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Seok Goo Song, Mathieu Causse, Jeff Bayless. Sensitivity Analysis of the Interfrequency Correlation of Synthetic Ground Motions to Pseudodynamic Source Models. *Seismological Research Letters*, 2020, 92 (1), pp 301-313. <10.1785/0220200181>. <hal-03155400>

HAL Id: hal-03155400

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Submitted on 28 May 2021

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HAL Authorization

Seismological Research Letters

Sensitivity Analysis of the Inter-frequency Correlation of Synthetic Ground Motions to Pseudo-dynamic Source Models --Manuscript Draft--

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| Manuscript Number: | SRL-D-20-00181R2 |
| Full Title: | Sensitivity Analysis of the Inter-frequency Correlation of Synthetic Ground Motions to Pseudo-dynamic Source Models |
| Article Type: | Article - Regular Section |
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| First Author Secondary Information: | |
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| Order of Authors Secondary Information: | |
| Manuscript Region of Origin: | KOREA, REPUBLIC OF |
| Abstract: | <p>Given the deficiency of recorded strong ground motion data, it is important to understand the effects of earthquake rupture processes on near-source ground motion characteristics and to develop physics-based ground motion simulation methods for advanced seismic hazard assessments. Recently, the inter-frequency correlation of ground motions has become an important element of ground motion predictions. We investigate the effect of pseudo-dynamic source models on the inter-frequency correlation of ground motions by simulating a number of ground motion waveforms for the 1994 Northridge, California, earthquake, using the Southern California Earthquake Center (SCEC) BroadBand Platform (BBP). We find that the cross-correlation between earthquake source parameters in pseudo-dynamic source models significantly affects the inter-frequency correlation of ground motions in the frequency around 0.5 Hz while its effect is not visible in the other frequency ranges. Our understanding of the effects of earthquake sources on the characteristics of near-source ground motions, particularly the inter-frequency correlation, may help to develop advanced physics-based ground motion simulation methods for advanced seismic hazard and risk assessments.</p> |
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1 **Sensitivity Analysis of the Inter-frequency Correlation of Synthetic Ground Motions to**
2 **Pseudo-dynamic Source Models**

3

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19 **ABSTRACT**

20 Given the deficiency of recorded strong ground motion data, it is important to understand the
21 effects of earthquake rupture processes on near-source ground motion characteristics and to
22 develop physics-based ground motion simulation methods for advanced seismic hazard
23 assessments. Recently, the inter-frequency correlation of ground motions has become an
24 important element of ground motion predictions. We investigate the effect of pseudo-dynamic
25 source models on the inter-frequency correlation of ground motions by simulating a number of
26 ground motion waveforms for the 1994 Northridge, California, earthquake, using the Southern
27 California Earthquake Center (SCEC) BroadBand Platform (BBP). We find that the cross-
28 correlation between earthquake source parameters in pseudo-dynamic source models
29 significantly affects the inter-frequency correlation of ground motions in the frequency around
30 0.5 Hz while its effect is not visible in the other frequency ranges. Our understanding of the
31 effects of earthquake sources on the characteristics of near-source ground motions, particularly
32 the inter-frequency correlation, may help to develop advanced physics-based ground motion
33 simulation methods for advanced seismic hazard and risk assessments.

34

35 INTRODUCTION

36 Ground motion prediction is an important element of the assessment of seismic hazards.
37 In particular, for advanced seismic hazard assessment endeavors, it is important to understand
38 the near-source ground motion characteristics of large events. Empirical ground motion
39 prediction equations (GMPEs) have been used extensively to predict ground motion intensity
40 measures such as the peak ground acceleration (PGA) and pseudo-spectral acceleration (PSA)
41 (e.g., Abrahamson et al., 2008). However, although ground motions have been recorded
42 worldwide, the quantity of recorded strong ground motions is insufficient to investigate the near-
43 source characteristics, i.e., the intensity and variability of ground motions near earthquake fault
44 rupture (Chiou et al., 2008). Recently, physics-based ground motion simulation approaches,
45 including both dynamic and pseudo-dynamic earthquake rupture models, have become more
46 popular for evaluating the near-source ground motion characteristics such as the effect of rupture
47 directivity and fault complexity (e.g., roughness), given the availability of advanced numerical
48 modeling schemes and rapidly growing high-performance computing capabilities (Olsen et al.,
49 2009; Graves et al., 2011; Shi and Day, 2013).

50 GMPEs predict both the mean and the standard deviation of ground motion intensity
51 measures such as PGA and PSA, given a set of explanatory seismological parameters
52 (magnitude, distance, site conditions, etc.). Recently, several research groups pioneered a method
53 to investigate the inter-frequency (or inter-period) correlation characteristics of ground motions
54 by analyzing recorded ground motion data (Baker and Cornell, 2006; Baker and Jayaram, 2008;
55 Stafford, 2017; Bayless and Abrahamson, 2019a). The inter-frequency correlation characterizes
56 the relative width (in the frequency domain) of the extrema in a ground motion spectrum. The
57 widths of the peaks and troughs in ground motion spectra are significant in assessments

58 involving simulated ground motions because the variability in dynamic response analyses can be
59 underestimated if simulated ground motions have an excessively low correlation (Bayless and
60 Abrahamson, 2018).

61 It would be meaningful to investigate whether physics-based ground motion simulation
62 models can produce the inter-frequency correlation of ground motions, consistent with empirical
63 correlation models, obtained by analyzing recorded ground motion data. There have been several
64 attempts to understand how well the physics-based ground motion simulation models reproduce
65 the mean and the standard deviation of ground motion intensity measures, produced by empirical
66 GMPEs (Cotton et al., 2013; Causse and Song, 2015; Imtiaz et al., 2015; Vyas et al., 2016;
67 Crempien and Archuleta, 2017; Moschetti et al., 2017; Wirth et al., 2017). Recently, Wang et al.
68 (2019) implemented an inter-frequency correlation model obtained by analyzing recorded ground
69 motion data in their physics-based broadband ground motion simulation platform. In other
70 words, they developed a post-processing method for their synthetic ground motion waveforms to
71 mimic the inter-frequency correlation structure observed in the empirical model. However, we
72 think that this study is a first attempt to understand the direct link between physics-based ground
73 motion simulation models and the inter-frequency correlation of ground motions.

74 In this study, we adopted the pseudo-dynamic source modeling method, proposed by
75 Song et al. (2014) and Song (2016), for physics-based ground motion simulations, which is
76 implemented at the SCEC BBP. Pseudo-dynamic source modeling approaches maintain the
77 computational efficiency of kinematic source modeling methods but emulate the essential
78 physics of earthquake rupture dynamics by statistically analyzing a number of dynamic rupture
79 models (Guatteri et al., 2004; Graves and Pitarka, 2010; Schmedes et al., 2013; Song et al.,
80 2014). Fayjaloun et al. (2019) and Park et al. (2020) successfully investigated the effect of the

81 pseudo-dynamic source models, developed by Song et al. (2014) and Song (2016), on the mean
82 and the standard deviation of ground motions. In this study, we investigated the effect of the
83 pseudo-dynamic source models on the inter-frequency correlation of ground motions. We first
84 performed a series of ground motion simulations for the 1994 Northridge, California, earthquake,
85 using various sets of pseudo-dynamic source models. Then we investigated the sensitivity of the
86 inter-frequency correlation of the simulated ground motions to those pseudo-dynamic source
87 models.

88

89 **GROUND MOTION SIMULATION**

90 For this research, we adopted the broadband platform (BBP) developed by the Southern
91 California Earthquake Center (SCEC) for synthetic ground motion simulations (see Data and
92 Resources). Multiple research groups, including both earthquake scientists and engineers, have
93 been involved in the SCEC BBP project (Goulet et al., 2015; Maechling et al., 2015). The BBP
94 has been thoroughly validated against both actual ground motions recorded during past
95 earthquakes and empirical GMPEs (Dreger et al., 2015; Goulet et al., 2015). The latest version of
96 the BBP is released regularly; here, we used V. 16.5, which was released in May 2016. Multiple
97 modeling schemes are provided in the platform; we chose the Song method, which uses pseudo-
98 dynamic source models, based on the 1-point and 2-point statistics of earthquake source
99 parameters (Song et al., 2014; Song, 2016). The Song method adopts the Graves and Pitarka
100 (GP) method (Graves and Pitarka, 2010) for the simulation of high-frequency (> 1 Hz) ground
101 motions as well as the low-frequency (< 1 Hz) seismic wave propagation. The GP method adopts
102 the Green's function computation method developed by Zhu and Rivera (2002), given a 1-
103 dimensional velocity model. In this study, we primarily aimed to investigate the inter-frequency

104 correlation of ground motions in the low-frequency range, i.e., between 0.1 and 1.0 Hz. Thus, we
105 expect that the inter-frequency correlation is mainly affected by the pseudo-dynamic source
106 models, implemented in ground motion simulations.

107 The SCEC BBP performed two types of validation (Goulet et al., 2015). The first
108 validation (Part A) was against ground motion data recorded during past earthquakes in North
109 America and Japan. The second (Part B) was against empirical GMPEs. Among the Part A
110 validation events, we chose the 1994 Northridge, California, earthquake for our study. Detailed
111 information about the fault plane geometry of the event is given in Table 1 and Figure 1. The
112 Northridge event occurred in a highly populated area and produced well-recorded ground
113 motions, as shown in Figure 1. For the details of the event simulation, we followed the procedure
114 established by the SCEC BBP group (Goulet et al., 2015).

115 Given the fault geometry defined in Table 1, we prepared three sets of pseudo-dynamic
116 rupture models for our sensitivity test, as summarized in Table 2. Furthermore, we employed the
117 input source statistics models proposed by Song (2016), which are also summarized in Table 3.
118 The basic set (Test Set I) in Table 2 is composed of two groups of pseudo-dynamic source
119 models. One group contains correlated source models, while the other contains uncorrelated
120 source models. The core element in the pseudo-dynamic source models proposed by Song et al.
121 (2014) is the cross-correlation structure coupling the earthquake source parameters, such as the
122 slip, rupture velocity, and peak slip velocity. For the group of uncorrelated source models, we
123 simulated the pseudo-dynamic source models without a cross-correlation structure, as visualized
124 in Figure 2. Several studies have been performed to understand the effects of the cross-
125 correlation structure on near-source ground motions, particularly the mean and the standard

126 deviation of ground motion intensity measures such as the peak ground velocity (PGV) and PGA
127 (Fayjaloun et al., 2019; Park et al., 2020).

128 However, whereas the authors of these studies perturbed each cross-correlation
129 component individually for their sensitivity analysis, we focused on two cases, i.e., full cross-
130 correlation (correlated) and no cross-correlation (uncorrelated) between the earthquake source
131 parameters, as shown in Figure 2. For Test Set I in Table 2, we simulated 100 pseudo-dynamic
132 source models, i.e., 50 correlated and 50 uncorrelated source models. Figure 3 shows the first
133 three source models among the 50 models in the group of correlated source models, while Figure
134 4 shows the first three for the group of uncorrelated source models. In the correlated source
135 models, the source parameters (such as the slip, rupture velocity, and peak slip velocity) are
136 coupled together according to the cross-correlation structure in Figure 2a. Since the pseudo-
137 dynamic source models are obtained by stochastic modeling, based on the covariance matrix
138 constructed by the input source statistics models (Song et al., 2014), each source model exhibits
139 unique randomness; nevertheless, we can observe correlations between the source parameters in
140 Figure 3. In contrast, the distributions of the source parameters within the models depicted in
141 Figure 4 display heterogeneity, controlled by the diagonal elements of Figure 2b, but no coupling
142 between the source parameters is expected.

143 We also prepared two additional sets of pseudo-dynamic source models, i.e., Test Sets II
144 and III in Table 2, for our sensitivity analysis. In Test Set II, we randomly perturbed the
145 hypocenter of each source model. In the Part A validation, following Goulet et al. (2015), the
146 hypocenter was fixed since the validation was performed for real past events. We adopted the
147 same strategy for Test Set I. However, the hypocenter location may significantly affect the near-
148 source ground motion characteristics. Therefore, since we aimed to investigate the sensitivity of

149 ground motions to various pseudo-dynamic source models rather than to validate our pseudo-
150 dynamic source models against recorded ground motion data, we decided to test random
151 hypocenter models in Test Set II as well.

152 In Test Set III, we perturbed the stress drop by increasing or decreasing the rupture
153 dimension while holding the seismic moment constant. Since the stress drop directly affects the
154 corner frequency and hence the shape of the Fourier amplitude spectrum (e.g., Causse and Song,
155 2015), the stress drop may also affect the inter-frequency correlation characteristics of ground
156 motions. The static stress drop is proportional to the ratio of the mean slip to the characteristic
157 rupture dimension (\tilde{L}), as given in the equation below (Kanamori and Anderson, 1975):

$$158 \quad \Delta\tau \approx \frac{\mu_{slip}}{\tilde{L}} . \quad (1)$$

159 Models with larger stress drops were obtained by decreasing both the rupture length and the
160 width by 30%, while models with smaller stress drops were obtained by increasing both the
161 rupture length and the width by 30%. The input source statistics for each model are presented in
162 Table 3. Figures 5 and 6 show one example each of the simulated pseudo-dynamic source
163 models with larger and smaller stress drops, respectively. In Test Set III, there are 300 pseudo-
164 dynamic source models, i.e., 150 correlated and 150 uncorrelated models, as indicated in Table
165 2. The 150 correlated source models contain 50 models with larger stress drops and 50 with
166 smaller stress drops in addition to the 50 correlated source models from Test Set I.

