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1 **Comparative Study of the Effects of Three Data-Interpretation Methodologies on**
2 **the Performance of Geotechnical Back Analysis.**

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34 ABSTRACT:

35 Back analysis can provide engineers with important information for better decision-making.
36 Over the years, research on back analysis has focused mainly on optimisation techniques, while
37 comparative studies of data interpretation methodologies have seldom been reported. This
38 paper examines the use of three data-interpretation methodologies on the performance of
39 geotechnical back analysis. In general, there are two types of approaches for interpreting model
40 predictions using field measurements, deterministic vs population-based, both of which are
41 considered in this study. The methodologies that are compared are (a) error-domain model
42 falsification (EDMF), (b) Bayesian model updating and (c) residual minimisation. Back
43 analyses of an excavation case history in Singapore using the three methodologies indicate that
44 each has strengths and limitations. Residual minimisation, though easy to implement, shows
45 limited capabilities of interpreting measurement data with large uncertainty errors. EDMF
46 provides robustness against incomplete information of the correlation structure. This is
47 achieved at the expense of precision, as EDMF yields wider confidence intervals of the
48 identified parameter values and predicted quantities compared to Bayesian model updating. In
49 this regard, a modified EDMF implementation is proposed which can improve upon the
50 limitations of the traditional EDMF method, thus enhancing the quality of the identification
51 outcomes.

52

53

54 KEYWORDS:

55 Excavation, Back analysis, Parameter identification, Bayesian updating, Observational method,
56 Finite-element analysis

57

58

59 1. INTRODUCTION

60 Construction activities for underground structures are usually monitored. The rich information
61 embedded in field-response measurements can be used to enhance knowledge of material
62 parameter values and the overall behaviour of underground structures, leading to a potential
63 reduction in construction risks and costs. The procedure whereby material parameter values are
64 estimated from field-response measurements is often called back analysis, which is an essential
65 step for implementing the observational method (Hardy et al¹⁹; Peck³²).

66 Four components are needed for an effective implementation of back analyses. These include
67 (a) a calculation model (b) field-response measurements (c) a data interpretation methodology
68 and (d) an optimisation technique. A data-interpretation methodology is defined as the
69 methodology that determines how model predictions are assessed and interpreted given field-
70 response measurements. An optimisation algorithm is used to facilitate the search for solutions
71 based on the interpretations specified by the data-interpretation methodology.

72 Over the years, research into geotechnical back analysis has focused mainly on optimisation
73 techniques. The performance of optimisation techniques, such as gradient-based techniques
74 (Finno and Calvello¹²), Heuristic algorithms (Levasseur et al²⁷; Knabe et al²⁴), surrogate-based
75 optimisation (Qi and Zhou³⁶; Pai et al³⁵; Zhang et al⁴⁵) and multi-objective optimisation (Huang
76 et al¹⁸; Jin et al²³), has been studied in the context of geotechnical back analysis. A comparative
77 study on the performance of these optimisation algorithms has also been reported (Yin et al⁴⁴).

78 Despite receiving less attention to date, other data-interpretation methodologies, such as
79 probabilistic approaches, play an important role because they determine, in the presence of
80 uncertainty, how model predictions are assessed and interpreted given field-response
81 measurements. Only when model predictions are interpreted in a reliable manner can the
82 benefits of advanced optimisation techniques be fully realised. There are in general two
83 approaches for interpreting field measurements using model predictions, deterministic and

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84 population-based approaches. Residual-minimisation (Finno and Calvello¹²; Jofre²²; Ledesma
85 et al²⁵) is a deterministic approach that is commonly reported in the literature, while Bayesian
86 model updating (Juang et al¹⁷; Qi and Zhou³⁶) is the most commonly adopted population-based
87 approach. More recently, the population-based error-domain model falsification (EDMF)
88 methodology, which was previously used for bridge engineering (Cao et al⁹; Goulet et al¹⁵;
89 Proverbio et al³⁴), leakage detection (Moser et al³⁰) and wind engineering (Vernay et al⁴²), has
90 also been applied and adapted for geotechnical excavation back analysis (Wang et al⁴³). To
91 date, however, these methodologies have not been systematically compared for the same
92 geotechnical back analysis case.

93 In this paper, a comparative study of methodologies involving residual minimisation, Bayesian
94 model updating and error-domain model falsification is presented. Field measurements from
95 an excavation case history in Singapore are used to provide information for data interpretation.
96 Results are presented and discussed to highlight the strengths and limitations of each
97 methodology. Arising from this study, a modified EDMF implementation is also proposed,
98 and improved performance is illustrated through a comparison with the results from the
99 traditional EDMF implementation.

