

1 **Assessment Supporting the Use of Outcropping Rock,** 2 **Evolutionary Intensity Measures for Prediction of Liquefaction** 3 **Consequences on Structures**

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5 **ABSTRACT**

6 This study evaluates a variety of intensity measures (IMs) for predicting the
7 liquefaction-induced residual settlement and tilt of shallow-founded structures. We
8 use data from both numerical and physical (centrifuge) models of soil-foundation-
9 structure systems. The relative quality of these IMs is quantified in terms of
10 efficiency, sufficiency, and predictability. We consider both scalar and vector-
11 valued IMs and evaluate the relative performance of IMs recorded at different
12 locations (outcropping rock, within rock, far-field, and foundation) from nonlinear
13 and equivalent-linear simulations. Cumulative absolute velocity (*CAV*) at
14 outcropping rock is the optimum IM for predicting foundation settlement, while
15 either outcropping rock *CAV*, peak ground velocity, or peak incremental ground
16 velocity is optimum for predicting permanent foundation tilt. Vector IMs offer
17 improvements to efficiency and sufficiency, but may be impractical to predict.

18 **INTRODUCTION**

19 The first step in performance-based structural and geotechnical earthquake engineering after
20 one identifies the asset under consideration involves the selection of intensity measures (IMs).
21 Ground motion intensity is a key component in any model for predicting consequences of
22 earthquakes and, often, uncertainty around ground motion intensity is the largest component
23 of the total uncertainty in a prediction (e.g., Bray and Travararou 2007; Bray and Macedo
24 2017). In this study, we evaluate a wide variety of IMs for predicting earthquake-induced
25 settlement and tilt of shallow-founded structures on liquefiable ground. Settlement and tilt are
26 referred to as demand parameters (DPs). Careful IM selection is critical to the quality of
27 predictive models, and can reduce modeling uncertainty and ensure practicality. The IMs
28 considered here vary in terms of how the intensity is quantified (i.e., considering evolutionary
29 parameters, which depend on the amplitude, duration, and frequency content of motion, and

30 peak parameters, which depend on the amplitude and sometimes frequency content of motion,
31 but not duration), the location at which that intensity is measured (i.e., at bedrock below a soil
32 column, rock outcrop, far-field soil surface, or the foundation), and the type of analysis used
33 to estimate an IM value (i.e., 1D equivalent-linear analyses, 3D nonlinear, fully-coupled
34 simulations, etc.). Thus, this study considers a thorough selection of IMs as measured
35 according to a variety of analyses to identify the optimum IMs for predicting foundation
36 settlement and tilt due to earthquake-induced liquefaction.

37 **BACKGROUND**

38 Many studies have evaluated the quality of various IMs for predicting structural and
39 geotechnical DPs (e.g., Shome and Cornell 1999; Luco and Cornell 2007; Padgett et al. 2008).
40 Luco and Cornell (2007) formally defined the quality of an IM for predicting a DP in terms of
41 “efficiency” and “sufficiency.” An efficient IM results in relatively small variability around its
42 predictions of the DP in question and, therefore, smaller uncertainty in probabilistic predictive
43 models. A sufficient IM results in predictions of DP that are unbiased on all earthquake source,
44 path, and site parameters that affect the IM. In the context of developing predictive models for
45 DPs, the availability and efficiency of ground motion models (GMMs) for predicting a given
46 IM is also important, which is termed “predictability.” Unpredictable IMs are impractical to
47 use for forward analysis, regardless of their efficiency and sufficiency.

48 Existing procedures have identified the usefulness of evolutionary IMs for predicting
49 geotechnical consequences of earthquakes: Kramer and Mitchell (2006) using cumulative
50 absolute velocity (CAV) above a 5 cm/s^2 threshold (CAV_5) for liquefaction triggering; Bray and
51 Macedo (2017) using damage potential CAV (CAV_{DP}) for predicting settlement of shallow
52 foundations on liquefiable ground; and Bullock et al. (2018a) using CAV for predicting
53 settlement of shallow foundations on liquefiable ground. One of these studies also employed
54 vector IMs containing peak transient and evolutionary IMs (Bray and Macedo 2017).
55 Evolutionary IMs are somewhat less common in structural engineering, although some studies
56 have highlighted their applicability (e.g., Kayen and Mitchell 1977). Structural engineers have
57 also employed vector IMs including peak ground acceleration (PGA), peak ground velocity
58 (PGV), or spectral acceleration (S_a) in combination with a measure of duration (e.g., Bommer
59 et al. 2004; Raghunandan and Liel 2013; Chandramohan et al. 2016).

60 Most procedures related to liquefaction triggering and consequences (e.g., Youd and
61 Idriss 2001; Cetin et al. 2009; Unutmaz and Cetin 2012; Boulanger and Idriss 2014) use the
62 cyclic stress ratio (CSR) as a measure of intensity, which is a function of soil surface peak
63 ground acceleration (PGA) at a hypothetical far-field location, typically obtained from 1D,
64 equivalent-linear, total-stress site response analyses. CSR is sometimes adjusted to incorporate
65 the presence of the building (e.g., Cetin et al. 2009; Unutmaz and Cetin 2012). These
66 procedures also often indirectly consider the influence of duration by including the
67 earthquake's moment magnitude (M_W). To select a more optimum IM, Karimi and Dashti
68 (2017) and Bullock et al. (2018a) used a similar approach to Luco and Cornell (2007),
69 concluding that outcropping rock CAV was optimum for predicting permanent average
70 settlement of mat-founded structures on liquefiable soils, based on 3D, nonlinear, fully-
71 coupled, dynamic numerical simulations. Note that the settlements observed in these numerical
72 simulations primarily capture deviatoric-type deformations (Karimi et al. 2018; Bullock et al.
73 2018a). Also note that Bullock et al. (2018a) used the same, extensive numerical database as
74 this study, but considered only a few IMs, evaluated only settlement and did not fully document
75 the IM evaluation. In a separate study, Bray and Macedo (2017) used a vector far-field IM
76 including CAV_{DP} and $S_a(1.0)$ to predict the deviatoric component of foundation settlement.

77 This study evaluates a wider variety of IMs than previous studies using a single set of
78 quality metrics according to both numerical and centrifuge test results. Although insightful,
79 prior studies often did not consider a comprehensive variety of IMs or the full range of
80 methodologies or locations for their estimation. For instance, Karimi and Dashti (2017) did not
81 consider IMs calculated using equivalent-linear analyses, used a less extensive numerical
82 database than the present study (e.g., approximately 1,600 compared to more than 63,000 with
83 additional variations in motion and system properties), did not differentiate between the
84 outcropping rock and within-rock motion for predicting foundation settlement (because their
85 simulations employed a rigid bedrock), and did not confirm their conclusions with
86 experimental results. Additionally, the previous work did not consider whether certain IMs are
87 better or worse in certain ranges of soil-foundation-structure parameters, which may influence
88 IM selection in predictive models; did not consider vector IMs (i.e., using multiple IMs in one
89 predictive model); and did not investigate the possible influence of rotational motion at the
90 foundation. Therefore, these IM selections may not be optimum in terms of performance or
91 predictability, and they need to be reevaluated more comprehensively and consistently at

92 different locations using different types of analyses common in practice, to evaluate both
93 residual settlement and tilt of the foundation.

94

OBJECTIVE AND METHODS

95 Performance-based earthquake engineering (PBEE) requires probabilistic estimates of both
96 IMs and DPs. We adopt a double integral version of the PBEE framework equations, i.e.:

97

$$\lambda(DM) = \iint G(DM|DP)dG(DP|IM)d\lambda(IM) \quad 1$$

98 In this equation, $\lambda(\cdot)$ is the mean annual rate of exceedance of the argument, $G(\cdot)$ is the
99 complementary cumulative distribution function of the argument, and DM is a damage
100 measure. In this study, DMs would be represented by threshold values of the DPs (e.g.,
101 “excessive” settlement or residual tilt defined according to some limiting threshold). GMMs
102 consisting of a rupture forecast (i.e., the location, geometry, magnitude, and rates of occurrence
103 of relevant earthquakes; e.g., Field et al. 2015) and one or more ground motion prediction
104 equations (e.g., Campbell and Bozorgnia 2014) provide the rate of occurrence of IM values
105 ($d\lambda(IM)$) in this equation. The rate of occurrence of an IM ($\lambda(IM)$) plotted against the IM
106 values is commonly referred to as the hazard curve. Structural and geotechnical models are
107 used to probabilistically estimate DPs conditioned on IMs, denoted here as $dG(DP|IM)$.

108 In this study, we use both results of numerical analyses (nonlinear and equivalent-
109 linear) and centrifuge experimental results to compare competing IMs for use in estimating
110 settlement and residual tilt of mat-founded structures on liquefiable ground. We consider these
111 datasets rather than observations of real buildings experiencing strong ground motion,
112 settlement, and residual tilt because very few detailed recordings of motion or settlement are
113 available, and those which are available include only ground motion recorded at the surface of
114 a nearby far-field site, which may or may not reflect the soil profile and motions near the
115 structure in question.

116

QUALITY METRICS

117 Efficiency, sufficiency, and predictability are common measures of the performance of IMs
118 (e.g., Luco and Cornell 2007; Eads et al. 2015; Dashti and Karimi 2017). Efficiency is a
119 measure of dispersion in the errors in prediction of DP based on IM: how accurately can an IM
120 predict a DP with no other information? Sufficiency is a measure of bias in the errors on an

121 earthquake scenario’s source, path, and site parameters (e.g., moment magnitude, M_W , or
 122 distance to rupture, R_{rup}): does an IM capture all relevant information in an earthquake record?
 123 Predictability is a measure of the practicality of generating probabilistic estimates of a given
 124 IM using ground motion models (GMMs): can we actually implement a model that uses a given
 125 IM, and what is the uncertainty in predicting the IM itself?

126 We formally define efficiency as the standard deviation of the logarithmic residuals
 127 ($\varepsilon_{DP|IM}$) of a regression between the IM and DP, according to Equation 2.

$$128 \quad \ln(DP) = a_0 + a_1 \ln(IM) + \varepsilon_{DP|IM} \quad 2$$

129 Previous studies considering efficiency and sufficiency (e.g., Luco and Cornell 2007) have
 130 opted to use the typical σ notation used for other standard deviations. However, to avoid
 131 confusion and to minimize the need for complex subscripts, we denote efficiency as $E_{DP} =$
 132 $\text{std}(\varepsilon_{DP|IM})$. E_{DP} is always positive, and smaller values reflect higher efficiency because there
 133 is less uncertainty around the predictions of the DP.

