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4 **Railroad Concrete Tie Failure Modes and Research Needs**

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45 **ABSTRACT**

46 This paper reviews the main failure modes of concrete ties observed in the U.S. railroads, including
47 chemical degradation, prestress cracks, flexural cracks, rail seat deterioration, freeze-thaw cracks, and
48 shoulder/fastener wear or fatigue. The observed characteristics, probable causes and detrimental effects
49 of each failure mode are described. A finite element analysis framework aimed at achieving a better
50 understanding of the basic failure mechanisms of concrete ties is presented. The ability of the modeling
51 approach to simulate and predict critical failure modes of concrete ties is demonstrated. To meet the new
52 challenges and demands placed on the U.S. rail infrastructure by increased high speed and heavy haul
53 applications, concrete tie performance issues need to be addressed at both material and structural levels.
54 Continued research needs to quantitatively characterize concrete tie failure under realistic track load and
55 support conditions and to improve existing test and inspection standards are further discussed.
56

57 INTRODUCTION

58 The main functions of railroad ties are to hold rails securely to maintain gauge and vertical position,
59 transmit traffic loads to the ballast with diminished contact pressures, and anchor the rail-crosstie
60 structure against lateral and longitudinal movements (1). The largest market share of railroad ties in
61 North America is for traditional timber ties. However, the shortage of timber in Europe immediately after
62 World War II and improved concrete technology and prestressing techniques have led to significant
63 development of concrete ties (2). Concrete ties can be engineered to meet specific service requirements
64 and add overall stability and performance to a railroad track structure. Moreover, concrete ties were
65 estimated to last twice as long as timber ties and therefore can lower life cycle costs despite higher initial
66 costs. These desirable qualities led to great interest and the first major installation of prestressed concrete
67 ties in the U.S. in 1966 (3). It is estimated that over 30 million concrete ties exist in track in North
68 America.

69 Nevertheless, concrete ties have displayed multiple failure modes that have shortened their
70 expected service lives or caused derailment accidents. To address the concrete tie performance issues
71 under the more general goal of reducing track and infrastructure related failure, the Federal Railroad
72 Administration (FRA) has solicited and supported comprehensive concrete tie and fastener research since
73 2010. The Volpe National Transportation Systems Center (Volpe Center) has contributed to this research
74 initiative by developing computational models for concrete ties and applying them in track failure
75 analyses. This paper first reviews the main concrete tie failure modes observed in the U.S. tracks. The
76 finite element (FE) analysis framework developed at the Volpe Center is then presented, and its ability to
77 simulate and predict critical failure modes of concrete ties is demonstrated. Continued research needed to
78 understand the basic failure mechanisms and improve the test and inspection standards for concrete ties is
79 further discussed.

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81 REVIEW OF CONCRETE TIE FAILURE MODES

82 A Railway Tie Association (RTA) sponsored project examined approximately 29 million concrete ties
83 installed on freight and passenger lines in U.S. and Canada since the 1970's and found that 7.9-9.2% of
84 these ties have failed or been replaced over the years (4). More recently, University of Illinois at Urbana-
85 Champaign (UIUC) conducted an international concrete crosstie and fastening system survey and ranked
86 the various failure modes according to their criticalness viewed by infrastructure owners and operators,
87 researchers and tie manufacturers (5). These studies indicate that the main failure modes of concrete ties
88 in North America include, but are not limited to:

- 89 ○ chemical degradation,
- 90 ○ prestress cracks,
- 91 ○ flexural cracks (including rail seat cracks and center negative cracks),
- 92 ○ rail seat deterioration,
- 93 ○ freeze-thaw cracks, and
- 94 ○ shoulder/fastener wear or fatigue.

95

96 Chemical Degradation

97 Deleterious chemical reactions or processes include alkali-aggregate reactions (AAR) and sulfate attack.
98 AAR has two forms: alkali-silica reaction (ASR) and alkali-carbonate reaction. In ASR, aggregates
99 containing certain forms of silica will react with alkali hydroxide in concrete to form a bulky gel that
100 swells as it absorbs water from the surrounding cement paste. The swelling gels can induce enough
101 expansion pressure to damage the concrete. Sulfate attack may be either internal or external. A particular
102 form of internal sulfate attack is delayed ettringite formation (DEF). Damage to the concrete occurs when
103 the ettringite crystals exert an expansive force within the concrete as they grow.

104 The RTA study found that nearly 1 million concrete ties, installed mainly during the 1970s and
105 1980s, have failed due to known Alkali reactivity causes. Another 177,000 ties, installed during the
106 1990s, have failed and been removed due to DEF (4). The more recent UIUC study, however, ranked

107 “cracking from environmental or chemical degradation” at the bottom of the eight “most critical concrete
 108 crosstie and fastening system problems” in a North American survey (5).

