

1 **Abstract**

2 In this paper, a strut-and-tie model approach is presented for calculating the strength of 3 reinforced concrete pile caps. The proposed method employs constitutive laws for cracked 4 reinforced concrete and considers strain compatibility. This method is used to calculate the load 5 carrying capacity of 116 pile caps that have been tested to failure in structural research 6 laboratories. This method is illustrated to provide more accurate estimates of behavior and 7 capacity than the special provisions for slabs and footings of 1999 American Concrete Institute 8 (ACI) code, the pile cap provisions in the 2002 CRSI Design Handbook, and the strut-and-tie 9 model provisions in either 2005 ACI code or the 2004 Canadian Standards Association (CSA) 10 A23.3. The comparison shows that the proposed method consistently well predicts the strengths 11 of pile caps with shear span-to-depth ratios ranging from 0.49 to 1.8 and concrete strengths less 12 than 41 MPa. The proposed approach provides valuable insight into the design and behavior of 13 pile caps.

14 **Key words:** strut-and-tie model, pile caps, footings, failure strength, shear strength

15

16 **INTRODUCTION**

17 The traditional design procedure for pile caps is the same sectional approach as that typically 18 used for the design of two-way slabs and spread footings in which the depth is selected to 19 provide adequate shear strength from concrete alone and the required amount of longitudinal 20 reinforcement is calculated using the engineering beam theory assumption that plane sections 21 remain plane. However, and as illustrated by simple elastic analyses, pile caps are three-22 dimensional D(Discontinuity) Regions in which there is a complex variation in straining not 23 adequately captured by sectional approaches. A new design procedure for all D-Regions,

1 including pile caps, has recently been introduced into North American design practice (Canadian 2 Standards Association (CSA) 1984, the American Association of State Highway and 3 Transportation Officials (AASHTO) 1994, American Concrete Institute (ACI) 2002). This 4 procedure is based on a strut-and-tie approach in which an idealized load resisting truss is 5 designed to carry the imposed loads through the discontinuity region to its supports. For the 6 typically stocky pile cap, such as the four-pile cap shown in Fig. 1, this consists of compressive 7 concrete struts that run between the column and the piles and steel reinforcement ties that extend 8 between piles.

9 The strut-and-tie approach is a conceptually simple and generally regarded as an appropriate 10 approach for the design of all D-Regions. To enable its use in practice, it was necessary to 11 develop specific rules for defining geometry and stress limits in struts and ties that have been 12 incorporated into codes of practice. These rules and limits were principally derived from tests on 13 planar structures and they are substantially different for the two predominant strut-and-tie design 14 provisions in North America, those being the "Design of Concrete Structures" by the Canadian 15 Standards Association (CSA Committee A23.3 2004) and Appendix A "Strut-and-Tie Models" of 16 the "Building Code Requirements for Structural Concrete" of the American Concrete Institute 17 (ACI Committee 318 2005). An evaluation of the applicability of these strut-and-tie provisions to 18 pile caps should be made using available experimental test data. In addition, it would be useful to 19 assess if the design of pile caps would benefit from any additional specific rules or guidelines in 20 order to ensure a safe and effective design.

21 This paper presents an examination of existing design methods for pile caps as well as a new 22 strut-and-tie approach for calculating the capacity of pile caps. This new approach utilizes 23 constitutive laws for cracked reinforced concrete and considers both strain compatibility and

3

1 equilibrium. To validate the proposed method, it is also used to calculate the strength of 116 pile 2 caps with concrete strengths less than 41 MPa. These strengths are also compared with those 3 calculated using the special provisions for slabs and footings of ACI 318-99 (ACI Committee 4 318 1999), CRSI Design Handbook 2002 (CRSI 2002), the strut-and-tie model provisions used 5 in ACI 318-05 (ACI Committee 318 2005) and the Canadian Standards Association (CSA 6 Committee A23.3 2004), and the strut-and-tie model approach presented by Adebar and Zhou 7 (1996).

8

9 **EXISTING PILE CAP DESIGN METHODS**

10 This section provides a brief discussion of the aforementioned provisions and guidelines that 11 are used in North American practice for the design of pile caps.

12 ACI 318-99 and CSRI Handbook suggest that pile caps be designed using the same 13 sectional design approaches as those for slender footings supported on soil. This requires a 14 design for flexure at the face of columns as well as one and two-way shear checks. The CSRI Handbook provides an additional relationship for evaluating V_c when the shear span is less than 16 one-half the depth of the member, $w < d/2$, as presented in eq. [1] where *c* is the dimension of 17 a square column. These procedures are the most commonly used in North American design 18 practice.

19 [1]

$$
V_c = \left(\frac{d}{w}\right)\left(1 + \frac{d}{c}\right)\left(0.33\sqrt{f'_c}\right)b_s d \quad (\text{mm, N})
$$

20 where the shear section perimeter is $b_s = 4c$.

21 Appendix A of ACI 318-05 and the Canadian Standards Association provide provisions for 22 the design of all D(Discontinuity)-Regions in structural concrete, including pile caps. These

1 provisions include dimensioning rules as well as stress limits for evaluating the capacity of struts, 2 nodes, and the anchorage region of ties. They principally differ in the stress limits for struts. In 3 ACI 318-05, the compressive stress for the type of bottle shaped struts that occur in pile caps 4 would be $0.51f'$. The stress limit in struts by the CSA strut-and-tie provisions are a function of 5 the angle of the strut relative to the longitudinal axis, with the effect that the stress limit in 30, 45 6 and 60 degree struts with the assumption of tie strain $\epsilon_s = 0.002$ would be 0.31, 0.55, and 7 0.73 f'_c , respectively. The strut-and-tie provisions in these code specifications have only had 8 limited use in design practice.

