

# Load-Settlement Modeling of Axially Loaded Drilled Shafts using CPT-Based Recurrent Neural Networks

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**Abstract:** The design of pile foundations requires good estimation of the pile load-carrying capacity and settlement. Design for bearing capacity and design for settlement have been traditionally carried out separately. However, soil resistance and settlement are influenced by each other and the design of pile foundations should thus consider the bearing capacity and settlement in-separately. This requires the full load-settlement response of piles to be well predicted. However, it is well known that the actual load-settlement response of pile foundations can only be obtained by load tests carried out in-situ, which are expensive and time-consuming. In this technical note, recurrent neural networks (RNNs) were used to develop a prediction model that can resemble the full load-settlement response of drilled shafts (bored piles) subjected to axial loading. The developed RNN model was calibrated and validated using several in-situ full-scale pile load tests, as well as cone penetration test (CPT) data. The results indicate that the RNN model has the ability to reliably predict the load-settlement response of axially loaded drilled shafts and can thus be used by geotechnical engineers for routine design practice.

**Keywords:** Drilled shafts; Bored piles; Load-settlement; Modeling; Recurrent neural networks.

## 51 **Introduction**

52 Bearing capacity and settlement are the two main criteria that govern the design process of  
53 pile foundations so that safety and serviceability requirements are achieved. Design for  
54 bearing capacity is carried out by determining the allowable pile load, which is obtained by  
55 dividing the ultimate pile load by an assumed factor of safety. Design for settlement, on the  
56 other hand, consists of obtaining the amount of settlement that occurs when the allowable  
57 load is applied to the pile, causing the soil to consolidate or compress. Design for bearing  
58 capacity and design for settlement have been traditionally carried out separately. However,  
59 Fellenius (1988) stated that: “*The allowable load on the pile should be governed by a*  
60 *combined approach considering soil resistance and settlement inseparately acting together*  
61 *and each influencing the value of the other*”. In addition, there is a strong argument regarding  
62 the definition of the ultimate pile load and many methods have been proposed in the  
63 literature, some result in interpreted ultimate loads that greatly depend on judgement and the  
64 shape of the load-settlement curve. Consequently, for design purposes, the full load-  
65 settlement response of piles needs to be well predicted and simulated; the designer can thus  
66 decide the ultimate load and comply with the serviceability requirement.

67 Good prediction of the full load-settlement response of pile foundations needs a thorough  
68 understanding of the load transfer along the pile length, which is complex, indeterminate and  
69 difficult to quantify (Reese et al. 2006). The actual load-settlement response of pile  
70 foundations can only be obtained by carrying out load tests in-situ, which is expensive and  
71 time-consuming. On the other hand, the load-settlement response of pile foundations can be  
72 estimated using many methods available in the literature. However, due to many  
73 complexities, these available methods, by necessity, simplify the problem by incorporating  
74 several assumptions associated with the factors that affect the pile behaviour. Therefore, most  
75 existing methods failed to achieve consistent success in relation to predictions of pile

76 capacity and corresponding settlement. In this respect, the artificial intelligence techniques  
77 such as artificial neural networks (ANNs) will be efficient as they can resemble the in-situ  
78 full-scale pile load tests without the need for any assumptions or simplifications. ANNs are a  
79 data mining statistical approach that has proved its potential in many applications in  
80 geotechnical engineering and interested readers are referred to Shahin et al. (2001), where the  
81 pre-2001 applications are reviewed in some detail, and Shahin et al. (2009) and Shahin  
82 (2013), where the post-2001 applications are briefly examined or acknowledged. In recent  
83 years, ANNs have been used with varying degrees of success for prediction of axial and  
84 lateral bearing capacities of pile foundations in compression and uplift, including driven piles  
85 ( Chan et al. 1995; Goh 1996; Lee and Lee 1996; Teh et al. 1997; Abu-Kiefa 1998; Goh et al.  
86 2005; Das and Basudhar 2006; Pal 2006; Shahin and Jaksa 2006; Ahmad et al. 2007; Ardalan  
87 et al. 2009; Shahin 2010; Alkroosh and Nikraz 2011) and drilled shafts (Goh et al. 2005;  
88 Shahin 2010; Alkroosh and Nikraz 2011). However, to the author's best knowledge, ANNs  
89 have not been previously used for modelling load-settlement response of pile foundations and  
90 this technical note will fill in part of this gap.