100

101 2. DATA-INTERPRETATION METHODOLOGIES

102 2.1. Error-domain model falsification (EDMF)

103 This method was developed based on the assertion of Sir Karl Popper in *The Logic of Scientific*
104 *Discovery* (Popper³³) that models cannot be fully validated by data and that they can only be
105 falsified. In the context of EDMF, the analysis starts from an initial population of material
106 parameter sets. The falsification process is then carried out to eliminate parameter sets that do
107 not yield predictions compatible with field-response measurements, based on some pre-defined
108 acceptance criteria. The remaining non-falsified parameter sets, which are termed candidates,

109 are considered as viable inputs for use with the numerical model to assess the behaviour of the
110 actual system. In this regard, EDMF often yields a solution that comprises a population of
111 candidates. The more detailed mathematical formulation is provided below.

112 A plausible physics-based model defined by n_θ parameter values and a model class G_k can be
113 identified using information provided by field-responses measurements. In the context of an
114 excavation problem, such measurements may take the form of a retaining wall deflection
115 profile obtained from inclinometer readings taken at n_v number of measurement locations. Let
116 R_i and \hat{y}_i denote the real response and the measured response respectively at location $i \in \{1, \dots,$
117 $n_v\}$. Values for Θ'_k , which correspond to the true parameter values, can be assigned to obtain
118 predictions $g_{i,k}(\Theta'_k)$ of the model class at location i . Modelling uncertainties arising from model
119 simplifications and omissions and measurement uncertainties are expressed as $U_{i,gk}$ and $U_{i,\hat{y}}$
120 respectively at location i . The mathematical relationship between these quantities is given in
121 Equation 1:

$$g_{i,k}(\Theta'_k) + U_{i,gk} = R_i = \hat{y}_i + U_{i,\hat{y}} \quad \forall i \in \{1, \dots, n_v\} \quad (1)$$

123
124 Upon rearrangement, the Equation 2 is obtained:

$$g_{i,k}(\Theta'_k) - \hat{y}_i = U_{i,ck} \quad (2)$$

126
127 where $U_{i,ck}$ is a random variable representing the difference between the measurement
128 uncertainty $U_{i,\hat{y}}$ and the modelling uncertainty $U_{i,gk}$ at location i .

129 The left term of Equation 2 represents the difference between model prediction and
130 measurement data at location i . This term is typically called the residual r_i . The probability

131 density function (PDF) describing the modelling uncertainty in the model class $f_{U_i, g_k}(u_{i, g_k})$ can
 132 be estimated and applied in the analysis.

133 The implementation of EDMF starts with the definition of an initial model set, which contains
 134 n_Ω model instances $\Omega_k = \{\Theta_{k,m}, m = 1, \dots, n_\Omega\}$. Threshold bounds are then defined by
 135 computing the narrowest interval $\{u_{i, low}, u_{i, high}\}$ that represents a probability equal to \emptyset_d^{1/n_v} for
 136 the combined PDFs $f_{U_i, c}(u_{i, c})$ at each measurement location i . This computation is performed
 137 using the following equation:

138

$$\emptyset_d^{1/n_v} = \int_{u_{i, low}}^{u_{i, high}} f_{u_{i, c}}(u_{i, c}) du_{i, c} \quad \forall i \in \{1, \dots, n_v\} \quad (3)$$

139

140 A value of 0.95 for the confidence level $\emptyset_d \in [0, 1]$ is commonly employed. The confidence
 141 level \emptyset_d is adjusted using the Šidák correction (Abdi¹; Šidák⁴⁰) to take into account the fact that
 142 n_v measurement locations are simultaneously considered. Uniform probability distributions
 143 create a hyper-rectangular acceptance region. Under this scheme, the correlation information
 144 between sensor locations is no longer needed, which is particularly helpful because it is often
 145 difficult to determine the correlation values between sensor locations. Goulet et al¹⁵ have
 146 shown that this scheme is conservative in many situations. Falsification is then performed
 147 according to the following equation:

148

$$\Omega_k'' = \{\Theta_k \in \Omega_k \mid \forall i \in \{1, \dots, n_v\} \ u_{i, low} \leq g_{i, k}(\Theta_k) - \hat{y}_i \leq u_{i, high}\} \quad (4)$$

149

150 where the candidate model set (CMS), Ω_k'' , is made up of all model instances that have not been
 151 falsified. An instance Θ^*_k of a model class G_k is a candidate model if for each sensor location
 152 $i \in \{1, \dots, n_v\}$, the residual r_i value falls inside the threshold bounds derived from Equation 3.

