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Investigation of potential dragdown/uplift effects on energy piles

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Abstract

This study focuses on the interpretation of axial strains in a pair of full-scale energy piles beneath an 8-story building measured over the course of five years of geothermal heat pump operation. Although the cyclic temperature changes imposed upon the energy piles are consistent during each of the years of operation, the axial strains at different depths appear to show diverging trends. Evaluation of the profiles of thermal axial strain under different instances of extreme heating and cooling in each year of operation indicates that predominantly contractile strains are being superimposed atop the thermo-elastic expansion and contraction of the piles, especially near the toe of the piles. An evaluation of the superimposed contractile strains on the pile are not affecting the thermo-elastic expansion and contractile strains were determined to be due to the effects of dragdown or uplift of the surrounding soil on the piles. The observed dragdown or uplift may be caused by thermal effects on the subsurface surrounding the piles or long-term mechanical compression of the subsurface under the applied building load, and deserve further study using more advanced analyses.

Keywords	Energy piles, cyclic effects, dragdown, uplift
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- 1 Title: Investigation of Potential Dragdown/Uplift Effects on Energy Piles
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20 Abstract

21 This study focuses on the interpretation of axial strains in a pair of full-scale energy piles beneath an 22 8-story building measured over the course of five years of geothermal heat pump operation. Although 23 the cyclic temperature changes imposed upon the energy piles are consistent during each of the years of 24 operation, the axial strains at different depths appear to show diverging trends. Evaluation of the 25 profiles of thermal axial strain under different instances of extreme heating and cooling in each year of 26 operation indicates that predominantly contractile strains are being superimposed atop the thermo-27 elastic expansion and contraction of the piles, especially near the toe of the piles. An evaluation of the 28 trends in mobilized coefficient of thermal expansion during different heating and cooling cycles indicates 29 that the superimposed contractile strains on the pile are not affecting the thermo-elastic expansion and 30 contraction of the energy piles. Accordingly, the superimposed contractile strains were determined to 31 be due to the effects of dragdown or uplift of the surrounding soil on the piles. The observed dragdown 32 or uplift may be caused by thermal effects on the subsurface surrounding the piles or long-term 33 mechanical compression of the subsurface under the applied building load, and deserve further study 34 using more advanced analyses.

35 Introduction

36 Evaluation of instrumented energy piles in a field setting is the only way to fully consider the effects 37 of installation, actual construction materials, subsurface stratigraphy, and restraints at the head and toe 38 of the pile on the thermo-mechanical strains, stresses, and displacements induced by heating and 39 cooling. Due to this fact, several field scale tests on instrumented energy piles have been performed that 40 involved monotonic heating or cooling (Laloui et al. 2006; Bourne-Webb et al. 2009; Amatya et al. 2012; 41 Sutman et al. 2014; Wang et al. 2014; Akrouch et al. 2015; Murphy et al. 2015). The details of these 42 experiments have been summarized in detail by Olgun and McCartney (2015). Although very useful in 43 interpreting soil-structure interaction phenomena in energy piles, one issue with monotonic heating or

44 cooling tests is that time dependent effects that impact either the capacity of the energy pile such as 45 setup or the stress distribution in the energy pile such as dragdown or uplift cannot be easily 46 considered. These time-dependent effects are complex to analyze and predict even for conventional 47 piles (Asakawa 1959; Bjerrum et al. 1969; Fellenius 1972; Budge et al. 2015), and may be more complex 48 for energy piles in that temperature changes of the energy pile may affect the properties or cause 49 volume changes of the surrounding subsurface (Laloui et al. 2015), lead to creep effects (Akrouch et al. 50 2015), or cause ratcheting effects in heavily-loaded piles undergoing cyclic heating and cooling 51 (Suryatriastuti et al. 2013; Pasten and Santamarina 2014; Saggu and Chakraborty 2015; Di Donna et al. 52 2015). Although time-dependent effects can be assessed through long-term monitoring of embedded 53 instrumentation in energy piles, fewer studies have been performed to assess the thermo-mechanical 54 behavior of energy piles during long-term heating and cooling of energy piles associated with to 55 operation of a geothermal heat pump used for building space conditioning (Brandl 1998; McCartney and 56 Murphy 2012; Murphy and McCartney 2015). This paper revisits the case history described by Murphy 57 and McCartney (2015) with new instrumentation data to assess the potential effects of dragdown or 58 uplift caused by thermal or mechanical effects on the interpretation of the thermo-mechanical behavior 59 of two energy piles installed at the site.

