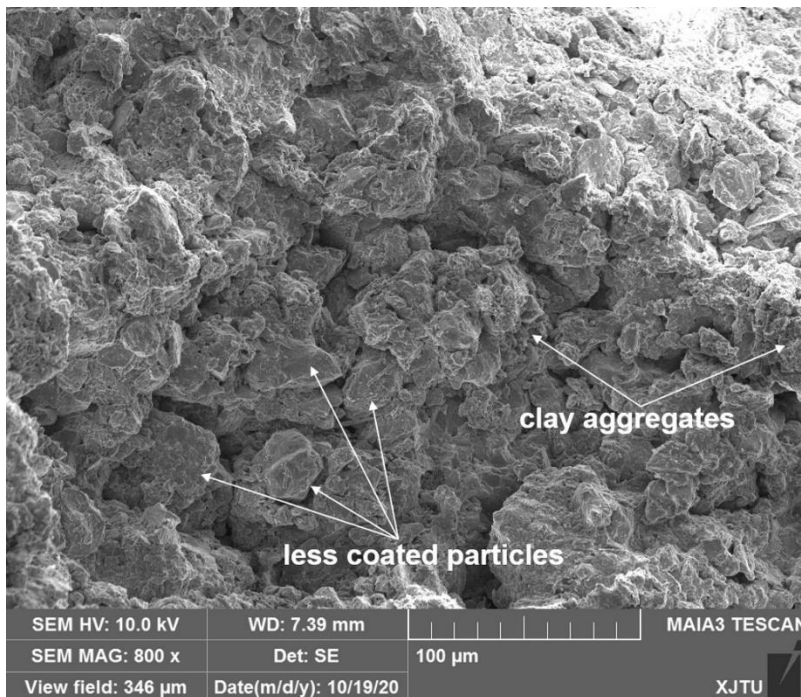
386 plane (b) vertical plane

387



388

389 8(a)



390

391 8(b)

392 **Figure 8** SEM observations of reconstituted loess before compression (a) horizontal
393 plane (b) vertical plane

394

395 **Stress-induced anisotropy**

396

397 After isotropic consolidation, the loess specimens were set to triaxial shearing. As
398 shown by the stress-strain curves in figure 2(a), the specimens first experienced a
399 quick stress ratio increment without much strain development, especially for the
400 undrained sheared ones. Afterwards, the axial strains of the specimens increased much
401 further to reach the critical state with little change in the stress ratio. The evolution of
402 small strain stiffness anisotropy during shearing was studied based on these two
403 stages.

404

405 *Stage I-Anisotropy at different stress ratios*

406 The stiffnesses measured with bender elements for undisturbed specimens at different
407 stress ratios are plotted in figure 9, together with the NCLs obtained from isotropic
408 stress condition. In order to eliminate the influence of strain development as much as
409 possible, only the data points with corresponding axial strains less than 2% were
410 selected for undisturbed specimens. It shows in figure 9(a) that when plotted against
411 p' , as η increases, there is no obvious stiffness reduction observed for G_{vh} and G_{hv} ,
412 and the $G_{vh/hv}$ NCL still fits the data points well even when the value of η is large; on

413 the other hand, G_{hh} falls below the G_{hh} NCL immediately, and when η reaches 1.2, G_{hh}
 414 is reduced by about 23% and becomes almost the same with $G_{vh/hv}$, and the ratio
 415 G_{hh}/G_{hv} decreases from 1.27 to 0.98. Thus, the overall trend can be concluded as the
 416 stiffness anisotropy keeps decreasing for undisturbed loess at this stage. Considering
 417 equation (1) and (2), when $G_{hh/vh/hv}$ is plotted against p' at anisotropic stress state, it
 418 cannot tell whether the development of anisotropy is simply due to the increase in σ'_v
 419 (i.e. increase in stress anisotropy), or the soil structure evolution also makes a
 420 contribution. Then the stiffnesses are plotted against the product of effective principal
 421 stresses as shown in figure 9(b), specifically, $\sigma'_v \cdot \sigma'_h$ for G_{vh} and G_{hv} , and $\sigma'_h \cdot \sigma'_h$ for
 422 G_{hh} . It shows that all data points are still on the NCLs and do not fall below the lines
 423 even at η equals to 1.2. It indicates that the decrease in anisotropy is induced only by
 424 the stress anisotropy, while the soil structure does not suffer distinct damage at this
 425 stage.

426

427 Meanwhile at the beginning of shearing, with the measurement of local LVDTs, the
 428 initial increment of shear strain $\Delta\varepsilon_s$ can be calculated as:

$$429 \quad \Delta\varepsilon_s = \frac{2}{3}(\Delta\varepsilon_a - \Delta\varepsilon_r) \quad (5)$$

