ORIGINAL RESEARCH

An empirical method for seismic vulnerability assessment of Nepali school buildings

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Abstract

The 2015 Gorkha earthquake in Nepal damaged more than 28,000 school buildings across the afected areas. Nepali school buildings can broadly be categorized into special momentresisting frame, brick masonry, stone masonry, timber, and composite construction (steel and masonry). This paper proposes a new methodology to designate seismic vulnerability of these building categories. The proposed methodology is based on the feld study of around 3389 school buildings in central Nepal. Structural, non-structural, architectural, site conditions, seismic enhancement and retroftting, and multi-hazard parameters are incorporated to develop a scoring system. Indexed based system is introduced using sensitivity analysis which allows the designation of total vulnerability scores to individual buildings. The scores are modifed based on the level of seismic strengthening/retroftting. Based on the total vulnerability score, a qualitative vulnerability level is assigned to the individual building. The results highlight that more than 90% of Nepali school buildings are moderate to very highly vulnerable.

Keywords Seismic vulnerability · School building · Gorkha earthquake · Brick masonry · Stone masonry · Timber frame

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1 Introduction

Damage to buildings is one of the most serious physical efects of earthquakes. Damaged buildings not only result in economic loss but can kill or seriously injure their occupants. It is one of the major causes of disruption in the society. Seismically vulnerable buildings reduce societal resilience to earthquakes. Seismic vulnerability of buildings in this context refers to their inability to resist earthquake shaking and provide expected safe, functional, and comfortable shelter to their occupants. A large proportion of seismic risk can be reduced by making buildings less vulnerable to ground shaking. A proper understanding of seismic vulnerability of existing buildings in a seismically active area is essential to estimate impending risk and manage it properly.

Seismic vulnerability assessment of buildings and other structures in seismically active regions is a widely addressed research area. Diferent frameworks making use of analytical, experimental, or empirical methods to estimate seismic vulnerability of buildings have been reported in the literature (e.g. Ortega et al. [2019a,](#page-17-0) [b;](#page-17-1) Ahmad et al. [2012a,](#page-16-0) [b](#page-16-1), [2018;](#page-16-2) Ferreira et al. [2020,](#page-16-3) among others). Analytical methods of vulnerability assessment rely on mechanical modelling of building components and are associated with uncertainties that are inherent in nonlinear transient response of structures. Experimental methods can provide more direct assessment of seismic vulnerability, but they are costly and time consuming, and are more feasible for building components than whole buildings. Empirical methods rely on recorded data of damage caused by past earthquakes. Such records, when collected and organized properly, can provide a lot of insight on seismic vulnerability of buildings. Several seismic vulnerability assessment methodologies have been developed and implemented for various building types worldwide (e.g. Vicente et al. [2011;](#page-17-2) Azizi-Bondarabadi et al. [2016](#page-16-4); Neves et al. [2012;](#page-17-3) Benedetti and Petrini [1984](#page-16-5); Lagomarsino and Giovinazzi [2006;](#page-17-4) Ortega et al. [2019a,](#page-17-0) [b](#page-17-1)), among others). Development and validation of vulnerability assessment frameworks generally depend on damage data from earthquakes. Such damage data help identify vulnerable elements and mechanisms in diferent types of buildings. Empirical data haven been successfully used to develop and validate new empirical seismic vulnerability assessment frameworks in Italy, Portugal, Iran, and other countries (see e.g. Del Gaudio et al. [2015,](#page-16-6) [2017](#page-16-7), [2018;](#page-16-8) Azizi-Bondarabadi et al. [2016](#page-16-4); Miano et al. [2019;](#page-17-5) Ferreira et al. [2017;](#page-16-9) among others). Damage data after strong earthquakes are recorded and stored at diferent levels of detail and completeness in diferent parts of the world. It is very rare, although has been reported in Iceland (Bessason et al. [2020;](#page-16-10) Bessason and Bjarnason [2016;](#page-16-11) Rupakhety et al. [2016](#page-17-6)), to have damage data at individual building level. Availability and quality of damage data concerning issues such as correctness, completeness, uniformity in geographical distribution and building typologies are often not optimal and need to be supplemented by some form of expert judgment (see e.g. Gautam et al. [2018a,](#page-16-12) [b](#page-16-13); Porter et al. [2007](#page-17-7)), which can vary in complexity from visual inspection to calculation of simplifed models. FEMA P-154 (FEMA [2015\)](#page-16-14), Bal et al. [\(2008](#page-16-15)), Gulay et al. [\(2011](#page-17-8)), Sucuoğlu et al. ([2007\)](#page-17-9), among others have used visual inspection for seismic vulnerability classifcation of building stocks. Vulnerability classifcation based on visual inspection by experts is cost-efective and quick and is therefore an important tool during post-earthquake safety and loss assessments. They can also be useful for quickly assessing potential seismic risk to many buildings, which becomes necessary for pre-disaster planning and risk mitigation measures.

