

Rock quality designation (RQD): time to rest in peace

P.J. Pells, Z.T. Bieniawski, S.R. Hencher, and S.E. Pells

Abstract: Rock quality designation (RQD) was introduced by Don Deere in the mid-1960s as a means of using diamond core to classify rock for engineering purposes. Subsequently, it was incorporated into the rock mass rating (RMR) and Q-system classification methods that, worldwide, now play substantial roles in rock mechanics design, whether for tunnels, foundations, rock slopes or rock excavation. It is shown that a key facet of the definition of RQD is ignored in many parts of the world, and it is noted that there are several inherent limitations to the use of RQD. Based on mapping of rock formations by 17 independent professionals at different locations in Australia and South Africa, it is shown that differences in assessed RQD values result in significant errors in computed RMR and Q ratings, and also in geological strength index (GSI) and mining rock mass rating (MRMR). The introduction of a look-up chart for assessing GSI has effectively removed the need to measure, or estimate, RQD. It has been found that GSI values derived from the look-up chart are as valid as those derived by calculation from the original component parameters, and are satisfactorily consistent between professionals from diverse backgrounds. The look-up charts provide a quick and appropriate means of assessing GSI from exposures. GSI is, in turn, a useful rock mass strength index; one new application is presented for assessing potential erosion of unlined spillways in rock. Incorporation of RQD within the RMR and Q classification systems was a matter of historical development, and its incorporation into rock mass classifications is no longer necessary.

Key words: geology, rock mechanics, classification, site investigation, erodibility.

Résumé : La désignation de qualité du roc (DQR) a été présentée par Don Deere dans le milieu des années 1960 comme un moyen de l'utilisation d'un noyau de diamant pour classer les roches à des fins d'ingénierie. Par la suite, il a été intégré à l'évaluation de la masse rocheuse et aux méthodes de classification de système-Q, dans le monde entier, et qui joue maintenant un rôle important dans la conception mécanique des roches, que ce soit pour les tunnels, les fondations, les pentes rocheuses ou l'excavation de roches. Il est démontré qu'un aspect clé de la définition de DQR est ignoré dans de nombreuses régions du monde, et il est noté qu'il y a plusieurs limites inhérentes à l'utilisation des DQR. Basé sur la cartographie des formations rocheuses par 17 professionnels indépendants à différents endroits de l'Australie et de l'Afrique du Sud, il est montré que les différences de valeurs DQR évaluées créent d'importantes erreurs dans la RMR calculée et dans les évaluations de Q, et aussi dans l'index de résistance géologique (GSI) et de l'évaluation de la masse de la roche dans l'exploitation minière (MRMR). L'introduction d'un tableau pour l'évaluation de GSI a permis d'éliminer efficacement le besoin de mesurer, ou d'estimer le DQR. Il a été constaté que les valeurs GSI dérivées du tableau sont aussi valides que celles obtenues par calcul à partir des paramètres du composant original, et sont cohérentes de manière satisfaisante entre les professionnels de différentes origines. Les tableaux de recherche offrent une solution rapide et appropriée de l'évaluation de GSI à partir de l'exposition. GSI est, à son tour un index de résistance de masse de roche utile; une nouvelle demande est présentée pour l'évaluation de l'érosion potentielle de déversoirs sans revêtement dans la roche. L'incorporation de DQR à l'intérieur de RMR et de systèmes de classification Q est une question de développement historique, et son incorporation dans les classifications de la masse rocheuse n'est plus nécessaire. [Traduit par la Rédaction]

Mots-clés : géologie, mécanique des roches, classification, étude de site, érodibilité.

Introduction

In mid-2014, two of the authors undertook mapping and classification of rock exposures of unlined spillways in South Africa, in support of an Australian-funded research project (Pells 2015). This work yielded surprising findings in respect to rock quality designation (RQD), which has implications to quantitative rock mass classifications systems. Discussions between all the authors provided confirmation of these findings, creating the impetus for this paper.

RQD was devised in 1964 as an index for classifying the relative quality of rock core obtained from small diameter core drilling

(about 50 mm) (Deere and Deere 1989). Since such a humble beginning, RQD has been adopted as a fundamental tool in characterizing rock masses. It has been used to estimate rock mass shear strength and deformation parameters, bearing capacity of foundations; and most importantly is "an essential element within the framework of other classification systems" (United States Army Corps of Engineers 1997).

This paper summarizes the origins of RQD, and discusses how it has changed to the point that it has substantially different meanings in different parts of the world. The inherent limitations of RQD are summarized, and critical examination is made of its

Received 11 January 2016. Accepted 4 January 2017.

P.J. Pells. Pells Consulting, 49 Lakeside Drive, MacMasters Beach, NSW 2251, Australia.

Z.T. Bieniawski. Bieniawski Design Enterprises, Prescott, AZ, USA.

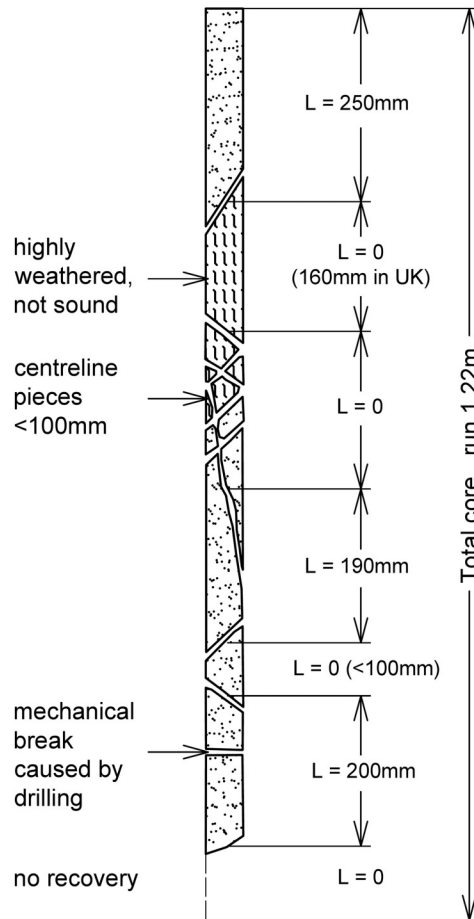
S.R. Hencher. Hencher Associates Limited, Ilkley, UK.

S.E. Pells. Pells Consulting, Sydney, Australia.

Corresponding author: P.J. Pells (email: philip@pellsconsulting.com.au).