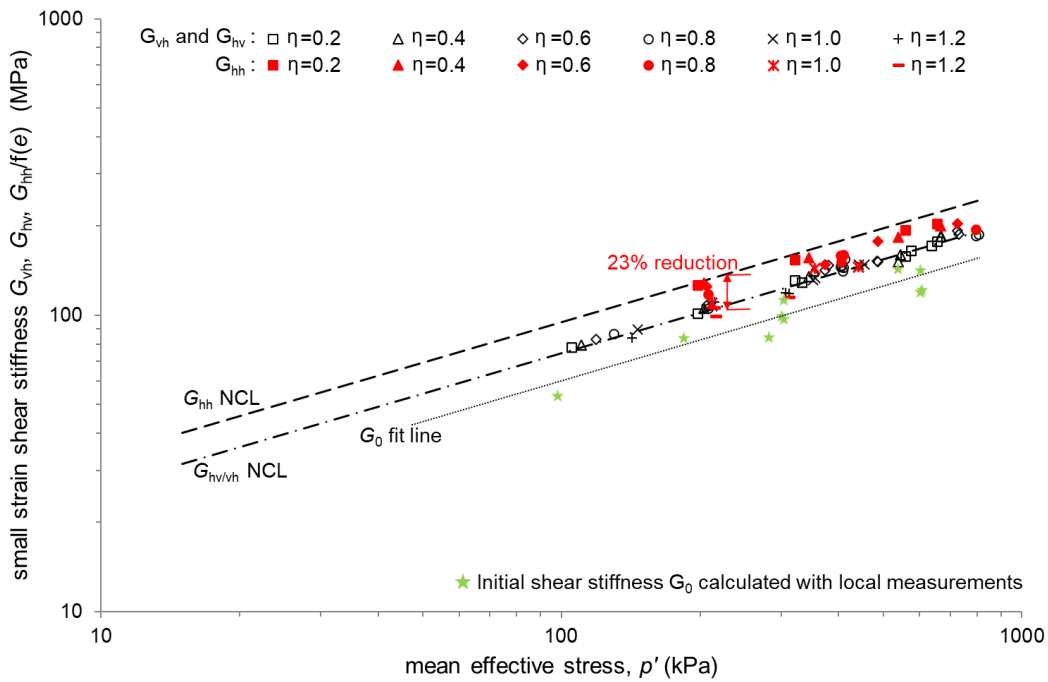
430 Then the initial shear stiffness G_0 can be calculated as:

$$431 \quad G_0 = \frac{1}{3} \frac{\Delta q}{\Delta\varepsilon_s} \quad (6)$$

432 where Δq is the increment of deviatoric stress measured by the load cell. It can be
 433 observed in figure 9(a) that for undisturbed specimens, the calculated G_0 data points

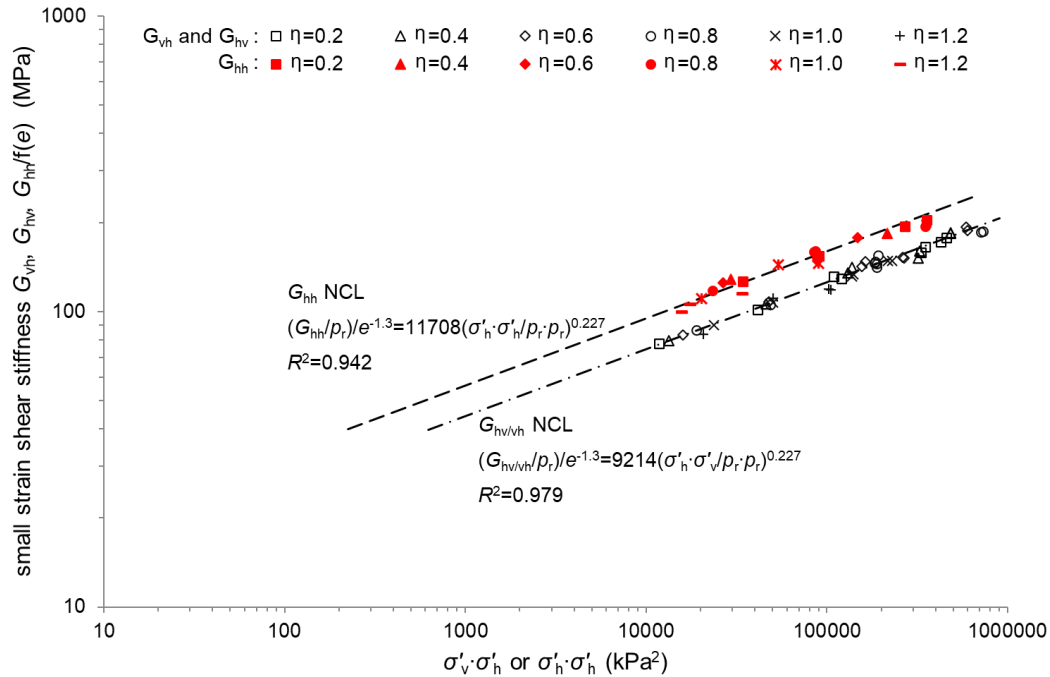
434 plot lower than the NCL of $G_{vh/hv}$ determined with bender elements, and can be fitted
 435 with a line parallel to the NCL with some scatter. It has been reported that a shear
 436 strain level less than $10^{-40}\%$ can be maintained in bender element test (Pennington et
 437 al., 2001; Leong et al., 2005). However, the shear strain level, at which G_0 is
 438 calculated in this study, is generally $10^{-3}\%$, which may explain the lower G_0 values.
 439 Furthermore, the disturbance to the specimen during docking period makes it difficult
 440 to control the accuracy of initial shear strain, resulting in more scattered results.

441



442

443 9(a)



444

445 9(b)

446 **Figure 9** Small strain shear stiffness of undisturbed specimens at different stress ratios

447 (a) against the mean effective stress (b) against the product of effective principal
 448 stresses

449

450 The small strain shear stiffnesses of reconstituted specimens measured with bender

451 elements at different stress ratios are shown in figure 10. In this case, only the data

