The Seismic Assessment of Existing Buildings

Technical Guidelines for Engineering Assessments

Draft for Sector Briefings June 2016

Part C1: General Issues

New Zealand Society for Earthquake Engineering

Document Status and Amendments

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This document is likely to be incorporated by reference to the Earthquake Prone Buildings (Chief Executive's) Methodology to be developed under the provisions of the Building (Earthquake-prone Buildings) Amendment Act. It will also be endorsed by MBIE for use as guidance under section 175 of the Building Act to the extent that it assists practitioners and territorial authorities in complying with the Building Act.

Document Access

This document may be downloaded from www.EQ-Assess.org.nz in the following file segments:

1 Contents

2 Part A – Assessment Objectives and Principles

3 Part B – Initial Seismic Assessment

4 Part C – Detailed Seismic Assessment

Updates will be notified on the above website.

The document will be formally released in early 2017, when the final form of the regulations and EPB Methodology associated with the Building (Earthquake-prone Buildings) Amendment Act 2016 is established.

Document Management and Key Contact

This document is managed jointly by the Ministry of Business, Innovation and Employment, the Earthquake Commission, the New Zealand Society for Earthquake Engineering, the Structural Engineering Society and the New Zealand Geotechnical Society.

Please contact the New Zealand Society for Earthquake Engineering via questions@EQ-Assess.org.nz if you require further information on these draft Guidelines, or if you wish to provide feedback.

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These Guidelines were prepared during the period 2014 to 2016 with extensive technical input from the following members of the Project Technical Group:

Project Technical Group Chair	
Rob Jury	Beca
Task Group Leaders	
Jitendra Bothara	Miyamoto International
Adane Gebreyohaness	Beca
Nick Harwood	Eliot Sinclair
Weng Yuen Kam	Beca
Dave McGuigan	MBIE
Stuart Oliver	Holmes Consulting Group
Stefano Pampanin	University of Canterbury

Other Contributors	
Graeme Beattie	BRANZ
Alastair Cattanach	Dunning Thornton Consultants
Phil Clayton	Beca
Charles Clifton	University of Auckland
John Hare	Holmes Consulting Group
Jason Ingham	University of Auckland
Stuart Palmer	Tonkin & Taylor
Lou Robinson	Hadley & Robinson
Craig Stevenson	Aurecon

Project Management was provided by Deane McNulty, and editorial support provided by Ann Cunninghame and Sandy Cole.

Oversight to the development of these Guidelines was provided by a Project Steering Group comprising:

Dave Brunsdon (Chair)	Kestrel Group
Gavin Alexander	NZ Geotechnical Society
Stephen Cody	Wellington City Council
Jeff Farrell	Whakatane District Council
John Gardiner	MBIE

John Hare	SESOC
Quincy Ma	NZSEE
Richard Smith	EQC
Mike Stannard	MBIE
Frances Sullivan	Local Government NZ

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Contents

C1. General Issues

C1.1 Introduction

C1.1.1 Overview of Detailed Seismic Assessments

Part C sets out a methodology for engineers to conduct a detailed seismic assessment (DSA) to assess the structural load paths of the building, the capacities of the structural elements, the likely inelastic mechanisms, the global building response to earthquake shaking and the seismic rating for the building.

Alert:

Please refer to Part A for the basis behind the approaches adopted for the DSA and the seismic assessment process in general.

Familiarity with the underlying principles in Part A is considered essential for those completing seismic assessments in accordance with these guidelines. These principles are applicable to all DSAs irrespective of analysis methods or material type.

The detailed procedures for assessment given in Part C are intended to provide a more reliable and consistent outcome than is available from the ISA (described in Part B).

The focus of the DSA is to achieve an understanding of the likely behaviour of the building in earthquakes by quantifying the strength and deformation capacities of the various structural elements and by checking the building's structural integrity under imposed earthquake actions and displacements. The overall assessment process requires a significant departure in mindset when compared to the process used for a conventional new building design, in which a prescriptive "deemed-to-comply" approach is generally adopted. Although the procedures presented for the DSA are focused on quantifying the building capacity, the whole approach is necessarily still reliant on the judgement that can be applied by the assessor.

Alert:

It is highly recommended that assessors develop a qualitative view of the building behaviour as a first step to a DSA. While achieving this by carrying out an ISA before the DSA is not a prerequisite, it is strongly encouraged.

The value of conducting an ISA in this context is not necessarily the seismic rating that it delivers but the opportunity to gain an holistic view of the building's potential structural weaknesses.

As is the case for the ISA, the DSA can be completed to various levels of detail depending on the circumstances and the level of reliability required. The onus is on the assessing engineer to understand the level of reliability available from the chosen assessment approach and to be able to articulate this to the end user of the DSA.

Dealing with existing buildings involves a wide range of structural types, materials and details. As the procedures presented in these guidelines focus on the most common situations and elements they will not cover every aspect the assessing engineer is likely to encounter. The intention is that an experienced earthquake engineer will be able to adapt and extend the guidance to best match the particular situation.

Situations will also vary from small simple buildings to large complex ones. The approach to determine demand and capacity will be up to the assessing engineer. The intention of these guidelines is to help the engineer to adopt the simplest available approach consistent with the circumstances and still achieve a consistent assessment outcome.

Communicating the results of a DSA to end users in an appropriate and consistent manner is considered a crucial aspect of the assessment process warranting particular attention by the assessing engineer.

C1.1.2 Definitions

Catastrophic collapse	Complete collapse of one or more storeys in a building
Critical structural weakness (CSW)	The lowest scoring structural weakness determined from a DSA. For an ISA all structural weaknesses are considered to be *potential* CSWs.
Detailed Seismic Assessment (DSA)	A seismic assessment carried out in accordance with Part C of these guidelines
Earthquake-Prone Building (EPB)	A legally defined category which describes a building that that has been assessed as likely to have its ultimate capacity (which is defined in Regulations) exceeded in moderate earthquake shaking. In the context of these guidelines it is a building with a seismic rating of less than 34*%NBS* (1/3 new building standard).
Earthquake Risk Building (ERB)	A building achieving a less than acceptable level of risk as assessed by these guidelines. In the context of these guidelines it is a building with a seismic rating of less than 67*%NBS* (2/3 new building standard).
Importance Level (IL)	Categorisation defined in the New Zealand Loadings Standard, NZS 1170.5:2004 used to define the ULS shaking for a new building based on the consequences of failure. A critical aspect in determining new building standard.
Initial Seismic Assessment (ISA)	Refer to Part B of these guidelines
Maximum Considered Earthquake (MCE)	Sometimes referred to as the Maximum Credible Earthquake. Often used to define the maximum level of shaking that needs to be considered in a design or assessment process.
Moderate earthquake (shaking)	This is earthquake shaking at the site of the building that is of the same duration, but one third as strong, as the earthquake shaking (determined by normal measures of acceleration, velocity and displacement) that would be used to design a new building at the site
Nonlinear time history analysis (NLTHA)	An analysis of the building using strong motion earthquake records and modelling the nonlinear behaviour of the structure
Non-structural item	An item within the building that is not considered to be part of either the primary or secondary structure. Non-structural items such as individual window glazing, ceilings, general building services and building contents are not typically included in the assessment of the building's seismic rating.
(Performance) step change	A significant change in seismic performance with increasing earthquake shaking levels typically associated with collapse of a building rather than just an increase in damage to its members/elements. Can be in the structure and/or the foundations/foundation soils.

Primary gravity structure	Portion of the main building structural system identified as carrying the gravity loads through to the ground. Also required to carry vertical earthquake induced accelerations through to the ground. May also incorporate the primary lateral structure.
Primary lateral structure	Portion of the main building structural system identified as carrying the lateral seismic loads through to the ground. May also be the primary gravity structure.
Probable capacity	The expected or estimated mean capacity (strength and deformation) of a member, an element, a structure as a whole, or foundation soils. For structural aspects this is determined using probable material strengths.
Probable material strength	The expected or estimated mean material strength
Secondary structure	Portion of the structure that is not part of either the primary lateral or primary gravity structure but, nevertheless, is required to transfer inertial and vertical loads for which assessment/design by a structural engineer would be expected. Includes precast panels, curtain wall framing systems, stairs and supports to significant building services items.
Seismic rating	The rating given to a building as a whole to indicate the seismic standard achieved in regard to human life safety compared with the minimum seismic standard required of a similar new building on the same site. Expressed in terms of percentage of new building standard achieved (*%NBS*). Also see seismic score.
Seismic score	The score given to an individual aspect of the building (member/element/non-structural element/foundation soils) to indicate the seismic standard achieved in regard to human life safety compared with the minimum seismic standard required for the same aspect in a similar new building on the same site. Expressed in terms of percentage of new building standard achieved (*%NBS*). The aspect with the lowest seismic score is the CSW and this score will represent the seismic rating for the building.
Serviceability limit state (SLS)	As defined in the New Zealand loadings standard NZS 1170.5:2004
Severe structural weakness (SSW)	A defined structural weakness that is potentially associated with catastrophic collapse and for which the capacity may not be reliably assessed based on current knowledge. For an ISA *potential* SSWs are expected to be noted when identified.
Significant life safety hazard	A hazard resulting from the failure of a member/element of the primary or secondary structure or of the supporting ground that would lead directly to collapse of the building as a whole or to a part of it and that could reasonably affect a number of people
Structural element	Combinations of structural members that can be considered to work together; e.g. the piers and spandrels in a penetrated wall, or beams and columns in a moment resisting frame
Structural member	Individual items of a building structure; e.g. beams, columns, beam/column joints, walls, spandrels, piers
(Structural) resilience	Ability of the building as a whole to perform acceptably from a structural and geotechnical point of view at levels of earthquake shaking greater than 100%ULS demands. Includes potential impact of the supporting soils on the performance of the building structure.
Structural system	Combinations of structural elements that form a recognisable means of lateral or gravity load support; e.g. moment resisting frame, frame/wall. Also used to describe the way in which support/restraint is provided by the foundation soils.
Structural weakness (SW)	An aspect of the building structure and/or the foundation soils that scores less than 100*%NBS.* Note that an aspect of the building structure scoring less than 100*%NBS* but greater than or equal to 67*%NBS* is still considered to be a SW even though it is considered to represent an acceptable risk.

