

Possibilities and limitations of the sequential kinematic method for simulating evolutionary plasticity problems

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Abstract

Evolutionary plasticity processes, such as ploughing and penetrating, widely exist in many geotechnical engineering applications. The simulation of these processes poses considerable challenges due to the occurrence of large deformations, unsteady nature of the material free surface, and inherent coupling between mechanical response and material geometries. This paper explores the possibility of simulating the first-order response of these processes by using sequential kinematic method (SKM) in combination with simple deformation mechanism. The mechanism consists of rigid elements separated by velocity discontinuities. Computations based on the kinematic approach of limit analysis are sequentially performed to evaluate the most likely deformation mode and update material geometries. An r -adaptive kinematic formulation is used that captures versatile velocity fields by optimizing the geometries of simple kinematic mechanism. The modeling methodology is studied in detail for two typical evolutionary plasticity problems: wedge

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ploughing Tresca material and cylinder penetrating undrained clay. The numerical results obtained by using the SKM are compared against existing analytical and numerical solutions, as well as experimental evidence. The paper demonstrates that evolutionary plasticity problems can be simulated in a conceptually simple way using SKM and highlights the potential pitfalls of this technique.

Keywords: plasticity, large deformation, limit analysis, kinematic method, r -adaptivity

1. Introduction

Evolutionary plasticity processes are ubiquitous in geotechnical engineering problems. As an archetypal example, the process of cutting in dry sand emphasizes the essential characteristics of this type of problems (see Fig. 1). They include continuous failure of materials, large deformation, and significant changes in the material free surface. Similar phenomena have been observed from lateral buckling of seabed pipelines (Tian and Cassidy, 2010; White and Dingle, 2011), soil cutting and tillage (McKyes, 1985; Godwin and O’Dogherty, 2007), and locomotion of legged robots and vehicle mobility (Li et al., 2013; Recuero et al., 2017; Agarwal et al., 2019). From a theoretical viewpoint, modeling evolutionary plasticity processes poses considerable challenges due to nonlinearities introduced by large deformations, material plasticity, and contact interactions.

Simple analytical models have been proposed to tackle the problems by considering particular *states* within the entire deformation *processes*, mostly corresponding to the incipient failure and steady states. The first type of these models is developed within the context of tribology as a means to explain the role of asperities in frictional interactions between surfaces undergoing relative motion

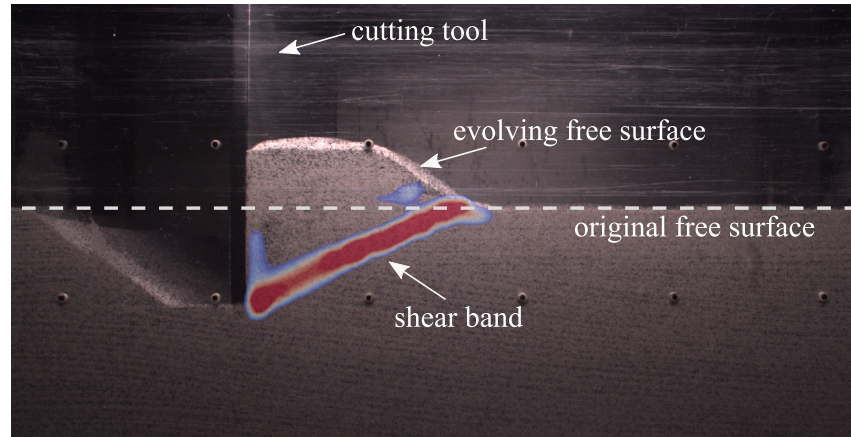


Fig. 1. Deformation pattern and evolution of the material free surface in ploughing a dry sand (Kashizadeh, 2017). Contours show the intensity of the incremental shear strain interpreted by the PIV analyses (White and Take, 2002; Stanier and White, 2013), with the cooler and warmer colors indicating smaller and larger magnitudes, respectively.

18 (Collins, 1972; Challen and Oxley, 1979; De Vathaire et al., 1981; Petryk, 1983).
 19 These models focus on the steady-state motion characterized by invariant resis-
 20 tance and material surface geometry. The second group of models is developed as
 21 tools to predict the loads acting on tillage implements or geotechnical structures
 22 (Osman, 1964; Hettiaratchi and Reece, 1974; Perumpral et al., 1983; Godwin
 23 and O'Dogherty, 2007). Compared with the former group, these models are
 24 mainly interested in the forces required to initiate deformation. When interest is
 25 in simulating the complete deformation processes, numerical methods are nor-
 26 mally required. For this purpose, various numerical techniques have been used
 27 such as large deformation finite element analysis (Bil et al., 2004; Hambleton and
 28 Drescher, 2009; Zhang et al., 2015; Ducobu et al., 2016; Zhang et al., 2020; Zhu
 29 et al., 2020), discrete element method (Hryciw et al., 1997; Tsuji et al., 2012),
 30 and meshfree methods (Leon Bal et al., 2018; Agarwal et al., 2019; Afrasiabi

31 [et al., 2019](#)). These approaches achieve considerable success in handling large
32 deformation and the evolving material free surface but tend to be computationally
33 onerous and overly demanding for routine engineering practice.

34 The sequential kinematic method (SKM) represents a compelling alternative
35 strategy for modeling evolutionary plasticity processes due to its computational
36 efficiency and stability. The technique regards a deformation process as a sequence
37 of failure states, and in each state, the kinematic theorem of limit analysis ([Drucker](#)
38 [et al., 1952](#)) is applied to compute an optimal velocity field that is subsequently
39 used to update the material geometries. The computational efficiency and stability
40 of SKM has been illustrated in different engineering problems such as structural
41 collapse ([Yang, 1993](#); [Corradi and Panzeri, 2004](#)), metal forming ([Hwan, 1997](#);
42 [Raithatha and Duncan, 2009](#)), structural geology ([Cubas et al., 2008](#); [Mary et al.,](#)
43 [2013](#)), and the simulation of penetration, ploughing, and cutting processes in
44 soils ([Hambleton, 2010](#); [Hambleton and Drescher, 2012](#); [Hambleton et al., 2014](#);
45 [Kashizadeh et al., 2015](#); [Kong, 2015](#); [Kong et al., 2018](#); [Zhu et al., 2020](#)). Existing
46 SKM formulations evaluate deformations of the entire computational domain.
47 However, in many problems with engineering relevance, the induced deformation
48 tends to be confined to local regions adjacent to the moving object. In the example
49 depicted in [Fig. 1](#), strains are locally concentrated into a single shear band, and the
50 majority of the bulk materials mainly remains stationary or undergoes rigid body
51 motion. Therefore, the SKM formulation that accounts for the deformation within
52 the entire material domain can be unnecessarily complex and computationally
53 inefficient, especially when the primary interest is a quick prediction of the first-
54 order response such as the forces and motion of the moving object.

55 This paper explores the possibilities of performing a first-order analysis for

56 evolutionary plasticity problems by utilizing SKM in combination with simple
57 kinematic mechanism. In the proposed approach, only deformation adjacent to
58 the moving object is considered and represented by mechanism consisting of slid-
59 ing rigid elements separated by velocity discontinuities. To allow for versatile
60 velocity fields, the model incorporates an r -adaptive kinematic method operating
61 on the simple mechanism (Shi and Hambleton, 2020). Rather than discretiz-
62 ing the entire domain, the model relies on discretizing solely the material free
63 surface. The modeling methodology is examined for two evolutionary plasticity
64 problems: wedge ploughing Tresca material and cylinder penetrating undrained
65 clay. The simplicity of these problems is appealing from fundamental perspective,
66 and well-documented experimental observations as well as analytical and numer-
67 ical solutions enable a detailed assessment of the strength and weakness of the
68 proposed technique.

69 **2. General modeling strategy**

70 We employ the problem of wedge ploughing as an archetypal example for
71 conveying the bases of the proposed SKM technique. An object (here a rigid
72 wedge) is pushed into a Tresca solid (Fig. 2(a)), followed by a lateral movement
73 that continuously deforms the cohesive material (Fig. 2(b)). We generally are
74 interested in the forces acting on the moving object (i.e., N and T in Fig. 2)
75 and/or its trajectory. This benchmark problem contains mechanical features that
76 are common to other evolutionary plasticity processes (e.g., see Fig. 2(c) and
77 (d)). First, the material deformed and displaced by the wedge accumulate along
78 the front flank that leads to changes in the free surface (see Fig. 2(b)), alters the
79 deformation patterns of the plastic solid and eventually the resulting forces on the

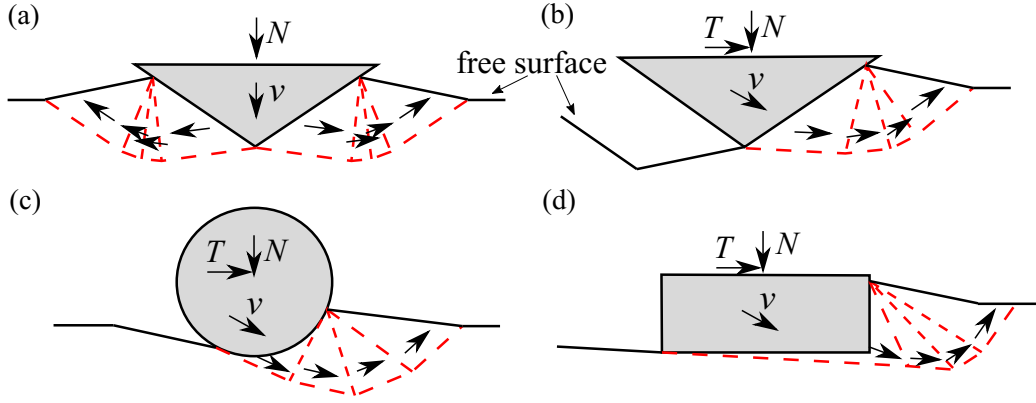


Fig. 2. Schematic illustrating (a) penetrating a plastic solid by a rigid wedge and (b) subsequent ploughing process; (c) ploughing process with circular and (d) rectangular tools.

wedge. Second, the contact conditions between the wedge and its surrounding material evolve as the ploughing proceeds. The full attachment along both flanks during the initial indentation changes to a separation at the rear flank (see Fig. 2(b)). Our general strategies to tackle these challenges by utilizing SKM are summarized in the following. These general modeling strategies can be extended to other problems, as illustrated by the later example of cylinder penetration in undrained clay.

