

APPENDIX



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Gates Formula Commentary

Projects with driven pile foundations specify the "Gates Formula" to determine nominal resistance. This change was first incorporated in the "Amendments to July 1999 Standard Specifications" and is now included in the Standard Specifications¹. The change is also discussed in Bridge Construction Memo (BCM) 130-4.0, *Pile Driving Acceptance Criteria*.

Why change from ENR to Gates Formula?

- Factor of safety from ENR (Engineering News Record) varies from 1/2 to 20. With low factor of safety, capacity of the pile is actually driven to be under the factored design load. Lack of capacity has resulted in excessive settlement. Extremely high factors of safety often cause damage to the pile and result in contractor claims and also is a waste of time and energy.
- California was actually one of the last States using the ENR formula.
- ENR does not properly account for down drag or the overburden effects and resistance associated with zones that may scour or liquefy.

Advantage of Gate's Formula

• This formula predicts the static capacity of the pile significantly more accurately than the ENR Formula because it provides a significantly lower coefficient of variation.

Additionally, since the formula utilizes ultimate capacity and not an unfactored safe load, the formula can account for the effects of downdrag, scour, and liquefaction.

The Gates formula (US Customary) is:

$$R_u = (1.83 * (E_r)^{\frac{1}{2}} * \log_{10}(0.83 * N)) - 124$$

Where:

 R_u = Calculated nominal resistance/ultimate compressive capacity in kips E_r = Energy rating of hammer at observed field drop height in foot pounds N = Number of blows in the last foot (maximum of 96)

¹ 2010 SS, Section 49-2.01A(4)(b), *Pile Driving Acceptance Criteria*, or 2006 SS, Section 49-1.08, *Pile Driving Acceptance Criteria*.





Additional Notes:

Caltrans Memo to Designer 3-1 was updated in June 2014. During constructability reviews, it is very important that the Structure Construction reviewer checks the pile data table on the plan sheets for notes on downdrag and liquefaction.

A very good reference showing the differences in formulas (Gates, ENR, Haley, Janbu, etc) is the "Comparison of Methods for Estimating Pile Capacity, Report No. WA-RD 163.1", Final Report dated August 1988, by the Washington State Department of Transportation. In lieu of that, examples of comparisons are shown below.



Pile Driving Formulas

Gates Formula

$$P = \left((1.83 * (E_r)^{\frac{1}{2}} * \log_{10}(0.83 * N)) - 124 \right) z$$

Where, P = safe load in kips

 E_r = energy of driving in foot pounds

- N = number of hammer blows in the last foot
- z = conversion factor for units and safety with this formula

Engineering News (ENR)

$$P = \frac{2E}{(s+0.1)}$$

Where, P = safe load in pounds

E = rated energy in foot-pounds

s = penetration per blow in inches

This formula was derived from the original Engineering News formula for drop hammers on timber piles, which was:

$$P = \frac{WH}{(s+c)}$$

Where, W = weight of ram in pounds

H =length of stroke in inches

c = elastic losses in the cap, pile, and soil in inches

It was modified to correct units and apply other factors to compensate for modern equipment.



Janbu Formula

$$P = \left(\frac{WH}{k_u s}\right) z$$

Where, P = safe load in pounds W = weight of ram in pounds H = length of stroke in inches s = penetration per blow in inches $k_u = \text{factor derived from the following,}$ $k_u = C_d \left[1 + \sqrt{1 + (\lambda/C_d)} \right]$ $C_d = 0.75 + 0.15 (W_p/W)$ $\lambda = \frac{WHL}{AEs^2}$ where, W_p = weight of pile in pounds L = length of pile in inches A = area of pile in square inches E = modulus of elasticity of pile in pounds per square inch z = conversion factor for units and safety with this formula

Hiley Formula

$$P = \left(\frac{e_f W H}{s + \frac{1}{2}(c_1 + c_2 + c_3)}\right) \left(\frac{W + n^2 W_p}{W + W_p}\right) z$$

Where, P = safe load in pounds

 e_f = efficiency of hammer (%)