134 An IM is “sufficient” if its predictions are functionally independent from all earthquake
 135 parameters. Sufficiency is crucial because the PBEE framework equation (Equation 1) is only
 136 valid for sufficient IMs. Although sufficiency technically pertains to all earthquake scenario
 137 parameters including those pertaining to site effects and secondary effects such as hanging-
 138 wall effects, only the primary parameters of magnitude and distance are typically evaluated
 139 (e.g., Luco and Cornell 2007). These parameters are the most influential for the intensity of
 140 ground motion at a given location in a given earthquake (e.g., Abrahamson et al. 2013; Boore
 141 et al. 2014; Campbell and Bozorgnia 2014; Chiou and Youngs 2014). Here, we use the
 142 regressions in Equations 3 and 4 to quantify sufficiency with regard to magnitude and distance
 143 and the unexplained variation (residuals) from Equation 2.

$$144 \quad \varepsilon_{DP|IM} = b_{0,M} + b_1 M_W + \text{residual} \quad 3$$

$$145 \quad \varepsilon_{DP|IM} = b_{0,R} + b_2 \ln(R_{rup}) + \text{residual} \quad 4$$

146 We formally define sufficiency with regard to M_W or R_{rup} , denoted $S_{DP,M}$ or $S_{DP,R}$,
 147 respectively, according to Equations 5 and 6:

148
$$S_{DP,M} = \frac{|b_1[\max(M_W) - \min(M_W)]|}{|\max(\varepsilon_{DP|IM}) - \min(\varepsilon_{DP|IM})|} \quad 5$$

149
$$S_{DP,R} = \frac{|b_2[\max(\ln(R_{rup})) - \min(\ln(R_{rup}))]|}{|\max(\varepsilon_{DP|IM}) - \min(\varepsilon_{DP|IM})|} \quad 6$$

150 The numerators in these equations reflect the total change in estimated $\varepsilon_{DP|IM}$ over the total
 151 range of M_W or R_{rup} considered, and the denominators are the total ranges of observed values
 152 of $\varepsilon_{DP|IM}$. $S_{DP,M}$ and $S_{DP,R}$ therefore represent the portion of the total range of $\varepsilon_{DP|IM}$ that is
 153 the result of bias on M_W or R_{rup} , and smaller values are desirable. Using this definition of
 154 sufficiency allows us to directly compare the sufficiency of different IMs and DPs (each
 155 combination of which will have a different range of $\varepsilon_{DP|IM}$, and also to compare the sufficiency
 156 with respect to magnitude and that with respect to distance. We generally consider 5% to be an
 157 upper bound on acceptable sufficiency defined this way, although we primarily consider the
 158 relative sufficiency in this study. The 5% threshold is somewhat arbitrary, but aligns with the
 159 use of 5% as a threshold elsewhere in statistics (e.g., the ubiquitous 5% significance level).

160 We quantify predictability as the uncertainty (i.e., the total standard deviation of
 161 residuals, which we denote σ_p in this study) around the predictions of GMMs for a given IM.
 162 However, the availability of GMMs for a wide variety of locations and tectonic environments
 163 and the robustness of databases used to develop the GMMs should also be considered; even if
 164 a very accurate GMM exists for a given IM, it is not considered predictable if that GMM is
 165 limited in applicability.

166 Two additional metrics have been used in other IM studies: practicality and proficiency
 167 (e.g., Padgett et al. 2008). Practicality is a measure of the strength of relationship between the
 168 IM and DP, i.e. the value of the coefficient a_1 in Equation 2. Proficiency (ζ_{DP}) combines the
 169 concepts of efficiency and practicality ($\zeta_{DP} = E_{DP}/a_1$) into a single metric. Appendix A
 170 provides values for practicality and proficiency.

171 DEFINITION AND LOCATION OF MOTION

172 Before selecting specific IMs, we need to be very clear about what we mean by *motion* or a
 173 *ground motion record*. Where is this motion occurring and which type of analysis is used to
 174 obtain it? These questions have implications for the efficiency and sufficiency of IMs – is
 175 motion at the surface of a nonlinear or equivalent-linear, liquefiable soil column a better

176 predictor of liquefaction consequences than the motion at its base? Motion location is also
177 related to predictability; do models exist that are applicable for predicting a given IM at a
178 particular location and what is the uncertainty associated with those models?

179 We consider the following five definitions of motion (Figure 1): outcropping rock
180 motion (OR), within-rock motion (WR), far-field surface motion as estimated using 1D
181 equivalent-linear site response analyses (FF-EL), far-field surface motion as estimated using
182 3D nonlinear dynamic analyses (FF-NL), and foundation motion as estimated using 3D
183 nonlinear dynamic analyses of the soil-structure system (FN-NL). The motion at each location
184 is the (horizontal) transverse acceleration recorded in the direction of shaking. These five
185 definitions of motion each convey different information. The outcropping rock motion is the
186 input motion to the more complex analyses and easiest to estimate for forward prediction with
187 the lowest degree of uncertainty. IMs at this location are commonly used for selection of
188 ground motion records in complex hazard analyses (e.g., Kramer and Mitchell 2006; Karimi et
189 al. 2018). The within-rock motion is that recorded at the base of the soil column and is therefore
190 influenced by the properties of the outcropping rock motion as well as the bedrock and soil
191 above. The far-field motion is typically associated with liquefaction triggering analyses and
192 forms the basis for many procedures (e.g., Cetin et al. 2009; Boulanger and Idriss 2014). We
193 include the equivalent-linear far-field motion because these analyses are commonly used in
194 practice to obtain surficial IMs based on the assumption of no liquefaction, and the nonlinear
195 far-field motion because it is more likely to reflect the characteristics of motion above the
196 liquefiable material. Equivalent-linear analyses are used, rather than nonlinear total-stress
197 analyses, because they require less information to implement (and are therefore more practical
198 and common) and because they are more distinct from the FF-NL motion. FF-NL is provided
199 for comparison, but is not ideal from the perspective of practicality and simplicity in prediction
200 of liquefaction consequences. Lastly, the motion at the foundation was expected to most closely
201 link to certain deformation mechanisms, particularly those involving the generation of shear
202 stresses and strains near the foundation (Dashti et al. 2010a,b). Therefore, even though
203 impractical in terms of predictability, the foundation motion was considered among different
204 locations for comparison of efficiency and sufficiency.

205 **NUMERICAL MODELING OF SHALLOW-FOUNDED STRUCTURES**

206 An extensive numerical study of shallow-founded structures on liquefiable ground provides
207 the first dataset for this study (Karimi et al. 2018). That study employed 421 3D, solid-fluid,
208 fully-coupled, effective stress, finite element simulations of soil-foundation-structure systems
209 on layered, potentially-liquefiable ground, each analyzed under 150 ground motion records,
210 producing approximately 63,000 total analyses that quantify ground motion intensity at various
211 locations, as well as the demands on the foundation and structure. Figure 2 shows a schematic
212 diagram of the models and provides a summary of the parameters that were varied. Appendix
213 B provides additional details regarding these variations. These models used the PDMY02 soil
214 constitutive model (Elgamal et al. 2002) with parameters calibrated according to cyclic shear
215 and centrifuge tests (Karimi and Dashti 2015, 2016).

216 Karimi et al. (2018) used the fault-normal or maximum rotated horizontal component
217 of ground motion as the one-directional input excitation for the models, applied parallel to the
218 short side of the foundation. Outcropping rock motions were used as inputs to the numerical
219 models, which were converted to within-rock motions using dashpots defined by the bedrock
220 properties (Lysmer and Kuhlemeyer 1969). The input excitation was applied to the base nodes
221 as a force time history derived from the bedrock density, the bedrock shear wave velocity, and
222 the outcropping rock velocity time history. Equal-degree-of-freedom constraints were applied
223 to all nodes at the boundaries, such that all boundary nodes at a given depth had the same
224 motion. The foundation was tied directly to the soil, meaning the foundation was unable to
225 slide relative to the neighboring soil.

226 For use of these results in this study, the far-field motion is recorded at a surficial
227 location away from the foundation and away from the edge of the mesh to avoid boundary
228 effects. The node selected to record the far-field motion was validated according to one-
229 dimensional (1D, single column) analyses of the same soil profile. The foundation motion is
230 the average transverse acceleration of the foundation's corners. We calculate settlement by
231 taking the average of vertical displacements at each corner of the mat foundation, and we
232 calculate residual tilt by dividing the differential settlement by foundation width in the direction
233 of shaking. The applied excitation was 1D (horizontal) in these simulations, such that tilt
234 always occurred in the direction of the foundation width, B (as opposed to its length, L).

235 This constitutive model and numerical modeling approach provide good predictions of
236 foundation settlement (particularly for soil profiles with relatively thin liquefiable layers,
237 where shear-type deformations are dominant), foundation acceleration demand, and pore
238 pressure generation in the liquefiable material (Karimi and Dashti 2015, 2016). However, key
239 limitations remain. In particular, these continuum models cannot capture certain deformation
240 modes (e.g., sand ejection). In addition, the PDMY02 soil model may not accurately account
241 for volumetric deformation modes, such as sedimentation, in a liquefied deposit. Further, the
242 models may not accurately capture the influence of structure's inertia on residual tilt for a
243 number of reasons. In particular, certain parameters (e.g., structure height and mass) that are
244 correlated in the field were artificially separated in the parametric study. The model structures
245 were idealized as elastic single-degree-of-freedom (SDOF) oscillators, and therefore did not
246 include the influence of inelastic deformations in the structure or of vibration in multiple
247 modes. Lastly, the foundation elements were attached to soil in these simulations (i.e., no
248 interface models), limiting the extent and accumulation of inertial rocking and distortion
249 around the foundation edges.

250 We also performed 1D equivalent-linear analyses using DeepSoil 6.1 (Hashash et al.
251 2016) to estimate the motion in the far-field for each distinct soil profile represented in the
252 numerical database above. These analyses utilized the damping and shear modulus reduction
253 curves proposed by Darendeli (2001), and shear wave velocity profiles were formulated
254 according to Kramer (1996) and Jamiolkowski et al. (1991). The maximum shear strain
255 observed at any point in a given profile ranged from 0% to 0.3% during different motions, with
256 a 90th percentile of 0.1%. These strains are mostly below the limit used for equivalent-linear
257 analyses of approximately 0.3 to 0.5% (Stewart et al. 2014). Appendix C provides more details
258 on the calculation of various parameters for the equivalent-linear analyses.