91 In this paper, the feasibility of using one of ANN techniques, i.e. recurrent neural  
92 networks (RNNs), is investigated for modelling load-settlement response of drilled shafts (or  
93 bored piles) subjected to axial loading. As mentioned by Briaud et al. (1986), the problem of  
94 piles all in sand or all in clay seems to be handled reasonably well by many methods;  
95 however, the difficulty arises when the piles are embedded through layered soils. Moreover,  
96 Bovolenta (2003) indicated that the design of large diameter bored piles, with particular  
97 attention to those embedded in sand, is quite complex because of the influence of many  
98 factors that are not simple to estimate or take into account. In the current work, the RNN  
99 model is developed for any soil type including layered soils and is valid for bored piles up to  
100 1798 mm in diameter. To facilitate the use of developed RNN model for routine use by

101 practitioners, the model was translated into an executable program that is made available for  
102 interested readers upon request.

103

#### 104 **Overview of recurrent neural networks**

105 The type of artificial neural networks used in this study are multilayer perceptrons (MLPs)  
106 that are trained with the back-propagation algorithm (Rumelhart et al. 1986). A  
107 comprehensive description of backpropagation MLPs is beyond the scope of this technical  
108 note but can be found in Fausett (1994). The typical MLP consists of a number of processing  
109 elements or nodes that are arranged in layers: an input layer; an output layer; and one or more  
110 intermediate layers called hidden layers. Each processing element in a specific layer is linked  
111 to the processing element of the other layers via weighted connections. The input from each  
112 processing element in the previous layer is multiplied by an adjustable connection weight.  
113 The weighted inputs are summed at each processing element, and a threshold value (or bias)  
114 is either added or subtracted. The combined input is then passed through a nonlinear transfer  
115 function (e.g. sigmoidal or tanh function) to produce the output of the processing element.  
116 The output of one processing element provides the input to the processing elements in the  
117 next layer. The propagation of information in MLPs starts at the input layer, where the  
118 network is presented with a pattern of measured input data and the corresponding measured  
119 outputs. The outputs of the network are compared with the measured outputs, and an error is  
120 calculated. This error is used with a learning rule to adjust the connection weights to  
121 minimize the prediction error. The above procedure is repeated with presentation of new  
122 input and output data until some stopping criterion is met. Using the above procedure, the  
123 network can obtain a set of weights that produces input-output mapping with the smallest  
124 possible error. This process is called “training” or “learning”, which once has been

125 successful, the performance of the trained model has to be verified using an independent  
126 validation set.

127 In simulations of the typical non-linear response of pile load-settlement curves, the  
128 current state of load and settlement governs the next state of load and settlement; thus,  
129 recurrent neural networks (RNNs) are recommended. The RNNs proposed by Jordan (1986)  
130 imply an extension of the MLPs with current-state units, which are processing elements that  
131 remember past activity (i.e. memory units). RNNs then have two sets of input neurons: plan  
132 units and current-state units (see Fig. 1). At the beginning of the training process, the first  
133 pattern of input data is presented to the plan units while the current-state units are set to zero.  
134 As mentioned earlier, the training proceeds, and the first output pattern of the network is  
135 produced. This output is copied back to the current-state units for the next input pattern of  
136 data. The RNN model development for load-settlement response of drilled shafts is described  
137 in detail below.

138

### 139 **Development of RNN model**

140 In this work, the RNN model was developed with the computer-based software package  
141 Neuroshell 2, Release 4.2 (Ward 2007). The data used to calibrate and validate the model  
142 were obtained from the literature and included a series of 38 in-situ full-scale pile load-  
143 settlement tests reported by Alsaman (1995). The tests were conducted on sites of different  
144 soil types and geotechnical conditions, ranging from cohesive clays to cohesionless sands  
145 including layered soils. The pile load tests include compression loading conducted on straight  
146 and belled concrete shafts, and the drilled shafts used had stem diameters ranging from 305 to  
147 1798 mm and embedded lengths from 6 to 27.4 m.

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149

## 150 **Model inputs and outputs**

151 Seven factors affecting the capacity of drilled shafts were presented to the plan units of the  
152 RNN as potential model input variables (Fig. 2). These include the pile stem diameter,  $D$ ,  
153 ratio of the pile belled diameter to stem diameter,  $B/D$ , pile embedment length,  $L$ , weighted  
154 average cone point resistance over pile tip failure zone,  $\bar{q}_{c-tip}$ , weighted average friction ratio  
155 over pile tip failure zone,  $\bar{f}_{R-tip}$ , weighted average cone point resistance over pile embedment  
156 length,  $\bar{q}_{c-shaft}$ , and weighted average friction ratio over pile embedment length,  $\bar{f}_{R-shaft}$ . The  
157 friction ratio,  $f_R$ , is the ratio of the cone point resistance,  $q_c$ , to the cone sleeve friction,  $f_s$ ,  
158 i.e.  $f_R = f_s / q_c$ . The current state units of the RNN were represented by three input variables  
159 including the axial strain,  $\varepsilon_{a,i}$ , (= pile settlement/pile diameter), axial strain increment,  $\Delta\varepsilon_{a,i}$ ,  
160 and pile load,  $Q_i$ . The single model output variable is the pile load at the next state of  
161 loading,  $Q_{i+1}$ .