Ultimate capacity (seismic)	The probable (expected) seismic capacity for the building A term defined in Regulations that describes the limiting seismic capacity of a building, or part of a building, for it to be determined to be an earthquake-prone building. Based on probable (expected) material strengths.
Ultimate limit state (ULS)	A limit state defined in the New Zealand loadings standard NZS 1170.5:2004 for the design of new buildings
%NBS	Percentage of new building standard as calculated by application of these guidelines
XXX*%NBS*	Seismic rating for a building as a whole is expressed as XXX percent of new building standard achieved. Intended to reflect the degree to which a building is expected to perform in earthquake shaking from a life safety perspective, compared with the minimum performance prescribed for a new building in Clause B1 of the New Zealand Building Code. Seismic score for an individual member/element/system/foundation/supporting soil is expressed as XXX percent of new building standard achieved. Intended to reflect the degree to which the individual member/element/system/foundation/supporting soil is expected to perform in earthquake shaking from a life safety perspective, compared with the minimum performance prescribed for the element or component in clause B1 of the New Zealand Building Code. In general, the seismic rating for the building should not be greater than the seismic score for the lowest scoring element or component.
XXX%ULS demand	Percentage of the ULS demand (loading or displacement) defined for the ULS design of a building. For the structure this is defined in NZS 1170.5:2004 for general assessments For assessment of earthquake proneness in accordance with legislative requirements the demand is defined in NZS 1170.5:2004 (including amendment X).. For the foundation soils the demand is defined in Module 1 of the Geotechnical Earthquake Engineering Practice series dated March 2016 with appropriate adjustments when considering whether or not the building is earthquake prone. Refer also Section C3.
XXX%ULS shaking	Percentage of the ULS earthquake shaking implied for the ULS design of a new building in accordance with NZS 1170.5:2004. Typically referenced as the XXX percentage of the intensity of shaking (duration unchanged) with a return period as defined in NZS 1170.5:2004 for the ULS.

C1.2 Outline of Part C

Section C1 – Error! Not a valid bookmark self-reference.

Section C1 (this section) provides an overview to the DSA process. It explains the objectives and sets out key steps for an assessment at this level, including specific guidance on the calculation of *%NBS* in the context of a DSA.

This section also covers the use of alternative assessment procedures, categorisation of assessments based on the influence of geotechnical aspects, the approach to building inspection and investigation, and reporting of DSA results. A recommended report template is included as Appendix C1A.

Section C2 – Assessment Procedures and Analysis Techniques

Section C2 sets out the detailed seismic assessment procedures proposed by these guidelines.

The section specifies general analysis requirements including basic assumptions, selection of seismic analysis procedures, requirements and limitations for the types of analysis procedure, and specific considerations of CSWs. The procedures presented include a first principles, mechanism-based method based on either a force based or displacement based approach.

Alert:

It is expected that the assessor will use Section C2 in conjunction with the relevant specific provision chapters (Section C5 to C10) as the detailed assessment progresses.

Section C3 – Earthquake Demands

Section C3 explains how to determine the earthquake hazard and loading requirements used to assess the ULS demand that relates the building capacity to the standard required for a new building.

This section relates the guideline to the appropriate version of the New Zealand loadings standard NZS 1170.5:2004 depending on the purpose of the assessment and provides guidance on the derivation of spectral displacement demand and the acceleration-displacement response spectra (ADRS). It also covers the determination of earthquake demand (e.g. peak ground acceleration, number of cycles, representative (effective) magnitude) for geotechnical considerations.

Section C4 – Geotechnical Considerations

Section C4 provides guidance for considering geotechnical behaviour and its impact on the seismic behaviour and seismic rating of existing buildings. This section includes guidance on the recommended interactions between structural engineers and geotechnical engineers and their particular roles and responsibilities. It also explains the identification and assessment of geohazards, selection of geotechnical parameters, and the consideration of soil-structure interaction (SSI) and foundation systems.

Alert:

As all structural assessments are expected to include consideration of the influence the ground can have on structural performance, structural engineers assessing buildings for a DSA are expected to be familiar with the information in this section.

Sections C5 to C9 – Recommendations for specific materials

These sections include provisions for various common construction materials (concrete, structural steel, moment resisting frames with infill panels, unreinforced masonry (URM) and timber). They include specific recommendations for buildings generically constructed of the specific material as well as guidance on establishing capacities for structural elements and components made from that material.

It is recognised that existing buildings often comprise elements and components of different construction materials that work together to provide resistance to seismic shaking. Each material section aims to take a consistent approach to establishing element and component capacities to allow the capacities to be integrated, as appropriate, after making due allowance for deformation compatibility issues.

Alert:

The material sections also include information on the observed performance and historical construction practices relating to the particular material. It is recommended that all assessors become familiar with these sections before attempting an assessment. This is because without an holistic view of the expected performance of the particular materials and configurations it will be impossible to apply the considerable judgements that are intended and required by these guidelines.

Section C10 – Secondary Structural Elements and Critical Non-structural Components

Section C10 provides guidance on the assessment of secondary structural elements and critical non-structural components and how these affect the overall seismic rating for the building.

C1.3 Objectives of a Detailed Seismic Assessment

The objectives of the DSA procedure set out in these guidelines are to:

- provide a procedure that allows different engineers/assessors to consistently assess the level of earthquake shaking at which the *ultimate capacity* (seismic) is reached for an existing building
- determine a seismic rating for that building in terms of *%NBS* that is more reliable than the rating available from an ISA
- determine whether or not a building is earthquake prone in accordance with the definition for an earthquake-prone building in the New Zealand Building Act or an earthquake risk building as defined in these guidelines (i.e. <67*%NBS*)
- provide guidance on the likely needs for retrofit.

Note:

Some building owners/occupiers may also be interested in serviceability aspects such as post-earthquake functionality and the ability to occupy the building after an earthquake. While these aspects are not covered specifically by these guidelines they may need to be considered and commented on as part of providing holistic advice.

The approach taken to performing a DSA may vary considerably depending on the circumstances and stated objectives. Many buildings will not require, or justify, the use of lengthy and detailed analyses. For some buildings, effort may even be better spent in completing an appropriate retrofit rather than necessarily understanding fully how the existing building configuration might perform.

Note:

An example of this is a simple building that is obviously earthquake prone and that the building owner has already decided to strengthen seismically. In this case, establishing the *%NBS* of the un-retrofitted building quantitatively may be unnecessary. Instead, the effort may be better spent analysing the building assuming that the intended retrofit has been completed.

For more complicated buildings, proceeding immediately to a strengthening scheme without completing a DSA may be counterproductive unless there is significant prior knowledge of the building. A DSA is likely to be essential in such cases to gain a suitable understanding of the building and to identify any significant issues that need to be addressed.

C1.4 Key Steps

The key steps in the DSA procedure covered by these guidelines are as follows (also refer Figure C1.1).

Note:

The possibility of using alternative assessment procedures is acknowledged but is not the focus of the guidelines; except for ASCE 41-13 and the nonlinear time history analysis (NLTHA) approach (refer Section C1.6 for specific guidance).

Alert:

It should not be assumed that the assessment will always proceed in a linear, step by step process. Iteration should be expected and will generally be required, as indicated in Figure C1.1.

Step 1 Establish the scope of work and assessment objectives

It is important that the scope of work and objectives of the DSA are well understood from the outset by all relevant parties.

In particular, assessors need to be aware of the complexity of the building structure, the likely assessment procedure and analysis techniques to be employed, the level of documentation/drawings available, and the inputs likely to be required from other disciplines (e.g. geotechnical engineers, heritage architects, etc).

Step 2 Information collection, initial review, appraisal of building complexity and input required from a geotechnical engineer

Collect relevant information and documents about the building including drawings, design feature reports, geotechnical data, calculations and specifications, and any historical material test results and inspection reports (if available). An ISA report is a useful starting point. Obtaining this information often involves detailed research of the property files in the relevant Territorial Authority's records, the building designer's archives and building owners' records.

If the building has been previously altered or strengthened collect all available drawings, calculations and specifications for this work.