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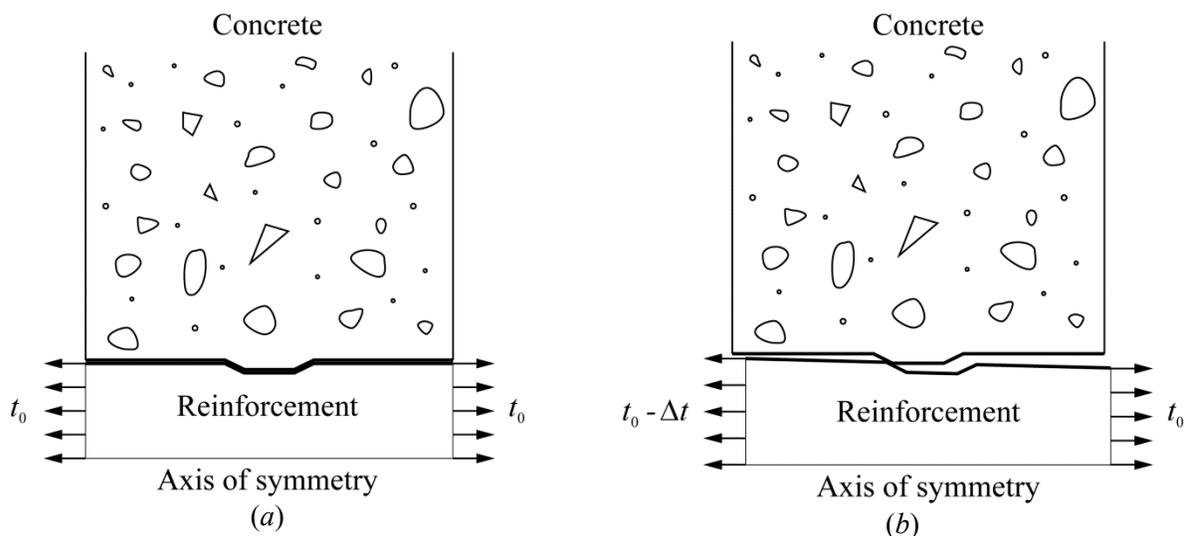
110 **Prestress Cracks**

111 Concrete ties are made by casting concrete around pretensioned steel wires or strands. The concrete
 112 forms a bond with the steel reinforcement as it cures. As the pretension in the steel reinforcement is
 113 released, there can be relative slip and dilation along the reinforcement-concrete interface. Figure 1
 114 illustrates the micromechanics along an indented reinforcement-concrete interface. The reinforcement is
 115 initially pretensioned with a traction t_0 . As the traction is reduced by Δt at one end upon pretension
 116 release, the steel reinforcement slips relative to the surrounding concrete. In addition, the reinforcement
 117 dilates radially due to Hoyer effect, thus applying radial (normal) pressure on the concrete’s inner wall.

118 For indented wires as well as strands with natural spiral surfaces, additional radial dilation is
 119 produced via mechanical interaction with the concrete. As shown in Figure 1, as the reinforcement slips
 120 relative to the concrete, the surface mismatch between the two materials also leads to radial dilation
 121 resulting in additional radial (normal) pressure on the concrete’s inner wall. These pressures can split the
 122 concrete longitudinally, creating splitting/bursting cracks especially near the ends of the concrete ties.
 123 Figure 2 shows some splitting/bursting cracks that NDT Corporation has attempted to detect and assess
 124 using the sonic/ultrasonic pulse velocity method (6). Typically, these cracks originate near the tie ends at
 125 the reinforcement-concrete interfaces. As they propagate toward the rail seats, the cracks reduce in
 126 number and eventually coalesce to form horizontal or even vertical cracks.

127 There was a widespread horizontal cracking pattern observed in concrete ties installed during the
 128 1994-98 period on the Northeast Corridor (Figure 3). It was generally believed that the splitting/bursting
 129 mechanisms contributed to the formation of these cracks (7). However, the strong preference in
 130 orientation (horizontal cracking) and location (along the top row of the strands) indicates that other
 131 mechanisms might have been at work as well. Two other possible contributing factors are: (1) the
 132 specific design of the tie, and (2) initial stresses surrounding the fastener shoulders as a result of the
 133 fastener force application. The splitting/bursting and horizontal cracks are grouped into “prestressing cracks,”
 134 because they are believed to result mainly from the prestresses generated during manufacturing and/or
 135 installation processes of concrete ties.