162 In this study, an axial strain increment that increases by 0.05% was used, in which  $\Delta\varepsilon_{a,i}$   
163 = (0.1, 0.15, 0.2, ..., 1.0, 1.05, 1.1, ...) were utilized. As recommended by Penumadu and  
164 Zhao (1999), using varying strain increment values results in good modelling capability  
165 without the need for a large size training data. Because the data points needed for RNN  
166 model development were not recorded at the above strain increments in the original pile load-  
167 settlement tests, the load-settlement curves were digitized to obtain the required data points.  
168 This was carried out using Microcal Origin Version 6.0 (Microcal 1999) and implementing  
169 linear interpolation. A range between 14 to 28 training patterns was used to represent a single  
170 pile load-settlement test, depending on the maximum strain values available for each test. It  
171 should be noted that the following conditions were applied to the input and output variables  
172 used in the RNN model:

- 173 • The pile tip failure zone over which  $\bar{q}_{c-tip}$  and  $\bar{f}_{R-tip}$  were calculated is taken in  
 174 accordance with Alsamman (1995), equal to one diameter beneath the drilled shaft base.
- 175 • Both the values of cone point resistance and friction ratio are incorporated as model  
 176 inputs, allowing the soil type (classification) to be implicitly considered in the RNN  
 177 model. However, it worthwhile noting that records of cone sleeve friction,  $f_s$ , used to  
 178 calculate the friction ratio,  $f_R$ , were not available in the database used; thus, the values of  
 179  $f_s$  were calculated from the corresponding values of  $q_c$  using the curves provided in  
 180 Alsamman (1995).
- 181 • Several CPT tests used in this work include mechanical rather than electric CPT data, thus  
 182 it was necessary to convert the mechanical CPT readings into equivalent electric CPT  
 183 values as the electric CPT is the one that is commonly used at present. This is carried out  
 184 for the cone point resistance using the following correlation proposed by Kulhawy and  
 185 Mayne (1990):

186

$$187 \left( \frac{q_c}{p_a} \right)_{Electric} = 0.47 \left( \frac{q_c}{p_a} \right)_{Mechanical}^{1.19} \quad (1)$$

188

- 189 • For the cone sleeve friction, the mechanical cone gives higher reading than the electric  
 190 cone in all soils with a ratio in sands of about 2, and 2.5–3.5 for clays (Kulhawy and  
 191 Mayne 1990). In the current work, a ratio of 2 was used for sands and 3 for clays.
- 192

193 **Data division and preprocessing**

194 The next step in development of the RNN model is dividing the available data into their  
 195 subsets. In this work, the data were randomly divided into two sets: a training set for model  
 196 calibration and an independent validation set for model verification. In total, 34 in-situ pile

197 load tests were used for model training and 4 tests for model validation. A summary of the  
198 data used in the training and validation sets as well as the minimum values, maximum values,  
199 ranges and averages, is given in Table 2. Once the available data are divided into their  
200 subsets, the input and output variables are preprocessed; in this step the variables were scaled  
201 between 0.0 and 1.0 to eliminate their dimensions and ensure that all variables receive equal  
202 attention during training.

203

### 204 ***Network architecture and optimization***

205 Following the data division and the preprocessing, the optimum model architecture (i.e., the  
206 number of hidden layers and corresponding number of hidden nodes) must be determined. It  
207 should be noted that a network with one hidden layer can approximate any continuous  
208 function if sufficient connection weights are used (Hornik et al. 1989). Therefore, one hidden  
209 layer was used in the current study. The optimal number of hidden nodes was obtained by a  
210 trial-and-error approach in which the network was trained with a set of random initial weights  
211 and a fixed learning rate of 0.1; a momentum term of 0.1; a tanh transfer function in the  
212 hidden layer nodes; and a sigmoidal transfer function in the output layer nodes. The  
213 following number of hidden layer nodes were then utilized: 2, 4, 6, ..., and  $(2I+1)$ , where  $I$  is  
214 the number of input variables. It should be noted that  $(2I+1)$  is the upper limit for the number  
215 of hidden layer nodes needed to map any continuous function for a network with  $I$  inputs, as  
216 discussed by Caudill (1988). To obtain the optimum number of hidden layer nodes, it is  
217 important to strike a balance between having sufficient free parameters (connection weights)  
218 to enable representation of the function to be approximated and not having too many, so as to  
219 avoid overtraining (Shahin and Indraratna 2006).