153 All model instances that belong to the CMS are assigned a constant probability, as it is often
154 difficult to justify a more sophisticated distribution in practical situations.

155 In large-scale, multi-staged excavations, a continuous falsification and prediction framework
156 can be established. At an early or intermediate point in the excavation process, it is often useful
157 and desirable to perform back analysis with field-response measurements and predict the field
158 responses of subsequent excavation stages with the identified material parameter values. In the
159 context of EDMF, predictions are made with all candidate models. Detailed mathematical
160 development of EDMF can be found in Goulet and Smith¹⁶ and the implementation of it on a
161 multi-stage excavation problem can be found in Wang et al⁴³.

162

163 2.2. Bayesian model updating

164 Bayesian model updating starts from the evaluation of the likelihood function, which is defined
165 as the joint probability that the residuals r are equal to the values computed with a given set of
166 material parameter value, modelling uncertainty and measurement uncertainty. Following the
167 notation in Section 2.1, the likelihood function can be expressed in Equation 5:

168

$$p(r; \mu_{U_{ck}}, C) = \frac{1}{2\pi^{\frac{n_v}{2}} |C|^{\frac{1}{2}}} \exp\left\{-\frac{1}{2}(r - \mu_{U_{ck}})^T C^{-1} (r - \mu_{U_{ck}})\right\} \quad (5)$$

169

170 where r denotes the difference between model predictions and measurement data. Equation 5
171 is formulated based on the case wherein observations of multiple points are available and the
172 modelling and the measurement uncertainties are normally distributed. Therefore, the
173 combined uncertainty U_{ck} also follows a normal distribution with mean $\mu_{U_{ck}}$, which is the sum
174 of the mean of all modelling and measurement uncertainties, and standard deviation $\sigma_{U_{ck}}$,
175 which is the square root of the sum of the variance of all uncertainties. The joint probability of

176 residuals at multiple measurement locations can then be calculated with a chosen correlation
177 matrix C, which describes the dependency of uncertainties at these measurement locations.
178 Two correlation schemes are examined in this study. The first scheme assumes independence
179 or zero correlation. This scheme suggests that the magnitudes of the uncertainties at
180 measurement locations are independent from each other. The second scheme adopts a
181 correlation matrix following the work of Qi and Zhou³⁶ and Ledesma et al²⁵. The effects of
182 correlation matrix will be discussed later in this paper.
183 The correlation structure C is an input for the evaluation of the likelihood, and has to be
184 estimated before the posterior distribution can be obtained. In Bayesian methodology, it is
185 assumed that the correlations are independent from the magnitude of the uncertainties.
186 According to Qi and Zhou³⁶ and Ledesma et al²⁵, the correlation structure may be calculated as
187 follows:

$$C_{ij} = \sigma^2 \sum_{m=1}^{\min(i,j)} l_m^2 \quad (6)$$

189
190 where

191 C_{ij} is the covariance of the measurement uncertainties at point i and j,
192 σ is the standard deviation of the inclinometer, which can be estimated following the work
193 of Finno and Calvello¹², and
194 l_m is the distance between two neighboring measurement points, which is 1m in the
195 current study.

196 In the Bayesian framework, the posterior distribution, which describes the conditional
197 probability of the material parameter values given the field-response measurements, can be
198 calculated using Equation 7:

$$p(\Omega_k|\hat{y}_i) = k_1 \cdot p(\mathbf{r}; \mu_{U_{ck}}, C) \cdot p(\Omega_k) \quad (7)$$

200
201 where k_1 is a normalization constant that makes the probability density function valid, and
202 $p(\Omega_k)$ represents the prior probability density function of the material parameter values to be
203 identified. In the current study, the prior probability density function is assumed to be
204 uniformly distributed. Also, both the modelling and measurement uncertainties are explicitly
205 included in the evaluation of the likelihood function, which provides a basis to compare results
206 from the Bayesian model updating approach with those obtained from EDMF analysis. In this
207 paper, the implementation of the Bayesian model updating calculations is facilitated by the use
208 of the Markov-chain Monte-Carlo simulation and the Metropolis-Hastings algorithm, in
209 conjunction with the response surface method. Details of the implementation can be found in
210 Juang et al¹⁷ and Qi and Zhou³⁶.

