

Reliable computation in geotechnical stability analysis

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Introduction

Geotechnical stability includes:

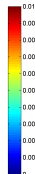
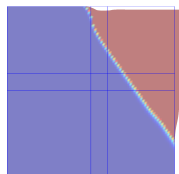
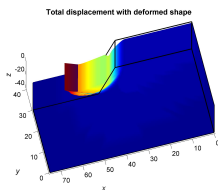
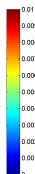
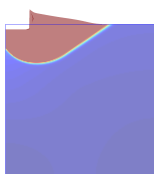
- stability of slopes, foundations, tunnels, excavations, etc.

Aims of geotechnical stability analysis:

- safety factor for a given set of applied loads and material parameters
 - strength or limit load parameters
- failure mechanisms caused by limit (ultimate) loads

Basic methods:

- slip-line method, limit equilibrium, strength reduction, incremental methods, **limit analysis**



History of limit analysis:

- developed by [D.C. Drucker in 50'](#) - lower and upper bound theorems
- based on perfect plasticity & associative plastic flow rule (classical theory)
- analytical methods: [[W.-F. Chen: Limit analysis in soil mechanics, 1975](#)]
- survey article: [[S. Sloan: Geotechnical stability analysis. Géotechnique, 2013](#)]

Mathematical theory of classical limit analysis:

- [[R. Temam: Mathematical Problems in Plasticity. Gauthier-Villars, 1985](#)],
- [[E. Christiansen: Limit analysis of collapse states, 1996](#)],
- [[S. Repin, G. Seregin: Existence of a weak solution of the minimax problem arising in Coulomb-Mohr plasticity, 1995](#)]

Nonclassical limit analysis:

- nonassociative plasticity with hardening/softening, porous materials
- variational approach based on theory of bipotentials
- [[Zouain, Filho, Borges, da Costa 2007](#)], [[Hamlaoui, Oueslati, de Saxcé 2017](#)]

Outline

- 1 Limit analysis problem for the Drucker-Prager yield criterion.
- 2 Inf-sup condition related to the limit analysis and computable majorant of the limit load
- 3 Computational strategy and mesh adaptivity.
- 4 Numerical examples.

1. Limit analysis problem for the Drucker-Prager yield criterion

Assumptions and notation:

- $\Omega \subset \mathbb{R}^d$, $d = 2, 3$ – bounded domain with Lipschitz boundary $\partial\Omega$
- $\partial\Omega = \bar{\Gamma}_D \cap \bar{\Gamma}_N$:
 - Γ_D – homogeneous Dirichlet boundary conditions
 - Γ_N – Neumann boundary conditions
- homogeneous material
- basic functional spaces (L^2 and $W^{1,2}$)

Variational setting of the problem - notation

Space of displacement (velocity) fields:

$$\mathbb{V} = \{ \mathbf{v} \in W^{1,2}(\Omega, \mathbb{R}^d) \mid \mathbf{v} = \mathbf{0} \text{ a.e. on } \Gamma_D \}$$

Load functional:

$$L(\mathbf{v}) = \int_{\Omega} \mathbf{F} \cdot \mathbf{v} \, dx + \int_{\Gamma_N} \mathbf{f} \cdot \mathbf{v} \, ds \quad \forall \mathbf{v} \in \mathbb{V}, \quad \mathbf{F} \in L^2(\Omega, \mathbb{R}^d), \quad \mathbf{f} \in L^2(\Gamma_N; \mathbb{R}^d)$$

Statically admissible stresses for $\lambda \geq 0$:

$$\begin{aligned} Q_{\lambda L} &= \{ \boldsymbol{\tau} \in L^2(\Omega, \mathbb{R}_{sym}^{d \times d}) \mid \text{Div } \boldsymbol{\tau} + \lambda \mathbf{F} = 0 \text{ in } \Omega, \quad \boldsymbol{\tau} \boldsymbol{\nu} = \lambda \mathbf{f} \text{ on } \Gamma_N \} \\ &= \left\{ \boldsymbol{\tau} \in L^2(\Omega, \mathbb{R}_{sym}^{d \times d}) \mid \int_{\Omega} \boldsymbol{\tau} : \boldsymbol{\varepsilon}(\mathbf{v}) \, dx = \lambda L(\mathbf{v}) \quad \forall \mathbf{v} \in \mathbb{V} \right\}. \end{aligned}$$

