

**EPOLLS: An Empirical Method for Predicting Surface Displacements
Due to Liquefaction-Induced Lateral Spreading in Earthquakes**

Alan F. Rauch

Dissertation submitted to the Faculty of the
Virginia Polytechnic Institute and State University
in partial fulfillment of the requirements for the degree of

Doctor of Philosophy

in

Civil Engineering

James R. Martin, II, Chair
Thomas L. Brandon
J. Michael Duncan
George M. Filz
Ronald D. Kriz
James K. Mitchell

May 5, 1997

Blacksburg, Virginia

Keywords: ground deformation, lateral spreading, lifeline damage, slope stability, soil liquefaction

Abstract

EPOLLS: An Empirical Method for Predicting Surface Displacements Due to Liquefaction-Induced Lateral Spreading in Earthquakes

Alan F. Rauch

In historical, large-magnitude earthquakes, lateral spreading has been a very damaging type of ground failure. When a subsurface soil deposit liquefies, intact blocks of surficial soil can move downslope, or toward a vertical free face, even when the ground surface is nearly level. A lateral spread is defined as the mostly horizontal movement of gently sloping ground (less than 5% surface slope) due to elevated pore pressures or liquefaction in underlying, saturated soils. Here, lateral spreading is defined specifically to exclude liquefaction failures of steeper embankments and retaining walls, which can also produce lateral surface deformations. Lateral spreads commonly occur at waterfront sites underlain by saturated, recent sediments and are particularly threatening to buried utilities and transportation networks. While the occurrence of soil liquefaction and lateral spreading can be predicted at a given site, methods are needed to estimate the magnitude of the resulting deformations.

In this research effort, an empirical model was developed for predicting horizontal and vertical surface displacements due to liquefaction-induced lateral spreading. The resulting model is called "EPOLLS" for *Empirical Prediction Of Liquefaction-induced Lateral Spreading*. Multiple linear regression analyses were used to develop model equations from a compiled database of historical lateral spreads. The complete EPOLLS model is comprised of four components: (1) *Regional-EPOLLS* for predicting horizontal displacements based on the seismic source and local severity of shaking, (2) *Site-EPOLLS* for improved predictions with the addition of data on the site topography, (3) *Geotechnical-EPOLLS* using additional data from soil borings at the site, and (4) *Vertical-EPOLLS* for predicting vertical displacements. The EPOLLS model is useful in phased liquefaction risk studies: starting with regional risk assessments and minimal site information, more precise predictions of displacements can be made with the addition of detailed site-specific data. In each component of the EPOLLS model, equations are given for predicting the average and standard deviation of displacements. Maximum displacements can be estimated using probabilities and the gamma distribution for horizontal displacements or the normal distribution for vertical displacements.

Funding for this study was provided by the National Science Foundation under Grant No. CMS-9358268.

Dedicated to

the courage of my sister

Doris A. Rauch

the strength of my father

Paul H. Rauch

the lasting memory of my mother

Dorothy L. Rauch

Acknowledgements

Compiling data from published investigations of lateral spreads was an essential task in this study. Supplemental information from sites in Japan was obtained through the assistance of Prof. Masanori Hamada of Waseda University, Tokyo, Japan, Prof. Thomas D. O'Rourke and Ms. Samantha Williams of Cornell University, Ithaca, New York, and Mr. Ryoji Isoyama of Japan Engineering Consultants Co., Ltd., Tokyo. In addition, Dr. Steven F. Bartlett of Westinghouse Savannah River Co., Aiken, South Carolina, and Prof. T. Leslie Youd of Brigham Young University, Provo, Utah, generously provided their computer database files on many of the sites used in this study. The assistance of these individuals is greatly appreciated.

Support for this study was provided through Grant No. CMS-9358268 from the National Science Foundation. During my studies at Virginia Tech, I also received financial support as an instructor in the Department of Civil Engineering. More significantly, I was supported in the beginning of my studies at Virginia Tech through the Via Doctoral Fellowship. This support is gratefully acknowledged.

I would especially like to recognize the contributions and many helpful suggestions provided by my dissertation advisory committee members: Professors Thomas Brandon, J. Michael Duncan, George Filz, Ronald Kriz, and James Mitchell. I would like to particularly thank my major advisor, Prof. James Martin, for his support and continuing encouragement.