As shown in Fig. 3, we describe the velocity fields of the materials surrounding the wedge by an assembly of rigid elements that only translate in space. The edges of these elements represent velocity discontinuities. In general, the mechanisms could be more complex (e.g., including deformable elements and discretizing entire material domain, see Kong et al. (2018); Zhu et al. (2020)). Nevertheless, the aforementioned deformation pattern reduces the number of unknowns required to constrain kinematic mechanism. It is also consistent with the patterns of concentrated deformation revealed in many evolutionary plasticity processes (e.g.,

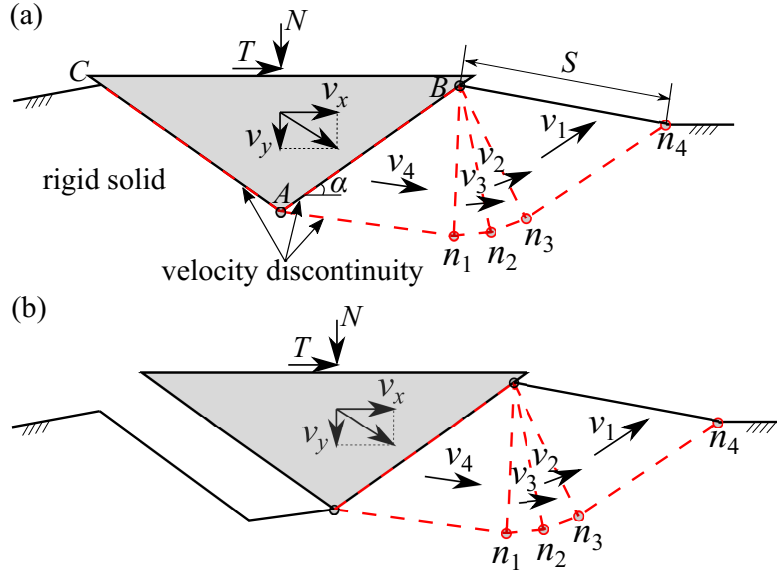


Fig. 3. Schematic illustrating deformation mechanism: (a) at the initiation of wedge ploughing, there are solid-tool interfaces at both front and rear flanks of the wedge; (b) after detaching from solid, there is no interface at the rear flank.

see Fig. 1 or those shown by [White and Dingle \(2011\)](#), [Xu and Zhang \(2019\)](#)).
Two types of control can be included in the SKM: prescribing wedge velocity
and applying force. Under velocity control (also the common mode of running
the SKM), the forces acting on the wedge are evaluated by applying the kinematic
theorem of limit analysis. The corresponding material velocity fields are employed
to update the material free surface. Under force control, the aforementioned
running mode can be iteratively executed for different trial displacements until the
targeted force application is reached. It is also possible to jointly control force
and velocity for different degrees of freedom of the object (i.e., mixed control).
Taking wedge ploughing as an example, the vertical force acting on the tool (i.e.,
 N in Fig. 3) and its horizontal velocity (i.e., v_x in Fig. 3) can be prescribed, while

106 the vertical velocity (i.e., v_y in Fig. 3) and horizontal force (i.e., T in Fig. 3) are
107 recovered as part of the solution.

108 To actually solve the problem, we have made the following specific assump-
109 tions. The plastic solid is assumed to be weightless, rigid-perfectly-plastic, and
110 obeys the Tresca yield criterion and an associative flow rule. Although this
111 constitutive relation is originally proposed for metals, it has been shown to also
112 reasonably approximate the mechanical behavior of cohesive soils (e.g. undrained
113 clay) (Randolph and Houlsby, 1984; Einav and Randolph, 2005; Kong et al., 2018;
114 Zhu et al., 2020). Deformation is considered to be under plane strain conditions.
115 Regarding the wedge ploughing example, this assumption applies to the cases
116 where the out-of-plane dimension of the wedge is much larger than the penetration
117 depth. On the other hand, plain-strain cylinder penetrating can be a reasonable
118 representation of the T-bar penetrometer test used in geotechnical site exploration,
119 where the longitudinal dimension of the penetrometer is often much greater than
120 its in-plane ones.

121 Detailed descriptions of the kinematic mechanisms utilized for the wedge
122 ploughing problem are given in Fig. 3. In particular, Fig. 3(a) and (b) depict the
123 mechanisms applying to the cases where the rear flank of the wedge (i.e., AC in
124 Fig. 3) is in contact with the Tresca solid and the flank has been detached from
125 its neighboring material, respectively. In light of experimental observation (e.g.,
126 Challen et al. (1984)), this work postulates that the material adjacent to the rear
127 flank of the wedge is rigid during ploughing (i.e., only material deformation at
128 the front flank is described by the rigid block mechanism). Accordingly, the only
129 difference between the kinematic mechanisms in Fig. 3(a) and (b) is that the edge
130 AC is treated as a velocity discontinuity in the former case. It should be noted

131 that the aforementioned simplification is made to retain the simplest form of the
132 solution (e.g., less blocks in the mechanism) such that the most clarity on the
133 possibilities and limitations of SKM can be obtained. Indeed, there is no difficulty
134 in adopting a more complex mechanism that would allow for deformation within
135 the material at both sides of the tool. In fact, our preliminary studies show that
136 both simplified and complex mechanisms yield the same results and in the latter
137 case practically zero-valued velocities are computed for the material adjacent to
138 the rear flank of the wedge.

139 In the following sections, detailed formulation of the SKM will be presented.
140 Specifically, Section 3 discusses the r -adaptive kinematic method that is used to
141 construct optimal velocity fields in combination with rigid block mechanism. The
142 approach to update the material geometries based on computed velocity fields will
143 be presented in Section 4.

144 3. Formulation of r -adaptive kinematic method

145 In this section, we will discuss, for the kinematic mechanism depicted in
146 Figure 3, how an optimal velocity field and the corresponding forces acting on
147 the wedge can be obtained by utilizing the r -adaptive kinematic method. The
148 velocity field of Fig. 3 is constrained by two types of information: the geometries
149 of the rigid elements and their velocities. In r -adaptive kinematic methods, both
150 block velocities and their nodal positions are treated as variables subjected to
151 optimization (Johnson, 1995; Milani and Lourenço, 2009; Hambleton and Sloan,
152 2013). For this purpose, the proposed model constructs a nested optimization
153 procedure that in the inner level determines the optimal velocities for a *fixed*
154 mesh by second-order cone programming (SOCP), and at its outer level computes

an optimal set among *variable* nodal positions using non-linear optimization. Respectively, these two optimization layers are detailed in sections 3.1 and 3.2. This *r*-adaptive kinematic formulation closely resembles that described by Shi and Hambleton (2020) for computing limit states of three-dimensional plasticity problems with fixed material geometries.

3.1. Optimization of velocity field for fixed mesh

For a velocity field characterized by rigid elements, the total energy dissipation rate equals to the sum of those occurring at element edges (i.e., the velocity discontinuities). The latter, for a perfectly plastic material that obeys the Tresca yield criterion, can be expressed as (cf. Chen (1975)):

$$\dot{d} = cl|\Delta v_t| \quad (1)$$

The variable *l* denotes the length of discontinuity, *c* is the material cohesion, and Δv_t is the tangential velocity jump along element edge. The absolute value is prescribed so that the dissipated power is always positive, regardless of the shearing direction. In a plasticity system as considered by the current SKM formulation, plastic deformation all takes place in velocity discontinuities where strain rates are infinite (Chen, 1975). To account for strain rate effects, the present formulation might be extended by following the approach proposed by Randolph (2004) and Einav and Randolph (2005). The general idea is to introduce a thickness for velocity discontinuities such that finite strain rates can be defined. Then, a relationship between material cohesion (i.e., *c* in Eq. (1)) and strain rate (e.g., see Dayal and Allen (1975), Ladd and Foott (1974), and Einav and Randolph (2005)) can be included. After including these additional relationships, the energy dissipation rate of Eq. (1) is a function of both the magnitude of velocity jump

178 and the aforementioned thickness. This latter geometry might be determined by
 179 seeking a minimization of the energy dissipation rate (i.e., following the principal
 180 of minimum work for this term in isolation) (see [Randolph \(2004\)](#) and [Einav and
 181 Randolph \(2005\)](#) for detailed discussions on this aspect).

182 To preserve a linear objective function in the SOCP, $|\Delta v_t|$ in Eq. (1) is replaced
 183 by a dummy variable μ :

$$\begin{aligned} \dot{d} &= cl\mu \\ \mu &\geq \sqrt{(\Delta v_t)^2} \end{aligned} \quad (2)$$

184 The constraint specified in Eq. (2) is in the form of second-order cone (SOC)
 185 constraint, one of the types permitted in SOCP in addition to linear equality and
 186 inequality constraints (cf. [Sturm \(2002\)](#)). Eq. (2) recovers the exact energy
 187 dissipation relation when equality is achieved. For the problems presented in this
 188 paper, this condition is always satisfied. This, as will become readily apparent, is
 189 because that the SOCP is formed such that the dummy variable μ is minimized.
 190 For materials that obey the Tresca yielding criterion and associative flow rule,
 191 a kinematically admissible mechanism does not permit velocity jumps that are
 192 normal to element edges ([Chen, 1975](#)):

$$\Delta v_n = 0 \quad (3)$$

193 In accordance with the kinematic theorem of plasticity ([Drucker et al., 1952](#)),
 194 a bound on limit load can be obtained by equating the rate of energy dissipation $\dot{D}$
 195 computed from a kinematically admissible velocity field to the rate of work due to
 196 external forces $\dot{W}$ constructed based on the same field. Such energy balance, for
 197 the system defined in Fig. 3, can be specified as

$$\dot{W} = T v_x + N v_y = \dot{D} = \sum_{i=1}^{N_E} cl_i \mu_i + \sum_{j=1}^{N_I} c_a l_j \mu_j \quad (4)$$

198 where v_x and v_y denote the velocity of the wedge along x -axis and y -axis, respec-
 199 tively, N_E is the number of velocity discontinuities within plastic materials, and
 200 the subscript i is used to indicate quantities corresponding to the i^{th} discontinuity
 201 edge. The second energy dissipation term in Eq. (4) accounts for those occurring
 202 at the interfaces between the wedge and the plastic solid and thus implying that the
 203 wedge and the cohesive mass are treated as a composite dissipative mechanical
 204 system. The variable N_I is the number of the interface segments. The dissipation
 205 at these interface segments is computed by replacing the cohesion c in Eq. (2) with
 206 the interface strength c_a . Perfectly smooth and rough interfaces are characterized
 207 by $c_a = 0$ and $c_a = c$, respectively. A simple contact search algorithm is used to
 208 determine the range of the interface, where the distance from nodes on the free
 209 surface to the wedge flanks is computed and those with a distance less than a
 210 tolerance (1.5×10^{-2} is employed for all simulations in this paper) are considered
 211 to be in contact with the wedge. Conversely, the separation of the wedge from
 212 neighboring plastic solid is naturally considered once the distance exceeds the
 213 tolerance mentioned above. To enable such no-tension interface, a jump condition
 214 that is slightly different than the one given in Eq. (3) is assigned to the interface
 215 segments:

$$\Delta v_n \geq 0 \quad (5)$$

216 As depicted in Fig. 4(a), the velocity jump at the interface is measured from
 217 the wedge to the neighboring plastic material such that a positive value of Δv_n
 218 indicates the separation. The interface behavior described by using Eqs. (1) and
 219 (5) (see Fig. 4(b)) is similar to that obtained by imposing no-tension conditions
 220 with respect to the tractions along the surface of a Tresca solid (e.g., the Type
 221 A interface defined by [Herfelt et al. \(2021\)](#)). This approach is not perfect in

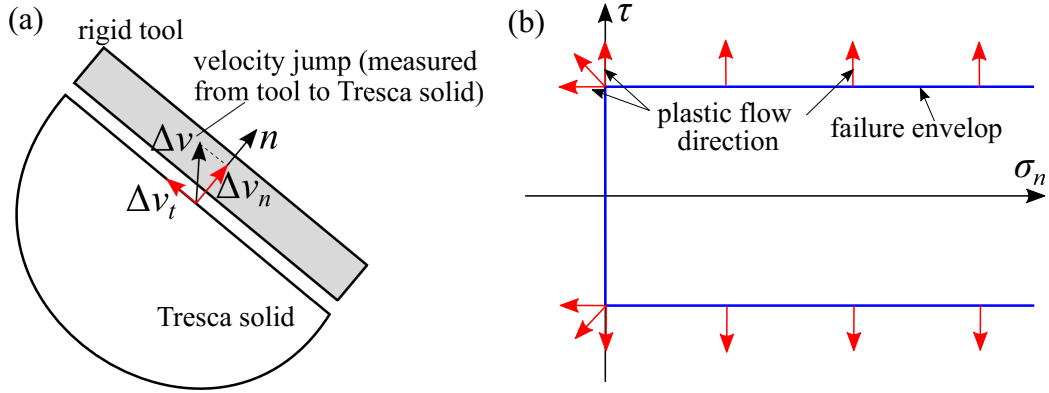


Fig. 4. Schematic illustrating the modeling of non-tension interface between rigid tool and Tresca solid in SKM: (a) interface is treated as velocity jump (measured from tool to Tresca solid); (b) plastic flow directions and failure envelop at the interface.

