

## Short Communication

# Calculation of bearing capacity of a strip footing using an upper bound method

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### 1. INTRODUCTION

The upper bound theorem of plasticity as a useful technique to solve the geotechnical problems has been applied widely and extensively to bearing capacity analysis [1–7]. Using the upper-bound theorem, Chen [1] determined the three factors of bearing capacity individually by assuming a reasonable failure mechanism. Michalowski [6] and Soubra [7] presented alternative upper bound methods to determine the three bearing capacity factors by using optimization techniques.

In practice, the ultimate bearing capacity is obtained by the superposition of influences of three contributions of cohesion  $c$ , surcharge load  $q$  and unit weight of soil  $\gamma$ . Chen [1], Michalowski [6], Soubra [7] and Griffiths [8], have found that the ultimate bearing capacity obtained by considering the joined influences of the three factors for cohesion, surcharge load and unit weight of soil is greater than that obtained by superposition of the influences using the three factors determined individually. Michalowski [6] presents that the bearing capacity factors depend not only the internal friction angle  $\phi$ , but also other material parameters, when the joined influences of cohesion  $c$ , surcharge load  $q$  and unit weight of soil  $\gamma$  are considered simultaneously.

Donald and Chen [9] proposed an upper-bound method to study the stability of the slopes. This method is extended in this paper to study the bearing capacity of a footing with the associated computer program modified. The objective of this paper is to seek the most reasonable failure mechanism by using the upper-bound approach and an optimization method for the calculation of the bearing capacity of a strip footing on soils without or with the joined influences of the cohesion, surcharge load and soil weight. The three bearing capacity factors are obtained

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by considering both joined influence and individual influence in two different approaches. The values of the three factors obtained in the two approaches are compared to each other and to the published results. The critical slip lines (or failure mechanisms) for the joined influences and individual influences are presented and discussed.

## 2. GENERAL EQUATION OF THE BEARING CAPACITY PROBLEM

Unless specially mentioned in this paper, a strip footing is located on a homogenous and rigid-plastic soil medium under a plane strain condition. The soil above the footing base is replaced with a surcharge load. The ultimate bearing pressure  $q_u$  of the footing is equal to the ultimate load that the foundation soil can hold at the state of incipient failure divided by the strip footing area and can be generally expressed in the form (Terzaghi [10])

$$q_u = cN_c + qN_q + 0.5\gamma BN_\gamma \quad (1)$$

where  $N_c$ ,  $N_q$ ,  $N_\gamma$  are three bearing capacity factors related to the cohesion  $c$ , the surcharge pressure  $q$  and the unit weight of the soil  $\gamma$ , respectively.

## 3. THE UPPER-BOUND THEOREM FOR BEARING CAPACITY ANALYSIS

### 3.1. Multi-wedge discretization system

Donald and Chen [9] proposed a multi-wedge discretization system for slope stability analysis. The same discretization mode is extended in this paper for bearing capacity analysis. The plastic zone above the assumed slip surface is divided into a number of wedges with inclined interfaces. Each of wedges moves as a rigid body. The plastic energy dissipation occurs at the interfaces between adjoining wedges and at the base of wedges. Figure 1 shows a  $n$ -wedge discretization system, in which only one wedge ABC is beneath the strip footing.

It is assumed that the magnitude of velocity of the first left wedge (No. 1 in Figure 1) in the overall failure mechanism is unit since the absolute value of the velocity has no influence on the final results. The velocity direction of wedge No. 1 is inclined at an angle of  $\phi_1$  to the base of the wedge. If the magnitude and direction of the first wedge is known, the absolute velocities of other wedges and relative velocities at interfaces can be easily determined from velocity analysis [9]. Thus, the overall kinematically admissible velocity field within assumed failure mechanism could be determined.

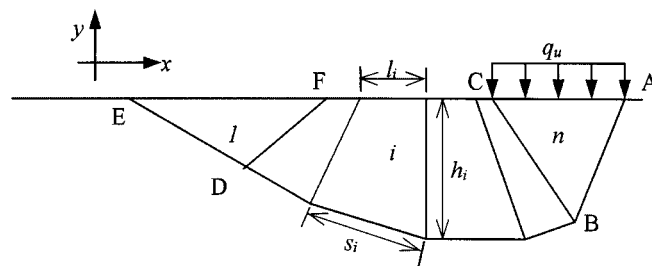


Figure 1. Failure mechanism for the bearing capacity analysis.

