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John Douglas, David Boore

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High-frequency filtering of strong-motion records

John Douglas · David M. Boore

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Abstract The influence of noise in strong-motion records is most problematic at low and high frequencies where the signal to noise ratio is commonly low compared to that in the mid-spectrum. The impact of low-frequency noise (< 1 Hz) on strong-motion intensity parameters such as ground velocities, displacements and response spectral ordinates can be dramatic and consequentially it has become standard practice to low-cut (high-pass) filter strong-motion data with corner frequencies often chosen based on the shape of Fourier amplitude spectra and the signal-to-noise ratio. It has been shown that response spectral ordinates should not be used beyond some fraction of corner period (reciprocal of the corner frequency) of the low-cut filter. This article examines the effect of high-frequency noise (> 5 Hz) on computed pseudo-absolute response spectral accelerations (PSAs). In contrast to the case of low-frequency noise our analysis shows that filtering to remove high-frequency noise is only necessary in certain situations and that PSAs can often be used up to 100 Hz even if much lower high-cut corner frequencies are required to remove the noise. This apparent contradiction can be explained by the fact that PSAs are often controlled by ground accelerations associated with much lower frequencies than the natural frequency of the oscillator because path and site attenuation (often modelled by Q and κ , respectively) have removed the highest frequencies. We demonstrate that if high-cut filters are to be used, then

J. Douglas

Earthquake Engineering Research Centre, University of Iceland, Austurvegur 2A, Selfoss, IS-800, Iceland and RNSC/RIS, BRGM, 3 avenue Claude-Guillemin, BP 36009, 45060 Orléans Cedex 2, France

D. M. Boore

US Geological Survey, Mail Stop 977, 345 Middlefield Road, Menlo Park, CA 94025, USA

their corner frequencies should be selected on an individual basis, as has been done in a few recent studies.

Keywords strong-motion data · ground-motion prediction equations · ground-motion models · filtering · response spectra · stochastic method · κ

1 Introduction

In the past decade with the growing interest in displacement-based design and analysis (e.g. Fajfar, 1999; Bommer and Elnashai, 1999; Priestley et al, 2007) and with near-source digital recording of a number of large earthquakes (e.g. 1999 Chi-Chi), many articles have been published discussing the processing of strong-motion records to obtain reliable ground displacements and long-period (> 2 s) response spectral displacements (SDs) (e.g. Boore, 2001, 2004; Akkar and Bommer, 2006; Jousset and Douglas, 2007; Paolucci et al, 2008; Rupakhety et al, 2010). In contrast, the processing of accelerograms to obtain reliable short-period (high-frequency) ($T < 0.1$ s, $f_{osc} > 10$ Hz) spectral accelerations has not received much recent attention. However, the design and analysis of non-structural elements, equipment and pipework (e.g., in nuclear power plants) requires predictions of earthquake ground motions up to high frequencies (e.g. US Nuclear Regulatory Commission, 2007, 2008) and, consequently, a number of recent ground-motion prediction equations (GMPEs) present coefficients to predict pseudo-absolute response spectral accelerations (PSAs) up to 100Hz (e.g. Power et al, 2008).

During the era of analogue accelerographs (e.g. Kinematics SMA-1) an active topic of research was the processing of strong-motion records to remove the effect of instrument response, which affects high-frequency measurements from such instruments (e.g. Trifunac, 1972). However, correction for instrument response for records from these instruments leads to magnifications of high-frequency noise that then needs to be filtered out since it can dominate the signal (e.g. Converse and Brady, 1992). Time series from digital accelerometers generally do not require adjustment for instrument response because either such instruments already correct for their own response or the instrument has such a high natural frequency (> 50 Hz) that such a correction is deemed not necessary. Records from such instruments, however, usually contain high-frequency noise, particularly if the analogue-to-digital converter (ADC) has a low (10 or 12bit) resolution or they are located at sites affected by ambient (cultural), wind or wave sources of noise (Figure 1). In addition, some strong-motion

stations are affected by mono-harmonic high-frequency noise, which can be caused by proximity to electrical generators or vibrating machinery (Figure 2). For these two examples the high-frequency PSAs are not greatly affected by the noise, even though it is quite noticeable in their Fourier amplitude spectra (FAS). However, it is important to know when this is the case; when records need to be high-cut filtered (and how to select the corner frequencies of the filters); and when the noise is too great and the data must be rejected. Unfortunately, as noted above, there is little guidance in the literature on what processing should be applied and its effect on obtained response spectral accelerations.

Records with poor high-frequency signal-to-noise ratios are likely to be those with low amplitudes, i.e. from small earthquakes and/or long distances. Therefore, it could be argued that the appropriate processing of such records is of limited interest for engineering purposes. However, when deriving GMPEs it is important that the datasets used are not biased by only including those records that are of higher than average amplitudes, which would be the case if only records with high signal-to-noise ratios were selected. This is a similar situation to not accounting for untriggered instruments when conducting regression analysis (e.g. Bragato, 2004). Hence, extraction of reliable ground-motion parameters from noisy records, even if they come from small earthquakes or large distances, is necessary.