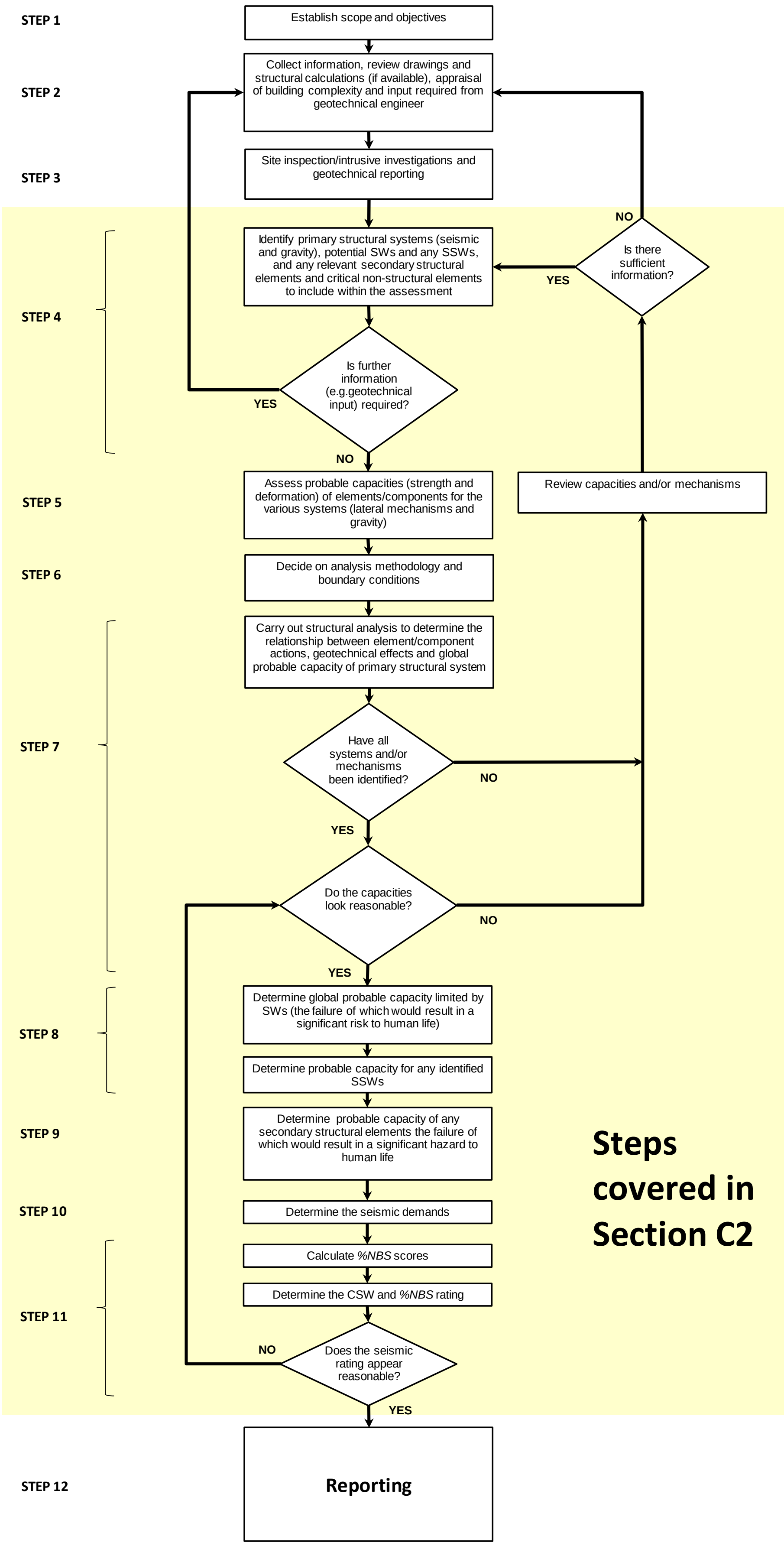

Figure C1.1: Detailed seismic assessment process

Review the available information and structural drawings thoroughly to determine the lateral and gravity load resisting structural systems, potential SWs and fall hazards, and potential "hot spots" for on-site inspection.

If there is no existing ISA conduct an initial appraisal of the building structure's overall complexity following the drawing review. Completing an ISA is considered an excellent way of gaining a high level view of the issues that might exist in the building.

This initial stage of drawing review and appraisal will inform the assessment strategy and on-site inspection, allowing the assessors to concentrate effort on the key elements.

Form an initial view of the extent of geotechnical input required by categorising the assessment approach as one of the following:

- *structurally dominated* (geotechnical parameters required for structural analysis)
- *interactive* (specialist geotechnical input required to evaluate the structural behaviour), or
- *geotechnically dominated* (significant specialist geotechnical input required to determine the behaviour of the ground and/or evaluate the structure behaviour).

Refer Section C1.8 for further guidance on these categories.

Step 3 Site inspection/intrusive investigation and geotechnical considerations

Undertake visual site inspections to confirm the as-constructed structure is as documented in the available structural drawings. Note any deterioration in the condition of the structure that could potentially affect its seismic behaviour; e.g. settlement, cracking, corrosion or decay. Identify any site conditions that could potentially affect the building behaviour.

The lack of structural drawings is often a source of uncertainty and conservatism in a DSA. If specific detailing or material properties are deemed critical to the seismic performance of the building, carry out intrusive investigation to confirm these.

Alert:

While a minimum level of knowledge of the building is required, the cost of undertaking extensive intrusive investigations often cannot be justified by the benefits that the additional knowledge of the building will provide. Refer Section C1.7 for more guidance on building inspection and intrusive investigations.

Decide on the extent of geotechnical investigation and reporting required. Discussion between the geotechnical and structural engineer is likely to be necessary, especially if the interactive or geotechnically dominated categories in Step 2 apply. Refer to Section C4 for guidance on how to approach the geotechnical issues that might be present.

Step 4 Identify primary structural systems, potential structural weaknesses (SWs), severe structural weaknesses (SSWs), and relevant secondary structural and critical non-structural items and review potential effect of geotechnical aspects

Identify the primary structural systems in the building (both lateral and gravity (vertical)) and identify potential SWs and SSWs. For example, a reinforced concrete wall system may have a number of potential mechanisms or SWs such as foundation uplift, in-plane shear mechanisms, flexural mechanism, etc. The identification of potential SWs requires a good understanding of the issues that might be present in buildings of the same generic type. SSWs are discussed further in Section C1.5.4.

Alert:

Typically, this will essentially be a visual process that starts with the determination of likely load paths for both lateral and gravity loads. Note that, particularly for lateral load paths, there may be alternatives that were not considered or relied on by the original designer but are still viable.

Early recognition of SWs and SSWs and their relative criticality and interdependence is likely to reduce assessment costs and focus the assessment effort. Engineering judgement is considered essential when identifying the SWs in complex buildings.

The relative vulnerability of various members/elements and mechanisms needs to be established in terms of strength and in terms of deformation demands. Separate the various members/elements into those that are part of the primary seismic resisting system (primary lateral system), those that are part of the primary gravity load resisting system (primary gravity system), and those that would be considered secondary structural systems. Some components may be categorised as having both a primary seismic resisting function and a primary gravity load resisting function (e.g. moment resisting frames).

Identify any relevant secondary structural and critical non-structural items that should be assessed in calculating the seismic rating of the building.

The potential impact of geotechnical issues on the various members/elements/structure as a whole should be reviewed at this stage.

Decide if further information is required to carry out the assessment and what this is. If necessary, return to Step 2.

Step 5 Assess structural component probable capacities for various mechanisms (e.g. flexural, shear)

Identify the potentially critical structural members or elements within the overall system.

Alert:

Identification of the critical areas is likely to be an iterative process which is continually reviewed as the assessment proceeds.

For the potential critical element, calculate the probable strength and deformation capacities for the various members and failure mechanisms. For example, for reinforced concrete moment resisting frames it would be necessary to calculate the flexural and shear capacities for the beams and columns, joint shear capacity and anchorage/lap-splice capacity if applicable.

Consideration of the various probable capacities within the critical sub-assembly/load path will indicate the probable inelastic mechanism for the element under lateral load. Some simplifying assumptions (e.g. first mode response dominant, contraflexure points, etc) will generally be required.

Calculate the probable seismic capacities (strength and deformation) from the most to least vulnerable members/elements in both the primary lateral and gravity systems in turn. There may be little point in expending effort on refining existing capacities only to find that the capacity is significantly influenced by a more vulnerable item that will require addressing to meet earthquake-prone requirements or the target seismic rating.

Alert:

For members/elements within the primary gravity structure (that is not also part of the primary lateral structure) this will be the capacity relevant to sustaining the lateral deformations imposed by the primary lateral structure.

An element may consist of a number of individual members. For example, the capacity of a penetrated wall (a component) loaded in plane will need to consider the likely behaviour of each of the piers and the spandrel regions (the members) between, above and below the openings respectively. For some elements the capacity will be a function of the capacity of individual members and the way in which these members act together. Therefore, establishing the capacity of an element may require structural analysis of that element to determine the manner in which actions in its members are distributed.

For each member/element assess whether or not exceeding its capacity (which may be more easily conceptualised as failure for these purposes) would lead to a life safety hazard. If it is determined that it will not, that member/element can be neglected in the assessment of the expected seismic performance of the structure.

Alert:

When assessing the capacity of an element/member in relation to its life safety hazard it may be necessary to consider several aspects at increasing levels of loading before the capacity of that element/member can be determined.

Step 6 Decide assessment procedure, analysis methodology and boundary conditions

Decide on an appropriate analysis methodology (e.g. simplified hand calculation, elastic computer model, nonlinear hand calculation, nonlinear static procedure) and establish the boundary conditions (e.g. restraints at foundation level) with reference to Section C2.

Alert:

The completion of the analysis is intended to support the seismic assessment and is not the "goal" in itself.

The assessor must have a good understanding of the building structure and its supporting ground and likely behaviour before undertaking any analysis. As part of the assessment, the assessor can then select the analysis methodology that most appropriately investigates the issues that matter. While simpler analysis may typically be adequate, it follows that the degree of complexity of analysis should be determined by the problem. Overly complex methods have the potential to confuse and provide a false sense of precision: these should be used with care.

For example:

- For simple systems with easily identifiable inelastic mechanisms (e.g. a timber frame structure or URM building in a region of low seismicity) a simple elastic based calculation of the capacity to demand using force based assessment procedures may yield a conservative, but adequate, result. The term "adequate" here refers to the level of refinement and confidence in the results with respect to the objectives of the DSA itself.
- The presence of a non-ductile, gravity only load resisting system that may be susceptible to collapse under significant lateral displacement will require specific consideration.
- When parallel systems of varying ductile capability are present, a displacement based seismic assessment is likely to be more appropriate to address the deformation compatibility issues.
- For complex structural systems a 3D dynamic analysis may be necessary to supplement the simplified nonlinear Simple Lateral Mechanism Analysis (SLaMA) described in Section C2.

The more sophisticated the structural modelling and analysis, the greater the need to verify the model and validate the input data and modelling assumptions. It is highly recommended that advanced structural analysis is cross-checked with simpler first principles based analysis as part of the verification process.

Step 7 Carry out the structural analyses

Structural analyses will be required to establish the relationship between the member/element actions and the global capacity of the building.