136



137 **FIGURE 1 Relative slip and dilation of an indented reinforcement-concrete interface as the**
 138 **concrete tie changes from (a) the pretensioned phase to (b) the pretension released phase.**

139



FIGURE 2 Splitting/bursting cracks (6).

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(a)



(b)

FIGURE 3 Horizontal cracks observed on the Northeast Corridor (7).

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Rail Seat Cracks

Flexural cracks can develop from the bending of a tie. With relatively good ballast support and under high rail seat positive moments, rail seat positive cracks can develop at the bottom of concrete ties. These cracks may propagate upward and then longitudinally, leading to premature tie failure. Figure 4(a) shows the example of a severe rail seat positive crack (8). Cracks seen on top of rail seats may be referred to as rail seat negative cracks as they are likely related to negative bending moments in local rail seat areas.

The RTA survey identified rail seat cracking as one of the main causes of concrete tie failure over the years (4). The UIUC survey did not have a specific “rail seat cracking” category, but it may fit in the “cracking from dynamic loads” category that was ranked third among the eight most critical failure problems (5).

Rail seat cracking occurs when the concrete tensile strength limit is overcome locally in a tie subjected to bending moments. With a given concrete tie and its designed strength limits, a reasonable approach to prevent rail seat cracking is to limit the track loads applied on the tie to within its design limits. Wheel impact load detectors (WILD) have been installed worldwide to detect excessive wheel impact loads on tracks, so that defective wheels causing these damaging impact forces can be identified and targeted for removal. The long term benefits of WILD include not only extended service lives of track components but also reduced energy cost and increased productivity (9).

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163 Center Negative Cracks

164 Flexural cracks can develop at the top center of concrete ties due to high center negative moments. The
 165 cyclic track loading causes the ties to oscillate and deform vertically; over time this pumping action
 166 abrades the bottoms of the ties and pulverizes the supporting ballast. When the pulverized ballast is not
 167 timely removed and replaced with new ballast, depression in the pulverized ballast under the ends of the
 168 ties may develop, altering the ballast support to the center of the ties while allowing the ends to behave
 169 like cantilever beams. This can cause large negative moments in the center and consequently “center
 170 negative” or “center bound” cracks in the concrete ties (10). According to the UIUC survey, center bound
 171 cracks rank fifth among the eight most critical concrete tie and fastener failure modes in the North
 172 American railroads (5).

173 Figure 4(b) illustrates multiple center negative cracks observed on some concrete ties. The
 174 bottoms of the ties also appear to be abraded significantly from dynamic interactions with ballast. Both
 175 tie abrasion and ballast pulverization contribute to the uneven voids or gaps formed between the ties and
 176 the ballast. The detrimental effects of tie abrasion in this case are twofold: (1) it worsens the center
 177 binding support conditions, and (2) it reduces the bending moment capacities of the ties making them
 178 more prone to failure. The phenomenon of tie abrasion from repeated dynamic interactions with ballast
 179 may be treated as an additional concrete tie failure mode worthy of additional research.
 180



181 **FIGURE 4 Examples of flexural cracks: (a) rail seat positive crack (δ), and (b) center negative**
 182 **cracks on concrete ties with abraded bottom.**

183

184 Rail Seat Deterioration

185 Rail seat deterioration (RSD) refers to the gradual loss of the concrete material directly underneath the rail.
 186 The UIUC survey indicates that RSD is the failure mode of most concern in the North American railroads
 187 (5). RSD lowers the service lives of concrete ties and increases the maintenance cost associated with in
 188 situ repair or replacement of deteriorated ties (4). If excessive RSD occurs on a sufficient number of
 189 consecutive ties, wide gage and ultimately rail rollover may occur. RSD in concrete ties has been
 190 determined as the probable cause of two Amtrak derailments on curved tracks in Home Valley,
 191 Washington on April 3, 2005 and Sprague, Washington on January 28, 2006, respectively (11).

192 RSD surfaces may be uneven, as is the case with the concrete ties involved in the derailment in
 193 Home Valley, Washington (11). Figure 5 shows the rail seats of these ties with reverse cant indicating
 194 increased risk of wide gage (12). Alternatively, RSD may degrade the concrete surfaces more uniformly
 195 resulting in “vertical deterioration” of the rail seats. Factors contributing to RSD include: presence of
 196 water, high tonnage, steep track grades, track curvature greater than two degrees, etc. Concrete ties in
 197 regions with freeze-thaw cycles may experience RSD at accelerated rates due to increased paste
 198 deterioration below the rail pads.

