Use of Performance-Based Engineering Criteria In Motivating Residential Seismic Retrofit

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Past Practice

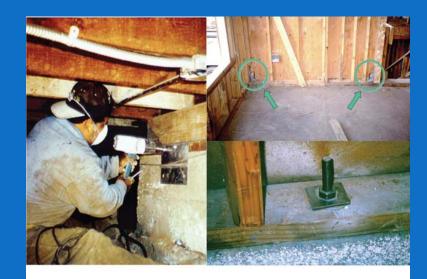
- History of dwelling damage
- Seismic retrofit of dwellings is usually voluntary
- Retrofit is encouraged, but not widely implemented
- Focus is on retrofit of building portions that cause extensive damage and possible risk to occupants
- Standardized methods of evaluating vulnerability have not existed
- Retrofit objective is related to damage reduction, without discussion of resulting building performance





New Document & Assessment Method

- Funded by FEMA
- Prepared by ATC
- Update of precursor documents ATC-50 and ATC-50-1, developed following Northridge Earthquake
- Goal: To develop a tool to encourage the seismic retrofitting of residential structures, thereby reducing future earthquake losses



Simplified Seismic Assessment of Detached, Single-Family, Wood-Frame Dwellings

FEMA P-50 / May 2012





FE	MΑ	P-50 Simplified Seisr For Detached, Single-Fa (Please page)	amily,	Wood-	Frame Dwell	ings	Grade
		Street Address	С	ommunity/	'Area/City	ZIP Code D	ate
		Owner		Insped	ctor	Inspection Form # (or	otional)
For e	each	question, <u>circle only one answer</u> . Circle the one	with high	er penalty i	if more than one ans	swer applies. Exception: qu	estion B-1
Α.	Fou	ndation (If the dwelling has a crawl space, the in-	spector s	hould view	all the areas that ar	re accessible.)	
		, , ,	enalty				Penalty
*A-1	The	e exterior footing is: continuous concrete or reinforced masonry	[0]		he dwelling perimet tem supports a woo	er walls, where the foundat d framed floor:	
A-2	b. The	other footing conditions e lowest floor of the dwelling is:	[4.2]	a.		plate (mudsill) is bolted to average anchor bolt spaci	[0] ng
	a. b. c.		[0] [2.9] [2.9]	b.		plate is fastened to the rofit anchors equivalent to nor bolt spacing	[0]
		floor over crawl space or basement	[2.8]	C.	the anchor bolts had is > 72 in. but <= 1	ave average spacing that 08 in.	[1.7]
*A-3	At 1	the dwelling crawlspace or basement interior, the vest floor framing is supported on:		d.	the anchor bolts ha	ave > 108 in. average	[4.6]
	a. b.	continuous stem walls or a combination of continuous stem walls and beams on posts bearing on concrete footings/piers beams on posts bearing on piers/pad footings	[0]	e.	the foundation sill p splitting, or inadequathird or more of the	plates have extensive deca uate edge distance at one- e anchor bolt locations such of the sill plate could occur	}
	C.	beams on posts supported directly on soil	[2.2]	f.	the anchor bolts ha	ave significant corrosion at	[10.0]
A-4		not applicable: slab-on-grade r a foundation on a slope of 3 horizontal to 1 vertice steeper, the top of the footing or foundation stem v				of the anchor bolt locations at slip of the sill plate could	
		which wall studs or posts are supported is:	vali	g.	there are no found	ation anchor bolts	[15.0]
	a. b.	sloped parallel to the ground slope stepped	[3.7] [1.8]	h.	there are no found the foundation	ation sill plates to connect t	io [15.0]
	C.	at a constant elevation with no steps	[0.6]	i.	not applicable		[0]
	d.	not applicable	[0]	Tot	al		
		perstructure Framing and Configuration (Every ments must be inspected.)	accessib		ch as the attic and u	nder-floor area that reveals	structural

Allow you to:

Assign a Seismic
 Performance Grade



D+

Allow you to:

- Assign a SeismicPerformance Grade
- Identify seismic retrofit opportunities& priorities



D+

Allow you to:

- Assign a Seismic
 Performance Grade
- Identify seismic retrofit opportunities& priorities
- Identify an improved Seismic Performance Grade if seismic retrofit occurs