The 2015 Gorkha earthquake in Nepal caused extensive damage to buildings and lifelines. More details about the earthquake, observed ground shaking, and damage to

structures and lifelines can be found elsewhere (see e.g. Rupakhety et al. [2017](#page-17-10); Rupakhety [2018;](#page-17-11) Gautam [2018;](#page-16-16) Gautam et al. [2018a,](#page-16-12) [b;](#page-16-13) among others). About a million buildings were either collapsed or partly damaged and 8790 people lost their lives (National Planning Commission [2015\)](#page-17-12). The magnitude 7.8 earthquake also caused extensive damage to school buildings: more than 28,000 buildings in 31 out of 75 afected districts were damaged (Adhikari and Gautam [2019\)](#page-16-17). The damage statistics, fragility functions, and damage probability matrices of school buildings are reported by Adhikari and Gautam [\(2019](#page-16-17)). Although masonry buildings are expected to be more vulnerable than reinforced concrete buildings, several examples of higher damage to latter type were observed at similar levels of ground shaking. In most of these examples, the reinforced concrete buildings lacked adequate ductile detailing and were larger in size than masonry buildings. These observations support that taxonomical classifcation based on construction material alone is not reliable for vulnerability assessment. Various other factors contribute to seismic vulnerability of buildings. It is therefore important to identify relevant factors and properties of the existing building stock and develop a rational framework for their vulnerability classifcation. While other methods of vulnerability assessment such as those based on analytical modelling are presumably more rigorous, they involve large uncertainties due to inherent variability in material properties and difculties associated with their numerical simulation. Analytical methods (see e.g. Federal Emergency Management Agency [1997;](#page-16-18) Liu and Kuang [2017](#page-17-13)) become more relevant when construction practices change. Analytical models of seismic vulnerability can be made more reliable by their calibration and/or validation against empirical data. In this context, a qualitative assessment method based on surveys and inspection can be useful for the overall assessment of building stocks. The aim of the proposed method is to develop a user-friendly seismic vulnerability assessment tool that can be used for rapid assessment of many buildings. Such assessment can be useful in prioritization of seismic intervention strategies (see, for example, Grant et al. [\(2007](#page-17-14)) and Mora et al. ([2015\)](#page-17-15)). They can also be used for rapid loss and needs assessment after an earthquake as well as for assessing safety to occupants against imminent aftershocks which follow large earthquakes. To this end, a method incorporating various characteristics of reinforced concrete (RC), load bearing (LB), steel frame (SF), and timber frame (TF) school buildings in central Nepal is developed and implement for their seismic vulnerability assessment.

2 Post‑earthquake damage assessment

After the 2015 Gorkha earthquake, detailed assessment of school buildings in the 14 severely afected districts in central Nepal was conducted. Two separate forms were developed to collect the feld data. The frst form was developed to obtain information related to schools. Information such as their location, type of building, number of blocks, among others were collected in the frst form. The second form collected more detailed information of individual buildings (blocks). These information include damage level, construction year, history of addition and modifcation, retroftting, proximity to next block, plumb level check, plan shape, length, breadth, height, ofset of the building, plan of the structure, building exposure against liquefaction, slope failure/rock fall hazard, number of stories, foundation type, continuity of plinth beam, and type of structure (reinforced concrete, masonry, steel frame, timber frame, etc.). In addition, information regarding foor structure, foor to wall/frame connection, damage to foor, masonry wall type, type of masonry