9 Based on an analytical and experimental study of compression struts confined by plain 10 concrete, Adebar and Zhou (1993) concluded that the design of pile caps should include a check 11 on bearing strength that is a function of the amount of confinement and the aspect ratio of the 12 diagonal struts. Adebar and Zhou (1996) provided the following equations for the maximum 13 allowable bearing stress in nodal zones:

14 [2; 3; 4]
$$
f_b \le 0.6 f_c' + 6\alpha \beta \sqrt{f_c'}; \ \alpha = \frac{1}{3} \left(\sqrt{A_2/A_1} - 1 \right) \le 1.0; \ \beta = \frac{1}{3} \left(\frac{h_s}{b_s} - 1 \right) \le 1.0
$$

15 The parameters α and β account for the confinement of the compression strut and the 16 geometry of the diagonal strut. The ratio A_2/A_1 in eq. [3] is identical to that used in the ACI 17 code for calculating the bearing strength. The ratio h_s/b_s is the aspect ratio (height-to-width) of 18 the strut. Adebar and Zhou suggested that the check described above is added to the traditional 19 section force approach for pile cap design.

20 The calculated strengths by these provisions and design guidelines are compared against the 21 test database following the presentation of the authors proposed strut-and-tie method and this test 22 database.

1

2 **A THREE-DIMENSIONAL STRUT-AND-TIE MODEL APPROACH**

3 To further evaluate the effectiveness of a strut-and-tie design approach for pile caps and to 4 identify means of improving design provisions, a methodology for evaluating the capacity of pile 5 caps was developed that considers strain compatibility and uses non-linear constitutive 6 relationship for evaluating the strength of struts. In this procedure, the three-dimensional strut-7 and-tie model shown in Fig. 1 was used for the idealized load resisting truss in a four-pile cap. 8 This model is used for all pile caps examined in this paper. The shear span-to-depth ratio of most 9 test specimens selected in this study is less than one. Since the mode of failure is not known for 10 all test specimens, the proposed model considers the possibility of crushing of the compression 11 zone at the base of the column and yielding of the longitudinal reinforcement (ties). For all truss 12 models used in this study, the angle between longitudinal ties and diagonal struts is greater than 13 25 degrees; satisfying the ACI 318-05 limit. The details of the proposed strut-and-tie approach 14 are now presented.

15

16 **Effective depth of concrete strut**

17 The effective strut width is assumed based on the available concrete area and the anchorage 18 conditions of the strut. The effective area of diagonal strut at the top node is taken as

19 [5]
$$
A_d = \frac{c}{\sqrt{2}} \left(\frac{c}{\sqrt{2}} \cos \theta_z + kd \sin \theta_z \right)
$$

20 where *c* is the thickness of the square column and *k* is derived from the bending theory for a 21 single reinforced section as follows

$$
22 \qquad [6] \qquad \qquad k = \sqrt{(n\rho)^2 + 2n\rho} - n\rho
$$

1 and where *n* is the ratio of steel to concrete elastic moduli with E_c taken as follows (Martinez 2 1982)

3 [7]

$$
E_c = \begin{cases} 4730\sqrt{f_c'} & \text{for } f_c' \le 21 \text{ MPa} \\ 3320\sqrt{f_c'} + 6900 & \text{for } f_c' > 21 \text{ MPa} \end{cases}
$$

The inclination angles between the diagonal struts and x-, y-, and z-axis are expressed as θ_x , θ_y , and θ_z respectively as shown in Fig. 1. These angles represent the direction cosines of a 6 diagonal strut. The effective area of a diagonal strut at the bottom node is taken as

7 [8]

$$
A_d = \frac{\pi}{4} d_p \left[d_p \cos \theta_z + 2(h - d) \sin \theta_z \right]
$$

8 where d_p is pile diameter and *h* is overall height of the pile cap. The effective area of 9 diagonal strut is taken as the smaller of eqs. [5] and [8]. The effective depth of a horizontal strut 10 is taken as $h/4$ based on the suggestion of Paulay and Priestley (1992) on the depth of the 11 flexural compression zone of the elastic column as follows

12 [9]

$$
w_c = \left(0.25 + 0.85 \frac{N}{A_g f_c'}\right) h_c
$$

13

14 **Force equilibrium**

15 The strut-and-tie model shown in Fig. 1 is statically determinate and thus member forces can 16 be calculated from the equilibrium equations only as given below:

$$
F_d = \frac{P}{4\cos\theta_y}
$$

$$
18 \qquad [11] \qquad \qquad F_x = F_d \cos \theta_x
$$

$$
19 \qquad [12] \qquad \qquad F_y = F_d \cos \theta_y
$$

1 where *P* is column load; F_d is the compressive forces in the diagonal strut; F_x and F_y are 2 respectively the member forces in the x- and y-axis horizontal struts and ties. Since the strut-and-3 tie method is a full member design procedure; flexure and shear are not explicitly considered.

4

5 **Constitutive laws**

6 Cracked reinforced concrete can be treated as an orthotropic material with its principal axes 7 corresponding to the directions of the principal average tensile and compressive strains. Cracked 8 concrete subjected to high tensile strains in the direction normal to the compression is observed 9 to be softer than concrete in a standard cylinder test (Hsu and Zhang 1997, Vecchio and Collins 10 1982, 1986, 1993). This phenomenon of strength and stiffness reduction is commonly referred to 11 as compression softening. Applying this softening effect to the strut-and-tie model, it is 12 recognized that the tensile straining perpendicular to the compressive strut will reduce the 13 capacity of the concrete strut to resist compressive stresses. Multiple compression softening 14 models were used in this study to investigate the sensitively of the results to the selected model. 15 All models were found to provide similarly good results as will be illustrated later in the paper. 16 The compression softening model proposed by Hsu and Zhang (1997) was selected for the base 17 comparisons and is now described, but it has been illustrated by the authors in a earlier paper 18 (Park and Kuchma 2006) that different compression softening models can be similarly used. The 19 stress of concrete strut is determined from the following equations proposed by Hsu and Zhang.