220 To determine the criterion that should be used to terminate the training process, the  
221 normalized mean squared error between the actual and predicted values of all outputs in the

222 training set over all patterns is monitored until no significant improvement in the error  
 223 occurs. This was achieved at approximately 10,000 training cycles (epochs). Fig. 3 shows the  
 224 impact of the number of hidden layer nodes on the performance of the RNN model. It can be  
 225 seen that the RNN model improves with increasing numbers of hidden layer nodes; however,  
 226 there is little additional impact on the predictive ability of the model beyond 10 hidden layer  
 227 nodes. Fig. 3 also shows that the network with 14 hidden layer nodes has the lowest  
 228 prediction error; however, the network with 10 hidden nodes can be considered optimal: its  
 229 prediction error is not far from that of the network with 14 hidden nodes, and it has fewer  
 230 connection weights and is thus less complex. As a result of training, the optimal network  
 231 produced  $10 \times 10$  weights and 10 bias values connecting the input layer to the hidden layer  
 232 and  $10 \times 1$  weights and one bias value connecting the hidden layer to the output layer.

233

### 234 ***Model performance and validation***

235 The performance of the optimum RNN model in the training and validations sets is given  
 236 numerically in Table 1. It can be seen that two different standard performance measures are  
 237 used, including the coefficient of correlation,  $r$ , the coefficient of determination (or  
 238 efficiency),  $R^2$ . The formulas of these two measures are as follows:

239

$$240 \quad r = \frac{\sum_{i=1}^N (O_i - \bar{O})(P_i - \bar{P})}{\sqrt{\sum_{i=1}^N (O_i - \bar{O})^2 \sum_{i=1}^N (P_i - \bar{P})^2}}$$

241 (2)

242

$$R^2 = 1 - \frac{\sum_{i=1}^N (O_i - P_i)^2}{\sum_{i=1}^N (O_i - \bar{O})^2} \quad (3)$$

244

245 where;  $N$  is the number of data points presented to the model;  $O_i$  and  $P_i$  are the observed and  
 246 predicted outputs, respectively; and  $\bar{O}$  and  $\bar{P}$  are the mean of the predicted and observed  
 247 outputs, respectively.

248 The coefficient of correlation,  $r$ , is a measure that is used to determine the relative  
 249 correlation between the predicted and observed outputs. However, as indicated by Das and  
 250 Sivakugan (2010),  $r$  sometimes may not necessarily indicate better model performance due to  
 251 the tendency of the model to deviate toward higher or lower values, particularly when the  
 252 data range is very wide and most of the data are distributed about their mean. Consequently,  
 253 the coefficient of determination,  $R^2$ , is used as it can give unbiased estimate and may be a  
 254 better measure for model performance. The performance measures in Table 1 indicate that the  
 255 optimum RNN model performs well and has good prediction accuracy in both the training  
 256 and validation sets. Table 1 also indicates that the RNN model has consistent performance on  
 257 the validation set with that obtained on the training set.

258 The performance of the optimum RNN model in the training and testing sets is further  
 259 investigated graphically, as shown in Figs. 4 and 5. It should be noted that, for brevity, only  
 260 five of the most appropriate simulation results in the training set are given in Fig. 4. These  
 261 five simulations are chosen because they reflect the entire range of the in-situ pile load-  
 262 settlement tests used in this study. As can be seen in Figs. 4 and 5, excellent agreement  
 263 between the actual pile load tests and the RNN model predictions is obtained, in both the  
 264 training and validation sets. The nonlinear relationships of the load-settlement response are

265 well predicted, and the results demonstrate that the RNN model has a strong capability to  
266 simulate the behaviour of drilled shafts quite well.

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### 270 ***Model robustness and sensitivity analyses***

271 To further examine the generalization ability (or robustness) of the RNN model, sensitivity  
272 analyses are carried out that investigate the response of the RNN predicted pile behavior to a  
273 set of hypothetical input data that lie on the range of the data used for model training. For  
274 example, to investigate the effect of one parameter such as pile diameter,  $D$ , all other input  
275 variables are set to selected constant values, while  $D$  is allowed to change. The inputs are  
276 then accommodated in the RNN model and the predicted pile load versus settlement response  
277 is calculated. This process is repeated for the next input variable and so on, until the model  
278 response is examined for all inputs. The robustness of the RNN model is determined by  
279 examining how well the predictions compare with the available geotechnical knowledge and  
280 experimental data.

281 The results of the sensitivity analyses are shown in Fig. 6 and indicate that the predicted  
282 pile behavior by the RNN model is in good agreement with what one would expect and with  
283 published experimental results. For example, it can be observed that the ultimate pile capacity  
284 increases with the increase of pile diameter, pile embedment length, soil resistance at the pile  
285 tip, and soil resistance at the shaft length. The above results confirm the predictive ability of  
286 the developed RNN model in reflecting the role of important factors affecting drilled shafts  
287 behavior, and this indicates that the model is robust and can thus be used with confidence.