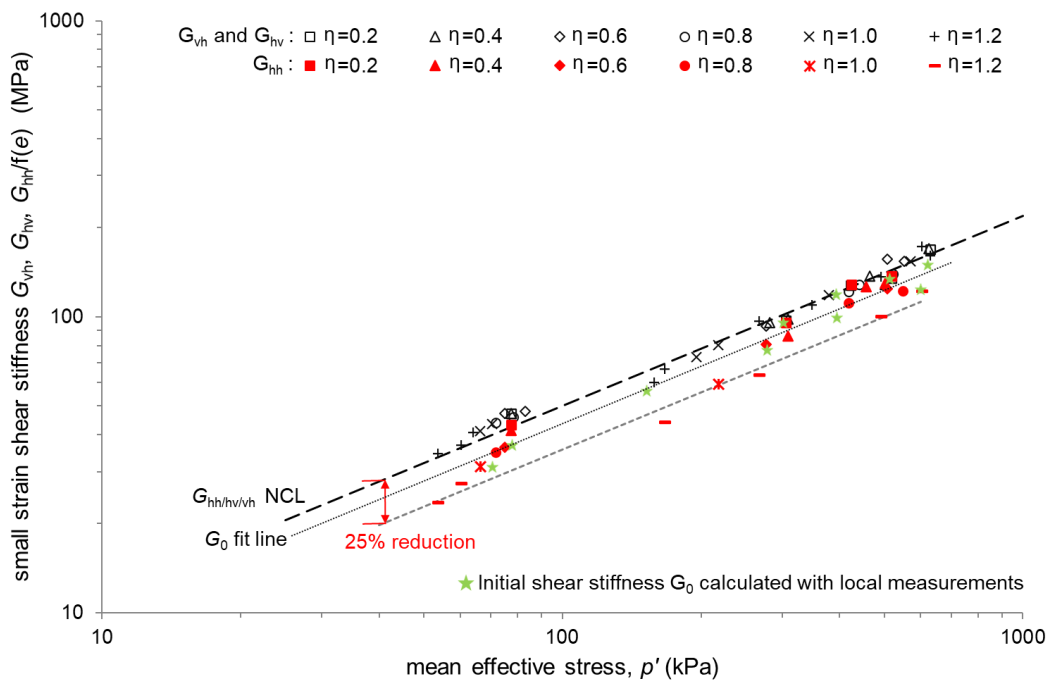
452 points with corresponding axial strains less than 5% were selected. Similar to the

453 results of undisturbed ones, it can be observed that when plotted against p' in figure454 10(a), G_{vh} and G_{hv} are still on the NCL while G_{hh} keeps decreasing as the stress ratio455 increases, and when η reaches 1.2, G_{hh} is reduced by about 25% and the average value456 of stiffness ratio G_{hh}/G_{hv} is around 0.75. Considering the initial isotropic behaviour, it

457 can be concluded that the reconstituted specimens become more anisotropic as the

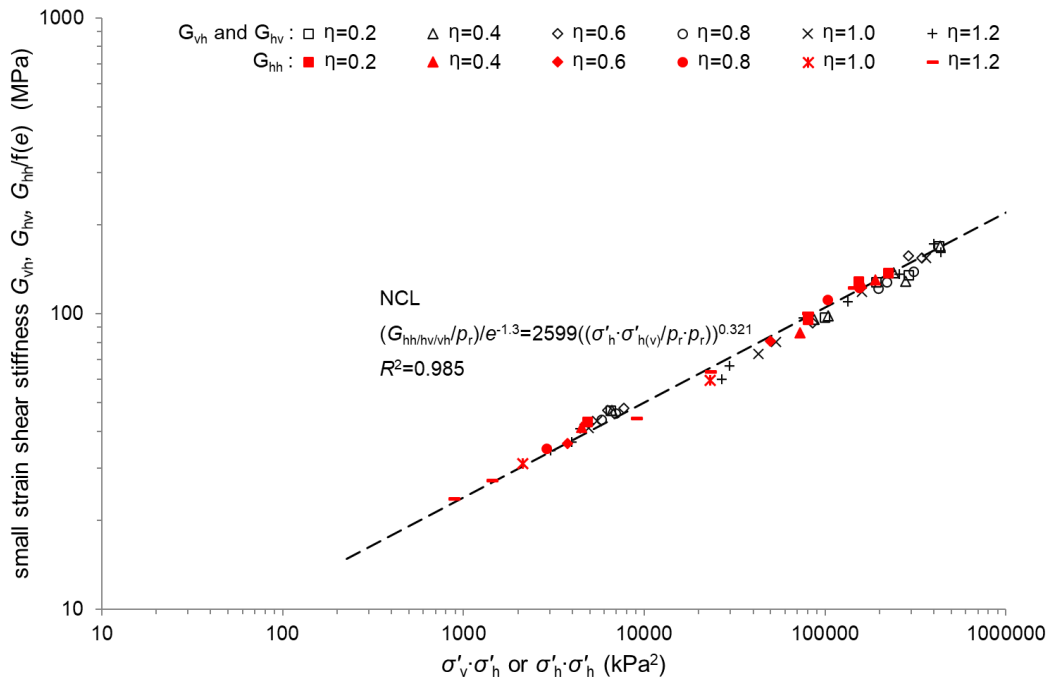
458 stress ratio increases. When plotted against the product of effective principal stresses
 459 in figure 10(b), all stiffnesses are on the NCL and there is no significant variation
 460 even the stress ratio is high. It can be revealed that the development of anisotropy of
 461 reconstituted specimens within this stage is mostly induced solely by the anisotropic
 462 stress state. For the calculated initial shear stiffness G_0 , it again shows lower values
 463 comparing to $G_{hh/hv/vh}$ due to the larger shear strain level as shown in figure 10(a).