### 3.2. Ultimate bearing capacity $q_u$ and general bearing capacity factors $N_c$ , $N_q$ and $N_\gamma$

According to the  $n$ -wedge discretization of soil mass under the strip footing and the kinematically admissible velocity field determined previously, the work-energy balance equation for upper bound analysis is written as

$$\sum_{i=1}^n \dot{D}_i^s + \sum_{i=1}^{n-1} \dot{D}_i^j = \sum_{i=1}^{n-1} \dot{W}_q + \sum_{i=1}^n \dot{W}_\gamma + q_u^* BV^* \quad (2)$$

where  $\sum_{i=1}^n \dot{D}_i^s$  is the summation of rate of energy dissipation along the base of each wedge and  $\sum_{i=1}^{n-1} \dot{D}_i^j$  is the summation of rate of energy dissipation along the interface between wedges. The terms  $\sum_{i=1}^{n-1} \dot{W}_q$ ,  $\sum_{i=1}^n \dot{W}_\gamma$  and  $q_u^* BV^*$  are the rates of work done by the surcharge load, the weight of each wedge and the pressure acting on the footing, respectively. By calculating each term in Equation (2) according to Donald and Chen [9], the general equation of bearing capacity of footing using the upper-bound method can be given as

$$q_u^* = \left\{ \sum_{i=1}^n (c_i s_i V_i \cos \phi_i) + \sum_{i=1}^{n-1} (c_i^j h_i V_i^j \cos \phi_i^j) - q \sum_{i=1}^{n-1} [l_i \sin(\alpha_i - \phi_i) V_i] - \sum_{i=1}^n [W_i \sin(\alpha_i - \phi_i) V_i] \right\} / [BV_n \sin(\alpha_n - \phi_n)] \quad (3)$$

where the superscript '\*' in  $q_u^*$  denotes that the pressure on the footing is determined based on an assumed (or trial) failure mechanism. The real bearing capacity of footing, that is, the ultimate bearing capacity is obtained using an optimization method to search for the minimum value of  $q_u^*$  in a large number of reasonable failure mechanisms. In Equation (3),  $c_i$  and  $\phi_i$  are the cohesion and friction angle of soil on the base of Wedge No.  $i$  respectively. The  $c_i^j$  and  $\phi_i^j$  are the cohesion and friction angle on the interface between wedges No.  $i$  and No.  $i - 1$ . The  $l_i$ ,  $s_i$ ,  $h_i$  are the length of the topside, the base and interface of wedge No.  $i$ , respectively.

If the water pressure is not considered, the comparison of Equation (3) with Equation (1) indicates that the three bearing capacity factors given by

$$N_c^* = \left[ \sum_{i=1}^n (s_i V_i \cos \phi_i) + \sum_{i=1}^{n-1} (h_i V_i^j \cos \phi_i^j) \right] / [BV_n \sin(\alpha_n - \phi_n)] \quad (4)$$

$$N_q^* = \left[ - \sum_{i=1}^{n-1} l_i \sin(\alpha_i - \phi_i) V_i \right] / [BV_n \sin(\alpha_n - \phi_n)] \quad (5)$$

$$N_\gamma^* = \left[ - \sum_{i=1}^n (W_i \sin(\alpha_i - \phi_i) V_i) \right] / [V_n \sin(\alpha_n - \phi_n) 0.5\gamma] \quad (6)$$

The final bearing capacity factors  $N_c$ ,  $N_q$  and  $N_\gamma$  are the values of  $N_c^*$ ,  $N_q^*$ ,  $N_\gamma^*$  which make  $q_u^*$  minimum [11, 12]. It should be noted that the bearing capacity calculated by Equation (3) is equivalent to the bearing capacity for a rough footing on soil, that is, there is no sliding between the footing and the soil [7].