Plastically admissible stresses:

$$P = \{ \boldsymbol{\tau} \in L^2(\Omega, \mathbb{R}_{sym}^{d \times d}) \mid \boldsymbol{\tau}(\mathbf{x}) \in B \text{ for a.a. } \mathbf{x} \in \Omega \}, \quad B \subset \mathbb{R}_{sym}^{d \times d} \text{ - convex}$$

Problem of limit analysis

Static approach (lower bound theorem of limit analysis):

$$\lambda^* = \sup\{\lambda \geq 0 \mid Q_{\lambda L} \cap P \neq \emptyset\}$$

Kinematic approach (upper bound theorem of limit analysis):

$$\zeta^* = \inf_{\substack{\mathbf{v} \in \mathbb{V} \\ L(\mathbf{v})=1}} \int_{\Omega} j_{\infty}(\varepsilon(\mathbf{v})) \, dx, \quad j_{\infty}(\mathbf{e}) := \sup_{\boldsymbol{\tau} \in B} \boldsymbol{\tau} : \mathbf{e}, \quad \mathbf{e} \in \mathbb{R}_{sym}^{d \times d}$$

Duality within limit analysis:

$$\lambda^* = \sup_{\substack{\boldsymbol{\tau} \in L^2(\Omega, \mathbb{R}_{sym}^{d \times d}) \\ \boldsymbol{\tau} \in B \text{ in } \Omega}} \inf_{\substack{\mathbf{v} \in \mathbb{V} \\ L(\mathbf{v})=1}} \int_{\Omega} \boldsymbol{\tau} : \varepsilon(\mathbf{v}) \, dx \leq \inf_{\substack{\mathbf{v} \in \mathbb{V} \\ L(\mathbf{v})=1}} \int_{\Omega} j_{\infty}(\varepsilon(\mathbf{v})) \, dx = \zeta^*,$$

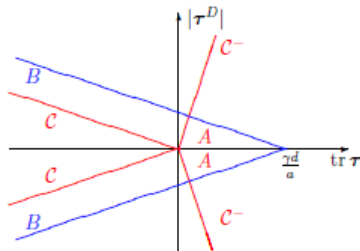
Comments:

- $\lambda^* \leq \zeta^*$ but the equality $\lambda^* = \zeta^*$ can be investigated
- a minimum defining ζ^* need not belong to \mathbb{V}
 \implies relaxation of the problem, *BD*-spaces

The Drucker-Prager yield criterion

Set B including the D-P yield criterion:

- $B = \{\boldsymbol{\tau} \in \mathbb{R}_{sym}^{d \times d} \mid |\boldsymbol{\tau}^D| + \frac{a}{d} \text{tr } \boldsymbol{\tau} \leq \gamma\}$,
 $a, \gamma > 0$ – material parameters
- $\mathcal{C} = \{\boldsymbol{\tau} \in \mathbb{R}_{sym}^{d \times d} \mid |\boldsymbol{\tau}^D| + \frac{a}{d} \text{tr } \boldsymbol{\tau} \leq 0\}$,
- $\mathcal{C}^- = \{\boldsymbol{\eta} \in \mathbb{R}_{sym}^{d \times d} \mid \boldsymbol{\eta} : \boldsymbol{\tau} \leq 0 \ \forall \boldsymbol{\tau} \in \mathcal{C}\}$
- $\mathcal{C}^- = \{\boldsymbol{\eta} \in \mathbb{R}_{sym}^{d \times d} \mid \text{tr } \boldsymbol{\eta} \geq a|\boldsymbol{\eta}^D|\}$



Consequence: $j_\infty(\mathbf{e}) = \sup_{\boldsymbol{\tau} \in B} \boldsymbol{\tau} : \mathbf{e} = \frac{\gamma}{a} \text{tr } \mathbf{e}$ if $\mathbf{e} \in \mathcal{C}^-$, otherwise $j_\infty(\mathbf{e}) = +\infty$