W = weight of ram in pounds

H =length of stroke in inches

s = penetration per blow in inches

 c_1 , c_2 , c_3 = temporary compression of pile cap and head, pile, and soil,

respectively in inches

n =coefficient of restitution

 W_p = weight of pile in pounds

z = conversion factor for units and safety with this formula





Pacific Coast Formula

$$P = \frac{E_n \left(\frac{W + kW_p}{W + W_p}\right)z}{s + \frac{PL}{AE}}$$

Where, P = safe load in pounds

 E_n = energy of driving in inch pounds

W = weight of ram in pounds

 W_p = weight of pile in pounds

s = penetration per blow in inches

L =length of pile in inches

A =area of pile in square inches

E = modulus of elasticity of pile in pounds per square inch

k = 0.25 for steel piles

0.10 for other piles

z =conversion factor for units and safety with this formula





Comparison of Formulas

Given Problem Conditions

Hammer Data:	Delmag D36-32		
	Maximum Energy	=	
	Ram Weight =		
	Maximum Stroke =		
	Penetration or Set=		

83,880 ft·lbs 7,938 lbs 10.42 ft 0.844 inches

Length of Pile = 80 feet

- Assume hard driving -

Case 1: 12" PC/PS concrete pile Case 2: 12 BP 53 Steel Piles

Gates Formula

For Case 1 & 2:

$$P = \left((1.83 * (E_r)^{\frac{1}{2}} * \log_{10}(0.83 * N)) - 124 \right) z$$

$$= \left((1.83 * (83,880)^{\frac{1}{2}} * \log_{10}(0.83 * (12/0.844)) - 124 \right) \frac{1}{2(2^{\frac{1}{kip}})}$$

$$= ((1.83 * 289.62 * 1.072) - 124) \frac{1}{2(2^{\frac{1}{kip}})}$$

$$= (568.122 - 124) \frac{1}{2(2^{\frac{1}{kip}})}$$

$$= \frac{444.122 \text{ kips}}{2(2^{\frac{1}{kip}})} \approx \underline{111.0 \text{ tons}}$$

Engineering News (ENR) Formula

For Case 1 & 2:

$$P = \frac{2E}{(s+0.1)}$$

$$= \frac{2(83,880.0 \text{ ft} \cdot \text{lbs})}{0.844 \text{ in} + 0.1}$$

$$= 177,712 \text{ lbs} \approx 70 \text{ tons}$$



Janbu Formula

Case 1:

$$P = \left(\frac{WH}{k_{u}s}\right) z = \left(\frac{WH}{k_{u}s}\right)^{\frac{1}{3(2000^{15}/\text{ton})}} = \left(\frac{7,938 \text{ lbs}(10.42 \text{ ft} \times 12 \text{ in/ft})}{2.697(0.844 \text{ in})}\right)^{\frac{1}{3(2000^{15}/\text{ton})}} = \left(\frac{435,931 \text{ lbs}}{3(2000^{15}/\text{ton})}\right) \approx \frac{72.66 \text{ tons}}{1000^{10}}$$

$$\begin{aligned} c_d &= 0.75 + 0.15(W_p / W) \\ &= 0.75 + 0.15(11,600 \text{ lbs}/7,938 \text{ lbs}) \\ &= 0.969 \\ \lambda &= \frac{WHL}{AEs^2} \\ &= \frac{7,938 \text{ lbs}(10.42 \text{ ft} \times 12 \text{ in/ft})(80 \text{ ft} \times 12 \text{ in/ft})}{(144 \text{ in}^2)(4.4 \times 10^6 \text{ lbs/}{in^2})(0.844 \text{ in})^2} \\ &= 2.111 \\ k_u &= c_d \left[1 + \sqrt{1 + (\lambda/c_d)} \right] \\ &= 0.969 \left[1 + \sqrt{1 + (2.111/0.969)} \right] \\ &= 2.697 \end{aligned}$$