199 Despite the costliness and prevalence of RSD failure in concrete ties, there has not been a
 200 consensus on its root cause. An alternative term, rail seat abrasion, is commonly used in the concrete tie

201 community to describe RSD failure. However, abrasive interactions appear to require relatively loosened
 202 fit of the rail seat components (i.e. rail base, rail pad and concrete surface) to allow their relative
 203 movements, which is not perceived to be an existing condition in newly installed concrete ties. Such a
 204 condition may become existent, however, if any of the following occurs: (1) the rail clips are comprised
 205 and provide insufficient toe loads, or (2) a certain amount of concrete/pad/insulator materials has
 206 deteriorated and been lost underneath the rail. In the latter case, concrete crushing and/or pad/insulator
 207 deterioration from high multi-axial compressive stresses can be plausible contributing mechanisms.

208 Previously developed analytical methods characterized the dependence of rail seat pressure on
 209 both the vertical load and the lateral to vertical load ratio L/V (12-13). The studies indicate that
 210 combinations of vertical and lateral wheel forces resulting from track geometry irregularities have the
 211 potential to cause very large compressions in the rail seat areas. Further, matrix based tactile surface
 212 sensors (MBTSS) were employed to measure rail seat pressure distribution in concrete crossties under
 213 different L/V ratios (14-15). Preliminary findings indicate that as the L/V ratio increases, the pad-
 214 concrete contact pressure tends to redistribute toward the field side of the rail seat.
 215



216 **FIGURE 5 Deteriorated rail seat surfaces with reverse cant (12).**

217

218 **Freeze-Thaw Cracks**

219 Freeze-thaw cracking is observed in cold climates and formed when the water in concrete freezes,
 220 expands in volume, and stresses the internal concrete structure. Freeze-thaw cracking may be prevented
 221 by creating closely-spaced air voids in cement paste with air entrainment. Freeze-thaw cracking is
 222 believed to also affect RSD failure (16).

223

224 **Shoulder/Fastener Wear or Fatigue**

225 Many rail fastener configurations exist, but their common purpose is to provide restraining forces to the
 226 rail in the form of toe loads. Over time with cyclic loading, fastener components (such as spring clips and
 227 ductile iron shoulders) can experience metal fatigue, the consequences of which include: movements of
 228 the rail, deterioration of the pads, and decreases in the fastener toe loads applied to the rail. In addition,
 229 excessive wheel loads in combination with poor support conditions can lead to structural failure of the
 230 fasteners. This failure mode ranks as the second most critical in both the international and the North
 231 American railroad surveys (5).

232

233 **Summary**

234 Seven main failure modes of concrete ties observed in U.S. railroads are discussed: chemical degradation,
 235 prestress cracks, rail seat cracks, center negative cracks, rail seat deterioration, freeze-thaw cracks, and
 236 shoulder/fastener wear or fatigue. The majority of these failures are concealed within the structure or
 237 under the ballast and thus not visible to inspectors. Further, the fundamental failure mechanisms are not
 238 well understood in several cases, thus hindering the efforts aimed at improved design and performance of

239 concrete ties. Computer modeling, when applicable, can uncover internal failure mechanisms and predict
 240 tie failure with given loading and support conditions, and it has been increasingly applied in the concrete
 241 tie research.

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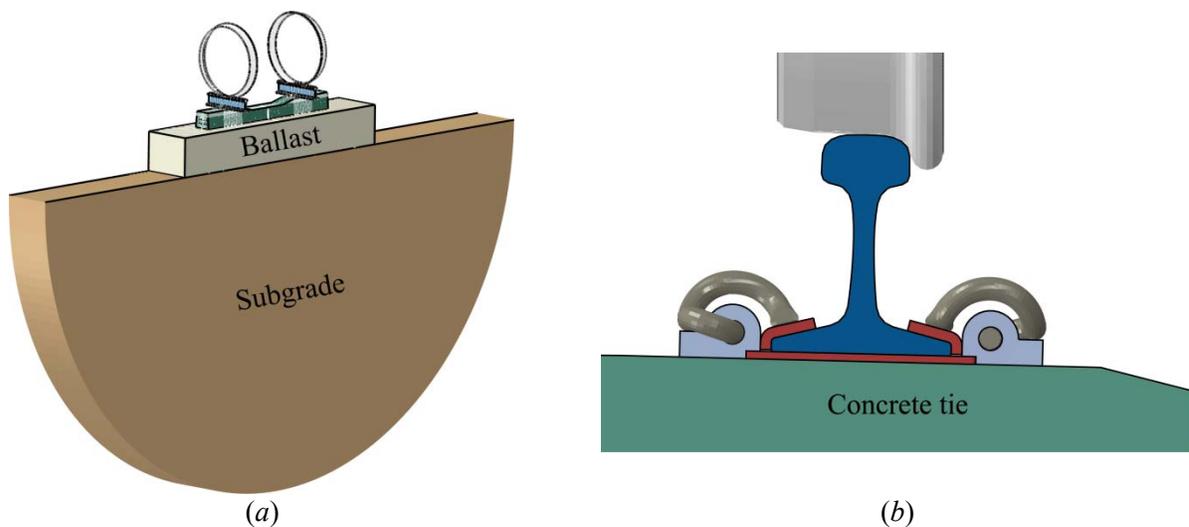
243 FINITE ELEMENT ANALYSIS FRAMEWORK