Kinematic limit analysis problem $(\mathcal{P})^\infty$:

$$(\mathcal{P})^\infty \quad \zeta^* = \inf_{\substack{\mathbf{v} \in \mathcal{K} \\ L(\mathbf{v})=1}} \int_{\Omega} \frac{\gamma}{a} \text{div } \mathbf{v} \, dx, \quad \text{div } \mathbf{v} = \text{tr } \boldsymbol{\varepsilon}(\mathbf{v}),$$

$$\mathcal{K} = \{\mathbf{w} \in \mathbb{V} \mid \boldsymbol{\varepsilon}(\mathbf{w}) \in \mathcal{C}^- \text{ in } \Omega\} = \{\mathbf{w} \in \mathbb{V} \mid \text{div } \mathbf{w} \geq a|\boldsymbol{\varepsilon}^D(\mathbf{w})| \text{ in } \Omega\}$$

2. Inf-sup conditions related to limit analysis and computable majorant of the limit load

- Set of constraints in kinematic limit analysis:

$$\mathcal{K} = \{\mathbf{w} \in \mathbb{V} \mid \varepsilon(\mathbf{w}) \in \mathcal{C}^- \text{ a.e. in } \Omega\}$$

- Related sets of Lagrange multipliers:

$$L^2(\Omega; \mathcal{C}) = \{\boldsymbol{\tau} \in L^2(\Omega; \mathbb{R}_{sym}^{d \times d}) \mid \boldsymbol{\tau} \in \mathcal{C} \text{ a.e. in } \Omega\}$$

$$\mathbf{w} \in \mathcal{K} \quad \iff \quad \int_{\Omega} \boldsymbol{\tau} : \varepsilon(\mathbf{w}) \, dx \leq 0 \quad \forall \boldsymbol{\tau} \in L^2(\Omega; \mathcal{C})$$

- L^2 -norm of scalar, vector and tensor functions in Ω : $\|\cdot\|_{\Omega}$

Distance estimate of functions to the set \mathcal{K}

Assumption:

$$c_* := \inf_{\substack{\boldsymbol{\tau} \in L^2(\Omega; \mathcal{C}) \\ \boldsymbol{\tau} \neq 0}} \sup_{\substack{\mathbf{v} \in \mathbb{V} \\ \mathbf{v} \neq 0}} \frac{\int_{\Omega} \boldsymbol{\tau} : \nabla \mathbf{v} \, dx}{\|\boldsymbol{\tau}\|_{\Omega} \|\nabla \mathbf{v}\|_{\Omega}} > 0.$$

The distance estimate to \mathcal{K} :

$$\min_{\mathbf{w} \in \mathcal{K}} \|\nabla(\mathbf{v} - \mathbf{w})\|_{\Omega} \leq \frac{1}{c_*} \|\Pi_{\mathcal{C}} \varepsilon(\mathbf{v})\|_{\Omega} \quad \forall \mathbf{v} \in \mathbb{V}.$$

$\Pi_{\mathcal{C}}$ – projection of $\mathbb{R}_{sym}^{d \times d}$ onto \mathcal{C} w.r.t. the biscalar product

Idea of the proof:

$$\min_{\mathbf{w} \in \mathcal{K}} \|\nabla(\mathbf{v} - \mathbf{w})\|_{\Omega}^2 = \inf_{\mathbf{w} \in \mathbb{V}} \sup_{\boldsymbol{\tau} \in L^2(\Omega; \mathcal{C})} \left\{ \|\nabla(\mathbf{v} - \mathbf{w})\|_{\Omega}^2 + 2 \int_{\Omega} \boldsymbol{\tau} : \nabla \mathbf{w} \, dx \right\}.$$

$$c_* > 0 \implies \inf \sup = \sup \inf \leq \frac{1}{c_*^2} \|\Pi_{\mathcal{C}} \varepsilon(\mathbf{v})\|_{\Omega}^2$$