259 **CENTRIFUGE TESTING**

260 For further information on centrifuge modeling of soil liquefaction and its consequences on
261 soil-structure interaction and building performance or centrifuge modeling of soil-structure
262 interaction in general, please refer to Dashti (2009); Dashti et al. (2010a,b); Mason et al.
263 (2013); Trombetta et al. (2013); Olarte et al. (2017, 2018); Paramasivam (2018a). Table 1
264 summarizes the database of centrifuge test results used in this study, and Appendix B provides
265 additional details. We include only tests with flexible structures (as opposed to rigid blocks)

266 on shallow mat foundations. The results from centrifuge tests were critical during the validation
267 and calibration of numerical models. These tests also provide data for the IM study that avoid
268 certain limitations of numerical modeling. In particular, the physical models can partly capture
269 ejection (due to homogeneous soil conditions) and all deformation modes (e.g., volumetric
270 strains due to sedimentation). Despite the factors that may limit or reduce ejection in the
271 centrifuge (mainly lack of inhomogeneity and spatial variations in permeability), it has been
272 observed in several experiments (e.g., Fiegel and Kutter 1994; Paramasivam et al. 2018a,b;
273 Badanagki et al. 2018).

274 Of course, centrifuge testing has its own set of limitations. For practical reasons, the
275 same physical specimens are usually subjected to multiple sequential ground motions in the
276 centrifuge. The first strong motion results in residual settlement and tilt of the foundation and
277 densification of different soil layers (altering their geometry and properties). Subsequent tests
278 on the same specimen therefore do not have the same initial conditions, and their results depend
279 on the history of tests run during that spin of the centrifuge. In addition, centrifuge testing
280 typically uses ground motion records that have been scaled and altered in frequency content to
281 accommodate the shake table's capabilities. Once altered, ground motions may no longer
282 realistically correspond to a real magnitude-distance scenario. Therefore, we can only use the
283 results from centrifuge to evaluate efficiency, but not sufficiency. Lastly, although there is
284 some variation in soil-foundation-structure system parameters in the available centrifuge data,
285 there is not enough to consider parametric efficiency, which is subsequently discussed using
286 the numerical database.

287 In interpreting centrifuge test results, we consider the outcropping rock and within-rock
288 motion to be equal to the motion recorded at the base of the soil. For this case, the outcropping
289 rock and within-rock motion are the same because the base of the container is relatively stiff
290 (for infinitely stiff media, outcropping rock and within-rock motion are theoretically
291 equivalent). The surficial far-field motion and the foundation motion for each structure were
292 recorded using accelerometers in each test. The centrifuge tests also provide the opportunity to
293 evaluate IMs in terms of a foundation's rotational acceleration, which may not be captured
294 accurately in the numerical analyses because of constraints related to the lack of interface
295 elements (Karimi and Dashti 2016). Rotational acceleration (in rad/s^2) is defined as the inverse
296 sine of the difference in two vertical acceleration records at the edges of the foundation divided
297 by their separation.

298 INTENSITY MEASURES CONSIDERED

299 The population of IMs considered in this study includes 11 peak transient IMs, 5 evolutionary
300 IMs, and 4 duration-related IMs. We also consider vector-valued IMs consisting of one of the
301 peak transient IMs paired with one of the evolutionary or duration-related IMs. These pairs are
302 determined after examining the performance of the individual IMs. Table 2 summarizes these
303 IMs and provides equations for their calculation. In these equations, t_d is the total duration of
304 a given ground motion record, and $a(t)$ is its acceleration time history, $\chi\langle a(t) \rangle$ is a filter that
305 is zero when $a(t)$ is below 5 cm/s^2 and one otherwise, $H(\cdot)$ is the Heaviside step function.
306 CAV_{DP} is equal to CAV_{STD} if pseudo-spectral acceleration (S_a) exceeds $0.2g$ at any period
307 between 0.1 and 0.5 sec, and pseudo-spectral velocity (S_v) exceeds 15.34 cm/s at any period
308 between 0.5 and 1.0 sec, and zero otherwise.

309 We consider S_a at a handful of periods: 1.0 sec; the fixed-base fundamental period of
310 the structure (T_{st}); the initial fundamental period of the site in the far-field (T_{so}); and lengthened
311 versions of site period ($1.5T_{so}$ and $2T_{so}$). These lengthened site periods reflect the expectation
312 that a liquefiable site will soften at larger shear strains during shaking. In addition to S_a , we
313 include average pseudo-spectral acceleration ($S_{a,avg}$). $S_{a,avg}$ reflects the frequency content
314 over a range of periods, and is therefore more effective than single-period values of S_a for
315 predicting nonlinear structural response (e.g., Bianchini et al. 2009; De Biasio et al. 2014). This
316 improvement in performance is due to the fact that: (1) structures have multiple modal periods,
317 and (2) a structure's period changes as its strength and stiffness are altered by degradation
318 during shaking, an effect which we also anticipate in soil columns. In the equation for $S_{a,avg}$,
319 T_i are discrete periods used to represent the range from T_1 to T_2 , and N is the number of discrete
320 periods considered. We use 100 evenly spaced T_i ranging from T_1 to T_2 . This equation uses T_1
321 and T_2 to arbitrarily represent the window of periods over which S_a is being averaged.
322 Subsequently, various versions of $S_{a,avg}$ will be described with different values of T_1 and T_2
323 (e.g., $S_{a,avg}(0.2T_{so}, 1.5T_{so})$ for the average spectral acceleration over the period range from
324 20% to 150% of the initial site period).

325 EFFICIENCY AND SUFFICIENCY OF IMS FROM THE NUMERICAL DATABASE

326 First, we evaluate efficiency and sufficiency of all the considered IMs for settlement and tilt
327 using the complete numerical database of all models and motions, describing this assessment

328 as “comprehensive” and labeled with a subscript C , i.e. $E_{DP,C}$, $S_{DP,M,C}$, and $S_{DP,R,C}$. If this data
329 were used to create predictive relations of DPs with consistent IM(s), the comprehensive
330 quality metrics would be directly linked to the final uncertainty and bias in those relations.

331 Second, we investigate the model-specific (or “parametric”) efficiency and sufficiency
332 of IMs as a function of various soil profile, foundation, or structure input parameters (e.g.,
333 foundation width, B , or foundation bearing pressure, q), denoted with a subscript P ($E_{DP,P}$,
334 $S_{DP,M,P}$, and $S_{DP,R,P}$), because each is considered as a function of an input parameter. The
335 parametric quality metrics allow us to identify situations in which certain IMs are more or less
336 desirable, which might influence IM selection if an IM is poor in critical ranges of primary
337 parameters. These values are calculated in the same manner as the comprehensive values, but
338 using only the results from one specific model at a time (i.e., using analyses with all ground
339 motions from one model, rather than all model-motion combinations together). By considering
340 these values for a subset of models in which only one parameter was varied, we can observe
341 the influence of a parameter on the efficiency and sufficiency of various IMs in isolation.

342 **COMPREHENSIVE EVALUATION OF SINGLE IMS**

343 We first consider the comprehensive efficiency and sufficiency of single IMs in predicting the
344 permanent settlement of foundation (i.e., subscript S) in the numerical database. Recall that
345 this settlement captures primarily the deviatoric-type deformations, but also partially captures
346 volumetric deformations, mainly those resulting from partial drainage during shaking (Karimi
347 et al. 2018; Bullock et al. 2018a). Figures 3 and 4 show efficiency (x-axis) and sufficiency (y-
348 axis) for each IM. Recall that smaller values of $S_{S,M,C}$, $S_{S,R,C}$, and $E_{S,C}$ are better, so values
349 plotted closer to the lower left are most sufficient and efficient. For values of efficiency and
350 sufficiency of specific IMs, please refer to Tables A1 and A2 in Appendix A.

351 These figures show that evolutionary IMs perform consistently better than peak
352 transient and duration-related IMs in terms of $E_{S,C}$ and $S_{S,M,C}$. The latter may be a result of
353 these IMs incorporating effects of both the amplitude and duration of motion. Peak transient
354 IMs generally have better sufficiency with respect to distance ($S_{S,R,C}$), but this depends on the
355 location. In particular, S_a -based measures have relatively better $S_{S,R,C}$. The results also show
356 that all IMs tend to be more sufficient with regard to distance than magnitude ($S_{S,R,C} = 0\%$ to
357 20% compared to $S_{S,M,C} = 0\%$ to 50%). The significant durations (D_{5-75} and D_{5-95}) are the

358 least efficient and sufficient regardless of location. However, we expect the duration measures
359 to be more beneficial when paired with another amplitude-dependent IM.

360 Within each category of IM, the outcropping rock (OR) and within-rock (WR) motions
361 are consistently more efficient and sufficient than the surficial motions. We hypothesize that
362 this is because the OR and WR motions represent the seismic excitation applied to the entire
363 system, where the surficial locations each only reflect a portion of that excitation (often highly
364 de-amplified at higher frequencies due to wave propagation through a softened soil profile),
365 which might therefore only provide good predictive capability of certain deformation modes.
366 For example, volumetric deformations within thick liquefiable layers may not be well captured
367 if only the de-amplified /modified nonlinear motion is used. The equivalent-linear far-field
368 (FF-EL) location is more efficient and sufficient than the other surficial locations (FF-NL and
369 FN-NL) for most IMs, because it incorporates vertical propagation of shear waves through the
370 soil column without capturing strong soil nonlinearity, pore pressure generation, and the
371 resulting de-amplification of high-frequency accelerations. Evolutionary IMs at the OR and
372 WR locations are also more sufficient than peak transient IMs at the same locations with regard
373 to distance.

374 Among single IMs, variants of *CAV* at the WR or OR locations offer the best
375 combination of efficiency and sufficiency for predicting foundation settlement. Conversely, no
376 single IM offers a clearly “optimum” combination of efficiency and sufficiency for residual tilt
377 (figures provided in Appendix D). Vector IMs consisting of one evolutionary and one peak
378 transient IM may be superior for predicting foundation tilt, and are explored in the next section.