60 Brief Review of the Case History Details

McCartney and Murphy (2012) and Murphy and McCartney (2015) provide detailed information about two full-scale energy piles, referred to as Energy Pile A and Energy Pile B in this paper, constructed beneath an 8-story building in Denver, Colorado, USA. The site stratigraphy consists of urban fill atop a sandy gravel layer atop weathered claystone bedrock from the Denver Formation (locally referred to as Denver Blue Shale). The thicknesses of the soil layers along with measurements from in-situ site investigation tests are shown in Figure 1. Energy Pile A was installed under an interior building column, and has a depth of 14.8 m and a diameter of 0.91 m, while Energy Pile B was installed 68 under an exterior building wall, and has a depth of 13.4 m and a diameter of 0.91 m. Both energy piles 69 serve as end-bearing elements in the claystone, and were designed to carry vertical loads of 3.84 and 70 3.65 MN, respectively. Each shaft contains a full-length reinforcing cage that is 0.76 m in diameter with 71 nine #7 vertical reinforcing bars tied to #3 lateral reinforcing hoops spaced 0.36 m on center. A 72 reinforced concrete slab-on-grade with a thickness of 150 mm was cast at grade level and connected to 73 the energy piles to provide a stiff upper boundary condition, which is important for understanding the 74 potential thermal restraint (Goode and McCartney 2015). Energy Pile A includes three loops of 75 polyethylene tubing having an inside diameter of 44 mm installed within the reinforcing cage, while 76 Energy Pile B includes four loops of the same tubing. The energy piles were installed using a 10 m-long 77 temporary casing through the urban fill and sandy gravel overburden and embedded into the claystone 78 layer. Six concrete embedment vibrating wire strain gages (Model 52640299 from Slope Indicator of 79 Mukilteo, WA) and co-located thermistors were incorporated into each energy pile at the depths shown 80 in Figure 1. The vibrating wire strain gages were oriented longitudinally parallel to the axis of the energy 81 pile and were attached to the lateral reinforcing hoops. One of the vibrating wire strain gages at a depth 82 of 3.2 m in Energy Pile A was damaged during installation, but all of the other sensors were functional 83 over the duration of this project (including the thermistor at a depth of 3.2 m in Energy Pile A). Over the 84 five years of monitoring, the different data acquisition systems malfunctioned for short intervals due to 85 different issues, including battery power loss, programming issues, and memory issues. Nonetheless, 86 sufficient data is available to understand the long-term behavior of the energy piles. More details of the 87 site, the conventional geothermal system, and the drilled shaft installation process are provided in 88 McCartney and Murphy (2012) and Murphy and McCartney (2015).

89 Updated Time Series of Temperature and Strain

90 Time series of the temperatures of the heat exchanger fluids entering and exiting Energy Piles A and
91 B are shown in Figure 2. Although the focus of this paper is on the thermo-mechanical response of the

92 energy pile, these fluid temperatures are an important boundary condition for the energy piles, with a 93 temperature ranging from 7 to 37 °C based on the heating and cooling demands of the heat pumps in 94 the building. A discussion on the heat transfer that can be estimated using the information in this figure 95 can be found in Murphy and McCartney (2015), and no different conclusions on this topic are drawn in 96 this study from the updated time series. The concrete temperature at different depths in Energy Piles A 97 and B are shown in Figures 3(a) and 3(b), respectively, and the corresponding changes in concrete 98 temperature in Energy Piles A and B with respect to the initial condition corresponding to the start of 99 heat pump operation are shown in Figure 3(c) and 3(d), respectively. The energy pile temperatures 100 follow the same trends as the heat exchanger fluids, and it can be observed that the changes in pile 101 temperature are relatively constant with depth in the energy pile. The temperatures at the toe of the 102 energy piles were not measured, although the heat exchanger tubing extended throughout the length of 103 the reinforcing cages. The magnitude of the extreme changes in temperature during heating and cooling 104 are approximately the same in each year of operation.