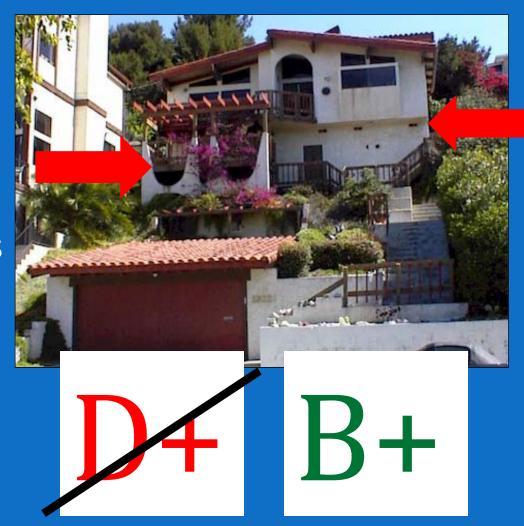


Table 5.	Seismic Performance Grade Based on Structural Score and Seismic Hazard Score

Seismic Ha	zard Score	0 - 1	2 - 3	4 - 5	6 - 7	8 - 9	10 - 12
	1.0 - 45.9	С	C-	D+	D	D-	D-
	46.0 - 64.9	B-	C+	O	D+	D	D-
Structural Score	65.0 - 74.9	B+	B+	В	O	C-	D+
	75.0 - 84.9	A-	A-	Α-	В	B-	С
	85.0 - 100	А	А	А	A-	B+	B-

Seismic Performance Grade A through D

- Generally anticipated seismic performance
- Given structural characteristics & geographic location
- Relative to overall group of detached wood-framed single-family dwellings

Structural Evaluation Areas:

- A. Foundation
- B. Superstructure Framing and Configuration
- C. General Condition Assessment
- D. Nonstructural Elements, Age and Size
- E. Local Site Conditions

Structural Score: 100

A. Foundation: (If the dwelling has a crawl space, the inspector sl

*A-1 The exterior footing is:

a. continuous concrete or reinforced masonry

b. other footing conditions

[0]

[4.2]





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Structural Score: 88.9

Α.	Foundation: (If the dwelling has a crawl space, the inspector s	hould view all the areas that are accessible.)
*A-1	The exterior footing is: a. continuous concrete or reinforced masonry b. other footing conditions [0]	*A-5 At the dwelling perimeter walls, where the foundation system supports a wood framed floor: a. the foundation sill plate (mudsill) is bolted to the foundation with average anchor bolt spacing
A-2	The lowest floor of the dwelling is: a. slab-on-grade [0] b. wood framed over crawl space or basement [2.9]	of 72 in. or less b. the foundation sill plate is fastened to the [0] foundation with retrofit anchors equivalent to 72 in. or less anchor bolt spacing
	c. combination of slab-on-grade and wood framed [2.3] floor over crawl space or basement	c. the anchor bolts have average spacing that [1.7] is > 72 in. but <= 108 in.
*A-3	At the dwelling crawlspace or basement interior, the lowest floor framing is supported on:	d. the anchor bolts have > 108 in. average [4.6] spacing
	a. continuous stem walls or a combination of continuous stem walls and beams on posts bearing on concrete footings/piers	e. the foundation sill plates have extensive decay, [10.0] splitting, or inadequate edge distance at one third or more of the anchor bolt locations such that
	b. beams on posts bearing on piers/pad footings c. beams on posts supported directly on soil d. not applicable: slab-on-grade [U]	significant slip of the sill plate could occur f. the anchor bolts have significant corrosion at [10.0] one third or more of the anchor bolts locations such that significant slip of the sill plate could
A-4	For a foundation on a slope of 3 horizontal to 1 vertical or steeper, the top of the footing or foundation stem wall on which wall study or posts are supported is:	occur g. there are no foundation anchor bolts [15.0]
	a. sloped parallel to the ground slope [3.7]	h. there are no foundation sill plates to connect to [15.0] the foundation
	b. steppedc. at a constant elevation with no stepsd. not applicable[0.6]	i. not applicable [0] Total

*B-3 If the roofing is heavy (i.e., clay or concrete tile) the dwelling is:

a. single story

b. multi-story

c. not applicable: roofing is light.