The aim of this article is to present examples of high-cut filtering and its effect on PSAs and give guidance on such filtering, in particular of records from digital instruments. In addition, we assess the impact of not applying high-cut filtering on noisy records because, contrary to what would be expected, high-cut filtering is not always required or desirable even for noisy records. The article begins with a brief review of previous recent work on this topic. Following this some examples of the effect on computed PSAs of filtering of records (both real and simulated) affected by different levels of noise (both real and simulated) from sites with high and low κ (e.g. Anderson and Hough, 1984) are shown. The article ends with some guidance on high-frequency filtering. In the following, since we are interested in high-frequency PSAs, most spectra start at 5 Hz and end at 100 Hz (the highest frequency generally considered in engineering seismology). All PSAs considered here are for linear elastic systems and a critical damping ratio of 5%.

[Fig. 1 about here.]

[Fig. 2 about here.]

2 Previous studies

The Basic strong-motion Accelerogram Processing (BAP) software written by the USGS (Converse and Brady, 1992) or derivatives are commonly used for the routine filtering of acceleration time series. This software includes a routine (HICUT) for high-cut filtering using a cosine half-bell taper in the frequency domain [this is applied after the instrument correction subroutine (INSCOR) for analogue records]. Guidance in the BAP manual (Converse and Brady, 1992) on the frequencies to be used for the filter transition (roll-off and cut-off) of this filter is limited. The default values are: 50–100Hz for digitally-recorded records and for records that were digitized by the automatic trace-following laser digitizer employed by the USGS; and 15–20Hz for manually digitized records. However, it is noted that the ‘50-to-100Hz transition will be too high for many records ... [and] ... the 15-to-20Hz transition will be unnecessarily low for other records. Consequently, the user should either indicate the transition band explicitly ... or carefully consider whether the default provided by the software is appropriate’ (Converse and Brady, 1992). Converse and Brady (1992) present some examples showing the importance of choosing appropriate filter transitions for analogue records on which the noise has been magnified by correction for instrument response. In this article only records from instruments not requiring instrument correction are considered and consequently the examples from Converse and Brady (1992) are of little relevance here.

The recommendations of Converse and Brady (1992) influenced the decision of Ambraseys et al (2005), when deriving GMPEs based on European and Middle Eastern data, to use uniform transitions of 23–25Hz for analogue records (following instrument correction) and 50–100Hz for digital records (without instrument correction) irrespective of the high-frequency noise. GMPEs were derived by Ambraseys et al (2005) for peak ground acceleration (PGA) and spectral accelerations (SAs) for $T \geq 0.05$ s ($f \leq 20$ Hz); a period range that was chosen based on the high-cut filters used. The high-cut filtering applied may influence the predictions for PGA and SA for periods less than 0.1 s but, as shown below, the effect is unlikely to be strong because the generally high κ in the active regions providing the data used by Ambraseys et al (2005) means that there is little energy in the strong-motion data at frequencies above 10Hz. Table 1 presents the highest frequencies for which GMPEs were derived for various models and the reasons (when known) why higher frequencies were not considered [see also Section 5 of Douglas (2003a)]. This table shows

that worries over the accurate recovery of high-frequency PSAs from filtered strong-motion records influenced the authors' decisions on the highest frequency for which to provide equations. It also shows that considerable interpolation between GMPEs for PGA and those for high-frequency PSAs is often required, which brings with it uncertainty in deciding on a frequency to associate with PGA.

[Table 1 about here.]

Boore and Bommer (2005) provide an overview of techniques for processing strong-motion data. They briefly discuss high-cut filtering but their main focus is on long-period motions. They show examples (their Figure 6) contrasting the high-frequency content of strong-motion records from sites with a low κ (with significant high-frequency motions) and sites with a high κ (for which any high-frequency motions have been attenuated by the travel path). They also discuss the importance of the Nyquist frequency (equal to half the sampling rate of the data) beyond which motions cannot be measured.

When processing strong-motion data for the Next Generation Attenuation (NGA) database the cut-off frequencies of both low- and high-cut filters were selected by visual inspection of each time series and associated FAS (Darragh et al, 2004; Chiou et al, 2008). This is unusual, as the individual selection of high-cut filters has not generally been standard practice in processing strong-motion data, for even if care is taken in the choice of low-cut filters, uniform high-cut filters are often employed (e.g. Ambraseys et al, 2005). After filtering acceleration time series for the NGA database, the PSAs were computed up to 100Hz even if the high-cut filter applied had a much lower corner frequency (this is in contrast to low-cut filtering for which a lowest usable frequency was reported). For example, even some recent digital records were high-cut filtered with frequencies less than 10Hz (NGA Flatfile 7.3, peer.berkeley.edu/products/nga_flatfiles_dev.html) but PSAs were used from these records up to 100Hz by the NGA developers.

High-frequency noise levels on some high-quality strong-motion data recorded on 24 bit instruments are sufficiently low that high-frequency filtering is not required (Figure 3). However, low noise is uncommon and consequently the level of the high-frequency noise should be considered if PGAs and PSAs above 10Hz are of interest — the following sections discuss this. Figure 3 demonstrates the danger in applying high-cut filters to records from stations with low κ values because there is considerable high-frequency energy present, which would be removed by standard filtering; this issue is discussed below. For this record there

is little indication of natural attenuation of the ground motion at frequencies as high as 40 to 50 Hz, and therefore the high-cut anti-aliasing filter in the instrument has probably distorted the true PSA at high frequencies. The Nyquist frequency for this record is 62.5 Hz, but if the sample rate for this recording had been much higher it is likely that PSA at high frequencies would have been different than shown in the figure. On the other hand, Figure 3 shows that variations in PSA occur at frequencies well above the Nyquist frequency of 62.5 Hz. There is no inconsistency here, for the PSAs at oscillator frequencies near 100 Hz are being determined by lower frequencies in the input record (in this case, the lack of high-frequency motion in the input record is due either to the applied high-cut filters or the instrumental anti-aliasing high-cut filter).