105 The thermal axial strains were calculated using the approach described in Murphy and McCartney 106 (2015), with the initial temperature on December 29, 2011 used as the reference point for changes in 107 pile temperature, and are shown in Figures 3(e) and 3(f) for Energy Piles A and B, respectively. Because 108 the strains in these figures were zeroed after all mechanical loading was applied (i.e., after the building 109 was constructed and in operation), they should ideally only reflect the changes in axial strain in the pile 110 due to temperature fluctuations. However, phenomena such as dragdown and uplift occur over long 111 periods of time and may be superimposed atop these axial strains, which may complicate the 112 interpretation of these values. Despite the fact that the concrete temperatures are within the same 113 range on each year of operation, the thermal axial strains appear to diverge over time. This indicates 114 that a temporal process is superimposed atop the thermo-elastic expansion and contraction of the 115 energy piles. Further, Murphy and McCartney (2015) inspected the magnitudes of thermal axial strain

and found that during extreme heating or cooling the thermal axial strains in both piles may be greater than those associated with free expansion of the reinforced concrete calculated using the temperature measured at the location of the strain gage. This conclusion is further exacerbated in the updated strain data measured since this previous study was published.

120 One hypothesis provided by Murphy and McCartney (2015) for the greater magnitude of thermal 121 axial strains during these extreme heating and cooling events is that the strains in the energy pile are 122 likely governed by the average temperature of the pile rather than the local temperature measured at 123 the strain gage location, a topic that was also confirmed in numerical studies by Caulk et al. (2016) and 124 Abdelaziz and Ozudogru (2016). A comparison between the average pile temperature and the outlet 125 fluid temperature is shown in Figure 4, and a difference of up to 6 °C is observed in the summer months 126 during pile heating, but less of a difference is noted in the winter months. Although use of the average 127 pile temperature in the interpretation of the thermo-mechanical response of the energy piles may be 128 more accurate than the use of the local temperatures, the changes in average pile temperature are still 129 not sufficient to justify the inconsistencies in the measured thermal axial strain values with the 130 theoretical thermal axial strains associated with free-expansion conditions. Further, the trends in the 131 average pile temperature cannot be used to explain the temporal divergence of the thermal axial strain 132 values over time observed in both energy piles. Sufficient information is not available from the site to 133 tell if this temporal process is due to the temperature changes associated with the energy pile operation 134 or other effects expected in constructing conventional piles in this area and the application of the 135 building load. However, it is possible to isolate this temporal effect from the expected thermal 136 expansion and contraction of the energy pile by evaluating profiles of axial strain in the energy pile at 137 different moments of time that have the same changes in concrete temperature.