379 **COMPREHENSIVE EVALUATION OF VECTOR IMS**

380 The analysis of the quality of single IMs suggests that a vector IM may improve the predictions
381 of settlement and tilt. Here, Equation 2 is replaced with Equation 7 for calculating $\varepsilon_{DP|IM}$ to
382 incorporate a second IM.

$$383 \quad \ln(DP) = a_0 + a_1 \ln(IM_1) + a_2 \ln(IM_2) + \varepsilon_{DP|IM} \quad 7$$

384 Table 3 reports the comprehensive efficiency and sufficiency of select pairs of IMs for
385 predicting settlement. The combinations of IMs presented in the table were selected to show a
386 representative variety (for instance, all variants of *CAV* have similar performance). For pairs

387 including an evolutionary IM and a peak transient IM, efficiency is not improved (up to 3%
388 change) compared to more efficient individual IMs. However, for pairs including a duration
389 measure, adding PGA or V_{gi} yielded better efficiency than either IM alone (up to 11% change).
390 In particular, the efficiency of D_{5-75} and PGA or V_{gi} is similar to that of CAV alone. This
391 suggests that CAV incorporates the effects of both the amplitude and duration of motion on
392 foundation settlement.

393 As discussed above, evolutionary IMs are generally more sufficient with regard to
394 magnitude and less sufficient with regard to distance than peak transient IMs. The IM pairs
395 including one evolutionary and one peak transient IM are relatively sufficient with regard to
396 both magnitude and distance ($S_{S,R,C}$ or $S_{S,M,C} < 4\%$). Combining a duration measure with a
397 peak transient IM also offers improved sufficiency compared to one or the other IM, but pairs
398 including an evolutionary IM remain generally more sufficient. The results for predicting tilt
399 in Appendix D are similar: pairs of IMs offer marginal improvements in efficiency and
400 substantial improvements in sufficiency.

401 **PARAMETRIC EVALUATION OF IMS**

402 Although the comprehensive metrics of efficiency and sufficiency reflect the development of
403 general procedures for estimating liquefaction consequences with broad applicability, there
404 may be certain soil profiles, foundations, or structures in which different IMs are optimum.

405 Figure 5 shows $E_{S,P}$ as a function of three aspects of soil profile geometry: (a) the total
406 deposit depth (H_{dep}), (b) the thickness of the liquefiable layer (H_L), and (c) the thickness of
407 non-liquefiable crust at the surface (D_L). We select these parameters because H_L and D_L were
408 identified as having critical influence on settlement in past studies (Karimi et al. 2018), and we
409 expect H_{dep} to shed light on the choice between the base and surficial motions in predicting
410 foundation settlement. Note that in this section, we exclude the within-rock motion, because it
411 shows similar trends as the outcropping rock motion.

412 The efficiency of OR IMs is insensitive to H_{dep} . While the efficiency of IMs at surficial
413 locations (i.e., FF-EL, FF-NL and FN-NL) improves for deeper deposits, they are still less
414 efficient than the outcropping rock motion for even an 80 m-thick deposit. This result
415 emphasizes that OR or WR motions provide better information in terms of settlement even

416 when significant site effects are expected. In Figures 5b and 5c, the efficiency of all IMs
 417 improved for profiles with liquefiable layers that are at the extremes (thin or deep). We expect
 418 small settlements in these cases (Karimi et al. 2018; Bullock et al. 2018a), so this trend in
 419 efficiency may reflect heteroscedasticity with regard to settlement (i.e., that uncertainty is
 420 smaller for smaller predicted settlements). Appendix D provides similar figures for $S_{S,M,P}$ and
 421 $S_{S,R,P}$, which were less sensitive to changes in the profile's geometry.

422 Appendix D provides similar figures for $E_{\theta,P}$ as a function of both profile geometry and
 423 foundation properties. Trends are not as apparent for predicting tilt, reflecting the increased
 424 uncertainty around numerical predictions of tilt as compared to settlement (Karimi and Dashti
 425 2016b). Figure 6 shows that $S_{\theta,M,P}$ and $S_{\theta,R,P}$ are likewise insensitive to profile geometry and
 426 B . However, both are improved by increases in foundation bearing pressure (q) (Figure 6),
 427 which has a re-centering effect on tilt (Bullock et al. 2018b;2019). All IMs have improved
 428 $S_{\theta,M,P}$ and $S_{\theta,R,P}$ for larger q , which suggests that tilt may be less sensitive to ground motion
 429 intensity in general when q is larger. However, this finding does not suggest that any IM is
 430 superior based on sufficiency.

431 EFFICIENCY OF IMS FROM THE CENTRIFUGE TEST DATABASE

432 We next consider comprehensive efficiency in the centrifuge experimental database. Due to
 433 the limitations of centrifuge modeling discussed previously, we anticipate that results from
 434 later motions in a given test are more likely to be less useful because the structures and soil
 435 profile begin in a damaged or disturbed state. To address this bias, we replace Equation 2 with
 436 8 for the analysis in this section to include a term for the sequence number of each given test,
 437 N_{seq} ($N_{seq} = 1$ for the first motion experienced by a given model). Further discussion of the
 438 selection of this metric for reliability is provided in Appendix E. Efficiency is subsequently
 439 calculated according to the methodology above.

$$440 \quad \ln(DP) = a_0 + a_1 \ln(N_{seq}) + a_2 \ln(IM) + \varepsilon_{DP|IM} \quad 8$$

441 EFFICIENCY OF SINGLE IMS

442 Table 4 reports $E_{S,C}$ and $E_{\theta,C}$ of all IMs for transverse motions at the three locations described
 443 above, as well as the rotational motion at the foundation obtained from centrifuge recordings.
 444 In all cases, the OR or WR motion provided better $E_{DP,C}$ than any of the surficial locations

445 (transverse or rotational). This agrees with the findings from analysis of the numerical data in
446 the previous section; outcropping rock motion is the best predictor of liquefaction
447 consequences, perhaps because it reflects the total seismic excitation applied to the soil-
448 foundation-structure system, rather than solely the excitation influenced by site response and
449 soil softening or damping. Thus, other properties of soil and structure that are critical predictors
450 of foundation's settlement or tilt must be considered separately in a predictive model,
451 independent of the IM.

452 The hierarchy of performance among the IMs is similar for predicting foundation
453 residual tilt in the centrifuge test database to that in the numerical database (Appendix A). Most
454 IMs have very similar efficiency, with the exception of the significant durations, which perform
455 worse. For settlement, the superior performance of the evolutionary IMs relative to the peak
456 transient IMs is still apparent, with the exception of three peak transient IMs that had similar
457 efficiency to the evolutionary IMs: $S_a(T_{so})$, $S_{a,avg}(0.2T_{so}, 1.5T_{so})$, and $S_a(0.2T_{so}, 2T_{so})$. This
458 suggests that the frequency content of motion near the fundamental site period (both its initial
459 and lengthened values) is more efficient for the centrifuge test results than for the numerical
460 models. Although the numerical models capture softening in the liquefiable layers, they do not
461 adequately capture the dilation cycles and the corresponding acceleration spikes at large shear
462 strains over time (Karimi and Dashti 2015, 2016) nor the actual phase change behavior (i.e.,
463 solid-like to fluid-like, and vice versa) of liquefied sand observed in experiments. The shaking
464 intensity rate (SIR) is also more efficient in the centrifuge results than in the numerical data for
465 settlement.

466 EFFICIENCY OF VECTOR IMS

467 We extend this analysis to consider pairs of IMs. Figure 7 shows $E_{S,C}$ of select pairs of
468 evolutionary and peak transient IMs. The efficiency of pairs of outcropping rock IMs is up to
469 20% better than the single IMs in the pair for predicting settlement. Generally, the benefits to
470 efficiency for using a paired IM at other locations are marginal (0% to 5%) for predicting
471 settlement, and likewise marginal at all locations for predicting residual tilt (figure provided in
472 Appendix D). However, pairs of transverse foundation IMs including PGA and pairs of far-
473 field motion IMs including CAV_{DP} benefit substantially (up to 15% improvement in $E_{S,C}$).
474 Paired IMs in these two cases perform similarly to single or paired outcropping rock IMs for
475 predicting settlement.

476 **EFFICIENCY OF TRANSVERSE-ROTATIONAL IMS**

477 Table 5 provides $E_{S,C}$ and $E_{\theta,C}$ for select pairs of one transverse foundation IM and one
478 rotational foundation IM. Recall that transverse foundation IMs are calculated using the
479 horizontal acceleration at the foundation, while rotational foundation IMs are calculated based
480 on the rotational acceleration of the foundation about its centroid. These pairs generally have
481 better $E_{S,C}$ than single foundation or far-field IMs, but are slightly less efficient than single or
482 pairs of outcropping rock IMs. However, certain pairs offer the best $E_{\theta,C}$ of any IMs identified
483 in this study. Specifically, transverse *CAV* paired with rotational *CAV* is 9% more efficient than
484 any pair of one evolutionary and one peak transient IM measured on outcropping rock. Vector
485 IMs including another evolutionary transverse IM or transverse V_{gi} are also relatively efficient.

486 **PREDICTABILITY OF ALL INTENSITY MEASURES**

487 **AVAILABILITY AND UNCERTAINTY OF GROUND MOTION MODELS**

488 Many of the IMs in this study can be directly predicted by GMMs (e.g., *PGA*, *CAV*, and D_{5-75}).
489 However, others require additional effort (e.g., $S_{a,avg}$ and CAV_{DP}). Additionally, we must first
490 develop correlation models in order to predict the joint occurrence of paired IMs. Such
491 correlation models are only currently available for a limited set of IM pairs.

492 Table 6 provides a summary of the GMMs in the literature that predict the considered
493 IMs directly. The lists provided are intended to be representative, but are certainly not
494 exhaustive. GMMs for *PGA*, *PGV*, and S_a are plentiful in the literature. Broadly applicable
495 models exist for the shallow crustal (e.g., Campbell and Bozorgnia 2014), subduction (e.g.,
496 Atkinson and Boore 2003), and intraplate tectonic environments (e.g., Darragh et al. 2015),
497 and many models exist for use in specific regions (e.g., Bradley 2013). Models for certain non-
498 spectral IMs are also becoming common and available for more contexts (e.g., Danciu and
499 Tselentis 2007; Bullock et al. 2017). Although a handful of models currently exist for
500 predicting the significant duration of motion (Kempton and Stewart 2006; Bommer et al. 2009;
501 Afshari and Stewart 2016), they are at present limited to the shallow crustal tectonic
502 environment.