## 4. NUMERICAL SOLUTIONS OF $N_c$ , $N_q$ , $N_\gamma$ AND $q_u$

Previous researchers normally find three factors  $N_c$ ,  $N_q$  and  $N_\gamma$  one by one with a final failure mechanism for each influence of cohesion  $c$ , surcharge  $q$  and unit weight of soil  $\gamma$ . As matter of

fact, these influences are coupled [6, 8]. Furthermore, the final failure mechanism of the coupled influences may not be the same as that for each individual influence.

Without the influence of water pressure, Equation (3) based on the upper-bound theorem can be used readily to seek the most reasonable failure mechanism for the joined (or coupled) influence or individual influence. To consider the joined influences, the cohesion  $c$ , surcharge  $q$ , and unit weight of soil  $\gamma$  are non-zero simultaneously. The final failure mechanism is determined by minimizing Equation (3). Once the final failure mechanism is determined, the bearing capacity factors are also determined using Equations (4)–(6), which correspond to the minimal value of the bearing capacity of a footing  $q_u$ . The above method is called Method 1, the corresponding bearing capacity factors are denoted as  $\tilde{N}_c, \tilde{N}_q, \tilde{N}_\gamma$  (called joined bearing capacity factors).

To obtain the conventional bearing capacity factors  $N_c, N_q, N_\gamma$  individually, for example,  $N_c$ ,  $q$  and  $\gamma$  are set to be zero in Equation (3). The factor  $N_c$  is then obtained by minimizing Equation (3) with a corresponding final failure mechanism. Similarly, the minimal value of  $N_q$  can be obtained by neglecting  $c$  and  $\gamma$ . The minimal value of  $N_\gamma$  is obtained by neglecting  $c$  and  $q$ . The bearing capacity factors determined individually in the above way are denoted as  $N_c, N_q, N_\gamma$ , which are referred to as individual bearing capacity factors. The overall bearing capacity of footing  $q_u$  is determined by the superposition method. Herein, the method of determining the individual bearing capacity factors is called Method 2.

The relationship of the joined bearing capacity factors  $\tilde{N}_c, \tilde{N}_q, \tilde{N}_\gamma$  and the individual factors  $N_c, N_q, N_\gamma$  and the difference in the associated final failure mechanisms are studied in this paper. A strip rough footing with width of 1 m rests on a soil with 10 kN/m<sup>2</sup> of cohesion, 30° of friction angle, 18.0 kN/m<sup>3</sup> of unit weight, and 10 kN/m<sup>2</sup> of surcharge pressure [7]. The minimal values of individual bearing capacity factors  $N_c, N_q, N_\gamma$  are found to be 30.2, 18.5, 24.21, respectively with the corresponding failure mechanisms shown in Figure 2(a), (b) and (c).

Using the method of superposition and the value of individual bearing capacity factors  $N_c, N_q, N_\gamma$ , the overall bearing capacity of the footing  $q_{\text{super}}$  is 704.89 kN/m<sup>2</sup>. If considering the joined influences of cohesion, surcharge and unit of weight of soil, the joined bearing capacity factors  $\tilde{N}_c, \tilde{N}_q, \tilde{N}_\gamma$  are found to be 31.48, 18.64, 26.11, respectively. The corresponding failure mechanism is shown in Figure 2(d) with an overall bearing capacity  $q_u$  of 732.36 kN/m<sup>2</sup>. A comparison of slip surfaces for individual influence of  $N_c, N_q, N_\gamma$  and the joined influence is shown in Figure 2(e). The differences are apparent. All calculated values of the three factors in comparison with those obtained by Soubra [7] are presented in Table I.

It can be seen in Table I that bearing capacity factors  $\tilde{N}_c$  and  $N_c$  or  $\tilde{N}_q$  and  $N_q$  are very close. But the value of  $\tilde{N}_\gamma$  obtained using Method 1 (considering the joined influence) is 8.61 per cent greater than the value of  $N_\gamma$  obtained using Method 2. The ultimate bearing capacity determined by Method 1 (considering the joined influences) is greater than that by the simple superposition method. Michalowski [6], Soubra [7] and Griffiths [8] had the same observation, which implied that the superposition effect contributed by three individual factors is on the safe side.