[1 6]

[3.5]

[0]



*B-5 The exterior wall covering is primarily:

a. siding known to be over plywood or OSB [0] sheathing

b. siding not known to be over plywood or OSB [2.5] sheathing

c. plywood (T1-11) or diagonal wood siding [0]

d. stucco [1.0]

e. masonry veneer not more than 10 feet above the supporting foundation

f. masonry veneer more than 10 feet above the supporting foundation [3.5]



[2.5]

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D. Nonstructural Elements, Age, and Size

Penalty

ves [1 0]

no [2.0]

[1.0]

[0]

*D-1 The chimney inspection revealed:

 properly connected anchor straps tying the masonry/concrete chimney(s) at side of house to the floor, ceiling and roof framing

b. chimney occurs at dwelling interior

dwelling has no masonry/concrete chimney [0]

*D-2 The gas water heater has effective anchor straps and water and gas connections:

no [1.0]

The electric water heater has approved anchor straps:

yes [0] no [0.7]

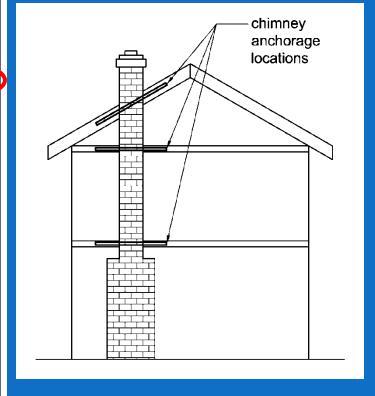
yes

*D-3 An earthquake-activated gas shut-off valve is installed:

yes [0]

no [1.0]

not applicable [0]



^{*}Assessment item that may be improved by seismic retrofit; see page

D. Nonstructural Elements, Age, and Size

Penalty

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 properly connected anchor straps tying the masonry/concrete chimney(s) at side of house to the floor, ceiling and roof framing

o. chimney occurs at dwelling interior

c. dwelling has no masonry/concrete chimney

*D-2 The gas water heater has effective anchor straps and water and gas connections:

The electric water heater has approved anchor straps:

*D-3 An earthquake-activated gas shut-off valve is installed:

yes [0] no [1.0]

not applicable [0]

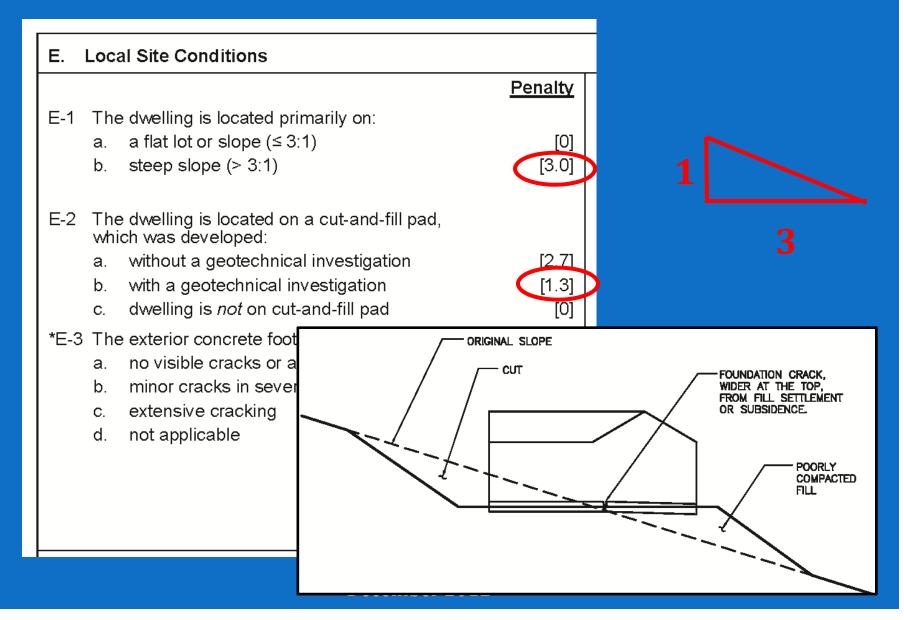
yes [1 0] no [2.0]

> [1.0] [0]

ves [0]

yes [0] no [0.7]

*Assessment item that may be improved by seismic retrofit; see page



G. Determination of Seismic Performance Grade

1.	Stru	ictural	Score
	0110	ucturu	

- a. Foundation (Section A)
- b. Superstructure Framing and Configuration (Section B)
- c. General Condition Assessment
- d. Nonstructural Elements, Age, and Size (Section D)
- e. Local Site Conditions (Section E)

Total Penalty Points (a to e):

Structural Score = (100 – Total Penalty points from line above):