[Fig. 3 about here.]

3 Effect of high-frequency noise on PSAs

The example of the noisy record with high κ [about 0.06 s based on inspection of a linear-log plot of the Fourier amplitude spectrum, following Anderson and Hough (1984)] presented on Figure 1 shows that although the noise dominates above 20 Hz on the Fourier amplitude spectrum it does not have an effect on the response spectrum. In addition, high-cut filtering does not greatly affect the PSAs. This section investigates when this behaviour can be expected.

The effect of high-frequency filtering on PSAs for records with different noise corner frequencies (f_n) is demonstrated by Figure 4. This figure shows the effect of filters of different f_c on PSAs with oscillator frequencies (f_{osc}) less than and greater than f_n . The PSAs are for the records shown in Figures 1 and 2, for which f_n s of 22 Hz and 48 Hz are estimated (see FAS shown in the original figures). Of particular relevance is the relation of f_{osc} and f_c to f_n , rather than the absolute values of the frequencies. For this reason we plot the PSA ratios against the normalized frequency f_c/f_n . The PSA ratios from both records approach unity (i.e., the PSAs are unaffected by the filtering) when f_c is greater than about half f_n (corresponding to about 11 Hz and 24 Hz for the records shown in Figures 1 and 2 respectively), but if smaller f_c than f_n were used PSA would be significantly underestimated, even for high-frequency oscillators. This is because the oscillator response is being controlled by lower-frequency motions, and filtering at a frequency less than the noise corner is clearly removing signal from the record. This shows the importance of not using a standard f_c for

all records (e.g., 20Hz in Figure 2) but individually choosing f_c for a given record based on its FAS.

[Fig. 4 about here.]

3.1 Simulated time series

The previous examples show that the high-frequency energy content of the strong-motion record can have a significant influence on whether high-cut filtering will have a significant impact on the derived PSAs. For close source-to-site distances this energy content is mainly influenced by κ , which is commonly believed to be mainly related to attenuation in the upper few kilometres of the crust (e.g. Anderson and Hough, 1984). To enable a parametric analysis of the influence of κ and noise levels on PSAs computed before and after high-cut filtering we decided to use ground-motion simulations computed using the stochastic method (e.g. Boore, 2003b) with the addition of simulated noise.

Ground-motion simulations were conducted using a stochastic model for western North America (WNA) with a single-corner-frequency model and a stress parameter $\Delta\sigma$ of 70bar and $\kappa = 0.04$ s. Simulated accelerograms were obtained with no added noise and with white noise added with amplitudes between 1 and 16 gal (cm/s^2) (these amplitudes were chosen to give high-frequency noise levels in FAS that are up to a factor of 100 times smaller than the maximum levels of the FAS). To obtain smooth spectra, the average Fourier amplitude and pseudo-spectral acceleration spectra were computed from many time-domain simulations for each noise level. In addition, simulations were conducted using the stochastic model of Atkinson and Boore (2006) for eastern North America (ENA) for hard rock site conditions, $\kappa = 0.005$ s, and a stress parameter $\Delta\sigma$ of 210bar, which is close to the geometric mean stress parameter determined for eight relatively well-recorded earthquakes in ENA (Boore et al, 2010).

In addition to noise from ambient (cultural) sources, wind and electronic noise, high-frequency noise in digital records can also be produced during the ADC process; this can be particularly important for instruments with low resolution (10 or 12 bit). This source of noise has been discussed and its effect on derived strong-motion intensity parameters has been evaluated by Douglas (2003b) and Boore (2003a). Douglas (2003b) found that if an accelerogram contains more than about ten acceleration levels then accurate SAs between 0.2 and 2s could be obtained. Boore (2003a) found that ADC can produce apparent changes

in the acceleration baseline leading to low-order polynomial trends that can be seen in velocity and displacement time series derived by integration; this effect is most pronounced for low-resolution ADC. It is straightforward to simulate this type of noise since all that is required is to round the ground acceleration to the acceleration corresponding to the nearest bit level (based on the bit range and full-scale amplitude of the simulated instrument); but, because its effect has been discussed previously, we do not consider it in this article.

3.2 Effects of noise and filtering on high-frequency response spectra

The simulated data were filtered using causal Butterworth filters with a high-frequency response of $(f_c/f)^6$, where f_c is the corner frequency. The filter was chosen to approximate the one most commonly used to process the records in the PEER NGA flatfile. Similar results could be obtained using a cosine half-bell filter such as employed by BAP (Converse and Brady, 1992) if its cut- and roll-off frequencies were chosen appropriately to match the gain of this causal Butterworth filter. Firstly to study the effect of uniform cut-offs, as are often used in practice, corner frequencies of 10, 20 and 40Hz were chosen. However, these corner frequencies do not account for the noise levels. Therefore, corner frequencies equal to the frequency f_n where a line through the high-frequency noise on a FAS plot (the flat part of the spectrum) intersects a straight-line fit (on a log-log plot) to the decay of the FAS before reaching the noise floor (below which no signal can be measured) were also selected (see Figure 5). These corner frequencies would be similar to those chosen by applying the NGA processing procedure mentioned above. These corner frequencies vary with the signal-to-noise ratio. For example, for simulations of a **M** 6.5 earthquake at 30km the corner frequency chosen by this approach varies from 19Hz for a noise level of 16gal to 36Hz for a noise level of 1 gal. The computed FAS for the WNA and ENA stochastic models are shown in Figures 5 and 6, respectively.