167 Using the SCEC BBP (V. 16.5), we simulated three-component ground motion
168 waveforms at the 133 stations illustrated in Figure 1 for each pseudo-dynamic source model. The
169 Song method adopts a hybrid approach, i.e., pseudo-dynamic low-frequency (< 1 Hz; Song,
170 2016) and stochastic high-frequency (> 1 Hz; Graves and Pitarka, 2010) modeling schemes. For
171 a systematic sensitivity analysis of the simulated ground motions with a single representative

172 metric for the ground motion intensity measures, we adopted the effective amplitude spectrum
173 (EAS), computed with two horizontal-component ground motions as (Bayless and Abrahamson,
174 2018)

$$175 \quad EAS(f) = \sqrt{\frac{1}{2}[FAS_{HC1}(f)^2 + FAS_{HC2}(f)^2]}, \quad (2)$$

176 where FAS_{HC1} and FAS_{HC2} are the Fourier amplitude spectra of the two orthogonal horizontal
177 components of the three-component waveforms and f is the frequency in Hz. The EAS is
178 independent of the orientation of the instrument. Using the average power of the two horizontal
179 components (Eq. 2) leads to an amplitude spectrum that is compatible with the application of
180 random vibration theory to convert the Fourier spectra into response spectra. The EAS is
181 smoothed using the \log_{10} -scale smoothing window of Konno and Ohmachi (1998) with the
182 smoothing parameters described by Kottke et al. (2018).

183 Figure 7 shows examples of the EASs for the three selected stations plotted in red in
184 Figure 1. For the near-source station (nwHP, $R_{rup} = 5.4$ km), the low- and high-frequency EASs
185 do not differ considerably, but for the other two stations (gllp, $R_{rup} = 21.5$ km; schl, $R_{rup} = 40.4$
186 km), the two frequency bands, i.e., the low-frequency (< 1 Hz) and high-frequency (> 1 Hz)
187 bands, show distinctive EAS patterns. Since we used the abovementioned hybrid approach, the
188 low- and high-frequency ground motions may not behave consistently for all rupture scenarios
189 and station locations. This issue may need to be investigated further for all hybrid ground motion
190 simulation methods offered by the SCEC BBP. In this study, we aimed predominantly to analyze
191 low-frequency (< 1 Hz) ground motions, which are affected by the cross-correlation structure of
192 the input pseudo-dynamic source models, for the sensitivity analysis of inter-frequency
193 correlations. We also added the mean and the standard deviation values predicted by the

194 empirical model (Bayless and Abrahamson, 2019b) to the figure for comparison purposes. The
195 empirical model used in the study will be discussed in more details in the next section.

196

197 **CORRELATION ANALYSIS**

198 Bayless and Abrahamson (2019ab) developed both the inter-frequency correlation model
199 and the GMPE using the Next Generation Attenuation-West2 (NGA-West2; Ancheta et al, 2014)
200 database, which includes shallow crustal earthquakes in active tectonic regions. Their models
201 adopt the effective amplitude spectrum (EAS), which is based on the Fourier Amplitude Spectra
202 (FAS), in equation (2) as ground motion intensity measure. Bayless and Abrahamson (2019b)
203 clearly described the benefit of using the EAS than response spectra in their paper. We adopted
204 their EAS based GMPE and inter-frequency correlation model to compare with our synthetics
205 since the Fourier spectra are more closely related to the physics-based simulations. Their
206 empirical models also provide individual residual components for more detailed comparison.
207 Residuals from empirical GMPEs are typically partitioned into between-event residual (δB), and
208 within-event residuals (δW), following the notation of Al Atik et al., (2010). For large numbers
209 of recordings per earthquake, the between-event residual is approximately the average difference
210 in logarithmic-space between the observed Intensity Measure (IM) from a specific earthquake
211 and the IM predicted by the GMPE. The within-event residual (δW) is the difference between the
212 IM at a specific site for a given earthquake and the median IM predicted by the GMPE plus δB .
213 By accounting for repeatable site effects, δW can further be partitioned into a site-to-site residual
214 ($\delta S2S$) and the within-site residual (δWS). More detailed description about the residual
215 partitioning, including the mathematical description of the inter-frequency correlation (both
216 between- and within-event), is provided in Bayless and Abrahamson (2018).

217 Figure 8 shows the mean residuals on a natural logarithmic scale between the simulated
218 EASs and the EASs predicted by the empirical GMPE (Bayless and Abrahamson, 2019b) for
219 both the correlated and the uncorrelated models in Test Set I. We observed that the mean of the
220 synthetic EASs underpredicts the mean of the GMPE at the low frequency, while the mean of the
221 former overpredicts that of the latter at the high frequency. At the low frequency, the correlated
222 models produce slightly higher EASs, as was also observed in previous studies (Song et al.,
223 2014; Song, 2016; Fayjaloun et al., 2019; Park et al., 2020). Since we compared synthetic ground
224 motions produced by simulating a specific earthquake, i.e., the Northridge event, and because we
225 constructed the mean of the GMPE by using recorded ground motions from various events
226 worldwide, the bias we observe in Figure 8 may be reasonable and may be considered part of the
227 between-event variability (Al Atik et al., 2010). In addition, we aimed to investigate mainly the
228 relative sensitivity of the inter-frequency correlation of our synthetic ground motions in this
229 study rather than to reproduce the absolute level of ground motion intensities constrained by
230 empirical GMPEs.

231 The variability (e.g., standard deviation) of ground motions is an important consideration
232 in ground motion prediction (Abrahamson et al., 2008; Cotton et al., 2013; Causse and Song,
233 2015; Imtiaz et al., 2015; Vyas et al., 2016; Crempien and Archuleta, 2017; Withers et al.,
234 2019ab). Figure 9 shows the standard deviations for both the between-event and the within-event
235 components of the EAS residuals from the three sets of model tests. The between-event term is
236 calculated from various realizations of the source within each test set. First, little difference is
237 noted between the ground motions obtained from the correlated and uncorrelated pseudo-
238 dynamic source models. In other words, the cross-correlations between the earthquake source
239 parameters in Figure 2 do not significantly affect both the between-event and the within-event

240 standard deviations in our simulations. Crempien and Archuleta (2017) found that the longer
241 correlation (i.e., autocorrelation) of earthquake slip increases both the between- and within-event
242 standard deviations of ground motions. The cross-correlation of pseudo-dynamic source models
243 does not seem to play a significant role in determining the standard deviation in our simulations,
244 but may need to be further investigated in subsequent studies to confirm its behavior.

245 Note that the between-event standard deviation for Test Set II (random hypocenter) is
246 much larger than that for the other two test sets. Since Test Set II introduces randomly located
247 hypocenters, this discrepancy implies that randomizing the hypocenter has a greater effect on the
248 between-event variability than does the stress drop perturbation. It is also noticeable that the
249 random hypocenter models reduce the within-event standard deviation significantly as shown in
250 Figure 9b. We also compared them with the standard deviations from the empirical GMPE
251 (Bayless and Abrahamson, 2019b) as indicated in black lines. Regarding the between-event
252 standard deviation, the empirical model is consistent with the synthetic ground motions with the
253 random hypocenter models. Regarding the within-event standard deviation, in general synthetic
254 ground motions produce larger values. For the random hypocenter model in Figure 9b, the
255 difference is minimized. However, if we consider only the within-site (δ WS) standard deviation
256 without the between-site (δ S2S) term since the site effect was not included in our simulations,
257 the synthetics still produce larger standard deviations. Note that we restricted our analysis to the
258 low frequency below 1 Hz although we show the results up to 10 Hz for reference in the figure.

259 The main goal of this study was to investigate the effect of cross-correlations between
260 earthquake source parameters, such as the slip, rupture velocity, and peak slip velocity, in
261 pseudo-dynamic source models on the inter-frequency correlation of ground motions. Figure 10
262 shows the between-event inter-frequency correlations of the synthetic EASs for the three sets of

263 model tests in the low-frequency band (0.1 – 1.0 Hz) with those from an empirical model
264 (Bayless and Abrahamson, 2019a). Interestingly, the between-event inter-frequency correlations
265 for the fixed-hypocenter models decay much faster than those for the empirical model as the
266 frequency deviates from the reference frequencies (0.2, 0.3, 0.4, 0.5, and 1.0 Hz), while the
267 random hypocenter models produce inter-frequency correlations that are compatible with those
268 from the empirical model. More remarkably, we found distinctive features between the
269 correlated and uncorrelated models at approximately 0.5 Hz (2 s) when the reference frequencies
270 were 0.4 Hz (Test Set II) or 0.5 Hz (Test Sets I and III): the correlated source models (in red)
271 produced higher inter-frequency correlations than the uncorrelated source models (in blue) for all
272 three test sets at approximately 0.5 Hz, although the difference was not significant at the other
273 reference frequencies. In this analysis, we focus more on the correlation near each reference
274 frequency, i.e., initial decay pattern from each reference frequency. Thus we show correlations
275 only between 0.6 and 1.0 in Figure 10. The correlation at the far distance in the spectral domain
276 may need to be analyzed further in subsequent studies. This observation, however, may imply
277 that the cross-correlation between earthquake source parameters in pseudo-dynamic source
278 models affects the initial decay pattern of the inter-frequency correlation of ground motions in a
279 certain frequency range, as depicted with solid red and blue traces in Figure 10.

280 Within-event residuals represent the variability in the path effects and directivity effects
281 for a given event at various stations. Figure 11 indicates that the inter-frequency correlations of
282 simulated ground motions systematically exceed those of the empirical model. And we do not
283 observe significant differences between correlated and uncorrelated pseudo-dynamic source
284 models. It is not clear yet why the synthetic ground motions produce broader inter-frequency
285 correlation structure than the empirical model. Based on Bayless and Abrahamson (2018), the

286 fully stochastic ground motion simulation method (e.g., Atkinson and Assatourians, 2015)
287 produce the within-event inter-frequency correlations compatible with the empirical model
288 (figure 10b of Bayless and Abrahamson (2018)) while the physics-based ground motion
289 simulation methods produce the correlations, which are broader than the empirical model
290 (figures 11b, 12b, 13b and 14b of Bayless and Abrahamson (2018)). It is still puzzling why the
291 physics-based methods, which more explicitly handle wave propagation effects such as
292 directivity, produce the within-event correlations inconsistent with the empirical model.
293 Although we aim to focus more on the effect of earthquake source on the inter-frequency
294 correlations, i.e., between-event, the inconsistency observed in the within-event correlation may
295 need to be investigated further in subsequent studies.

296

297 **DISCUSSION**

298 In Figure 10, the cross-correlation in the pseudo-dynamic source models affects the
299 between-event inter-frequency correlation of ground motions in a specific frequency range, i.e.,
300 approximately 0.5 Hz. However, it is not yet clear why the frequency range centered at
301 approximately 0.5 Hz is strongly affected by the cross-correlation of pseudo-dynamic source
302 models for the Northridge, California, earthquake. It is also surprising that there are almost no
303 differences in the other frequency ranges. This phenomenon may be linked to the magnitude of
304 the simulated event or the event type. The reason may become clearer if we perform more
305 sensitivity analyses over a wide range of magnitudes and event types in subsequent studies.
306 Moreover, the number and positions of stations used in the analyses may also affect the
307 outcomes. Test Sets II and III clearly indicate that the inter-frequency correlation can be affected
308 by randomized hypocenter locations and stress drop perturbations more significantly than by

309 input source statistics perturbations, as shown in Table 3. Hence, we need to carefully consider
310 these source parameters, such as the hypocenter and stress drop, even when we focus on
311 investigating the effects of the detailed input source statistics in Table 3 on the characteristics of
312 ground motions. Finally, our sensitivity analyses clearly indicate that the cross-correlation
313 structure in the pseudo-dynamic source models affects the inter-frequency correlation more
314 significantly than the standard deviation of the ground motions. We may also employ the
315 empirical inter-frequency correlation model (Bayless and Abrahamson, 2019a) to constrain the
316 cross-correlation structure of pseudo-dynamic source models.

317 There have been several attempts to investigate the effects of pseudo-dynamic source
318 models on the mean and standard deviation of ground motions (Song et al., 2014; Song, 2016;
319 Fayjaloun et al., 2019; Park et al., 2020). However, this study is the first attempt to investigate
320 the effect of pseudo-dynamic source models on the inter-frequency correlation of ground
321 motions. Interestingly, we found that the cross-correlation structure, which is a core element of
322 the pseudo-dynamic source modeling approach proposed by Song et al. (2014), may significantly
323 affect the inter-frequency correlation of ground motions, at least in a specific frequency range.
324 Nevertheless, we may need more comprehensive sensitivity analyses to understand the link
325 between pseudo-dynamic source models and the inter-frequency correlation of ground motions
326 in greater detail. However, we believe that this pilot study already shows the potential of
327 physics-based ground motion simulation methods provided by the SCEC BBP for studying the
328 inter-frequency correlation characteristics of ground motions.

329

330 **CONCLUSIONS**

331 In this study, we investigated the effect of pseudo-dynamic source models, particularly
332 their cross-correlation structure between earthquake source parameters, on the inter-frequency
333 correlation of ground motions by simulating a number of ground motions for the 1994
334 Northridge, California, earthquake using the SCEC BBP. We found that the cross-correlation of
335 pseudo-dynamic source models significantly affects the between-event inter-frequency
336 correlation at a specific frequency range (at approximately 0.5 Hz), while the effect on the
337 standard deviation of ground motions is not significant. It is important to understand the inter-
338 frequency correlation characteristics of ground motions in ground motion predictions. This type
339 of study may help to understand the relation between physics-based earthquake source models
340 and the inter-frequency correlation of ground motions and consequently to develop physics-
341 based ground motion simulation methods for advanced seismic hazard and risk assessments.

342

343 **DATA AND RESOURCES**

344 We simulated synthetic 3-component ground motion waveforms using the SCEC BBP (V. 16.5),
345 which is available online (http://scec.usc.edu/scecpedia/Broadband_Platform, last accessed April
346 2020). The stand-alone version of the pseudo-dynamic rupture model generator, used in the
347 study, is also available online (<http://www.github.com/sgsong1017/SongRMG>, last accessed July
348 2020).