- 2. Seismic Hazard Score (from Section F):
- 3. Seismic Performance Grade (from Table 5)

 Note: insert this grade, including + or -, if

applicable in box on page 1

Penalty Sum

[**11.1**]

[[]27.3 []]

[**1.8**]

[**6.0**]

[**3.3**]

50.5

49.5

4. Anticipated Seismic Performance¹

Following anticipated seismic events:²

Grade A, A-: Excellent Performer (Potential minor structural and finish damage, earthquake damage ratio³ of 0%-10%, continued occupancy is likely)

Grade B, B+, B-: Good Performer (Potential moderate structural and finish damage, continued occupancy likely following minor structural repairs, earthquake damage ratio³ of 0%-50%, seismic retrofit measures are encouraged)

Grade C, C+, C-: Fair Performer

(Potential moderate to major structural and finish damage, structural repairs may be required prior to continued occupancy, earthquake damage ratio³ of 10%-60%, seismic retrofit measures are strongly encouraged)

Grade D, D+, D-: Poor Performer

(Potential severe structure and finish damage requiring significant repairs prior to re-occupancy, earthquake damage ratio³ of 20% – 100%, significant seismic retrofit measures are strongly encouraged)

F.	Regional Seismic Hazard Score				
F-1 F-2	Enter points for shaking hazard potential for location of dwelling (from Table 1). [] Are ground failure hazards to be looked up using		Ground Shaking Points 0 2, 4 6, 8	Ground Failure Points 2 3	
	Tables 2, 3, and 4? yes, go to F-3. no, proceed to F-6 and enter 4.0 points for ground failure hazards	F-5	ls the dwelling located in a fa (from Table 4)?	y ₁	es [2]
F-3	Is this dwelling located in a <u>liquefaction zone</u> (from Table 2) or l <u>andslide zone</u> (from Table 3)? yes, go to F-4. no, go to F-5.	F-6	Total ground failure points fr F-5 (no summation).		no [0]]
F-4	Proceed to F-6 and enter ground failure hazard points in accordance with the following table:	Tot	al Seismic Hazard Score (S	um of F-1 and F-6)	

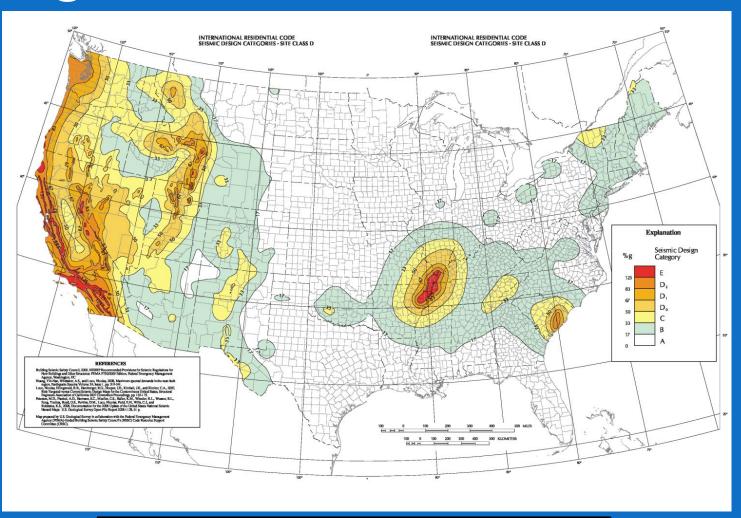
Table 1. Assignment of Ground Shaking Hazard Score

- 1. Use the USGS Seismic Design Maps Web Application (http://earthquake.usgs.gov/designmaps/usapp) to look up ground shaking parameter S_{DS}:
 - a. Press the 'Launch Application' button.
 - b. In the web application, select '2012 IBC' for the Building Code Reference Document.
 - c. Select 'Site Class D "Stiff Soil" (Default)' for the Site Soil Classification.
 - d. Enter the site address or latitude and longitude.
 - e. Press the 'Compute Values' button.
 - f. Read parameter S_{DS} from the summary report. Enter here: _____ g
 - g. Multiply value from 1f by 100: _____%g
- 2. Using the value from 1g, assign ground shaking points according to the following table (these points are assigned in Item F-1):

Value of S _{DS} (% g)	Ground Shaking Hazard Points
33 - 66.99	0
67 - 82.99	2
83 - 124.99	4
125 - 187.99	6
188 - 250	8