Copyright remains with the author(s) or their institution(s). Permission for reuse (free in most cases) can be obtained from [RightsLink](https://www.rightslink.com).

Fig. 1. Rock quality designation (RQD) determination as per Deere and Deere (1989) and per current UK and European practice.



In BS:5930 the criterion 'hard and sound' is omitted for the definition of RQD. Any 'rock' (i.e. with UCS > 0.6 MPa) is counted.

For the example on the left, the result is :

$$\text{RQD} = \frac{250 + 160 + 190 + 200}{1220}$$

i.e. RQD = 66% compared to 52% calculated by Deere.

If all the rock core in the example was very weak, RQD (UK & Europe) would still be 66% but by Deere should be 0%.

$$\text{RQD} = \frac{250 + 190 + 200}{1220}$$

RQD = 52% (following Deere's)

incorporation in rock mass rating (RMR), "Q-values", and geological strength index (GSI). Results of field work are presented to show the limitations arising from using RQD in the determination of these rock mass classification indices. It is shown that RQD is not required for determining RMR and GSI values.

In core and exposure logging, it is better replaced by fracture frequency.

Genesis and definition of rock mass designation (RQD)

In 1964 and 1965, whilst working on sites in granite at the Nevada Test Site for nuclear bombs, Deere and co-workers (see Deere 1968 and Deere and Deere 1989) devised an index, RQD, to differentiate between relatively good quality rock and poor rock when logging rock core, as an alternative to just judging quality on the basis of core recovery. RQD came to international recognition, and widespread acceptance, through a chapter by Deere in a book edited by Stagg and Zienkiewicz (1968). The 1968 definition of RQD was

"RQD is a modified core recovery percentage in which all pieces of 'sound' core over 4 inches long (100 mm) are summed and divided by the length of the core run."

A review of 20 years' experience with RQD was given by Deere and Deere (1989) in a report to the United States Army Corps of Engineers. They emphasized three essential features of RQD

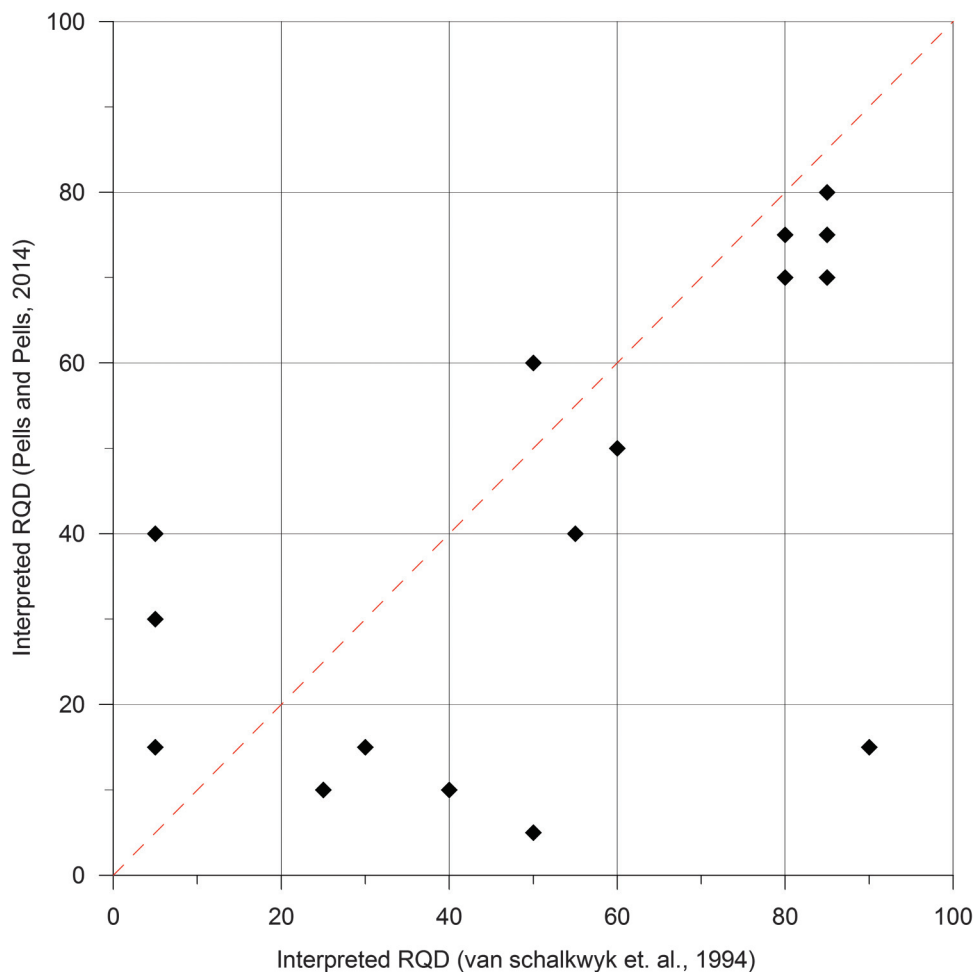
1. It was a means of assessing rock mass quality from nominally 55 mm diameter, double-tube core, over a core run.
2. Only sticks of core with lengths greater than 4 inches (100 mm) separated by natural mechanical fractures were to be included. Fractures opened up by drilling were to be ignored.
3. "Pieces of core which are not 'hard and sound' (ISRM 1978) should not be counted for the RQD even though they possess the requisite 4 in. (100 mm) length."

RQD was intended as more than an index of fracture spacing. In Deere's words from 1989, "RQD is an index of rock quality in that problematic rock that is highly weathered, soft, fractured, sheared, and jointed is counted against the rock mass. Thus, it is simply a measurement of the percentage of 'good' rock recovered from an interval of a borehole."

Meaning of "hard and sound"

In the original publications (Stagg and Zienkiewicz 1968), Deere did not define "sound", but in 1989 Deere and Deere

Fig. 2. Comparison between interpreted RQD values and various unlined spillway sites (Pells and Pells 2014; van Schalkwyk et al. 1994). [Colour online.]



(1989) clarified this criterion, and chose to do so with reference to degree of weathering. They concluded

1. Highly and completely weathered rock and residual soil should never be included in RQD, “highly” being defined following Little (1969) in that “fairly large pieces can be crumbled in the hands”, which agrees with Moye’s (1955) definition, who originally defined “highly weathered granite” as where core 54 mm diameter could be “broken and crumbled by hand”.
2. They suggested that moderately weathered rock could be included, but then the RQD should be marked with an asterisk, i.e., RQD*. In the authors’ experience this distinction has not been widely adopted in practice.