288

### 289 **Conclusion**

290 The work presented in this technical note has used a series of full-scale in-situ pile load-  
291 settlement tests and CPT data collected from the literature to develop a recurrent neural  
292 network (RNN) model for simulating the load-settlement response of drilled shafts (or bored  
293 piles). The graphical comparison of the load-settlement curves between the RNN model and  
294 experiments showed an excellent agreement and indicates that the RNN model can capture  
295 the highly non-linear load-settlement response of drilled shafts reasonably well. To facilitate  
296 the use of the developed RNN model, it is translated into an executable program using  
297 MATLAB and is made available for interested readers upon request.

298 It is worthwhile noting that predictions from ANN models are better when used for  
299 ranges of input variables similar to those utilized in model training. Consequently, the  
300 developed RNN model performs best when it is used for the ranges of inputs shown in Table  
301 2. However, these ranges accommodate those values that are usually used in practice and the  
302 developed RNN model has the advantage that it can always be updated in the future by  
303 presenting new training examples of wider ranges, when new data become available.

304

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**Table 1.** Performance results of optimal RNN model

Data sets	Performance measures	
	$r$	$R^2$
Training	0.996	0.984
Validation	0.969	0.933

**Table 2.** Summary of data used for development of the RNN model

Test No	$D$ (mm)	$B/D$	$L$ (m)	$q_{c-tip}$ (MPa)	$f_{R-tip}$ (%)	$q_{c-shaft}$ (MPa)	$f_{R-shaft}$ (%)	RNN status <sup>a</sup>
1	305	1.00	11.5	7.0	1.23	3.4	2.35	T
2	838	1.00	27.4	13.3	0.65	10.6	0.81	T
3	1798	1.00	10.0	7.0	1.23	4.2	2.04	T
4	838	1.00	24.4	47.5	0.20	9.1	0.68	T
5	671	1.00	10.2	21.5	0.62	28.8	0.46	T
6	399	2.25	9.5	24.4	0.39	14.5	0.58	T
7	1079	1.00	13.0	39.5	0.34	21.5	0.60	T
8	357	1.00	10.7	8.2	1.05	3.0	2.41	T
9	762	1.00	13.7	4.7	1.84	3.5	2.33	T
10	457	1.00	15.2	1.9	2.63	8.6	0.52	T
11	357	1.00	10.6	8.2	1.05	5.3	1.62	T
12	762	1.00	16.8	5.7	1.29	5.2	1.42	T
13	500	1.00	10.2	14.6	0.79	3.6	1.53	T
14	1091	1.00	27.0	24.4	0.35	15.3	0.47	T
15	399	2.25	6.7	27.3	0.49	4.8	2.00	T
16	1100	1.00	13.0	15.3	0.56	5.2	1.39	T
17	1100	1.39	6.0	17.3	0.50	17.1	0.50	T
18	357	1.00	12.5	7.6	1.14	3.2	2.42	T
19	600	1.00	12.0	20.8	0.46	12.3	0.68	T
20	1298	1.46	13.5	7.6	1.01	6.9	0.83	T
21	521	1.00	8.2	31.8	0.42	10.3	1.12	T
22	762	1.00	7.0	4.7	1.84	2.2	2.43	T
23	1500	1.00	6.0	17.3	0.50	9.8	0.54	T
24	1070	1.00	25.1	24.4	0.39	9.5	0.76	T
25	399	2.50	11.0	24.4	0.39	17.5	0.51	T
26	399	2.25	8.2	24.4	0.55	3.4	2.11	T
27	600	1.00	7.2	15.3	0.56	6.9	0.77	T
28	320	2.50	6.2	25.9	0.37	13.3	0.63	T
29	878	1.00	10.2	7.0	1.23	4.0	2.14	T
30	521	1.00	8.2	31.8	0.42	10.3	1.12	T
31	1100	1.00	6.0	21.5	0.42	8.5	0.90	T
32	814	1.00	24.2	9.6	0.90	10.5	0.73	T
33	399	2.13	6.5	17.3	0.50	9.0	0.85	T
34	320	2.03	6.6	13.3	0.61	5.5	1.34	T
35	457	1.00	15.2	1.9	2.63	8.6	0.52	V
36	600	1.00	12.0	20.8	0.46	12.3	0.68	V
37	320	2.50	6.2	24.4	0.39	10.7	0.72	V
38	1298	1.00	13.0	7.2	1.19	5.0	1.72	V
Minimum	305	1.00	6.0	1.9	0.20	2.2	0.46	□
Maximum	1798	2.50	27.4	47.5	2.63	28.8	2.43	□
Range	1493	1.50	21.4	45.6	2.43	26.6	1.97	□
Average	725	1.30	12.2	17.4	0.80	9.0	1.20	□

<sup>a</sup>T, training; V, validation.