Consequences of the distance estimate

1. Equivalence between the static and kinematic approaches:

$$\lambda^* = \zeta^* \quad [\text{Repin, Seregin 1995}]$$

2. Guaranteed upper bound of ζ^* :

$$\zeta^* \leq \frac{J_\infty^A(\mathbf{v})}{L(\mathbf{v})} \quad \forall \mathbf{v} \in \mathcal{K}, L(\mathbf{v}) > 0, \quad J_\infty^A(\mathbf{v}) := \int_\Omega \frac{\gamma}{a} \operatorname{div} \mathbf{v} \, dx$$

$$\zeta^* \leq \frac{J_\infty^A(\mathbf{v}) + c_*^{-1} \rho_A |\Omega|^{1/2} \|\Pi_C \varepsilon(\mathbf{v})\|_\Omega}{L(\mathbf{v}) - c_*^{-1} \|L\|_* \|\Pi_C \varepsilon(\mathbf{v})\|_\Omega} \quad \forall \mathbf{v} \in \mathbb{V}, L(\mathbf{v}) > c_*^{-1} \|L\|_* \|\Pi_C \varepsilon(\mathbf{v})\|_\Omega$$

- there are available computable majorants of the constant $\rho_A > 0$, $\|L\|_* > 0$
- **computable** majorants of $1/c_*$ are needed
- if $\mathbf{v} \in \mathcal{K}$ then both estimates coincide since $\|\Pi_C \varepsilon(\mathbf{v})\|_\Omega = 0 \, \forall \mathbf{v} \in \mathcal{K}$

On validity of the inf-sup condition

1. One cannot investigate the inf-sup condition on the whole space!

$$\inf_{\substack{\boldsymbol{\tau} \in L^2(\Omega; \mathcal{C}) \\ \boldsymbol{\tau} \neq 0}} \sup_{\substack{\mathbf{v} \in \mathbb{V} \\ \mathbf{v} \neq 0}} \frac{\int_{\Omega} \boldsymbol{\tau} : \nabla \mathbf{v} \, d\mathbf{x}}{\|\boldsymbol{\tau}\|_{\Omega} \|\nabla \mathbf{v}\|_{\Omega}} \geq \inf_{\substack{\boldsymbol{\tau} \in L^2(\Omega; \mathbb{R}_{sym}^{d \times d}) \\ \boldsymbol{\tau} \neq 0}} \sup_{\substack{\mathbf{v} \in \mathbb{V} \\ \mathbf{v} \neq 0}} \frac{\int_{\Omega} \boldsymbol{\tau} : \nabla \mathbf{v} \, d\mathbf{x}}{\|\boldsymbol{\tau}\|_{\Omega} \|\nabla \mathbf{v}\|_{\Omega}} = 0$$

2. Dirichlet b.c. on the whole boundary: $\mathbb{V} = W_0^{1,2}(\Omega; \mathbb{R}^d)$

⇒ the inf-sup condition does not hold, i.e. $c_* = 0$

⇒ $\mathcal{K} = \{0\}$, $\lambda^* = \zeta^* = +\infty$ [Repin, Seregin 1995]

3. Dirichlet b.c. on a part of $\partial\Omega$, i.e. $\mathbb{V} \neq W_0^{1,2}(\Omega; \mathbb{R}^d)$: Let

$$a < \frac{1}{\sqrt{C_{\Omega}^2 - d^{-1}}}, \quad \text{where } \frac{1}{C_{\Omega}} := \inf_{\substack{q \in L^2(\Omega) \\ q \neq 0}} \sup_{\substack{\mathbf{v} \in \mathbb{V} \\ \mathbf{v} \neq 0}} \frac{\int_{\Omega} q \operatorname{div} \mathbf{v} \, d\mathbf{x}}{\|q\|_{\Omega} \|\nabla \mathbf{v}\|_{\Omega}} > 0.$$