138

139 Thermal Expansion Evaluation

140 Although it is clear that there is a temporal effect superimposed atop the thermal axial strain time 141 series in Figure 3, it is not clear if this temporal effect is changing the thermal expansion and contraction 142 of the energy pile. For example, the temporal effect could lead to softening if it is leading to soil-pile 143 displacements in the same direction as the pile movement during heating or cooling. In this case, 144 softening would lead to less restraint of the energy pile and greater constrained expansion and 145 contraction during heating or cooling, respectively. On the other hand, it is also possible this temporal 146 effect could lead to densification of the subsurface surrounding the energy pile, leading to greater 147 restraint. In order to investigate the thermal expansion and contraction of the energy pile over time, the 148 average mobilized coefficient of thermal expansion can be calculated from the plots of the thermal axial 149 strain versus temperature shown in Figures 5(a) and 5(b) for Energy Piles A and B, respectively. These 150 plots reflect the temporal effect observed in Figure 3 in the form of a downward shift in some of the 151 thermal axial strains with annual cycles. The average mobilized coefficients of thermal expansion at each 152 depth in the energy piles were calculated as the average slope of the thermal axial strain data for each 153 heating or cooling season during the four years (the data collected was insufficient to calculate the 154 average slopes in 2016). The average mobilized coefficients of thermal expansion versus depth for 155 Energy Piles A and B are shown in Figures 5(c) and 5(d), respectively. The dates given in the figure are 156 the points of reversal at the end of each heating or cooling season. Assuming that the reinforced concrete has a coefficient of thermal expansion in unconstrained (free) conditions α_{free} of -13 μ E/°C used 157 158 by Murphy and McCartney (2015), the difference between the mobilized value and the unconstrained 159 value represents the restraint provided by the subsurface on the pile to thermal expansion and 160 contraction. The fact that all of the mobilized coefficients of thermal expansion are less than -13 $\mu\epsilon/^{\circ}$ C 161 indicates that, on average, the energy piles are expanding and contracting less than if they were 162 unconstrained. An interesting observation from this figure is that although there are variations in the

profiles with each heating and cooling season, the variations do not seem to show a temporal effect. In fact, the greatest differences in the profiles of mobilized coefficients of thermal expansion are those for the first heating and cooling seasons. This observation indicates that the thermal expansion and contraction of the energy pile are not significantly affected by the temporal effect observed in the time series in Figures 3(e) and 3(f), and that the temporal effect is occurring mostly as an isolated phenomenon from the thermo-elastic expansion and contraction of the energy piles.

169 Thermal Dragdown/Uplift Evaluation

170 Because the thermo-elastic response of the energy piles is expected to be independent from the 171 temporal effect observed in Figures 3(e) and 3(f), the approach proposed to study the potential impact 172 of the temporal process is to compare the thermal axial strain profiles in the energy piles under extreme 173 heating and cooling scenarios encountered at different moments in time during the five years of 174 operation. First, different moments in time were identified where the energy pile experienced a given 175 average change in temperature with depth during extreme heating and extreme cooling, as shown in 176 Figures 6(a) and 6(b), respectively, for Energy Pile A, and in Figures 7(a) and 7(b), respectively, for Energy 177 Pile B. The markers in these figures were selected so that they are open when the pile was experiencing 178 a heating season and black when the pile was experiencing a cooling season. In all cases, the 179 temperature was uniform with depth, and it is fair to say that the pile had the same temperature profile 180 in each of the cases studied. The thermal axial strains during extreme heating and cooling corresponding 181 to these temperature profiles are shown in Figures 6(c) and 6(d), respectively, for Energy Pile A, and in 182 Figures 7(c) and 7(d), respectively, for Energy Pile B. The first observation that can be drawn from these 183 figures is that the first instances of extreme heating (February 2012) and extreme cooling (July 2012) of 184 the energy piles led to purely expansive and purely contractive strains, respectively. This is as expected, 185 because when a pile is heated it should expand thermo-elastically. The amount of expansion may vary 186 with depth depending on the restraints provided by the subsurface and overlying building, but it is not possible for the concrete to contract during heating. The next observation that can be drawn from these profiles is that successively larger contractile (positive) strains are observed over time near the toe of both piles for both the cases of extreme heating and extreme cooling. This again confirms that a temporal process is superimposed atop the thermal expansion and contraction of the energy piles.

191 To estimate the amount of axial strain induced in the energy piles due to the temporal process, the 192 difference between the profiles from the first extreme heating event and the extreme heating event in 193 2015 are shown in Figures 8(a) and 8(b) for Energy Piles A and B, respectively. For both piles, a 194 contractile strain profile was observed (with the exception of one depth in Energy Pile B), with greater 195 values of contractile strain near the toe of the pile. Next, the contractile strains were subtracted from 196 the strains observed during extreme cooling, as shown in Figures 8(c) and 8(d) for Energy Piles A and B, 197 respectively. This approach is not exactly correct, as it is expected that the temporal process may have 198 continued to occur between the instances in time associated with extreme heating and extreme cooling, 199 but it permits an approximate evaluation of this hypothesis. In both energy piles, the "corrected" 200 thermal axial strain profile obtained by subtracting the contractile strain profile leads to a thermal axial 201 strain profile that is close to that observed on the first extreme cooling event. Although approximate, 202 this analysis indicates that the temporal effect is leading to a predominantly contractile strain profile 203 that is evolving over time and is superimposed atop the thermal axial strain profiles during extreme 204 heating and cooling.