To further explore the relation of the joined bearing capacity factors  $\tilde{N}_c, \tilde{N}_q, \tilde{N}_\gamma$  with the individual factors  $N_c, N_q, N_\gamma$ , a strip footing of 1 m width on a homogenous soil is considered. The cohesion  $c$ , unit weight of soil  $\gamma$  and the surcharge  $q$  are 5, 20 and 10 kN/m<sup>2</sup>, respectively. The friction angle  $\phi$  varies from 10 to 45°. The final results are summarized in Table II. The variations of  $\tilde{N}_c, \tilde{N}_q, \tilde{N}_\gamma$  and  $N_c, N_q, N_\gamma$  with friction angle  $\phi$  are shown in Figures 3(a)–(c).

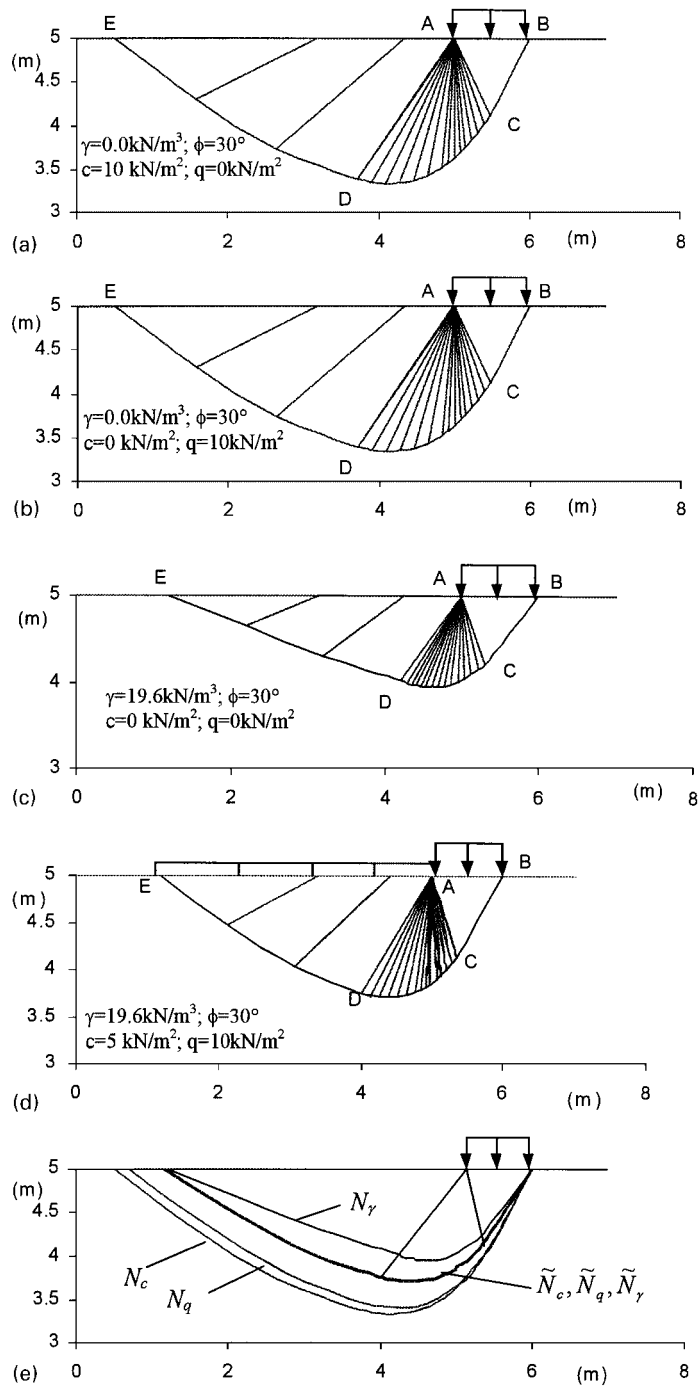


Figure 2. Comparison of failure mechanisms for bearing capacity problem.

Table I. Comparison of bearing capacity factors.