211

212 2.3. Residual minimization

213 The residual minimization approach usually follows the weighted least-squares criterion,
214 which aims to find a single set of parameter values that produces the minimum absolute error
215 between numerical predictions and measurements. Finno and Calvello¹² reported its
216 application to an excavation back analysis problem. The objective function is expressed as:

217

$$S(\Omega_k) = [\mathbf{g}_{i,k}(\Omega_k) - \hat{y}_i]^T \omega [\mathbf{g}_{i,k}(\Omega_k) - \hat{y}_i] = \mathbf{r}_i^T \omega \mathbf{r}_i \quad (8)$$

218

219 where ω is the diagonal weighting matrix whose values correspond to the inverse of the
220 measurement error variances. It is noted that the implementation reported by Finno and
221 Calvello¹² does not include errors associated with modelling uncertainties.

222 In addition to measurement errors, the residual minimisation implementation in this study also
223 accounts for errors due to modelling uncertainties. Both measurement and modelling
224 uncertainties are assumed to be normally distributed, and their respective mean values are
225 adopted as the measurement and modelling errors for the deterministic calculations. The
226 modified objective function is expressed in Equation 9:

227

$$S(\Omega_k) = [g_{i,k}(\Omega_k) - \mu_{U_{i,ck}} - \hat{y}_i]^T \omega [g_{i,k}(\Omega_k) - \mu_{U_{i,ck}} - \hat{y}_i] = \mathbf{r}_i^T \omega \mathbf{r}_i \quad (9)$$

228

229 Such a formulation allows a non-zero mean estimate of the modelling uncertainties to be
230 included in the analysis, which is consistent with the consideration of such modelling errors in
231 both the Bayesian model updating and the EDMF approaches.

232 The search for the optimal solution is facilitated by the response surface method, which will be
233 explained later. The search starts with a dense grid of parameter values, from which several
234 local minima may be identified. It is noted that the search-based objective function associated
235 with the absolute minimum derived from the original grid may not necessarily correspond to
236 the global minimum. For this reason, refined searches are performed in the vicinities of the
237 various local minimum zones identified. Such refinements around the local minima are carried
238 out to account for the possibility that the parameter combination that gave the best objective
239 function value may be located near a local minimum of the initial grid. The refinement is
240 repeated for each local minimum three times. The final parameter combination is taken as the

241 one that gave the best objective function values across the refined grids of all the local minima.

242 A similar procedure has been reported by Ieronymaki et al^{20, 21}.

243

244 3. CASE STUDY

245 Back-analyses of an excavation case history in Singapore are performed using the three data-
246 interpretation methodologies described in Section 2. The geotechnical finite-element software
247 package Plaxis 2D (Brinkgreve et al⁸) and Plaxis 3D (Brinkgreve et al⁷) are used to model the
248 excavation and the wall deflection response. Due to the large number of simulations required,
249 the response surface method is adopted to facilitate the search of solutions. Three-dimensional
250 excavation effects arising from the corner constraints are quantified using the approach
251 proposed by Wang et al⁴³.

252

253 3.1. Project description

254 The excavation is approximately 60m in length, 40m in width and 10m in depth. The support
255 system of the excavation includes diaphragm walls, soldier pile walls, toe pins and two layers
256 of steel struts and waler beams. Figure 1 shows the 3D finite-element model. The 800mm thick
257 diaphragm walls are modelled as elastic plate members. The reduced lateral stiffness of the
258 diaphragm walls due to the presence of construction joints (Dong et al¹⁰; Zdravkovic et al⁴⁶)
259 between panels is captured by releasing the rotational stiffness between the plates, following
260 Lee et al²⁸. Along certain sections of the excavation, the top 1 to 3m of the diaphragm walls
261 are replaced by soldier pile walls, comprising grade 355 steel universal column sections and
262 75mm thick concrete panels. The toe pins, which extend 2m below the toe of the diaphragm
263 walls, consist of grade 355 circular steel hollow sections placed at 800mm spacing. As a
264 simplification, the toe pins and the soldier pile walls are smeared and modelled as elastic plate
265 members with equivalent properties. Struts and waler beams are modelled as node-to-node

266 anchors and beam elements respectively. Interface elements with zero thickness (Brinkgreve
267 et al^{7,8}) are used to model the soil-wall interactions. The properties of all structural elements
268 are listed in Table 1.