20 [13]
$$
\sigma_d = \xi f_c' \left[2 \left(\frac{\varepsilon_d}{\xi \varepsilon_0} \right) - \left(\frac{\varepsilon_d}{\xi \varepsilon_0} \right)^2 \right] \text{ for } \frac{\varepsilon_d}{\xi \varepsilon_0} \le 1
$$

21 [14]
$$
\sigma_d = \xi f_c' \left[1 - \left(\frac{\varepsilon_d / (\xi \varepsilon_0) - 1}{2/\xi - 1} \right)^2 \right] \text{ for } \frac{\varepsilon_d}{\xi \varepsilon_0} > 1
$$

1 [15]
$$
\xi = \frac{5.8}{\sqrt{f'_c}} \frac{1}{\sqrt{1 + 400\varepsilon_r}} \le \frac{0.9}{\sqrt{1 + 400\varepsilon_r}}
$$

2 where ε_0 is a concrete cylinder strain corresponding to the cylinder strength f'_c , which can be 3 defined approximately as (Foster and Gilbert 1996)

4 [16]
$$
\varepsilon_0 = 0.002 + 0.001 \left(\frac{f_c' - 20}{80} \right)
$$
 for $20 \le f_c' \le 100$ MPa

5 The response of the ties is based on the linear elastic perfectly plastic assumption.

$$
F_{st} = E_s A_{st} \varepsilon_{st} \le F_{st}
$$

7 where A_{st} and F_{st} are the area and yielding force of horizontal steel tie in the x- or y-axes.

8 The proposed method considers a tension stiffening effect for evaluating the force and strain in 9 steel ties. Vecchio and Collins (1986) suggested the following relationship for evaluating the 10 average tensile stress in cracked concrete:

$$
f_{ct} = \frac{f_{cr}}{1 + \sqrt{200\varepsilon_r}}
$$

Taking f_{cr} as $0.33\sqrt{f'_c}$ and ε_r as 0.002, the tension force resisted by concrete tie is given by

13 [19]
$$
F_{ct} = 0.20 \sqrt{f_c'} A_{ct}
$$

14 where A_{ct} is the effective area of concrete tie which is taken as

15 [20]
$$
A_{ct} = \frac{d}{4} \left(\frac{l_e}{2} + \frac{d_p}{2} \right)
$$

16 where l_e is the pile spacing.

17

18 **Compatibility relations**

19 The strain compatibility relation used in this study is the sum of normal strain in two 20 perpendicular directions which is an invariant:

$$
1 \qquad [21]
$$

$$
1 \qquad [21] \qquad \qquad \varepsilon_h + \varepsilon_v = \varepsilon_r + \varepsilon_d
$$

2 where ε_d is the compressive strain in a diagonal strut and ε_r is a tensile strain in the direction 3 perpendicular to the strut axis. Since horizontal and vertical web reinforcements were not 4 available from test data, ε_h and ε_v are conservatively taken as 0.002 in eq. [21].

5

6 **COMPARISON WITH TEST RESULTS**

7 **Existing test data**

8 Blevot and Fremy (1967) tested 59 four-pile caps. The majority of the four-pile caps were 9 approximately half-scale specimens, and eight of them were full-scale with 750-1000 mm overall 10 heights. Since one of main objectives of this work was to verify a truss analogy method, they 11 used different reinforcement details including no main reinforcement, and either uniformly 12 distributed or bunched reinforcement between piles. Clarke (1973) tested 15 square four-pile 13 caps with overall heights of 450 mm, all approximately half-scale. Two specimens had diagonal 14 main reinforcement, three had main reinforcement bunched over the piles, and the remaining ten 15 had uniformly distributed main reinforcement. The main variables in this study were pile spacing, 16 reinforcement layout, and anchorage type. He reported that the first cracks formed on the 17 centerlines of the vertical faces, and these cracks progressed rapidly upwards forming a 18 cruciform pattern, and finally each cap split into four blocks. Such observations point strongly to 19 a bending failure mode developing. However, though Clarke contended that the majority of the 20 caps failed in shear, the authors agree with Bloodworth, Jackson, and Lee (2003) that many of 21 these failure modes may be more accurately described as combined bending and shear failure. 22 Sabnis and Gogate (1984) tested nine small-scale four-pile caps with 152 mm overall heights, of 23 which one was unreinforced. They studied how the quantity of uniformly distributed longitudinal

1 reinforcement influences the shear capacity of deep pile caps. They reported that cracking of the 2 four outer faces was about the same in all the specimens and are indicative of combinations of 3 deep beam failure with very steep shear cracks and punching shear failures of slabs. They also 4 observed that some of this cracking may be prevented by the use of horizontal reinforcement on 5 the vertical faces of the caps; this reinforcement is only of secondary benefit and might not 6 substantially enhance the strength of the pile cap. Adebar, Kuchma, and Collins (1990) tested six 7 full-scale pile caps to study the performance of the strut-and-model for pile cap design. Four of 8 their tests were on diamond-shaped caps, one was on a cruciform-shaped cap, and one was on a 9 rectangular six-pile cap. The test results demonstrated that the strain distributions are highly 10 nonlinear both prior to cracking and after cracking. They reported that the failure occurs after a 11 compression strut split longitudinally due to the transverse tension caused by spreading of the 12 compressive stresses and that the maximum bearing stress is a good indicator of the likelihood of 13 a strut splitting failure. From the pile caps they tested, the maximum bearing stress at failure had 14 a lower limit of about $1.1 f_c'$. They concluded that the strut-and-tie models accurately represent 15 the behavior of deep pile caps and correctly suggest that the load at which a lightly reinforced 16 pile cap fails in two-way shear depends on the quantity of longitudinal reinforcement. Suzuki, 17 Otsuki, and Tsubana (1998, 1999), Suzuki, Otsuki, and Tsuchiya (2000), and Suzuki and Otsuki 18 (2002) tested 94 four-pile caps with the reinforcement bunched over the piles or distributed in a 19 uniform grid. The main variables investigated in tests were the influence of edge distance, bar 20 arrangement, taper, and concrete strength on the failure mode and the ultimate strength. They 21 reported that it was experimentally observed that the ultimate strength of the pile caps with a 22 uniform grid arrangement was lower than that of pile caps with an equivalent amount of 23 reinforcement concentrate (bunched) between the pile bearings. Though pile caps may be

1 designed to any shape depending on the pile arrangement, rectangular four-pile caps previously 2 tested were only chosen for examination in this study. Therefore, the 116 pile cap specimens 3 tested by Clarke (1973), and Suzuki, Otsuki, and Tsubata (1998, 1999), Suzuki, Otsuki, and 4 Tsuchiya (2000), Suzuki and Otsuki (2002), and Sabnis and Gogate (1984) were selected to 5 validate the proposed method.