Deere and Deere (1989) emphasized that the “purpose of the soundness requirement is to downgrade the rock quality where the rock has been altered and weakened either by agents of surface weathering or by hydrothermal activity. Obviously, in many instances, a judgment decision must be made as to whether or not the degree of chemical alteration is sufficient to reject the core piece.” ASTM (2002) standard D6032-02 defines sound core (only sound rock to be included in RQD) as follows: “‘sound core’ is any core which is fresh to moderately weathered and which has sufficient strength to resist hand breakage.”

Uncertainties, confusion, and errors

As discussed as early as 1978 by Deere’s co-workers (Cording and Mahar 1978) there can be several causes for low quality of core “and they need to be determined when using RQD.” These in-

cluded improper handling, drilling parallel to and intersecting a joint, separation on bedding and foliation surfaces that are not open in the field, and core discing. There are other long-recognised problems with measurement and use of RQD (see Forster 2015), including

- measurements are usually taken post-boxing, rather than upon exposure in the core barrel splits, leading to incipient fractures opening up and lower RQD being logged than characteristic of the ground in situ;
- typical standard practice is to retain the original prescription and measure RQD by core run, although Deere and Deere (1989) do suggest logging by lithology as being appropriate;
- directional bias means that where the geology is dominated by joints near-parallel to the borehole, those defects are under-sampled;
- confusion exists in respect to the definition of “natural mechanical fractures” within certain rock types like schists, phyllite, and shales; and
- confusion in dealing with well-defined incipient discontinuities that have tensile strength; in fact these should be ignored when calculating RQD.

However, the greatest source of differences in core-logged RQD values arises from professionals in certain parts of the world ignoring the hard and sound criterion in the definition.

The current situation in the United Kingdom (Henchler 2008), and much of the rest of Europe, is to ignore the requirement for

Fig. 3. Dyke-affected, columnar, Hawkesbury sandstone in the West Pymble quarry.



Fig. 4. Range of RQD values interpreted by independent professionals at three rock exposures in Sydney. obs., observations.

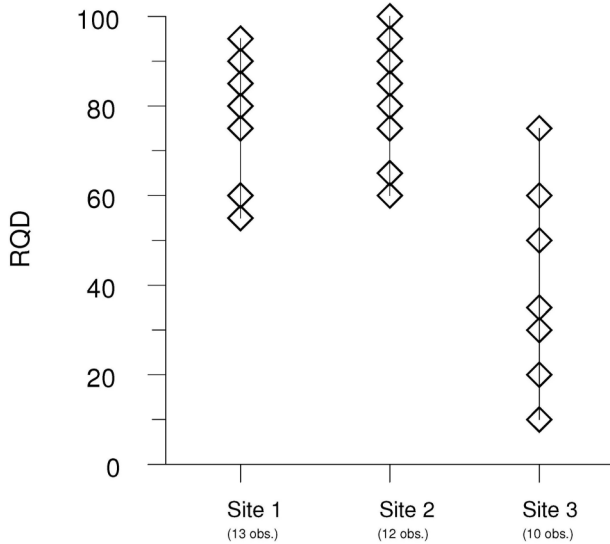
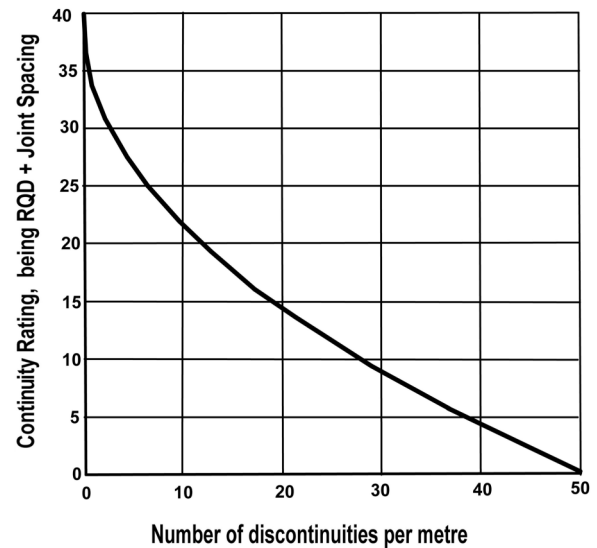


Fig. 5. Chart D for combined rating of the discontinuity density parameters RQD, plus discontinuity spacing (from Lowson and Bieniawski 2013).



hard and sound rock (British Standards Institution 1999 (BS5930, since 1999)). All cored “rock” counts in the RQD assessment, with rock being defined as having substance strength of greater than 0.6 MPa (British Standards Institution 2004 (BS EN ISO 14688-2: 2004)). The criterion of sound is similarly ignored by many other authors including Palmström (2005).

Material of substance strength >0.6 MPa does not comply with Deere’s definition of hard and sound and its inclusion results in logged RQD values much higher than computed on the basis of the original definition (see Fig. 1). The consequences are poten-

tially dangerous, such as when designing support measures in weak rock masses on the basis of RMR and Q charts that assume RQD data determined using the proper Deere definition (Hencher 2014).

A further substantial issue is the practical necessity where, in many situations, cored borehole data are not available and RQD is estimated from exposures, or RADAR, or photographs; despite this contradicting the original definition and intent. Such estimation invokes consideration of sound rock, the difficulty of estab-

Fig. 6. GSI look-up chart from Hoek (2007) (published with permission of E. Hoek).