503 Models for S_a can be extended and combined with correlation models to generate
504 probabilistic predictions of $S_{a,avg}$, as discussed in Eads et al. (2015). Models exist for

505 estimating the correlation among S_a values at multiple periods (e.g., Baker and Bradley 2017),
506 but only for the shallow crustal tectonic environment. This limits the practicality of using $S_{a,avg}$
507 in models for predicting liquefaction consequences in other environments. The same limitation
508 will apply to vector IMs until correlation models are developed for the relevant non-spectral
509 IMs and for more tectonic environments, although models for the correlation between S_a and
510 significant duration exist for shallow crustal events (e.g., Baker and Bradley 2017).

511 Finally, no model exists for predicting SIR directly, but predictions of AI and
512 significant duration can be combined to predict SIR . However, characterizing the uncertainty
513 around these predictions would require quantifying the correlation between the errors in
514 predicting each component.

515 **PREDICTABILITY AS A FUNCTION OF THE DEFINITION OF MOTION**

516 The definition and location of motion has major implications for the predictability of IMs.
517 First, no GMM includes the effects of soil-structure interaction that influence foundation
518 (transverse or rotational) motion, meaning that foundation IMs are impractical to predict
519 without performing nonlinear 3D dynamic analyses of soil-foundation-structure systems using
520 hazard-representative outcropping rock ground motion records as inputs. Predicting motion at
521 the far-field surface (FF-EL) and within rock (WR) locations would require performing 1D
522 equivalent-linear, total-stress site response analyses. However, some GMMs that used
523 equivalent-linear analyses to constrain their site terms predict the FF-EL intensity directly (e.g.,
524 Walling et al. 2008; Seyhan and Stewart 2014). These analyses thereby necessitate knowledge
525 of the density and shear wave velocity of the bedrock at the site, as well as the dynamic
526 properties of the overlying soil profile.

527 GMMs that include site effects (typically as a function of the time-averaged shear wave
528 velocity in the top 30 m of the site, $V_{S,30}$, and sometimes the depth to a layer with shear wave
529 velocity of 1,000 m/s or 2,500 m/s, $Z_{1.0}$ or $Z_{2.5}$) are based on real ground motion recordings.
530 Therefore, the site effects included are governed by potentially nonlinear, effective stress
531 behavior, meaning that predictions made by GMMs including site effects most nearly
532 approximate the FF-NL motion. However, these GMMs are typically only applicable to $V_{S,30}$
533 exceeding 180 m/s and assume that site effects can be described as a logarithmic function of
534 $V_{S,30}$, neither of which may be valid for profiles with liquefiable materials (particularly those

535 with thick, loose deposits of saturated granular soils). GMMs that assume such simplified site
536 effects are still based on ground motion records that include real nonlinear effects, meaning
537 that these effects are reflected only in the model uncertainty. Some GMMs do include more
538 complex, nonlinear site effects (e.g., Boore et al. 2014) or can be extended to do so (e.g.,
539 Seyhan and Stewart 2014), but these still do not explicitly predict the intensity at the surface
540 above liquefied sand. Further, some profiles with liquefiable material will have $V_{S,30}$ less than
541 180 m/s, meaning that the functional forms of the GMMs may not yield reasonable estimates
542 if the true profile $V_{S,30}$ is used as an input. Some GMMs predict outcropping rock motion
543 specifically (e.g., Darragh et al. 2015; Bullock et al. 2017), although models including site
544 effects can also approximate outcropping rock motion if the shear wave velocity of rock is used
545 in place of $V_{S,30}$.

546 We conclude that the outcropping rock motion is more predictable than any of the other
547 definitions for the site conditions of interest, although 1D equivalent-linear site response
548 analyses are also routinely performed in practice. Nevertheless, other definitions require more
549 information and extra analyses (either nonlinear 3D or equivalent-linear 1D simulations), or
550 tenuous assumptions regarding the linearity of site behavior and the applicability of GMMs
551 (nonlinear far-field), which would add to the underlying uncertainties.

552 CONCLUDING REMARKS

553 According to a comprehensive numerical database containing both 3D nonlinear simulations
554 of soil-foundation-structure systems and 1D equivalent-linear site response analyses,
555 outcropping rock CAV offers the optimum combination of efficiency, sufficiency, and
556 predictability for predicting the permanent settlement of shallow-founded structures on
557 liquefiable sites. Using a vector IM does not notably improve efficiency or sufficiency in
558 predicting average settlement. Outcropping rock CAV , PGV , and V_{gi} are the optimum IMs for
559 predicting foundation's residual tilt. However, a combination of two of these IMs may be
560 preferable for tilt predictions, provided a correlation model for their prediction is developed.

561 Outcropping rock IMs may be better predictors of foundation settlement and tilt
562 because they reflect the total seismic demand on the entire soil-foundation-structure system,
563 rather than only the demand transferred to the foundation (i.e., transverse and rotational
564 foundation IMs) or the ground surface (i.e., far-field IMs) that are the result of wave

565 propagation through a highly nonlinear and softened soil profile. In this sense, outcropping
566 rock IMs influence not only the accelerations and pore pressures experienced throughout the
567 soil column, but also soil-structure interaction and all volumetric and deviatoric mechanisms
568 of deformation active below the foundation. Although IMs on the foundation were better
569 predictors of foundation's ratcheting response, they did not perform as well in predicting all
570 mechanisms contributing to foundation's cumulative settlement and rotation.

571 The available centrifuge experimental data involving mat-founded structures on
572 liquefiable soils confirm the conclusions above, but also suggest that certain vector IMs may
573 be particularly efficient (e.g., far-field CAV_{DP} and PGA for predicting settlement, and vector
574 transverse-rotational foundation IMs for predicting residual tilt). The higher efficiency of
575 vector transverse-rotational foundation IMs for predicting tilt show that foundation motion IMs
576 are more closely tied to ratcheting-type deformations and are expected to have a stronger
577 relative influence on tilt than on settlement. These vector IMs are currently less predictable
578 than single outcropping rock IMs, however, and using outcropping rock IMs may therefore be
579 preferable when developing predictive models for settlement and tilt (Bullock et al.
580 2018a,2019). The centrifuge database includes similar variation in ground motion intensity to
581 that in the numerical database, but considerably less variation in soil-foundation-structure
582 system parameters. In this sense, the results presented based on the centrifuge data serve to
583 validate the conclusions based on the numerical data, while also elucidating the influence of
584 rotational foundation motion.

585 Efficiency of IMs in predicting foundation's settlement improves for profile geometries
586 where we expect small settlements (i.e., those with thinner or deeper layers of liquefiable
587 material), which may reflect heteroscedasticity in settlement predictions. The same trend is not
588 evident for residual tilt. However, the sufficiency of IMs with regard to both source distance
589 and magnitude improves with increases in foundation bearing pressure, which has a re-
590 centering effect on tilt. Tilt may therefore be less sensitive to ground motion intensity when
591 bearing pressure is large. The hierarchy of IMs and their locations appears insensitive to the
592 soil-foundation-structure parameters considered, which suggests that parametric efficiency and
593 sufficiency do not influence IM selection for model development.

594 The conclusions summarized above are counterintuitive when considered in the context
595 of many simplified procedures for liquefaction triggering that use the free-field surface cyclic

596 stress ratio (*CSR*) as the IM (e.g., Youd and Idriss 2001; Boulanger and Idriss 2014). Although
597 it is not clear whether this IM was the most optimum choice for predicting liquefaction
598 triggering (e.g., Kramer and Mitchell 2006), these procedures are based on observations of
599 surficial manifestations of liquefaction away from the structure and therefore do not
600 incorporate its influence on building performance. The existing body of literature for predicting
601 liquefaction triggering in the free-field may not translate directly to the prediction of
602 liquefaction consequences on shallow-founded structures (e.g., Karimi et al. 2018).

603 The relative efficiency of the outcropping rock motion may reflect the following
604 distinction: surficial motion is predictive of surficial manifestations of liquefaction away from
605 structures, but the rock seismic excitation input to the system is more predictive of the
606 consequences for shallow-founded structures. Further research is needed to rule out the
607 influence of numerical modeling choices (e.g., selection and calibration of soil constitutive
608 models) on this conclusion, although past research suggests that this is not the case (e.g.,
609 Ramirez et al. 2018). Additionally, Kramer and Mitchell (2006) identified *CAV*₅ of the
610 outcropping rock motion as an efficient, sufficient, and predictable IM for evaluating the
611 liquefaction hazard in the free-field, thereby setting a precedent for using outcropping rock
612 evolutionary IMs for predicting liquefaction and its consequences. For forward analysis, *CSR*
613 may be somewhat impractical because it is often calculated from the *PGA* at the surface, which
614 is not easily predictable in the presence of liquefiable sands, unless one ignores the generation
615 of pore pressures and liquefaction through equivalent-linear analyses (as is commonly done in
616 practice). Outcropping rock IMs are easily predictable for forward analysis (e.g., Bullock et al.
617 2017), but must typically also be estimated using GMMs for analysis of past scenarios. This
618 limitation of outcropping rock IMs can be overcome by using the GMM's median prediction
619 or by treating the IM value as a random variable with median and standard deviation provided
620 by the GMM (e.g., Bullock et al. 2018a).

621 Karimi and Dashti (2017) and Dashti and Karimi (2017) likewise showed that
622 cumulative absolute velocity (*CAV*) at the base of the soil column was the optimum IM for
623 predicting settlement. This study corroborates that earlier finding using a larger database
624 including both numerical and experimental results and with a larger variety of candidate IMs
625 and IM locations. However, this study also identifies potential vector IMs for predicting
626 settlement and extends this analysis to the prediction of residual tilt. The previous studies
627 identified peak ground velocity (*PGV*) as the best predictor of rocking drift. This study also

628 identifies *PGV* as a useful IM for this purpose, but shows that peak incremental ground velocity
629 (V_{gi}) – which was not previously considered – may perform better, and that either IM may be
630 improved through combination with *CAV*. Further, this study confirms that outcropping rock
631 IMs and within-rock IMs are nearly equivalent in their performance for the particular problem
632 of interest, validating the use of outcropping rock IMs in the determination of hazard levels
633 and selection of ground motions as inputs to analyses of liquefaction consequences on
634 structures (e.g., Kramer and Mitchell 2006; Karimi et al. 2018). This finding has immediate
635 utility for practitioners and researchers working to assess liquefaction consequences.