6

7 **Procedure for Evaluating the Capacity of Pile Caps**

8 The procedure for calculating the capacity of piles caps by the authors proposed method uses 9 the compatibility, equilibrium, and constitutive relationships as described above and is as 10 follows:

1. According to the member forces calculated from eq. [10] to eq. [12], ε_d and ε_r are found 12 for *P* using eq. [13] and eq. [21], respectively. A concrete softening coefficient ξ is 13 calculated from eq. [15] using ε_r .

2. The updated value of σ_d is calculated from eq. [13]. If the difference between the two σ_d 15 values is larger than the defined tolerance, the steps are repeated until convergence has been 16 achieved. Nominal strength by failure of diagonal strut can be estimated from

$$
P_n = 4\xi f'_c A_d \cos \theta_z
$$

18 3. The nominal strength by failure of horizontal concrete strut is taken by

19 [23]
$$
P_n = 0.85 f_c' \frac{hc}{2} \frac{\cos \theta_z}{\cos \theta_x}
$$

20 and, the nominal strength by tension failure mode can be expressed as

$$
P_n = \left(2f_y A_s + 4F_{ct}\right) \frac{\cos \theta_z}{\cos \theta_x}
$$

22 where f_y and A_s are the yield strength and cross-sectional area of the bottom longitudinal

1 reinforcement. The strength of the pile cap by a tension failure mode is the column load to cause 2 yielding of the reinforcement and fracture of a concrete tie.

3 4. The predicted strength by this method is the minimum value of the nominal strengths 4 computed from the different failure modes, which are crushing or splitting of the diagonal 5 concrete strut, crushing of the compression zone at the base of the column load, and yielding of 6 longitudinal reinforcement.

7

8 **Strength prediction**

9 The calculated strengths by the 6 methods (special provisions for slabs and footings of ACI 10 318-99 and in CRSI Design Handbook 2002, and the strut-and-tie methods in ACI 318-05, CSA 11 A23.3, by Adebar and Zhou, and by the Authors) are compared with the measured capacity of 12 the 116 selected pile caps test results. The details of the test specimens and strength ratios P_{test}/P_n) are presented for each of the 6 groups of test results in Tables 1-6, and collectively in 14 Table 8 and Figs. 2-3. In all figures, the shear span *a* is defined by the distance from pile 15 centre-line to column centre-line measured parallel to pile cap side. Table 7 shows the specimens 16 which were reported to have failed by shear. Some of specimens do not satisfy the code 17 minimum depth of 305 mm for footings on piles and the code minimum percentage of 18 longitudinal reinforcement. Especially, the overall height of the specimens of Sabnis and Gogate 19 (1984) is 152 mm which is about a half of code minimum footing depth, and 18 specimens of 20 Suzuki, Otsuki, and Tsubata (1999) are tapered pile caps. However, the comparative evaluation 21 still used this test data for the purpose of comparing the different design approaches. Tapered 22 pile caps can be designed using strut-and-tie model as long as the inclination of tapered pile cap 23 is small enough to include sufficient concrete area for the diagonal struts.

13

Fig. 2 presents the strength ratios (P_{test}/P_n) as a function of shear span-to-depth ratio for the 2 six aforementioned methods: (a) Special provisions for slabs and footings of ACI 318-99 Code; 3 (b) CRSI Design Handbook 2002; (c) Strut-and-tie model of ACI 318-05; (d) Strut-and-tie model 4 of CSA A23.3; (e) Strut-and-tie model approach of Adebar and Zhou; and (f) Proposed strut-5 and-tie model approach by the authors. Based on these comparisons, the following initial 6 observations can be made. The special provisions in ACI 318-99 and the design formula of CRSI 7 Design Handbook 2002 lead to the most conservative estimates of strength with very reasonable 8 coefficients of variation for the range of tested pile caps. The strengths calculated by the strut-9 and-tie provisions in Appendix A of ACI 318-05 and CSA A23.3 provide conservative estimates 10 of capacities and somewhat larger scatter of strength ratios. The methods presented by Adebar 11 and Zhou (1996) and the authors are less conservative, but still safe, with a scatter similar to that 12 by the ACI and CSRI special provisions for footings and slabs.

13 The above observations were referred to as initial observations for a more complete 14 examination of the behavior of the tested pile caps leads to a somewhat different assessment of 15 the accuracy and safety of these methods. The source of the conservatism of the first four 16 methods is that the calculated strengths, P_n , was usually controlled by the calculated flexural 17 capacity of the test structures. These calculated capacities have been observed to be unduly 18 conservative due to inaccuracies in the estimated flexural lever arm and ignoring tensile 19 contributions of the concrete. Therefore, in order to evaluate the shear provisions and the strut 20 and nodal zone stress limits of these methods, it is useful to examine the strength ratios for 21 members that did not fail by reinforcement yielding and in which the calculated strengths are not 22 limited by the calculated flexural capacity or strength of the tension ties.

Fig. 3 presents the strength ratios (P_{test}/P_n) as a function of shear span-to-depth ratio for the

1 six aforementioned methods for only those 33 pile caps that were reported by the authors to have failed in shear and before reinforcement yielding and in which the nominal strength, P_n , is 3 controlled by the calculated shear strength or strength of struts and nodes. As shown in Fig. 3, 4 this leads to a very different impression of the accuracy and safety of these methods. The 5 calculated shear capacities by ACI 318-99 (Fig. 3a) and CSRI (Fig. 3b) were unconservative in 6 17 and 19 of the 33 cases, respectively. The strut and tie provisions by ACI 318-05 (Fig. 3c) and 7 the CSA A23.3 (Fig. 3d) were unconservative in 5 and 12 of the 33 cases, respectively. Thus, it 8 can be concluded that while these four methods are conservative due to their underprediction of 9 flexural and tie capacities, that the shear, concrete strut, and nodal zone capacities predicted by 10 these methods are unconservative.