349

350 **ACKNOWLEDGMENTS**

351 We appreciate the editor's and three anonymous reviewers' comments, which helped to improve
352 the paper significantly. We would like to thank F. Silva, P. Maechling, C. Goulet, and R.W.
353 Graves for their kind technical and scientific support regarding the SCEC BBP. This study was

354 supported by a See-At Project funded by the Korea Meteorological Administration (KMA)
355 (KMI2018-01810) and by a Basic Research Project of the Korea Institute of Geoscience and
356 Mineral Resources (KIGAM), funded by the Ministry of Science and ICT (MSIT, Korea)
357 (GP2020-027).

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486 **TABLES**

487 **Table 1.** Fault geometry of the Northridge earthquake

| | |
|---|--------------------|
| Magnitude | 6.73 |
| Strike, dip, rake | 122°, 40°, 105° |
| Length, width | 20 km, 27 km |
| HTop ¹⁾ | 5 km |
| Top center ²⁾ (latitude, longitude) | 34.344°, -118.515° |
| Hypocenter (shyp ³⁾ , dhyp ⁴⁾ | 6.0 km, 19.4 km |

488 ¹⁾ Depth to the top of the fault plane

489 ²⁾ Geographical location of the center of the top fault plane boundary

490 ³⁾ Hypocenter location in the along-strike direction (distance from the top center of the fault
491 plane)

492 ⁴⁾ Hypocenter location in the along-dip direction (distance from the top center of the fault plane)

493

494 **Table 2.** Three sets of model tests

| | Number of pseudo-dynamic source models | Description |
|---|--|--|
| Test Set I (Basic) | 100 (50 + 50) | - 50 correlated and 50 uncorrelated source models |
| Test Set II (Random hypocenter) | 100 (50 + 50) | - Same as Test Set I except that the hypocenter is randomly perturbed |
| Test Set III (Stress drop perturbation) | 300 (150 + 150) | - 150 correlated and 150 uncorrelated source models: the 150 correlated source models are composed of 50 models from Test Set I, 50 models with a larger stress drop, and 50 models with a smaller stress drop; the 150 uncorrelated source models are produced the same way |

495

496 **Table 3.** Input source statistics model

| Model Parameters | | Description | Basic | Larger Stress Drop | Smaller Stress Drop |
|--------------------|--------------------|---|---|--|---|
| 1-Point Statistics | μ_{slip} | Mean slip (cm) | 78.36 | 159.08 | 46.50 |
| | μ_{V_r} | Mean rupture velocity (km/s) | 3.27 | 3.30 | 3.26 |
| | $\mu_{V_{max}}$ | Mean peak slip velocity (cm/s) | 114.93 | 158.24 | 97.84 |
| | σ_{slip} | Standard deviation of slip (cm) | 45.15 | 90.83 | 27.11 |
| | σ_{V_r} | Standard deviation of rupture velocity (km/s) | 1.08 | 1.17 | 1.04 |
| | $\sigma_{V_{max}}$ | Standard deviation of peak slip velocity (cm/s) | 89.00 | 125.64 | 74.54 |
| 2-Point Statistics | a_x | Correlation length in the along-strike direction (km) (slip vs. slip, slip vs. V_r , slip vs. V_{max} , V_r vs. V_r , V_r vs. V_{max} , and V_{max} vs. V_{max}) | $\begin{pmatrix} 3.9 & 2.7 & 2.4 \\ & 1.3 & 5.6 \\ & & 6.2 \end{pmatrix}$ | $\begin{pmatrix} 3.5 & 2.6 & 1.7 \\ & 1.3 & 4.9 \\ & & 4.7 \end{pmatrix}$ | $\begin{pmatrix} 4.1 & 2.7 & 2.7 \\ & 1.3 & 5.9 \\ & & 7.0 \end{pmatrix}$ |
| | a_z | Correlation length in the along-dip direction (km) (slip vs. slip, slip vs. V_r , slip vs. V_{max} , V_r vs. V_r , V_r vs. V_{max} , and V_{max} vs. V_{max}) | $\begin{pmatrix} 5.6 & 2.0 & 1.6 \\ & 3.6 & 1.4 \\ & & 1.9 \end{pmatrix}$ | $\begin{pmatrix} 13.3 & 4.0 & 3.9 \\ & 4.2 & 1.9 \\ & & 2.4 \end{pmatrix}$ | $\begin{pmatrix} 4.0 & 1.5 & 1.1 \\ & 3.4 & 1.3 \\ & & 1.8 \end{pmatrix}$ |
| | ρ_{max} | Maximum correlation coefficient (slip vs. V_r , slip vs. V_{max} , and V_r vs. V_{max}) | $\begin{pmatrix} 1 & 0.72 & 0.94 \\ & 1 & 0.64 \\ & & 1 \end{pmatrix}$ | $\begin{pmatrix} 1 & 0.81 & 0.89 \\ & 1 & 0.69 \\ & & 1 \end{pmatrix}$ | $\begin{pmatrix} 1 & 0.68 & 0.96 \\ & 1 & 0.62 \\ & & 1 \end{pmatrix}$ |

497 **LIST OF FIGURE CAPTIONS**

498 **Figure 1.** Fault geometry and station locations for the 1994 Northridge, California, earthquake.

499 The black box indicates the ground surface projection of the fault plane; i.e., the top of the fault
500 plane is depicted by a solid line, and the rest of the fault plane is delineated with dashed lines.

501 Triangles show the locations of the 133 stations used in the simulation, including the three
502 selected stations in red.

503 **Figure 2.** Input correlation model (Test Set I). (a) Correlated, (b) uncorrelated, i.e., without a
504 cross-correlation structure.

505 **Figure 3.** Correlated pseudo-dynamic source models. The contour lines in the middle panels
506 indicate rupture time distributions. The hypocenter is located at the bottom right corner of the
507 rupture area.

508 **Figure 4.** Uncorrelated pseudo-dynamic source models. The contour lines in the middle panels
509 indicate rupture time distributions. The hypocenter is located at the bottom right corner of the
510 rupture area.

511 **Figure 5.** Pseudo-dynamic source models with a larger stress drop. (a) Correlated, (b)
512 uncorrelated. The contour lines in the middle panels indicate rupture time distributions. The
513 hypocenter is located at the bottom right corner of the rupture area.

514 **Figure 6.** Pseudo-dynamic source models with a smaller stress drop. (a) Correlated, (b)
515 uncorrelated. The contour lines in the middle panels indicate rupture time distributions. The
516 hypocenter is located at the bottom right corner of the rupture area.

517 **Figure 7.** EASs obtained from Test Set I for the three stations plotted in red in Figure 1. Fifty
518 EAS values are plotted in cyan for each panel. The 50th EAS is added in red as an example. [left]
519 EASs obtained from the correlated pseudo-dynamic source models; [right] EASs obtained from

520 the uncorrelated source models. Both mean and standard deviation from the empirical GMPE
521 model (Bayless and Abrahamson, 2019b) are presented for comparison purposes.

522 **Figure 8.** Mean residuals between the simulated EASs and those predicted by the empirical
523 GMPE (Bayless and Abrahamson, 2018b). (a) Test Set I (basic), (b) Test Set II (random
524 hypocenter), and (c) Test Set III (stress drop perturbation).

525 **Figure 9.** Standard deviations (τ : between-event, ϕ : within-event, and ϕ_0 : within-site) of
526 the EAS residuals in (a) Test Set I (basic), (b) Test Set II (random hypocenter), and (c) Test Set
527 III (stress drop perturbation). For the within-event standard deviation from the empirical model,
528 both the within-event (i.e., within-site and between-site terms) and only the within-site standard
529 deviations are presented for the comparison purposes.

530 **Figure 10.** Inter-frequency correlations (between-event) with 5 reference frequencies (0.2, 0.3,
531 0.4, 0.5, and 1.0 Hz) in (a) Test Set I (basic), (b) Test Set II (random hypocenter), and (c) Test
532 Set III (stress drop perturbation).

533 **Figure 11.** Inter-frequency correlations (within-event) with 5 reference frequencies (0.2, 0.3, 0.4,
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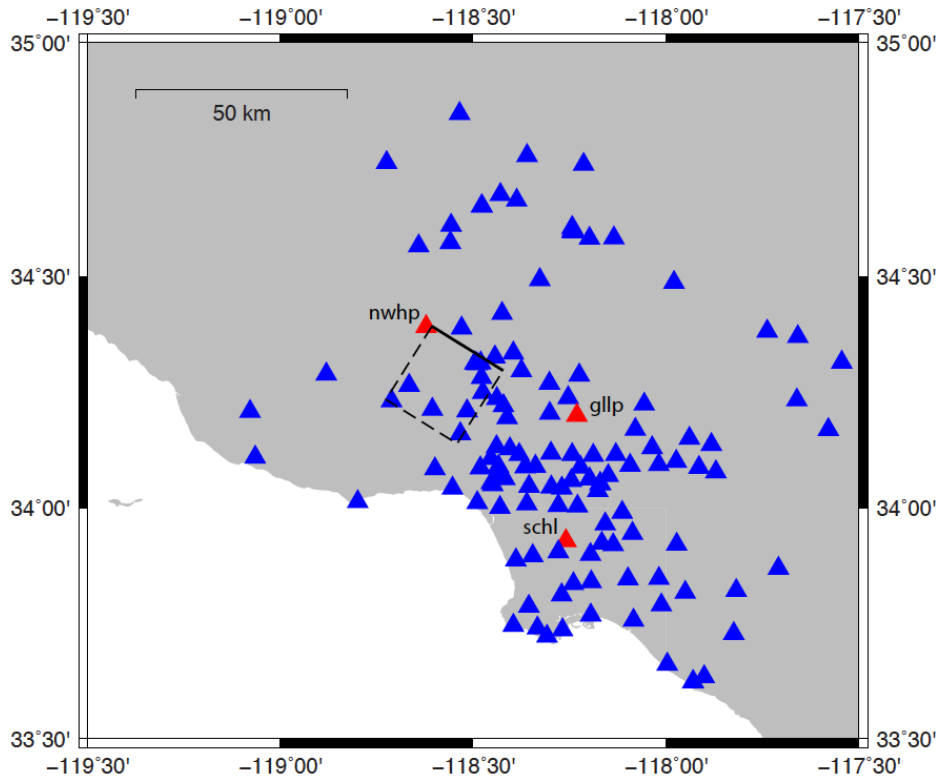
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543 **FIGURES**



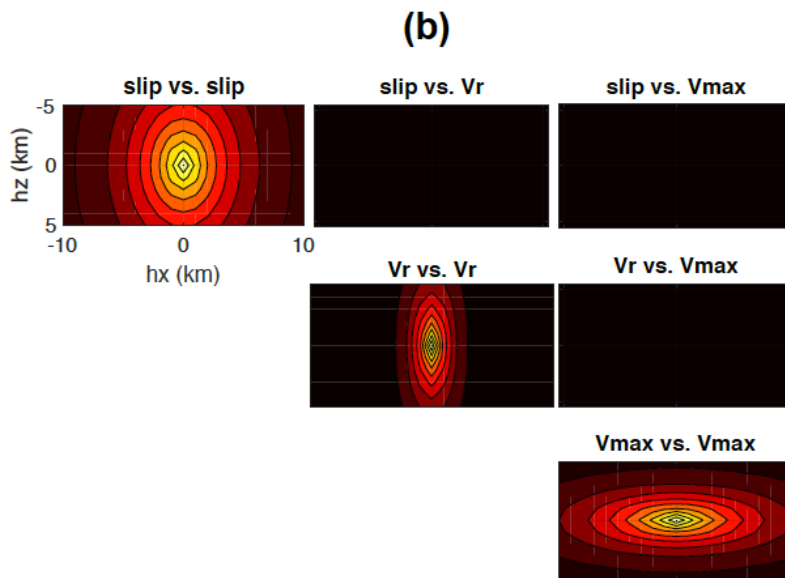
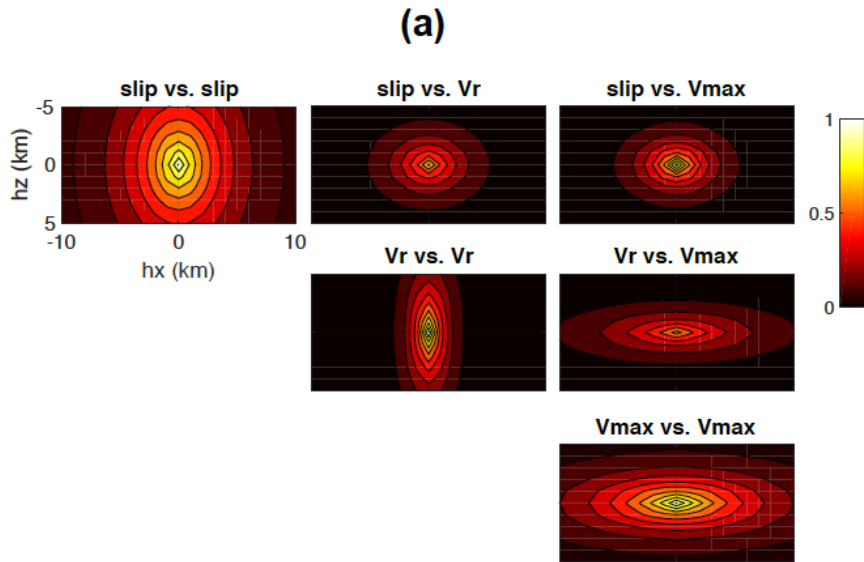
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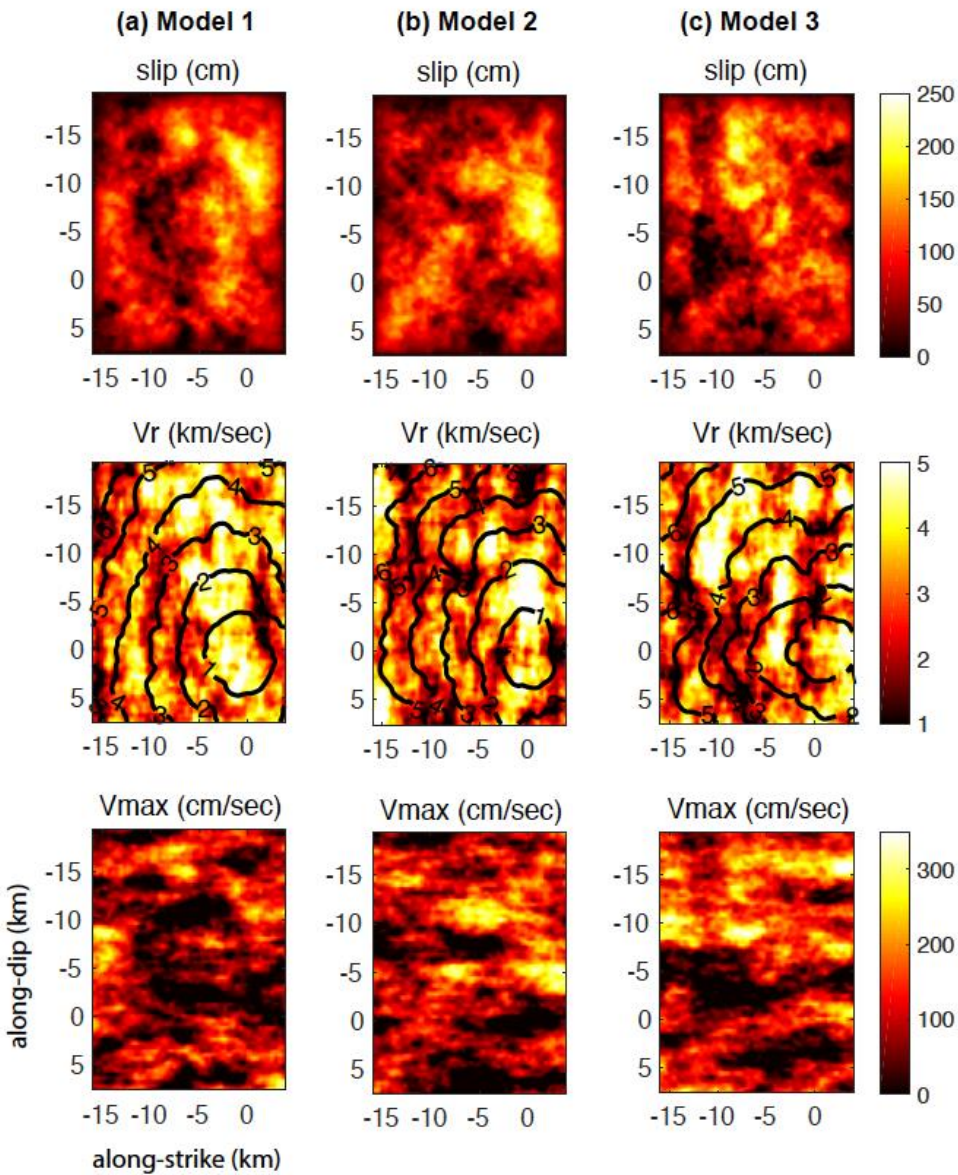