**Figure captions:**

**Fig. 1.** Schematic diagram of recurrent neural networks

**Fig. 2.** Architecture of the developed RNN model

**Fig. 3.** Effect of number of hidden nodes on RNN model performance

**Fig. 4.** Some simulation results of RNN model in the training set

**Fig. 5.** Simulation results of RNN model in the validation set

**Fig. 6.** Sensitivity analyses to test the robustness of RNN model

Fig. 1.

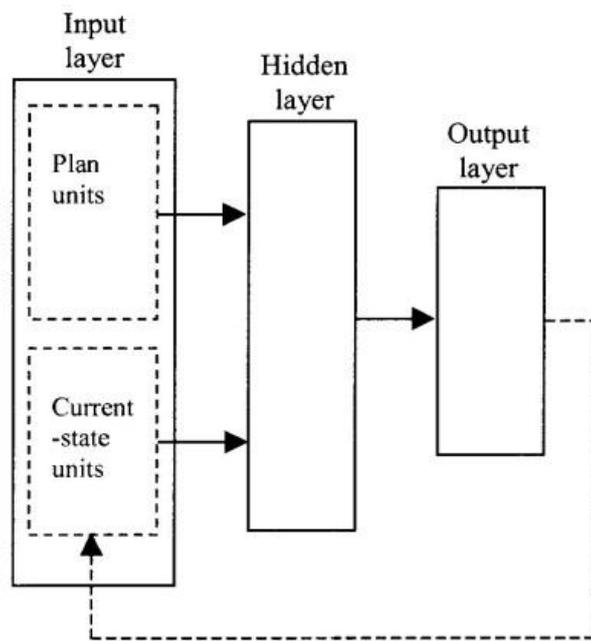


Fig. 2.

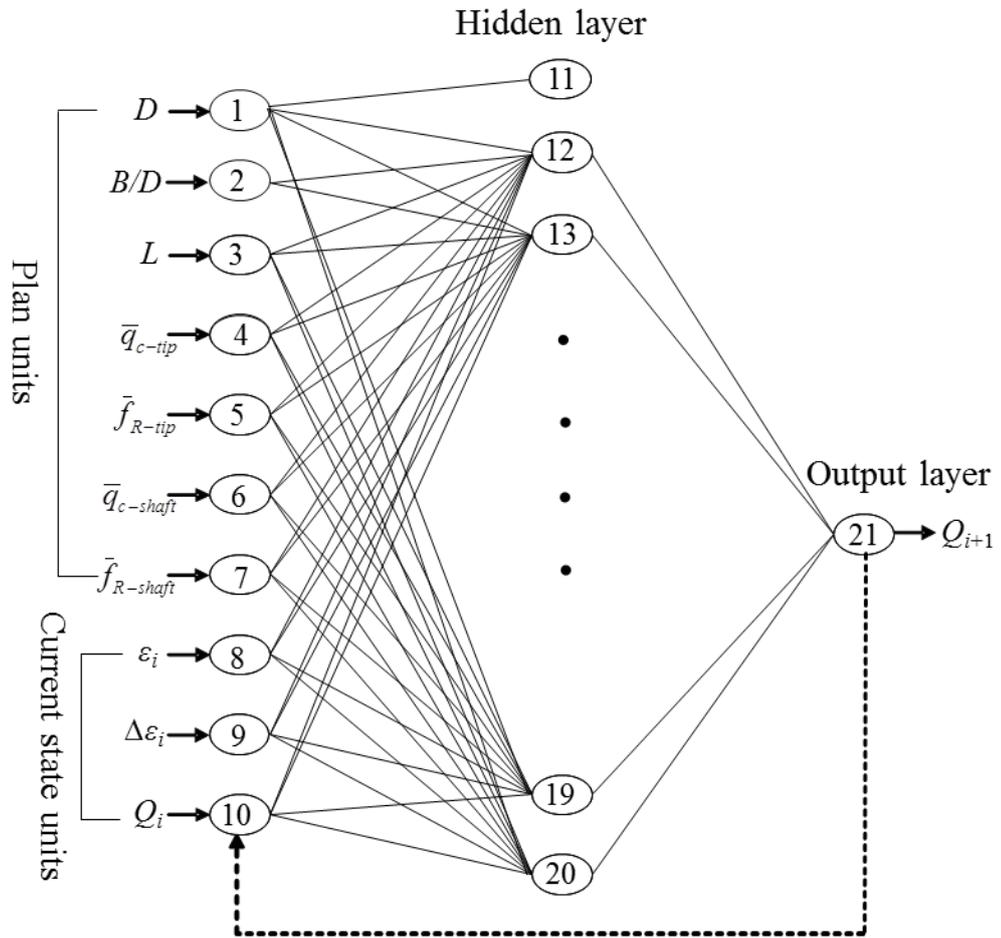


Fig. 3.