636 The main implications of this study for future development of models for predicting the
637 consequences of liquefaction on shallow foundations are threefold: (1) models must clearly
638 and carefully select a definition of “motion,” because the efficiency, sufficiency, and
639 predictability of IMs is very sensitive to this definition; (2) models using vector IMs should
640 consider the additional uncertainty added due to correlation among IMs, which may counteract
641 any benefits to efficiency and sufficiency; and (3) models using surficial IMs should consider
642 how users will calculate those IMs, as well as whether those IMs fail to capture any effects of
643 the total seismic excitation on the soil column. Bullock et al. (2018a) used outcropping rock
644 *CAV* as the IM in a predictive model for foundation settlement on the basis of efficiency,
645 sufficiency, and predictability, and Bullock et al. (2019) used outcropping rock *CAV* and V_{gi}
646 as the IMs in a predictive model for foundation residual tilt. The latter selected IMs using cross
647 validation, but the selections align with the findings of this study.

648 This study presents the most comprehensive analysis of the performance of various IMs
649 for predicting foundation settlement and residual tilt on liquefiable sites to date. It identifies
650 the optimum IMs for predicting both of these consequences given the current availability of
651 ground motion models. The results highlight the importance of considering both predictive
652 performance (efficiency and sufficiency) and predictability in IM selection when developing
653 probabilistic models for the consequences of liquefaction on mat-founded structures. These
654 findings are applicable only to structures on stiff mat foundations, and their applicability to
655 other shallow foundation systems (e.g., isolated spread or strip foundations) is unknown.

656

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Table 1. Summary of the centrifuge experimental database.

Reference	Number of data points
Allmond and Kutter (2012, 2013)	74
Dashti et al. (2010a,b)	18
Olarte et al. (2017)	10
Paramasivam et al. (2017)	3

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Table 2. Intensity measures considered in this study.

Type	IM	Equation	Reference
PT ^{a)}	<i>PGA</i>	$PGA = \max(a(t))$	-
PT	<i>PGV</i>	$PGV = \max\left(\left \int_0^t a(t) dt\right \right)$	-
PT	<i>V_{gi}</i>	$V_{gi} = \max_i \left(\int_{t_{i1}}^{t_{i2}} a(t) dt\right)$	Jampole et al. 2016
PT	$S_a(1.0)$	-	-
PT	$S_a(T_{st})$	-	-
PT	$S_a(T_{so})$	-	-
PT	$S_a(1.5T_{so})$	-	-
PT	$S_a(2T_{so})$	-	-
PT	$S_{a,avg}(0.2T_{st}, 3T_{st})$	$S_{a,avg}(0.2T_{st}, 3T_{st}) = \left(\prod_{i=1}^N S_a(T = T_i)\right)^{1/N}$	Eads et al. 2015
PT	$S_{a,avg}(0.2T_{so}, 1.5T_{so})$	$S_{a,avg}(0.2T_{so}, 1.5T_{so}) = \left(\prod_{i=1}^N S_a(T = T_i)\right)^{1/N}$	-
PT	$S_{a,avg}(0.2T_{so}, 2T_{so})$	$S_{a,avg}(0.2T_{so}, 2T_{so}) = \left(\prod_{i=1}^N S_a(T = T_i)\right)^{1/N}$	-
EV ^{b)}	<i>CAV</i>	$CAV = \int_0^{t_d} a(t) dt$	EPRI 1998
EV	<i>CAV₅</i>	$CAV_5 = \int_0^{t_d} \chi(a(t)) a(t) dt$ ^{b)}	Kramer and Mitchell 2006
EV	<i>CAV_{STD}</i>	$CAV_{STD} = \sum_{i=1}^{t_d} \left(H(PGA_i - 0.025) \int_{i-1}^i a(t) dt\right)$ ^{b)}	EPRI 2006
EV	<i>CAV_{DP}</i>	-	Campbell and Bozorgnia 2011
EV	<i>AI</i>	$AI = \frac{\pi}{2g} \int_0^{t_d} a(t)^2 dt$	Arias 1970
DR ^{c)}	D_{5-75}	-	Bommer and Martinez-Pereira 1999
DR	D_{5-95}	-	Bommer and Martinez-Pereira 1999
DR	<i>SIR₇₅</i>	$SIR_{75} = \frac{0.7AI}{D_{5-75}}$	Dashti et al. 2010a
DR	<i>SIR₉₅</i>	$SIR_{95} = \frac{0.9AI}{D_{5-75}}$	Dashti et al. 2010a

864 a) Peak transient; b) Evolutionary; c) Duration-related

865 b) $\chi(\cdot)$: a filter that is zero when the argument is below 5 cm/s²; $H(\cdot)$: the Heaviside step function.

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Table 3. Comprehensive efficiency ($E_{S,C}$) and sufficiency with respect to magnitude and distance-to-rupture ($S_{S,M,C}$ and $S_{S,R,C}$) of selected pairs of outcropping rock IMs, as compared to the values for each individual IM, for predicting settlement. The columns for either “ IM_1 ” or “ IM_2 ” report values calculated using only that IM, while the columns for “ IM_1 and IM_2 ” use both IMs.

IM_1	IM_2	$E_{S,C}$			$S_{S,M,C}$			$S_{S,R,C}$		
		IM_1	IM_2	IM_1 and IM_2	IM_1	IM_2	IM_1 and IM_2	IM_1	IM_2	IM_1 and IM_2
CAV	PGA	0.68	0.81	0.68	0.00	0.31	0.02	0.11	0.03	0.01
CAV	V_{gi}	0.68	0.76	0.66	0.00	0.24	0.03	0.11	0.11	0.02
CAV	$S_a(1.0)$	0.68	0.78	0.66	0.00	0.23	0.02	0.11	0.09	0.01
CAV	$S_{a,avg}(0.2T_{so}, 2T_{so})$	0.68	0.77	0.66	0.00	0.28	0.04	0.11	0.08	0.04
D_{5-75}	PGA	0.90	0.81	0.72	0.27	0.31	0.06	0.33	0.03	0.06
D_{5-75}	V_{gi}	0.90	0.76	0.70	0.27	0.24	0.06	0.33	0.11	0.02
D_{5-75}	$S_a(1.0)$	0.90	0.78	0.75	0.27	0.23	0.11	0.33	0.09	0.06
D_{5-75}	$S_{a,avg}(0.2T_{so}, 2T_{so})$	0.90	0.77	0.69	0.27	0.28	0.06	0.33	0.08	0.04

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874 **Table 4.** Comprehensive efficiency for all IMs at all locations for predicting foundation settlement
875 ($E_{S,C}$) and residual tilt ($E_{\theta,C}$) for the centrifuge test results. All IMs for the outcropping rock, far-field
876 surface, and transverse foundation accelerations are calculated based on recorded horizontal
877 accelerations, while the IMs for the rotational foundation acceleration are calculated based on
878 recorded rotational accelerations around the foundation centroid.

<i>IM</i>	Outcropping rock		Far-field		Foundation (transverse)		Foundation (rotational)	
	$E_{S,C}$	$E_{\theta,C}$	$E_{S,C}$	$E_{\theta,C}$	$E_{S,C}$	$E_{\theta,C}$	$E_{S,C}$	$E_{\theta,C}$
<i>CAV</i>	0.57	0.97	0.80	1.22	0.64	1.10	0.73	1.19
<i>CAV₅</i>	0.52	0.96	0.76	1.14	0.64	1.11	-	-
<i>CAV_{STD}</i>	0.53	0.97	0.80	1.17	0.65	1.11	-	-
<i>CAV_{DP}</i>	0.50	0.96	0.68	1.19	0.68	1.10	-	-
<i>AI</i>	0.45	0.95	0.80	1.21	0.65	1.11	-	-
<i>P_{GA}</i>	0.46	0.95	0.78	1.15	0.58	1.07	0.73	1.13
<i>P_{GV}</i>	0.79	1.15	0.81	1.22	0.70	1.13	0.80	1.23
<i>V_{gi}</i>	0.57	1.02	0.80	1.22	0.70	1.17	0.72	1.16
<i>S_a(1.0)</i>	0.50	0.98	0.81	1.20	0.68	1.09	0.80	1.18
<i>S_a(T_{st})</i>	0.56	1.05	0.79	1.17	0.66	1.03	0.77	1.16
<i>S_a(T_{so})</i>	0.45	0.97	0.79	1.17	0.68	1.07	0.67	1.05
<i>S_a(1.5T_{so})</i>	0.52	1.03	0.79	1.18	0.65	1.05	0.67	0.99
<i>S_a(2T_{so})</i>	0.50	1.01	0.80	1.19	0.69	1.14	0.77	1.13
<i>S_{a,avg}(0.2T_{st}, 3T_{st})</i>	0.61	1.08	0.78	1.17	0.62	1.04	0.67	1.00
<i>S_{a,avg}(0.2T_{so}, 1.5T_{so})</i>	0.44	0.98	0.79	1.16	0.63	1.05	0.66	1.05
<i>S_{a,avg}(0.2T_{so}, 2T_{so})</i>	0.45	0.98	0.79	1.17	0.64	1.07	0.68	1.06
<i>D₅₋₇₅</i>	0.83	1.22	0.82	1.20	0.82	1.20	-	-
<i>D₅₋₉₅</i>	0.80	1.22	0.82	1.20	0.81	1.21	-	-
<i>SIR₇₅</i>	0.46	0.98	0.80	1.20	0.70	1.16	-	-
<i>SIR₉₅</i>	0.52	1.02	0.80	1.20	0.73	1.17	-	-

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882 **Table 5.** Comprehensive efficiency for pairs of transverse and rotational foundation motion IMs for
 883 predicting foundation settlement and residual tilt for the centrifuge test results. The columns for either
 884 “ IM_1 ” or “ IM_2 ” report values calculated using only that IM (i.e., only a transverse or a rotational IM),
 885 while the columns for “ IM_1 and IM_2 ” use both IMs.