Case 2:

$$P = \left(\frac{WH}{k_{u}s}\right) z = \left(\frac{WH}{k_{u}s}\right) \frac{1}{3(2000^{105/ton})}$$

$$= \left(\frac{7,938 \text{ lbs}(10.42 \text{ ft} \times 12 \text{ in/}{ft})}{2.581(0.844 \text{ in})}\right) \frac{1}{3(2000^{105/ton})}$$

$$= \left(\frac{455,578 \text{ lbs}}{3(2000^{105/ton})}\right) \approx \underline{75.93 \text{ tons}}$$

$$\begin{split} c_{d} &= 0.75 + 0.15(W_{p} / W) \\ &= 0.75 + 0.15(4,240 \text{ lbs} / 7,938 \text{ lbs}) \\ &= 0.830 \\ \lambda &= \frac{WHL}{AEs^{2}} \\ &= \frac{7,938 \text{ lbs}(10.42 \text{ ft} \times 12 \text{ in/ft})(80 \text{ ft} \times 12 \text{ in/ft})}{(15.58 \text{ in}^{2})(30 \times 10^{6} \text{ lbs}/\text{in}^{2})(0.844 \text{ in})^{2}} \\ &= 2.861 \\ k_{u} &= c_{d} \left[1 + \sqrt{1 + (\lambda/c_{d})} \right] \\ &= 0.830 \left[1 + \sqrt{1 + (2.861/0.830)} \right] \\ &= 2.581 \end{split}$$



Appendix E-Driven Piles

Hiley Formula

Case 1:

$$P = \left(\frac{e_f WH}{s + \frac{1}{2}(c_1 + c_2 + c_3)}\right) \left(\frac{W + n^2 W_p}{W + W_p}\right) z$$

$$= \left(\frac{e_f WH}{s + \frac{1}{2}(c_1 + c_2 + c_3)}\right) \left(\frac{W + n^2 W_p}{W + W_p}\right) \frac{1}{2.75(2000^{15} y_{con})}$$

$$= \left(\frac{1.00(7,938 \text{ lbs})(10.42 \text{ ft} \times 12^{\frac{in}{2}})}{0.844 \text{ in} + \frac{1}{2}(0.37 \text{ in} + 0.32 \text{ in} + 0.10 \text{ in})}\right) \left(\frac{7,938 \text{ lbs} + (0.25^2)(11,600 \text{ lbs})}{7,938 \text{ lbs} + 11,600 \text{ lbs}}\right) \frac{1}{2.75(2000^{15} y_{con})}$$

$$= \frac{355,090 \text{ lbs}}{2.75(2000^{15} y_{con})} \approx \underline{64.6 \text{ tons}}$$

Case 2:

$$P = \left(\frac{e_f WH}{s + \frac{1}{2}(c_1 + c_2 + c_3)}\right) \left(\frac{W + n^2 W_p}{W + W_p}\right) z$$

$$= \left(\frac{e_f WH}{s + \frac{1}{2}(c_1 + c_2 + c_3)}\right) \left(\frac{W + n^2 W_p}{W + W_p}\right) \frac{1}{2.75(2000^{105/ton})}$$

$$= \left(\frac{1.00(7,938 \text{ lbs})(10.42 \text{ ft} \times 12^{\frac{in}{ft}})}{0.844 \text{ in} + \frac{1}{2}(0.0 \text{ in} + 0.48 \text{ in} + 0.10 \text{ in})}\right) \left(\frac{7,938 \text{ lbs} + (0.55^2)(4,240 \text{ lbs})}{7,938 \text{ lbs} + 4,240 \text{ lbs}}\right) \frac{1}{2.75(2000^{105/ton})}$$

$$= \frac{662,508 \text{ lbs}}{2.75(2000^{105/ton})} \approx \underline{120.5 \text{ tons}}$$



Pacific Coast Formula

$$P = \frac{E_n \left(\frac{W + kW_p}{W + W_p}\right) z}{s + \frac{PL}{AE}}$$

$$= \frac{E_n \left(\frac{W + kW_p}{W + W_p}\right)}{s + \frac{PL}{AE}} \times \frac{1}{4(2000^{105}/_{ton})}$$

$$= \frac{83,880 \text{ ft} \cdot \text{lbs}(12^{10}/_{lbs}) \left(\frac{7,938 \text{ lbs} + 0.1(11,600 \text{ lbs})}{7,938 \text{ lbs} + (11,600 \text{ lbs})}\right)}{0.844 \text{ in} + \frac{P(80 \text{ ft} \times 12^{10}/_{h})}{(144 \text{ in}^2)(4.4 \times 10^6)}} \times \frac{1}{4(2000^{105}/_{ton})}$$

$$= \frac{468,711 \text{ in} \cdot \text{lbs}}{0.844 \text{ in} + P(1.52 \times 10^{-6} \text{ in}/_{lbs})} \times \frac{1}{4(2000^{105}/_{ton})}$$