464



465

466 10(a)



467

468 10(b)

469 **Figure 10** Small strain shear stiffness of reconstituted specimens at different stress
 470 ratios (a) against the mean effective stress (b) against the product of effective
 471 principal stresses

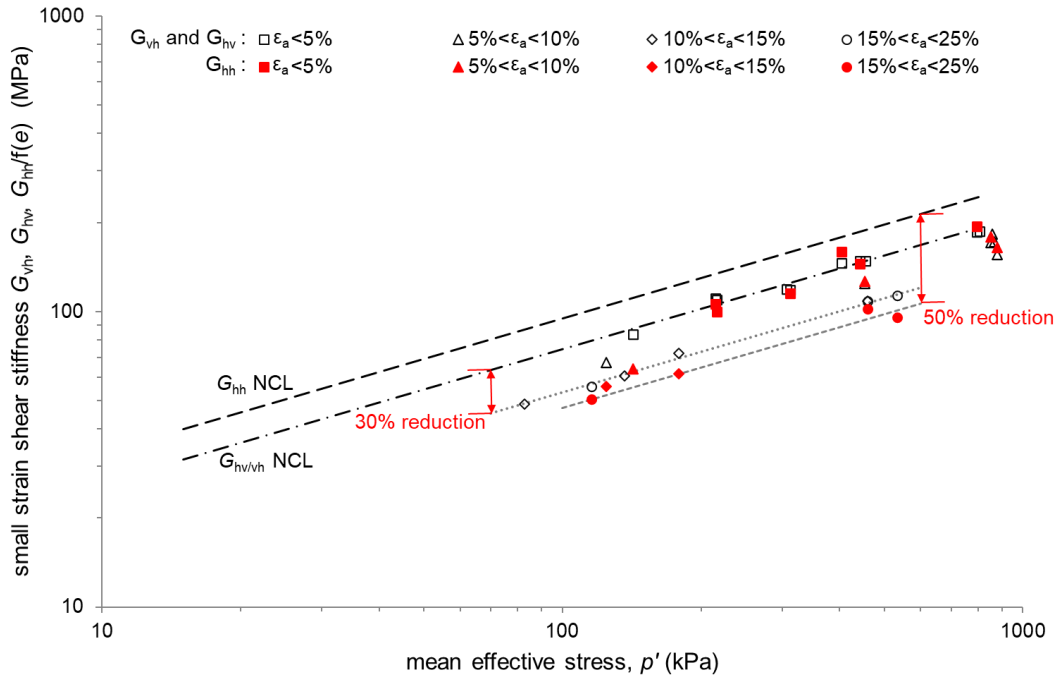
472

473 *Stage II-Anisotropy approaching the critical state*

474 After reaching the value of 1.2, the stress ratio η shows little variation as the
 475 specimens approach the critical state, then the development of the anisotropy is
 476 mainly related to the large strains induced by shearing. The small strain stiffnesses of
 477 undisturbed specimens at different axial strain levels are plotted in figure 11. It can be
 478 observed in figure 11(a) that not only G_{hh} , but also G_{hv} and G_{vh} start to decrease as the
 479 strain increases. Compared to it before shearing, under the same p' , G_{hh} is reduced by
 480 about 50% and $G_{hv/vh}$ is reduced by about 30% at the axial strain around 25%. The

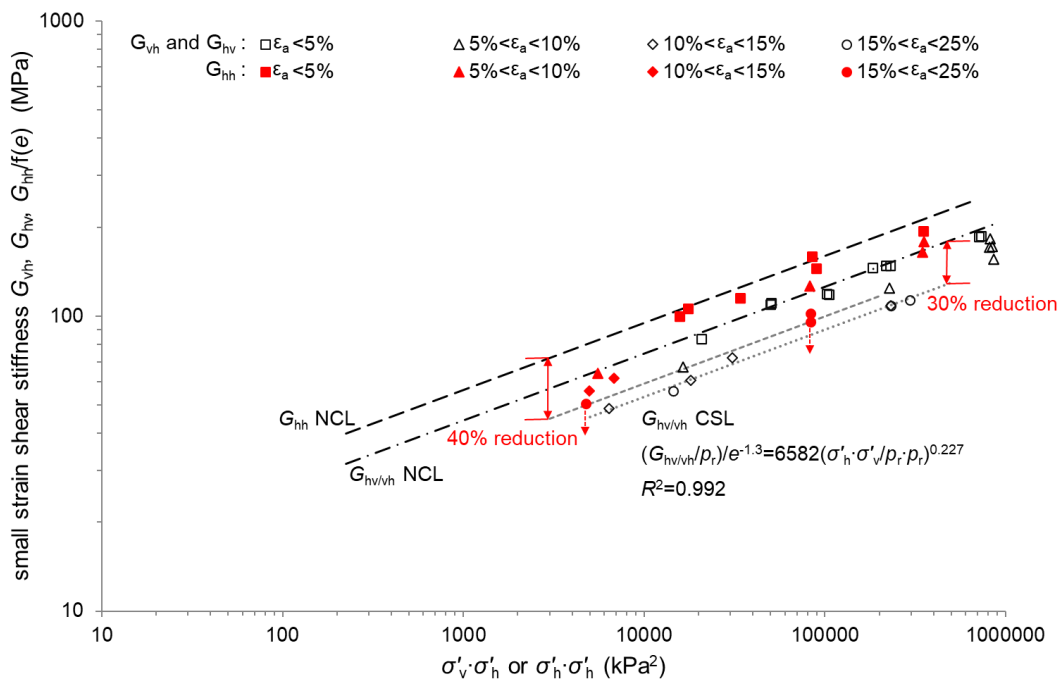
481 average value of stiffness ratio G_{hh}/G_{hv} is about 0.91 around the critical state, which is
482 less than it at the end of first stage of 0.98, indicating that the undisturbed specimen
483 again becomes anisotropic as sheared to critical state. When plotted against the
484 product of principal stresses as shown in figure 11(b), all of G_{hh} , G_{hv} and G_{vh} start to
485 decrease from the corresponding NCLs, indicating the occurrence of intact structure
486 destruction, which is most likely caused by the large shear strains to reach the critical
487 state. Around critical state, under the same stress product, G_{hh} is reduced by about 40%
488 and $G_{hv/vh}$ is reduced by about 30%. After reaching an axial strain of 15%, G_{hv} and G_{vh}
489 seem to become stable, and a possible critical state line (CSL) can be fitted, while G_{hh}
490 still has a reducing trend, it may be stable with further strain development. This
491 decreasing trend of small strain shear stiffness during shearing has also been reported
492 for other soils (e.g. Kuribayashi et al., 1975; Goudarzy et al., 2018; Prashant et al.,
493 2019; Zuo & Baudet, 2020). Based on DEM simulations, reasonable explanation has
494 been reported that the coordination number at critical state becomes smaller compared
495 to its initial value, and it is more significant on the horizontal plane (Gu et al., 2014,
496 2017). The more destruction on the horizontal plane makes G_{hh} decrease the most, and
497 contributes to the anisotropy evolution during shearing.