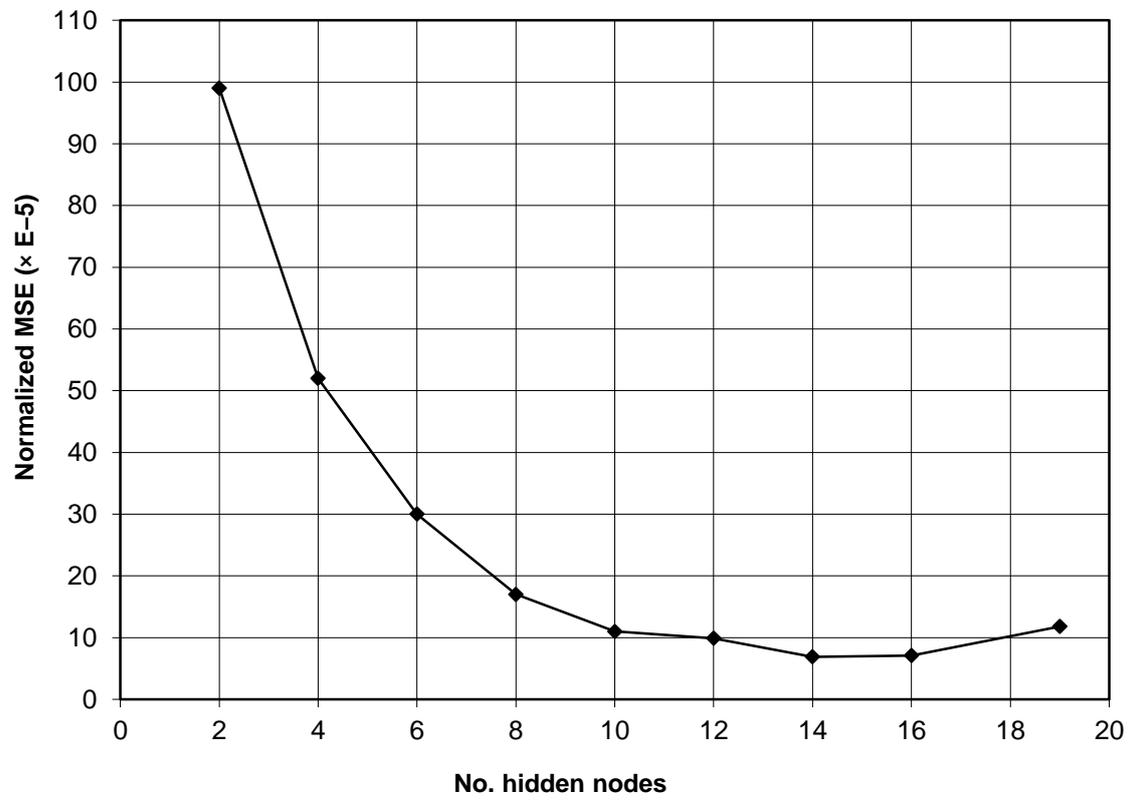


Fig. 4.