269 The soil stratigraphy in the 3D model was based on the information obtained from six boreholes
270 drilled at this site, which is situated on the Bukit Timah Granite formation. The top layer, which
271 is roughly 3m in thickness, contains mostly sandy silt and man-made backfill materials. It is
272 underlain by a 10 to 13m thick residual soil layer of sandy silt, denoted as G(VI), across most
273 parts of the project site. The granitic rock layer G(III) is present at approximately 15m below
274 the ground surface. On the eastern half of the project site, there is also a 5m thick layer of
275 coarse sand sandwiched between the G(VI) sandy silt and G(III) granitic rock. In addition, the
276 SI report indicates that a pocket of medium to coarse gravels is present at a localised area near
277 the centre of the pit.

278 Figure 2 shows the 2D finite-element model of the west-to-east middle section of the
279 excavation. The idealized 2D soil profile, excavation support system and boundary conditions
280 are also shown in the figure. Roller supports are assigned to vertical boundaries while the base
281 of the model is fully fixed. The fill layer and the gravels are described using the Mohr-Coulomb
282 model while the rock layer is described using the Hoek-Brown model. Other soil layers are
283 simulated using the Hardening Soil with Small Strain Stiffness (HS Small) model (Benz⁶).
284 Representative soil parameters for the Bukit Timah formation (Rahardjo et al^{37,39}) are adopted
285 and listed in Table 2, except for the grey shaded cells which indicate the parameters to be
286 identified.

287 In this study, four parameters are selected to be identified. They are (a) the Young's modulus
288 E (MPa) of the fill layer, (b) the reference Young's modulus E_{50}^{ref} (MPa) of the G(VI) sandy silt
289 layer, (c) the reference Young's modulus E_{50}^{ref} (MPa) of the coarse sand layer and (d) the
290 equivalent flexural rigidity EI (kNm^2) of the smeared soldier pile walls. These four parameters

291 are selected based on the results of a sensitivity analysis. Preliminary estimated ranges of these
292 parameter values at the start of the identification process are indicated in the shaded cells of
293 Tables 1 and 2. Other Hardening Soil model reference moduli, e.g. $E_{\text{oed}}^{\text{ref}}$, $E_{\text{ur}}^{\text{ref}}$ and G_0^{ref} , of the
294 sandy silt and coarse sand layers are correlated to E_{50}^{ref} , as shown in the tables. The initial water
295 table is 2m below the ground level.

296 The construction sequence modelled in the finite-element analysis comprises 6 stages, as
297 shown on Table 3. As the soil layers are inclined with varying thicknesses, the initial ground
298 stresses in stage 0A are generated using the gravity turn-on approach. The diaphragm wall is
299 'wished-in-place' in stage 0B, assuming negligible installation effects. Fully coupled flow-
300 deformation calculations (Galavi¹⁴) are performed to account for the combined time-dependent
301 effects arising from groundwater seepage and consolidation. As indicated in Figures 1 and 2,
302 wall deflection measurements of inclinometers 04 and 09, located at the east and west sides of
303 the excavation respectively, are included in the back analysis.

304

305 3.2. Response surface method

306 Back analysis involves repeated evaluations of the finite-element model using different
307 combinations of the material parameters to be identified. Depending on the number of
308 parameters and the initial ranges adopted, the number of combinations, and hence finite-
309 element simulations, may run into the thousands, which is impractical from a computational
310 point of view. To reduce the computational time to a manageable level, the response surface
311 method may be used as a surrogate for the finite-element analysis. In this method, a smaller
312 but adequate number of 2-D finite element analyses are first performed to obtain mathematical
313 functions that can reasonably relate the material parameters of interest (e.g. Young's modulus
314 E of the fill layer) to the field quantities of interest (e.g. wall deflection at a given depth). Such
315 mathematical functions are then used in the back-analysis to obtain predictions of the field

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316 quantities of interest for several thousand combinations of the material parameters, which can
317 tremendously reduce the computational effort by obviating the need to perform finite element
318 analyses for all these cases.