498



499

500 11(a)



501

502 11(b)

503 **Figure 11** Small strain shear stiffness of undisturbed specimens at different axial

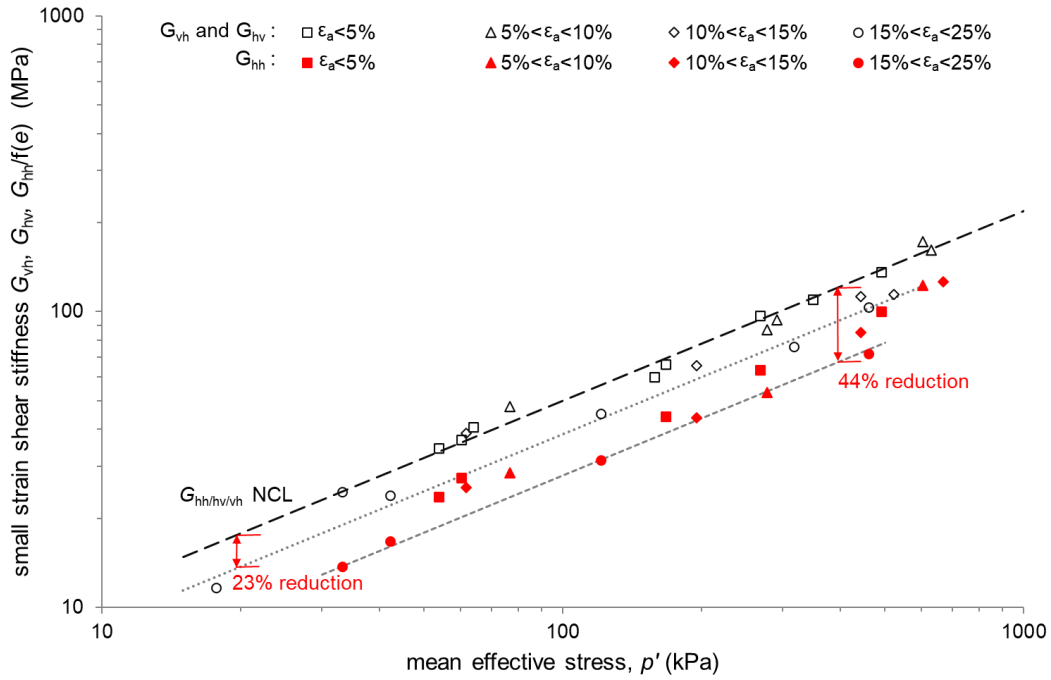
504 strains (stress ratio η around 1.2) (a) against the mean effective stress (b) against the

505 product of effective principal stresses

506

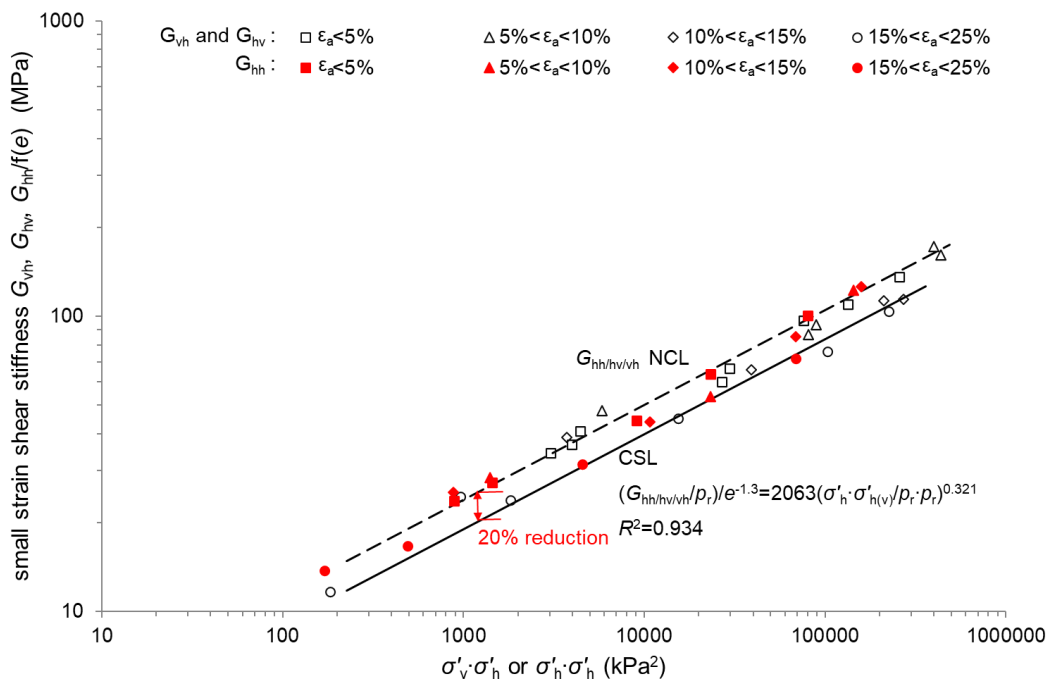
507 The small strain stiffnesses of reconstituted specimens at different axial strain levels
508 are plotted in figure 12. It shows that the reduction of stiffnesses during the strain
509 development is not as significant as it for the undisturbed ones. Under the same p' as
510 shown in figure 12(a), compared to the initial value, G_{hh} is reduced by about 44% and
511 $G_{hv/vh}$ is reduced by about 23% at the axial strain around 25%. The average value of
512 stiffness anisotropy ratio G_{hh}/G_{hv} is about 0.73 around the critical state, and is quite
513 close to 0.75, which is the value at the end of first stage, indicating a insignificant
514 evolution of anisotropy during large strain development. While under the same stress
515 product as shown in figure 12(b), both G_{hh} and $G_{hv/vh}$ start to decrease from the NCL
516 and are reduced by about 20% around the critical state, again confirming a structure
517 destruction, but not as significant as undisturbed specimens. A unique CSL can be
518 fitted for all the stiffnesses, which means after destruction the soil structure still
519 remains almost isotropic, and the anisotropy is mostly induced by the stress state. For
520 reconstituted specimens, G_{hh} does not have more reduction than $G_{hv/vh}$ during shearing
521 as what has been observed for undisturbed ones, a possible explanation could be that
522 the bondings of particles or aggregates on the horizontal and vertical planes are
523 already much weakened upon reconstitution, the influence of a little more destruction
524 on the horizontal plane on G_{hh} is then not significant enough to be observed.