¹Note:If you are using the USGS application for the first time, or have recently cleared your web browser cookies, you may have to register for immediate use. Also, if you are using an anti-virus software program, you may have to enable some links to this site, e.g., if you receive a message that says "only secure content is displayed, "you must click on "show all content."

http://earthquake.usgs.gov/designmaps/usapp

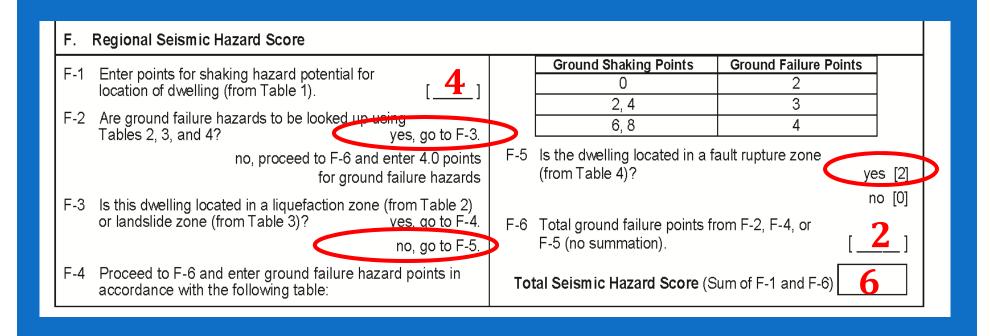


http://earthquake.usgs.gov/designmaps/usapp

December 2012

Table 2. Assignment of Site as Being Within a Liquefaction Zone

- 1. If site is in California, locate site on the California Emergency Management Agency (Cal EMA) MyPlan web site (myplan.calema.ca.gov).
 - a. Enter address in 'Find Location' window.
 - b. Select 'liquefaction' in menu bar to right of map.
 - c. Zoom as needed to see map details.
 - d. If site is located within green zone on map, answer to Question F-3 is 'yes'.
 - e. If site located in non-liquefaction and non-seismic landslide zone on map (generally pale yellow), answer to Question F-3 is 'no'.
 - f. Site not mapped if background is stippled. Go to Step (2).
- 2. If site is not on Cal EMA web site, determine site liquefaction potential/susceptibility using available web resources. See www.ATCouncil.org/pdfs/FEMAP-50LiquefactionInfo.pdf for a list of such resources. Map types shown in these web resources are:
 - a. Liquefaction susceptibility maps. Answer to F-3 is 'yes' if site is in a zone of moderate-to-high liquefaction susceptibility. Answer is 'no' if in a low susceptibility or non-susceptible zone.
 - b. Liquefaction potential maps. Answer to F-3 is 'yes' if site is in a liquefaction potential zone. Answer is 'no' if in a low or null potential zone.
 - c. Liquefaction potential index (LPI) maps. Answer to F-3 is 'yes' if site is has mapped LPI ≥ 5 and no if mapped LPI < 5.
- 3. If the location of the site has not been mapped, Question F-3 can be answered as 'yes' if other local information suggests liquefaction potential and 'no' if such information suggests no such hazards.
- 4. If no maps are available and no information on site conditions is available, answer question F-2 as 'no'.



G. Determination of Seismic Performance Grade

1. Structural Score

- a. Foundation (Section A)
- b. Superstructure Framing and Configuration (Section B)
- c. General Condition Assessment
- d. Nonstructural Elements, Age, and Size (Section D)
- e. Local Site Conditions (Section E)

Total Penalty Points (a to e):

Structural Score = (100 – Total Penalty points from line above):

- 2. Seismic Hazard Score (from Section F):
- 3. Seismic Performance Grade (from Table 5)

Note: insert this grade, including + or -, if applicable in box on page 1

Penalty Sum

[**11.1**]

[[]27.3 []]

[1.8]

[**6.0**]

[**3.3**]

50.5

49.5

6



4. Anticipated Seismic Performance¹

Following anticipated seismic events:²

Grade A, A-: Excellent Performer (Potential minor structural and finish damage, earthquake damage ratio³ of 0%-10%, continued occupancy is likely)

Grade B, B+, B-: Good Performer (Potential moderate structural and finish damage, continued occupancy likely following minor structural repairs, earthquake damage ratio³ of 0%-50%, seismic retrofit measures are encouraged)