(dressed/undressed), wall thickness, wall panel length, wall height, size of openings, distance of openings from the end of the wall, wall connection, horizontal and vertical bands on wall, story height, infll material, infll wall thickness, wall ofset, size of column/beam, rebars and sizes, short/captive column, type of steel section are collected. Information on types of connections, type of timber, deterioration in masonry/concrete, deterioration in mortar, damage to the boundary wall, shape and type of roof, roofng structure, roofng material, roof structure connection to the main structure and roofng material, parapets and pediments, damage to parapet and pediment, structural redundancy, load path regularity, mass regularity, vertical regularity, weak and soft story, retroftting type, type of seismic enhancement, construction quality, among others are also collected in the form. ["Appen](#page-10-0)[dix"](#page-10-0) provides a combined version of the two forms. This form was used to collect data from 3389 buildings which were all inspected in detail in the feld. These buildings represent reinforced concrete (RC), load bearing (LB), steel frame (SF), and timber frame (TF) structures in central Nepal. An example of the diferent types of these buildings is shown in Fig. [1.](#page-3-0)

3 Development of vulnerability analysis framework and application to Nepali school buildings

The collected feld data was used to assess seismic vulnerability of individual school buildings. After a detailed study of the information collected from the 3389 buildings, four broad vulnerability factors, viz., (1) workmanship and age, (2) geometry, (3) structure, and (4) seismic components were identifed, as shown in Fig. [2](#page-4-0). The structure factor was further divided into three sub-factors viz., foor structure, roof structure, and wall/frame structure with relative weights of 30%, 20%, and 50%, respectively. Each of these factors and sub-factors are

Fig. 1 Building classes considered for development and implementation of the vulnerability assessment framework proposed in this study **a** reinforced concrete (RC), **b** stone masonry (LB), **c** brick masonry (LB), **d** steel frame, and **e** timber frame

Fig. 2 Newly developed vulnerability assessment framework for school buildings in Nepal

assigned a numerical value/score in the range 1–5, with higher number representing higher vulnerability.

The score of the workmanship and age factor is based on six parameters. Building age, intermediate modifcation, deterioration of masonry unit, mortar deterioration, concrete deterioration, and overall quality of construction were respectively assigned weights of 15%, 20%, 20%, 20%, 10%, and 5%. The score of the geometry factor is based on plan characteristics, vertical regularity, short/captive column, height to width ratio (H/B ratio), length to width ratio (L/B ratio), number of stories, load path regularity, wall/column continuity from foundation to roof with respective weights of 15%, 20%, 10%, 15%, 10%, 15%, 10%, and 5%. For foor structure sub-factor, foor type and foor connection were considered with equal weights of 50%. Under roof structure sub-factor, shape of roof, roofng structure, roofng material, roof-foor connection, parapets, and pediments were considered with respective weights of 5%, 30%, 20%, 30%, 10%, and 5%. For wall/frame structure, wall type, height to thickness ratio (H/t), length to thickness ratio (L/t), extent of opening, wall connection, and number of bays were considered with respective weights of 30%, 25%, 15%, 20%, 5%, and 5%. The seismic components factor was further categorized into seismic enhancement and vertical bands/ reinforcements in masonry buildings with equal weights of 50%. The weights were assigned based on a previous study that studied component level damage probability matrices (Adhikari and Gautam [2019](#page-16-17)). The weights were also determined using the relative proportion of damage in each of each these factors and sub-factors and their potential efects in overall damage and failure modes. The vulnerability score corresponding to each of the four factors is defned as a weighted score of its sub-factors as depicted in Eq. [\(1\)](#page-4-1).