244 The Volpe Center has been developing computational FE models to examine the structural performance
 245 of concrete ties under various ballast support and track loading conditions (17-22). As shown in Figure
 246 6(a), our track FE model, currently covering one tie's space, has fully defined super- and substructures.
 247 The concrete tie is supported by ballast and subgrade. A rail fastening system that includes clips,
 248 shoulders, insulators and pads can be included in modeling, as shown in Figure 6(b). The wheel passes
 249 vertical and lateral loads to the rail and then to the fasteners and the concrete tie. Complete modeling of
 250 the fastening system is necessary when the complex stress states in the rail seats and the fasteners are
 251 needed to predict, e.g. fastener failure and RSD. When the vertical track loads are of primary interest, the
 252 fastening system may be omitted and the loading simplified as rail seat pressures.

253 Figure 7 shows four concrete tie models developed at the Volpe Center with different geometries
 254 and varying wire/strand configurations. Concrete ties are modeled as a heterogeneous medium composed
 255 of prestressing wires/strands, concrete and their interfaces. A damaged plasticity model available in
 256 commercial FE software has been applied in the material modeling of concrete. The model defines
 257 different concrete behaviors in tension and compression and uses tensile and compressive damage
 258 variables to monitor the respective strength degradations (23). The constitutive equations and material
 259 parameters needed to apply this model are described in detail in previous publications (17-18).

260 The strength of the bond between concrete and the prestressing wires/strands significantly affects
 261 the load bearing capacity of pretensioned concrete ties prior to failure. Accurate characterization of the
 262 bond behavior, including bond-slip and normal stress-dilation as depicted in Figure 1, is critical to the
 263 accurate characterization of the overall concrete tie behavior. Existing bond models in commercial FE
 264 software are inadequate because they omit the radial (normal) dilation and the coupled tangential-normal
 265 behavior in the interface. To fill this gap, Volpe Center has been developing phenomenological (or
 266 macro-scale) bond models that (1) define smooth interfaces by homogenizing the surface indents and (2)
 267 indirectly account for the dilatational effects by assigning interface constitutive equations that reflect
 268 observed interface behaviors. The elastoplastic framework of the FE method is adopted for the bond
 269 modeling at this scale (24).

270



271 **FIGURE 6 Track FE model: (a) full view, and (b) rail fastening system.**

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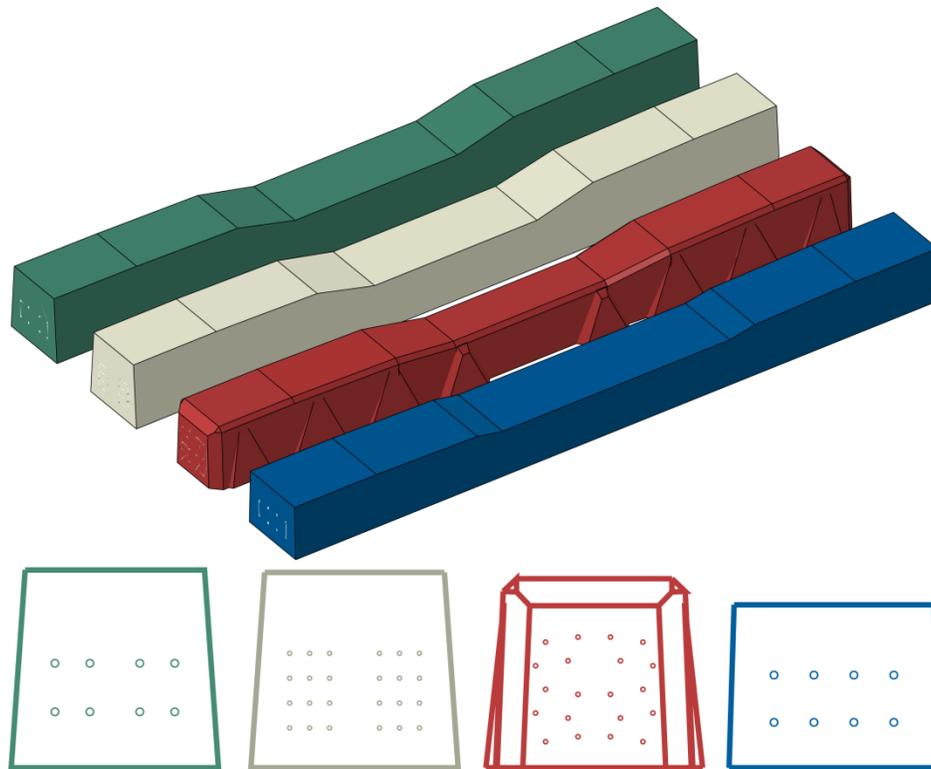


FIGURE 7 Concrete tie models developed at the Volpe Center.