222 that it can imply tensile stress states within plastic solid and that shear stress is
 223 sustained (i.e., energy dissipation is non-zero) immediately after separation (i.e.,
 224 at the instance when Δv_n turns positive) (Herfelt et al., 2021; Houlsby and Puzrin,
 225 1999). Nevertheless, it provides a practical means to account for the no-tension
 226 interface via the types of constrains permitted by the SOCP. Lastly, it should
 227 be noted that the aforementioned limitations mainly influence the instance of
 228 separation, after which the interface does not exist any more and consequently is
 229 not included in the computation.

230 By manipulating Eq. (4), we obtain the following optimization problem with

231 respect to the velocities of the rigid elements:

$$\begin{aligned}
\min \quad & T = \frac{1}{v_x} \left(\sum_{i=1}^{N_E} c l_i \mu_i + \sum_{j=1}^{N_I} c_a l_j \mu_j - N v_y \right) \\
\text{or} \quad & \\
N = \frac{1}{v_y} \left(\sum_{i=1}^{N_E} c l_i \mu_i + \sum_{j=1}^{N_I} c_a l_j \mu_j - T v_x \right) & \quad (6) \\
s.t. \quad & \Delta v_{ni} = 0 \\
& \mu_i \geq \sqrt{(\Delta v_{ti})^2} \quad i = 1, \dots, N_E \\
& \Delta v_{nj} \geq 0 \\
& \mu_j \geq \sqrt{(\Delta v_{tj})^2} \quad j = 1, \dots, N_I
\end{aligned}$$

232 Equation (6) represents a standard form of SOCP problems and depending on
233 whether the ploughing or the indentation process is modeled, the first or the
234 second objective function is employed. The SOCP is solved by the Mosek toolbox
235 integrated with the MATLAB (Mosek, 2015). N and v_y , T and v_x represent two
236 work-conjugate pairs. In order to obtain feasible and bounded solutions from the
237 SOCP, at least one variable in each pair should be specified (e.g., the normal force
238 N and the horizontal velocity v_x are usually the boundary conditions in modeling
239 the ploughing). As only rate-insensitive materials are considered in this work,
240 when setting boundary conditions by prescribing v_x or v_y , a velocity of unity is
241 assigned for convenience.

242 Equation (6) represents the inner layer of the nested optimization and the com-
243 puted limit loads correspond to the rigid block mechanism with fixed geometries.
244 The outer layer of the nested optimization, as detailed in the next section, seeks
245 optimal nodal positions of the elements (i.e., nodes n_1 to n_4 in Fig. 3(a)) that

246 minimize the limit loads.

247 3.2. Optimization of nodal positions of rigid elements (*r* adaptivity)

248 To obtain a critical layout of the velocity discontinuities, we construct the
249 following non-linear optimization problem:

$$\begin{aligned}
 \min \quad & F(x_{ij}, S) \quad i = 1, 2 \quad \text{and} \quad j = 1, 2, 3 \\
 \text{s.t.} \quad & A_k(x_{ij}, S) \geq 0 \quad k = 1, \dots, 4 \\
 & x_{ij}^l \leq x_{ij} \leq x_{ij}^u \\
 & S > 0
 \end{aligned} \tag{7}$$

250 The objective function in Eq. (7) is the limit tangential or normal force computed
251 for a given set of nodal positions x_{ij} (the first subscript denotes the i^{th} component
252 of the position vector, while the second subscript indicates the j^{th} node), evaluated
253 in precisely the same way as in the previous section. The coordinates of the nodes
254 n_4 in Fig. 3 cannot be regarded as independent unknowns in the optimization since
255 this node has to lie on the material free surface. We implicitly define the location
256 of this node by an auxiliary variable S that measures the distance between the
257 node n_4 and the intersection point of the wedge and the free surface (i.e., the point
258 B in Fig. 3). To prevent the inter-penetration of rigid elements and consequently
259 ensure computational stability, the first set of constraints in Eq. (7) requires that
260 element areas A_k are always positive. The variables x_{ij}^l and x_{ij}^u appearing in
261 the second set of inequality constraints define allowable limits for certain nodal
262 position components. These constraints are set to ensure that the adjusted nodes
263 do not go beyond the material free surface.

264 As the objective function and constraints of Eq. (7) are both non-linear func-
265 tions of the unknown variables, such problem falls within the general domain

266 of non-linear constrained optimization. In preliminary studies, two of the most
 267 widely employed algorithms, interior point method and sequential quadratic pro-
 268 gramming, are used to solve this optimization through the FMINCON solver of
 269 MATLAB. These initial investigations show that the interior point method can
 270 find a solution with fewer iterations and thus are selected for all computations
 271 presented in this paper. Three key parameters that can affect the performance of
 272 the interior point method are (1) step size factor Δs in finite difference method that
 273 determines the perturbation amount of unknown variables for numerically com-
 274 puting the gradient of the objective function; (2) step tolerance T_s that specifies
 275 the lower bound on the change of the norm of the vector containing all unknown
 276 variables; (3) the tolerance for the optimality T_o that measures the proximity of the
 277 current solution to an optimal one. The first parameter affects the accuracy of the
 278 calculated gradient of the objective function, while the latter two mainly influence
 279 the accuracy of the solution as the optimization process will be terminated once
 280 either tolerance is triggered. For simulations performed in this work, we observe
 281 that the solutions are not particularly sensitive to the values of Δs and T_o , and their
 282 default values (i.e., $\Delta s = 1 \times 10^{-6}$ and $T_o = 1 \times 10^{-6}$) are adopted. The parameter
 283 T_s , on the other hand, can noticeably influence the computed response, as it will
 284 be discussed more deeply in the following. For all examples considered in this
 285 work, $T_s = 1 \times 10^{-4}$ to 1×10^{-5} are sufficient. Lastly, it should be noted that the
 286 algorithm used to solve the non-linear optimization is deemed as a local optimizer
 287 and therefore behave most effectively when the initial nodal positions of the rigid
 288 elements (e.g., Fig. 5(a)) are relatively close to optimal ones (e.g., Fig. 5(b)) or the
 289 objective function is convex.

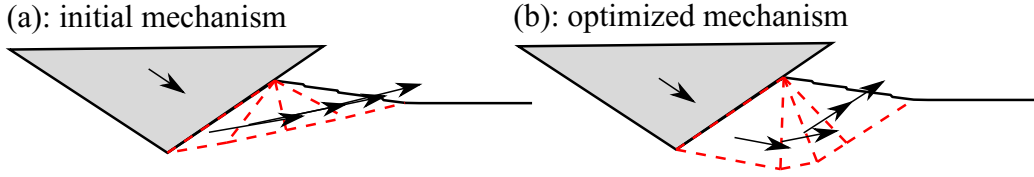


Fig. 5. Typical evolution of kinematic mechanism during r -adaptive kinematic method.

290 **4. Update of material free surface**

291 As shown in Fig. 6(a), deformation of the entire bulk material is tracked
 292 through a discretized free surface. By doing so, the need to repeatedly remesh
 293 the computational domain, as a means to handle severely distorted mesh, can be
 294 avoided. The surface initially has uniform nodal spacing denoted by Δx . The
 295 optimal velocity fields obtained in accordance with the technique discussed in the
 296 previous section are used to update the displacements of the nodes along the free
 297 surface by explicit time integration. Consider a pseudo time increment ΔT_n and
 298 let the superscripts $n-1$ and n denote quantities at the pseudo time T_{n-1} and
 299 T_n ($T_n = T_{n-1} + \Delta T_n$), respectively. With one-step time-marching scheme, nodal
 300 displacements at the end of the increment ΔT_n is found to be:

$$d_{ij}^n = d_{ij}^{n-1} + v_{ij}^{n-1} \Delta T_n \quad i = 1, 2 \quad \text{and} \quad j = 1, 2, \dots \quad (8)$$

301 where d_{ij} and v_{ij} denote the i^{th} component of the displacement and velocity
 302 vectors at the j^{th} node. For nodes belonging to multiple blocks (e.g., the point B
 303 in Fig. 6), an averaged velocities of those blocks are assumed to be nodal velocity
 304 (see Fig. 6(b)). Similarly, the position of the rigid wedge is updated according to

$$d_{iw}^n = d_{iw}^{n-1} + v_{iw}^{n-1} \Delta T_n \quad i = 1, 2 \quad (9)$$

305 where d_{iw} and v_{iw} represent the displacement and velocity vectors of the rigid
 306 wedge. Once the geometry of the free surface and the position of the wedge have

307 been updated, the contact between the wedge and its neighboring materials is
 308 checked based on the searching algorithm discussed in Section 3 and the portions
 309 of the material free surface that are in contact with the wedge are treated as velocity
 310 discontinuities within the kinematic mechanism.

311 As the size of the time increment is finite, some nodes on the free surface may
 312 penetrate the object after the update described above, thus requiring correcting the
 313 free surface. Following Kong (2015), those nodes that invade into the interior of
 314 the object are mapped back to the boundary of the object along a direction normal
 315 to the boundary, as illustrated in Fig. 7(a). Another type of free surface that requires
 316 appropriate correction is the sharp inverse corner depicted in Fig. 7(b). Without
 317 treatment, the computed boundary between the deforming and stationary materials
 318 can be forced to pass the tip of the corner, which represents a local minimum for
 319 the objective function (recall that the nature of the selected algorithm is a local

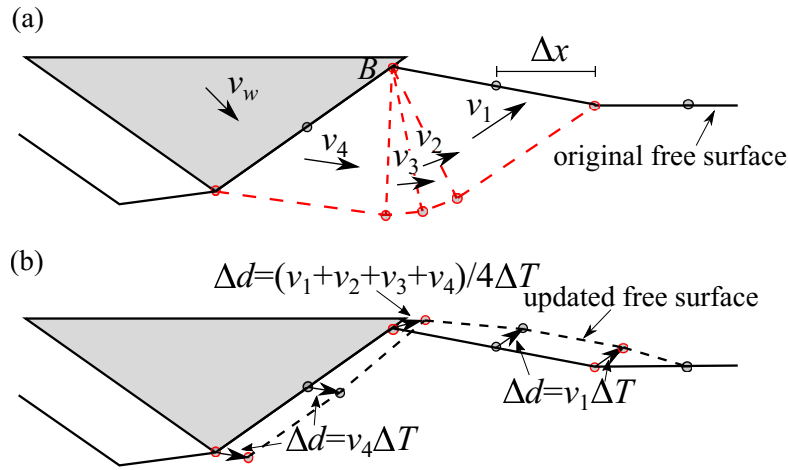


Fig. 6. Schematic illustrating the update of the material free surface according to the computed velocity field: (a) velocity field obtained for geometry configuration at step n ; (b) updated free surface and geometry configuration at step $n + 1$.