GEOLOGICAL STRENGTH INDEX FOR JOINTED ROCKS (Hoek and Marinos, 2000)		SURFACE CONDITIONS				
<p>From the lithology, structure and surface conditions of the discontinuities, estimate the average value of GSI. Do not try to be too precise. Quoting a range from 33 to 37 is more realistic than stating that GSI = 35. Note that the table does not apply to structurally controlled failures. Where weak planar structural planes are present in an unfavourable orientation with respect to the excavation face, these will dominate the rock mass behaviour. The shear strength of surfaces in rocks that are prone to deterioration as a result of changes in moisture content will be reduced if water is present. When working with rocks in the fair to very poor categories, a shift to the right may be made for wet conditions. Water pressure is dealt with by effective stress analysis.</p>		VERY GOOD	GOOD	FAIR	POOR	VERY POOR
		Very rough, fresh unweathered surfaces	Rough, slightly weathered, iron stained surfaces	Smooth, moderately weathered and altered surfaces	Slickensided, highly weathered surfaces with compact coatings or fillings or angular fragments	Slickensided, highly weathered surfaces with soft clay coatings or fillings
STRUCTURE		DECREASING SURFACE QUALITY →				
	INTACT OR MASSIVE - intact rock specimens or massive in situ rock with few widely spaced discontinuities	90			N/A	N/A
	BLOCKY - well interlocked undisturbed rock mass consisting of cubical blocks formed by three intersecting discontinuity sets	80	70			
	VERY BLOCKY- interlocked, partially disturbed mass with multi-faceted angular blocks formed by 4 or more joint sets		60			
	BLOCKY/DISTURBED/SEAMY - folded with angular blocks formed by many intersecting discontinuity sets. Persistence of bedding planes or schistosity			50		
	DISINTEGRATED - poorly interlocked, heavily broken rock mass with mixture of angular and rounded rock pieces			40	30	
	LAMINATED/SHEARED - Lack of blockiness due to close spacing of weak schistosity or shear planes				20	
						10
		N/A	N/A			

lishing that a discontinuity has zero tensile strength, and would cause a break in core, and directional bias (Hencher 2014).

In addition, the process may lead the geologist or engineer to adopt a relationship between RQD and volumetric joint spacing (J_v), such as that of Palmström (2005):

$$(1) \quad RQD = 110 - 2.5J_v \quad (\text{for } J_v = 4-44)$$

or between defect frequency and RQD, such as per Priest and Hudson (1976); namely,

$$(2) \quad RQD = 110.4 - (3.8/\bar{x})$$

where \bar{x} is the mean spacing of defects assuming an exponential distribution.

The authors consider that such correlations may be inappropriate and misleading, not only for the reason that Deere addressed when creating RQD, namely that rock included in RQD must com-

prise only sound core, but also because of having to assess discontinuities as having zero tensile strength.

Field work by two of the authors in mid-2014 revealed the substantial problems associated with assessing RQD from exposures. The work involved mapping and rock-mass classification of 17 structural regions in a wide variety of rocks in unlined spillways of major dams in South Africa (Pells and Pells 2014). These same rock exposures had been previously subject to independent interpretation (van Schalkwyk et al. 1994). The RQD values from the two independent assessments are compared in Fig. 2, and reveal large differences of interpretation.

Prompted by the large discrepancy in interpretation shown in Fig. 2, a further study was instituted in which 13 practicing professionals were asked to independently classify three different exposures in the Sydney area (a diatreme, an exposure typical of Hawkesbury sandstone, and Hawkesbury sandstone altered to columnar jointing adjacent to a dolerite dyke – see Fig. 3). The range of interpreted RQD values at these sites is shown in Fig. 4.

The work on the South African spillways was part of a major study financed by various Australian authorities responsible for dam construction and maintenance, so the discovery of substantial differences in quantitative classification of the same rock masses by different operators had important consequences. Later in this paper we return to this matter, but first we must deal with the use of RQD in widely used quantitative rock mass classification systems.

RQD in rock mass classification systems

Rock mass rating (RMR) and Q systems

In the early 1970s, Bieniawski (1973) and Barton et al. (1974) published their RMR and Q classification systems. Both are now widely adopted in practice for design of mines, tunnels, rock slopes, and foundations, and for assessment of rock excavation and erosion (United States Army Corps of Engineers 1997).

As originally defined, both systems were fundamentally dependent on RQD; essentially modifying RQD by incorporating other factors deemed to impact on rock mass strength and stiffness.

Barton et al. (1974) followed Cecil (1975) in modifying RQD by reducing it for the number of joint sets (RQD/J_n); and then incorporated joint roughness (J_r) and joint alteration (J_a), and stress reduction factor (SRF) and water pressures (J_w), in defining the Q-value.

For the RMR system, Bieniawski (1973) modified RQD by assigning a rating to this index, and then combined this with ratings for strength, defect orientations and conditions, and groundwater pressures.

After 40 years of application, Lawson and Bieniawski (2013) recommended against further use of RQD in the RMR system. Their explanation was (note: for “Chart D” referred to below, see Fig. 5 herein)

“For the best practical use, this led to the preferred use of ‘fracture frequency’ as an inverse of ‘fracture density’, as depicted in Chart D. Neither of these approaches changed the basic allocation of rating values to these parameters.”

In a similar vein, Jakubec and Esterhuizen (2007) formalized a modification of Laubscher’s mining rock mass rating (MRMR) wherein RQD is replaced by fracture frequency, a change first flagged by Laubscher (1993).

Geological strength index (GSI)

A development in rock mass classification was the adoption by Hoek of some of Bieniawski’s RMR components to create the GSI (Hoek 1994; Hoek et al. 1995). The specific intent of GSI was to allow estimation of rock mass shear strength through to the Hoek–Brown failure criterion (Hoek and Brown 1988). GSI was also based on RQD because it required to be computed from the numerical values in the 1976 version of Bieniawski’s RMR, but always with a value of 10 for groundwater.

Correlations

Several correlations between the above classification indices have been published. They are raised here as being germane to later discussion.

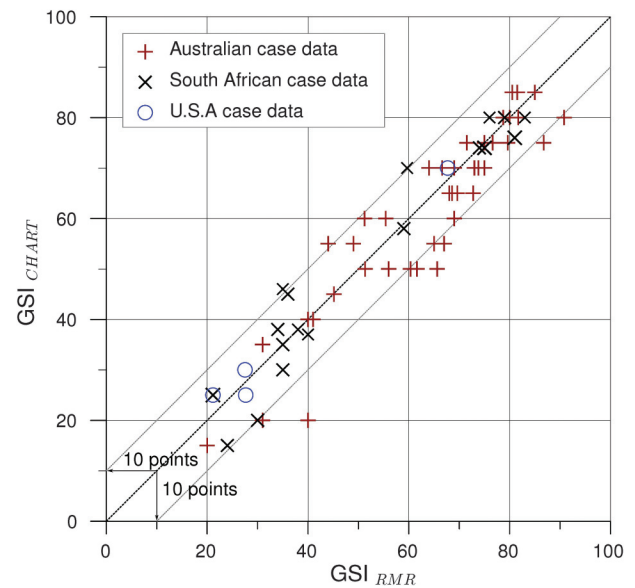
Bieniawski (1993) gives a correlation, derived from case study data, as

$$(3) \quad Q = e^{(RMR-44)/9}$$

Hoek et al. (1995) published the same equation, but relating Q' to GSI, where Q' comprises the first two parts of Barton’s Q index; namely, $Q' = \left(\frac{RQD}{J_n}\right)\left(\frac{J_r}{J_a}\right)$. Thus

$$(4) \quad Q' = e^{(GSI-44)/9}$$

Fig. 7. Comparison of GSI_{RMR} versus GSI_{CHART} , from spillway investigations (Pells 2015). [Colour online.]