This will generally be done by applying a lateral load distribution to the structural model. However, it should be recognised that the aim is to find the maximum ground motion intensity (or lateral load) that can be sustained by the building and not the actions that result from a certain level of lateral load.

Start with simple analyses, progressing to greater sophistication only as necessary. In general, the complexity and extent of the analysis should reflect the complexity of the building.

The analysis will need to recognise that the capacity of members/elements will not be limited to consideration of elastic behaviour. Elastic linear analysis is likely to be the easiest to carry out, but the assessor must recognise that restricting to elastic behaviour will likely lead to a

conservatively low assessment score and/or potentially erroneous distributions of lateral loads between different structural systems.
The analysis will need to consider the likely impacts of plan eccentricities (mass, stiffness and/or strength) and the ability of the diaphragms to resist and distribute the resulting actions.

Cross check any inelastic displacement response results using simple elastic based analyses based on equal energy or equal displacement concepts as appropriate.

Review the validity of any assumed boundary conditions.

Consider the potential impacts of the results of variability in input parameters; particularly with respect to assumptions relating to the supporting soils.

Critically review the analysis against the actual building to confirm that all systems and/or mechanisms have been identified and also to confirm whether the capacities that have been determined appear reasonable. If not, review the assessment to date obtaining further information as required.

Alert:

It is recommended that any elastic analysis (e.g. modal response spectrum analysis) is completed using the full unscaled elastic derived response spectrum demand. The loading can then be scaled back as required to match the available strength and the nonlinear behaviour can be considered separately.

Reducing the loading (demand) by a globally applied ductility factor, as is done for force based design, is not generally recommended for assessment. This is because the criteria that often make this valid for design (e.g. ductility well spread in the structural system and reliably achieved through a strength hierarchy) are not typically present in older buildings.

Step 8 Assess global capacity based on the governing mechanism and capacity of any SSWs

From the structural analyses determine the global seismic capacity of the building. This will be the lateral strength and deformation capacity of the building as a whole determined at the point at which the most critical member/element of the primary structure (lateral and/or gravity) reaches its determined probable capacity.

Notwithstanding that the life safety hazard of the various members/elements/components was reviewed in Step 5, reflect again on whether or not the failure of this identified global capacity is likely to present a significant life safety hazard. If it is determined that it does not, define the residual seismic capacity (or adjust to zero where appropriate) of this member/element and repeat to find the new global capacity. Continue the assessment process until the appropriate capacity is identified. This will provide the probable global capacity score for the building.

It may also be useful to determine the global capacity assuming that successive SWs are addressed (retrofitted). This will provide information on the extent of retrofit that would be required to achieve a target rating for the building as a whole.

Determine the probable capacity of any SSWs.

Review if the assumed mechanisms require amendment: if so, reassess.

Review the impact of any global geotechnical issues.

Step 9 Assess the probable capacity of relevant secondary structural and critical non-structural items

Determine the probable capacity of any items of secondary structural and critical non-structural items that would constitute a significant life safety hazard if they were to fail. Refer Part A for further guidance on the types of item that are to be considered. Refer Section C10 for further discussion on the impact of non-structural items on the building's seismic rating.

Step 10 Determine the ULS seismic demands

Determine the ULS seismic demands from Section C3.

The demand values are obtained from NZS 1170.5:2004 as this is fundamental to the calculation of *%NBS*, but their form (e.g. response spectra, peak ground acceleration, member actions) will depend on the aspect for which the *%NBS* is being calculated.

For the calculation of *%NBS* the reference level demand might be expressed in terms of the ULS base shear, design response spectrum (acceleration and displacement), drift and deflection limits when appropriate, or scaled strong motions obtained from Sections 5 and 6 of NZS 1170.5:2004.

Alert:

Drift limits specified in NZS 1170.5:2004 are to ensure that the nonlinear demands in new buildings are limited to levels that can be relied on. For relatively lightweight existing buildings (e.g. light timber buildings and light steel industrial buildings) the drift limit of 2.5% may be too severe a constraint when there is confidence that additional drift can be accommodated without compromising either the lateral or vertical load carrying capacity of the building.

At the member or element level the demand might be the actions (stress and strain) obtained from a structural analysis using the global demands as inputs.

For some aspects of primary structure (e.g. floor restrained face-loaded walls) and for secondary structural items, the design actions for parts obtained from Section 8 of NZS 1170.5:2004 will be more appropriate. This will include, where appropriate, imposed deformations from the primary lateral structure.

The requirements in NZS 1170.5:2004 and the materials standards for particular items (e.g. design ledge lengths and displacement limits in Sections 7 and 8 of NZS 1170.5:2004) also need to be reflected in the demand values used.

Consideration of geotechnical effects may require the reference demands to be in the form of design ground shaking (e.g. peak ground accelerations and/or displacements at the appropriate return period).

Step 11 Calculate *%NBS*

Refer to Section C1.5 for a detailed discussion of the calculation of *%NBS*.

The intended steps are summarised as follows:

- Establish the *ultimate capacity* (seismic) of the building from:
  - probable capacity of the primary structure of the building
  - probable capacity of secondary structural items, the failure of which could lead to a significant life safety hazard
  - probable capacity of any critical non-structural items, the failure of which could lead to a significant life safety hazard
  - probable capacity assessed for any identified SSWs.
- Determine the global demand for the building from Step 10 and assess the global *%NBS* in accordance with Section C1.5.
- Assess the demands on critical (from a life safety point of view) secondary and non-structural items of the building and assess *%NBS* for each (capacity/demand x 100).

The *%NBS* seismic rating for the building is the minimum of the seismic scores assessed for the global performance of the primary structure for each principal direction and the seismic score for each individual secondary and non-structural item that also meets the significant life safety criterion (refer Section C10).

Before considering the assessment as being complete, reflect on the seismic rating that has been determined and whether or not it appears reasonable. If not, investigate whether the identified critical elements have been adequately assessed or whether more reliable data should be obtained.

Step 12 Reporting

This is perhaps the most critical part of the assessment process as the technical output needs to be communicated to the client, stakeholders and building users in a way that puts the results in context.

The report of findings should cover a clear description of the structural system and key structural vulnerabilities, the *%NBS* and the expected structural behaviour in earthquakes, the assessed seismic risk, and the assessment methodology and analysis undertaken.

An important aspect of the assessment process is reporting all individual *%NBS* scores that have been evaluated and the rationale for decisions on life safety potential, as this will provide a complete picture of the issues associated with the building's seismic performance and will aid in the development of a retrofit program if this is to be considered.

Refer Section C1.10 for further guidance and Appendix C1A for a recommended report template.

C1.5 Calculation of Percentage of New Building Standard (*%NBS)*

C1.5.1 General

Note:

The seismic rating for the building, expressed as a percentage of new building standard *(%NBS*) is discussed in Part A. The material is largely repeated here for convenience.

%NBS is obtained by dividing the calculated *ultimate capacity (seismic)* of the building and/or its parts by the *ULS seismic demand* as shown in Equation C1.1.

$$\%NBS = \frac{\text{Ultimate capacity (seismic) of the building}}{\text{ULS seismic demand}} \times 100 \qquad \text{…C1.1}$$

where:

ultimate capacity (seismic) of the building is taken as the lesser of:

- probable capacity of the primary structure of the building including the impact of geotechnical issues (refer Section C1.5.2)
- probable capacity of secondary structural items, the failure of which could lead to a significant life safety hazard (refer Section C1.5.3)
- probable capacity of critical non-structural components, the failure of which could lead to a significant life safety hazard (refer Section C1.5.3), or
- capacity assessed for any identified SSWs (refer Section C1.5.4).

ULS seismic demand is the seismic demand that would be used for the design for a similar new building (or part) of the same importance level on the same site including the appropriate value of S_p (the structural performance factor) when this is not otherwise included in the assessment of the probable capacities.

The *%NBS* seismic rating should always be reported in conjunction with the Importance Level used to define the ULS seismic demand as this is crucial when defining the standard achieved. The recommended approach is to state the seismic rating and the Importance Level together in the following form:

XXX*%NBS* (ILY)

Rather than just evaluating the ultimate seismic capacity for the building as indicated above and then dividing by the global demand on the building it may be more appropriate to evaluate the *%NBS* score for each aspect of the building and then take the lowest value. This is because the demand may need to be represented in different ways depending on the particular aspect under consideration, as discussed further in Section C1.5.6.

It is also considered important that the *%NBS* scores for the individual aspects are included in the DSA report, as this helps to put the seismic rating in context and assists when retrofit to a particular target level is being considered.

Alert:

Assessors need to recognise that the ULS earthquake load is an arbitrary design level. However, any assessment of SWs and SSWs against this in accordance with these guidelines is intended to provide the required level of confidence that the expected performance discussed in Part A can be reasonably achieved.

C1.5.2 Probable capacity of primary structure

C1.5.2.1 Assessing the probable structural capacity

The probable structural capacity of the primary structure is assessed using the probable material strengths and guidance provided in Sections C5 to C9 and the methods of analysis and assumptions set out in Section C2. The term "primary structure" is intended to describe both the seismic lateral structural and the gravity (vertical) structural support systems in a building. Identification will be particularly important when these systems are separate.

The response of the ground under the building and its effect on the building needs to be factored in, as discussed in Section C4. This will include the effect on the dynamic characteristics of the building (SSI considerations and the subsoil amplification) and also structure support conditions (e.g. degree of restraint to foundations).

As discussed throughout these guidelines, the structural capacity is described both in terms of the strength capacity and the deformation capacity. Inclusion of the nonlinear deformations in the assessment can significantly influence the calculated seismic rating for the building but it is recognised that not all of the assessment procedures (e.g. force based approaches) will fully account for this.

The primary structure includes such items as URM parapets, face-loaded walls and building penthouses. These will typically be considered as building parts for assessment of seismic loading (the demand) but are nevertheless part of the building lateral load resisting system.