Grade C, C+, C-: Fair Performer

(Potential moderate to major structural and finish damage, structural repairs may be required prior to continued occupancy, earthquake damage ratio³ of 10%-60%, seismic retrofit measures are strongly encouraged)

Grade D, D+, D-: Poor Performer

(Potential severe structure and finish damage requiring significant repairs prior to re-occupancy, earthquake damage ratio³ of 20% – 100%, significant seismic retrofit measures are strongly encouraged)

Table 5. Seismic Performance Grade Based on Structural Score and Regional Seismic Hazard Sco	Table 5.	Seismic Performance Grad	de Based on Structural Sc	ore and Regional Seismic Haz	ard Score
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Seismic Ha	zard Score	0 - 1	2 - 3	4 - 5	6 - 7	8 - 10	11 - 12
	1.0 - 45.9	B-	C+	С	D	D-	D-
	46.0 - 64.9	B+	В	C+	D+	D	D-
Structural Score	65.0 - 74.9	Α-	B+	В	O	ΰ	D+
	75.0 - 84.9	A-	Α-	B+	B-	O	С
	85.0 - 100	А	А	A-	B+	В	B-

G. Determination of Seismic Performance Grade

1. Structural Score

- a. Foundation (Section A)
- b. Superstructure Framing and Configuration (Section B)
- c. General Condition Assessment
- d. Nonstructural Elements, Age, and Size (Section D)
- e. Local Site Conditions (Section E)

Total Penalty Points (a to e):

Structural Score = (100 – Total Penalty points from line above):

- 2. Seismic Hazard Score (from Section F):
- Seismic Performance Grade (from Table 5)
 Note: insert this grade, including + or -, if

applicable in box on page 1

Penalty Sum

[**11.1**]

[[]27.3 []]

[1.8]

[6.0]

[**3.3**]

50.5

49.5

6



4. Anticipated Seismic Performance¹

Following anticipated seismic events:²

Grade A, A-: Excellent Performer (Potential minor structural and finish damage, earthquake damage ratio³ of 0%-10%, continued occupancy is likely)

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Grade C, C+, C-: Fair Performer

(Potential moderate to major structural and finish damage, structural repairs may be required prior to continued occupancy, earthquake damage ratio³ of 10%-60%, seismic retrofit measures are strongly encouraged)

Grade D, D+, D-: Poor Performer

(Potential severe structure and finish damage requiring significant repairs prior to re-occupancy, earthquake damage ratio³ of 20% – 100%, significant seismic retrofit measures are strongly encouraged)

Improving the Structural Score

Item	Retrofit Description	Points (circle applicable number)	Priority Retrofit
A-1	Provide continuous reinforced concrete foundation	4.2	
A-3	Provide foundation pads under interior posts	1.4	Yes
A-5	Add anchor bolts or retrofit anchors	1.7 4.6 10.0 15.0	Yes
B-2	Add bracing walls at dwelling exterior	3.2	
B-3	Install lighter roofing	1.6 3.5	
B-4	Install plywood/OSB or steel frame at garage front	3.0	Yes
B-5	Change exterior wall finish	1.0 2.5 3.5	
B-8	Improve bracing at perimeter walls below lowest floor	4.0 7.0 14.0	Yes
C-2	Repair cut structural framing	1.5	
C-3	Repair deteriorated stucco	1.0 2.0	
C-4	Repair deteriorated foundation	0.6 1.3	
D-1	Strap exterior chimney to roof and floors	1.0	
D-2	Provide bracing and flexible water and gas connections for water heater	1.0	Yes
D-3	Provide earthquake-activated gas shut-off valves	1.0	Yes
D-4	Anchor exterior stairs, deck and porch roof	1.0	Yes
E-3	Repair footing cracks	1.0 2.7	
E-6	Improve rain water routing away from foundations	1.3 2.6	Yes

Improving the Seismic Performance Grade

Priority Retrofits: For this dwelling, the Structural Score can be increased by as many as <u>16.4</u> "Priority Retrofit" points (insert sum of points for circled items in rows with "Yes" in Priority Retrofit column). This will increase Structural Score to <u>65.9</u> (Section G, Item 1f Structural Score plus "Priority" retrofit points). This will result in an improved Structural Grade of <u>C</u> (from Table 5, using improved Structural Score).

All Retrofits: For this dwelling, the Structural Score can be increased by as many as 29.3 retrofit points (insert sum of ALL points for circled items). This will increase the Structural Score to 78.8 (Section G, Item 1f structural score plus ALL points circled above). This will result in an improved Structural Grade of 19.4 (from Table 5, using improved Structural Score).