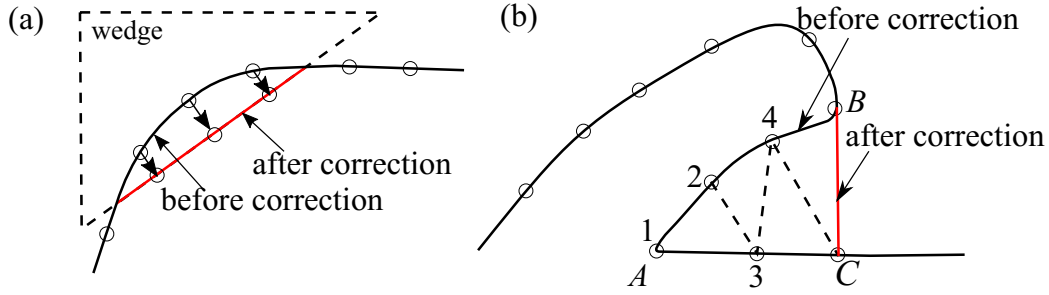


Fig. 7. Schematic illustrating the correction of the material free surface for: (a) penetration into the tool; (b) sharp inverse corner.

optimizer). This behavior prevents searching for better deformation mechanisms, and consequently lead to peculiar jumps on the ploughing resistance and unrealistic deformation patterns, as will be discussed in the following. To resolve this issue, we loop over all surface nodes and delete those whose x coordinate is less than that of its two neighboring nodes, as suggested by Kong (2015). Figure 7(b), in which the number adjacent to nodes indicate the order of being deleted, shows that by repeatedly checking surface nodes and applying the rule described above, the shape corner can be eliminated. Lastly, it should be noted that the need to correct the surface profile is common to methods that rely on discretization of the entire domain (e.g., finite element limit analysis (Kong, 2015)) as well as the proposed method.

5. Simulation of smooth wedge indentation and ploughing

The performance of the proposed SKM model is first examined in the case of indenting and ploughing a Tresca solid by a smooth rigid wedge (i.e., the interface strength $c_a = 0$). In this example, the wedge angle α (see Fig. 3 for its definition) equals to 10° , while the material cohesion $c = 13$ MPa. In the simulations, the

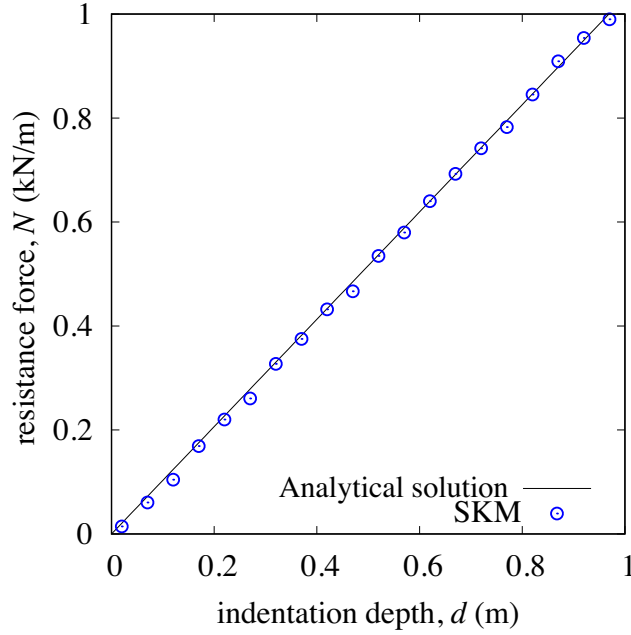


Fig. 8. Comparison between the penetration resistance computed by the SKM and slip-line solution (Hill et al., 1947). Note that the SKM simulation employs nodal spacing $\Delta x = 0.5$ and time increment $\Delta T = 0.05$.

336 wedge is first pushed into the plastic solid, followed by a lateral ploughing with
 337 the normal load maintained at the same level as the one reached at the end of the
 338 indentation. Both indentation and ploughing processes are under displacement
 339 control in the simulations (i.e., the velocity v_x or v_y in Fig. 3(a) is prescribed).

340 Fig. 8 compares the computed indentation resistance with that given by Hill
 341 et al. (1947)'s slip-line solution. A good agreement can be observed. Fig. 9
 342 presents the optimal velocity fields (i.e., deformation mechanisms) when the
 343 intruder penetrates to different depths. These fields exhibit geometrically self-
 344 similarity, which is explicitly assumed in Hill et al. (1947)'s solution but comes
 345 out automatically from the SKM.

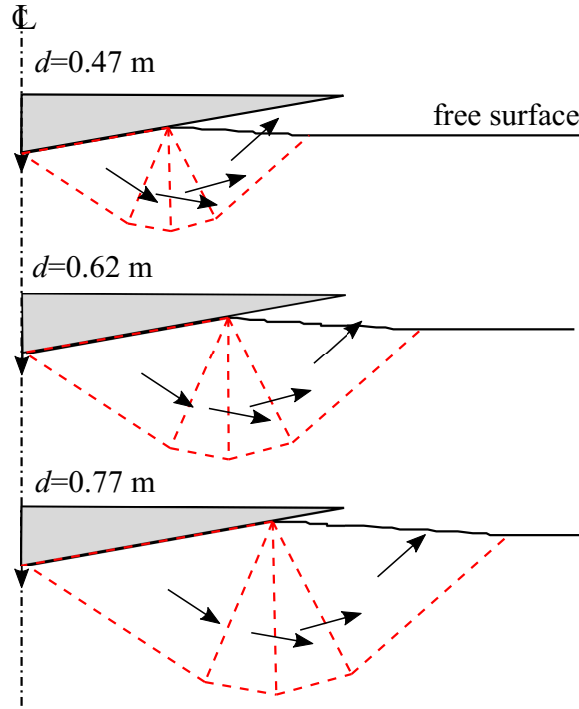


Fig. 9. SKM computed velocity field at various stages of rigid wedge indentation.

346 Fig. 10 shows the computed trajectory of the wedge as well as the normalized
 347 tangential force during the ploughing stage. The deformation mechanisms for
 348 selected instances are given in Fig. 11. It is seen that the initial lateral ploughing
 349 leads to a sinking of the wedge. This deformation pattern, referred to as “junction
 350 growth” within tribology (Tabor, 1959; Challen and Oxley, 1979), occurs because
 351 the contact pressure on the rear flank is relieved and the wedge penetrates deeper
 352 into the plastic solid to achieve a larger contact area at the front flank to sustain
 353 the applied normal load. As the lateral ploughing continues, the wedge begins to
 354 rise and simultaneously push a bow wave of plastically deformed material ahead
 355 as depicted in Fig. 11(b) and (d). Such rising phase continues until reaching
 356 a steady state characterized by approximately constant ploughing resistance and

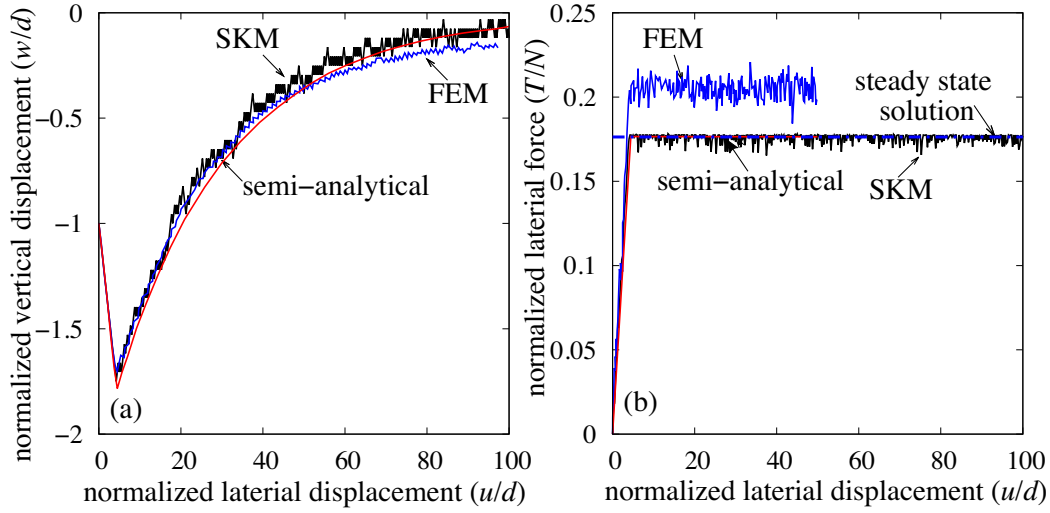


Fig. 10. Comparison between smooth wedge ploughing response computed by the SKM, finite element, semi-analytical method (Hambleton, 2010), and analytical steady-state solution (Challen and Oxley, 1979). Note that the SKM simulation employs nodal spacing $\Delta x = 1$ and time increment $\Delta T = 0.25$.

357 wedge vertical location. It is seen that the computed rising trajectory is not smooth
 358 but with small-amplitude oscillations. The latter is attributed to the alternation
 359 between two deformation mechanisms respectively depicted in Fig. 11(c) and (d).
 360 The former mode is characterized by the wedge sliding along its front flank without
 361 deforming the solid, which gradually reduces the contact area between the wedge
 362 and the solid mass. When the contact area is not enough to sustain the applied
 363 normal load, the second mode characterized by a bear-capacity type failure occurs.
 364 The contact area grows consequently.

365 To examine the accuracy of the SKM simulation, two alternative solutions
 366 are included in Fig. 10. Hambleton (2010) proposes a semi-analytical method
 367 by treating the ploughing as a sequence of incipient plastic flow problems that
 368 can be approximated by Hill et al. (1947)'s indentation mechanism. An FEM

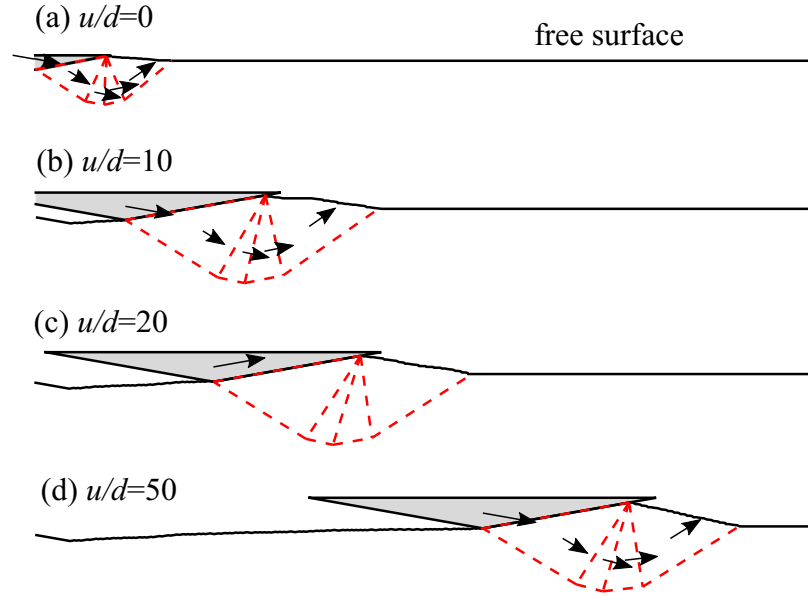


Fig. 11. SKM computed evolution of the material free surface and velocity fields during smooth wedge ploughing.

simulation is also performed by [Hambleton \(2010\)](#) to verify the semi-analytical model. This numerical analysis is conducted by using ABAQUS/Explicit. The arbitrary Lagrange-Eulerian (ALE) remeshing algorithm is employed in the region near the wedge to maintain a high-quality mesh after relatively large deformation has occurred. The rigid-plastic behavior of the solid is emulated by using the Tresca model with a large value of Young's modulus E (e.g., $E/c \approx 7000$). More detailed discussions on the features of the FEM can be found in [Hambleton and Drescher \(2012, 2009\)](#). A good agreement can be seen from these comparisons. The steady-state ploughing forces computed by the SKM and semi-analytical approach are very close to the one obtained by slip-line technique ([Challen and Oxley, 1979](#)), while the FEM tends to predict a bit higher resistance. Note that the FEM simulation shows similarly oscillatory wedge trajectory and ploughing

381 resistance, as computed by the SKM.