Then

$$c_* = \inf_{\substack{\boldsymbol{\tau} \in L^2(\Omega; \mathcal{C}) \\ \boldsymbol{\tau} \neq 0}} \sup_{\substack{\mathbf{v} \in \mathbb{V} \\ \mathbf{v} \neq 0}} \frac{\int_{\Omega} \boldsymbol{\tau} : \nabla \mathbf{v} \, d\mathbf{x}}{\|\boldsymbol{\tau}\|_{\Omega} \|\nabla \mathbf{v}\|_{\Omega}} \geq \frac{1 - a\sqrt{C_{\Omega}^2 - d^{-1}}}{C_{\Omega}\sqrt{a^2 + d}} > 0.$$

On computable majorants of the constant C_Ω

Inf-sup conditions for incompressible flow media:

$$\frac{1}{C_\Omega} = \inf_{\substack{q \in L^2(\Omega) \\ q \neq 0}} \sup_{\substack{\mathbf{v} \in \mathbb{V} \\ \mathbf{v} \neq 0}} \frac{\int_\Omega q \operatorname{div} \mathbf{v} \, dx}{\|q\|_\Omega \|\nabla \mathbf{v}\|_\Omega} > 0,$$

$$\frac{1}{C_\Omega^0} := \inf_{\substack{q \in L^2(\Omega) \\ \{q\}_\Omega = 0}} \sup_{\mathbf{v} \in W_0^{1,2}(\Omega; \mathbb{R}^d)} \frac{\int_\Omega q \operatorname{div} \mathbf{v} \, dx}{\|q\|_\Omega \|\nabla \mathbf{v}\|_\Omega} > 0, \quad \{q\}_\Omega := \frac{1}{|\Omega|} \int_\Omega q \, dx = 0$$

Analytical upper bounds of C_Ω^0 : [Dauge, Costabel 2015], [Payne 2007]

- 2D: star-shaped domains Ω w.r.t. a concentric ball of radius $\rho > 0$
- 3D: only for some special cases

Relation between C_Ω and C_Ω^0 :

$$C_\Omega \leq \sqrt{(C_\Omega^0)^2 + |\Omega|^{-1} \|\nabla \tilde{\mathbf{v}}\|_\Omega^2} \quad \forall \tilde{\mathbf{v}} \in \mathbb{V}, \operatorname{div} \tilde{\mathbf{v}} = 1 \text{ in } \Omega$$

Semianalytical bounds of C_Ω : [3x Repin 2015-8], [Repin, S., Haslinger 2018]

3. Computational strategy and mesh adaptivity

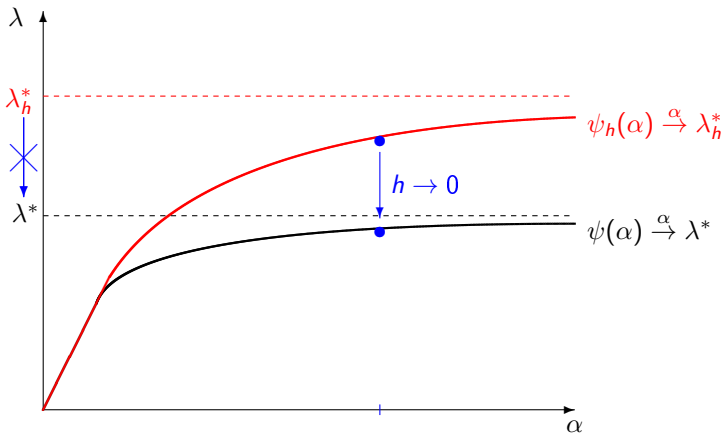
- **Penalization:**

$$\lambda_\alpha = \inf_{\substack{\mathbf{v} \in \mathbb{V} \\ L(\mathbf{v})=1}} \int_{\Omega} j_\alpha(\varepsilon(\mathbf{v})) \, dx, \quad j_\alpha(\mathbf{e}) = \sup_{\boldsymbol{\tau} \in B} \left\{ \boldsymbol{\tau} : \mathbf{e} - \frac{1}{2\alpha} \mathbb{C}^{-1} \boldsymbol{\tau} : \boldsymbol{\tau} \right\},$$