Case 2:

$$P = \frac{E_n \left(\frac{W + kW_p}{W + W_p}\right) z}{s + \frac{PL}{AE}}$$

$$= \frac{E_n \left(\frac{W + kW_p}{W + W_p}\right)}{s + \frac{PL}{AE}} \times \frac{1}{4(2000^{16})}$$

$$= \frac{83,880 \text{ ft} \cdot \text{lbs}(12 \text{ in/bs}) \left(\frac{7,938 \text{ lbs} + 0.25(4240 \text{ lbs})}{7,938 \text{ lbs} + (4240 \text{ lbs})}\right)}{0.844 \text{ in} + \frac{P(80 \text{ ft} \times 12 \text{ in/ft})}{(15.58 \text{ in}^2)(30 \times 10^6)}} \times \frac{1}{4(2000^{16})}$$

$$= \frac{743,720 \text{ in} \cdot \text{lbs}}{0.844 \text{ in} + P(2.1 \times 10^{-6} \text{ in/fts})} \times \frac{1}{4(2000^{16})}$$

Appendix E–Driven Piles





Table E-1.		CASE 1		CAS	SE 2
Results of Pile		12" PC/PS C	oncrete Pile	HP12x53	Steel Pile
Driving Formula					
ComparisonPile					
Formula	Pile Length	80.0 ft	40.0 ft	80.0 ft	40.0 ft
GATES		111.0 tons	111.0 tons	111.0 tons	111.0 tons
ENR		70 tons	70 tons	70 tons	70 tons
JANBU		72.7 tons	91.5 tons	75.9 tons	92.7 tons
HILEY		64.6 tons	88.0 tons	120.5 tons	135.7 tons
PACIFIC COAST		42.9 tons	63.5 tons	53.8 tons	73.3 tons



Example 1: Calculation of Minimum Hammer Energy

Given:

Hammer Data: Delmag D36-32 Ram Weight = 7938 lbs Manufacturer's Maximum Energy Rating = 83,880 ft·lbs

Nominal Resistance = 390 kips

<u>Check:</u> Hammer Energy per 2010 Standard Specification 49-2.01A(4)(b), Pile Driving Acceptance Criteria.

From the Gates Equation,

 $R_{u} = (1.83 * (E_{r})^{\frac{1}{2}} * \log_{10}(0.83 * N)) - 124$ $N = \frac{10^{\binom{R_{u} + 124}{1.83\sqrt{E_{r}}}}}{0.83}$

Rearranging for *N*:

$$N = \frac{10^{(390+124/1.83\sqrt{83,880})}}{0.83}$$
$$= \frac{10^{(514/530)}}{0.83}$$
$$= \frac{10^{0.9698}}{0.83}$$
$$= 11.23 \approx 11^{\text{blows/ft}}$$

s = penetration per blow in inches

$$= N^{-1} (12 \text{ in/ft})$$

= $(11.23 \text{ blows/ft})^{-1} (12 \text{ in/ft})$
= $1.07 \text{ in/blow} > 0.125 \text{ in/blow}$

:. proposed hammer meets the minimum energy requirements of 2010 Standard Specification 49-2.01C(2), Driving Equipment.