525



526

527 12(a)



528

529 12(b)

530 **Figure 12** Small strain shear stiffness of reconstituted specimens at different axial

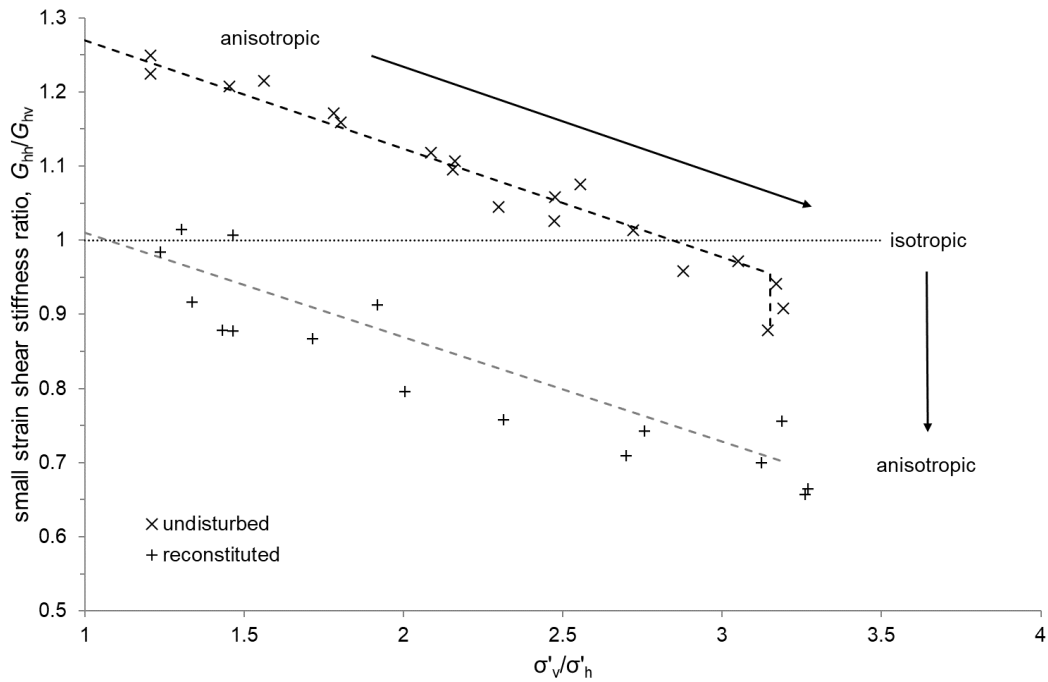
531 strains (stress ratio η around 1.2) (a) against the mean effective stress (b) against the

532 product of effective principal stresses

533

534 The stiffness ratio G_{hh}/G_{hv} is then plotted against the effective principal stress ratio
535 σ'_v/σ'_h to better demonstrate the evolution of stress-induced anisotropy during
536 shearing for both undisturbed and reconstituted specimens. It can be seen in figure 13
537 that for undisturbed loess, G_{hh}/G_{hv} starts to decrease as σ'_v/σ'_h increases, and it turns
538 from anisotropic to isotropic at σ'_v/σ'_h around 3.0 (corresponding to η of 1.2),
539 indicating the effect of inherent structure anisotropy has been gradually cancelled by
540 the increasing stress anisotropy. While as the shearing continues, the structure
541 anisotropy starts to change since more soil structure destruction occurs on the
542 horizontal plane due to the large deformation, G_{hh}/G_{hv} then keeps decreasing with
543 σ'_v/σ'_h almost constant around 3.1 (corresponding to η of 1.25), and the specimen
544 turns to be anisotropic again. For reconstituted loess, G_{hh}/G_{hv} decreases as σ'_v/σ'_h
545 increases, and the specimen turns from isotropic to anisotropic gradually during
546 shearing. It becomes stable at the critical state and there is no obvious influence of
547 structure destruction observed. It then can be further inferred that when the effect of
548 intact structure of undisturbed loess is further or even fully erased by continuous
549 shearing, it tends to a similar anisotropy as the reconstituted loess at last.