- $\alpha > 0$, j_α – real-valued and smooth, $j_\alpha \rightarrow j_\infty$ as $\alpha \rightarrow +\infty$
- \mathbb{C} – elastic fourth order tensor
- closely related to an elastic-perfectly plastic problem
- **Discretization:** standard finite element method
- **Solver:** continuation through α & semismooth Newton method
- **Implementation:** vectorized Matlab codes in 2D and 3D
- M. Čermák, S. Sysala, J. Valdman: Fast MATLAB assembly of elastoplastic FEM matrices in 2D and 3D. ArXiv 1805.04155. Codes available in https://github.com/matlabfem/matlab_fem_elastoplasticity

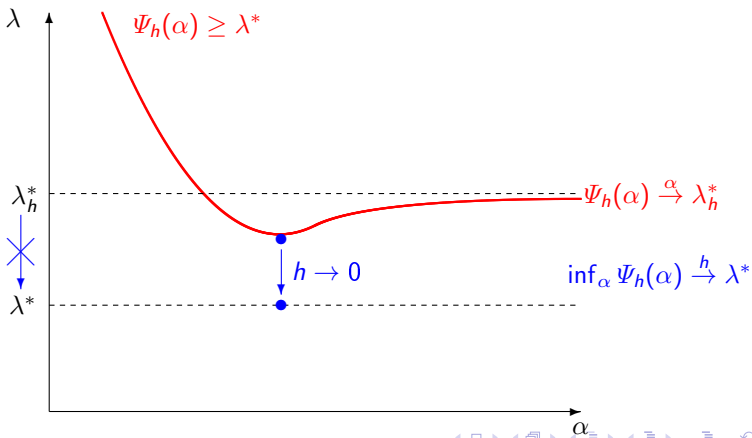
Output 1: load path function ψ_h

$$\alpha \mapsto \mathbf{u}_{h,\alpha} \mapsto \psi_h(\alpha) := \int_{\Omega} \Pi_B(\varepsilon(\alpha \mathbf{u}_{h,\alpha})) : \varepsilon(\mathbf{u}_{h,\alpha}) \, dx$$



Output2: upper bound function Ψ_h

$$\alpha \mapsto \mathbf{u}_{h,\alpha} \mapsto \Psi_h(\alpha) := \frac{J_\infty^A(\mathbf{u}_{h,\alpha}) + c_*^{-1} \rho A |\Omega|^{1/2} \|\Pi_C \varepsilon(\mathbf{u}_{h,\alpha})\|_\Omega}{L(\mathbf{u}_{h,\alpha}) - c_*^{-1} \|L\|_* \|\Pi_C \varepsilon(\mathbf{u}_{h,\alpha})\|_\Omega}$$



Mesh adaptivity

Reasons:

- failure is localized - estimation of the failure surface
- presence of the rigid kinematic fields far from the failure

Restriction on mesh refinement:

- $P1$ and $P2$ elements in 2D
- all triangles must isoscaled and right-angled before and after refinements
- the longest-edge bisection on selected triangles

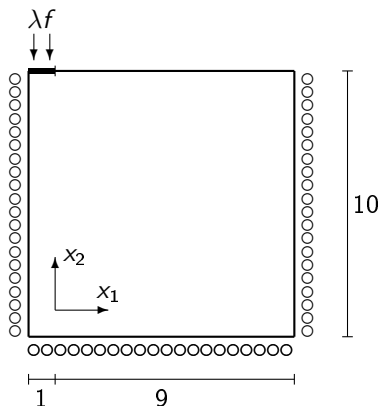
Adaptive strategy

- ① fix penalization parameter α sufficiently large
- ② solve $(\mathcal{P})_h^\alpha$: minimize $\int_{\Omega} j_\alpha(\varepsilon(\mathbf{v}_h)) \, d\mathbf{x}$ s.t. $L(\mathbf{v}_h) = 1 \quad \mapsto \mathbf{u}_{h,\alpha}$
- ③ sort the array $\{\int_e \operatorname{div} \mathbf{u}_{h,\alpha} \, d\mathbf{x}, \quad e \in \mathcal{T}_h\}$ (see problem $(\mathcal{P})^\infty$)
- ④ select a smaller number of elements $e \in \mathcal{T}_h$ from the sorted array
- ⑤ refine mesh according to the prescribed sets of elements
- ⑥ interpolate $\mathbf{u}_{h,\alpha}$ to the refined mesh to initiate a Newton-like solver