It seems illogical that the same equation relates Q' to GSI, and Q to RMR. The writers accept eq. (3) as being based on source data.

Influence of RQD variability on rock mass index interpretation

From the form of Barton’s equation for Q, it follows that any percentage error in RQD causes an equal percentage error in the Q-value.

RQD is not used directly in RMR, but rather as a rating. Therefore it is not obvious what error will result from a certain percentage error in RQD. By running several hundred practical scenarios, it is found that $\pm 30\%$ error in RQD results typically in $<6\%$ error in RMR. Only in extreme cases with high water pressures, unfavourable joint orientations, and a 30% underestimate of an already low RQD does the error reach about 25%.

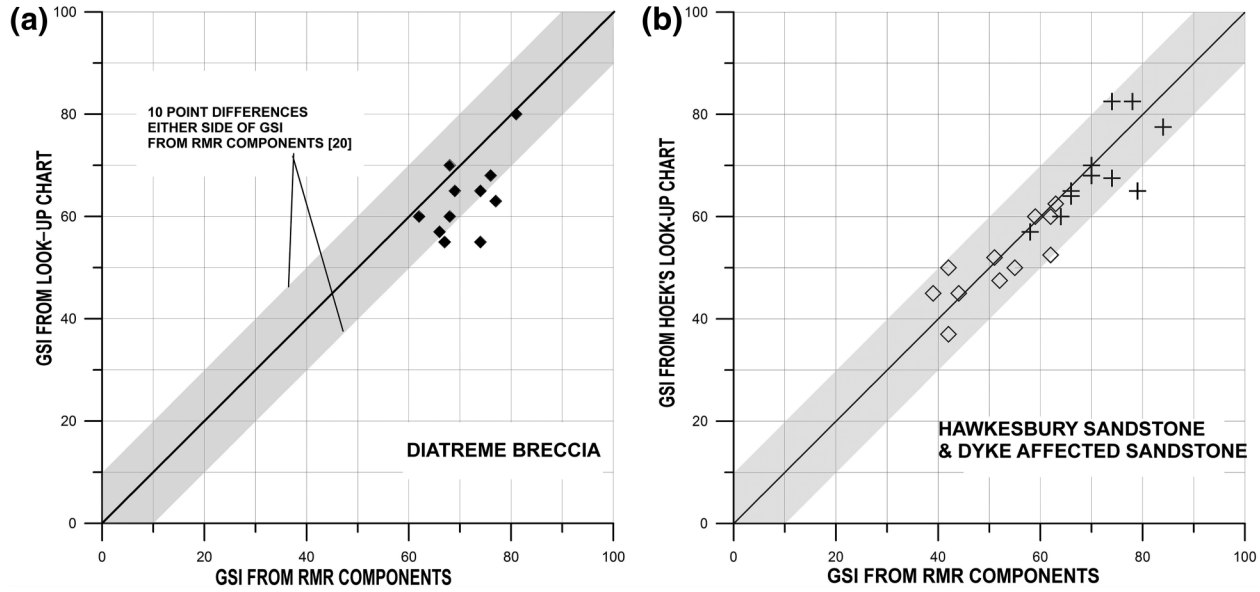
As originally published (Hoek et al. 1995) GSI was RMR without the groundwater and joint orientation factors. This means that within a GSI range of 10 to 100, a 30% error in RQD causes $<5\%$ error in GSI.

The significance of mathematical sensitivity to errors in RQD depends on the practical reality in respect to accuracy of RQD assessment. And here is where the data collected in the field studies in South Africa and Australia are disturbing. They showed that the variation in assessed RQD between multiple professionals (which can be taken as errors) was so great that the resulting quantitative rock mass classifications were inconsistent to the point of destroying confidence in their application.

However, a revelation arising from the full field project covering unlined rock spillways at 10 major dams in South Africa (mentioned earlier), and a further 20 dams in Australia (Pells 2015) was to discover remarkably good, operator-independent agreement between GSI values computed from the RMR components as per Hoek et al. (1995), a process that required careful work in the field and time in the office, and GSI values assessed very quickly in the field using the look-up chart of Fig. 6, discussed below. Like many fellow practitioners, the authors had assumed that use of the look-up chart was second-best to proper calculation of GSI using the RMR parameters.

The details and consequences of this finding are discussed in the remaining part of this paper.

Fig. 8. Comparison between two methods of assessing GSI – rock exposures in Sydney: (a) from look-up chart; (b) from Hoek’s look-up chart.



Hoek’s look-up chart

It appears that the first version of the chart shown in Fig. 6 was published by Hoek et al. (1995). It appeared in a simplified version in the software Roclab (Rocscience 2002). Modified, material-specific charts were published by Hoek and Marinos (2000a, 2000b).

The purpose of the original chart was to allow short-hand estimation of GSI for assessing the parameters of the Hoek–Brown failure criterion.

Figure 6 makes no reference to RQD. Also there are no requirements to determine numerical ratings covering substance strength, joint shear strength, alteration, continuity, and spacing.

Figure 7 shows the comparisons, for the 30 rock spillways, between GSI values computed from RMR components determined from field mapping and GSI values assessed quickly by use of the look-up chart. Figure 8 shows the same kind of data from the 13 professionals mapping the three quarry exposures in Sydney.