382 6. Convergence analysis of SKM simulation

383 We use the ploughing simulation discussed in the previous section as an op-
384 portunity to evaluate the convergence features of the SKM solution with respect to
385 the discretization size of the free surface represented by the nodal space, Δx , and
386 the step size of the time marching represented by the time increment, ΔT .

387 Fig. 12(a) and (b) shows the ploughing simulations performed under three
388 different time steps. It can be seen that the computed wedge trajectory and
389 tangential force both show a converging tendency as ΔT decreases. The decrease
390 in the time step also leads to smaller fluctuations in the computed response. The
391 same convergence feature can be observed for reducing the nodal spacing Δx , as
392 illustrated in Fig. 12(c) and (d). It is noticed that the simulations based on larger
393 nodal spaces generate trajectories that elevate to higher positions. Such response
394 might result from the fact that a linear function is used to interpolate the free
395 surface between adjacent nodes (see the inset of Fig. 12(c)). In this illustration, the
396 solid and dashed lines represent the free surface before and after the update, and
397 the gray area denotes the fictitious material that is added to preserve the continuity
398 of the free surface. Larger nodal space implies more artificial material is piled
399 up ahead of the wedge and consequently the deformation mode associated with
400 wedge upward motion (e.g., that shown in Fig. 11(c)) can be sustained for longer
401 periods. As a consequence, the wedge heads to larger elevations.

402 The aforementioned analyses indicate that the volume conservation for incom-
403 pressible Tresca solid can be violated in SKM simulations, due to the resources
404 like the addition of artificial material mentioned above and the correction of the

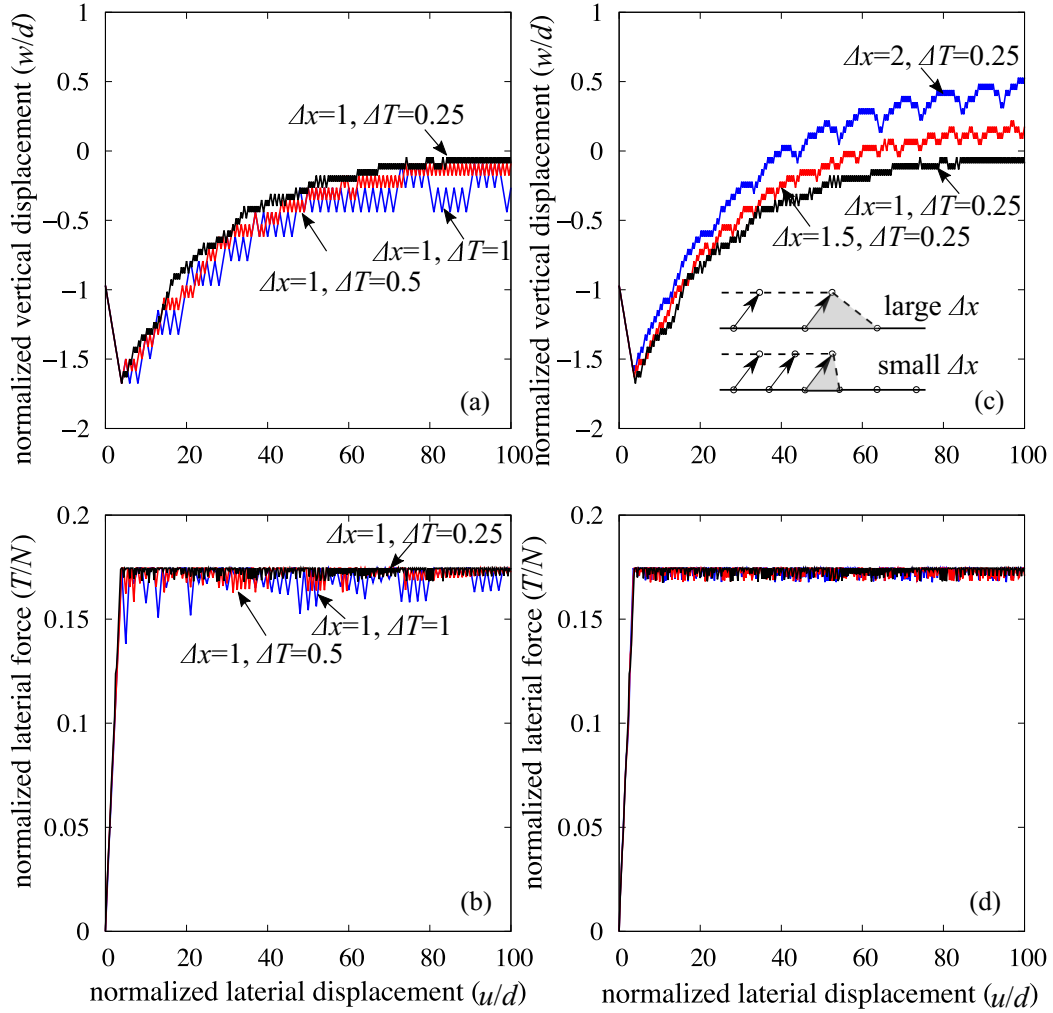


Fig. 12. Convergence analyses of SKM solution with respect to time increment size (subfigures (a) and (b)) and nodal space along the discretized free surface (subfigures (c) and (d)).

material free surface discussed in section 4. To assess how this violation is affected by the employed nodal spacing and time increment, the change of material volume in the convergence analysis is evaluated (see Table 1). These reported volume changes are computed by numerically integrating the material free surface at the end of the simulations. The data suggest that the change of material volume tends

Table 1. Change of material volume at the end of ploughing simulations that employ different nodal spacing and time increment (see Fig. 12). Note that the volume change is normalized by the initial volume before ploughing, V_0 . This initial volume corresponds to a rectangular region with a depth twice the wedge indentation depth prior to ploughing d and a length twice the lateral ploughing distance u , i.e., $V_0 = 4du$.

Nodal spacing, Δx	Time increment, ΔT	Change of material volume, $\Delta V/V_0$
1.0	1.0	-7.6 %
1.0	0.5	-3.6 %
1.0	0.25	-2.0 %
1.5	0.25	-1.1 %
2.0	0.25	0.01 %

to decrease as smaller time increments are employed (i.e., compare lines 1 to 3 of Table 1). On the other hand, when larger nodal spacing is used, more artificial material can be added to computation domain (i.e., compare lines 3 to 5 of Table 1), as discussed above.

7. Simulation of rough wedge indentation and ploughing

We have shown that the r -adaptive SKM model can reasonably represent the deformation processes of a Tresca solid ploughed by a smooth wedge. In this section, we further evaluate this technique in the case of ploughing cohesive solid by wedge where finite adhesion presents at contact surfaces. The experimental observations for ploughing aluminum alloy by a hard wedge (Challen et al., 1984) are used to assess the model. These tests are chosen because they provide a rich dataset (e.g., the evolution of ploughing resistance and tool trajectory) that helps

422 to evaluate the SKM model relatively comprehensively. Albeit being different
423 materials, the mechanical behavior of metal and cohesive soil (e.g., undrained
424 clay) is similar in some key aspects such as incompressibility conditions. Due to
425 this reason, constitutive models and analytical solutions developed originally for
426 metal have been successfully employed to analyze geotechnical problems (Mroz,
427 1967; Prévost, 1977; Lemaitre and Chaboche, 1990; Anastasopoulos et al., 2011;
428 Karapiperis and Gerolymos, 2014; Prandtl, 1920; Terzaghi, 1943). Following this
429 line of thought, simulating the tests of ploughing metal is expected to provide
430 a meaningful evaluation of the SKM model regarding its capacity to model the
431 counterpart geotechnics problems (e.g., ploughing cohesive soil (Hettiaratchi and
432 Reece, 1974; Palmer, 1999; Atkins, 2009) and the lateral sliding of pipeline in
433 undrained clay (Tian and Cassidy, 2010; White and Dingle, 2011)).

434 Table 2 summarizes the geometric and material parameters used in the simula-
435 tions. The material properties are reported by Challen et al. (1984) except that for
436 the test 12, which is not available from the literature. This information is estimated
437 in this study by fitting the steady-state ploughing force. In the simulations, an in-
438 dentation stage is modeled prior to the ploughing, which ceases when the normal
439 forces applied in the experiments (see Table 2) are reached. Due to the lack of
440 experimental data, a comparison between the computed and measured evolution of
441 the penetration resistance with the indentation depth is not available. Nevertheless,
442 the comparison between the calculated and measured wedge tip elevation at the
443 beginning of the ploughing (see Figs. 13, 14 and 15) suggests that the indentation
444 stage is reasonably represented by the model.

445 Comparisons of full force-displacement histories for the three ploughing tests
446 are shown in Figs. 13, 14 and 15. In general, a good agreement can be seen be-

Table 2. Parameters in the SKM simulations of the ploughing tests performed by [Challen et al. \(1984\)](#).

Test	α (°)	N (N/mm)	c (MPa)	c_a (MPa)
10	25.9	700	243	26.73
12	35.05	700	200	30
19	10.2	700	193	82.99

447 between the computed and observed response. The calculated steady-state ploughing
 448 forces and velocity fields (see Fig. 16) also match reasonably with the slip-line so-
 449 lution proposed by [Challen and Oxley \(1979\)](#). However, quantitative mismatches
 450 between model simulations and test data can also be observed. For example, the
 451 simulations show that there is a sudden drop of tangential force once the wedge
 452 starts to rise (see Fig. 14), resulting from the separation at the rear flank of the
 453 wedge and the consequent loss of resistance related to the interface strength. This
 454 feature is not observed from test results, where the separation may be a progres-
 455 sive process and thus leading to a smooth change of the ploughing resistance.
 456 Remarkable hardening and softening stages are observed from the experimental
 457 data of test 19, which are not captured by the model possibly due to the underlying
 458 assumption that the solid is perfectly plastic. Furthermore, it is observed that the
 459 computed steady-state resistance by the SKM coincides with the analytical solu-
 460 tion given by [Challen and Oxley \(1979\)](#) for the test 10 (see Fig. 13), whereas those
 461 computed for the tests 19 and 12 are reasonably close to yet not exactly the same
 462 as the analytical solution (see Figs. 14 and 15). This difference might result from
 463 the variation in SKM performance between different cases. In simulating [Challen
 464 et al. \(1984\)](#)'s tests, efforts are made to ensure a consistency regarding modeling