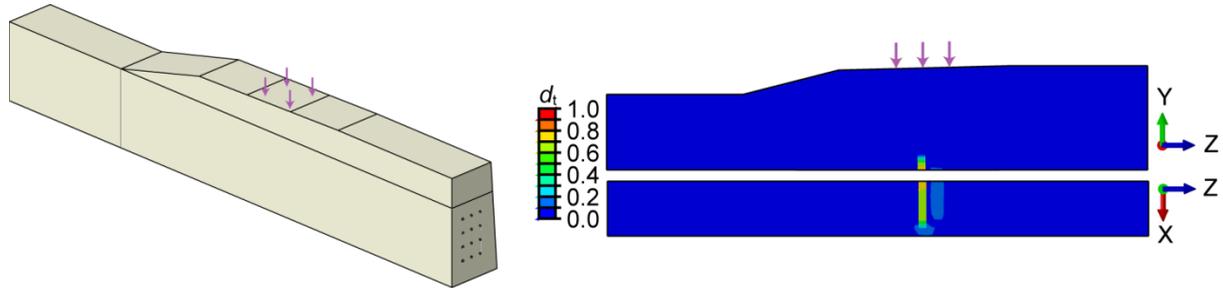
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276 FRA sponsored an experimental study at the Kansas State University (KSU) that examined the
277 bond behavior of over a dozen prestressing wires/strands. Untensioned and tensioned pullout tests,
278 pretensioned concrete prism tests and transfer length measurements on actual concrete ties were
279 conducted, and the effects of reinforcement and concrete variables on transfer length were investigated in
280 the KSU study (25-28). Volpe Center has been employing the KSU test data to calibrate and validate our
281 user defined bond models. As a first step, we developed, calibrated and validated an elastoplastic bond
282 model for the adhesive and frictional interface of a smooth prestressing wire (21). We will continue to
283 develop bond models for several representative reinforcement types including indented single wires and a
284 seven-wire strand.

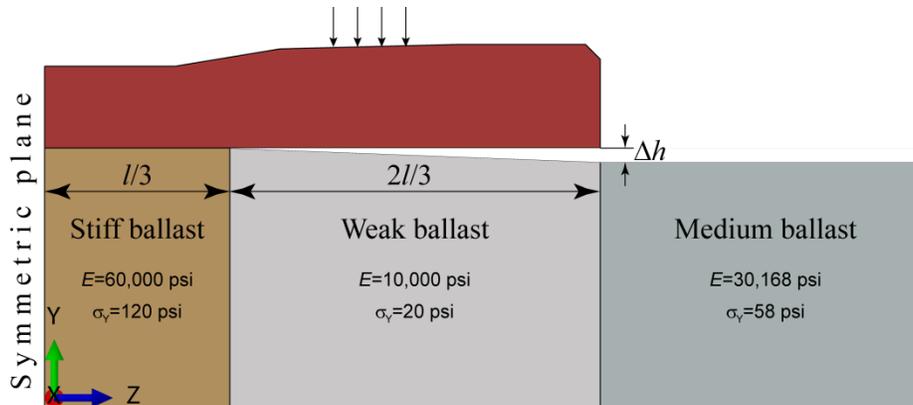
285 As discussed, the ballast support condition significantly influences the flexural failure mode of a
286 concrete tie. With completely defined concrete tie and substructure models, the effect of ballast support
287 can be further examined. Figure 8 shows the quarter symmetric FE model of a concrete tie supported by a
288 uniform and homogeneous ballast layer (the ballast model is similar to that shown in Figure 6) and the
289 tensile damage variable contour when the tie model is subjected to rail seat pressure. The analysis
290 indicates that a rail seat positive crack initiates at the tie bottom under the rail seat when the rail seat
291 loading is sufficiently large (17).