[Fig. 5 about here.]

[Fig. 6 about here.]

PSAs were computed from the simulations. To better see the effect of the noise and the filtering on the PSAs the ratios of the PSAs from the records with noise (without and with filtering) to the PSAs from the noise-free records were calculated (Figures 7 and 8).

[Fig. 7 about here.]

[Fig. 8 about here.]

High-frequency PSAs can be controlled by frequencies much lower than the frequency of the oscillator. For example, PSAs at 100Hz can be controlled by accelerations at 10Hz. Analysis of the NGA Flatfile shows that PGA is generally less than 2% lower than PSA(100Hz) (e.g. Idriss, 2007), although for hard-rock sites with very low κ s close to the earthquake source this may not always be true. The presence of noise between the frequencies controlling the PSAs and the frequency of the oscillator may not be important. To summarize this effect the ratio between the peak high-frequency Fourier amplitude and the Fourier amplitude in the flat portion at high frequencies was computed and plotted against the maximum ratio of the PSAs with noise (unfiltered and filtered) to the noise-free PSAs (Figure 9). For example, for the WNA simulations the ratios between a representative maximum Fourier amplitudes and the noise floors are estimated from Figure 5 (e.g. $17/4.2 = 4.0$ for the 16 gal simulations), which are plotted against the ratio of PSAs with and without noise obtained from Figure 7 (e.g. about 1.5 for the 16 gal simulations). Figure 9 allows an estimate to be made of when noise levels start to swamp the signal and thereby affect PSAs. Note that this figure is for general guidance only and its intention is not to provide exact values of the expected error.

[Fig. 9 about here.]

Figure 9 includes results from both the WNA and ENA simulations. In addition, as a check of the generality of the result, points from a simulation study in which the “true” ground motion was taken to be a filtered version of an actual record with very different magnitude and distance than assumed for the simulated records are displayed. The use of ratios of the maximum Fourier amplitudes and the noise floor and the ratios of PSAs with and without noise *independent* of frequency (i.e. not the ratios at specific frequencies) reduces the influence of the shape of the FAS, which explains the similarity in the results for the WNA and ENA simulations for which the peak ratios occur at much different frequencies, mainly due to differing κ s. Although not identical, the results from the various simulations are in general agreement and provide an estimate of the error in high-frequency PSA computed from records in which no high-cut filters have been applied. For example, the ratio of maximum to noise-floor FAS in Figures 1 and 2 are about 10 and 100 (ignoring the spikes at 50Hz and 78Hz), respectively, from which we estimate from Figure 9 that the error in the PSA for the unfiltered records would be 15% and less than 2%, respectively. In addition,

Figure 1 indicates that the effect of filtering is, as desired, to reduce significantly the influence of the noise, with reliable estimates of PSA at oscillator frequencies much above the high-cut filter corner frequencies.

3.3 Effect of mono-harmonic noise on PSAs

The accelerogram shown in Figure 2 is used as an example of a time series affected by high-frequency mono-harmonic noise, which could be expected for instruments located close to vibrating machinery, for example. Accurate PSAs close to the frequency of the mono-harmonic noise can be obtained after applying a notch (bandstop) filter even though, for this time series, this noise is not significantly affecting the computed PSAs (Figure 10). Notch filters are more appropriate in this case than standard high-cut filters, which do not fully remove the noise at 50Hz and, in addition, affect PSAs at neighbouring frequencies (Figure 10).

[Fig. 10 about here.]

4 Conclusions

In this brief article we have investigated the need for filtering to remove high-frequency noise in strong-motion records based on some example accelerograms and a series of simulations. In contrast to low-cut filtering, for which only SDs at periods lower than some proportion (0.3–0.9 depending on site class, instrument type and tolerance criterion) of the cut-off period are reliable (Akkar and Bommer, 2006), in many situations accurate high-frequency PSAs up to 100Hz can be obtained even in the presence of high noise levels with or without filtering to remove this noise. A useful parameter in determining the probable error in high-frequency PSAs from acceleration time series with no high-cut filtering is the ratio of the FAS near the peak portion of the spectrum to that near the noise floor (assuming a white-noise model); if this ratio is greater than ten, our simulation study shows that the error in PSA will be less than about 15% even without filtering. If relative noise levels are high, it is important that high-cut corner frequencies are chosen individually, based on where the Fourier amplitude spectrum of the signal meets the noise floor. The use of uniform filter corner frequencies (e.g. 25Hz) can lead to incorrect PSAs at high frequencies. Even though

mono-harmonic noise is prominent as spikes on FAS of some accelerograms its impact on PSAs is limited and it can be reduced further by the application of notch (bandstop) filters.