A note of appreciation also goes to my fellow graduate students in geotechnical engineering for contributing to the challenging, inquisitive atmosphere I found at Virginia Tech. I am especially grateful to Chris Baxter, Diane Baxter, Harry Cooke, Jaco Esterhuizen, Vinnie Perrone, and Eric Pond for their ideas and assistance during this research project.

Finally, I want to thank all of my family for their understanding and support over the last five years. Perhaps the greatest thanks should go to my wife, Anita Amla, whose determined persuasion over a period of years convinced me to return to graduate school for a doctoral degree.

Table of Contents

Abstract.	ii
Dedication.	iii
Acknowledgments.	iv
Table of Contents.	v
List of Tables.	ix
List of Figures.	xii
Chapter 1. Introduction	
1.1. Earthquake Damage Caused by Soil Liquefaction and Lateral Spreading.	1
1.2. Need for New Procedures to Predict Lateral Spreading Displacements.	3
1.3. Overview of Report and New EPOLLS Model.	4
Chapter 2. Soil Liquefaction in Earthquakes	
2.1. Definition of Soil Liquefaction.	7
2.2. Behavior of Saturated, Cohesionless Soils in Undrained Shear.	9
2.3. Susceptibility of Soils to Liquefaction in Earthquakes.	12
2.4. Ground Failure Resulting from Soil Liquefaction.	14
Chapter 3. Liquefaction-Induced Lateral Spreading	
3.1. Description of Lateral Spreading.	19
3.2. Impact of Lateral Spreading on Civil Infrastructure.	20
3.3. Scale Model Simulations of Lateral Spreading.	23
3.4. Behavior of Liquefied Soil in Lateral Spreads.	25
3.5. Movement of Pore Water in a Lateral Spread.	28
3.6. Deformation Within the Liquefied Deposit.	30
3.7. Boundary Effects.	32
3.8. Inertial Effects.	34
3.9. Settlements.	36
3.10. Summary.	36

Chapter 4.	Review of Methods for Predicting Displacements in Lateral Spreads	
4.1.	Introduction to Lateral Spreading Models.	44
4.2.	Review of Finite Element Models.	46
4.3.	Review of Simplified Analytical Models.	49
4.4.	Review of Empirical Models.	56
4.5.	Methods for Predicting Settlements due to Liquefaction.	59
Chapter 5.	Design of New Empirical Model for Lateral Spreading	
5.1.	Nomenclature.	65
5.2.	Selection of Modeling Approach.	66
5.3.	Definition of a Lateral Spread Case Study.	69
5.4.	Overview of the EPOLLS Model.	70
5.5.	General Limitations of the EPOLLS Model.	73
Chapter 6.	EPOLLS Database of Lateral Spreads	
6.1.	Introduction.	79
6.2.	Overview of Case Studies.	80
6.3.	Horizontal and Vertical Displacements.	84
6.4.	Seismological Parameters.	86
6.5.	Geometrical Parameters.	88
6.6.	Topographical Parameters.	89
6.7.	Geotechnical Parameters.	91
Chapter 7.	Analysis of Soil Borings for Geotechnical Parameters in EPOLLS	
7.1.	Introduction.	111
7.2.	Selection of Empirical Method for Liquefaction Assessment.	112
7.3.	Cyclic Resistance Ratio of Soil from SPT Blowcounts.	118
7.4.	Cyclic Stress Ratio Induced by Earthquake.	121
7.5.	Prediction of Liquefied Thickness.	122
Chapter 8.	Distribution of Displacement Magnitudes on Lateral Spreads	
8.1.	Variation in Horizontal and Vertical Displacements.	131
8.2.	Statistical Distributions and Tests for Goodness-of-Fit.	133
8.3.	Distribution of Horizontal Displacements.	136
8.4.	Distribution of Vertical Displacements.	137
8.5.	Prediction of Maximum Displacements.	138
8.6.	Summary.	139
Chapter 9.	EPOLLS Model for Average of Horizontal Displacements	
9.1.	Development of Regional-EPOLLS Component.	161
9.2.	Development of Site-EPOLLS Component.	165