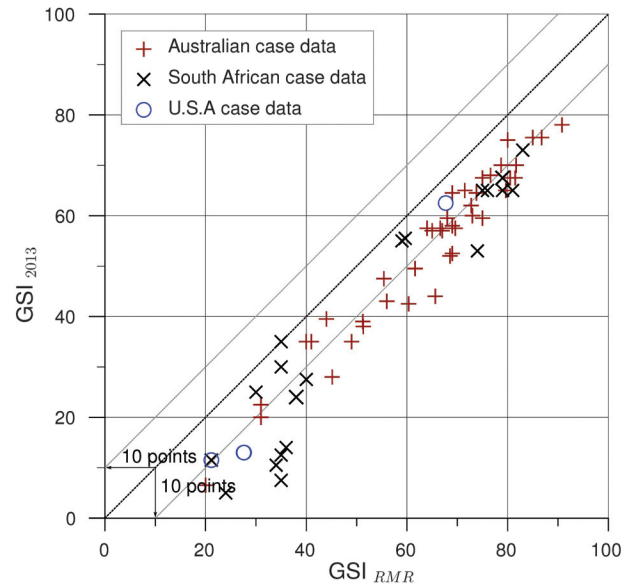
A test of consistency between operators using only the look-up charts was conducted by another five senior professionals, assessing exposures of ignimbrite north of Newcastle, New South Wales. One exposure was jointed, fresh rock, and the second was disturbed and faulted, near the contact with underlying carboniferous shales. The look-up chart GSI values for the exposure of fresh ignimbrite ranged from 65 to 70. For the complex faulted rock, the values were between 35 and 45.

The field data from all the multi-operator experiments therefore confirmed that GSI could be estimated with reasonable accuracy by experienced professionals using only Hoek’s look-up chart, with no recourse to RQD. This finding has been partly supported by Hoek (2007, on-line course notes and book), who recommended that “GSI should be estimated directly by means of the chart ... and not from the RMR classification.” However, this is tempered by Hoek et al. (2013) to the effect that GSI be computed by yet another method, namely a combination of RQD and the joint condition rating, the latter derived from RMR as per Bieniawski (1989). The equation is

$$(5) \quad GSI = 1.5(JCond_{99}) + (RQD/2)$$

Equation (5) has been tested using the data from the South African and Australian sites, as shown in Fig. 9. This shows that computing GSI from eq. (5) (labelled “GSI₂₀₁₃”) gives poorer agree-

Fig. 9. Comparison of GSI_{RMR} versus GSI₂₀₁₃ (eq. (5)) (from Pells 2015). [Colour online.]



ment with the original GSI definition than achieved simply from the look-up chart (compare with Fig. 7).

Estimation of RMR and Q’ from GSI

GSI is not a synonym for RMR, and it is incorrect to transpose correlations made using RMR to being correlations with GSI. Thus the correlation of rock mass modulus with RMR (Bieniawski 1989) should not be taken as the correlation between mass modulus and GSI.

Significant errors can result in determining RMR values from estimated GSI values, via correlation equations such as eqs. (3) and (4), above. Directly computed RMR values should be used when invoking the empirical correlations relating to rock mass modulus or tunnel support categories. In so doing, RQD should not be used, but rather fracture frequency as per Lawson and Bieniawski (2013).

Fig. 10. Erosion at Mokolo Dam spillway, Waterberg Mountains, South Africa.



Applications of GSI

Rock-mass erodibility

As already noted, GSI was introduced as a means of estimating rock mass parameters in the Hoek–Brown failure criterion. However, it is GSI and there are situations where it can be used directly as such an index. The following is one such application.

Unlined dam spillways can be subject to significant erosion, incurring unacceptable safety and economic risks. Examples of such erosion are shown in Fig. 10 in high-strength quartzite at the Mokolo Dam, South Africa, and in Fig. 11 in high-strength granite at Copeton Dam, Australia. The prediction and analysis of such erosion is complex, and no satisfactory, generalized analytical solutions exist (Pells 2015).

The “Kirsten index” (K), which was based on the Q -system and developed for rippability assessments (Kirsten 1982), has been used as an index for rock mass erodibility (Moore and Kirsten 1988). Based on field investigations of unlined dam spillways in South Africa, van Schalkwyk et al. (1994) presented a correlation between magnitude of erosion, the Kirsten index, and hydraulic loading as represented by the unit stream power dissipation incurred during peak historical spillway discharge (Π_{UD}). Different correlations based on essentially the same field data for fractured rock and the same indices (K and Π_{UD}) were subsequently presented by Annandale (1995) and Kirsten et al. (2000).

The fact, discovered as part of this study, that different operators mapping the same areas in the same spillways obtained significantly different Kirsten index values, and the fact that determining K , RMR, and Q takes extensive work, suggested consideration be given to using GSI from the look-up chart as the measure of rock mass strength. Pells (2015) showed that a reasonable correlation existed between erosion magnitude, unit stream power (Π_{UD}), and rock mass strength as represented by GSI. However, joint orientation is a significant factor in vulnerability to erosion. Therefore a better evaluation of the spillway erosion data was obtained by modifying GSI with an appropriate orientation adjustment factor, of the kind used in the RMR system (Bieniawski 1973).

The resulting index, labelled erosion GSI (eGSI) was found to provide an improved representation of erosion vulnerability in five classes (see Fig. 12).

Calculating rock mass shear strength

It is not within the framework of this paper to comment on the validity of Hoek–Brown mass shear strength parameters derived from GSI. However, based on the field data documented herein, and on the authors’ individual experiences, it is concluded that GSI is usually not known to better than about 10 points for a single exposure, and ± 15 points for a structural region. Of importance is the fact that GSI occurs as an exponential in the Hoek–Brown equation for rock mass shear strength parameters (where σ_{ci} = material unconfined compressive strength (UCS)); viz,

$$(6) \quad (\sigma_1 - \sigma_3)/\sigma_{ci} = [m_b(\sigma_3/\sigma_{ci}) + s]^a$$

$$(7) \quad a = 0.5 + 1/6(e^{-GSI/15} - e^{-20/3})$$

$$(8) \quad m_b = m_i e^{(GSI-100)/28}$$

$$(9) \quad s = e^{(GSI-100)/9}$$

For zero confining stress ($\sigma_3 = 0$), errors in shear strength arising from errors in GSI are independent of rock type (m_i) and substance UCS, and from the derivative of eq. (6) it is shown that for a 10 point uncertainty in GSI, the uncertainty in the computed rock mass unconfined strength, ranges from 100% at true GSI of 15, to 75% at true GSI of 25, and $\sim 56\%$ for true GSI greater than 70.

For confined conditions, the uncertainty in shear strength arising from uncertainty in GSI is complex. A parametric study has shown that for confining stress >1 MPa, a 10 point uncertainty in GSI causes a 20% to 40% uncertainty in computed shear strength.