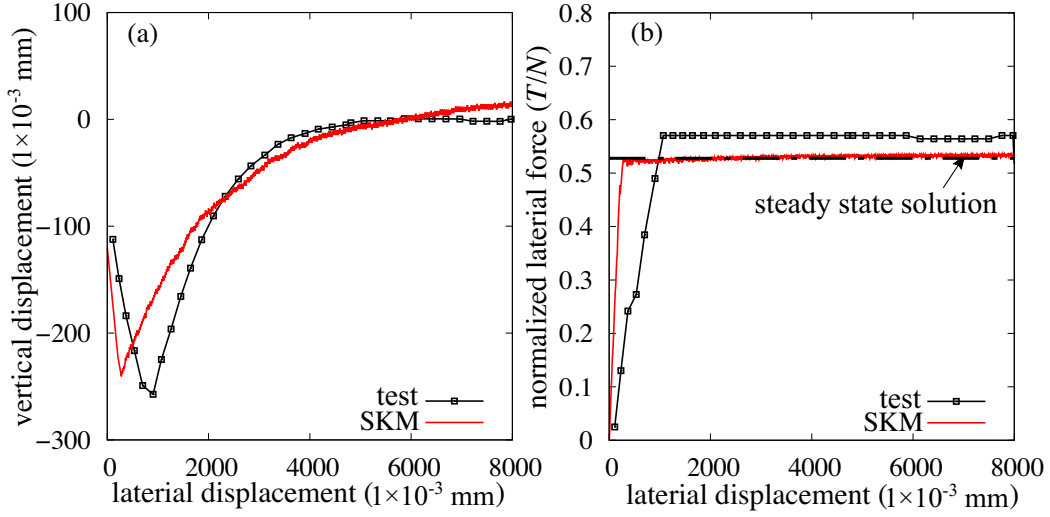


Fig. 13. Comparison between SKM simulated ploughing response, experimental data (test 10 in Challen et al. (1984)) and analytical steady-state solution (Challen and Oxley, 1979). Note that the SKM simulation employs nodal spacing $\Delta x = 60$ and time increment $\Delta T = 10$.

settings, e.g., nodal spacing and time increment (see the caption of Figs. 13 to 15). Nevertheless, the accuracy of the SKM simulations might still vary between different cases, possibly due to that material properties vary across these tests (see Table 2).

The computation times (total runtime) and the number of Mosek calls for the simulations described above are summarized in Table 3. It is seen that the cost of using r -adaptive SKM for simulating large deformation processes is relatively small. The runtime can potentially be brought down further via the implementation of Mosek through platforms that require smaller overhead than Matlab. The fact that the simulation of the test 12 consumes the largest cost is because a smaller value of the parameter T_s (see section 3.2 for its definition) is employed to ensure the solution accuracy and consequently more iterations are conducted in the non-linear optimization of Eq. (7).

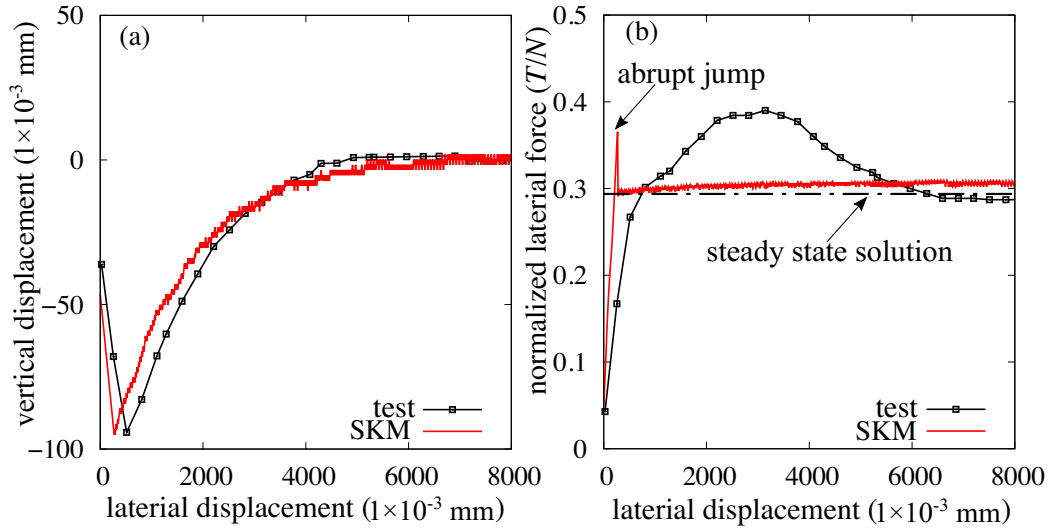


Fig. 14. Comparison between SKM simulated ploughing response, experimental data (test 19 in Challen et al. (1984)) and analytical steady-state solution (Challen and Oxley, 1979). Note that the SKM simulation employs nodal spacing $\Delta x = 60$ and time increment $\Delta T = 10$.

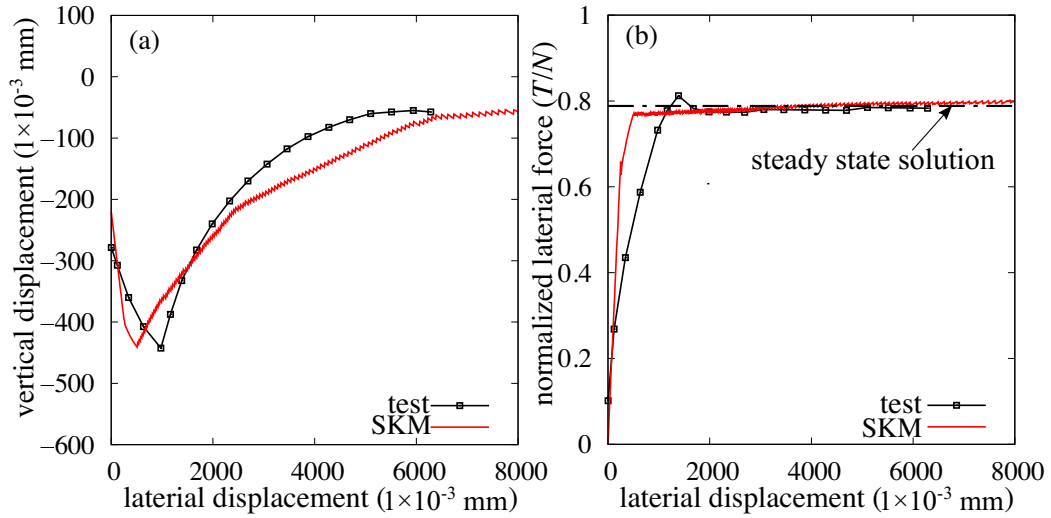


Fig. 15. Comparison between SKM simulated ploughing response, experimental data (test 12 in Challen et al. (1984)) and analytical steady-state solution (Challen and Oxley, 1979). Note that the SKM simulation employs nodal spacing $\Delta x = 60$ and time increment $\Delta T = 10$.

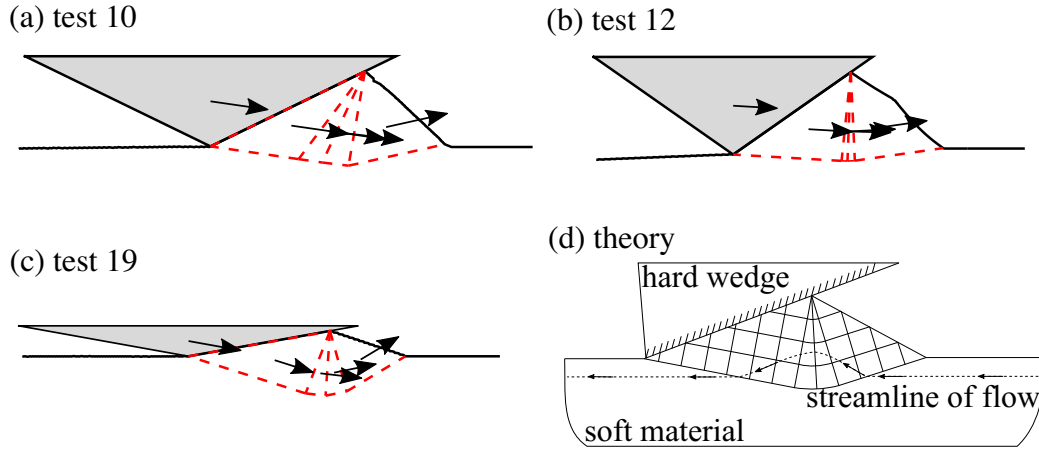


Fig. 16. Comparison between SKM computed steady-state velocity fields and that postulated in slip-line solution (reproduced from [Challen and Oxley \(1979\)](#)).

478 8. Simulation of cylinder penetration in undrained clay

479 To illustrate the application of the proposed SKM to other evolutionary plastic-
 480 ity problems in geotechnical engineering, plain-strain cylinder penetrating undrained
 481 clay is simulated in the following. As previously mentioned, this deformation pro-
 482 cess is similar to that taking place during the T-bar penetrometer test in geotechnical

Table 3. Computation times (unit:second) and Mosek calls for SKM simulations of lateral ploughing. Note that the reported times are total runtime on a PC equipped with an Intel i9-9900 processor (3.6 GHz; 8 cores) and 32 GB RAM. Test numbers in the table refer to those performed by [Challen et al. \(1984\)](#).

Cases	Total runtime	Number of Mosek calls
Test 10	251	19624
Test 12	900	97071
Test 19	241	23545

483 site characterization (Einav and Randolph, 2005).

484 Figure 17 shows the kinematic mechanism used in the SKM simulations.
485 Considering the symmetry of the problem, only half of the domain is modeled.
486 The T-bar penetrometer is approximated by a rigid polygon (see Fig. 17(a)) that
487 allows treating the soil-tool interface as planar velocity discontinuities. The SKM
488 progressively adds new blocks to kinematic mechanism to facilitate the growth in
489 the contact region between soils and T-bar during its penetration. Specifically, a
490 new pair of rigid blocks are included (see Fig. 17(b)) when a new polygon edge
491 becomes in contact with the soil free surface (e.g., BC in Fig. 17(b)). To ease
492 the comparison between the SKM simulations and existing solutions, we consider
493 that the shear strength of undrained clay S_u distributes uniformly along depths.
494 The Tresca solid is used to approximate undrained clay, i.e., cohesion c in Eq. (1)
495 equals to S_u . The soil-tool interface is considered to be rough and feature strength
496 $c_a = S_u/2$. The simulation is performed by prescribing the velocity of the T-bar
497 (i.e., v_y in Fig. 17). Other model settings are the same as those employed in the
498 aforementioned wedge ploughing example.