Workmanship and age factor = $0.15 \times$ *Building age* + $0.2 \times$ *Modification* + 0.2

× *Masonry deterioration* + 0.2 × *Mortar deterioration* + 0.1 × *Concrete deterioration* + 0.05 × *Wall column continuity*

(1)

Scores of the other three factors were estimated similarly using the weights mentioned above (see Fig. [1](#page-3-0)). The Total Vulnerability Score (TVS) was then estimated using Eq. ([2\)](#page-5-0) as follows:

$$
TVS = 0.2 \times Workmanship and age factor + 0.2 \times Geometry + 0.5 \times Structure + 0.1 \times Seismic components
$$
 (2)

The total vulnerability contribution by the structure factor is given by Eq. ([3\)](#page-5-1):

$$
Structure factor = 0.3 \times floor structure + 0.2 \times roof structure + 0.5
$$

$$
\times \text{ wall or frame structure}
$$
 (3)

Contributions of foor, roof, and wall/frame component to the overall score are calculated separately as:

$$
Floor structure = 0.5 \times floor type + 0.5 \times floor connection
$$
 (4)

Similar equations were used for roof structure and wall or frame structure considering their corresponding weights. A detailed overview of relative and absolute weights of diferent subcomponents is also shown in ["Appendix"](#page-10-0).

As seismic components were rare in the inspected buildings, lesser weight was assigned to this factor. The TVS is subsequently modifed using two parameters. The frst is the risk of structural pounding which, if present, increases the overall score by 10%. The second is the retroftting component, which, if present, decreases the score depending on the type of retroftting. After these modifcations, the Final Vulnerability Score (FVS) was obtained for each building. The fnal scores were then divided by 4 so that the normalized scores lie in the range $0-1$. Thereafter, qualitative vulnerability levels corresponding to diferent ranges of values of FVS were defned. This defnition, as for any qualitative scale, carries with it a certain degree of subjectivity. The levels described here were based on observations of damaged buildings. The descriptions of expected performance at diferent levels of shaking for each of these vulnerability levels is provided in Table [1.](#page-6-0) A limitation of descriptions is that they only provide a rough estimate of actual performance of buildings. This is due to lack of data detailed data on shaking intensity and a detailed quantitative estimate of damage. It is therefore expected that the vulnerability levels and their descriptions presented will need to be improved when more detailed data becomes available, for example after future earthquakes in the study area and other similar regions. It is also noted that none of the buildings studied in this work was classifed in the 'Very low' class and therefore the description/designation of this class is based on expected performance rather than observed damage. Weights of the factors and sub-factors were adjusted in several trials in many case study buildings.

After the initial design of the vulnerability assessment method, several feld visits were conducted to adjust the weights of the diferent factors and sub-factors. Diferent types of school buildings were covered in these feld inspections. Similarly, mock assessments were conducted by the developers, practitioners, and experts to assure the reliability of the method. Three expert structural engineers having prior experience on seismic vulnerability assessment and numerical modeling of structures conducted feld assessment of each type of building and the scores obtained from surveyors were tallied and adjusted. Furthermore, the weight for each component was also reviewed by the experts. Experience from damage caused by past earthquakes reported in the literature (see e.g. Gautam et al. [2016;](#page-16-19) Rupakhety et al. [2016;](#page-17-6) Ahmad et al. [2012a](#page-16-0), [b;](#page-16-1) [2014](#page-16-20); Ali

Table 1 Correspondence between vulnerability score and vulnerability class. Moderate, strong and very strong shaking refer to PGAs of 0.1 g, 0.4 g, and 0.6 g, respectively **Table 1** Correspondence between vulnerability score and vulnerability class. Moderate, strong and very strong shaking refer to PGAs of 0.1 g, 0.4 g, and 0.6 g, respectively et al. [2013\)](#page-16-21) were helpful in assigning and refning the weights assigned to the diferent factors and sub-factors discussed above.

4 Results and discussion

The newly developed seismic vulnerability assessment framework was used to assess 3389 school buildings from 14 districts in central Nepal. Buildings were classifed as reinforced concrete construction (RC), load bearing (LB), steel frame (SF), and timber frame (TF), which respectively constitute 968, 786, 1458, and 177 samples. Figure [2](#page-4-0) shows types of buildings considered for the development and implementation of the newly proposed vulnerability assessment framework. The fnal vulnerability score was computed for each building and converted to a qualitative vulnerability level ranging from very low to very high as shown in Table [1.](#page-6-0)