The significant sensitivity of the Hoek–Brown failure criterion to GSI is a matter that practitioners must consider when using rock mass shear strengths derived using eq. (6) for design purposes.

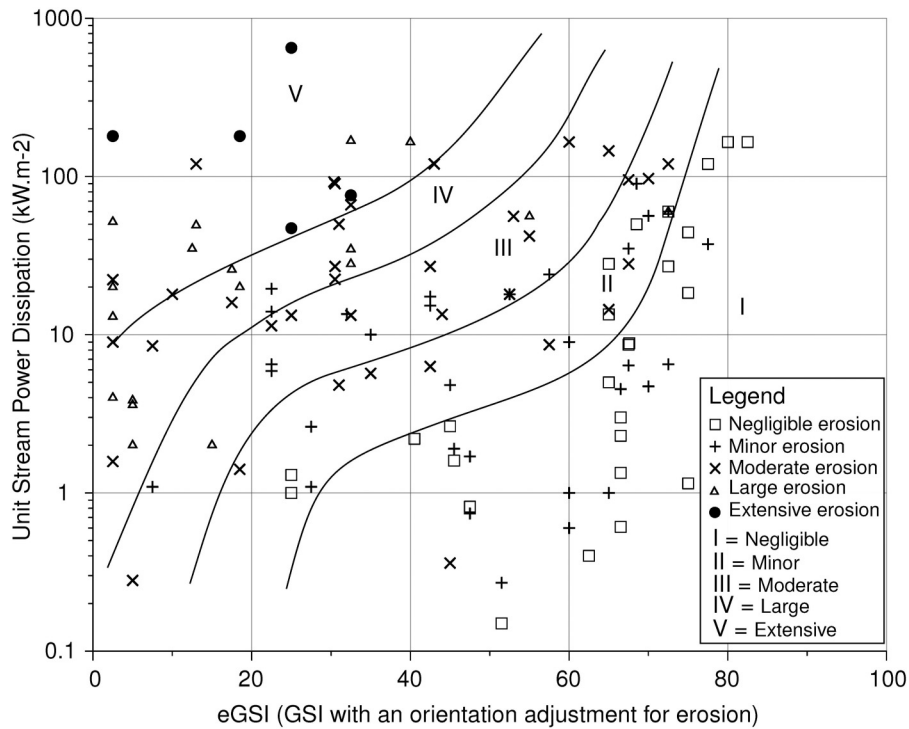
Conclusions

Based on a review of inherent limitations of RQD, the inconsistent changes in definition, the maturing understanding of RMR and GSI, and extensive multi-operator field experimentation, it

Fig. 11. Slot erosion in very-high-strength granite, Copeton Dam spillway, New South Wales, Australia.



Fig. 12. Erosion categories from field data.



is concluded that RQD should be phased out in rock mass classification.

In particular,

1. The definitions of RQD have become different in different parts of the world, and in many countries the definition is no longer consistent with the original methodology and logic of its creator, Don Deere.
2. Most applications of the dominant classification systems — RMR, Q, GSI, and MRMR — require RQD to be estimated from exposures. This is a process fraught with error and personal bias, as demonstrated by the factual data presented in this paper.

3. The inherent limitations of RQD have already been recognised by the original creators of the RMR and MRMR systems, who have recommended it be replaced by fracture frequency.
4. It has been demonstrated that GSI can be estimated from Hoek's look-up chart as accurately as calculated from its components, which include RQD.

Use of GSI for calculating rock mass strength via the Hoek-Brown failure criterion must be done with prudence because the computed strength parameters are sensitive to uncertainty in GSI determinations.

Where RMR values are required for use in the empirical correlations for rock mass modulus or tunnel support categories, and

where rock strength and groundwater are key issues, calculations of RMR should be made using the fundamental components as per [Lowson and Bieniawski \(2013\)](#).

Acknowledgements

The studies relating to rock-mass erodibility and rock mass assessments of unlined spillways in Australia and the USA are drawn from a research project under the guidance of Bill Peirson, Kurt Douglas, and Robin Fell of The University of New South Wales.

We acknowledge the work done voluntarily by the following in mapping at the Hornsby, West Pymble, and Seaham quarries in NSW, Australia: K. Douglas of UNSW Australia; T. Nash, R. Bertuzzi, W. Piper, A. Irvine, M. Kobler, A. Merit, and M. Salcher of PSM; P. Roberts and W. Theunissen of JK Geotechnics; J. Simmons of Sherwood Geotechnics; E. Cammack of AECOM; T. Rannard of URS; S. Fityus of University Newcastle, NSW; D. Fleming and P. Hartcliff of Douglas Partners; L. McQueen of Golder Associates.

We also acknowledge the assistance of A. van Schalkwyk and H. Kirsten for the work done in South Africa.