	$N_c$ or $\tilde{N}_c$	$N_q$ or $\tilde{N}_q$	$N_\gamma$ or $\tilde{N}_\gamma$	$q_u$ or $q_{\text{super}}$ (kN/m <sup>2</sup> )
Present method 1	31.48	18.64	26.11	736.19
Present method 2	30.20	18.50	24.21	704.89
Soubra's method 1				726.13
Soubra's method 2	30.25	18.46	21.88	680.58

Note. Soubra's method 1 determines the overall bearing capacity of the same footing considering the joined influence. Soubra's method 2 determines the bearing capacity of footing by superposition using individual bearing capacity factors (Soubra [7]). Soubra [7] did not give values of the joined bearing capacity factors.

Table II. Comparison of joined factors  $\tilde{N}_c$ ,  $\tilde{N}_q$ ,  $\tilde{N}_\gamma$  with individual factors  $N_c$ ,  $N_q$ ,  $N_\gamma$ .

$\phi$ (deg.)	Present method 1—Joined factors				Present method 2—Individual factors				
	$\tilde{N}_c$	$\tilde{N}_q$	$\tilde{N}_\gamma$	$q_u$ (kN/m <sup>2</sup> )	$N_c$	$N_q$	$N_\gamma$	$q_{\text{super}}$ (kN/m <sup>2</sup> )	$(q_u - q_{\text{super}})/q_u$ (%)
10	9.74	1.98	2.41	96.2	8.64	2.63	1.67	86.2	7.4
11	10.59	2.39	2.61	102.95	9.35	2.74	1.95	93.65	9.9
12	10.98	2.62	3.00	111.16	9.78	3.09	2.26	102.4	8.6
13	11.17	2.98	3.58	121.45	10.24	3.35	2.60	110.7	8.9
14	11.90	3.12	3.93	129.95	10.85	3.63	2.99	120.45	7.9
15	12.47	3.39	4.53	141.54	11.38	4.11	3.53	133.3	6.2
16	13.11	3.94	5.10	155.6	12.05	4.47	3.93	144.25	7.9
17	13.72	4.53	5.71	170.95	12.69	4.83	4.45	156.25	9.4
18	14.47	5.19	6.36	187.35	13.42	5.34	5.19	172.4	8.7
19	15.44	5.61	7.11	204.33	14.21	5.74	5.76	186.05	9.8
20	16.13	5.81	8.01	218.90	15.00	6.47	6.56	205.3	6.6
21	16.91	6.49	9.11	240.57	16.05	7.08	7.45	225.55	6.7
22	18.16	7.21	10.04	263.37	16.86	7.78	8.34	245.5	7.3
23	19.24	8.76	11.27	296.46	18.23	8.59	9.68	273.85	8.3
24	20.33	9.14	12.85	321.6	19.50	9.67	11.16	305.8	5.2
25	21.83	10.74	14.12	357.79	20.80	10.72	12.26	333.8	7.2
26	23.42	11.96	15.80	394.68	22.34	11.80	14.10	370.7	6.5
27	25.24	13.49	17.89	436.87	24.00	13.04	16.07	411.10	6.3
28	26.74	13.6	20.95	479.2	25.80	14.75	18.44	460.9	4.0
29	29.10	16.33	22.97	538.52	27.80	16.42	21.06	513.8	4.8
30	31.70	18.75	25.97	605.72	30.20	18.5	24.21	578.1	4.6
31	34.36	20.61	29.92	677.13	32.86	20.00	28.05	644.8	5.0
32	37.79	24.22	34.38	774.97	35.60	23.25	32.82	738.7	4.9
33	41.29	27.36	39.40	874.02	38.72	26.10	37.51	829.7	5.3
34	45.39	30.85	45.94	994.7	42.50	29.86	44.04	951.5	4.5
35	50.18	35.66	53.60	1143.52	46.50	33.12	50.94	1073.1	6.6
36	54.48	38.73	67.21	1331.32	51.25	37.84	60.60	1240.65	7.4
37	60.40	43.74	78.78	1527.32	55.90	43.39	70.83	1421.70	7.4
38	67.66	52.31	93.76	1797.80	62.57	47.72	84.64	1636.45	9.9
39	75.88	60.76	110.34	2090.41	68.24	54.95	101.78	1908.5	9.5
40	85.56	70.62	129.66	2430.72	75.90	64.90	122.95	2258.00	7.6
41	96.22	83.79	156.93	2888.39	85.61	74.90	148.28	2659.85	8.6
42	106.91	93.45	189.84	3367.45	98.42	87.90	181.39	3185.00	5.7
43	120.59	109.83	231.68	4017.76	109.21	104.47	220.51	3795.85	5.8
44	137.59	131.28	284.24	4843.25	123.69	119.19	270.01	4510.45	7.4
45	157.17	154.69	353.27	5856.52	141.38	142.34	331.22	5442.50	7.8