292 A recent study (22) simulated center negative cracks under two assumed center binding
293 conditions: the center negative moment test specified in the American Railway Engineering and
294 Maintenance-of-Way Association (AREMA) manual (29), and an assumed scenario with deteriorated
295 ballast support shown in Figure 9. In the latter case, a gap (or void) is assumed to exist between the
296 concrete tie and the ballast. The gap is assumed to initiate at 1/3 of the half tie length from the tie center
297 and grow linearly toward the tie end. The maximum gap is Δh at the tie end. Figure 10 shows the center
298 bound cracking patterns predicted by FE simulations of both scenarios. Figure 11 shows the equivalent
299 wheel load-relative rail seat displacement curves obtained from the simulations. The equivalent wheel
300 load is calculated based on the assumption that a single rail seat carries a maximum of 50% of the wheel
301 load. The average rail seat displacement is calculated relative to the displacement of the center of the tie.

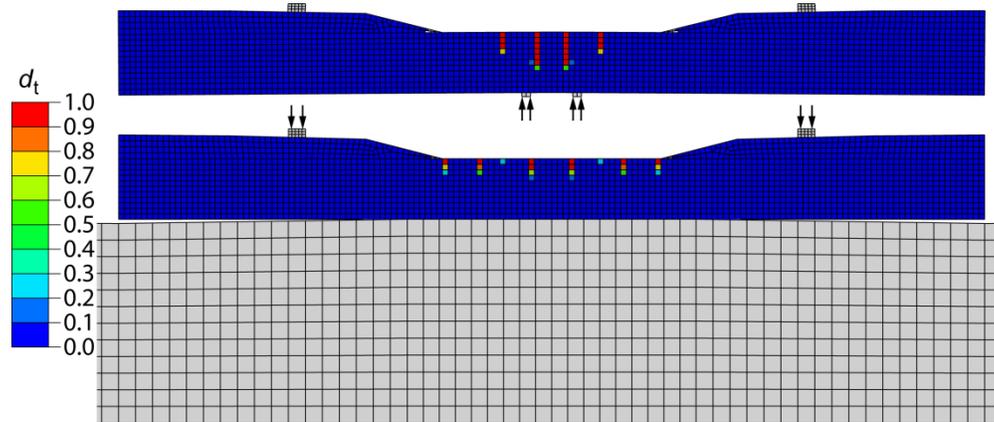
302 Two observations are made based on the simulations: (1) fewer cracks form in the AREMA test than
 303 under deteriorated ballast support (Figure 10), and (2) the AREMA manual specifies a much lower
 304 pass/fail load than commonly observed loads in the field (Figure 11).
 305



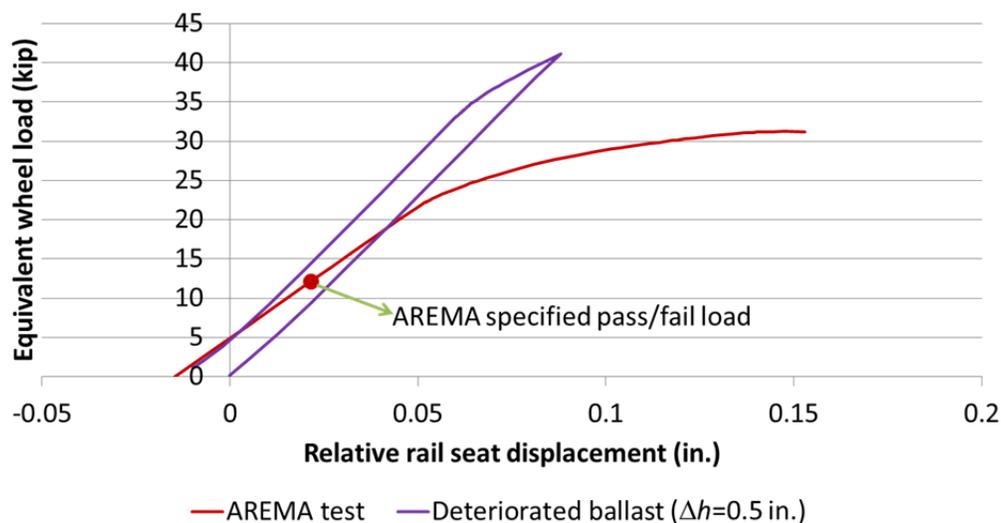
306
 307 **FIGURE 8 Prediction of the onset of rail seat positive cracking with a quarter symmetric concrete**
 308 **tie model (17). The tensile damage variable d_t indicates the extent of tensile strength degradation.**
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310
 311 **FIGURE 9 A simulated center binding condition with deteriorated ballast support.**
 312



313
 314 **FIGURE 10 Center negative cracks predicted by FE simulations of two assumed center binding**
 315 **conditions: AREMA center negative moment test (top) and a scenario with deteriorated ballast**
 316 **support ($\Delta h=0.5$ in., bottom).**
 317