9.3.	Development of Geotechnical-EPOLLS Component.	170
9.4.	Additional Issues Concerning Model Specification.	175
9.5.	Performance of EPOLLS Model for Average Horizontal Displacement. . .	178
9.6.	Criteria for Model Predictions.	183
Chapter 10. EPOLLS Model for Variation of Horizontal Displacements		
10.1.	Overview of Model Development.	202
10.2.	Development of Model Components for Standard Deviation of Horizontal Displacement.	203
10.3.	Evaluation of EPOLLS Model for Standard Deviation of Horizontal Displacement.	206
10.4.	Prediction of Maximum Horizontal Displacement.	207
Chapter 11. EPOLLS Model for Vertical Displacements		
11.1.	Development of Vertical-EPOLLS Model for Average Vertical Displacement.	217
11.2.	Development of Vertical-EPOLLS Model for Variation of Vertical Displacement.	219
11.3.	Evaluation of EPOLLS Model for Vertical Displacement.	221
11.4.	Criteria for Model Predictions.	222
Chapter 12. EPOLLS Model Summary and Conclusions		
12.1.	Liquefaction-Induced Lateral Spreading.	234
12.2.	The EPOLLS Database.	235
12.3.	The EPOLLS Model.	236
12.4.	Performance of the EPOLLS Model.	239
12.5.	Application of the EPOLLS Model.	241
References		246
Appendix A. Listing of the EPOLLS Database		263
Appendix B. References for EPOLLS Case Studies		
B.1.	1906 San Francisco, California, Earthquake.	277
B.2.	1923 Kanto, Japan, Earthquake.	278
B.3.	1948 Fukui, Japan, Earthquake.	278
B.4.	1964 Prince William Sound, Alaska, Earthquake.	279
B.5.	1964 Niigata, Japan, Earthquake.	279
B.6.	1971 San Fernando, California, Earthquake.	280
B.7.	1976 Guatemala Earthquake.	282
B.8.	1979 Imperial Valley, California, Earthquake.	282

B.9.	1983 Nihonkai-Chubu, Japan, Earthquake.	283
B.10.	1983 Borah Peak, Idaho, Earthquake.	283
B.11.	1987 Superstition Hills, California, Earthquake.	284
B.12.	1989 Loma Prieta, California, Earthquake.	285
B.13.	1990 Luzon, Philippines, Earthquake.	287
B.14.	1991 Telire-Limon, Costa Rica, Earthquake.	288
B.15.	1993 Hokkaido Nansei-oki, Japan, Earthquake.	288
B.16.	1994 Northridge, California, Earthquake.	289
 Appendix C. User's Guide for EPOLIQUAN Software		
C.1.	Introduction to the EPOLIQUAN Program.	290
C.2.	Input Data File for EPOLIQUAN.	292
C.3.	Output Data from EPOLIQUAN.	298
C.4.	Source Code Listing for EPOLIQUAN.	300
 Appendix D. Methods for Multiple Linear Regression Analysis		
D.1.	Introduction and Notation.	306
D.2.	Simple and Multiple Linear Regression.	307
D.3.	Category Variables.	308
D.4.	Model Quality and Significance of Regressors.	309
D.5.	Selection of Regressors for Candidate Models.	311
D.6.	Tests for Multicollinearity.	312
D.7.	Tests for Influential Observations.	314
D.8.	Evaluation of Final Model.	316
D.9.	Predictions from a Regression Model.	319
 Appendix E. Example Application of the EPOLLS Model		
Vita		333