Note. The strength parameters used in this Table are cohesion  $c = 5$  kN/m<sup>2</sup>, surcharge load  $q = 10$  kN/m<sup>2</sup>, and unit weight of soil  $\gamma = 20$  kN/m<sup>3</sup>. The width of footing  $B = 1$  m.

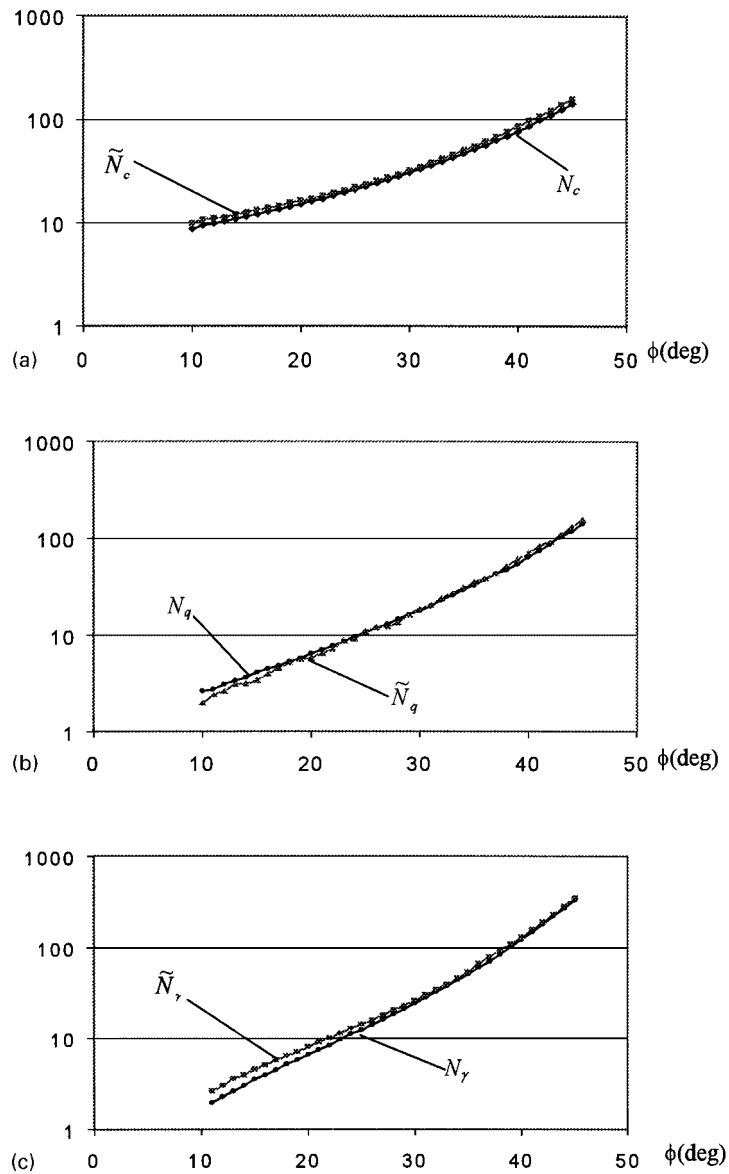


Figure 3. Comparison of bearing capacity factors.

Figure 3 shows that the joint bearing capacity factors  $\tilde{N}_c$  and  $\tilde{N}_\gamma$  are greater than the individual factors  $N_c$  and  $N_\gamma$ . The  $N_q$  is almost the same as the individual factor  $\tilde{N}_q$ . The overall bearing capacity  $q_u$  of the footing with joint influences are greater than  $q_{\text{super}}$  determined by the superposition method. The relative difference is within 10 per cent.