Alert:

Items such as parapets have traditionally not been considered as primary structure. However, in the context of these guidelines, and to avoid confusion, it is considered that they are primary structure as they are required to provide both gravity and lateral load support to their own, often not inconsiderable, weight/mass. This applies to both in-plane and out-of-plane actions.

Once analysis of the complete primary structure is completed and the behaviour of the various members/elements in the primary structure has been assessed, the global probable seismic capacity of the primary structure will be limited by the member/element with the lowest probable capacity; ***provided the failure of that element would result in a significant hazard to human life***. The capacity of elements that do not fulfil this requirement should be set to a residual value (or zero if appropriate) and the analysis repeated until the lowest scoring member/element is identified that would result in a significant life safety hazard.

C1.5.2.2 What constitutes a significant life safety hazard?

What is considered to constitute a significant life safety hazard is discussed in Part A. In summary, it is a hazard resulting from the failure of a member/element of the primary or secondary structure or of the supporting ground that would lead directly to collapse of the building as a whole or to a part of it and that could reasonably affect a number of people

What does and what does not constitute such a hazard will rely to some extent on the judgement of the assessor. Therefore, it is important that the decision making process for this is recorded in the DSA report. Further guidance on this issue is intended to be included in the EPB Methodology.

C1.5.2.3 Other considerations

The analysis of the primary structure often focuses only on the primary lateral structure under horizontal earthquake shaking.

The assessment of the primary structure must also consider all of the systems that support gravity loads. Often, these will not be relied on to resist lateral loads. However, experience in numerous earthquakes has highlighted that it is the performance of assumed non-lateral load resisting gravity load supporting systems that is often critical when determining the collapse potential of the building, and the extent to which collapse might occur (e.g. pancaking of floors).

The assessment of assumed non-lateral load resisting systems (e.g. frames assigned to be gravity only) requires consideration of the effects of imposed deformations from the primary lateral system. It is intended that the stiffness and strength of members/elements in such systems are based on probable values. However, care must be taken to ensure that actions within these systems are cautiously appraised. This will require the stiffness of joints, for example, to be reasonably modelled and an understanding of the sensitivity of any assumptions on the conclusions reached. The support stiffness at foundation level may also be important in this regard.

Vertical earthquake motions may also be important in the same situations as identified in design standards for new buildings; e.g. for horizontal cantilevers, etc. If present, vertical demands should also be included in the assessment.

Alert:

Although the assessment of SWs in these guidelines is focused on the demands at ULS levels of shaking (or a proportion thereof when *%NBS* is less than 100) the expectation is that a building will be able to continue to perform to a satisfactory level in shaking much higher than this to meet the overall performance objectives. The provisions of these guidelines (acceptance criteria, treatment of SSWs and the like) have been set at a level to provide confidence that this will be achieved. Therefore, it is not the intention that higher levels of shaking are specifically addressed in the assessment process.

However, some buildings are complex and will not always be fully covered by the guideline provisions. The assessor should always be mindful that the intensity of earthquake shaking is not limited, even at MCE levels, and consider the implications of this when scoring aspects that are not fully covered within the scope of these guidelines.

Refer also to Section C1.5.4 for discussion relating to SSWs.

C1.5.3 Probable capacity of secondary structure and non-structural items

For secondary structural items to influence the building rating they must be of sufficient size and located such that their failure would lead to a significant life safety hazard. This will typically relate to their ability to continue to support gravity loads (including their own weight).

Items such as stairs, precast concrete panels or curtain wall glazing systems over accessible areas are considered to be secondary structure that should influence the seismic rating.

The performance of individual window glazing, ceilings, contents and typical building services which are typically considered to be non-structural in nature are not intended to limit the seismic rating of the building as their failure is not assumed to lead to a significant life safety risk.

However, the failure of some large non-structural items could be considered to be critical in relation to life safety. Large items of building services plant such as large water tanks, cooling towers and the like could be considered to influence the seismic rating, but judgement will be required to determine if their failure would lead to a significant life safety hazard. For example, the loss of water contents is typically unlikely to create a sufficient life safety risk. However, the failure of a support leading to the potential collapse of a full, or partially full, tank through a roof may do.

Guidance on assessing the probable capacity of secondary structural items is provided in Section C10. Secondary structure spanning between levels in a building or between adjacent buildings and supported on ledges are considered particularly vulnerable.

Alert:

Restraints (tethers) can be used to mitigate the life safety hazard of secondary structural items if the restraint is sufficient to arrest the fall of these items above a height that would constitute a hazard. Refer to Section C10 for further discussion.

C1.5.4 Capacity of SSWs

C1.5.4.1 General

While the assessment process outlined in these guidelines is primarily focused on determining the probable seismic capacity and relating this to the ULS loading demands, as discussed in Part A and Section C1.5.1, the intention is also that this process needs to deliver a reasonable expectation of satisfactory performance at higher levels of shaking to meet the overall performance objective. This is referred in Part A as the structural resilience available and is a necessary aspect of a building's behaviour if it is to deliver the overall expected seismic performance.

Alert:

The same expectation exists for earthquake loading greater than that implied by the *%NBS* rating when the rating is less than 100%*NBS*. Refer to Part A for further discussion.

In many cases there will be inherent structural resilience (i.e. sufficient margin will have been provided for in setting the acceptance criteria, etc) and it is not necessary to specifically account for this other than by adhering to the assessment procedures outlined in Sections C5 to C10.

However, it should be recognised that there are potentially some aspects of a building's seismic behaviour which may not be adequately captured within these general assessment procedures but are likely to have a step change response resulting in sudden (brittle) and/or progressive, but complete (i.e. pancaking) collapse of the building's gravity load support system in shaking greater than that represented by %ULS shaking.

These guidelines define complete collapse of this type as catastrophic collapse. This has the potential to result in high fatality rates for occupants and little or no chance of escape after the earthquake. Experience indicates that while the public may accept some fatalities as being a consequence of living in an earthquake hazard region they are intolerant of such collapses, particularly for more modern buildings. Therefore, it is essential that the overall assessment procedure satisfactorily accounts for such behaviour when it is identified.

Experience from past earthquakes also indicates that such behaviour is typically restricted to a relatively small number of mechanisms. In these guidelines these mechanisms are referred to as SSWs. For the purposes of these guidelines the aspects that need to be assessed as SSWs in a DSA have been predetermined and may be assumed to be restricted to the particular SSWs listed below.

C1.5.4.2 Criteria for SSWs

When determining the list of SSWs for the purposes of these guidelines each was evaluated as satisfying **all** the following criteria:

- **It has a demonstrated lack of structural resilience** so that there is very little margin between the point of onset of nonlinear behaviour (e.g. cracking of structure or large deformation of soil) and step change brittle behaviour of the building resulting in catastrophic collapse, and
- **It has a severe consequence** if catastrophic collapse occurs. A severe consequence is only intended to be associated with building typologies with more than two storeys and where multiple fatalities, i.e. more than 20, would be possible if one or more storeys were to suffer full collapse, and
- **There are recognised limitations in the analysis and assessment of the behaviour** so the reliability of the assessment of probable capacity of the expected aspect is low. This could be simply because there is currently considered to be insufficient experimental data or experience to confirm the behaviour to generally accepted levels of reliability.

C1.5.4.3 List of defined SSWs for DSAs

The following aspects should be evaluated as SSWs in a DSA to meet the requirements of these guidelines:

- Lightly reinforced concrete columns and/or beam-column joints (refer Section C5 for definition) with axial loads greater than 0.5 $A_g f'_c$ which are part of the primary gravity system of buildings with more than two storeys and where multiple fatalities, i.e. more than 20, would be possible if one or more storeys were to suffer full collapse. To be a SSW the failure of a column and/or beam/column joint would need to lead to a progressive collapse scenario for the entire storey.
- Single core shear walls with axial loads greater than 0.15 $A_g f'_c$ which are shear dominated and which are required to carry, in total, more than 60% of the seismic lateral demand in multi-storey buildings with more than two storeys and where multiple fatalities, would be possible if the building were to suffer full collapse.
- Flat slab configurations where the lateral capacity is reliant on low ductility slab to column connections and the gravity support is susceptible to imposed lateral drift and punching shear failure for buildings with more than two storeys and where multiple fatalities, would be possible if one or more storeys were to suffer full collapse. This is only intended to apply to systems with gravity-only shear demand exceeding 40% of the probable shear capacity ($v_c + v_s$) at the critical shear interface.
- Lack of positive connection between diaphragm(s) and primary lateral structure comprising a single element (e.g. shear core) of buildings with more than two storeys and where multiple fatalities, i.e. more than 20, would be possible if one or more storeys were to suffer full collapse.
- Complex slope failure resulting in significant ground mass movement and the loss of support over more than 50% of the building platform (i.e. where the building is on a slope or cliff edge).
- Liquefiable ground supporting poorly tied together URM buildings (refer to Section C8 for definition) with more than two storeys.

Alert:

This list of SSWs is similar to the list of SSWs that must be highlighted in an ISA (if they have been identified). However, it excludes those building aspects which should be adequately addressed in the DSA using the quantitative assessment procedures set out elsewhere in these guidelines; e.g. ledge and gap stairs and weak or soft storeys.

C1.5.4.4 Determining the capacity of SSWs

The capacity of SSWs to be used in Equation C1.1 should be taken as one half of the probable capacities determined for the SSW in accordance with Sections C4 to C9. Alternatively, this can be considered as providing a margin of at least two against catastrophic failure in a level of shaking equal to ULS shaking factored by the assigned *%NBS* rating.

Alert:

It is important to recognise that the above recommendations for SSWs are not replaced by subjecting the model of the building to the traditional concept of a Maximum Credible/Considered Earthquake (MCE). The SSWs are not mechanisms where it is considered that the step change behaviour can currently be adequately assessed from calculation/analysis; nor should there be any expectation that the shaking the building could be subjected to is capped at a specific level.