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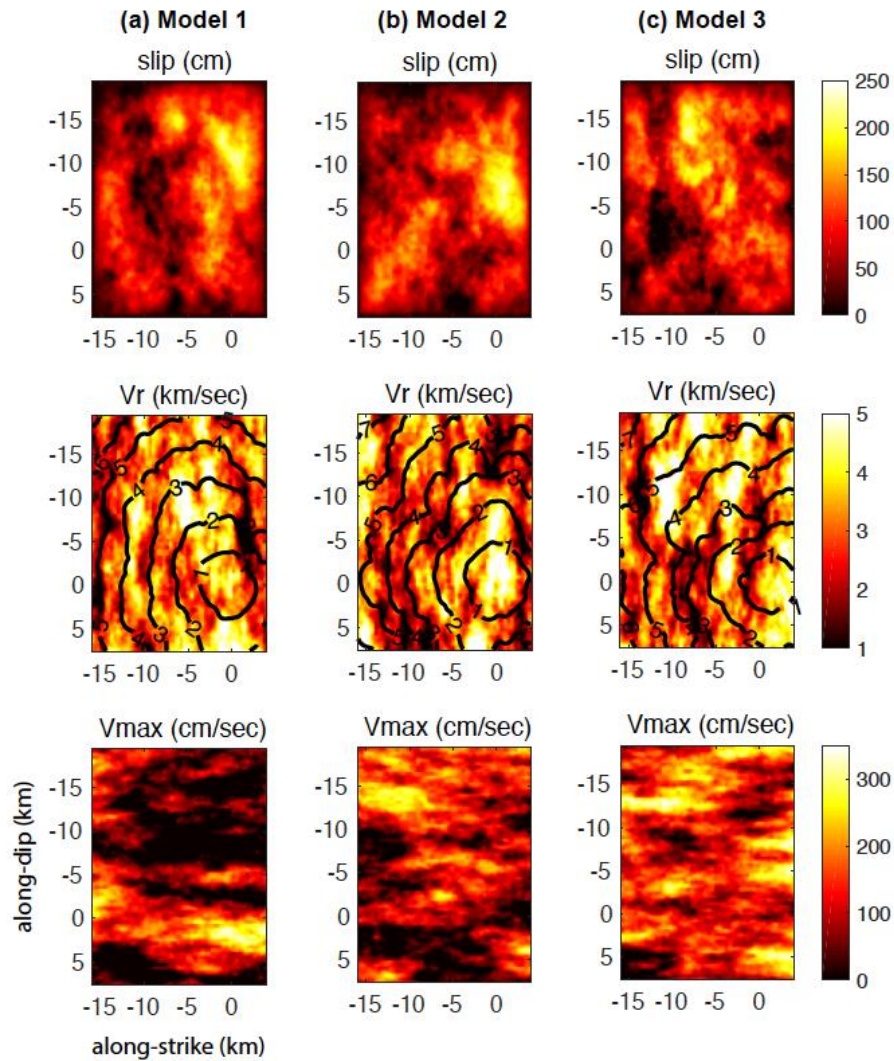
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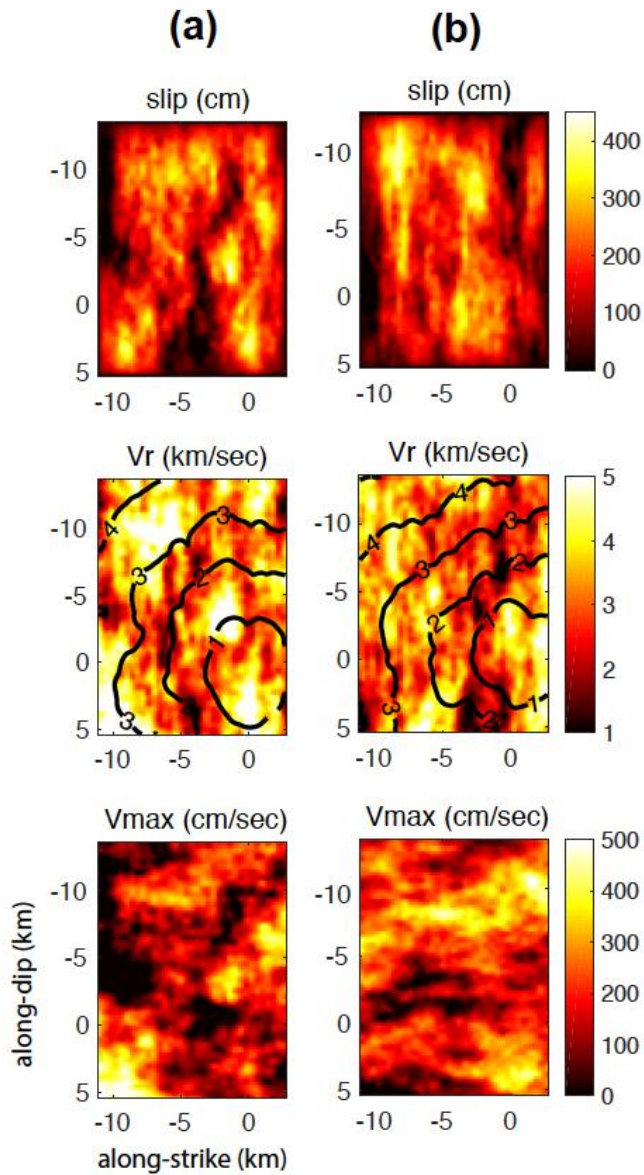
562 **Figure 4.** Uncorrelated pseudo-dynamic source models. The contour lines in the middle panels

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564 rupture area.

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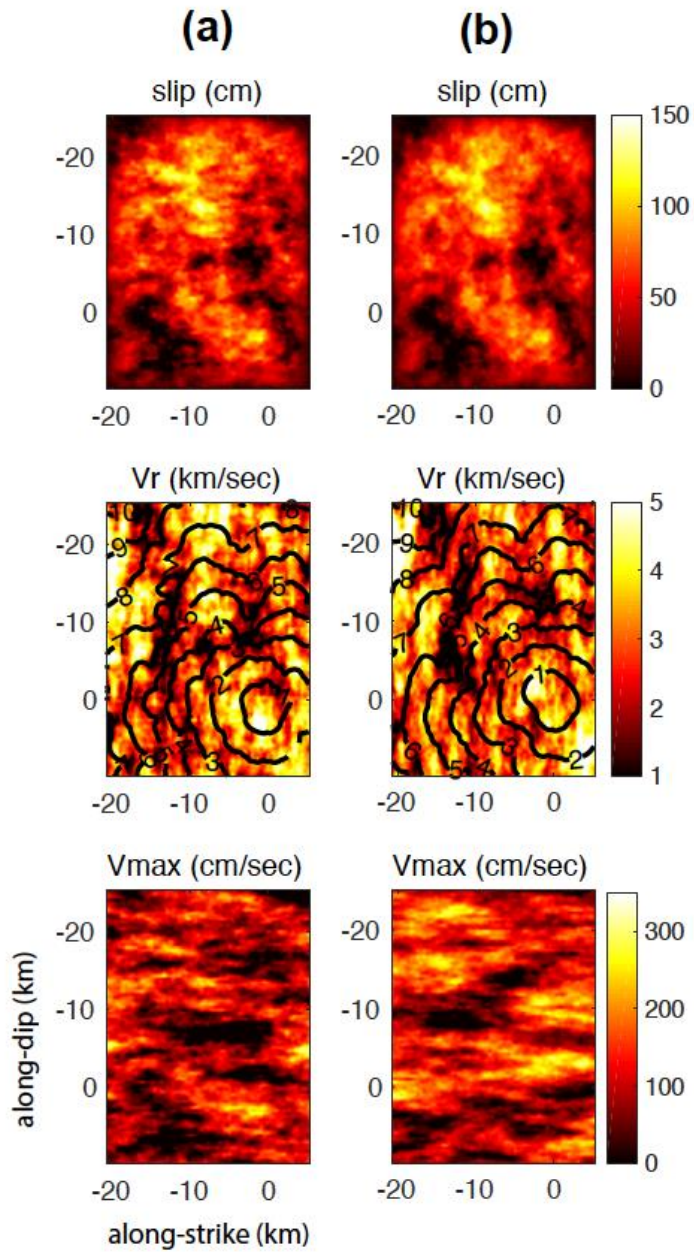


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568 **Figure 5.** Pseudo-dynamic source models with a larger stress drop. (a) Correlated, (b)
 569 uncorrelated. The contour lines in the middle panels indicate rupture time distributions. The
 570 hypocenter is located at the bottom right corner of the rupture area.

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Figure 6. Pseudo-dynamic source models with a smaller stress drop. (a) Correlated, (b)

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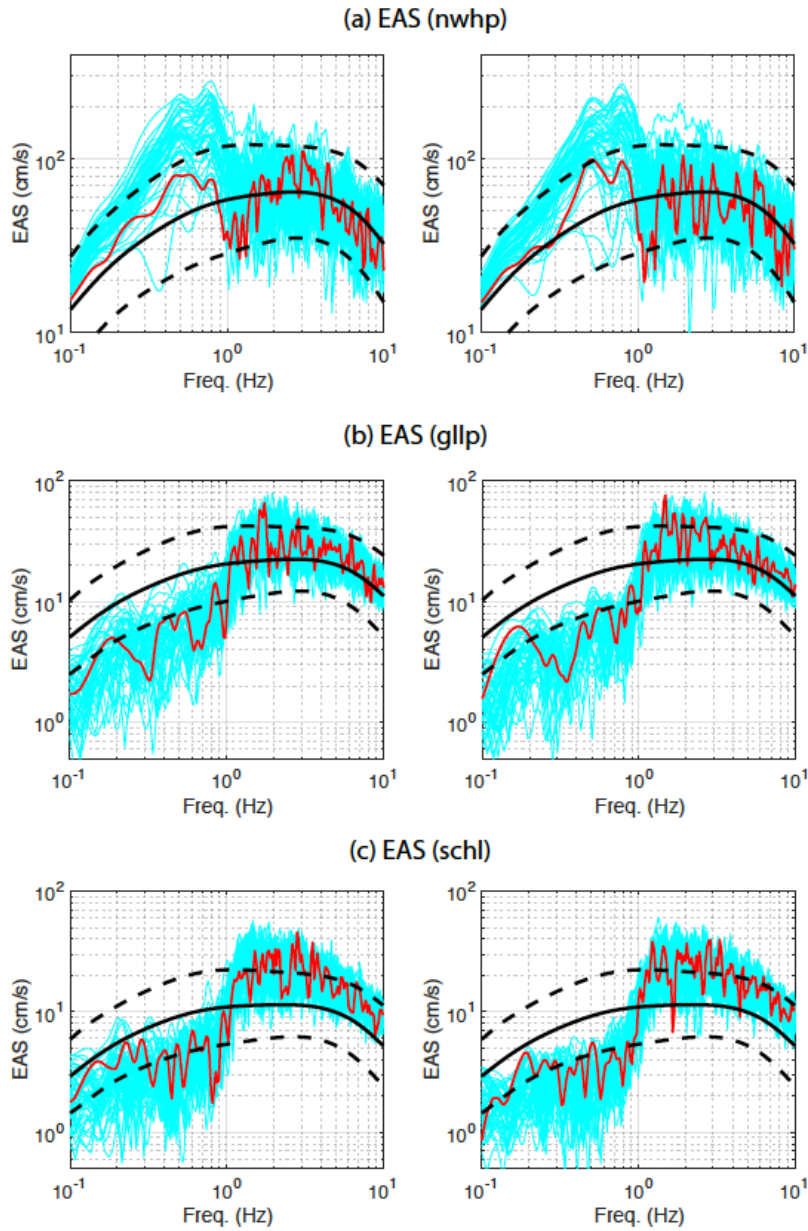
uncorrelated. The contour lines in the middle panels indicate rupture time distributions. The