List of Tables

Table 2.1.	Classification of soil liquefaction consequences (after Castro 1987).	16
Table 6.1.	Calculation of the EPOLLS geotechnical parameters based on SPT blowcounts and the liquefied thickness in one soil boring.	97
Table 7.1.	Estimated susceptibility of sedimentary deposits to liquefaction during strong seismic shaking (from Youd and Perkins 1978).	124
Table 8.1.	EPOLLS case studies used to investigate the distribution of horizontal displacements.	141
Table 8.2.	EPOLLS case studies used to investigate the distribution of vertical displacements.	142
Table 8.3.	Candidate statistical distributions for representing observed displacements on a lateral spread.	143
Table 8.4.	Critical values of D and W^2 statistics for goodness-of-fit tests.	144
Table 8.5.	Results of Kolmogorov-Smirnov goodness-of-fit tests for three distributions and measured horizontal displacements.	145
Table 8.6.	Results of Cramér-von Mises goodness-of-fit tests for three distributions and measured horizontal displacements.	146
Table 8.7.	Results of goodness-of-fit tests for the normal distribution and measured vertical displacements.	147
Table 8.8.	Values of the gamma distribution at the 99.5 percentile.	148
Table 8.9.	Values of the normal distribution at the 99.5 percentile.	149
Table 8.10.	Values of the normal distribution at the 1.0 percentile.	150
Table 9.1.	Data used to fit and evaluate the EPOLLS model for average horizontal displacements.	186
Table 9.2.	Definition of variables used in the EPOLLS model for horizontal displacements.	187

Table 9.3.	Quality of the fit of the EPOLLS model components for average horizontal displacement.	188
Table 9.4.	Results of double cross-validation analysis for three EPOLLS models.	189
Table 9.5.	Comparison between predictions from the Geotechnical-EPOLLS model and Bartlett and Youd's MLR model.	190
Table 9.6.	Limiting range of EPOLLS model parameters for predicting average horizontal displacement.	191
Table 9.7.	Limiting range of EPOLLS model factors for predicting average horizontal displacement.	191
Table 9.8.	Values of h_{\max} for testing for hidden extrapolation in predicting average horizontal displacement.. . . .	192
Table 9.9.	Parameters for computing prediction intervals on the average horizontal displacement.	192
Table 10.1.	Data used to fit and evaluate the EPOLLS model for the standard deviation of horizontal displacements.	210
Table 10.2.	Quality of fit statistics for the EPOLLS model components for standard deviation of horizontal displacement.	211
Table 11.1.	Data used to fit and evaluate the EPOLLS model for average vertical displacement.	224
Table 11.2.	Data used to fit and evaluate the EPOLLS model for standard deviation of vertical displacements.	224
Table 11.3.	Definition of variables used in the EPOLLS model for vertical displacements.	225
Table 11.4.	Limiting range of EPOLLS model parameters for predicting vertical displacements.	226
Table 11.5.	Values of h_{\max} for testing for hidden extrapolation in the Vertical-EPOLLS model.	226
Table 11.6.	Parameters for computing prediction intervals on the average vertical displacement.	227
Table 12.1.	Range of model parameters corresponding to the limits of the field data used to fit the EPOLLS model components for average horizontal displacement.	243
Table 12.2.	Summary of statistics indicating the quality of fit for the EPOLLS model.	243
Table A.1.	Field names for case study names and displacements in the EPOLLS database.	264
Table A.2.	Field names for seismological parameters in the EPOLLS database.	265
Table A.3.	Field names for geometrical parameters in the EPOLLS database.	266

Table A.4.	Field names for topographical parameters in the EPOLLS database.	267
Table A.5.	Field names for geotechnical parameters in the EPOLLS database.	268
Table E.1.	Summary of predicted displacements (meters) for the lateral spread in Figure E.1.	331

List of Figures

Figure 1.1.	Schematic depiction of a lateral spread resulting from soil liquefaction in an earthquake (after Varnes 1978).	6
Figure 2.1.	Response of (a) contractive and (b) dilative saturated sands to undrained shear.	17
Figure 2.2.	Monotonic and cyclic shear paths on a state diagram.	18
Figure 3.1.	Soil liquefaction and lateral spreading of (a) gently sloping ground and (b) toward a free face.	38
Figure 3.2.	Pipeline damage in (a) perpendicular and (b) parallel crossings of a lateral spread (after O'Rourke and Lane 1989).	39
Figure 3.3.	Earthquake-induced slope movements: (a) flow failure in a contractive soil, and (b) limited deformation in a dilative or contractive soil (after Ishihara 1994).	40
Figure 3.4.	Settling of soil grains in a liquefied soil deposit leading to the upward migration of pore water (after <i>Liquefaction...</i> 1985).	41
Figure 3.5.	Lateral displacement of vertical sections within the liquefied deposit of a lateral spread with a surface layer that is (a) free draining or (b) impervious.	42
Figure 3.6.	Marginal slumping around a lateral spread (after O'Rourke and Lane 1989).	43
Figure 4.1.	Calculation of displacements using Newmark's sliding block model (after Wilson and Keefer 1985).	62
Figure 4.2.	Determination of yield acceleration for Newmark-type analyses of liquefaction-induced lateral spreading (Baziar et al. 1992).	63
Figure 4.3.	Simplified geometry used in derivation of Towhata's minimum potential energy model for lateral spreading (after Towhata et al. 1992).	64
Figure 5.1.	Nomenclature associated with a liquefaction-induced lateral spread.	75
Figure 5.2.	Delineation of four lateral spreads in Noshiro, Japan, for the EPOLLS database (base map from Hamada 1992b).	76