## 5. COMPARISON OF PRESENT RESULTS WITH OTHER PUBLISHED RESULTS

### 5.1. $N_\gamma$ factor

As well known, there have been a great number of solutions for  $N_\gamma$  in the literatures using different methods. The differences among these solutions are substantial. The equations for the  $N_\gamma$  factor given by Terzaghi [10], Meyerhof [13] and Vesic [14] are as follows:

$$N_\gamma(\text{Terzaghi}) = \frac{\tan \phi}{2} \left( \frac{K_{p\gamma}}{\cos^2 \phi} - 1 \right) \quad (7)$$

for rough footing [10]

$$N_\gamma(\text{Meyerhof}) = (N_q - 1) \tan(1.4\phi) \quad (8)$$

$$N_\gamma(\text{Vesic}) = 2(N_q + 1) \tan \phi \quad (9)$$

In addition, Bolton and Lau [6] proposed the following equation for rough footing by the slip-line method:

$$N_\gamma(\text{Bolton \& Lau}) \approx (N_q - 1) \tan(1.5\phi) \quad (10)$$

It should be noted that all the above methods consider the influence of the unit weight of soil individually.

Values of  $N_\gamma$  obtained by Terzaghi [10], Meyerhof [13], Vesic [14] and Bolton and Lau [15] are tabulated in Table III in comparison with the results obtained by present methods. Figure 4 shows a comparison of the  $N_\gamma$  vs. friction angle  $\phi$ . It can be seen that  $N_\gamma$  factor of present Method 2 (not considering the joined influence) is close to that given by Bolton and Lau [15]. However, values of  $N_\gamma$  factor of present Method 1 (considering the joined influence) are greater than all other values as shown in Table III.

Chen [1] gave rigorous upper-bound solution in the framework of the limit analysis theory, based on the Prandtl failure mechanism, which is composed of triangular active wedge beneath the footing, two radial log-spiral shear zones and two triangular passive wedges. Michalowski [6] proposed an upper-bound method considering all joined influences of cohesion, surcharge and soil weight, however, the final factor  $N_\gamma$  is determined by considering the individual influence of unit weight of soil in accordance with other existing proposals. Soubra [7] gave the numerical solution based on the upper bound theorem. The upper-bound solutions given by the present

Table III. Comparison of present  $N_\gamma$  values with those in the literatures.

$\phi$ (°)	Present method 1	Present method 2	Terzaghi [10]	Meyerhof [13]	Vesic [14]	Bolton and Lau [15]
20	8.01	6.56	5.0	2.87	5.39	5.97
25	14.12	12.26	9.7	6.77	10.88	11.6
30	25.97	24.21	19.7	15.67	22.4	23.6
35	53.60	50.94	42.4	37.15	48.03	51.0
40	129.66	122.95	100.4	93.69	109.41	121.0
45	353.27	331.22	297.5	262.74	271.76	324.0



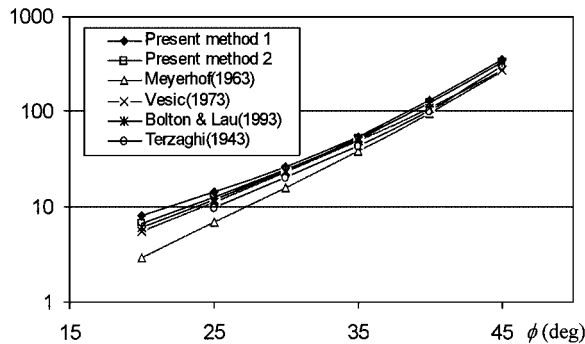


Figure 4. Comparison of present  $N_y$  factor with results of other authors.

Table IV. Comparison of present  $N_y$  with results by other upper-bound methods.