It should be noted that the predominantly contractile strains observed in Figure 8 could be due to either downdrag or uplift. In the case of downdrag, the overlying fill and sandy gravel layers are settling over time, imposing downward frictional forces on the energy pile that react against the end bearing resistance similar to the observations by Bjerrum et al. (1969). In the case of uplift, the claystone may be hydrating due to exposure to water facilitated by the drilled shaft installation. This may lead to an upward swelling of the claystone, imposing upward frictional forces on the energy pile that react against 211 the weight of the pile and overlying building. It is also possible that the claystone may be experiencing 212 drying and associated shrinkage due to the exposure to elevated temperatures, similar to the thermally 213 induced water flow observed in unsaturated Bonny silt during monotonic heating experiments on 214 energy piles by Goode and McCartney (2015). However, thermally induced water flow in claystone is 215 likely very slow and would require a monotonic thermal gradient that is not present in the operation of 216 the energy piles evaluated in this study. Nonetheless, the greater contractile strains near the toe of the 217 pile indicate that dragdown is the more likely cause of the temporal effects (so dragdown in used to 218 explain the phenomena in the figures for simplicity). More advanced simulations are needed to confirm 219 this hypothesis.

220 Axial Stress Evaluation

Now that the dragdown axial strains have been isolated from the thermal axial strains, it is possible to convert the thermal axial strains in the energy pile into thermal axial stresses. The thermal axial stresses σ_{aT} can be calculated from the thermal axial strains ε_{aT} as follows:

$$\sigma_{aT} = E(\varepsilon_{aT} - \alpha_{free}\Delta T)$$
(1)

where E is the Young's modulus and ΔT is the change in temperature at a given depth (which should ideally be the average change in temperature across the cross-sectional area of the pile, but is assumed to be the change in temperature at the location of the strain gage for simplicity). The isolated dragdown axial strains ε_{aD} can be converted to dragdown axial stresses σ_{aD} using Hooke's law as follows:

$$\sigma_{aD} = E\varepsilon_{aD} \tag{2}$$

....

Accordingly, the total axial stresses can be calculated by adding the thermal axial stresses and the dragdown stresses to the mechanical axial stresses $\sigma_{aMechanical}$ due to the building load that are constant with time which were reported by Murphy and McCartney (2015), as follows:

$$\sigma_{aTotal} = \sigma_{aT} + \sigma_{aD} + \sigma_{aMechanical}$$
(3)

231 The thermal axial stresses, dragdown axial stresses, mechanical axial stresses, and total axial stresses 232 for the last observed cases of extreme heating and cooling are shown in Figures 9(a) and 9(b) for Energy 233 Piles A and B, respectively. After correction for dragdown, the total axial stresses in the energy piles 234 varied between 5158 and 12508 kPa for Energy Pile A and 1760 and 10791 kPa for Energy Pile B. 235 Although these values are higher than the maximum compressive stress permitted in drilled shafts with 236 a compressive strength f'c of 21000 kPa (e.g., the International Building Code limits the axial stresses to 237 0.3f'c), the drilled shafts under this building were not designed a-priori to be energy piles. The analysis 238 presented in this study is simplified, but emphasizes that the process to calculate the long-term axial 239 stresses in energy piles depends on whether the axial strains occur due to thermo-elastic effects of the 240 reinforced concrete, thermal effects on the subsurface, or long-term external loading effects.