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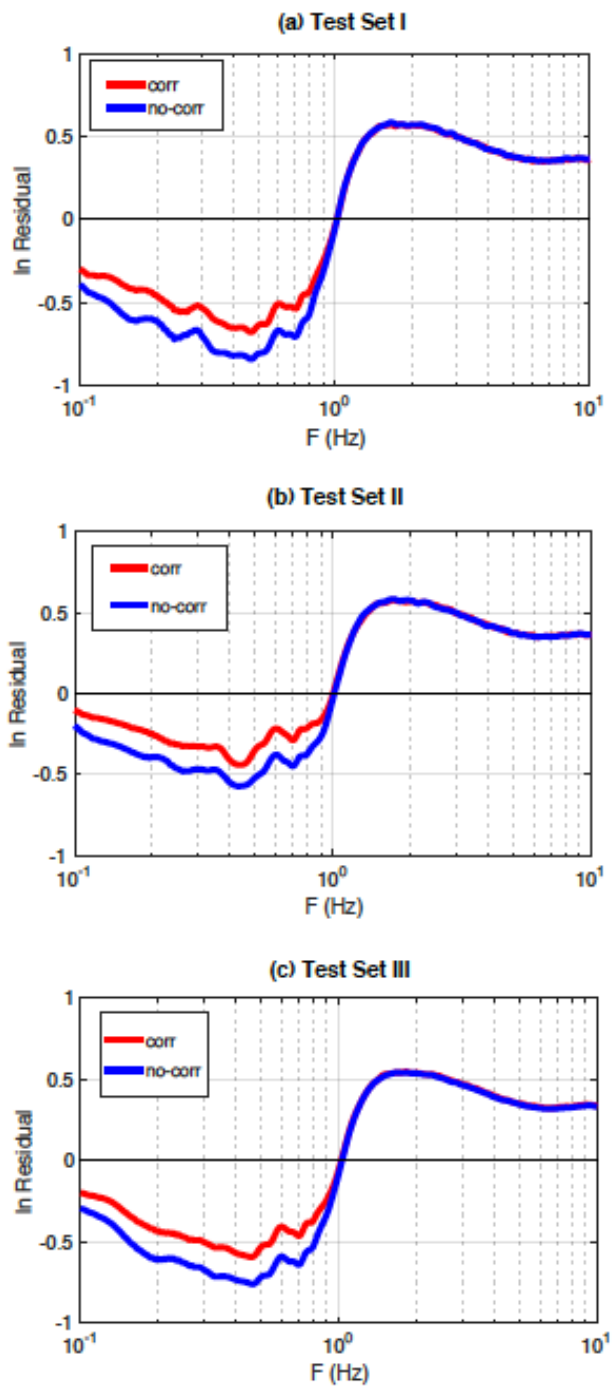
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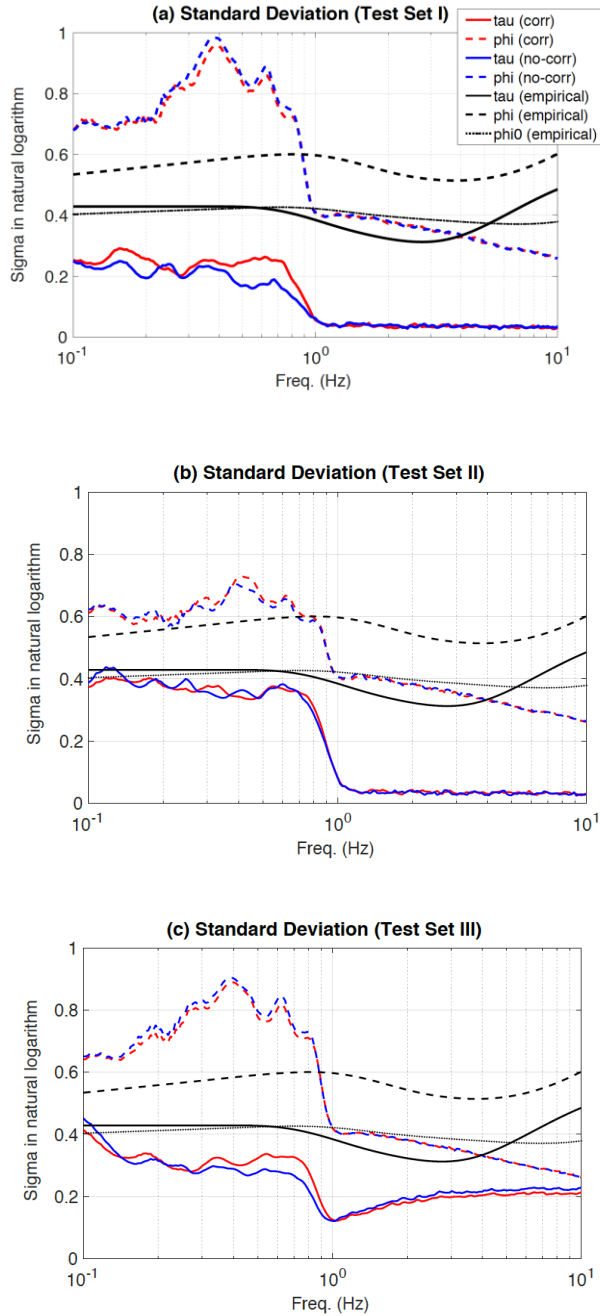


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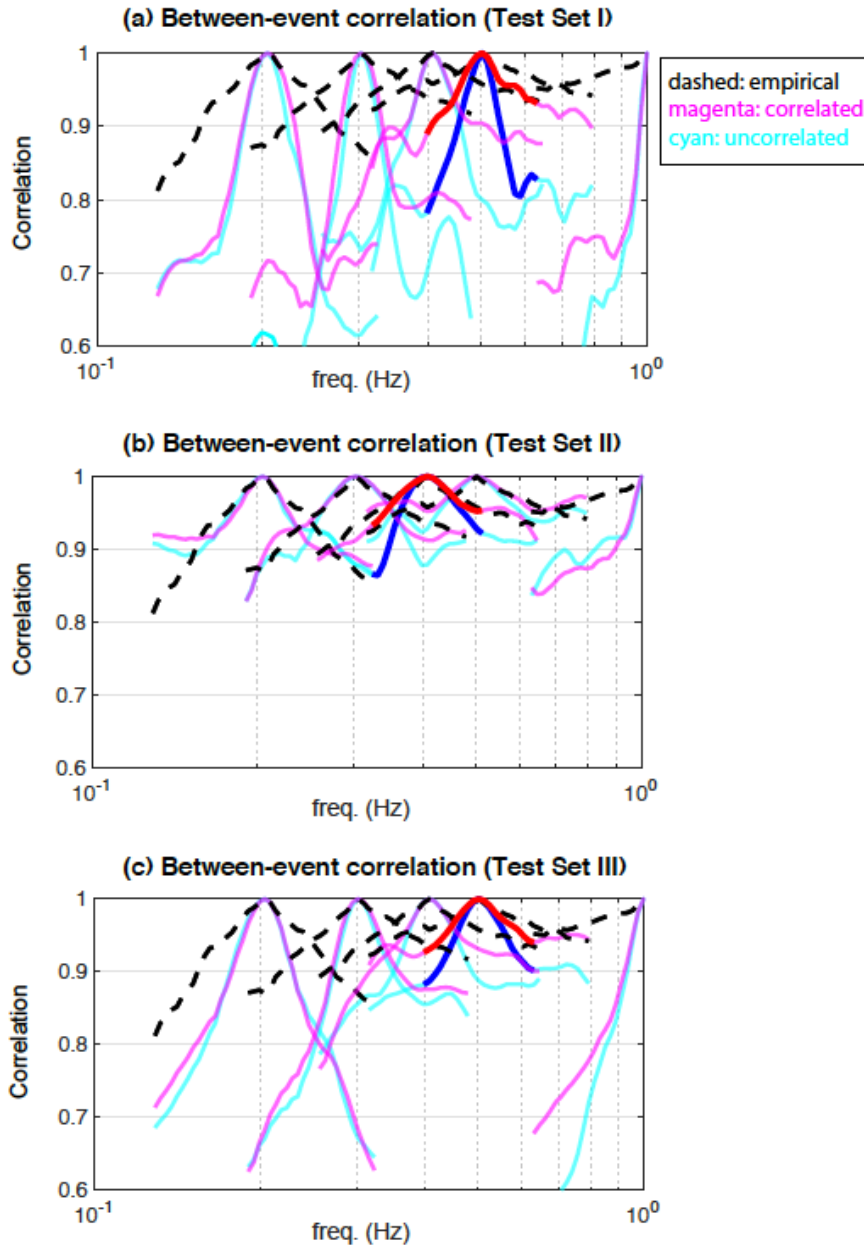
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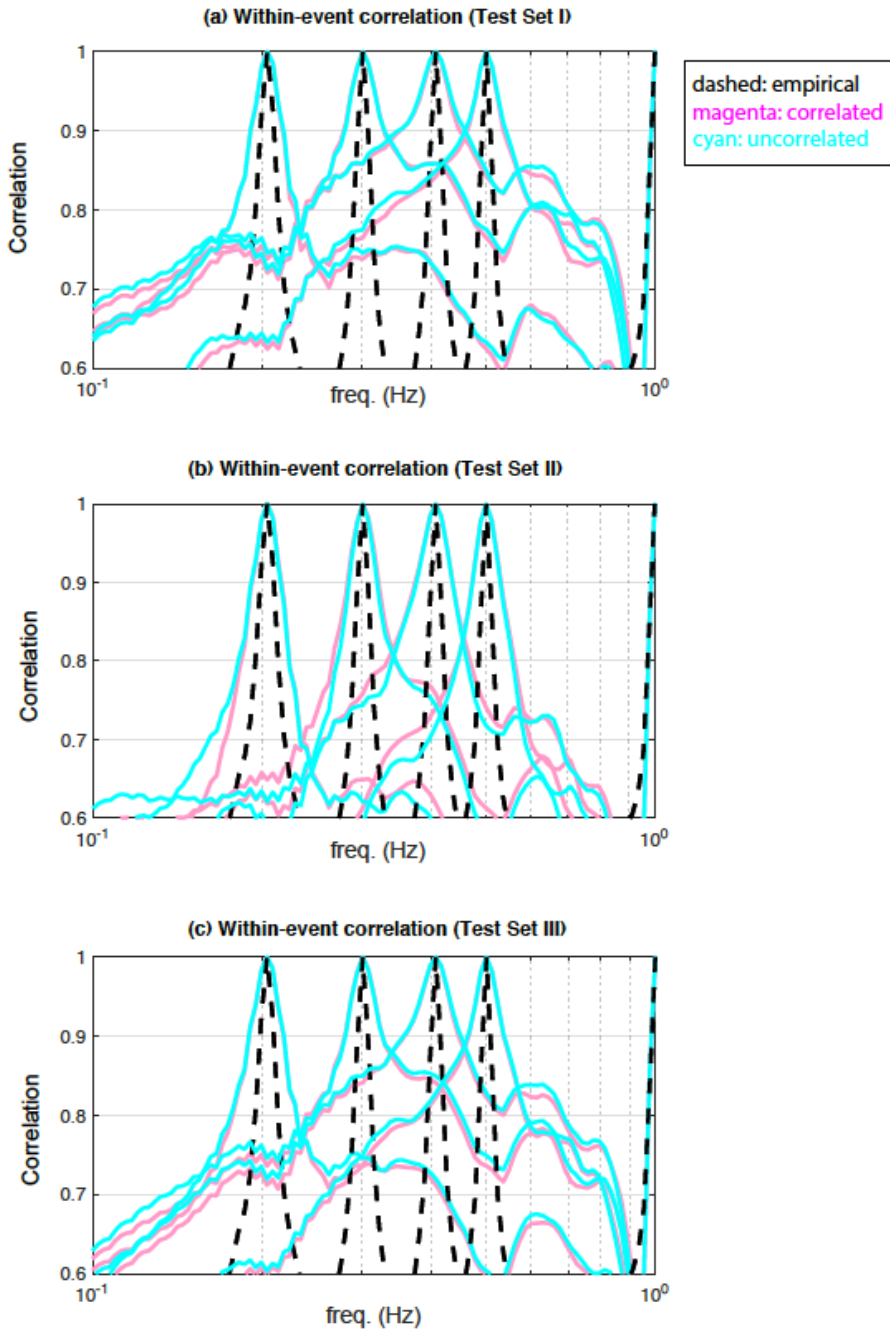


589 **Figure 9.** Standard deviations (tau: between-event, phi: within-event, and phi0: within-site) of
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597 Set III (stress drop perturbation). The initial decay patterns of both correlated and uncorrelated
598 source models from the reference frequencies, i.e., 0.5 Hz for (a) and (c), and 0.4 Hz for (b), are
599 emphasized with red and blues lines, respectively.