Transverse IM (IM_1)	Rotational IM (IM_2)	$E_{S,c}$			$E_{\theta,c}$		
		IM_1	IM_2	IM_1 and IM_2	IM_1	IM_2	IM_1 and IM_2
<i>CAV</i>	<i>CAV</i>	0.64	0.73	0.63	1.10	1.19	0.86
<i>CAV</i>	<i>PGA</i>	0.64	0.73	0.63	1.10	1.13	0.92
<i>V_{gi}</i>	<i>CAV</i>	0.70	0.73	0.58	1.17	1.19	0.95
<i>V_{gi}</i>	<i>PGA</i>	0.70	0.73	0.61	1.17	1.13	0.94
<i>PGA</i>	<i>CAV</i>	0.58	0.73	0.60	1.07	1.19	1.05

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Table 6. Model availability and prediction uncertainty for IMs which can be predicted directly by GMMs.

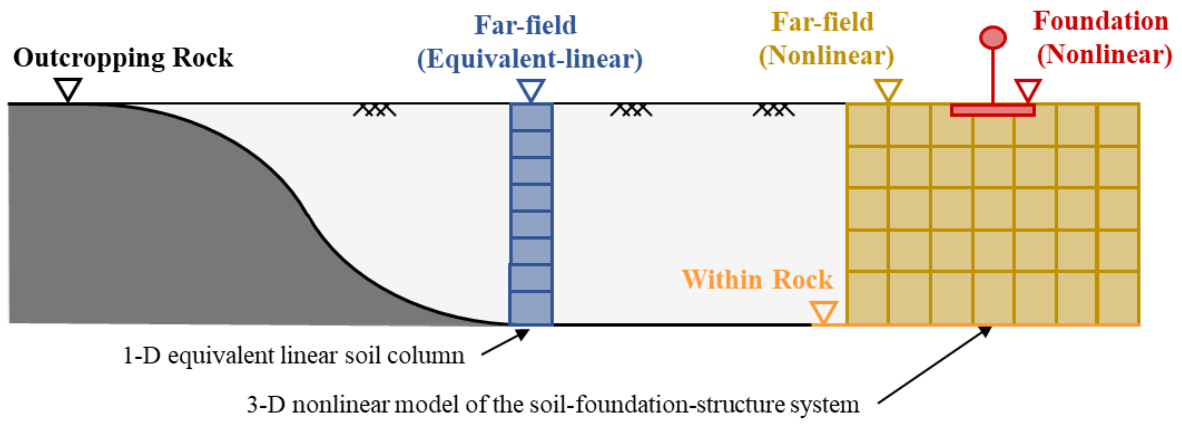
IM	Models	Tectonic environments	Prediction uncertainty (σ_p)
<i>CAV</i>	Danciu and Tselentis (2007), Campbell and Bozorgnia (2010), Foulser-Piggott and Goda (2015), Bullock et al. (2017)	C ¹ , S ² , I ³	0.4 to 0.7
<i>CAV₅</i>	Kramer and Mitchell (2006), Danciu and Tselentis (2007), Bullock et al. (2017)	C, S, I	0.7 to 0.9
<i>CAV_{STD}</i>	Bullock et al. (2017)	C, S, I	0.5 to 0.7
<i>CAV_{STD}</i>	Campbell and Bozorgnia (2011)	C	0.6
<i>AI</i>	Travasarou et al. (2003), Danciu and Tselentis (2007), Stafford et al. (2009), Foulser-Piggott and Goda (2015), Bullock et al. (2017)	C, S, I	1.0 to 1.4
<i>PGA, S_a(T)</i>	Atkinson and Boore (2003), Boore et al. (2014), Abrahamson et al. (2013), Campbell and Bozorgnia (2014), Chiou and Youngs (2014), Darragh et al. (2015)	C, S, I	0.3 to 0.8
<i>PGV</i>	Atkinson and Boore (2003), Danciu and Tselentis (2007), Abrahamson et al. (2013), Boore et al. (2014), Campbell and Bozorgnia (2014), Chiou and Youngs (2014), Darragh et al. (2015)	C, S, I	0.5 to 0.8
<i>V_{gi}</i>	Bullock et al. (2017)	C, S, I	0.5 to 0.7
<i>D₅₋₇₅, D₅₋₉₅</i>	Kempton and Stewart (2006), Bommer et al. (2009), Afshari and Stewart (2016)	C	0.3 to 0.8

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¹Shallow crustal; ²Subduction; ³Intraplate

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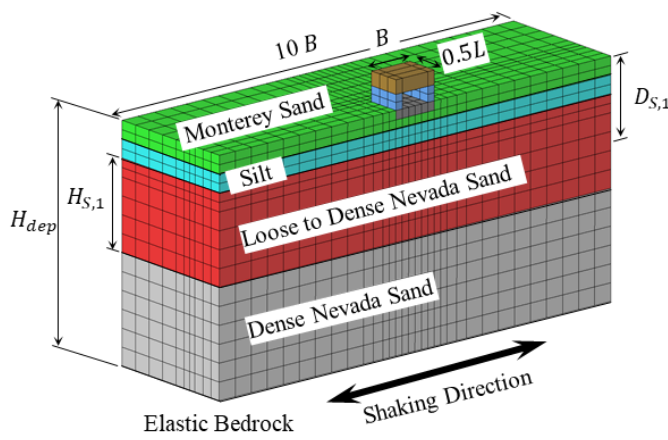
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Figure 1. Schematic view of the locations considered when defining the motion.

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Parameter	Range
Relative density	30% to 85%
Thickness of susc. Layer, $H_{S,1}$	1m to 20m
Depth to middle of susc. layer, $D_{S,1}$	0m to 10m
Number of susc. layers	1 to 3
Low permeability cap	Present or absent
Deposit depth, H_{Dep}	12m to 80m
Bearing pressure	39kPa to 220kPa
Foundation embedment depth	1m to 5m
Foundation width, B	4.5m to 15m
Foundation L/B ratio	1.0 to 10.0
Structure H/B ratio	0.3 to 2.3
Structure height	2.6m to 13.7m
Structure mass	5 tons to 2,472 tons
Structure period	0.25s to 2.0s
Bedrock shear wave velocity	760m/s to 2000m/s

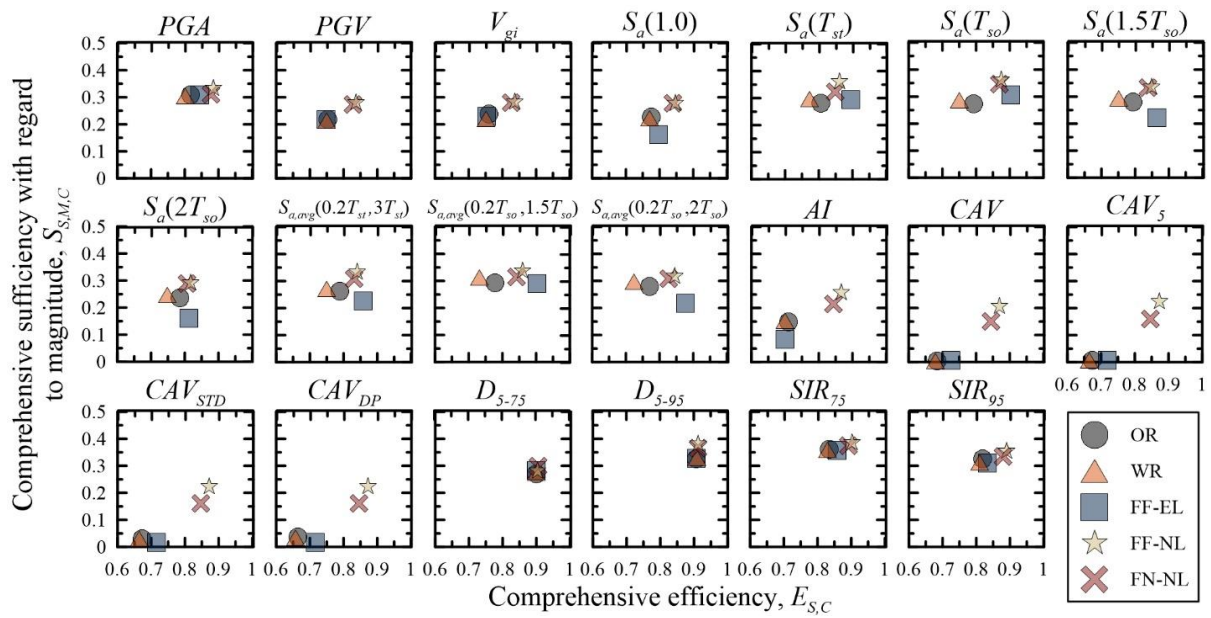
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Figure 2. Schematic of numerical model (Karimi et al. 2018) and summary table of parameters that were varied in numerical dataset used here.