Comments:

- problem $(\mathcal{P})_h^\alpha$ is strongly nonlinear for larger α
 - \Rightarrow continuation Newton method for the initial mesh
 - \Rightarrow damped Newton method for refined meshes
 - \Rightarrow more refinements with a smaller number of refine elements
- Adaptive Newton method [\[Axelsson, Sysala 2018 - submitted\]](#)

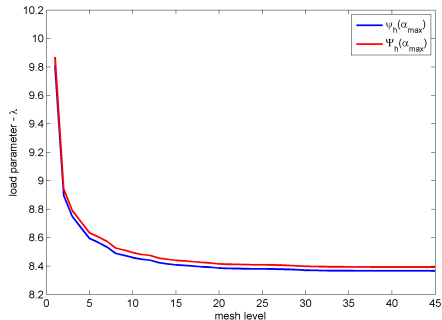
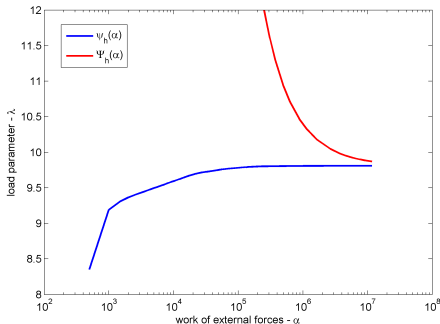
Example 1 – Strip footing & bearing capacity



- plane strain problem ($d = 3$)
- friction angle = 10° , cohesion = 450
- hence $a = 0.24$, $\gamma = 624$
- $f = -450$, $\|L\|_* \leq 450\sqrt{10}$
- $C_\Omega^0 \leq 2.6$, $C_\Omega \leq 2.8$, $c_*^{-1} \leq 14.8$
- P2 elements, 7-point Gauss quadrature

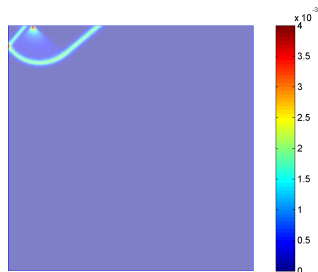
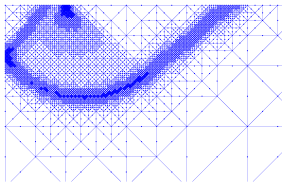
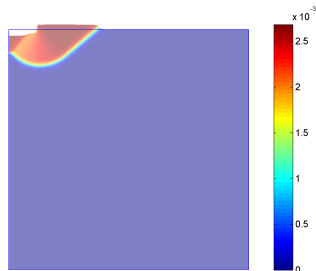
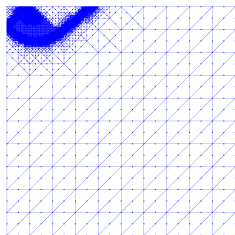
Load path & guaranteed upper bound

- results for initial (coarsest) mesh
- $\psi_h(\alpha)$ and $\Psi_h(\alpha)$, $\alpha \in (0, 10^7)$
- α - convergence
- 45 levels of mesh refinement
- $\psi_h(\hat{\alpha})$ and $\Psi_h(\hat{\alpha})$, $\hat{\alpha} \doteq 10^7$
- h -convergence