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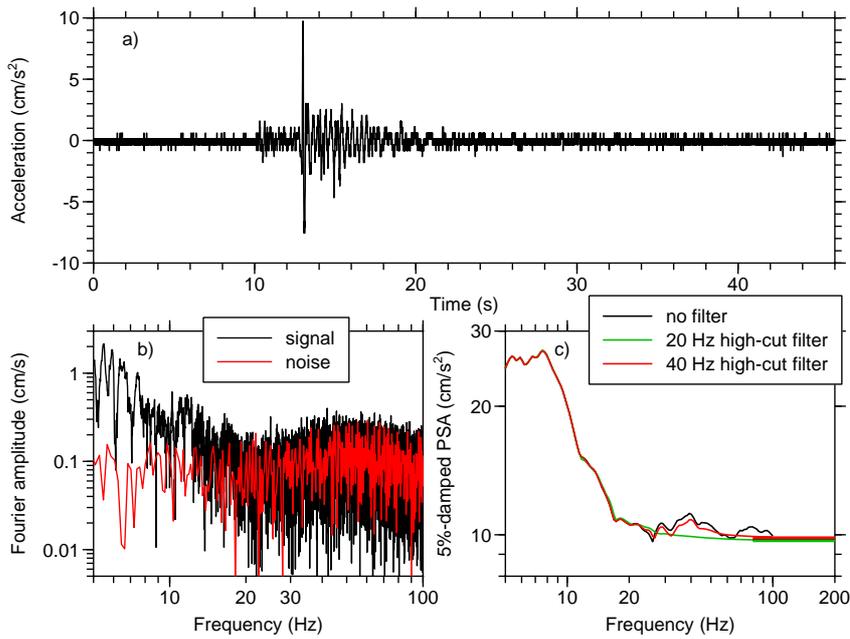


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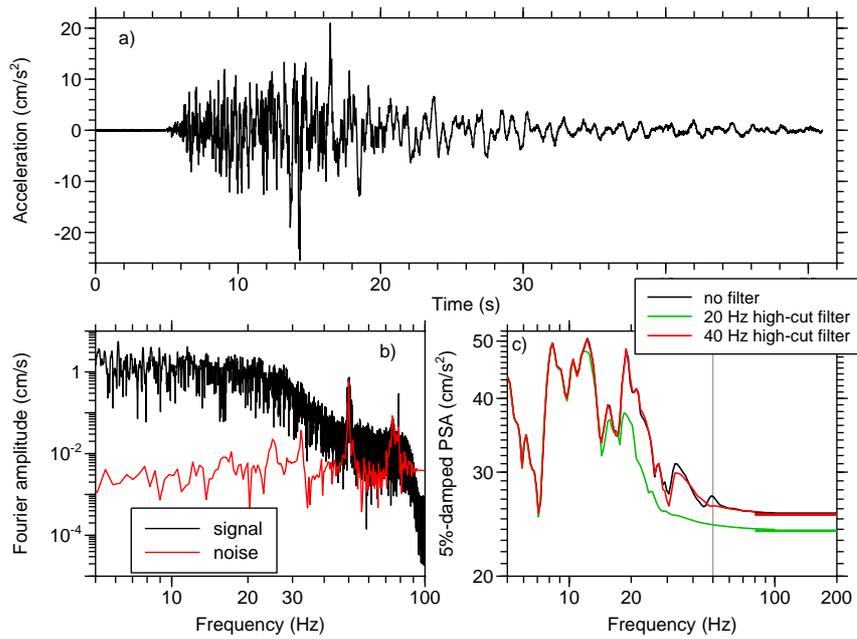


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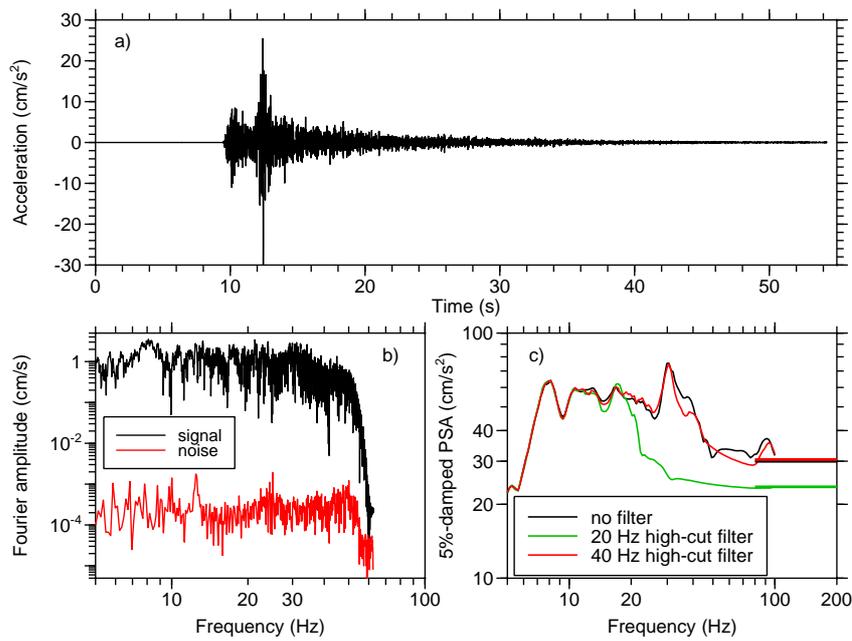