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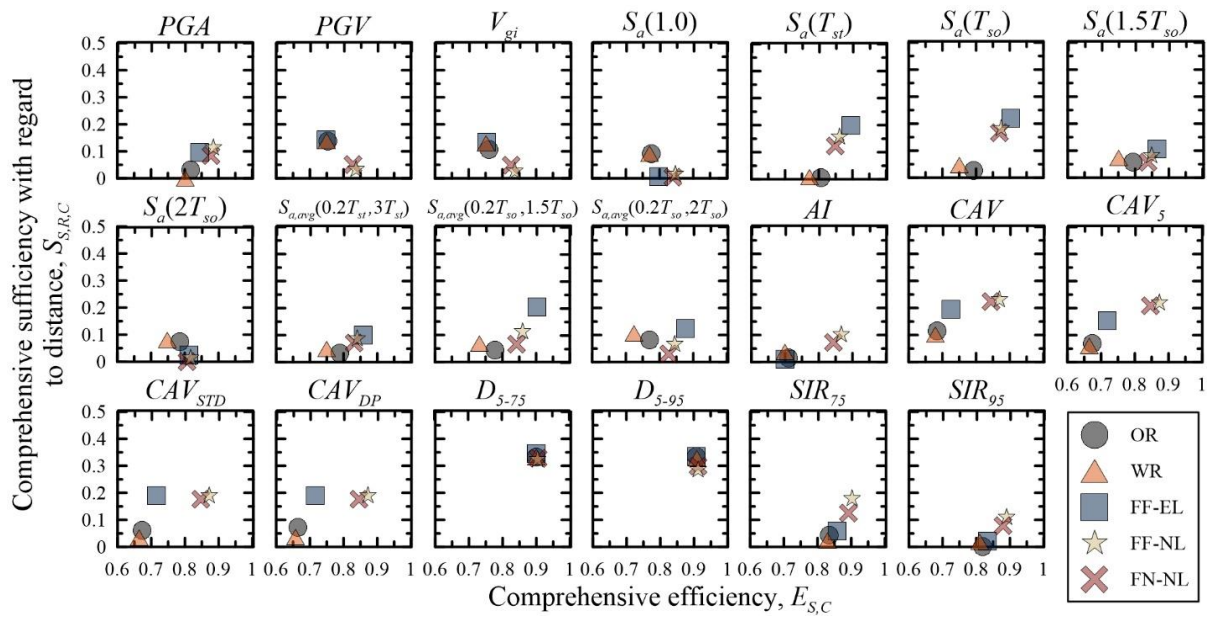
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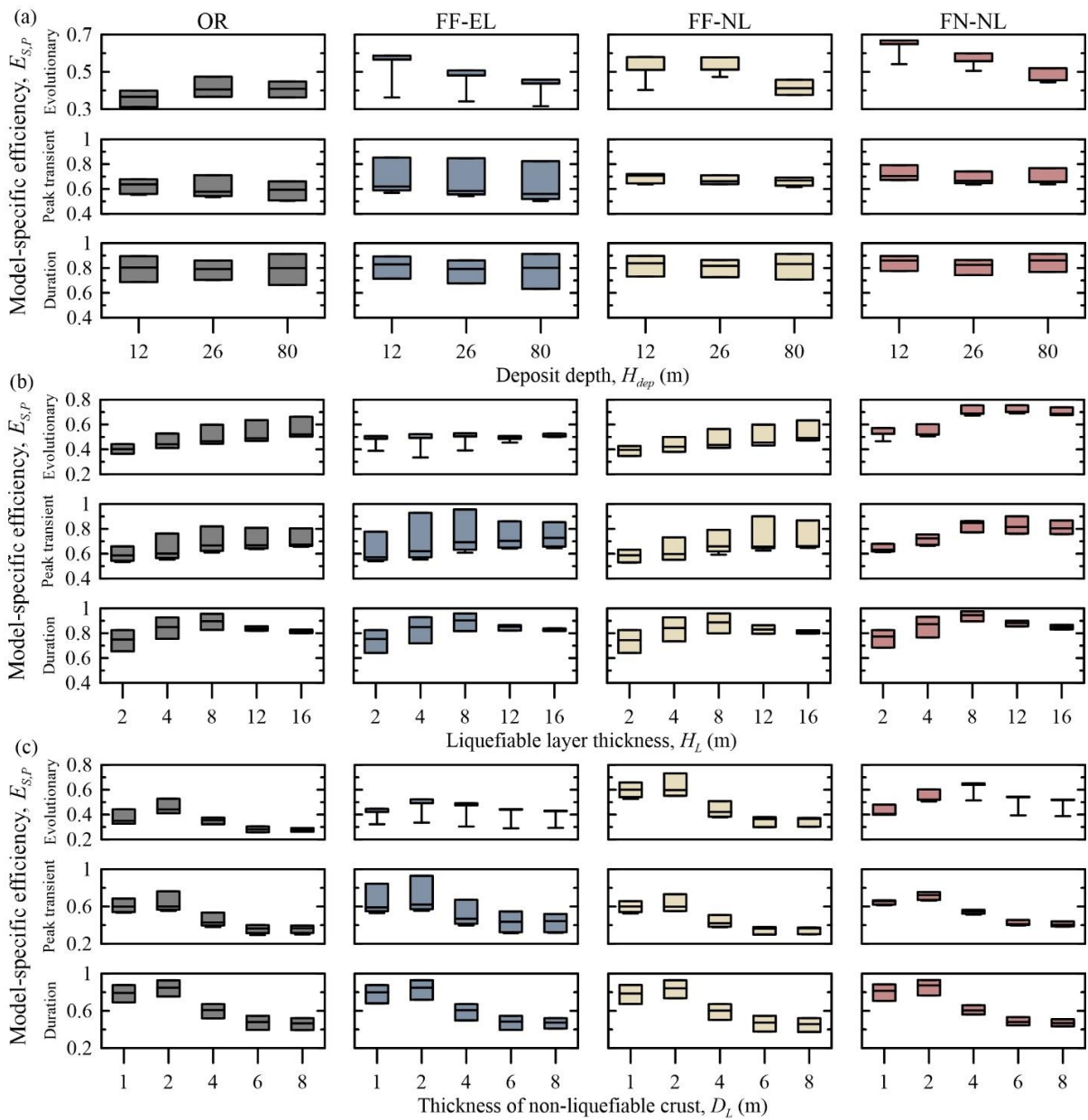
Figure 3. Comprehensive efficiency and sufficiency with regard to magnitude for all IMs for predicting foundation settlement, based on the numerical database. IMs at all locations are included: outcropping rock (OR), within-rock (WR), far-field calculated using equivalent-linear analyses (FF-EL), far-field calculated using nonlinear analyses (FF-NL), and foundation (FN-NL). Different shapes are used for peak transient, evolutionary, and duration-related IMs; different colors reflect different locations.



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911 **Figure 4.** Comprehensive efficiency and sufficiency with regard to distance for all IMs for predicting
 912 foundation settlement, based on the numerical database. IMs at all locations are included: outcropping
 913 rock (OR), within-rock (WR), far-field calculated using equivalent-linear analyses (FF-EL), far-field
 914 calculated using nonlinear analyses (FF-NL), and foundation (FN-NL). Different shapes are used for
 915 peak transient, evolutionary, and duration-related IMs; different colors reflect different locations.
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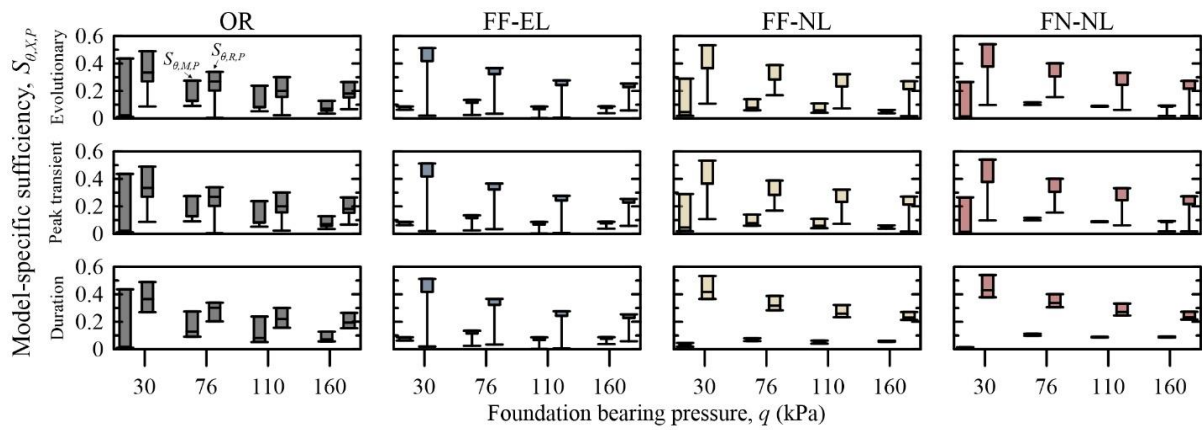
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Figure 5. Parametric efficiency as a function of deposit depth, liquefiable layer thickness, and non-liquefiable crust thickness for all IMs for predicting foundation settlement, based on the numerical database. IMs at select locations are included: outcropping rock (OR), far-field calculated using equivalent-linear analyses (FF-EL), far-field calculated using nonlinear analyses (FF-NL), and foundation (FN-NL).



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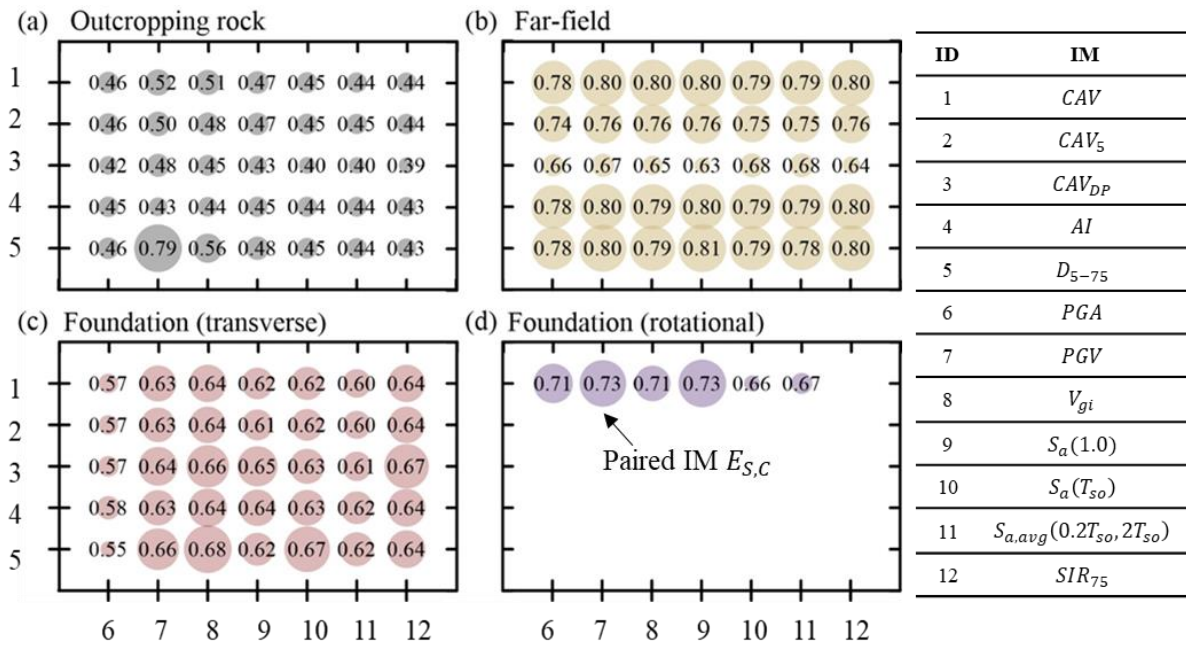
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Figure 6. Parametric sufficiency with regard to both magnitude (left) and distance (right) as a function of bearing pressure for all IMs at select locations for predicting residual tilt, based on the numerical database. IMs at select locations are included: outcropping rock (OR), far-field calculated using equivalent-linear analyses (FF-EL), far-field calculated using nonlinear analyses (FF-NL), and foundation (FN-NL).



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Figure 7. Comprehensive efficiency for select paired IMs at all locations for predicting foundation settlement based on the centrifuge test results.