11 Fig. 3(e) examines the accuracy of the strut-and-tie model approach proposed by Adebar and 12 Zhou (1996). The shear capacity predicted by this method is limited by the nodal zone bearing 13 stresses given by eq. [2], while the flexural capacity can be described by the column load that 14 would cause yielding of the steel tie of the strut-and-tie model. Adebar and Zhou (1996) assumed 15 that the lower nodes of strut-and-tie model were located at the center of the piles at the level of 16 the longitudinal reinforcement, while the upper nodal zones were assumed to be at the top 17 surface of the pile cap. This method does not overpredict any of the pile cap strengths and the 18 predictions are reasonably conservative as the strength of most pile caps was limited by the 19 conservative method for calculating the flexural capacity. However, the bearing capacity 20 requirement provides unconservative estimations of the strengths for many specimens which 21 were reported to have failed by shear as shown in Fig. 3(e). The shear span-to-depth ratios of 22 most test specimens reviewed in this study is less than one, and the majority of the specimens 23 may be more accurately described as combined bending and shear failure due to interpretation of

1 failure modes. The nodal zone bearing stress limit calculated in eq. [2] results in similar 2 maximum bearing strengths as calculated in the ACI Code in which the stress limit is ∂ ϕ (0.85 f'_c) $\sqrt{A_2/A_1}$. Fig. 3(e) illustrates that the bearing strength limit of this method is not a good 4 indicator for pile cap strengths as has been reported by Cavers and Fenton (2004).

5 Figs. 2(f) and 3(f) examine the accuracy of the procedure developed by the authors. The 6 calculated capacities by the proposed method are both accurate and conservative with limited 7 scatter or trends for pile caps with shear span-to-depth ratios ranging from 0.49 to 1.8 and 8 concrete strength less than 41 MPa. The proposed method also provides reasonably conservative 9 strength predictions for all the specimens that were reported to have failed in shear.

10

11 **CONCLUSIONS**

12 In this paper, a three-dimensional strut-and-tie model approach has been presented for 13 calculating the load-carrying capacity of pile caps. The failure strength predictions for 116 tested 14 pile caps by this method are compared with those of six methods

15 1. The special provisions for slabs and footings of ACI 318-99 and the CSRI methods 16 provided the most conservative strength predictions. This conservatism is due to the particularly 17 low estimates of flexural capacity by these methods. If the shear provisions of these methods are 18 used to predict the capacity of those members that are reported to have failed in shear, then these 19 shear provisions are found to be quite unconservative; the capacity of more than one-half of the 20 tested shear-critical pile caps are over predicted.

21 2. The strut-and-tie model approaches in Appendix A of ACI 318-05 and the CSA A23.3 did 22 not overpredict the measured strengths of any of the pile caps. However, the provisions of these 23 methods for calculating the strength of struts and nodes by these methods were found to be

16

1 somewhat unconservative for those members that did not fail by reinforcement yielding.

2 3. The strut-and-tie approach by Adebar and Zhou did not overpredict the strength of any of 3 the pile caps that failed by yielding of the longitudinal reinforcement and these strength 4 predictions were reasonably accurate. However, this approach provided somewhat 5 unconservative estimations of the shear strengths for many of the test specimens that were 6 reported to have failed by shear.

7 4. The calculated capacities by the proposed method were both accurate and conservative with 8 little scatter or trends for tested pile caps with shear span-to-depth ratios ranging from 0.49 to 1.8 9 and concrete strength less than 41 MPa. The success of the proposed method indicates that a 10 strut-and-tie design philosophy is appropriate for the design of pile caps.

List of symbols:

- $1 \epsilon_d$ compressive strain of diagonal strut
- 2 ε , tensile strain of the direction perpendicular to diagonal strut

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Table captions:

- **Table 1** Test data of Clarke (1973)
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1 **Figure captions:**

- 2 **Fig. 1** A strut-and-tie model for pile caps
- 3 **Fig. 2** Ratio of measured to predicted strength with respect to shear span-depth ratio: (a)
- 4 Special provisions for slabs and footings of ACI 318-99; (b) CRSI Design Handbook 2002; (c)
- 5 Strut-and-tie model of ACI 318-05; (d) Strut-and-tie model of CSA A23.3; (e) Strut-and-tie
- 6 model approach of Adebar and Zhou; (f) Proposed strut-and-tie model approach
- 7 **Fig. 3** Ratio of measured to calculated strengths by shear failure mode with respect to shear
- 8 span-depth ratio: (a) Special provisions for slabs and footings of ACI 318-99; (b) CRSI Design
- 9 Handbook 2002; (c) Strut-and-tie model of ACI 318-05; (d) Strut-and-tie model of CSA A23.3;
- 10 (e) Strut-and-tie model approach of Adebar and Zhou; (f) Proposed strut-and-tie model approach

pile cap	f_c^\prime (MPa)	cap size $(mm \times mm)$	(mm)	(a)	bar arrangement
A ₁	21.3	950×950	600	10	grid
A ₂	27.2	950×950	600	10	bunched
A4	21.4	950×950	600	10	grid
A5	26.6	950×950	600	10	bunched
A ₇	24.2	950×950	600	10	grid
A8	27.2	950×950	600	10	bunched
A9	26.6	950×950	600	10	grid
A10	18.8	950×950	600	10	grid
A11	18.0	950×950	600	10	grid
A12	25.3	950×950	600	10	grid
B1	26.7	750×750	400	8	grid
B ₂	24.5	750×750	400	10	grid
B ₃	35.0	750×750	400	6	grid

Table 1 – Test data of Clarke (1973)