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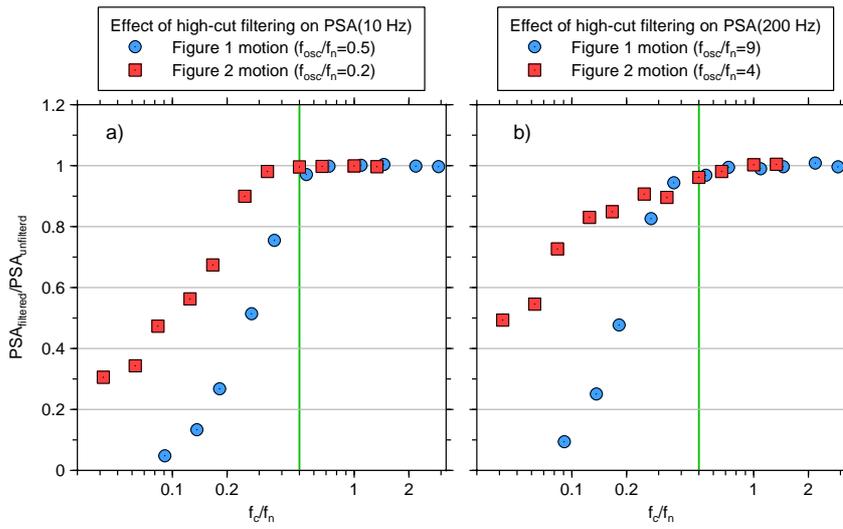


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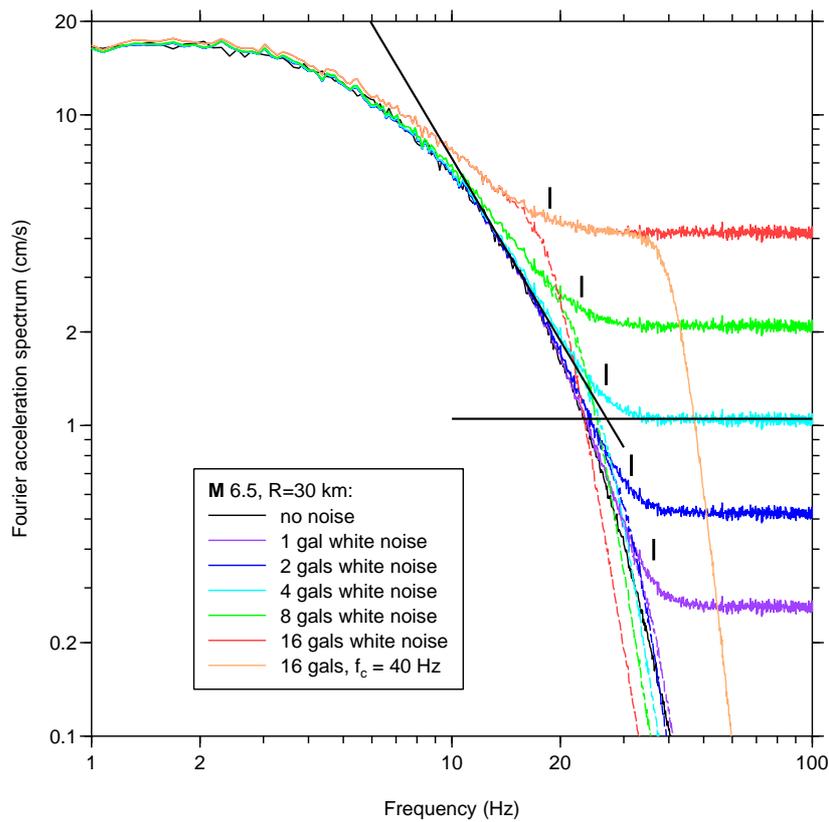


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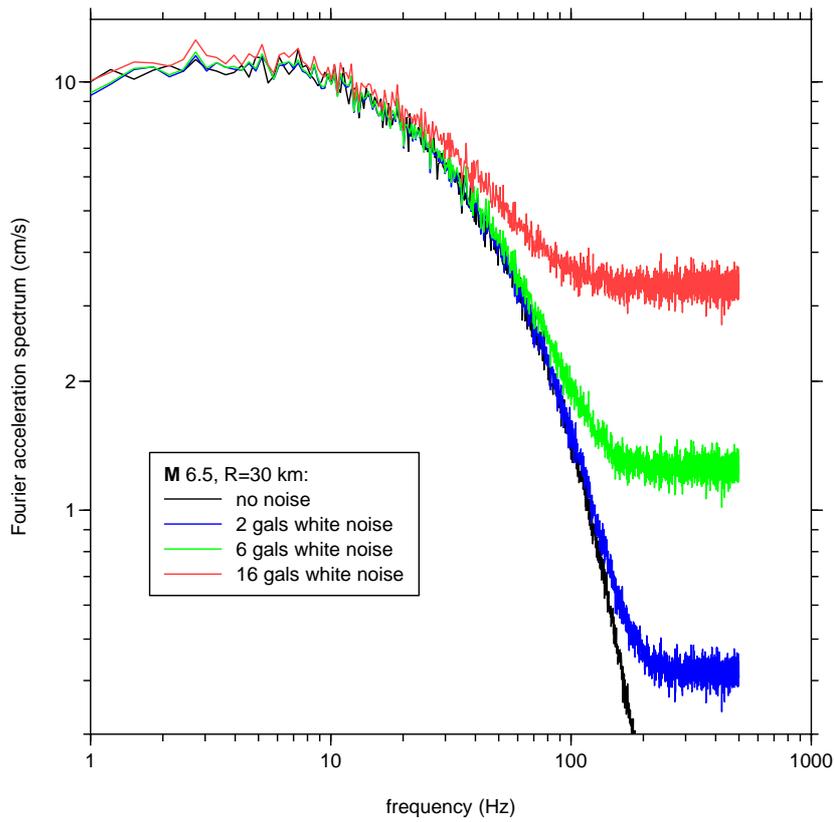