The use of the factor of 0.5 on the probable capacity for these critical mechanisms (which can also be considered as a factor of 2 on the ULS demand) is considered sufficient to provide a reasonable expectation of satisfactory performance overall.

It may be assumed that for SWs covered by these guidelines and not listed as SSWs adherence to the recommendations of Sections C4 to C9 will provide the required level of resilience without applying any additional factors/margins.

C1.5.5 Critical structural weakness (CSW)

The CSW is the issue that finally limits the *%NBS* seismic rating for the building after consideration of the capacity of the primary structure (seismic and gravity), the secondary structural and critical non-structural items, and any SSWs. This process should deliver a CSW, the failure of which would result in a significant life safety hazard.

It is recommended that a final check be made that this is the case before accepting this as the CSW.

C1.5.6 ULS seismic demand

Guidance for assessing the ULS demand is provided in Section C3. The appropriate value of S_p needs to be used when assessing the demand if it is not otherwise accounted for in the assessment of the capacities. This may require different values for S_p depending on the level of nonlinear deformation possible from the aspect under consideration, in accordance with NZS 1170.5:2004 and Section C3.

C1.6 Use of Alternative Verification Methodologies

C1.6.1 General

The use of internationally accepted assessment methodologies (e.g. ASCE 41-13 (2013) and Eurocode-8 Part 3) are not precluded by these guidelines. However, assessors must be confident that compliance with these methodologies will lead to the expected level of performance that is outlined in Part A and, where not otherwise noted, use of them should be considered to be outside the scope of the guidelines.

Irrespective of the method of assessment, it is essential that the result is delivered in terms of a *%NBS* seismic rating to avoid market and community confusion.

There will be instances where the component performance (deformation) acceptance criteria prescribed in ASCE 41-13 will provide valuable information where, otherwise, none exists. Sections C5 to C10 provide specific guidance on how the member/element capacity assessment is to be completed in the context of achieving similar performance objectives as outlined in Part A when adopting the ASCE acceptance criteria.

Use of linear (elastic) verification methods other than those set out in Section C2 is not recommended nor supported by these guidelines. However, it is recognised that alternative nonlinear methods may provide additional insight into building performance and, therefore, assessment using the Tier 3 approach in ASCE 41-13 is considered an acceptable alternative provided that some minimum requirements as outlined in Section C1.6.2 are satisfied.

Alert:

Sufficient verification to "test" the ASCE 41-13 linear elastic or the Eurocode 8 Part 3 methods against the objectives of these guidelines has not been completed to provide the necessary confidence that these objectives will be met.

C1.6.2 ASCE 41-13 Tier 3 assessment

ASCE 41-13 Tier 3 assessment prescribes what is referred to as a performance based method of assessment. Using this approach the assessor decides, in consultation with the client, on the level of performance required. This defines a hazard level and acceptance criteria that must be met at that level of hazard. A range of structural and non-structural performance levels corresponding to various performance objectives can be selected.

Alert:

ASCE 41-13 does not represent a full performance based method of assessment as it does not predict the *actual likelihood* of achieving a given level of performance. It is still a deterministic assessment based on pass/fail acceptance criteria completed on an element by element basis. In that respect it is still checking the degree of compliance against defined minimum criteria for the particular performance level being assessed.

ASCE 41-13 Tier 3 systematic assessment is considered to be an acceptable alternative to the DSA as outlined in these guidelines and may be assumed to comply with these guidelines provided that the following recommendations are followed:

- The assessment outcome should be reported in terms of a *%NBS* seismic rating.
- The target building performance objective for the reference 100*%NBS* should be the Basic Performance Objective Equivalent to New Building Standards (BPON) for the appropriate return periods defined in Table C1.1.

  Alert:

  Only target performance levels associated with Life Safety and Collapse Prevention need to be considered to meet the recommendations of these guidelines. However, in the case of Importance Level 4 buildings it may also be appropriate to consider the calculated performance at a level consistent with the functionality limit state SLS2 in NZS 1170.5:2004. Refer Part A.

- S_p should be taken as 1.0 when defining the input motions.

Alert:

Use of S_p =1 is to maintain the relationship between the acceptance criteria and the derivation of demand as defined in ASCE 41-13.

- The acceptance criteria and recommendations given in ACSE 41-13, unless specifically modified for use with NLTHA in these guidelines, should be used in their entirety.
- The *%NBS* for each target performance level is the scale factor that needs to be applied to the input strong motion record so that the acceptance criteria for that performance level are just met. Duration of shaking is not adjusted.
- The *%NBS* global seismic score for the building is the lowest of the global *%NBS* values determined for each performance level.
- The behaviour of SWs not otherwise included in the analysis model (e.g. support of precast floor units and frame elongation effects) must be considered separately as required elsewhere in these guidelines and the *%NBS* seismic rating adjusted accordingly.
- The behaviour of secondary structural and critical non-structural items (as defined by these guidelines), if not otherwise included in the analysis model, must be considered separately as required elsewhere in these guidelines and the *%NBS* seismic rating adjusted accordingly.
- If SSWs listed in Section C1.5.4 are identified as being present the *%NBS* rating should be adjusted down to achieve the required margin of two on the calculated score for the SSW at the life safety performance level. The seismic rating may also require adjustment if the SSW is not specifically addressed in the analysis; e.g. the impact of slope failure or liquefaction.

Alert:

The intention is that the score for SSWs is determined as follows:

- Identify the members/elements that participate in the mechanism that leads to the SSW.
- Determine the seismic score for these members/elements at the Life Safety performance level.
- Halve the Life Safety score to obtain the *%NBS* score for the SSW.

Reliance is not placed on the results from the Collapse Prevention level for SSWs because the method is not considered to provide the necessary margins against catastrophic collapse; nor does it recognise the uncertainties involved in predicting such behaviour.

Table C1.1: Reference return periods and ground motion scaling factors for 100*%NBS* for BPON[1]

Importance level (IL)	Building performance level	
	Life safety (return period)	Collapse prevention (scale factor) [1]
IL1	100	1.8
IL2	500	1.8
IL3	1000	1.8
IL4	2500	1.8

Note:

1. These scale factors are intended to be applied to the ground motion that is used for the life safety analyses. The factor has been set for IL2 to give a return period of 2500 years for the collapse prevention analyses. This factor is representative of the range of shaking that has been found to be important when considering the risk of collapse for all ILs and therefore the same value has been used for all ILs.

Alert:

NLTHA carried out in accordance with the general requirements of ASCE 41-13 provides an ideal way of applying the principles of these guidelines. The typical approach is that the structural components are modelled (elastically and inelastically) in accordance with rules specified. The demand is established for the required performance level, strong motion records are chosen to match the required hazard level (demand), the model of the building is "shaken", and the acceptance criteria for the performance level are checked. If the analysis shows the criteria are met it is assumed that the performance level has been met.

Further to the ASCE 41-13 methodology, if the criteria are not met the input motions can be dialled back (by scaling), and the analyses rerun until the criteria are met. The degree to which the building meets the performance level is then effectively the scale factor applied to achieve compliance with the acceptance criteria.

The performance levels typically assessed using ASCE 41-13 are "life safety" and "collapse prevention". Thus, a check is made at two levels of demand (500 and 2500 year return period shaking for IL2 buildings) rather than the single level check made at the ULS level of shaking using the standard guideline approach. This approach provides an assessment of the structural resilience of the structural system beyond ULS shaking levels (500 year return period demands for IL2 buildings) and is often presented as a major benefit of this methodology over the guideline methods.

The assessor needs to be satisfied that checking for collapse (collapse prevention) in accordance with ASCE 41-13 still achieves the level of performance required at a severe level of shaking, beyond those defined for the collapse prevention level. These are the checks required for SSWs as outlined in Section C1.5.4 and in the specific requirements outlined above.

In addition to consideration of the two performance levels outlined above, the following adjustments are considered necessary to provide consistency with the *%NBS* seismic rating used in these guidelines:

- When running the analyses, care shall be taken to ensure that the element that is limiting the level of shaking that can be sustained does represent a significant life safety hazard. If it is determined that the critical element does not then the level of shaking should be increased until the critical member/element is considered to represent a significant life safety hazard. URM spandrels supported on lintels, for example, may be damaged to the extent that they can no longer participate in the lateral load resistance of the building but may have a low risk of collapse until the actions are fully redistributed in the building and the deformations become high enough that collapse is expected. This is because the structure reconfigures the way in which it is resisting the shaking until the spandrels sustain a level of deformation beyond which they can no longer be assumed to remain reliably in place. It is only at this point that a significant life safety hazard develops. Ignoring this ability to redistribute could result in a *%NBS* rating significantly less than intended by the methods set out elsewhere in these guidelines.

- NZS 1170.5:2004 specifically requires shear deformations to be included in the modelling for time history analyses but also has provisions for new structures that are intended to reliably prevent the shear capacity of the primary structure from being exceeded. These same prevention methods are not always available in existing buildings, especially when traditional capacity design methods were not used in their original design. Accordingly, the modelling of shear deformations when assessing an existing building needs to be approached with care. Therefore, when any shear critical primary seismic structural elements are present in significant buildings (i.e. with more than six storeys) it is recommended that nonlinear shear behaviour is not relied on to limit the actions in the building for the purposes of the assessment unless a deformation margin (to that required to reach the maximum predicted shear (strength) capacity of these elements) of at least two can be shown to be present. This behaviour can be treated similarly to an SSW. An alternative may be to model the shear as linear elastic in such situations and treat it as force controlled in applying ASCE 41-13.
- The required margin of two at the life safety performance level needs to be achieved for any SSWs.

NLTHAs should never be approached on the basis that they provide a “black box” assessment procedure. These are highly sophisticated analyses requiring particular skills and experience. While the results of such analyses may not be replicated by more simple methods it is not considered appropriate to complete such analyses in the absence of at least some confirmatory analyses at a more basic level. Simply relying on the NLTHA to deliver a *%NBS* without careful consideration of the results and the behaviour they imply is considered inappropriate. Peer review, including the modelling, the analysis and the calculation of *%NBS*, is considered essential when such methods are used. Refer also Section C2.