600

601 **Figure 11.** Inter-frequency correlations (within-event) with 5 reference frequencies (0.2, 0.3, 0.4,
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Figure 1

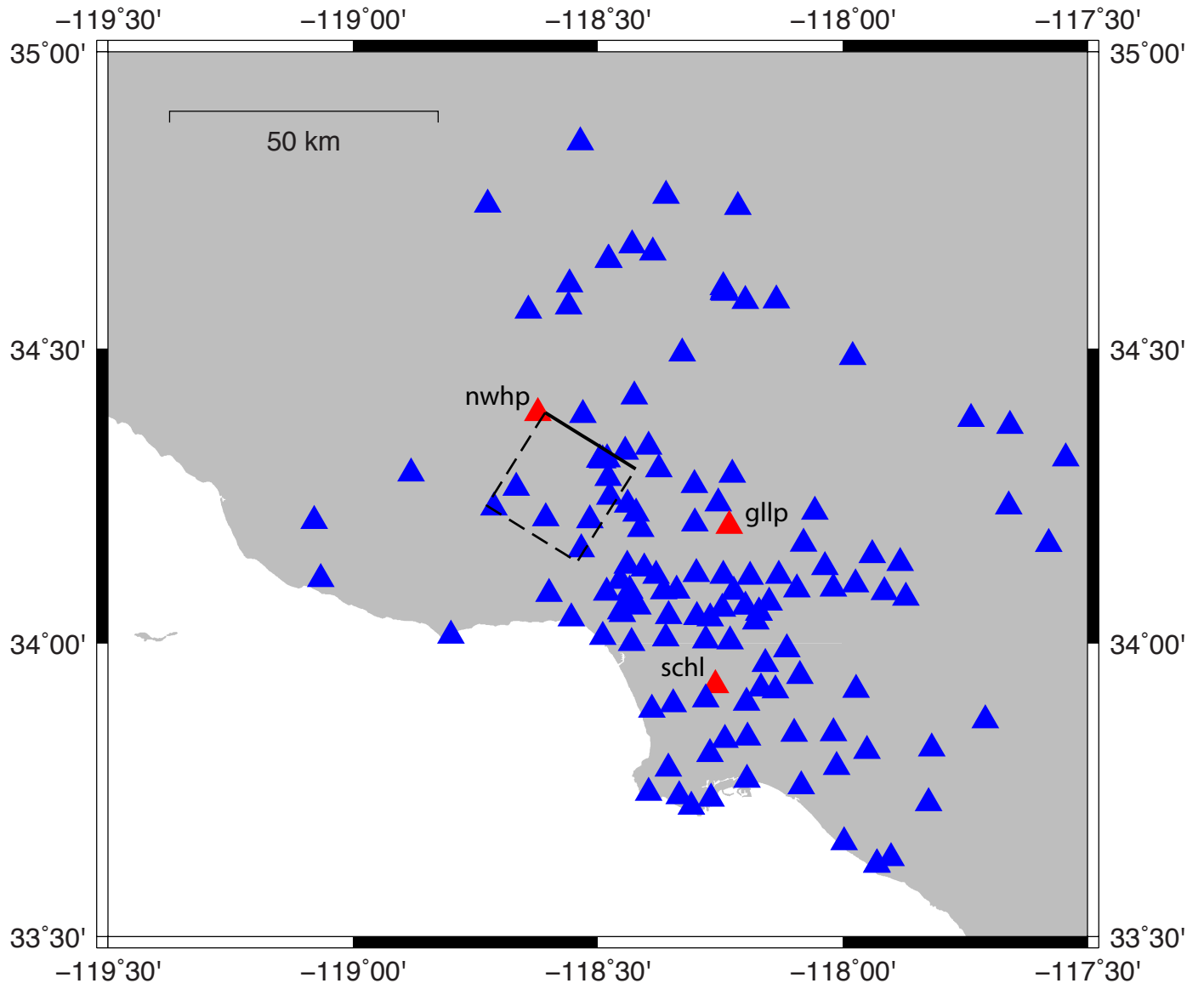


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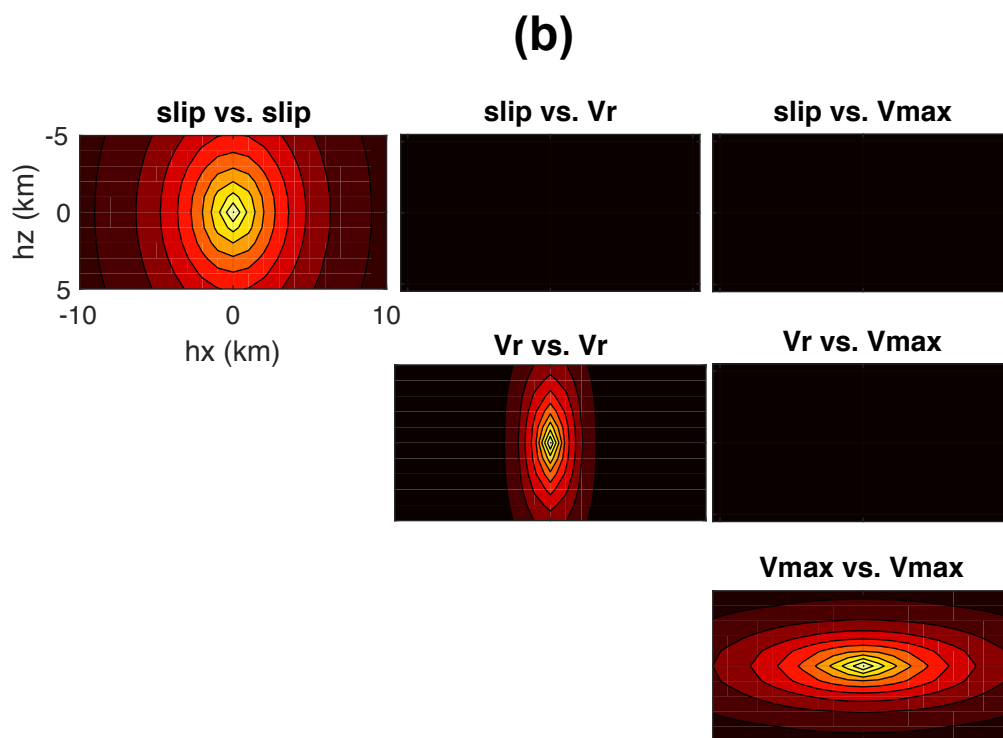
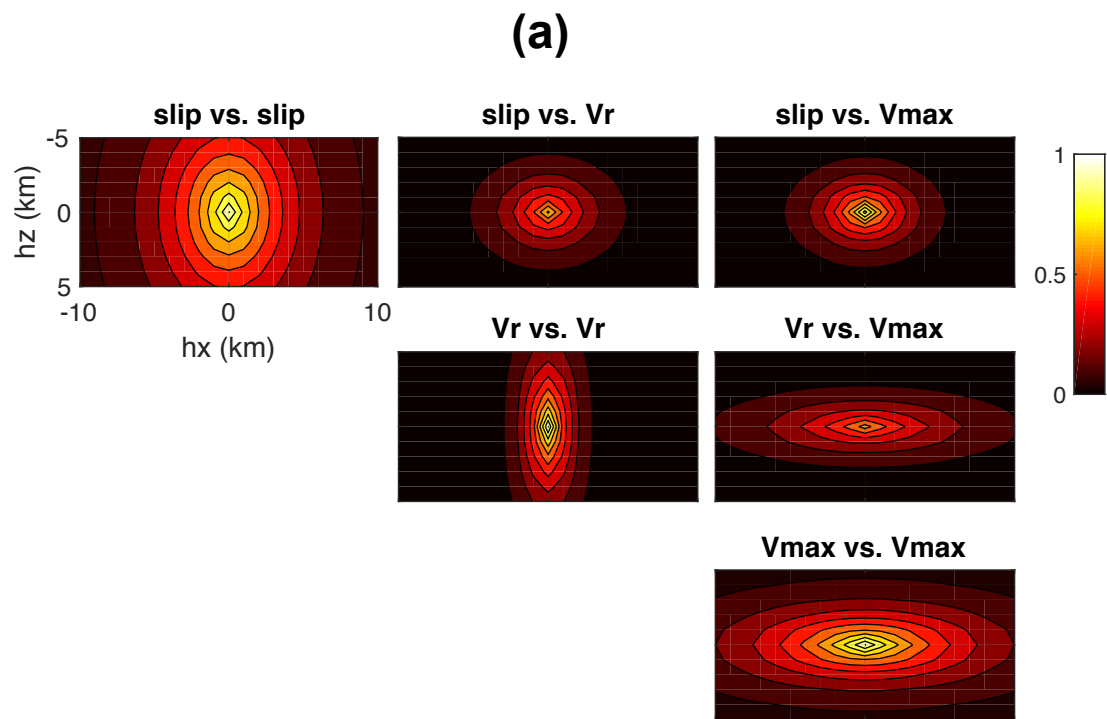