499 Figure 18 show the computed variation of penetration resistance with depths
500 by the SKM and finite element method (FEM) (Zhu et al., 2020). In the FEM
501 simulation, Coupled Eulerian-Lagrangian (CEL) technique is used to handle the
502 large deformation of soil, while the Tresca model is used to describe the behavior
503 of undrained clay. More detailed discussions on the features of the FEM modeling
504 can be found from Kong (2015), Kong et al. (2018), and Zhu et al. (2020). The
505 results given by the two numerical approaches agree reasonably, and show a
506 consistent trend that the penetration resistance grows at smaller rates as the depth
507 increases. The analytical solutions proposed by Hambleton and Drescher (2012)

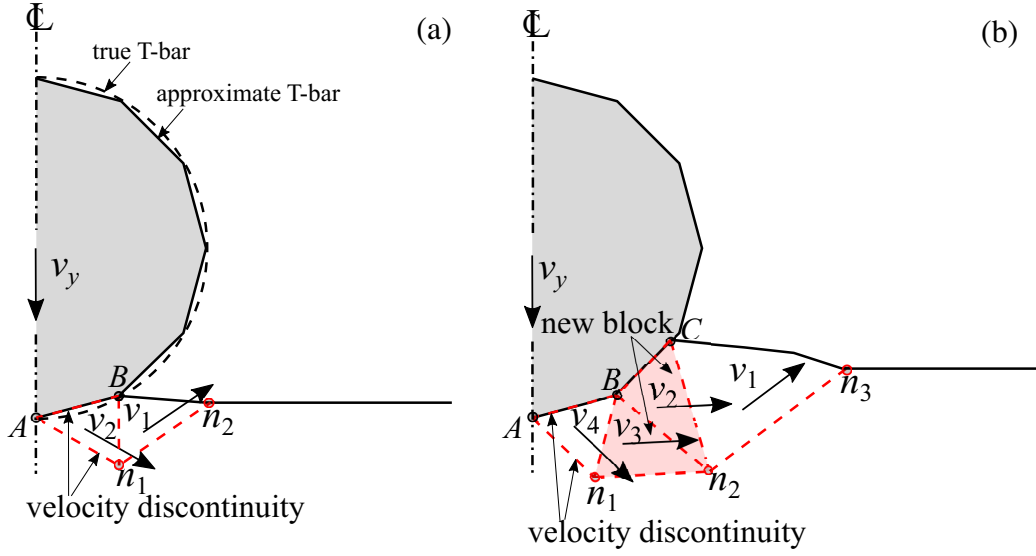


Fig. 17. Kinematic mechanism in the simulation of rigid cylinder penetration: (a) early contact; (b) new blocks are added to facilitate the growth in soil-tool contact area.

and Einav and Randolph (2005), applicable respectively to shallow and deep T-bar penetration, are included in Fig. 18. In the former work, a closed-form solution for cylinder indentation is constructed by examining asymptotic state of evolutionary processes characterized by the Prandtl-type punch mechanism (Hambleton and Drescher, 2012). The latter study presents an upper bound solution for a cylindrical plane-strain object translating through a rigid plastic solid (Einav and Randolph, 2005). Figure 18 shows that the force-penetration relationship computed by the SKM matches reasonably with the solution of Hambleton and Drescher (2012) at shallow depths, while approaches to the solution of Einav and Randolph (2005) at deep locations.

The change in the free surface and deformation mechanism of soil as the penetration proceeds is presented in Fig. 19. These patterns of evolving material geometries are consistent with those revealed from FEM simulations (Kong et al.,

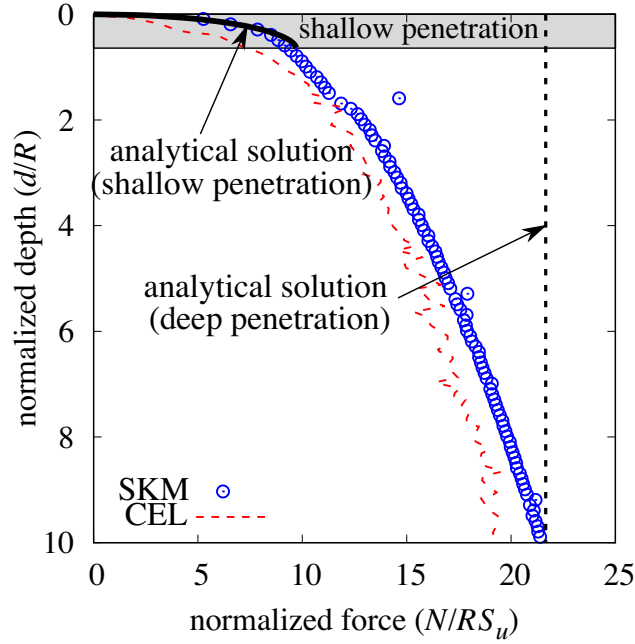


Fig. 18. Force-displacement relationship during cylinder penetration process computed by the SKM, Coupled Eulerian-Lagrangian (CEL) finite element method, and analytical models. Note that the SKM simulation employs nodal spacing $\Delta x = 0.01$ and time increment $\Delta T = 0.02$. The analytical solution for shallow penetration is described in [Hambleton and Drescher \(2012\)](#), while that for deep penetration is given by [Einav and Randolph \(2005\)](#).

2017; Zhu et al., 2020), except that the SKM computes global flow deformation
mechanism for deep penetration (albeit that the magnitude of soil velocities at
shallow depths is noticeably reduced, see Fig. 19(c)), rather than local full-flow
mechanism as seen in the upper bound solution of [Einav and Randolph \(2005\)](#).
The reasons behind such discrepancy will be discussed in the following section.

9. Possibilities and limitations of SKM

We have shown that how two archetypal problems of evolutionary plasticity
processes (wedge ploughing and cylinder penetration) can be modeled by the SKM

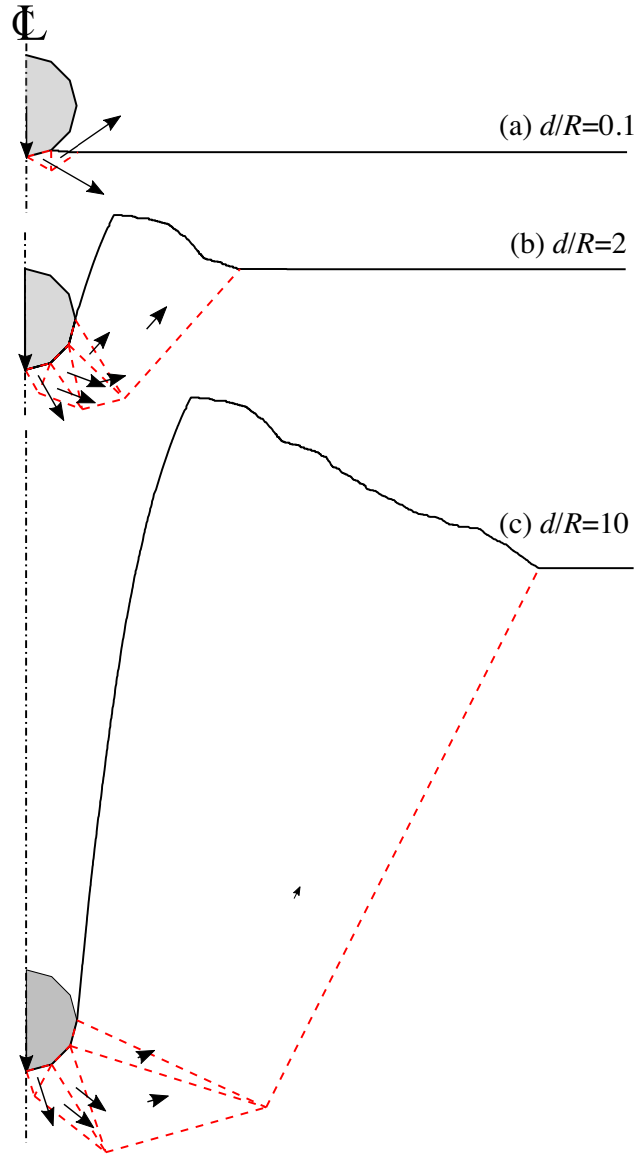


Fig. 19. Material free surface and soil deformation mechanism computed by the SKM that correspond to different cylinder penetration depths.

in combination with simple kinematic mechanism. By comparing against analytical and numerical solutions as well as experimental evidence in the literature, we

531 show that the SKM can reasonably evaluate the first-order response of the problem
532 (i.e., the force-displacement history and tool trajectories). The key behind this
533 modeling success is to captures the evolution of material geometries (e.g., free
534 surface) due to the large deformation.

535 The present study has been focused on the evolutionary plasticity processes
536 involving Tresca solid (cohesive soil). This cohesive material is selected to simplify
537 the problems such that the key characteristics of the fundamental concept of
538 simulating large deformation processes via SKM can be explored. Specifically,
539 given the incompressibility conditions of cohesive material, the dilation at velocity
540 discontinuities and the consequent potential material separation or overlay taking
541 place during geometry update can be avoided. On the other hand, it should
542 be noted that the SKM strategy can be applied to the problems dealing with
543 frictional materials, as demonstrated by modeling thrusting sequences in geology
544 (Cubas et al., 2008; Mary et al., 2013) and ploughing sand (Hambleton et al.,
545 2014; Kashizadeh et al., 2015). In these studies, the dilatancy of cohesionless
546 materials at velocity discontinuities is often neglected when the material geometry
547 is incrementally updated, as a means to avoid the aforementioned complications.
548 Therefore, when extending the proposed SKM method to frictional materials,
549 future investigations are needed on the methods to update the material geometries
550 in accordance with deformation mechanisms featuring finite dilatancy at velocity
551 jumps.

552 The proposed SKM formulation characterizes material deformation patterns
553 by the simple mechanism of rigid elements. This modeling decision reduces
554 the number of unknowns required to constrain an optimal kinematic field and
555 consequently leads to relatively efficient simulations. Nevertheless, it should be

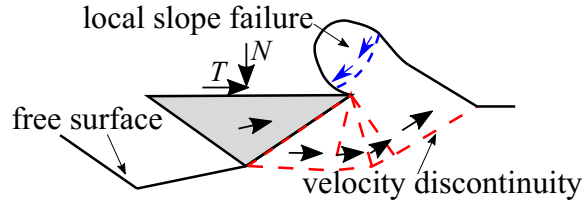


Fig. 20. Schematic illustrating the conditions of overtopping, where material deformation characteristics such as local slope failure cannot be represented by rigid element mechanism.

noted that there are cases where the aforementioned simple mechanism is not sufficient to characterize material deformation patterns. For instance, when a wedge with finite size keep ploughing Tresca solid, the cohesive material at some times might start to overtop the moving object, as shown in Fig. 20. Under these conditions, the material deformation can feature characteristics that cannot be represented by simple kinematic mechanism, like local slope failure.

To accommodate these deformation patterns, the current SKM model needs to employ more sophisticated kinematic mechanisms such as deformable elements and the deformation of the material not immediately adjacent to the object. For this purpose, the energy dissipation due to the deformation of elements needs to be included in the r -adaptive kinematic method, while broader material domain requires to be discretized by mesh (see Kong (2015) for a detailed discussion on formulating SKM based on finite element limit analysis). On the other hand, it should be noted that, while more sophisticated mechanisms can more accurately capture the material deformation, they inevitably increase computation cost. Therefore, the selection of kinematic mechanism in the SKM depends on “cost/benefit” considerations done for specific engineering projects.

The response computed by the proposed SKM model strongly relies on the algorithms used to search for an optimal velocity field (i.e., the algorithms used to

575 solve the non-linear optimization of Eq. (7)). Local optimization algorithm is cur-
 576 rently employed due to that it is generally more efficient than its global optimization
 577 counterparts. Nevertheless, this type of algorithm might return local optimum and
 578 the kinematic mechanism that is not the most critical. As mentioned above, global
 579 deformation pattern is computed by the SKM when the cylinder has been pushed
 580 to relatively deep depths (see Fig. 21(a)). In fact, local deformation pattern can
 581 correspond to smaller resistance (see the N/RS_u values depicted in Fig. 21(a) and
 582 (b)) and thus representing a more critical mechanism. This alternative mechanism
 583 can be computed from the current formulation when the optimization solver starts
 584 with different initial guesses of nodal positions. Continuous investigations are
 585 required to explore the possibility of resolving this dependence on initial nodal
 586 positions without sacrificing computational efficiency, like via global surrogate
 587 optimization.