550



551

552 **Figure 13** The development of stiffness anisotropy with the effective principal stress
 553 ratio

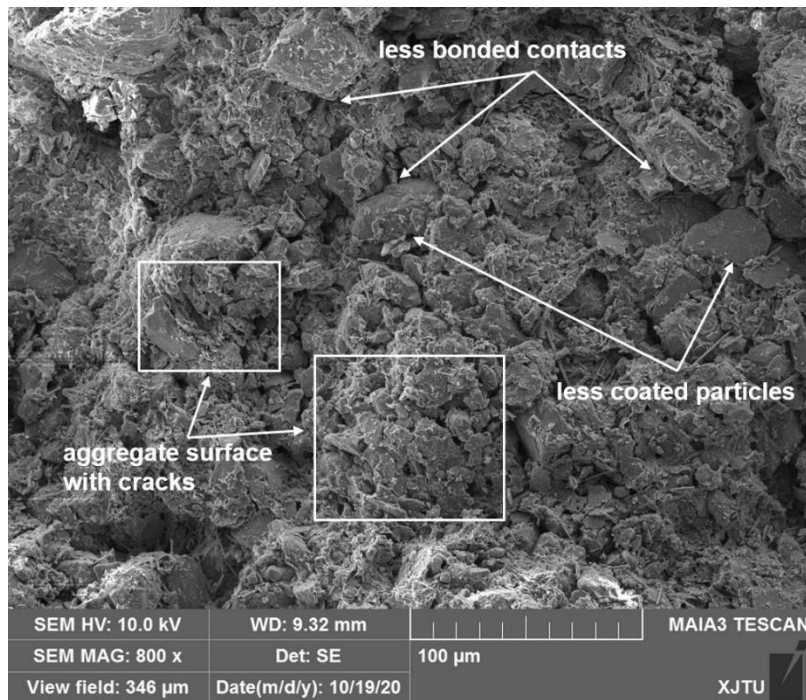
554

555 *SEM observations*

556 Figure 14 shows the horizontal and vertical planes of undisturbed specimen after
 557 shearing. Compared to the planes before shearing as shown in figure 7, it shows
 558 distinct soil structure damage and many more cracks can be clearly observed after
 559 shearing to critical state, especially on the horizontal plane. The aggregates are less
 560 coated and tend to break up into single particles, and the contacts between aggregates
 561 or particles are much less bonded and tend to break down. The large voids between
 562 aggregates are less observed, as a result of the occupation by the increasing detached
 563 particles, as well as the aggregates rearrangement caused by the large shear
 564 deformation. For reconstituted loess as shown in figure 15, the structure destruction is

565 less significant. However, instead of aggregates, there are still more detached single
566 silt or clay particles with less coated surfaces and less bonded contacts, indicating a
567 further soil particle rearrangement due to the shearing to large deformation. For both
568 undisturbed and reconstituted specimens, despite the damage to soil structure, the
569 disintegration of aggregates and detachment of particles are also likely to be the
570 evidence of the reduction in soil coordination number, which causes the decrease in
571 the small strain stiffness at the critical state.

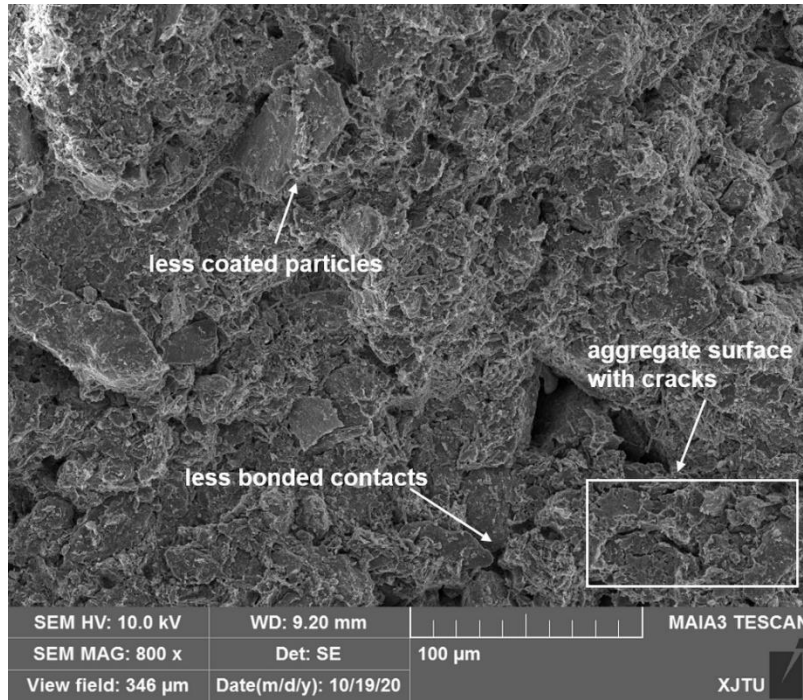
572



573

574 14(a)

575



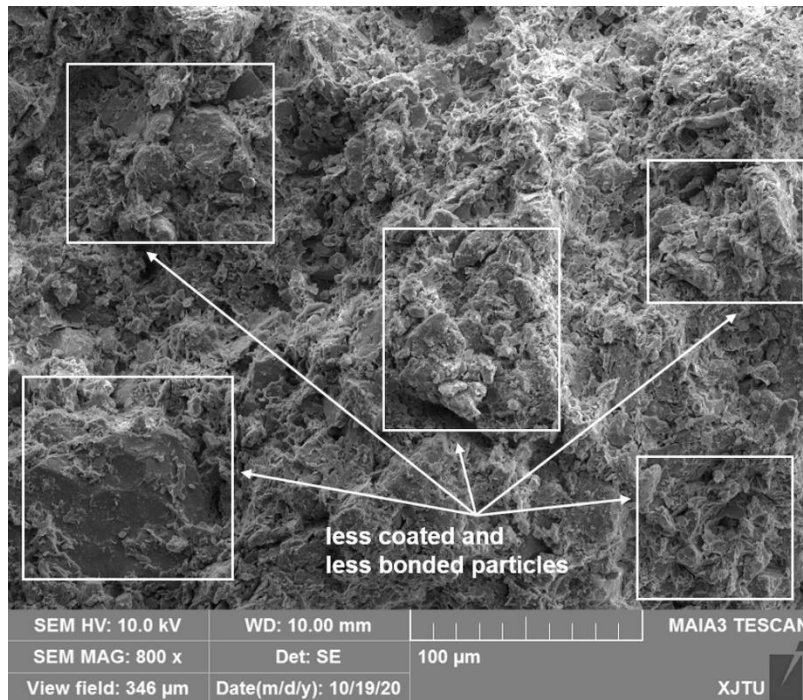
576

577 14(b)