Note: (a) number of D10 bars at both of x and y direction; pile spacing l_e ; yield strength of reinforcement $f_y = 410$ MPa, overall height *h* =450 mm, effective depth *d* =405 mm, column width *c* =200 mm, pile diameter d_p =200 mm for all specimens

pile cap	f_c^\prime	cap size		h	d (mm)	\mathcal{C}	(a)	(MPa) $f_{\rm v}$	bar arrangement		
	(MPa)	$(mm \times mm)$	(mm)	(mm)		(mm)		x-dir.	v-dir.		
$BP-20-1$	21.3	900×900	540	200	150	300	8	413	413	grid	
$BP-20-2$	20.4	900×900	540	200	150	300	8	413	413	grid	
BPC-20-1	21.9	900×900	540	200	150	300	8	413 413		bunched	
BPC-20-2	19.9	900×900	540	200	150	300	8	413	413	bunched	
$BP-25-1$	$\overline{22.6}$	900×900	540	250	200	300	10	413	413	grid	
$BP-25-2$	21.5	900×900	540	250	200	300	10	413 413		grid	
BPC-25-1	18.9	900×900	540	250	200	300	10	413 413		bunched	
BPC-25-2	22.0	900×900	540	250	200	300	10	413 413		bunched	
$BP-20-30-1$	29.1	800×800	500	200	150	300	6	405 405		grid	
BP-20-30-2	29.8	800×800	500	200	150	300	6	405 405		grid	
BPC-20-30-1	29.8	800×800	500	200	150	300	6	405 405		bunched	
BPC-20-30-2	29.8	800×800	500	200	150	300	6	405	405	bunched	
BP-30-30-1	27.3	800×800	500	300	250	300	8	405	405	grid	
BP-30-30-2	28.5	800×800	500	300	250	300	8	405	405	grid	
BPC-30-30-1	28.9	800×800	500	300	250	300	8	405	405	bunched	
BPC-30-30-2	30.9	800×800	500	300	250	300	8	405 405		bunched	
BP-30-25-1	30.9	800×800	500	300	250	250	8	405 405		grid	
BP-30-25-2	26.3	800×800	500	300	250	250	8	405 405		grid	
BPC-30-25-1	29.1	800×800	500	300	250	250	8	405 405		bunched	
BPC-30-25-2	29.2	800×800	500	300	250	250	8	405 405		bunched	
BDA-70-90-1	29.1	700×900	500	300	250	250	8	356 345		grid	
BDA-70-90-2	30.2	700×900	500	300	250	250	8	356	345	grid	
BDA-80-90-1	$\overline{29.1}$	800×900	500	300	250	250	8	356	345	grid	
BDA-80-90-2	29.3	800×900	500	300	250	250	8	356	345	grid	
BDA-90-90-1	29.5	900×900	500	300	250	250	8	356	345	grid	
BDA-90-90-2	31.5	900×900	500	300	250	250	8	356	345	grid	
BDA-100-90-1	29.7	1000×900	500	300	250	250	8	356	345	grid	
BDA-100-90-2	31.3	1000×900	500	300	250	250	8	356	345	grid	

Table 2 – Test data of Suzuki, Otsuki, and Tsubata (1998)

Note: (a) number of D10 bars at both of x and y direction; pile diameter $d_p = 150$ mm for all specimens

Table 3 – Test data of Suzuki, Otsuki, and Tsubata (1999)

Note: (a) number of D10 bars at both of x and y direction; (b) yield strength of reinforcement at both of x and y direction in MPa; pile cap size 900×900 mm, column width $c = 250$ mm, pile diameter $d_p = 150$ mm, grid type of bar arrangement for all specimens

Table 4 – Test data of Suzuki, Otsuki, and Tsuchiya (2000)

	f_c^{\prime}	cap size	h	d	\mathcal{C}		(b)	
pile cap	(MPa)	$(mm \times mm)$	(mm)	(mm)	(mm)	(a)		
BDA-20-25-70-1	26.1	700×700	200	150	250	$\overline{4}$	358	
BDA-20-25-70-2	26.1	700×700	200	150	250	4	358	
BDA-20-25-80-1	25.4	800×800	200	150	250	4	358	
BDA-20-25-80-2	25.4	800×800	200	150	250	$\overline{4}$	358	
BDA-20-25-90-1	25.8	900×900	200	150	250	$\overline{4}$	358	
BDA-20-25-90-2	25.8	900×900	200	150	250	4	358	
BDA-30-20-70-1	25.2	700×700	300	250	200	6	358	
BDA-30-20-70-2	24.6	700×700	300	250	200	6	358	
BDA-30-20-80-1	25.2	800×800	300	250	200	6	358	
BDA-30-20-80-2	26.6	800×800	300	250	200	6	358	
BDA-30-20-90-1	26.0	900×900	300	250	200	6	358	
BDA-30-20-90-2	26.1	900×900	300	250	200	6	358	
BDA-30-25-70-1	28.8	700×700	300	250	250	6	383	
BDA-30-25-70-2	26.5	700×700	300	250	250	6	383	
BDA-30-25-80-1	29.4	800×800	300	250	250	6	383	
BDA-30-25-80-2	27.8	800×800	300	250	250	6	383	
BDA-30-25-90-1	29.0	900×900	300	250	250	6	383	
BDA-30-25-90-2	26.8	900×900	300	250	250	6	383	
BDA-30-30-70-1	26.8	700×700	300	250	300	6	358	
BDA-30-30-70-2	25.9	700×700	300	250	300	6	358	
BDA-30-30-80-1	27.4	800×800	300	250	300	6	358	
BDA-30-30-80-2	27.4	800×800	300	250	300	6	358	
BDA-30-30-90-1	$\overline{27.2}$	900×900	300	250	300	6	358	
BDA-30-30-90-2	24.5	900×900	300	250	300	6	358	
BDA-40-25-70-1	25.9	700×700	400	350	250	8	358	
BDA-40-25-70-2	24.8	700×700	400	350	250	8	358	
BDA-40-25-80-1	$\overline{26.5}$	800×800	400	350	250	8	358	
$-80-2$ BDA-40-25	25.5	800×800	400	350	250	8	358	
BDA-40-25-90-1	25.7	900×900	400	350	250	8	358	
BDA-40-25-90-2	26.0	900×900	400	350	250	8	358	

Note: (a) number of D10 bars at both of x and y direction; (b) yield strength of reinforcement at both of x and y direction in MPa; pile spacing l_e =450 mm, pile diameter d_p =150 mm, grid type of bar arrangement for all specimens

Table 5 – Test data of Suzuki, and Otsuki (2002)

Note: 9-D10 bars at both of x and y direction; yield strength of reinforcement f_y =353 MPa; pile cap size 800×800 mm, pile spacing l_e =500 mm, overall height *h* =350 mm, effective depth d =300 mm, pile diameter d_p =150 mm, grid type of bar arrangement for all specimens