C1.6.3 Eurocode-8 Part III

It is recognised that EN 1998-3: Eurocode 8 – Design of structures for earthquake resistance – Part 3: Assessment and retrofitting of buildings is available and will be familiar to some assessors in New Zealand. Use of this document is <u>not</u> covered by these guidelines. If this Eurocode is to be used as a basis for assessment in New Zealand it is considered essential that the assessment results are expressed in terms of a *%NBS* seismic rating and the entire process is subjected to appropriate holistic peer review that includes specific consideration of how the assessment meets the objectives outlined in Part A. The assessor will also need to consider the issues/adjustments discussed for the ASCE 41-13 Tier 3 approach in Section C1.6.2.

C1.7 Building Inspection and Investigations

C1.7.1 General

Detailed building inspections should be made as part of the assessment of existing building performance and before the preparation of strengthening proposals.

The following sections list the main items to be inspected during the detailed inspection and what information to record.

The site will also need to be inspected for potential geohazards, refer Section C4.

C1.7.2 Structural configuration

Most of the details of the structural configuration required for an analysis should be available on design or construction drawings. Where detailed plans are unavailable, field measurements will be necessary. As-built checks should also be made.

It is recommended that an initial field measure is carried out to confirm the general adequacy of the available documentation. This can be followed by a more detailed inspection to confirm detailed dimensions and detailing as required for the assessment.

Alert:

Experience indicates that it is unlikely that tender, consent, or even construction drawings will always fully represent the as-built condition of a building. Therefore, a site inspection to confirm as-drawn details is recommended in all cases.

The structural configuration information gathered should include the following:

- plans, elevations and dimensions of frames and walls on each level
- location and size of openings in walls and floors
- identification of load-bearing/non load-bearing walls
- identification of any discontinuities in the structural system
- arrangement of roof and floor trusses, beams and lintels
- identification and location of reinforcing bands, columns and bracing
- dimensions of non-structural components to allow storey masses to be reliably assessed
- location and configuration of precast elements
- lift and stairwell construction and dimensions
- foundation dimensions, type and identification of connections between foundations and between superstructure and foundations
- clearances to adjacent buildings
- evidence of structural modifications, and
- seismic status of adjacent buildings.

Alert:

Identifying the structural configuration will enable both the intended load-resisting elements and the effective load-resisting elements to be recognised. Effective load-resisting elements may include both structural and non-structural elements that participate in resisting lateral loads, whether or not they were intended to do so by the original designers. Potential discrepancies in intended and effective load-resisting elements may include discontinuities in the load path, weak links, irregular layouts, and inadequate strength and deformation capacities.

While the seismic status of adjacent buildings will not affect the seismic rating it is nevertheless an important consideration when providing holistic advice on a building.

C1.7.3 Member/element properties

The following member/element properties should be obtained:

- cross-sectional shape and physical dimensions of the key members/elements and overall configuration of the structure
- configuration of connections, size and thickness of connected materials, and continuity of load path, particularly for precast elements
- modifications to individual members/elements or overall configuration of the structure
- location and dimensions of braced frames and shear walls
- current physical condition of members/elements and extent of any deterioration present
- reinforcing details in reinforced concrete structures, and
- connection details for primary and secondary structure.

Behaviour of the components – including shear walls, beams, diaphragms, columns, and braces – is dictated by physical properties such as area; material; thickness, depth, and slenderness ratios; lateral torsional buckling resistance; and connection details. The actual physical dimensions should be measured; e.g. 50 x 100 mm timber dimensions are generally slightly less due to choice of cutting dimensions and later shrinkage. Modifications to members need to be noted including notching, alterations, tack welds etc that may modify geometric and material properties. The presence of corrosion, decay or deformation should be noted.

These key element/member properties are needed to properly characterise building performance in the seismic analysis. The starting point for establishing member/element properties should be the available construction documents. Preliminary review of these documents shall be performed to identify key gravity and lateral load carrying members and elements and key connections. Site inspections should be conducted to verify conditions and to ensure that remodelling has not changed the original design concept. In the absence of a complete set of building drawings, the assessor must thoroughly inspect the building to identify these members and elements. Where reliable record drawings do not exist, an as-built set of plans for the building could be created (even as sketches) as part of the assessment.

The adequacy of interconnection between the various members and elements of the structural system will be critical to its performance. The type and character of the connections should be determined by a review of the plans and a field verification of the

conditions. The connection between a diaphragm and the supporting structure is likely to be of prime importance in determining whether or not the separate parts of the structure can act together or if gravity-only members and elements are likely to be sufficiently protected by the lateral load resisting system (e.g. concrete shear walls).
If drawings of reinforced concrete buildings are not available it will be necessary to carry out on-site investigations to obtain details of size and spacing of reinforcing bars or to determine whether plain or deformed reinforcing bars were used. Investigations could include the removal of concrete cover in chosen locations to expose the reinforcing but may be possible using non-destructive scanning techniques (refer Section C5).

In the case of steel structures some useful information is contained in Section C6; in particular, about the relationships between structural characteristics and steel building performance in severe earthquakes, typical pre-1976 steel building systems and the mechanical properties of members and components used in these.

C1.7.4 Material properties and testing

Realistic values for the material properties must be used to obtain the estimates of the probable strengths and deformation capabilities of members, joints and connections. Refer also to the discussion in Part A on the use of probable material strengths in member capacity assessment.

Recognising the significant cost associated with an extensive material testing programme and the difficulty in sampling all materials, these guidelines recommend a more pragmatic approach to setting the probable material strength for seismic assessment based on the use of default values (where not otherwise recorded in the construction documentation) and consideration of the likely sensitivity of the choice of material properties on the final assessment result. The testing effort is then concentrated in the areas of the structure that are likely to yield the greatest benefit in terms of defining the seismic rating.

In other jurisdictions, a penalty is sometimes applied to the assessment results (e.g. a *lack of knowledge* factor). However, this approach has not been adopted in these guidelines for the reasons outlined above. It is recognised that material variability will always exist and will be difficult to quantify even when extensive testing has been carried out.

The material sections (Sections C5 to C9) provide specific guidance on the default probable material strengths to be used in absence of any documentation of the original prescribed materials or test results. These sections also provide recommendations on the type and frequency of testing if this is considered.

C1.7.5 Condition, maintenance and alterations

The condition of all structural components should be recorded with particular attention given to deterioration such as cracking, spalling, corrosion and decay. Locations and extent of any significant deterioration should be recorded. Any lack of watertightness in the roof and wall openings should be noted.

The foundation soil type should be determined and a careful inspection made to identify any settlement or indications of foundation distress.

Damage from previous earthquakes or other overloads should be carefully inspected and recorded.

The impact of any building alterations on the performance of the main structural elements should be considered carefully.

C1.7.6 Previous seismic retrofit

If the building has already been seismically retrofitted it will be necessary to ascertain the extent of this retrofit and the philosophy adopted. For example, in the past, buildings may have only been secured rather than fully strengthened or the strengthening scheme would now be considered incomplete or inadequate.

A design features report, if available, could provide valuable insight into what the design retrofit engineer was intending when completing only previous retrofit works. However, relying on the stated intent of any previous retrofit is not recommended when establishing its capacity as a number of issues have been identified with previous retrofit works that could reduce their effectiveness. If possible, discussions with the engineers who carried out the retrofit should be considered.

Common issues with previous retrofits include:

- incomplete documentation – details were often varied to suit conditions found on site when the structure was opened up, so what is shown on the retrofit drawings may not always be representative of what was finally installed. Site or contract instructions, if available, can be a valuable source of information in this regard.
- incomplete retrofit – only the most vulnerable issues may have been addressed. This would have typically been the case where interim securing had been adopted.
- poor deformation compatibility between the original structure and the retrofit works; e.g. steel bracing used to strengthen in-plane URM walls or concrete frames.

C1.7.7 Intrusive inspections

Intrusive inspections while the building is occupied will typically be costly and disruptive but may not be able to be avoided. Non-destructive techniques such as electronic scanning of concrete members can often provide an attractive alternative to intrusive investigations.

C1.8 Geotechnical Investigations

The extent of geotechnical investigation required will depend on the cost, likely influence on the seismic rating and the target rating required. The categorisation outlined in Section C1.9 may assist. Further guidance is provided in Section C4.

C1.9 Geotechnical Influence on Detailed Seismic Assessments

C1.9.1 General

These guidelines categorise DSAs in terms of the influence that geotechnical issues might have as:

- structurally dominated
- interactive, or
- geotechnically dominated.

Which category a particular assessment falls into should be considered in Step 2 of the DSA process outlined above and review as the assessment proceeds. The category has an impact on the way in which an assessment might proceed, including the respective roles of the geotechnical and structural engineers and the level of geotechnical reporting and investigation required.

A description of each project category and some common examples of situations where each might be considered to apply are given below. This is followed by a matrix of these examples classified by foundation type.

C1.9.2 Structurally dominated

These are assessments where the structural response is unlikely to be significantly influenced by geohazards, foundation soil nonlinearity or SSI up to the capacity of the structure. Such assessments are only likely to require geotechnical input into soil parameters for analysis purposes or in assessing the appropriate site soil class.

Examples include:

- A building on shallow foundations on competent gravels or rock.
- A piled building where the ground does not liquefy at ULS levels of shaking.
- An URM building on alluvial soils where the limiting structural capacity is lower than the liquefaction triggering level.
- A building that is structurally well tied together on potentially liquefiable ground or ground prone to shaking-induced settlement.

C1.9.3 Interactive

These are projects where geohazards, soil nonlinearity and SSI may have an influence on the critical structural mechanism(s). Discussions with a specialist geotechnical engineer would be expected to evaluate the extent to which the geotechnical issues might affect the rating and how this should be allowed for in the assessment.