578 **Figure 14** SEM observations of undisturbed loess after shearing (a) horizontal plane

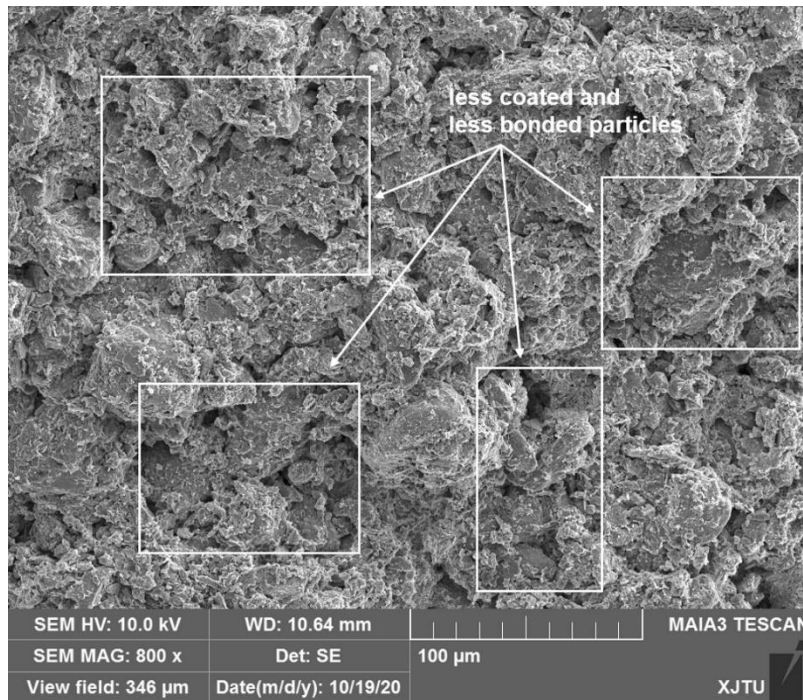
579 (b) vertical plane

580



581

582 15(a)



583

584 15(b)

585 **Figure 15** SEM observations of reconstituted loess after shearing (a) horizontal plane

586 (b) vertical plane

587

588 **Conclusions**

589 Both undisturbed and reconstituted specimens of a typical clayey loess were tested

590 with bender elements and local LVDTs equipped triaxial apparatus to study the

591 inherent and stress-induced small strain shear stiffness anisotropy. The results reveal

592 the important influence of intact structure on the small strain stiffness anisotropy of

593 loess soils.

594

595 Under isotropic stress state, a clear intact structure effect and the inherent anisotropy

596 have been found for the undisturbed specimens, the average stiffness anisotropy ratio

597 of G_{hh}/G_{hv} equals 1.27, and the average global strain increment ratio $\Delta\varepsilon_r/\Delta\varepsilon_a$ equals
598 1.98. This inherent anisotropy is also supported by micro-structure observations that
599 an oriented aggregates arrangement with strong bondings has been revealed. The
600 reconstituted specimens prepared with moist tamping method have much lower small
601 strain shear stiffnesses and the average stiffness ratio G_{hh}/G_{hv} is 1.01, since the intact
602 structure is destroyed and more isotropic and less stable structure is formed during
603 specimen reconstitution.

604

605 During shearing, for undisturbed loess, G_{hh}/G_{hv} decreases as stress ratio η increases,
606 the effect of inherent structure anisotropy has been gradually cancelled by the
607 increasing stress anisotropy. After η becomes stable, as sheared to large strains the
608 intact structure destruction occurs, then G_{hh}/G_{hv} decreases further and the specimen
609 turns to be anisotropic again around the critical state. While for reconstituted loess,
610 G_{hh}/G_{hv} decreases as stress ratio η increases, and the specimen turns from isotropic to
611 anisotropic gradually as shearing continues. It becomes stable at the critical state and
612 there is no obvious influence of structure destruction observed. It then can be further
613 inferred that when the effect of intact structure of undisturbed loess is fully erased, it
614 will tend toward the same anisotropy as the reconstituted loess at last.

615

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623

624 **Notations**

625 NCL normal compression line

626 CSL critical state line

627 G_{vh}, G_{vh} small strain shear stiffness in vertical plane628 G_{hh} small strain shear stiffness in horizontal plane629 p_r reference stress taken as 1kPa630 e void ratio631 $f(e)$ function of void ratio632 S_{vh}, S_{hh} soil small strain shear stiffness parameter633 n_v, n_h soil small strain shear stiffness parameter634 σ'_v effective principal stresses in vertical direction635 σ'_h effective principal stresses in horizontal direction636 p' mean effective stress637 D_{50} mean particle size638 q deviatoric stress639 e_0 initial void ratio before shearing640 p'_0 initial mean effective stress before shearing

-
- 641 ε_v volumetric strain
- 642 Δu excess pore water pressure
- 643 η stress ratio
- 644 v specific volume
- 645 ε_a axial strain
- 646 ε_r radial strain
- 647 $\Delta\varepsilon_a$ increment of axial strain
- 648 $\Delta\varepsilon_r$ increment of radial strain
- 649 $\Delta\varepsilon_s$ initial increment of shear strain
- 650 Δq initial increment of deviatoric stress
- 651 G_0 initial shear stiffness

652

653

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