Example 2: Calculations for Establishing a Blow Count Chart

Given:

Hammer Data:	Delmag 36-32		
	Ram Weight =	7938 lbs	
	Maximum Stroke =	10.42 ft	

Nominal Resistance = 390 kips

Assumption(s):

 E_r = Ram Weight × Observed Field Drop Height Observed Field Drop Height = 6 ft

From the Gates Equation,

 $R_{\mu} = (1.83 * (E_r)^{\frac{1}{2}} * \log_{10}(0.83 * N)) - 124$

Rearranging to solve for *N*:

$$N = \frac{10^{\binom{R_{u}+124}{1.83\sqrt{E_{r}}}}}{0.83} \qquad E_{r} = 6 \text{ ft}(7938 \text{ lbs}) = 47,628 \text{ ft} \cdot \text{lbs}$$

$$N = \frac{10^{\binom{390+124}{1.83\sqrt{47,628}}}}{0.83} = \frac{10^{\binom{514}{399}}}{0.83} = \frac{10^{\frac{514}{399}}}{0.83} = 23.33 \approx 23 \text{ blows/ft}$$

Calculations for the chart data are completed by using the Excel spreadsheet, *Pile Equation-Gates.xls*, downloaded from the SC Intranet website. See next page for calculation results of the spreadsheet.





Figure E-1. Gates Formula Excel Spreadsheet.



Example 3: Calculations for Establishing a Battered Pile Blow Count Chart

Given:



<u>Assumption(s):</u> $E_r = \text{Ram Weight} \times \text{Observed Field Drop Height}$ Observed Field Drop Height = 9 ft

As in the previous example, rearranging the Gates Formula gives,

$$N = \frac{10^{\binom{R_u + 124}{1.83\sqrt{E_r}}}}{0.83} \qquad \qquad \theta = \sin^{-1}(\frac{3}{3.16}) = 71.565^{\circ}$$

$$= \frac{10^{\binom{390+124}{1.83\sqrt{67,775.8}}}}{0.83} \qquad \qquad E_r = 7938 \, \text{lbs}(9 \, \text{ft} \times \sin 71.565^{\circ})$$

$$= 67,775.8 \, \text{ft} \cdot \text{lbs}$$

$$= \frac{10^{\binom{514}{476}}}{0.83}$$

$$= \frac{10^{1.0798}}{0.83}$$

$$= 14.48 \approx 14 \, \text{blows/ft}$$

Calculations for the chart data are completed by using a MODIFIED value of E_r , modified as shown above for the batter angle, in the Excel spreadsheet, *PileEquation-Gates.xls*.



Example 4: Calculations for Piles with Downdrag

The following metric example has downdrag: (Example submitted by Joy Cheung, P.E., and Anh Luu, P.E.)

Island Parkway Overcrossing – Rte 101/Ralston Interchange EA 04-256804, Oversight Project

ocation	stion Pile Type Design Londing	Design Londing	Nominal Resistance		Design	Specified Tin
	1360 =	15.5"	Compression	Tension	Tip Elevation	Elevation
Abut 1	900C AIT "X"	625 kN	1250 kN	O kN	-24.2(1)8.8(2)	-24.2
Bent 2	900C AIt "X"	625 kN	1250 kN	400 kN	-23.3(1),-11.2(2),-19.9(3)	-23.3
Bent 3	460 mm Square =	18" 400 KN	800 KN	O kN	-18.35(1)	-18.35
Bent 4	460 mm Sauare	425 kN	850 KN	O KN	-18.7(1)	-18.7
Bent 5	460 mm Square	425 kN	850 kN	O KN .	-18.7(1),-16.3(2)	-18.7
Bent 6	460 mm Square	425 kN	850 KN	O KN	-18.7(1)	-18.7
Bent 7	460 mm Square	425 KN	850 kN	0 kN	-18.25(1)	-18.25
Bent 8	460 mm Square	425 kN	850 KN	O KN	-18.25(1)	-18.25
Bent 9	460 mm Square	425 kN	850 kN	0 kN	-18.4(1)	-18.4
Bent 10	460 mm Square	400 kN	800 KN	OkN	-18.4(1)12.0(2)	-18.4
Abut 11	900C AIt "X"	400 KN	800 kN	O kN	-19.9(1),-6.2(2)	-19.9

The Pile Data Table from the contract plans show:

Bent 2 Piles – Class 900C Alt "X" (Pile Data Table) Nominal Resistance (Compression) = 1250 KN Estimate Down Drag Load = 242 KN Ultimate Pile Capacity = R_u = Nominal resistance + 2 x downdrag

Therefore:

 R_u = Nominal resistance + 2 x downdrag R_u = 1250 KN + (2 * 242KN) = 1734 KN

Contractor's proposed hammer: <u>Delmag D36-32</u>

Pile Hammer Data - (per specs, Contractor provides data) Also see Bridge Construction Memo 130-4.0, *Pile Driving Acceptance Criteria*. Internet: <u>www.pileco.com</u>, <u>www.hmc-us.com</u>, ...etc;

Pile hammer data: Max Energy Output = 83880 ft.lbs = 83880 * 1.3558 = 113724.5 Joules Ram Weight = mass = 7938 lbs = 3600.6 kg Maximum obtainable stroke/Piston Drop = height = 10'5'' = 3.18 m Find:



E_r = Energy rating of hammer at observed field drop height in Joules

**It is generally accepted that the energy output of an open-end diesel hammer is equal to the ram weight times the length of stroke.

Gravitational potential energy = mass × free-fall acceleration × height = $m \cdot g \cdot H = E_r$

 $E_r = 3600.6 \text{ kg} \cdot 9.81 \cdot 3.18 = 112,323 \text{ Joules} < 113,724 \text{ (Max Energy)}$

** For battered pile, $E_r = m \cdot g(H \cdot \sin \theta)$

N = Number of blows per 300 millimeters (maximum of 96)

 $N = \frac{10^{\binom{R_u + 550}{7\sqrt{E_r}}}}{0.83}$

Set up table:			
Hammer Type:	Delmag D 36-32		
Design Load:	625k	N	
Nominal Resistance:	1734k	Ň	
Max Energy	113724J	oules	
Ram Weight	3600.6k	Kg	
			Blows Per Last 300 mm.
PISTON DROP (ft)	PISTON DROP (m)E	ENERGY (joules)	GATES
10.417	3.18	112151	11
10	3.05	107661	12
9	2.74	96895	13
8	2.44	86129	16
7	2.13	75363	19
6	1.83	64597	23
5	1.52	53831	31
4	1.22	43064	45
3	0.91	32298	79

Set up graph:





Meets Bearing Value
Not Good

A very good spreadsheet (PileEquation-Gates.xls) used to calculate blows per foot using the Gates equation can be found on the OSC Intranet Homepage under, "Downloads/ Forms".

Continue calculations:

Contract Specifications²

--Impact Hammer Minimum Energy "not less 3mm/blow at the specified bearing value..."

Use the Gates formula again...

 $R_{u} = (7 * (E_{r})^{\frac{1}{2}} * \log_{10}(0.83 * N)) - 550$ Find N. Using $E_{r} = 3600.6$ kg * 9.81 * 3.18 = 112,323 Joules $R_{u} = 1250$ KN + (2 * 242KN) = 1734 KN N = 11 blows/ 300 mm s = Penetration per blow in millimeters = 300 mm/11 blows ≈ 27.0 mm > 3 mm OK.

² 2010 SS, Section 49-2.01C(2), *Driving Equipment*, or 2006 SS, Section 49-1.05, *Driving Equipment*.



Note: An upper limit is not specified for the Contractor to furnish an approved hammer having sufficient energy to drive piles at a penetration rate of not less than 1/8 inch per blow at the required bearing value.



Example 5: Estimate Hammer Stroke of a Single Acting Hammer

Given:

Hammer Data:	Delmag 36-32		
	Ram Weight =	7938 lbs	
	Maximum Stroke =	10.42 ft	

From Field Observations: Ram Blows per Minute (bpm) = 43

From the SAXIMETER Formula,

$$H = 4.01 \left(\frac{60}{\text{bpm}}\right)^2 - 0.3$$

H = hammer stroke in feet

bpm = field observation of hammer blows per minute

$$H = 4.01 \left(\frac{60}{\text{bpm}}\right)^2 - 0.3$$

= 4.01 $\left(\frac{60}{43} \text{ bpm}\right)^2 - 0.3$
= 7.81 - 0.3
= 7.51 \approx 7.5 ft

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Example Battered Pile Blow Count Chart

BATTERED PILE



E = W * H * SIN 71.565 °

STROKE	BLOW S PEB FOOT
10	15.0
9.5	15.9
9	16.9
8.5	18.0
8	19.3
7.5	20.8
7	22.6
6.5	24.6
6	27.1
5.5	30.2
5	34.0