241 Although it is assumed that the thermo-elastic expansion and contraction of the energy pile is 242 isolated from the temporal dragdown/uplift process, this may not always be the case. This analysis 243 assumes that the temporal dragdown/uplift process applies gradually greater axial stresses to the pile, 244 but does not lead to sufficient displacements that the thermo-mechanical response of the energy pile 245 would lead to plastic softening or ratcheting behavior. For example, if the energy piles were loaded very 246 close to their ultimate capacity, the shape of the side shear stress-displacement curves may be such that 247 the additional downward strains due to the dragdown process would lead to a more nonlinear response 248 during heating and cooling. This was likely not the case in the energy piles evaluated here as they 249 appeared to remain thermo-elastic during heating and cooling, but should be considered in other energy 250 piles installed in soil profiles that could experience dragdown or uplift.

251 Conclusions

This study involved a comparison of thermal axial strain profiles measured in two energy piles at different moments of extreme heating and cooling over a five year period. The comparison indicates that a temporal dragdown/uplift process is superimposed atop the thermo-mechanical response of the 255 energy pile. The dragdown strains estimated from comparison of the thermal axial strains at extreme 256 heating were found to lead to a logical correction of thermal axial strains at extreme cooling. The 257 mobilized coefficients of thermal expansion of the energy piles (i.e., the slope of temperature versus 258 strain) were not observed to change significantly after several heating and cooling cycles, which 259 indicates that the temporal downdrag/uplift is independent from the thermal expansion and contraction 260 of the energy piles due to heating and cooling, respectively. The isolation of the dragdown/uplift effect 261 from the thermo-elastic expansion and contraction of the energy piles permitted a more rational 262 interpretation of the ranges in axial stress encountered during heating and cooling of the energy piles.

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319

320 List of Figure Captions

- 321 **Fig. 1**. Schematics of the energy piles including locations of instrumentation
- 322 FIG. 2. Heat exchanger fluid temperatures: (a) Energy Pile A; (b) Energy Pile B
- FIG. 3. Energy pile time series: (a) Temperature fluctuations in Energy Pile A; (b) Temperature
 fluctuations in Energy Pile B; (c) Change in temperature in Energy Pile A; (d) Change in temperature
 in Energy Pile B; (e) Thermal axial strains in Energy Pile A; (f) Thermal axial strains in Energy Pile B
- FIG. 4. Comparison between average pile temperature and outlet fluid temperature: (a) Energy Pile A;(b) Energy Pile B
- FIG. 5. Thermal expansion after different seasonal heating and cooling periods: (a) Transient thermal
 axial strain with change in temperature for Energy Pile A; (b) Transient thermal axial strain with
 change in temperature for Energy Pile B; (c) Distribution of average mobilized coefficients of thermal
 expansion for Energy Pile A; (d) Distribution of average mobilized coefficients of thermal expansion
 for Energy Pile B
- FIG. 6. Moments in time with similar average changes in pile temperature in Energy Pile A: (a)
 Temperatures during extreme heating; (b) Temperature during extreme cooling; (c) Thermal axial
 strains during extreme heating; (d) Thermal axial strains during extreme cooling
- FIG. 7. Moments in time with similar average changes in pile temperature in Energy Pile B: (a)
 Temperatures during extreme heating; (b) Temperature during extreme cooling; (c) Thermal axial
 strains during extreme heating; (d) Thermal axial strains during extreme cooling
- FIG. 8. Dragdown/uplift effect evaluation: (a) Extreme heating in Energy Pile A; (b) Extreme heating in
 Energy Pile B; (c) Extreme cooling in Energy Pile A; (d) Extreme cooling in Energy Pile B
- 341 **FIG. 9**. Axial stress evaluation; (a) Energy Pile A; (b) Energy Pile B



















Highlights:

The paper is focused on a reinterpretation of axial strain data from a pair of energy piles that have undergone heating and cooling as part of a building heat pump operation over the course of four and a half years. It was concluded that a temporal dragdown effect has been superimposed atop the thermal axial strain measurements. A simple interpretation presented in the paper permits isolation of the thermal and dragdown effects on the axial strain, which further permits evaluation of the axial stresses in the pile during heating and cooling.