The percentage of diferent building types in each of the 5 qualitative vulnerability classes is shown in Fig. [3](#page-7-0). About 85% of buildings are in moderate vulnerability class or higher. None of the RC building is in very high vulnerability class. School buildings should have more stringent and continuous quality control and therefore better seismic performance than common residential buildings. Vulnerability of school buildings studied in this study seems to be high despite their need to be resilient to seismic action. The classifcation shows that, as expected, LB buildings are more vulnerable than RC buildings. About 30% of LB buildings have high seismic vulnerability. More than 95% of such buildings are classifed in the moderate to very high vulnerability classes. The vulnerability of SF (steel frame) and RC buildings is similar except that slightly more of the former lie in high vulnerability class. Steel frame constructions were improved after the 1988 earthquakes in Nepal. Although the structural systems in such buildings are robust, other factors such as stone masonry infll walls increase their overall vulnerability score. All the TF (timber frame) buildings are classifed in moderate and high vulnerability classes. It should be noted that the number of TF buildings analyzed in this study is limited. Although timber frame constructions are generally known to have better seismic performance than other constructions (see, for example, Bessason et al. [2020](#page-16-10); Rupakhety et al.

[2016](#page-17-6); Gautam et al. [2016\)](#page-16-19), such constructions in the study area have defciencies such as inadequate ductile detailing of joints and lack of other anti-seismic measures. The overall results show that a large proportion of school buildings could sustain signifcant damage during moderate or strong earthquakes. This could result in severe disruption of school activities, and in the worst cases serious injuries or fatalities if an earthquake occurs during school hours.

The proposed vulnerability scores are compared with the damages observed in the school buildings afected by the 2015 Gorkha Earthquake and its aftershocks. PGA at each of the buildings is estimated from the USGS Shakemap (United States Geological Survey [2017](#page-17-16)). An estimate of damage sustained by each of the buildings is made from the descriptions of damage collected during feld surveys. The damage is quantifed by damage ratio (DR) which varies from 0 for no damage to 1 for complete loss. Based on feld observations and qualitative description of damage obtained from the survey forms, each building is assigned a DR. In an ideal scenario, for a given ground shaking, DR of a building should positively correlate with its vulnerability score. Deviations from this ideal behavior can be expected in practice due to lack of volume and quality of data. For example, the PGA estimated from Shakemap provides only a crude approximation of the actual shaking experienced by a building, and this parameter is known to be associated with large spatial variability even within small distances and is not very strongly correlated with damage (see, for example, Rupakhety et al. [2016](#page-17-6)). The other source of uncertainty lies in the estimated damage ratios. Since the estimates are based on approximations inferred from qualitative descriptions of damage rather than detailed engineering calculations, they lack in resolution and accuracy. Due to these factors, it is not meaningful to expect positive correlation between DR and vulnerability index (VS) of individual (or a few) building(s) located in a close vicinity. Nevertheless, on the average, buildings with higher VS should experience higher damage than those with lower VS when subjected to the same PGA. We investigate such dependence using data from 1047 damaged buildings of diferent typologies used in this study. PGA at these buildings are estimated to be in the range of 0.04–0.72 g. Most of the data comes from buildings with estimated PGA of 0.12 g, 0.28 g, 0.32 g, and 0.6 g, with respective frequencies of 158, 105, 352, and 55. Buildings exposed to each of these PGA values were grouped into diferent bins based on their DR. The mean DR and VS in each bin are then investigated separately for each of the PGA values. The results of this investigation are shown in Fig. [4](#page-9-0). For each of the PGA values, buildings assigned higher VS proposed in this study sustained, on the average, higher damage. The Pearson correlation coefficient between DR and VS is 0.95 , 0.89 , 0.97 , and 0.83 for buildings exposed to PGAs of 0.12 g, 0.28 g, 0.32 g, and 0.6 g respectively. These correlations are statistically signifcant at 5% confdence limit for 0.12 g and 2% confdence limit for 0.32 g PGA bins. The confdence limits for 0.28 g and 0.6 g bins, which contain fewer data, were higher at 11% and 17%. This might imply that the correlation is not statistically signifcant, but this observation needs to interpret with caution because the number of observations in these PGA bins is few.