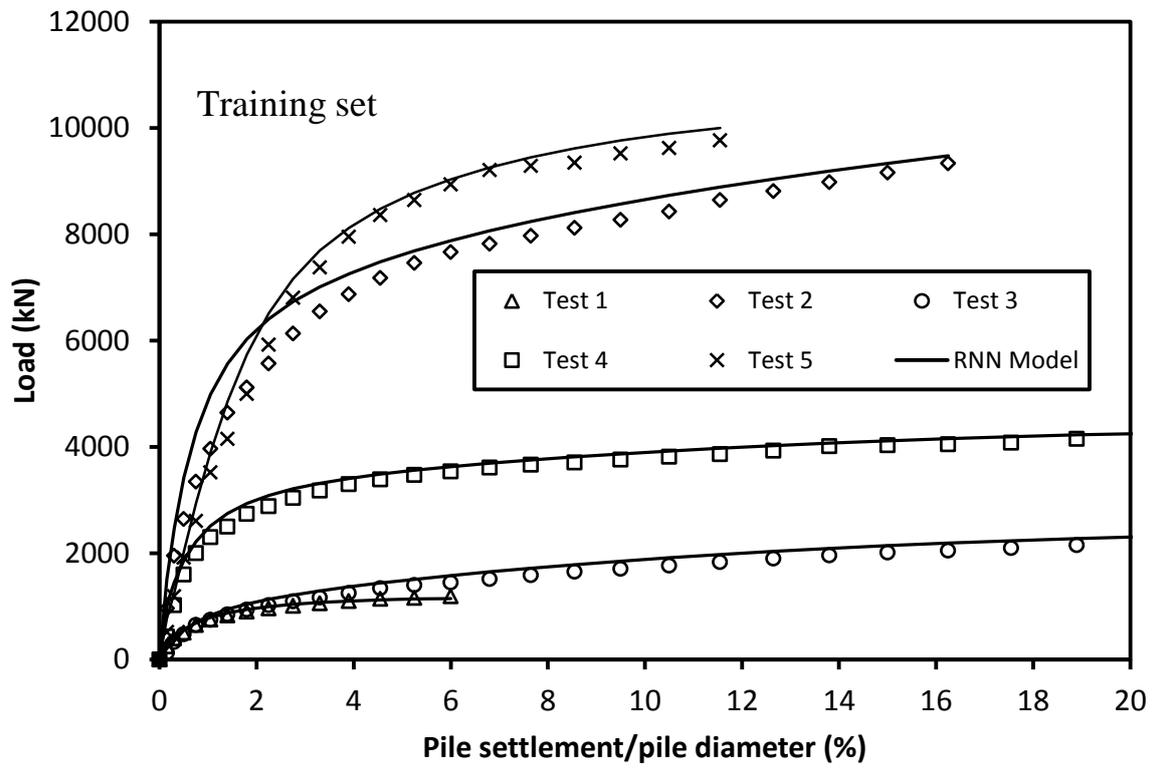


Fig. 5.

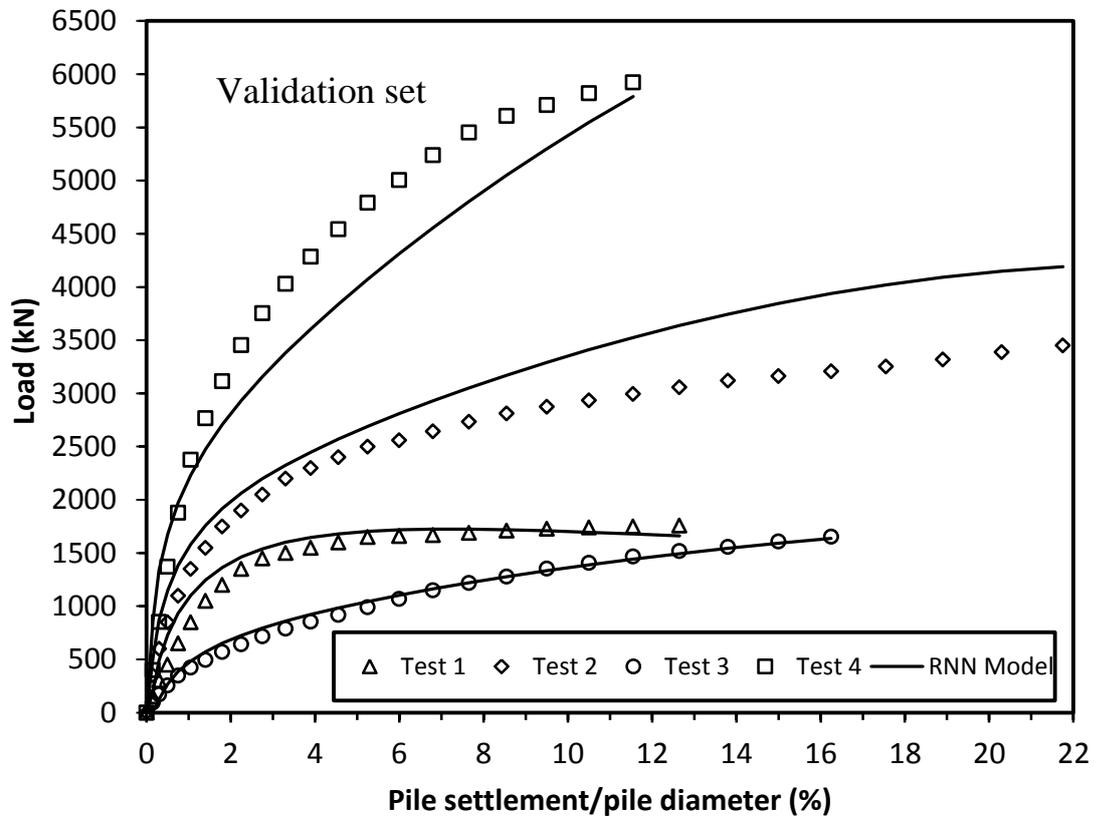


Fig. 6.