Improving the Seismic Performance Grade

4. Anticipated Seismic Performance¹

Following anticipated seismic events:2

Grade A, A-: Excellent Performer (Potential minor structural and finish damage, earthquake damage ratio³ of 0%-10%, continued occupancy is likely)

Grade B, B+, B-: Good Performer (Potential moderate structural and finish damage, continued occupancy likely following minor structural repairs, earthquake damage ratio³ of 0%-50%, seismic retrofit measures are encouraged)

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(Potential moderate to major structural and finish damage, structural repairs may be required prior to continued occupancy, earthquake damage ratio³ of 10%-60%, seismic retrofit measures are strongly encouraged)

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Communication With Homeowner

Qualitative:

- Overall seismic performance excellent, good, fair or poor.
- Anticipated level of structural damage minor, moderate, moderate to major, and severe. The likelihood of finish damage is noted at all grades.
- Likelihood of continued occupancy likely but not certain, following post-earthquake inspection and minor repairs, following structural repairs, and following significant structural repairs.
- Seismic retrofit encouraged

Basis: expert opinion, limited earthquake damage data, pilot study

Communication With Homeowner

Quantitative:

- Damage ratio cost of repair as a function of replacement cost
 - Grade A 0% to 10%
 - Grade B 0% to 50%
 - Grade C 10% to 60%
 - Grade D 20% to 100%

Basis: EQECAT loss estimation study

Communication With Homeowner

EQECAT Study:

- 76 dwelling models, grades A to D-
- 100 dwelling sites covering range of ground shaking hazard
- Range of seismic events deemed credible by USGS, tied to basis for seismic hazard maps
- 500 year losses (1 in 500 chance of exceedance in year)
- Described to homeowner as event from which they may have to recover

Next Steps

- Convince stakeholders to invest in retrofit
 - Homeowners
 - Insurers rate adjustment or rebate?
 - Government mandate? incentives including rebate?
 - Lenders?
- Must provide confidence that retrofit work will result in improved performance suggested by grade descriptions

Future Needs

 Further confirmation, development of damage ratios, expanding on current limited study, narrow range of

ratios

Grade B, B+, B-: Good Performer (Potential moderate structural and finish damage, continued occupancy likely following minor structural repairs, earthquake damage ratio³ of 0%-50%, seismic retrofit measures are encouraged)

Grade C, C+, C-: Fair Performer (Potential moderate to major structural and finish damage, structural repairs may be required prior to continued occupancy, earthquake damage ratio³ of 10%-60%, seismic retrofit measures are strongly encouraged)

Grade D, D+, D-: Poor Performer (Potential severe structure and finish damage requiring significant repairs prior to re-occupancy, earthquake damage ratio³ of 20% – 100%, significant seismic retrofit measures are strongly encouraged)

Future Needs

- Seismic retrofit guidance that will:
 - Address all assessment items
 - Provide consistent performance objective
 - Written in mandatory code language
 - Provide rigorous minimum requirements
 - Is rigorously linked to improvement in building performance and reduction in damage ratio

Limits of the Methodology

- Due to limits of assessment, performance for an assigned grade could vary widely
- Dwelling construction is inherently variable
- Limited portions of the structure are visible without removing finish materials
- Variability is inherent in seismic hazard
- Owner could choose to perform a more detailed assessment to increase level of knowledge

Acknowledgements

- Michael Mahoney, Jennifer Lynette/FEMA
- John Gillengerten/ FEMA subject matter expert
- Christopher Rojahn, Thomas McLane, John Heintz, Peter Mork/ ATC
- William Holmes/ ATC Project Technical Monitor
- Ronald Eguchi, Kelly Cobeen, Douglas Hohbach, Nicolas Luco, Charles Real, Jonathan Stewart,/Project Management Committee
- Barry Welliver, Susan Dowty, Gary Ehrlich, Mark Legg, Philip Line,
 James E. Russell/ Project Review Panel
- Surya Gunturi, Kate Stillwell, Kamban Parasuraman/ EQECAT
- Janiele Maffei, Shawna Ackerman/ CEA
- ATC-50 & ATC-50-1developers

The work forming the basis of this presentation was conducted pursuant to a contract with the Federal Emergency Management Agency. The substance of such work is dedicated to the public.

Questions, Comments?