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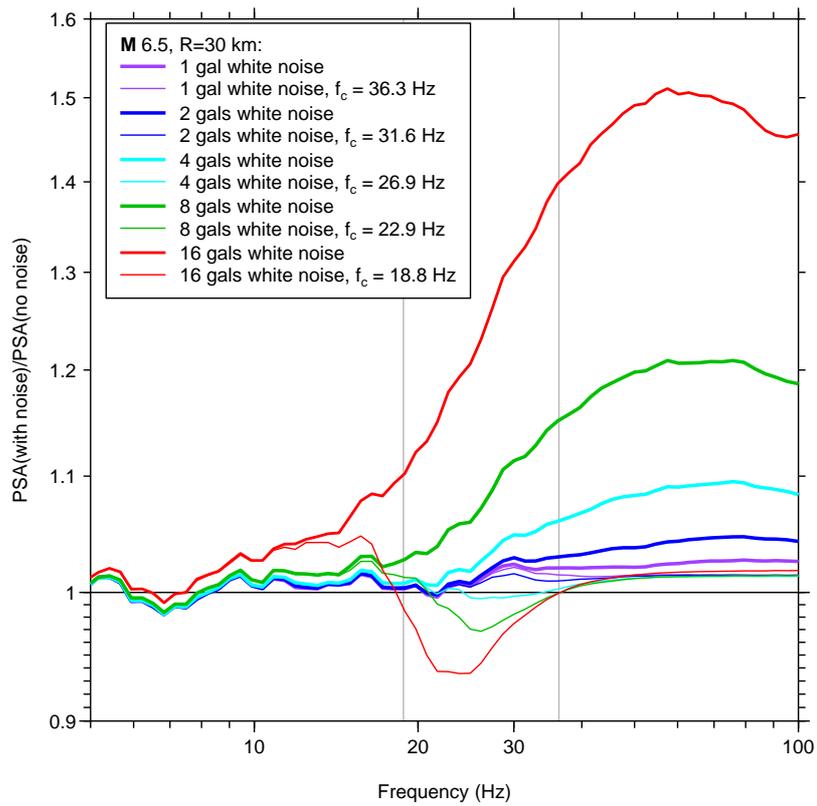


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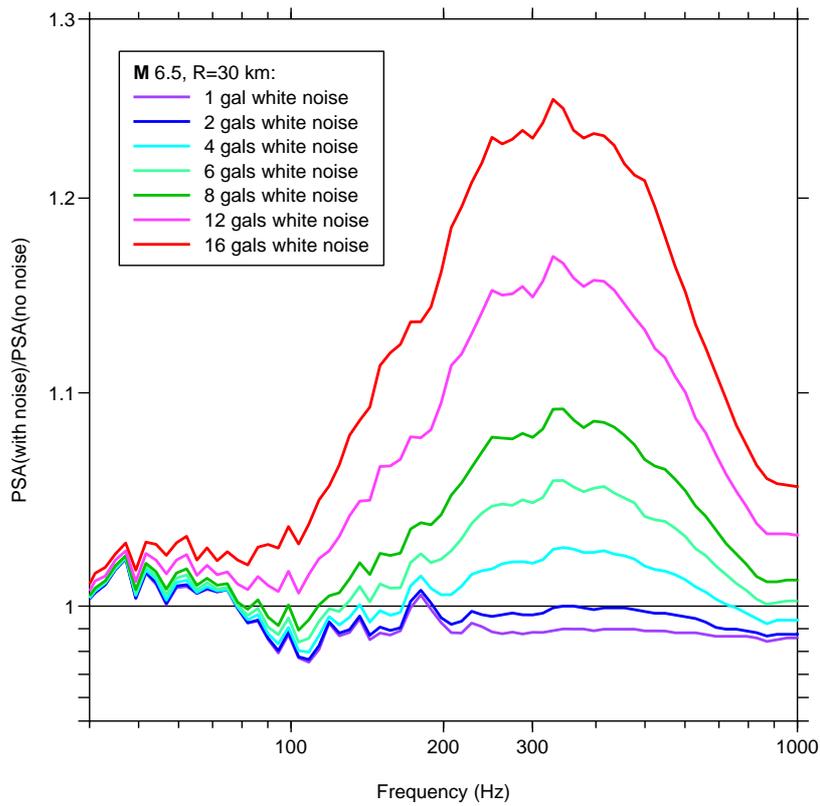