318
319 **FIGURE 11 Equivalent wheel load-relative rail seat displacement relations obtained from FE**
320 **simulations of center binding scenarios.**
321

322 RESEARCH NEEDS

323 The FRA continues to support research projects aimed at improving inspection technologies that can
324 automatically detect and characterize concrete tie failure. Furthermore, FE analysis can be a powerful
325 tool to uncover internal or hidden damage mechanisms that are elusive to even very sophisticated
326 inspection technologies. After gaining a better understanding of the concrete tie failure mechanisms, FE
327 analysis can further optimize design, assist accident investigation, and recommend improvements to
328 existing standards, including AREMA and American Society for Testing and Materials (ASTM)
329 standards and FRA track inspection standards (30).

330 Indented wires can improve the bonding quality with concrete and thus reduce the transfer length.
331 However, it has been observed that splitting/bursting cracks are more likely to occur with some surface
332 indent geometries, probably due to increased dilatational interactions in the reinforcement-concrete
333 interfaces. Additional research is needed to better understand the relationship between wire indent
334 geometry and concrete splitting propensity. This may require detailed (or micro-scale) FE simulations of
335 wire-concrete interfaces in addition to the ongoing bond modeling work at the Volpe Center. Research
336 results can provide recommendations to the ASTM standard that specifies prestressing steel wires for use
337 in railroad concrete ties (31).

338 Flexural capacities of concrete ties prior to complete failure depend on not only the concrete
339 strength but also the bond strength, as ultimate failure occurs when the bond has deteriorated significantly.
340 The user bond models being developed at the Volpe Center will be critical to evaluating flexural
341 capacities of concrete ties.

342 Preliminary FE analyses have shown that the AREMA center negative moment test needs to more
343 closely reflect the support and load conditions observed in the field. Continued FE modeling coupled
344 with testing is expected to yield results that will help to make recommendations to this test specification.
345 In addition, center bound cracks indicate the existence of voids between ties and ballast that can result
346 from fouled ballast and/or abraded ties. FE analysis can correlate the pattern of center cracks with the
347 pattern of tie-ballast voids. Such quantitative correlations can provide valuable information to guide track
348 inspections.

349 To assess concrete crushing and pad deterioration as possible contributing mechanisms to RSD,
350 complete rail, fastener and concrete tie models, as shown in Figure 6(b), will be subjected to realistic
351 dynamic track loading, and the resulting multi-axial stress states in the rail seats will be examined. The
352 FE analysis is expected to provide additional insight into RSD failure.

353 AREMA Test 6 evaluates the rail seat wear/abrasion performance on a complete rail, fastener and
354 concrete tie system (29). The test uses an L/V ratio of 0.52 and conducts a million simulated track load
355 cycles. For material level studies aimed at developing high strength, high abrasion resistance concrete,
356 however, AREMA Test 6 setup is unnecessarily cumbersome. On the other hand, standard ASTM
357 abrasion tests on concrete specimens have at least two drawbacks (32-33): (1) they do not replicate the
358 high magnitudes of track loads, and (2) they represent steel-on-concrete abrasion only, whereas pad-on-
359 cement and aggregate-on-pad abrasion can precede steel-on-concrete abrasion in RSD. Therefore, a
360 material level test is needed to evaluate abrasion (1) from multi-material interactions and (2) under
361 realistic track loads. The same need applies to studies of tie abrasion from dynamic “pumping” actions
362 with ballast.

363 The accelerated freezing and thawing test specified by ASTM (34) has been used on saw cut
364 specimens to assess concrete tie freeze-thaw durability. However, the saw cut concrete specimens have
365 much smaller sizes and volume-to-surface area ratios than those of concrete ties. Moreover, saw cut
366 concrete specimens may exhibit prestressing eccentricities, stress relief, micro-cracking and sample
367 variability, and their test results may not represent whole tie performance accurately. Research has been
368 underway to understand the freezing and thawing mechanisms in whole concrete ties (35). Furthermore,
369 it is unclear if and how the presence of cracks in concrete ties (e.g. Figures 2-4) may affect their freeze-
370 thaw durability in cold climates.

371 Last but not least, high performance concrete mixtures (e.g. steel fiber reinforced concrete) may
372 be further explored for the concrete tie application. An ideal mixture would decrease the usage of
373 prestressing steel by increasing the concrete strength and thus reduce the prestress level and associated
374 failure, and it would increase the flexural capacities, abrasion resistance and long term durability of
375 concrete ties. Advanced material technology can provide key solutions to the new challenges and
376 demands imposed on the rail infrastructure by the increasingly higher travel speeds and heavier axle loads.
377

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382

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