5 Discussion and conclusions

Following the 2015 Gorkha earthquake in Nepal, an extensive feld survey of school buildings was carried out in central Nepal. Based on the patterns and severity of damage observed during the feld surveys, a new framework to assess seismic vulnerability of such buildings is proposed in this study. Vulnerability assessment in the proposed method is based on four main factors, viz., workmanship and age, geometry, structure, and seismic components. These four factors are subdivided into 30 other sub-factors

Fig. 4 Comparison between VI and DR of buildings damaged the 2015 Gorkha earthquake and its aftershocks

and scores in the range of 1–5 are assigned to each of them. A weighted sum of the vulnerability scores of the diferent sub-factors is defned as the total vulnerability score. Vulnerability modifers are used to account for the risk of pounding and the presence of anti-seismic features. The modifed total vulnerability is called the fnal vulnerability score, which lies in the range of 0–1.

The results show that most of the buildings are moderate to highly vulnerable. Damage data obtained from feld surveys show that moderate to high vulnerability implies damage ratios in the range of 0.15–0.8 for PGAs in the range of 0.12–0.8 g. Even for ground shaking as moderate as PGA of 0.12 g, some of these buildings were found to sustain DR up to 0.65. Such high DR is due to partial damage to structural systems. Lower DR corresponding to minor damage to structural elements and signifcant damage to non-structural infll walls were more frequent. Although these types of damages do not necessarily cause the building to collapse, they can result in serious harm by seriously or even fatally injuring the building occupants. Moreover, these types of damages can result in loss of function of the building, which results in interruption of school activities.

A large proportion of timber frame buildings were found to have moderate to high vulnerability. Their vulnerability is associated more with inadequate connection between structural elements and fragility of non-structural elements such as infll walls rather than weakness of the structural elements. Even in case of steel frame buildings with robust structural elements connected properly, seismic vulnerability is moderate to high due to fragilities of infll walls and other non-structural elements. The overall results indicate an urgent need for improving seismic performance of school buildings in Nepal, not only from the perspective of structural performance, but also in terms of behavior of non-structural elements, in particular the commonly used heavy stone masonry walls, which pose grave threat to the building occupants.

The VS assigned to the school buildings were compared to damage sustained by these buildings due to ground shaking caused by the 2015 Gorkha earthquake and its aftershocks. Strong positive correlation exists between damage ratio and vulnerability score of buildings exposed to similar levels of PGA. The correlation was found be to statistically significant in most cases where sufficient data for statistical inference is available. This shows that the vulnerability scores assigned by the proposed framework in a good indicator of the actual vulnerability of school buildings in the study area.

The proposed methodology can be implemented quickly for a large population of buildings and is therefore useful for rapid vulnerability assessment of the building stock. Such assessments are useful for risk assessment, identifying weaknesses, and planning mitigation measures for earthquake disaster risk reduction. The proposed vulnerability is not intended to provide an accurate estimate of the actual vulnerability of a building type, but it provides a good classifcation of diferent building classes for overall planning of disaster mitigation activities. The proposed VS is not a quantitative measure of seismic vulnerability required for detailed seismic loss estimation. However, the proposed VS is based on similar principles as the Vulnerability Index (VI) used in the Vulnerability Index Method which is one frst level of seismic risk assessment method in urban areas outlined in the RISK-UE project (Mouroux and Brun [2006\)](#page-17-17). The VS, like the VI, can be converted, through empirical evidence, to expected damage conditioned on ground shaking intensity (see, for example, Ródenas et al. [2018](#page-17-18)). The volume, spatial density, and detail of damage data available in the study area is not sufficient yet for such applications. It is therefore essential to collect more detailed damage data after future earthquakes. The proposed study, in this sense, is the frst step towards quantitative vulnerability description of school buildings in Nepal. The school building types covered in this study represent more than 90% of existing school buildings in Nepal. Due to similarities in construction systems, workmanship, and quality, the method developed in this study is expected to be useful throughout the country. This method could also be adapted to buildings in Bhutan, India, Pakistan, and Afghanistan as they share many common features in their construction systems and materials. Collection and sharing of ground shaking and damage data from future earthquakes in these areas will be crucial for further advancing the proposed method for quantitative seismic loss/risk assessment.

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Appendix

See Table [2.](#page-11-0)

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