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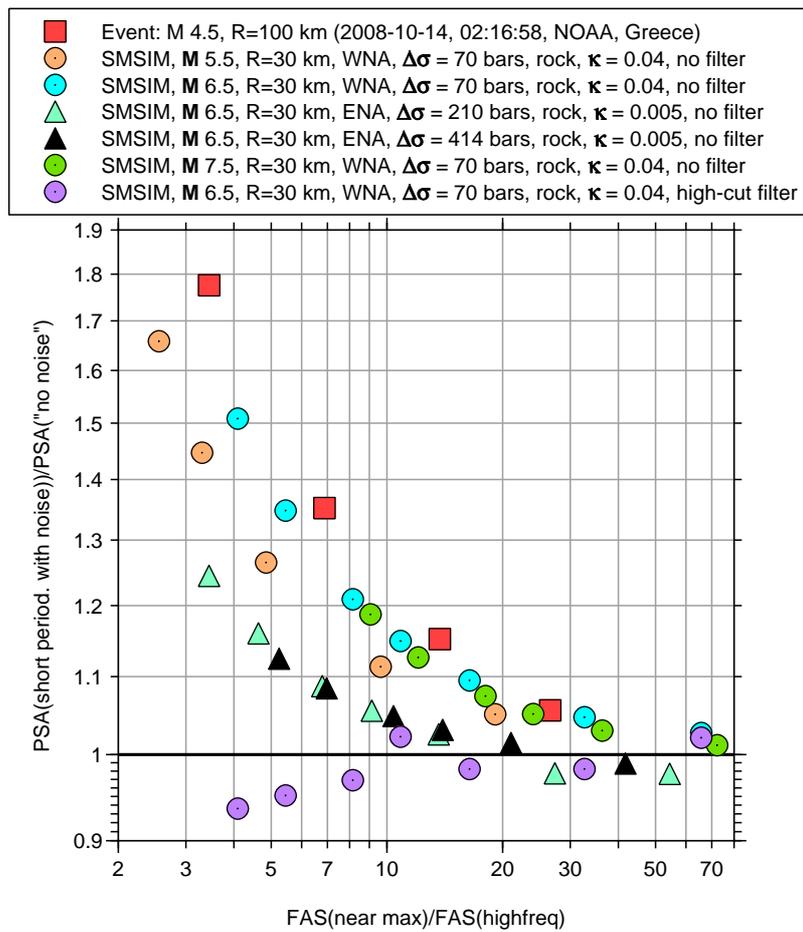


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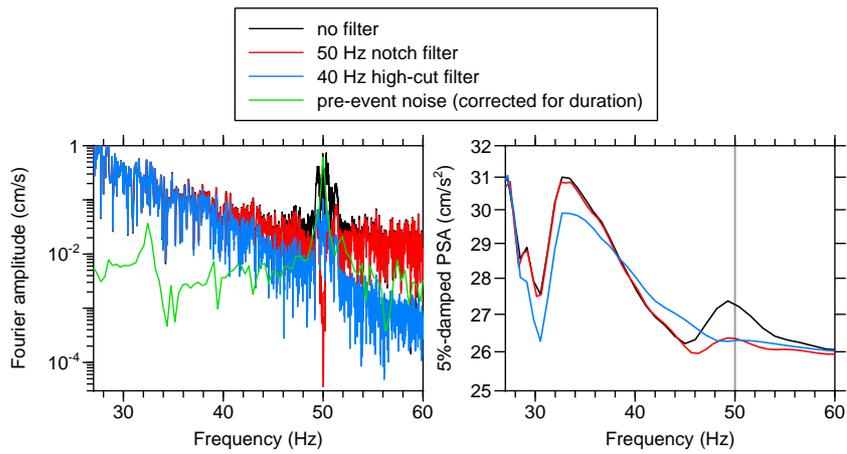


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Reference	f_{osc} (Hz)	T (s)	Reason
Johnson (1973)	18	0.055	Not known
Trifunac (1978)	25	0.04	Records instrument corrected and high-cut filtered at 25Hz.
Joyner and Boore (1982)	10	0.1	Inaccurate instrument correction above 10 Hz (Joyner and Boore, 1988)
Ambraseys et al (1996)	10	0.1	Records high-cut filtered at 25Hz.
Sabetta and Pugliese (1996)	25	0.04	Records instrument corrected and high-cut filtered with cut-offs between 20 and 35 Hz (most about 25Hz).
Abrahamson and Silva (1997)	100	0.01	Records instrument corrected and high-cut filtered with individually chosen cut-offs, f_h . PSAs only used up to $0.8f_h$ hence less than 100 records used at 100Hz. They assume that PSA(100Hz) equals PGA.
Campbell (1997)	20	0.05	Records high-cut filtered at 25 Hz.
Sadigh et al (1997)	20	0.05	Not known
Zhao et al (2006)	20	0.05	Records instrument corrected and high-cut filtered with cut-offs of either 24.5 Hz (50 samples-per-second data) or 33 Hz (100 samples-per-second data).
Danciu and Tselentis (2007)	10	0.1	Records high-cut filtered at 25 Hz.
Boore and Atkinson (2008)	100	0.01	See text. The other NGA models also present equations up to 100Hz
Bindi et al (2010)	33	0.03	Records instrument corrected and high-cut filtered with cut-offs between roughly 20 (analogue data) and 30 Hz (digital data).