Examples include:

- A reinforced concrete frame building on well-tied shallow foundations, where the plastic hinging capacity is reduced by liquefaction-induced differential settlement.
- A piled structure where liquefaction-induced lateral spreading imposes potentially tolerable lateral displacements.

- A piled structure where liquefaction above the founding level of the piles results in significant horizontal ground lurch.
- A reinforced concrete frame building on shallow foundations where the column plastic hinge capacity is reduced by foundation rotations/displacements due to seismic foundation loads locally exceeding bearing capacity.
- Rocking of shear walls in a combined moment frame building.
- Liquefaction-induced down-drag on a piled structure.

C1.9.4 Geotechnically dominated

For these projects the structure response is likely to be governed by geohazards, ground behaviour and SSI. Step change (described in Section C4) is often a characteristic of ground and foundation performance in these scenarios. In addition to discussions as indicated for the interactive category above, the geotechnical engineer may need to carry out assessments of the ground behaviour which may then become a separate SW (noting that it is only issues that have a direct influence on the structure behaviour that can be considered in the seismic rating, and then only when a significant life safety hazard can result).

Examples include:

- A building on shallow foundations where the pads supporting the bracing elements punch through into liquefiable soils.
- A building on shallow foundations on liquefiable soil incorporating tension-only ground anchors holding down its bracing elements.
- A piled structure located behind a seawall subject to collapse upon backfill liquefaction.
- A piled structure on sloping ground subjected to downslope deformations.

Alert:

The descriptions above are of generalised systems only. For example, K and L may not necessarily be geotechnically dominated as this will depend on the type of bracing system and whether other lateral bracing systems exist aside from the critical one. This reinforces the point that it is the effect of the geotechnical issue on the behaviour of the building that is important, not the behaviour of the ground on its own.

C1.9.5 Examples by foundation type

Table C1.2 provides a matrix of the above examples classified by foundation type.

Table C1.2: Matrix of foundation types and structure response category

		Foundation types				
		Shallow			Shallow or deep	Shallow and/or deep
		Discrete footings	Tied footings[1]	Raft	Piled	Mixed
		Increasing foundation resistance to vertical and lateral deformation →				
Project category	Structurally dominated	A, C	A, C, D	A, C, D	B, D	D
	Interactive	E, H, I	E, I	-	F, G, J	See note 2
	Geotechnically dominated	K, L	K, L	L	M, N	See note 2

Note:

Letters in the table correspond to the examples given earlier for each project category.

1. Tied footings occupy a bandwidth in the continuum of foundation stiffness between discrete footings and raft foundations. Wider pad spacing and thinner ties will impart little additional effective stiffness or restraint, so foundations of this type will effectively act as discrete footings. Conversely, well-tied footings in two directions can provide effective stiffness and restraint across the structure’s footprint. The efficacy of ties to provide additional stiffness and restraint between footings should be specifically assessed.
2. Mixed foundations can aggravate foundation deformation response and the subsequent effects on structural stability.

C1.10 Reporting

C1.10.1 Communicating seismic risk

Communication of the seismic risk and the assessed seismic behaviour of the building is a very important part of the DSA process. The written report should be carefully written to suit its intended audience.

The level of ground shaking should be expressed in terms of the return period. This can be expressed as the proportion (e.g. one third, one half, two thirds, full) of the 500 year return period shaking for the site or %ULS loading for IL2 and adjusted appropriately for other ILs.

The term “*%NBS* shaking” should not be used as this does not correctly convey the contribution that the building ultimate capacity (strength and deformation) makes to the standard achieved and the expected behaviour of the building. *%NBS* is not solely about the loading. It therefore confuses “seismic demand” with “seismic rating”.

C1.10.2 Suggested report content

The following information is recommended as minimum content for a DSA report:

- the scope and objective of the DSA
- assessment methodology, limitations and list of assumptions. This includes documentation/drawings available and sources of information reviewed.
- background on the regulatory requirement and assessment process
- general building description including number of storeys, occupancy/use and general dimensions, heritage categorisation
- structural systems (gravity and lateral load resisting systems, foundations, etc)
- ground condition, site seismicity and geohazards identified and impact on the seismic behaviour of the building
- assessment results
- SWs identified and assessed (in primary seismic and gravity structure, secondary structure and critical non-structural components)
- *%NBS* and assumed Importance Level and the CSW that defines the *%NBS*
- secondary risks (adjacent building, non-structural element, stairs) if applicable, and
- recommendations.

An executive summary that summarises the assessment, the key aspects of the building and the key outputs is considered desirable. It may also be useful to present the outputs in a tabular form that is similar for all assessments to achieve a measure of consistency.

Appendix C1A provides a recommended report template.

A separate geotechnical report should be appended to the DSA (the level of geotechnical reporting will depend on the geotechnical contribution to the building's performance) – refer Section C4 for more details.

Appendix C1A: Recommended Report Template for a Detailed Seismic Assessment

Detailed Seismic Assessment - XX Tremor Grove, Shakesville

Prepared by ……. **CPEng Nº…………**

Dated …….

Executive Summary

Background

Provide a summary of the background to the Detailed Seismic Assessment (DSA) including:

- *who the report has been carried out for and the intended scope*
- *any previous assessment(s) and the resulting seismic rating result(s), including assumed IL*
- *The name and/or address for the building.*

Building Description

Provide a brief description of the building including relevant features such as:

- *age*
- *structural configuration*
- *current usage*
- *primary structural system (lateral and gravity)in each direction*
- *relationship to neighbouring buildings*
- *any previous retrofit*
- *heritage status*
- *original design standard, if known*
- *foundation type*
- *subsoil description*
- *any identified geohazards*
- *impact of geotechnical aspects on building behaviour*

Assessed Seismic Rating

The results of the DSA indicate the building's seismic rating to be **[XXX]***%NBS* assessed in accordance with the EPB Methodology. The seismic rating assumes that Importance Level [**Y**] (IL[**Y**]), in accordance with the Joint Australian/New Zealand Standard – Structural Design Actions Part 0, AS/NZS 1170.0:2002, is appropriate.

Therefore this is a Grade Z building following the NZSEE grading scheme. Grade [**A+/A/B/C/D]** buildings represent a risk to occupants [**less than/equivalent to/5-10 times/10-20 times/greater than 25 times]** that expected for a new building, indicating a [**low and acceptable/low and acceptable/acceptable/high/very high risk exposure].**

A building with a seismic rating less than 34*%NBS* is considered to be an Earthquake-Prone Building (EPB) in terms of the Building Act and a building rating less than 67*%NBS* as an Earthquake Risk Building (ERB) by the New Zealand Society for Earthquake Engineering. [**XX Tremor Grove, Shakesville]** is [**not]** therefore categorised as [**either]** an Earthquake [**Risk/Prone]** Building.

In accordance with the provisions of the Building Act 2004 the determined seismic rating requires the following actions for this building:

Summarise the requirements for upgrading and the timeframes

The assessment identified the following SWs in the building:

List the SWs and associated seismic scores in ascending order of the seismic score

The assessment identified the following SSWs in the building:

List the SSWs in ascending order of the seismic score

The following secondary structural and critical non-structural aspects were considered in the assessment of the seismic rating:

List the non-structural aspects considered

The CSW was found to be [**complete]**.

As part of the assessment we also noted the following:

List other noteworthy items reviewed during the assessment process that would be expected to be of interest to the report recipient. This includes aspects that may or may not have influenced the seismic rating; e.g. stairs, geohazards, neighbouring buildings.

Also discuss the next lowest scores where the CSW is a relatively easily addressed issue as this will provide context for the seismic rating.

Acknowledge previous assessments and provide an explanation for any discrepancies.

Basis for the Assessment

This assessment has been based on the following information:

List the information that has been available for this assessment; e.g.

- *original construction (structural/architectural) drawings dated….*
- *original construction specifications dated…*
- *on-site inspection completed on ….*
- *intrusive investigations comprising…*
- *materials testing of….*
- *ISA report dated…*
- *geotechnical report dated…*

Seismic Retrofit Options (if required)

Depending on the brief, the assessor may wish to include this heading and some options for retrofitting. This may involve addressing the CSWs in turn and the effect this would have on the seismic rating.

Recommended Next Steps (if required)

Depending on the brief, the assessor may wish to include this heading and some recommended next steps.

Technical Summary (present as pages that can be separable from the report)

Technical Summary

The following table summarises the results of a Detailed Seismic Assessment completed using Part C of *The Seismic Assessment of Existing Buildings* document. The overall report provides a detailed assessment of the building's *%NBS* seismic capacity, highlights the key seismic risks and presents recommendations for improvements to mitigate potential risks. The table below presents a summary of the technical inputs to and findings of the assessment.

Building Information	
Building Name/ Description	
Street Address	
Territorial Authority	
No. of Storeys	
Area of Typical Floor (approx.)	
Year of Design (approx.)	
NZ Standard Designed to	
Structural System including Foundations	
Type Relevant Geotechnical Information	
Previous Retrofit	
Heritage Issues	
Assessment Information	
Consulting Practice	
CPEng Responsible	
Date/Version of Drawings Reviewed	
Date Building Inspected	

Previous Assessment Reports	
Summary of Engineering Methodology and Key Parameters	
Any Identified GeoHazards	
Occupancy and Importance Level	
Site Subsoil Class	
Summary of Assessment Methodology Used	
Assessment Outcomes	
Assessed Seismic Rating	<e.g. 45%*NBS* (IL2)>
Seismic Grade	
Describe the Governing Critical Structural Weakness and Likely Mode of Failure	
Conclusions & Recommendations	

<add any additional commentary here only if required.>

Main Report

The structure of the main report will depend on the assessment brief and personal preference. The following is a suggested contents list.

Introduction

Building Description

Results of the Detailed Seismic Assessment

Commentary on Seismic Risks

Commentary on Associated Seismic Risks/Hazards

Seismic Retrofit Options (if required)

Recommended Next Steps (if required)

Appendices