Table 6 – Test data of Sabnis and Gogate (1984)

Note: (a) reinforcement ratio at both of x and y direction; (b) yield strength of reinforcement at both of x and y direction in MPa; pile cap size 330×330 mm, pile spacing l_e =203 mm, overall height h =152 mm, column diameter c =76 mm, pile diameter d_p =76 mm, grid type of bar arrangement for all specimens

Table 7 – Test specimens reported to have failed by shear

specimen	P_{test}	P_{test} P_n				specimen	P_{test} P_{test} P_n								
	(kN)	(a)	(b)	(c)	(d)	(e)	(f)		(kN)	(a)	(b)	(c)	(d)	(e)	(f)
$BP-20-1$	519	2.08	2.08	1.69	1.80	1.43	1.51	BDA-20-25-70-1	294	2.22	2.22	1.93	2.03	1.57	1.46
$BP-20-2$	480	1.93	1.93	1.57	1.67	1.32	1.45	BDA-20-25-70-2	304	2.29	2.29	1.99	2.10	1.62	1.51
BPC-20-1	519	2.08	2.08	1.69	1.80	1.43	1.48	BDA-20-25-80-1	304	2.29	2.29	1.99	2.10	1.62	1.51
BPC-20-2	529	2.13	2.13	1.73	1.84	1.46	1.64	BDA-20-25-80-2	304	2.29	2.29	1.99	2.10	1.62	1.51
$BP-25-1$	735	1.76	1.76	1.52	1.46	1.22	1.51	BDA-20-25-90-1	333	2.50	2.50	2.18	2.30	1.77	1.65
$BP-25-2$	755	1.81	1.81	1.64	1.51	1.25	1.63	BDA-20-25-90-2	333	2.50	2.50	2.18	2.30	1.77	1.65
BPC-25-1	818	1.98	1.98	2.02	1.64	1.35	2.01	BDA-30-20-70-1	534	1.61	1.61	1.40	1.50	1.23	1.12
BPC-25-2 BP-20-30-1	813 485	1.95 2.40	1.95 2.40	1.73	1.62 2.02	1.35 1.63	1.72 1.62	BDA-30-20-70-2 BDA-30-20-80-1	549 568	1.65 1.71	1.65 1.71	1.44 1.49	1.54	1.26	1.16
BP-20-30-2	480	2.38	2.38	1.93 1.91	2.00	1.62	1.60	BDA-30-20-80-2	564	1.69	1.69	1.48	1.60 1.58	1.30 1.29	1.19 1.18
BPC-20-30-1	500	2.48	2.48	1.99	2.08	1.68	1.67	BDA-30-20-90-1	583	1.75	1.75	1.53	1.64	1.34	1.22
BPC-20-30-2	495	2.45	2.45	1.97	2.06	1.67	1.65	BDA-30-20-90-2	588	1.76	1.76	1.54	1.65	1.35	1.23
BP-30-30-1	916	2.03	2.03	1.52	1.58	1.39	1.34	BDA-30-25-70-1	662	1.86	1.86	1.47	1.54	1.32	1.21
BP-30-30-2	907	2.01	2.01	1.50	1.57	1.37	1.32	BDA-30-25-70-2	676	1.90	1.90	1.50	1.57	1.35	1.24
BPC-30-30-1	1039	2.30	2.30	1.72	1.79	1.57	1.51	BDA-30-25-80-1	696	1.95	1.95	1.54	1.62	1.39	1.27
BPC-30-30-2	1029	2.28	2.28	1.71	1.77	1.56	1.49	BDA-30-25-80-2	725	2.03	2.03	1.61	1.69	1.44	1.33
BP-30-25-1	794	1.76	1.76	1.44	1.51	1.29	1.23	BDA-30-25-90-1	764	2.14	2.14	1.69	1.78	1.52	1.39
BP-30-25-2	725	1.61	1.61	1.32	1.39	1.18	1.14	BDA-30-25-90-2	764	2.14	2.14	1.69	1.78	1.52	1.40
BPC-30-25-1	853	1.89	1.89	1.55	1.62	1.38	1.33	BDA-30-30-70-1	769	2.31	2.31	1.64	1.72	1.51	1.38
BPC-30-25-2	872	1.93	1.93	1.58	1.66	1.42	1.36	BDA-30-30-70-2	730	2.20	2.20	1.56	1.63	1.44	1.31
BDA-70-90-1	784	1.97	1.97	1.62	1.70	1.45	1.36	BDA-30-30-80-1	828	2.48	2.48	1.77	1.85	1.63	1.48
BDA-70-90-2	755	1.89	1.89	1.56	1.63	1.39	1.30	BDA-30-30-80-2	809	2.43	2.43	1.73	1.81	1.59	1.44
BDA-80-90-1	858	2.15	2.15	1.77	1.86	1.58	1.49	BDA-30-30-90-1	843	2.52	2.52	1.80	1.88	1.66	1.51
BDA-80-90-2	853	2.14	2.14	1.76	1.85	1.58	1.48	BDA-30-30-90-2	813	2.44	2.44	1.74	1.81	1.60	1.47
BDA-90-90-1	853	2.14	2.14	1.76	1.84	1.58	1.48	BDA-40-25-70-1	1019	1.64	1.64	1.24	1.29	1.16 1.22	1.12
BDA-90-90-2 BDA-100-90-1	921 911	2.31 2.28	2.31 2.28	1.90 1.88	1.99 1.97	1.70 1.68	1.59 1.58	BDA-40-25-70-2 BDA-40-25-80-1	1068 1117	1.72 1.79	1.72 1.79	1.30 1.36	1.35 1.41	1.28	1.23 1.20
BDA-100-90-2	931	2.33	2.33	1.92	2.01	1.72	1.60	BDA-40-25-80-2	1117	1.80	1.80	1.36	1.41	1.28	1.25
A1	1110	1.44	1.44	1.73	1.53	1.17	1.10	BDA-40-25-90-1	1176	1.89	1.89	1.43	1.49	1.34	1.31
A2	1420	1.83	1.83	1.73	1.74	1.50	1.33	BDA-40-25-90-2	1181	1.89	1.89	1.43	1.49	1.35	1.30
A4	1230	1.59	1.59	1.91	1.69	1.30	1.22	TDL1-1	392	1.94	1.94	1.68	1.74	1.53	1.06
A5	1400	1.80	1.80	1.75	1.72	1.48	1.31	TDL1-2	392	1.95	1.95	1.68	1.74	1.53	1.08
A7	1640	2.12	2.12	2.25	2.03	1.73	1.55	TDL2-1	519	1.72	1.72	1.48	1.54	1.35	1.10
A8	1510	1.95	1.95	1.84	1.85	1.59	1.41	TDL2-2	472	1.57	1.57	1.35	1.40	1.23	1.00
A9	1450	1.87	1.87	1.81	1.78	1.53	1.36	TDL3-1	608	1.52	1.52	1.30	1.35	1.19	1.04
A10	1520	1.97	1.97	2.68	2.38	1.60	1.71	TDL3-2	627	1.57	1.57	1.34	1.39	1.22	1.07
A11	1640	2.13	2.13	3.02	2.68	1.73	1.92	TDS1-1	921	2.30	2.30	1.77	1.85	1.64	1.44
A12	1640	2.12	2.12	2.15	2.02	1.73	1.55	TDS1-2	833	2.08	2.08	1.60	1.67	1.48	1.29
B1	2080	2.23	2.23	2.29	2.29	1.65	1.79	TDS2-1	1005	1.89	1.89	1.45	1.52	1.34	1.24
B ₂	1900	1.64	1.64	2.28	2.28	1.20	1.78	TDS2-2	1054	1.98	1.98	1.52	1.59	1.41	1.30
B ₃	1770	2.52	2.52	1.97	2.06	1.87	1.50	TDS3-1	1299	1.78	1.78	1.40	1.44	1.26	1.42
BPL-35-30-1	960	1.81	1.81	1.32	1.38	1.24	1.26	TDS3-2	1303	1.79	1.79	1.40	1.45	1.26	1.42
BPL-35-30-2 BPB-35-30-1	941 1029	1.77 1.94	1.77 1.94	1.30 1.42	1.35 1.48	1.21 1.32	1.18 1.38	TDM1-1 TDM1-2	490 461	2.27 2.13	2.27 2.13	1.88 1.77	1.97 1.85	1.68 1.58	1.37 1.30
BPB-35-30-2	1103	2.08	2.08	1.52	1.59	1.42	1.49	TDM2-1	657	2.03	2.03	1.68	1.76	1.50	1.35
BPH-35-30-1	980	1.83	1.83	1.35	1.40	1.26	1.16	$TDM2-2$	657	2.04	2.04	1.68	1.76	1.50	1.36
BPH-35-30-2	1088	2.04	2.04	1.50	1.55	1.40	1.28	TDM3-1	1245	1.53	1.44	1.72	1.21	0.99	1.72
BPL-35-25-1	902	1.69	1.69	1.36	1.42	1.24	1.16	TDM3-2	1210	1.46	1.38	1.61	1.17	0.97	1.63
BPL-35-25-2	872	1.64	1.64	1.31	1.38	1.20	1.13	SS1	250	3.04	3.04	2.76	2.96	2.48	2.31
BPB-35-25-1	911	1.72	1.72	1.37	1.45	1.26	1.30	SS ₂	245	3.40	3.40	3.07	3.23	2.78	2.52
BPB-35-25-2	921	1.73	1.73	1.38	1.46	1.27	1.29	SS ₃	248	2.04	2.04	2.71	2.04	1.65	1.72
BPH-35-25-1	882	1.65	1.65	1.33	1.38	1.22	1.10	SS4	226	2.32	2.32	2.42	2.29	1.89	1.81
BPH-35-25-2	951	1.78	1.78	1.43	1.49	1.31	1.18	SS ₅	264	1.61	1.61	2.21	1.66	1.09	1.43
BPL-35-20-1	755	1.42	1.42	1.24	1.33	1.11	1.15	SS ₆	280	1.71	1.71	2.34	1.76	1.16	1.52
BPL-35-20-2	735	1.39	1.39	1.21	1.30	1.08	1.17	SG1	50	$\overline{}$	\blacksquare	$\overline{}$	\Box	$\overline{}$	1.53
BPB-35-20-1	755	1.43	1.43	1.31	1.34	1.11	1.27	SG ₂	173	1.43	1.43	3.11	2.49	1.20	1.97
BPB-35-20-2	804	1.52	1.52	1.41	1.43	1.18	1.37	SG ₃	177	1.46	1.46	3.20	2.55	1.23	2.01
BPH-35-20-1	813	1.52	1.52	1.33	1.41	1.20	1.10	Average		1.97	1.96	1.73	1.74	1.44	1.41
BPH-35-20-2	794	1.49	1.49	1.30	1.38	1.17	1.08	Coefficient of Variation		0.17	0.17	0.24	0.20	0.18	0.18