Figure 5.3.	Flowchart showing application of the EPOLLS model in the evaluation of soil liquefaction and lateral spreading.	77
Figure 5.4.	Flowchart for input data used in the four components of the EPOLLS model.	78
Figure 6.1.	EPOLLS case study in San Francisco, California, caused by the 1906 earthquake (base map from O'Rourke et al. 1992a).	98
Figure 6.2.	EPOLLS case studies caused by the 1948 Fukui, Japan, Earthquake (base map from Hamada et al. 1992).	99
Figure 6.3.	EPOLLS case studies along the Alaska Railroad caused by the 1964 Prince William Sound Earthquake (base map from McCulloch and Bonilla 1970).	100
Figure 6.4.	EPOLLS case studies in Niigata, Japan, caused by the 1964 earthquake (base map from Hamada 1992a).	101
Figure 6.5.	EPOLLS case studies east of Niigata, Japan, caused by the 1964 earthquake (base map from Hamada 1992a).	102
Figure 6.6.	EPOLLS case study in San Fernando, California, caused by the 1971 earthquake (base map from O'Rourke et al. 1992b).	103
Figure 6.7.	EPOLLS case studies in Noshiro, Japan, caused by the 1983 Nihonkai-Chubu Earthquake (base map from Hamada 1992b).	104
Figure 6.8.	EPOLLS case studies along the Shiribeshi-toshibetsu River caused by the 1993 Hokkaido Nansei-oki Earthquake (base map from Isoyama 1994).	105
Figure 6.9.	Histograms of average (a) horizontal and (b) vertical displacements in lateral spread case studies compiled in the EPOLLS database.	106
Figure 6.10.	Definitions of distance to earthquake source used in the EPOLLS database.	107
Figure 6.11.	Definition of the <i>Divergence</i> parameter in the EPOLLS database.	108
Figure 6.12.	Definition of EPOLLS parameters from the topography of a lateral spread.	109
Figure 6.13.	Definition of liquefied thickness for EPOLLS when more than one sublayer liquefies.	110
Figure 7.1.	Flowchart for evaluating the liquefied thickness of soil based on SPT blowcounts.	125
Figure 7.2.	Correction factor (C_R) for length of drill rod.	126
Figure 7.3.	Correction factor $\Delta(N_1)_{60}$ for fines content.	126
Figure 7.4.	Base curve for getting $CRR_{M=7.5}$ from corrected SPT blowcount.	127
Figure 7.5.	Magnitude scaling factors for computing CRR.	128
Figure 7.6.	Approximations for the stress reduction factor (r_d) used in computing CSR.	129
Figure 7.7.	Interpolation of SPT data in EPOLIQUAN to predict the liquefied thickness.	130
Figure 8.1.	Modeling the variation in displacement magnitudes on a lateral spread using statistical distributions.	151
Figure 8.2a.	Histograms of measured horizontal displacements with fitted statistical distributions.	152