588 In addition to initial nodal positions, the performance of the optimization solver
 589 can be sensitive to its controlling parameters, so does the response computed
 590 by the SKM model. We use the test 12 performed by Challen et al. (1984)
 591 to illustrate this point. It is seen from Fig. 22 that employing a higher value
 592 for the parameter T_s (i.e., stop the optimization prematurely) only marginally
 593 overestimates the ploughing force over the first half of the deformation process,
 594 but leading to remarkable changes in the computed wedge trajectories and material
 595 free surface. The cumulative changes in the geometric configurations eventually
 596 reach a breakpoint (i.e., the square symbol in Fig. 22) where the deformation
 597 mode fundamentally changes (see the inset of Fig. 22), so does the corresponding
 598 ploughing resistance. Future studies can explore the possibility of regularizing
 599 the aforementioned dependence of solution on optimization solver parameters

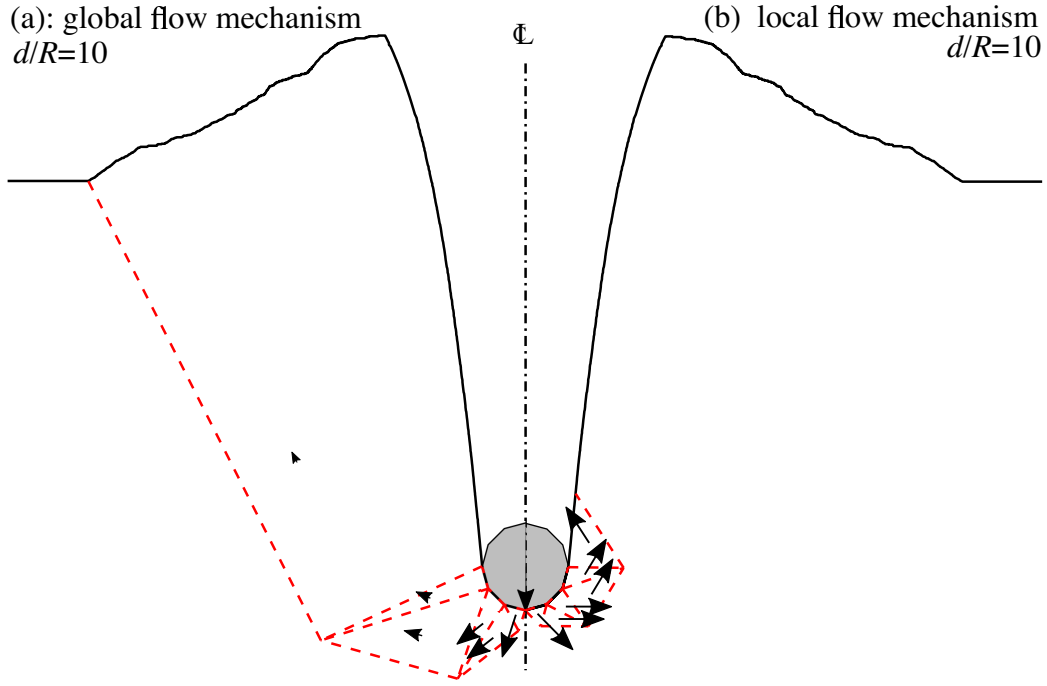


Fig. 21. Deformation mechanism for deep penetration of cylinder.

via including deformable elements in kinematic mechanism, as the rigid block
 assumption might pose overly strong restrictions on available deformation modes.

The last limitation of the SKM model observed in the present study is that the
 solution can be sensitive to the presence of irregular shape along the material free
 surface and thus requiring careful correction of the surface. To illustrate this point,
 Fig. 23 shows the effects of permitting the sharp inverse corner at the free surface.
 Similar to relaxing the optimization tolerance described above, the irregular shape
 of the free surface can promote remarkable changes on the computed deformation
 mode and peculiar jumps in the ploughing forces. This is because the boundary
 between the moving and stationary materials is trapped at the tip of the inverse
 angle (see the computed velocity fields in Fig. 23). The issue mentioned above can

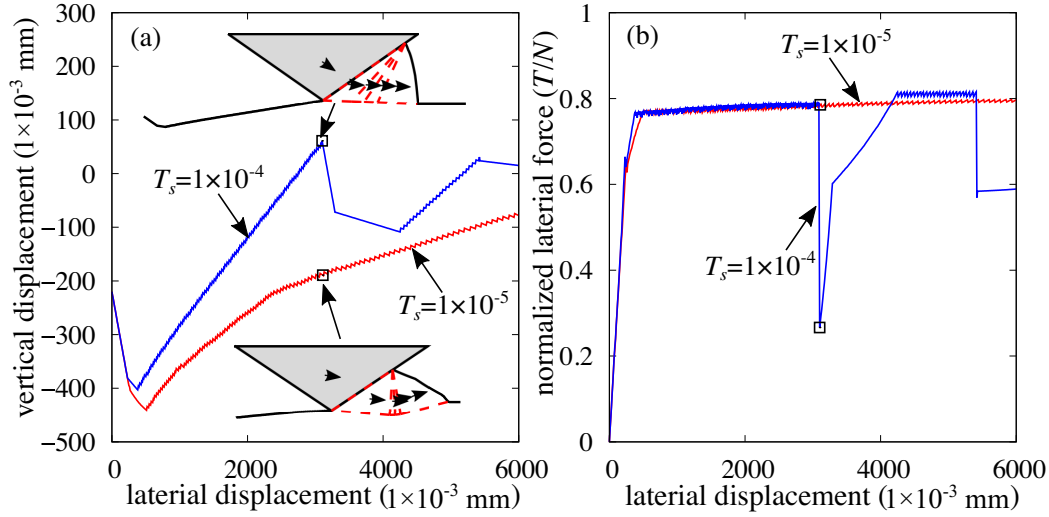


Fig. 22. Influence of the non-linear optimization tolerance T_s on the computed ploughing response.

611 be addressed by the surface correction scheme discussed in Section 4. However,
 612 it should be noted that these correction strategies can violate the conservation of
 613 mass, as materials are deleted (for correcting penetration) or added (for correcting
 614 the inverse corner). Such induced error can be minimized as relatively small time
 615 increments are adopted (see Table 1).

616 10. Conclusions

617 This work investigates the potentials of simulating evolutionary plasticity pro-
 618 cesses via sequential kinematic method (SKM) constructed on simple deformation
 619 mechanism. These processes are modeled by sequentially updating the material
 620 geometries in accordance with velocity fields represented by mechanism consist-
 621 ing of rigid translational elements separated by velocity discontinuities. Optimal
 622 velocity fields are sought by a r -adaptive kinematic method formulation, where
 623 an iterative, nested optimization procedure is constructed that consists of (1) de-

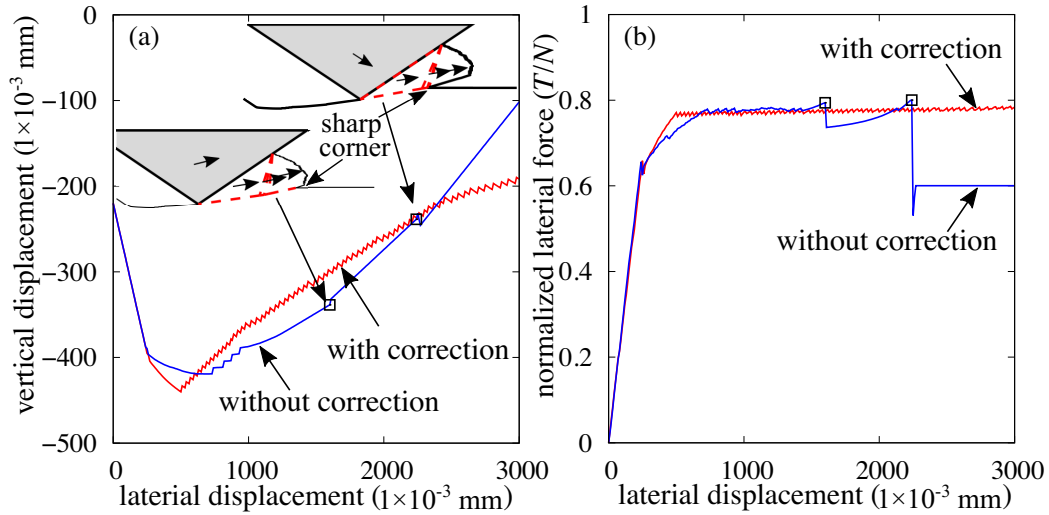


Fig. 23. Influence of the free surface correction on the computed ploughing response.

624 termination of velocities for a fixed mesh of rigid blocks using second-order cone
 625 programming and (2) adaptation of nodal positions using non-linear optimization
 626 to find a critical layout of velocity discontinuities. The advantages and limita-
 627 tions of the modeling strategy are examined through simulating wedge ploughing
 628 Tresca solid and cylinder penetrating undrained clay, where analytical, numerical
 629 solutions and experimental observations are available in the literature. The main
 630 conclusions can be drawn from this work include:

- 631 1. The comparison of the results simulated by using the proposed SKM model
 632 against existing solutions and experimental evidence shows that SKM com-
 633 bined with conceptually simple deformation mechanism can reasonably rep-
 634 resent the first-order response of wedge ploughing and cylinder penetration,
 635 including forces and motions of the object.
- 636 2. The proposed SKM technique exhibits promising features for delivering
 637 efficient analyses of evolutionary plasticity problems.

- 638 3. The response computed by the SKM depends on spatial and temporal dis-
639 cretization sizes. A converging trend of simulations is seen as the nodal
640 space of the discretized free surface or time increment size become smaller.
- 641 4. Both employing a sufficiently small termination tolerance for the non-linear
642 optimization of the nodal positions and appropriately correcting the material
643 free surface can be crucial for obtaining accurate simulations. Without
644 these restrictions, a significant deviation on the objects' trajectories and
645 the material free surface can occur without noticeably altering the computed
646 forces. However, the accumulation of errors in the geometries can eventually
647 lead to large mismatches on the prediction of resistance.
- 648 5. The employed local optimization solver can return kinematic mechanism that
649 is not the most critical, depending on the initial guesses of nodal positions.

650 In future studies, the proposed SKM model can be extended to the problems
651 dealing with frictional materials. In this aspect, more research efforts might be
652 required focusing on the methods for updating material geometries that can accom-
653 modate finite dilation at velocity discontinuities. The dependence of kinematic
654 mechanism optimization on initial nodal positions might be resolved by employing
655 efficient global optimization solvers (e.g., surrogate model). The proposed SKM
656 model applies most appropriately if the engineering interest is to quickly evaluate
657 large-deformation plasticity problems to the first order. When the primary inter-
658 ests rest on more accurate representations of soil deformation or detailed response
659 such as the stress and strain fields, the current formulation can be augmented by
660 more sophisticated kinematic mechanisms (e.g., [Kong \(2015\)](#), [Kong et al. \(2018\)](#),
661 [Zhu et al. \(2020\)](#)), or modeling techniques other than SKM can be pursued (e.g.,
662 [Agarwal et al. \(2019\)](#), [Afrasiabi et al. \(2019\)](#) and [Recuero et al. \(2017\)](#)).

663 **Acknowledgements**

664 This material is based upon work supported by the National Science Foundation
665 under Grant No. 1846817. This financial support is gratefully acknowledged. The
666 first and second authors acknowledge support provided by the National Natural
667 Science Foundation of China under Grant Nos. 51738010 and 41902278.

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