References

- Annandale, G.W. 1995. Erodibility. *Journal of Hydraulic Research*, **33**: 471–494. doi:10.1080/00221689509498656.
- ASTM. 2002. Standard test method for determining rock quality designation (RQD) of rock core. ASTM standard D6032-02. ASTM International, West Conshohocken, Pa.
- Barton, N.R., Lien, R., and Lunde, J. 1974. Engineering classification of rock masses for the design of tunnel support. *Rock Mechanics*, **6**(4): 189–236. doi:10.1007/BF01239496.
- Bieniawski, Z.T. 1973. Engineering classification of jointed rock masses. *Transactions of the South African Institution of Civil Engineers*, **15**: 335–344.
- Bieniawski, Z.T. 1989. *Engineering rock mass classifications*. Wiley, New York.
- Bieniawski, Z.T. 1993. Classification of rock masses for engineering: the RMR system and future trends. *In Comprehensive rock engineering*, Vol. 3. Pergamon.
- British Standards Institution. 1999. Code of practice for site investigations. British standard BS 5930:1999. British Standards Institution, London.
- British Standards Institution. 2004. Geotechnical investigation and testing—Identification and classification of soil - Part 2: Principles for classification. British standard BS EN ISO 14688-2:2004. British Standards Institution, London.
- Cecil, O.S. 1975. Correlations of rock bolt-shotcrete support and rock quality parameters in Scandinavian tunnels. *Proceedings No. 27. Swedish Geotechnical Institute, Stockholm*.
- Cording, E.J., and Mahar, J.W. 1978. Index properties and observations for design of chambers in rock. *Engineering Geology*, **12**: 113–142. doi:10.1016/0013-7952(78)90007-8.
- Deere, D.U. 1968. Geological considerations. *In Rock mechanics in engineering practice*, Chapter 1. Edited by K.G. Stagg and O.C. Zienkiewicz. Wiley, New York. pp. 1–20.
- Deere, D.U., and Deere, D.W. 1989. Rock quality designation (RQD) after twenty years. Contract Report GL-89-1. US Army Corps of Engineers.
- Forster, D. 2015. Classification of rock masses for dam engineering: A new system-rock condition number. *In Proceedings of the Australian Commission on Large Dams Symposium*, Brisbane, November 2015.
- Hencher, S.R. 2008. The new British and European standard guidance on rock description. *Ground Engineering*, July.
- Hencher, S.R. 2014. Characterizing discontinuities in naturally fractured outcrop analogues and rock core: the need to consider fracture development over geological time. *In Advances in the study of fractured reservoirs*. Special Publication 374. Geological Society of London. pp. 113–123. doi:10.1144/SP374.15.
- Hoek, E. 2007. Practical rock engineering. Available from <https://www.rocsience.com/learning/hoek-s-corner/books> [accessed 11 January 2016].
- Hoek, E. 1994. Strength of rock and rock masses. *ISRM News Journal*, **2**(2): 4–16.
- Hoek, E., and Brown, E.T. 1988. The Hoek-Brown failure criterion - a 1988 update. *In Proceedings of the 15th Canadian Rock Mechanics Symposium*, Toronto, Ont.
- Hoek, E., and Marinos, P. 2000a. Predicting tunnel squeezing: Part 1. Tunnels and Tunnelling International, November.
- Hoek, E., and Marinos, P. 2000b. Predicting tunnel squeezing: Part 2. Tunnels and Tunnelling International, December.
- Hoek, E., Kaiser, P.K., and Bawden, W.F. 1995. Support of underground excavations in hard rock. A.A. Balkema, Rotterdam/Brookfield.
- Hoek, E., Carter, T.G., and Diederichs, M.S. 2013. Quantification of the Geological Strength Index Chart. *In Proceedings of the 47th US Rock Mechanics Symposium*. American Rock Mechanics Association, San Francisco, Calif.
- ISRM. 1978. *ISRM Blue Book: The complete ISRM suggested methods for rock characterization, testing and monitoring: 1974-206*. Edited by R. Ulusay and J.A. Hudson. ISRM.
- Jakubec, J., and Esterhuizen, G.S. 2007. Use of the mining rock mass rating (MRMR) classification: industry experience. *In Proceedings of the International Workshop on Rock Mass Clarification in Underground Mining*. US Dept Health & Human Services. N105H.
- Kirsten, H.A.D. 1982. Classification system for excavation in natural materials. *Civil Engineer in South Africa*, **24**(7): 293–308.
- Kirsten, H.A.D., Moore, J.S., Kirsten, L.H., and Temple, D.M. 2000. Erodibility criterion for auxiliary spillways of dams. *International Journal of Sediment Research*, **15**: 93–107.
- Laubscher, D.H. 1993. Planning mass mining operations. *In Comprehensive rock engineering*, Vol. 2. Pergamon Press, Oxford.
- Little, A.L. 1969. The engineering classification of residual tropical soils. *In Proceedings of the Specialty Session on the Engineering Properties of Laterite Soils*, 7th International Conference on Soil Mechanics and Foundation Engineering, Mexico City. Vol. 1, pp. 1–10.
- Lowson, A.R., and Bieniawski, Z.T. 2013. Critical assessment of RMR based tunnel design practices: a practical engineer's approach. *In Proceedings of the SME, Rapid Excavation and Tunnelling Conference*, Washington, D.C. pp. 180–198.
- Moore, J.S., and Kirsten, H. 1988. Discussion - Critique of the rock material classification procedure. *In Proceedings, of Rock Classification Systems for Engineering Purposes* Edited by L. Kirkaldie. American Society for Testing and Materials, Philadelphia, Pa. pp. 55–88.
- Moye, D.G. 1955. Engineering geology for the Snowy Mountains Scheme. *Journal of the Institution of Engineers of Australia*, **27**(10–11): 287–298.
- Palmström, A. 2005. Measurements of and correlations between block size and rock quality designation (RQD). *Tunnelling and Underground Space Technology* **20**(4): 362–377. doi:10.1016/j.tust.2005.01.005.
- Pells, P.J.N., and Pells, S.E. 2014. Erosion of rock in unlined spillways - report on study tour to South Africa, May 2014 (Technical report No. S004.R1). Pells Consulting, MacMasters Beach, Australia.
- Pells, S.E. 2015. Erosion of unlined spillways in rock. Doctoral thesis, The University of New South Wales, Australia.
- Priest, S.D., and Hudson, J.A. 1976. Discontinuity spacings in rock. *International Journal of Rock Mechanics and Mineraling Sciences & Geomechanics Abstracts*, **13**: 135–148. doi:10.1016/0148-9062(76)90818-4.
- Rocscience 2002. RocLab [computer program]. Rocscience, Toronto, Ont. [Superseeded by RockData5.0 in 2014.]
- Stagg, K.G., and Zienkiewicz, O.C. 1968. *Rock mechanics in engineering practice*. Wiley, New York.
- United States Army Corps of Engineers. 1997. Engineering and design, tunnels and shafts in rock. May 1997. Engineering manual 1110-2-2901.
- van Schalkwyk, A., Jordaan, J.M., and Dooge, N. 1994. Erosion of rock in unlined spillways. *International Commission on Large Dams*, Paris. Q.71 E.37, pp. 555–571.

List of symbols

eGSI	erosion geological strength index
GSI	geological strength index
GSI ₂₀₁₃	2013 version of geological strength index
J_a	joint alteration number, Barton et al. (1974)
J_n	joint set number, Barton et al. (1974)
J_r	joint roughness number, Barton et al. (1974)
J_v	volumetric joint spacing, Barton et al. (1974)
J_w	joint water reduction factor
JCond ₈₉	joint condition rating
K	Kirsten index
m_i	rock type
Q	Norwegian rock mass classification index, Barton et al. (1974)
Q'	Norwegian rock mass classification index for dry, unstressed rock
RMR	rock mass rating
RQD	rock quality designation
\bar{x}	mean spacing of defects assuming an exponential distribution
Π_{UD}	unit stream power
σ_{ci}	material unconfined compressive strength
σ_1	major principal stress
σ_3	confining stress