$\phi$ (°)	Present method 1	Present method 2	Chen [1]	Michalowski [6] (rough)	Soubra's [7] method 2
20	8.01	6.56	5.87	4.47	4.67
25	14.12	12.26	12.4	9.77	10.06
30	25.97	24.21	26.7	21.39	21.88
35	53.60	50.94	60.2	48.68	49.62
40	129.66	122.95	147.0	118.83	120.96
45	353.27	331.22	401.0	322.84	328.88

methods and those given by Chen [1], Michalowski [6] and Soubra [7] are listed in Table IV. Figure 5 shows a comparison of the  $N_y$  vs. friction angle  $\phi$ . The solutions of present Method 2 (not considering the joined influence) are close to those given by Michalowski [6] and Soubra [7]. However solutions of Method 1 (considering the joined influences) are close to those given by Chen [1].

### 5.2. $N_c$ and $N_q$ factors

In the literature  $N_c$  and  $N_q$  obtained with different methods are generally expressed in the following forms:

$$N_c = (N_q - 1) \cot \phi \quad (11)$$

$$N_q = e^{\pi \tan \phi} \tan^2 (45 + \phi/2) \quad (12)$$

A comparison of present solutions to  $N_c$  with results of Equation (11) and Soubra's upper bound numerical solutions [7] is listed in Table V. Similarly, a comparison of  $N_q$  is listed in Table VI. It can be seen from Tables V and VI that the  $N_c$  and  $N_q$  of present Method 2 (not considering the joined influence) are basically identical with those of other methods. However, the  $N_c$  and  $N_q$  of present Method 1 (considering the joined influence) are slightly greater than those of other methods.

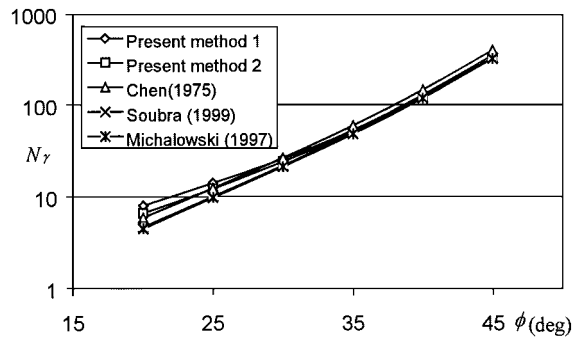


Figure 5. Comparison of present  $N_\gamma$  factor with results of upper bound methods.

Table V. Comparison of present  $N_c$  with those of other methods.

$\phi$ (°)	Present method 1	Present method 2	Equation (11)	Soubra's [7] method 2
20	16.13	15.00	14.83	14.87
25	21.83	20.80	20.71	20.78
30	31.70	30.20	30.13	30.25
35	50.18	46.50	46.33	46.35
40	85.56	75.90	75.25	75.80
45	157.17	141.38	133.73	135.09

Table VI. Comparison of present  $N_q$  with those of other methods.

$\phi$ (°)	Present method 1	Present method 2	Equation (12)	Soubra's [7] method 2
20	5.81	6.47	6.4	6.41
25	10.74	10.72	10.7	10.69
30	18.75	18.16	18.4	18.46
35	35.66	33.12	33.4	33.43
40	70.62	64.90	64.1	64.55
45	154.69	141.38	134.70	135.91

## 6. CONCLUSIONS

The present methods, which are based on the upper-bound theorem, derive a general bearing capacity equation of strip footing by considering both joined influence and individual influence of cohesion, surcharge load and unit weight of soil. The most reasonable failure mechanism should be searched for among all the kinematically admissible ones by the optimization method. The bearing capacity factors considering both joined influence and individual influence have been obtained and compared to results published in literatures.

Based on the above analysis and results presented, the following conclusions may be drawn:

- (a) The failure mechanism of the rough footing bearing capacity problem for the joined influence is different from  $N_c$ ,  $N_q$ ,  $N_\gamma$  mechanism considering each individual influence.
- (b) The bearing capacity factor considering the unit weight of soil for the joined influence is larger than that for the individual influence. The overall bearing capacity of the footing for the joined influence is larger than that obtained by the superposition method using individual factors.
- (c) The results obtained by the present methods starting with a more general failure mechanism are close to those by Michalowski [6] and Soubra [7]. The present methods can be extended to solve more complicated bearing capacity problems.

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