Figure 3

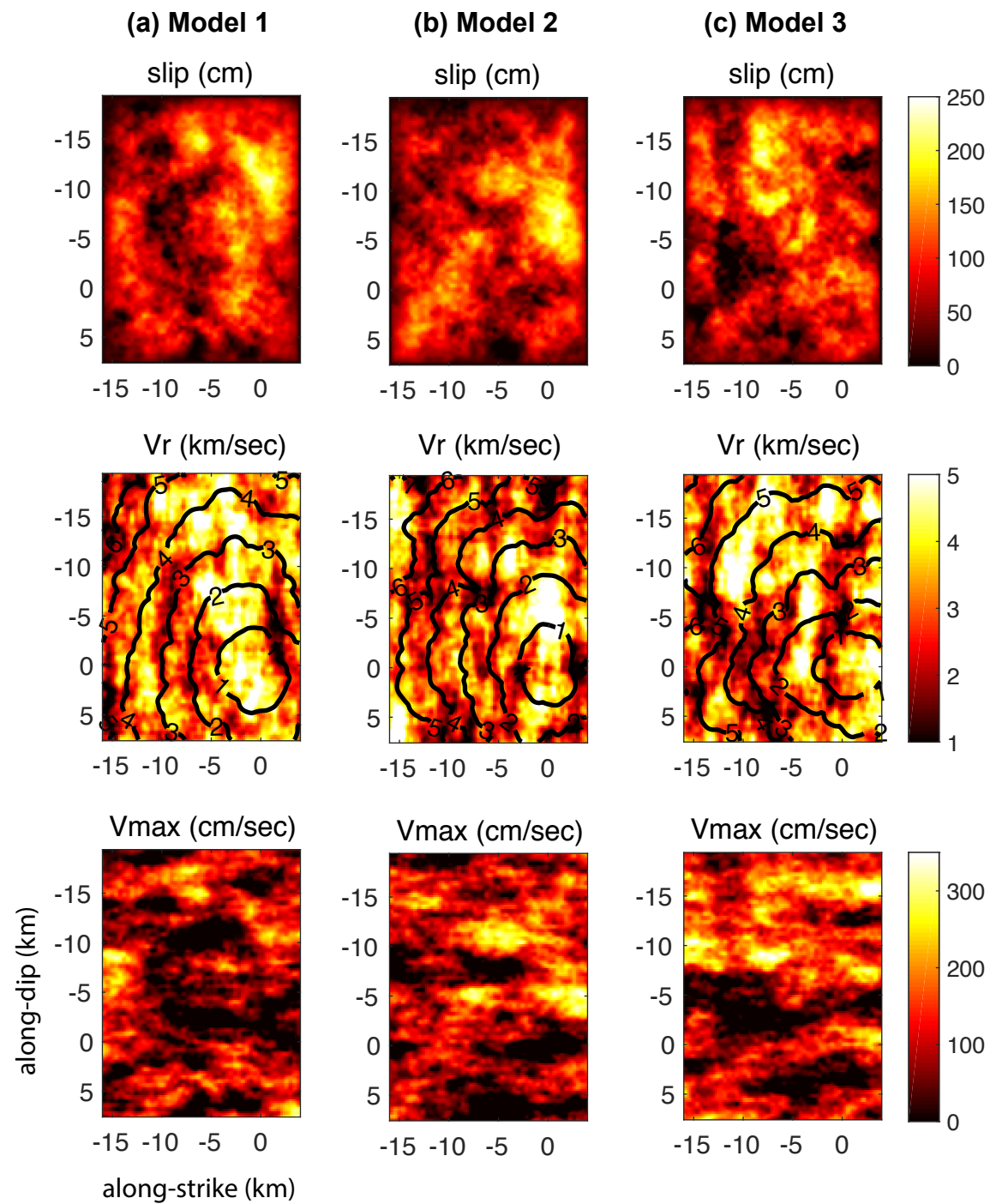


Figure 4

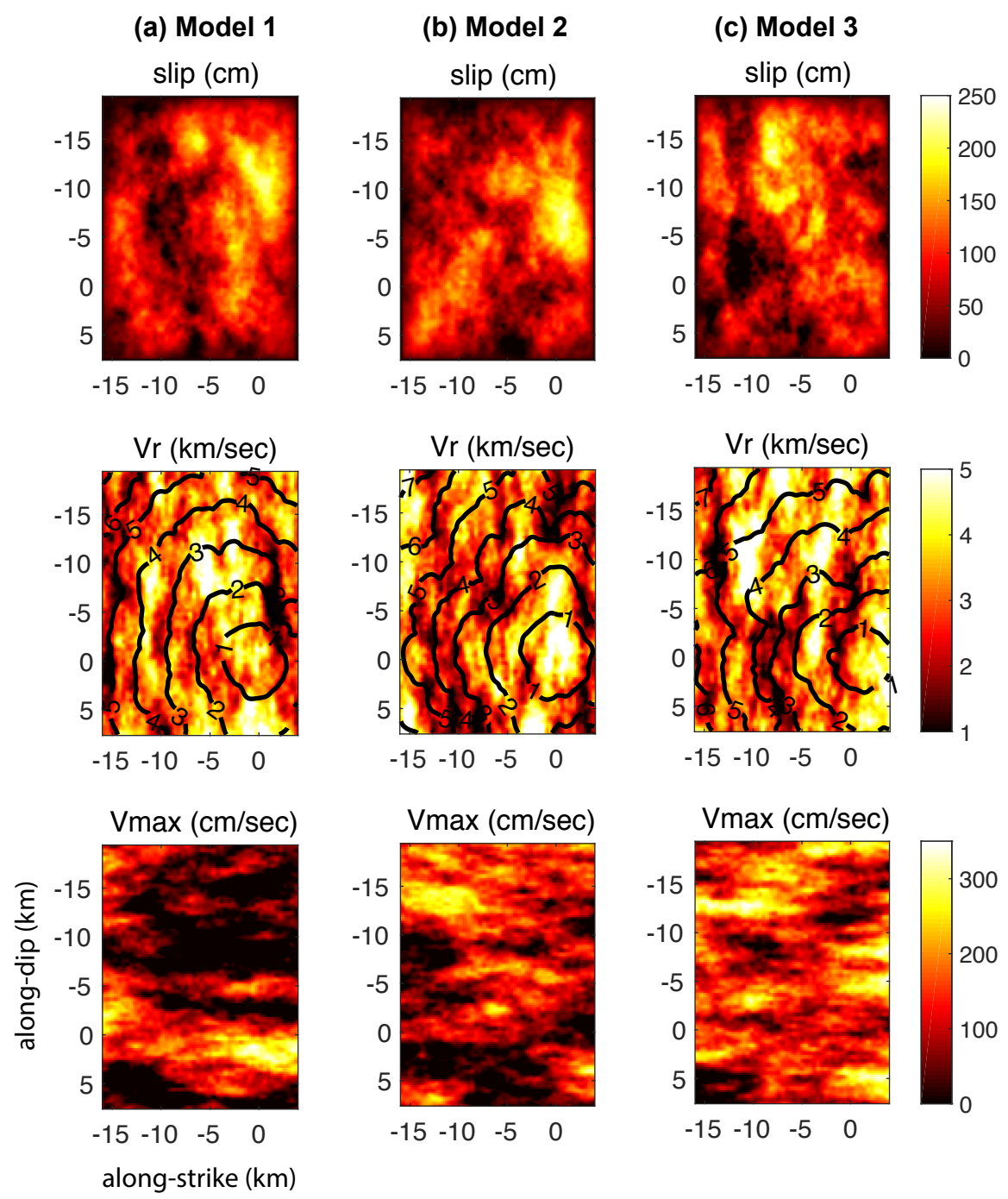


Figure 5

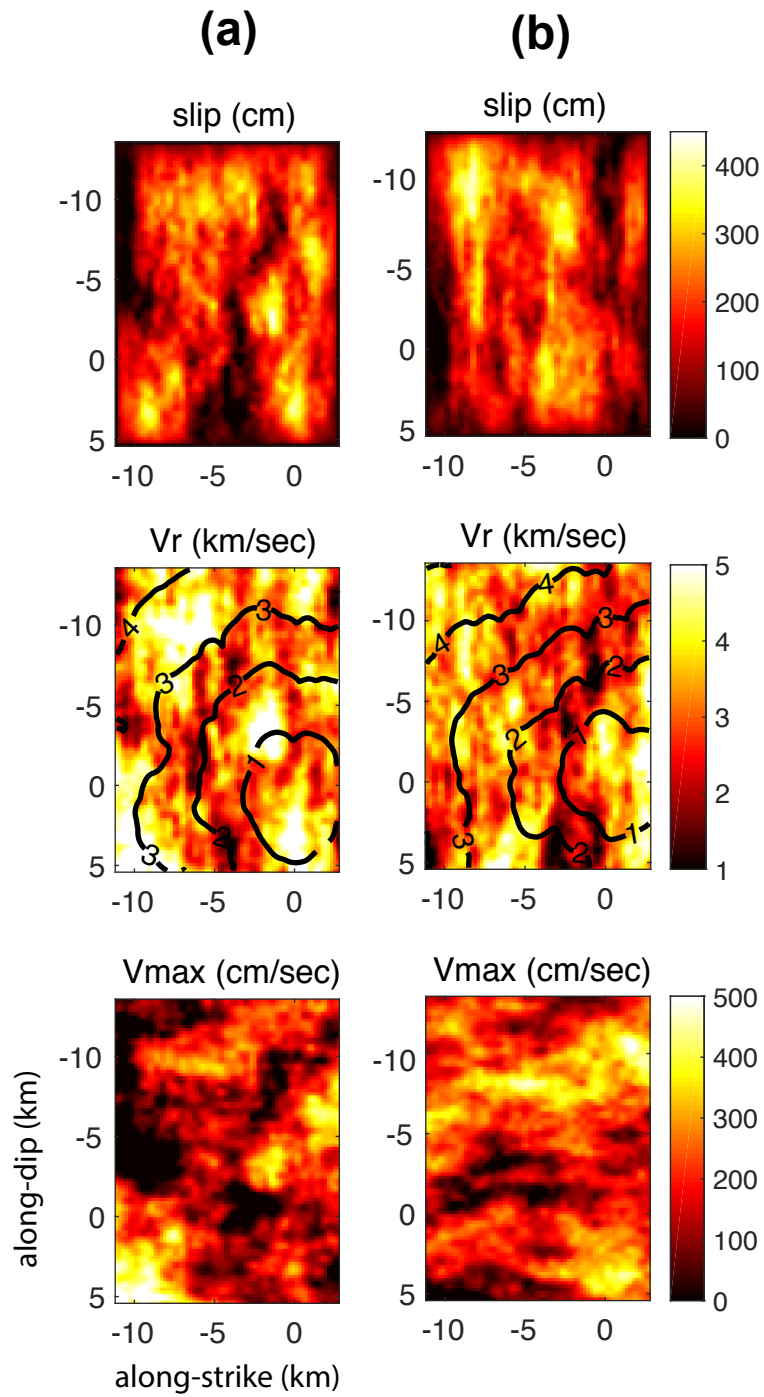
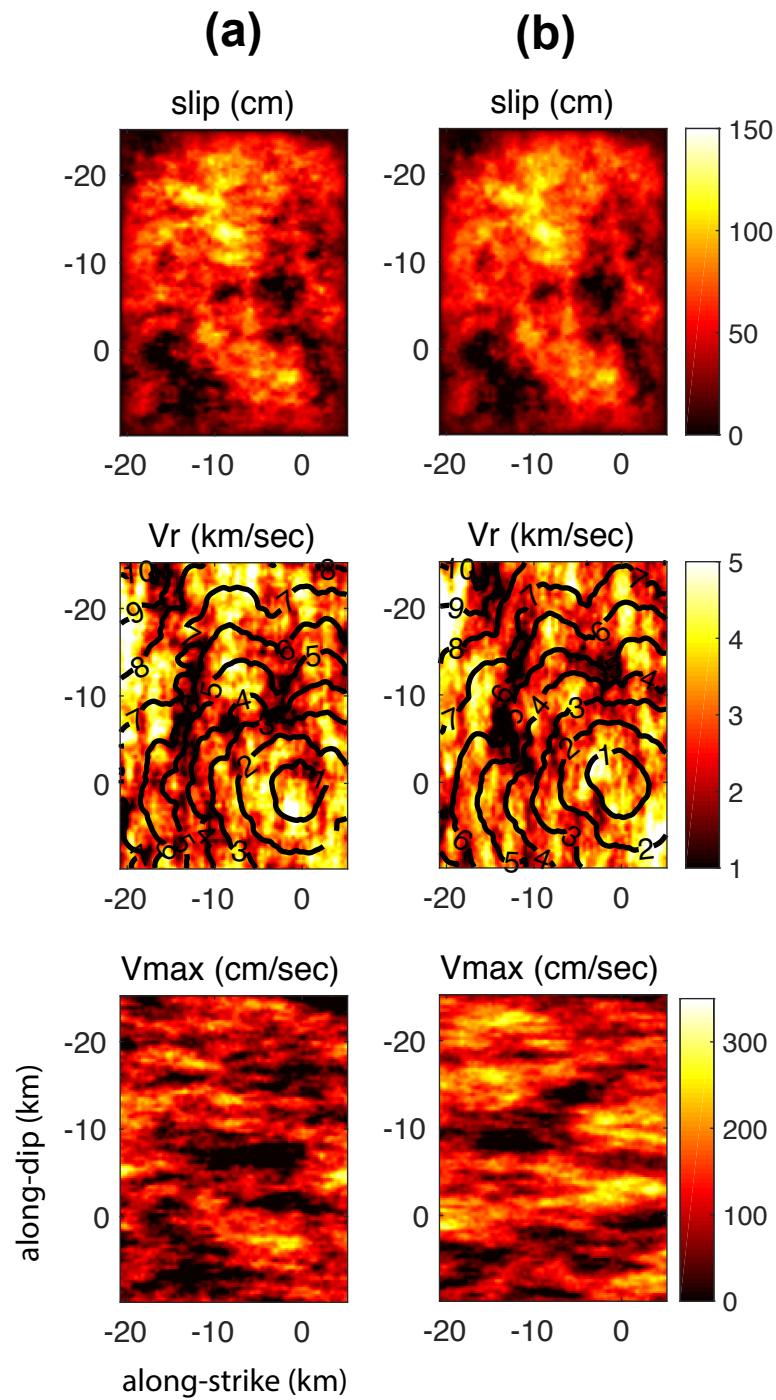
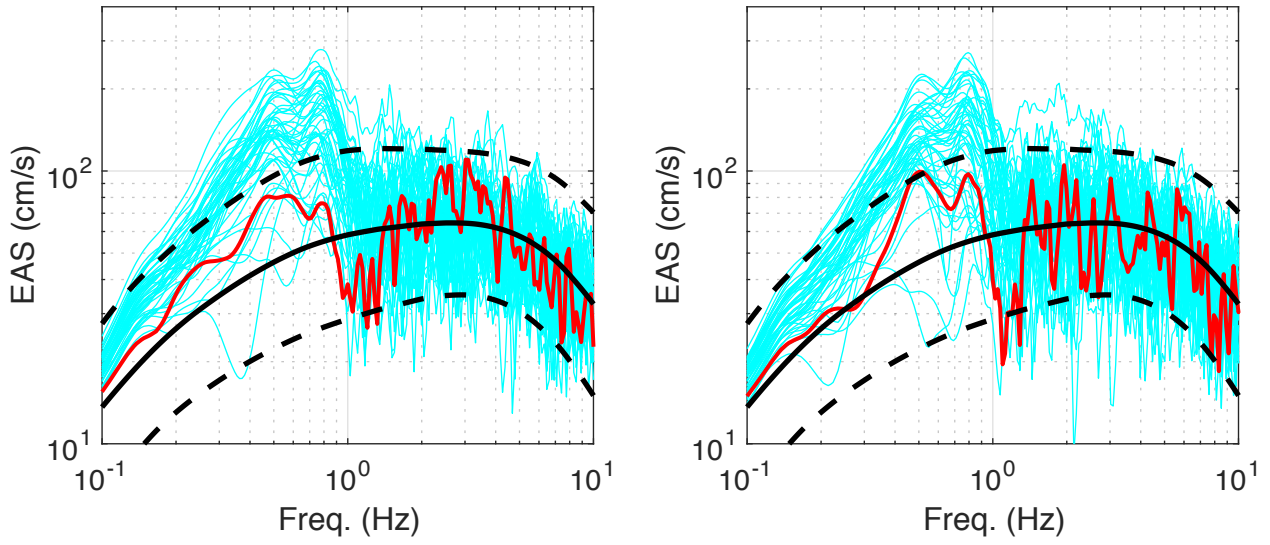