Table 8 – Ratio of measured to predicted strength

Note: P_{test} = measured failure load; (a) Special provisions for slabs and footings of ACI 318-99; (b) CRSI Design Handbook 2002; (c) Strutand-tie model of ACI 318-05; (d) Strut-and-tie model of CSA A23.3; (e) Strut-and-tie model approach of Adebar and Zhou; (f) Proposed strutand-tie model approach

Fig. 1 – A strut-and-tie model for pile caps

Fig. 2 – Ratio of measured to predicted strength with respect to shear span-depth ratio: (a) Special provisions for slabs and footings of ACI 318-99; (b) CRSI Design Handbook 2002; (c) Strut-and-tie model of ACI 318-05; (d) Strut-and-tie model of CSA A23.3; (e) Strut-andtie model approach of Adebar and Zhou; (f) Proposed strut-and-tie model approach

Fig. 3 – Ratio of measured to calculated shear strengths for the specimens failed by shear

with respect to shear span-depth ratio: (a) Special provisions for slabs and footings of ACI 318-99; (b) CRSI Design Handbook 2002; (c) Strut-and-tie model of ACI 318-05; (d) Strutand-tie model of CSA A23.3; (e) Strut-and-tie model approach of Adebar and Zhou; (f) Proposed strut-and-tie model approach