Figure 8.2b.	Histograms of measured horizontal displacements with fitted statistical distributions.	153
Figure 8.2c.	Histograms of measured horizontal displacements with fitted statistical distributions.	154
Figure 8.3a.	Histograms of measured vertical displacements with fitted statistical distribution.	155
Figure 8.3b.	Histograms of measured vertical displacements with fitted statistical distribution.	156
Figure 8.4.	Empirical density functions of measured horizontal displacements with fitted statistical distributions.	157
Figure 8.5.	Histograms of errors in the maximum horizontal displacement predicted at various percentiles of three statistical distributions.	158
Figure 8.6.	Histograms of errors in the maximum settlement predicted at various percentiles of the normal distribution.	159
Figure 8.7.	Histograms of errors in the maximum uplift predicted at various percentiles of the normal distribution.	160
Figure 9.1.	Residuals of the fitted (a) Regional-EPOLLS, (b) Site-EPOLLS, and (c) Geotechnical-EPOLLS model components.	193
Figure 9.2.	Partial regression plots for regressor variables in Regional-EPOLLS component.	194
Figure 9.3.	Partial regression plots for regressor variables in Site-EPOLLS component.	195
Figure 9.4.	Partial regression plots for regressor variables in Geotechnical-EPOLLS component.	196
Figure 9.5.	Conceptual illustration of possible model bias resulting from lack of data on less damaging lateral spreads.	197
Figure 9.6.	Performance of the (a) Regional-EPOLLS, (b) Site-EPOLLS, and (c) Geotechnical-EPOLLS model components.	198
Figure 9.7.	Performance of R-EPOLLS model at maximum distances to liquefaction events.	199
Figure 9.8.	Histograms of data used to fit the EPOLLS models for average horizontal displacement.	200
Figure 9.9.	$([X]^T[X])^{-1}$ matrices, used to check for hidden extrapolation and compute prediction intervals.	201
Figure 10.1.	Observed relationship between the average and standard deviation of the horizontal displacements in the EPOLLS database.	212
Figure 10.2.	(a) Regional-EPOLLS, (b) Site-EPOLLS, and (c) Geotechnical-EPOLLS model components for standard deviation of horizontal displacements.	213
Figure 10.3.	Residuals of the fitted (a) Regional-EPOLLS, (b) Site-EPOLLS, and (c) Geotechnical-EPOLLS model components.	214

Figure 10.4.	Performance of the (a) Regional-EPOLLS, (b) Site-EPOLLS, and (c) Geotechnical-EPOLLS components in predicting maximum horizontal displacements.	215
Figure 10.5.	Comparison between maximum horizontal displacements predicted with R-EPOLLS model and Youd and Perkins' LSI model.	216
Figure 11.1.	Residuals of the fitted Vertical-EPOLLS model for (a) average and (b) standard deviation of vertical displacements.	228
Figure 11.2.	Partial regression plots for regressor variables in Vertical-EPOLLS model for average vertical displacement.	229
Figure 11.3.	Partial regression plots for regressor variables in Vertical-EPOLLS model for standard deviation of vertical displacements.	230
Figure 11.4.	Performance of the Vertical-EPOLLS model in predicting (a) average and (b) standard deviation of vertical displacements.	231
Figure 11.5.	Performance of the Vertical-EPOLLS model in predicting (a) maximum settlement and (b) maximum uplift.	232
Figure 11.6.	Histograms of data used to fit the Vertical-EPOLLS model.	233
Figure 12.1.	Overview of EPOLLS model for predicting the average and standard deviation of horizontal displacements (<i>Avg_Horz</i> and <i>StD_Horz</i>) in meters.	244
Figure 12.2.	Overview of EPOLLS model for predicting the average and standard deviation of vertical displacements (<i>Avg_Vert</i> and <i>StD_Vert</i>) in meters.	245
Figure C.1.	Instructions for running the EPOLIQUAN software.	291
Figure C.2.	Specifications for the EPOLIQUAN input data file.	294
Figure C.3.	Example input data file for EPOLIQUAN.	297
Figure C.4.	Example output data from EPOLIQUAN.	299
Figure D.1.	Selection of a candidate model based on maximum R^2 or \bar{R}^2	321
Figure D.2.	Selection of a candidate model from a C_p plot.	321
Figure D.3.	Definition of influential observations in a simple linear regression model.	322
Figure D.4.	Evaluation of final model with a \hat{y} -y scatter plot.	322
Figure D.5.	Common patterns in residual plots used to evaluate MLR models (after Montgomery and Peck 1992).	323
Figure D.6.	Partial regression plots used to evaluate MLR models.	324
Figure D.7.	Illustration of hidden extrapolation in a model with two regressor variables (after Montgomery and Peck 1992).	325
Figure E.1.	Hypothetical site data for example application of the EPOLLS model.	332