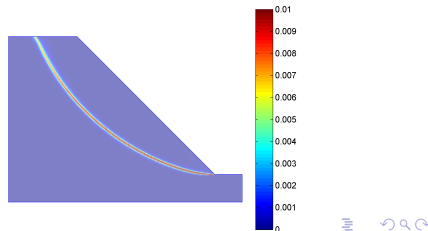
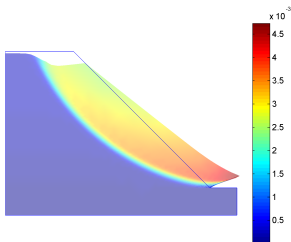
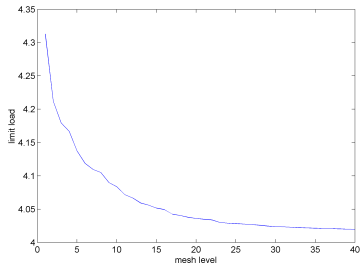
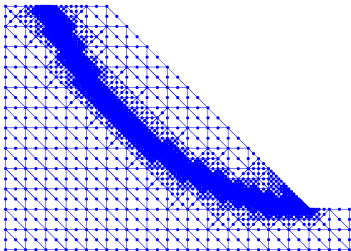


$$\lambda^* = \zeta^* \leq \Psi_h(\hat{\alpha}) \doteq 8.39, \quad \lambda^* = \zeta^* \geq \lim_{h \rightarrow 0^+} \psi_h(\hat{\alpha}) \doteq 8.36$$

Visualization of failure - the finest mesh



Example 2 – Slope stability



Concluding remark 1

Restrictive assumption on the guaranteed upper bound:

$$a < \frac{1}{\sqrt{C_{\Omega}^2 - d^{-1}}}$$

- material parameter a is dependent on the domain Ω !
- one must set too small friction angle
- the upper bound is sharp only for very large α

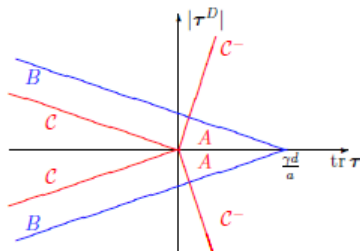
Deeper analysis of inf–sup conditions on convex cones:

- absence of literature on this problematic
- possible applications out of plasticity
- equivalent statements to the inf–sup condition?

Concluding remark 2

Extension of the results for other yield criteria – assumptions on B:

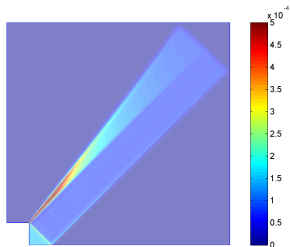
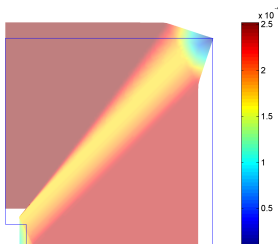
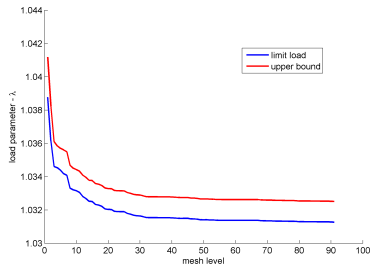
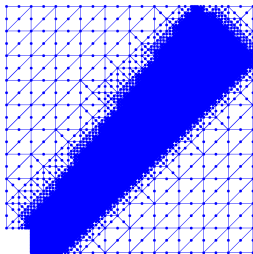
- $B \subset \mathbb{R}_{sym}^{d \times d}$ is closed, convex
- $\mathbf{0} \in \text{int } B$
- $B = C + A$,
 - C – convex cone with vertex at $\mathbf{0}$,
 - $A \subset C^-$ – bounded



Examples of yield criteria satisfying the assumptions:

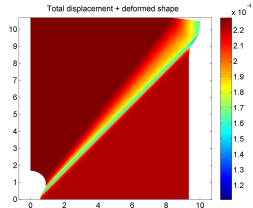
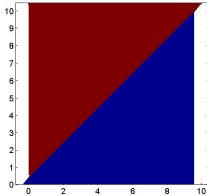
- von Mises, Tresca, Drucker-Prager, Mohr-Coulomb

Example 3 – von Mises yield criterion



Our recent articles containing limit analysis:

1. S. Sysala, J. Haslinger, I. Hlaváček, M. Cermak: *Discretization and numerical realization of contact problems for elastic-perfectly plastic bodies. PART I - discretization, limit analysis.* ZAMM 95 (2015) 333 – 353.
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Thank you for your attention!