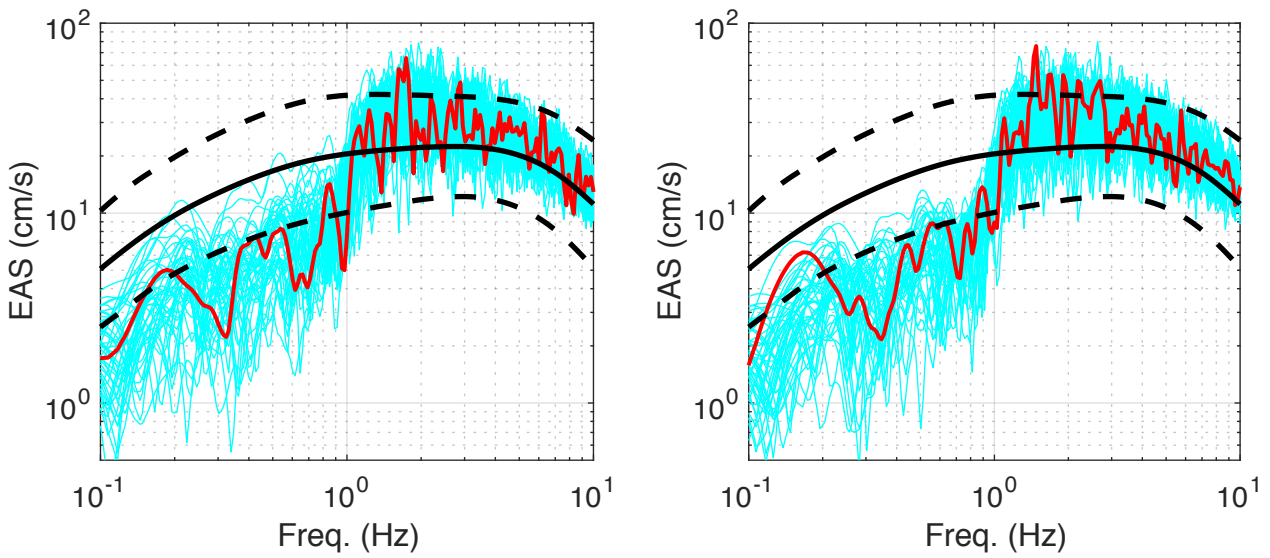
Figure 6



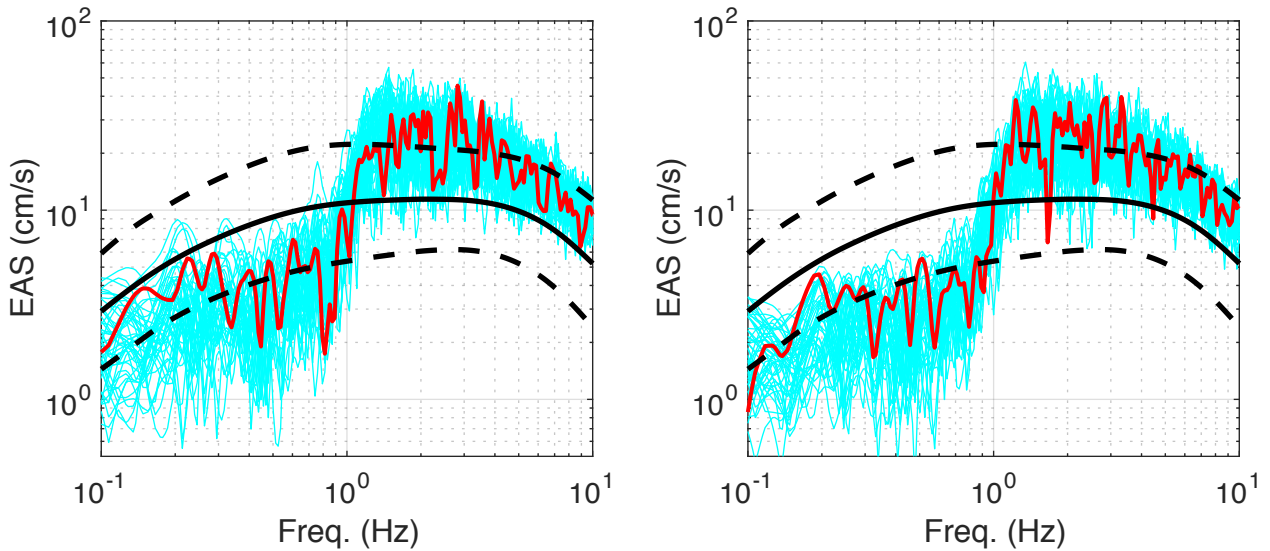
(a) EAS (nwph)



(b) EAS (gllp)



(c) EAS (schl)



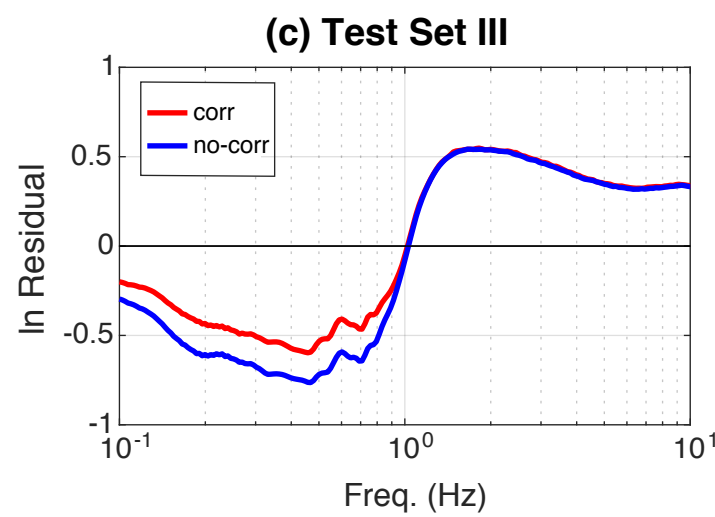
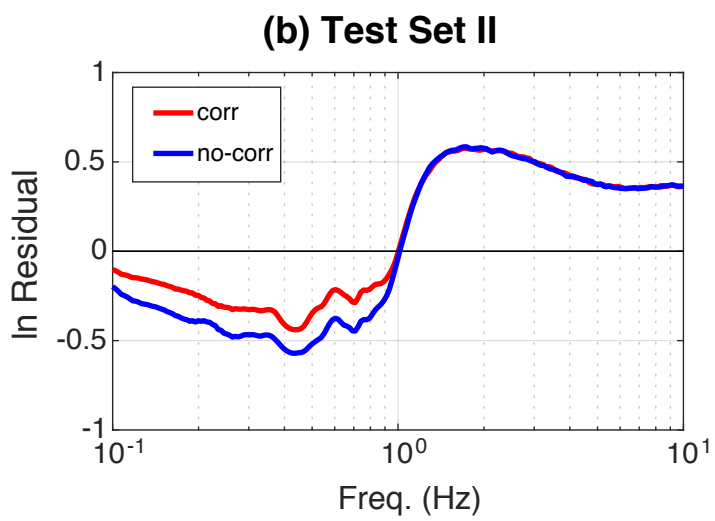
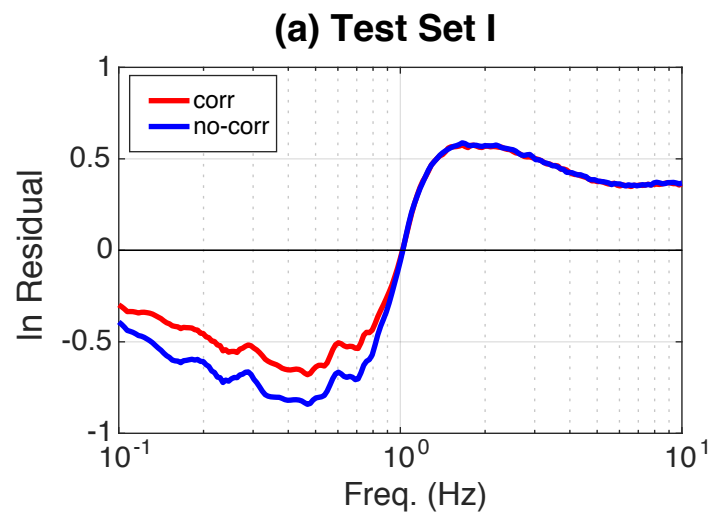
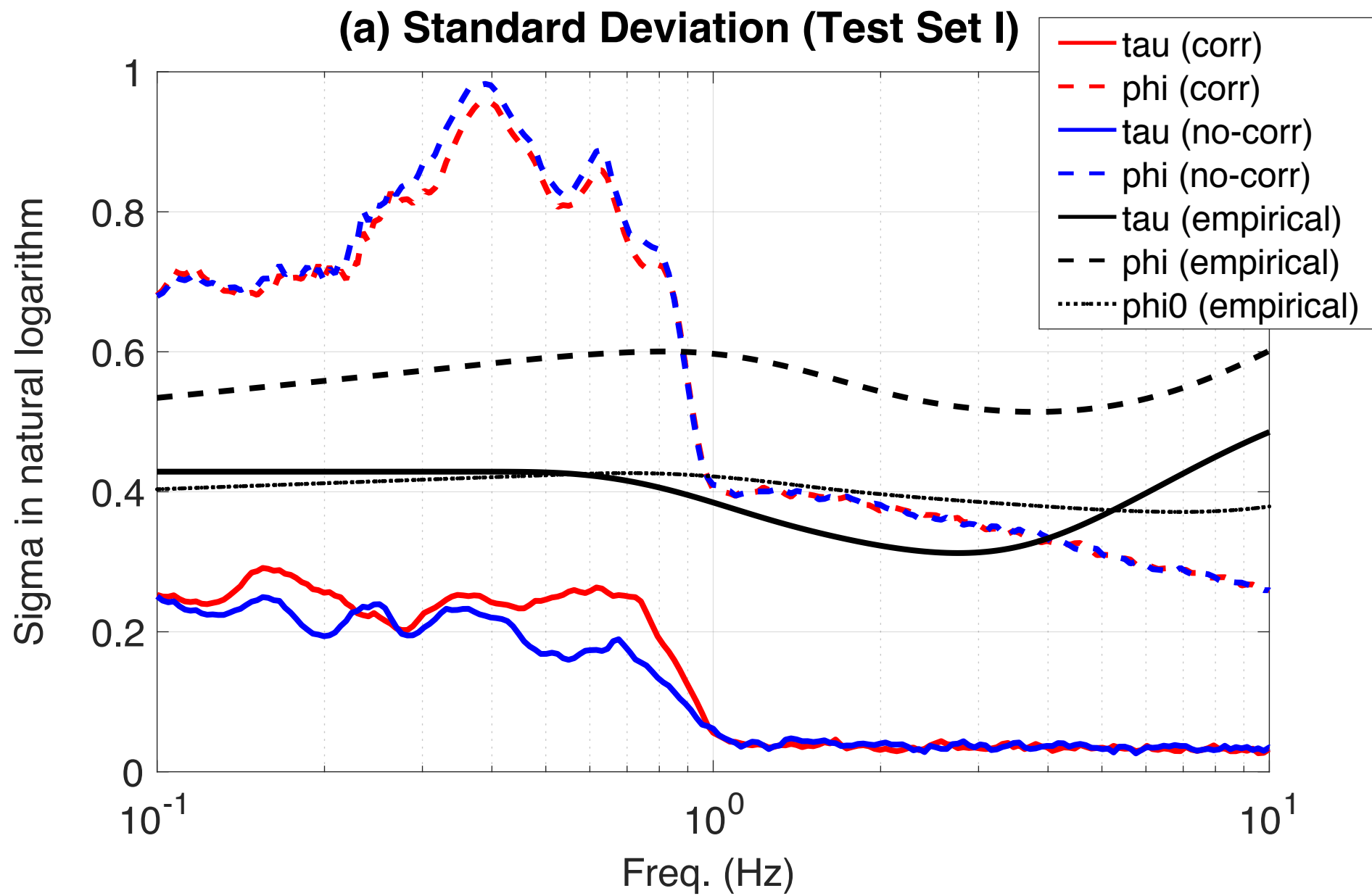
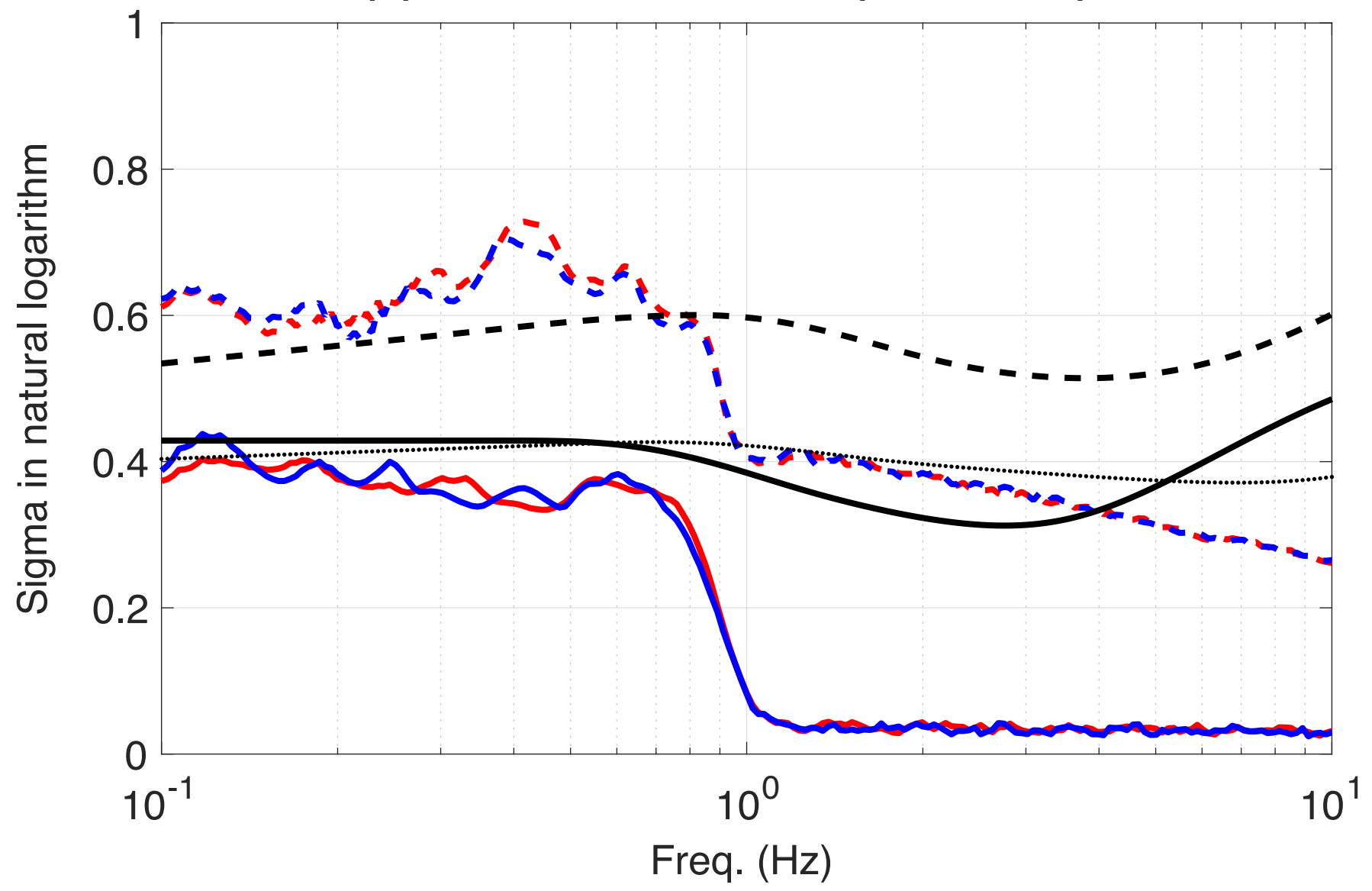


Figure 9a



(b) Standard Deviation (Test Set II)



(c) Standard Deviation (Test Set III)