319 In this study, the three-dimensional excavation effects are quantified following the approach
320 of Wang et al.⁴³. In this method, the 2D finite element model and its associated response
321 surfaces are used to perform the bulk computations of the back analysis for parameter
322 identification. The construction of the response surface starts from the generation of initial
323 sampling points. In the current study, initial sampling points are generated by combining (i)
324 the central composite design (Ahmadi et al²), which generates 36 samples of material parameter
325 combinations, and (ii) Latin Hypercube sampling technique (Stein⁴¹), which generates an
326 additional 100 combination samples. In total, these provide 136 parameter combinations for
327 which 2D finite element analyses are performed and the results used to construct the response
328 surfaces. The results of the 136 finite-element analyses are mathematically related to the four
329 parameters to be identified using the Gaussian process regression model (Rasmussen³⁸), which
330 was found to perform better than the polynomial regression model and radial-basis function
331 method for this study. The machine learning toolbox in Matlab was used to generate the
332 regression models with a quadratic basis function and an exponential kernel function, which
333 performed better than other settings available in Matlab.

334 As the back analyses involve wall deflection measurements made at different excavation stages
335 and multiple measurement locations/depths, it is necessary to generate multiple response
336 surfaces, each corresponding to a particular excavation stage and measurement location/depth.

337 In this study, the wall deflections measured by inclinometers 04 and 09 are used, and their
338 locations are indicated in Figures 1 and 2. A total of 106 response surfaces are needed to cover
339 all measurement points of the four excavation stages. These response surfaces are then

340 validated using an additional 50 combination samples of the four parameter values that are not
341 used in the construction of the response surfaces.

342

343 3.3. Quantification of the three-dimensional effects of excavation

344 As shown in Figures 1 and 2, the box-shaped geometry of the excavation are expected to
345 introduce corner constraints, the effects of which cannot be captured using the 2D model (Ou
346 et al³¹). While 3D analyses can be performed to generate response surfaces that account for
347 such corner effects, the large number of 3D simulations required makes this an impractical
348 option. The method proposed by Wang et al.⁴³ quantifies corner effects approximately using
349 2D analysis by introducing an error term to the wall deflection obtained from the plane-strain-
350 based computations. At any particular measurement depth and excavation stage, the specific
351 error term is calculated as the difference between the 2D and the 3D finite-element wall
352 deflections ($= 2D_{FE}$ wall deflection $- 3D_{FE}$ wall deflection). Wang et al.⁴³ showed that, using
353 this method, it is possible to approximately quantify the three-dimensional effects at all
354 measurement locations and excavation stages by performing only two 3D finite element
355 analyses.

356

357 4. COMPARATIVE STUDY

358 A sound back analysis should (a) identify reasonably accurate parameter values and (b) provide
359 good predictions of the quantities of interest. In the subsequent sections of the paper, the
360 performance of all three data-interpretation methodologies is independently assessed from
361 these two perspectives.

362 During underground construction, it is often useful and desirable to predict the field responses
363 of later excavation stages using measurements from the early or intermediate excavation stages.

364 In the current study, four major excavation stages are considered. Hence, a back analysis can

365 be performed after each major excavation stage. In the subsequent discussions, the term ‘1st
366 round of identification’ refers to the back analysis performed after excavation stage 1, using
367 only wall deflection measurements of excavation stage 1. Similarly, the term ‘4th round of
368 identification’ refers to the back analysis performed after excavation stage 4, wherein wall
369 deflection measurements of excavation stages 1 to 4 are utilised.

370 All three methodologies adopt the same set of modelling and measurement uncertainties. These
371 uncertainty sources include inclinometer errors, model simplification from 3D to 2D, errors
372 arising from the use of response surfaces, and others. The magnitudes of these uncertainties are
373 obtained from the values reported in the literature (Goulet et al¹⁵; Finno and Calvelo¹²) and
374 quantification methods proposed (Wang et al⁴³). Examples of typical uncertainty ranges
375 computed based on Equation 3 are shown in Table 4.

376

377 4.1. Results of Bayesian model updating

378 In the current study, 5000 Markov chain samples were simulated. The scaling factors adopted
379 in the Markov chain simulations were determined based on a trial-and-error approach, which
380 was guided by checking the means and the standard deviations of the posterior distributions as
381 a function of the number of Markov chain samples. The scaling factors determined are
382 reasonable, with the means and the standard deviations of the posterior distributions converging
383 to stable values within the 5000 Markov chain samples simulated.

384 As discussed in Section 2.2, the effects of the correlation matrix on the performance of the
385 Bayesian approach will be examined. Two correlation schemes are implemented in this study,
386 one assuming independence (or zero correlation) while the other follows the proposed
387 correlation of Qi and Zhou³⁶ and Ledesma et al²⁵. The non-zero matrix of correlation
388 coefficients at selected measurement points are shown in Table 5.

389 Figure 3 shows posterior distributions of the four identified parameters obtained via Bayesian
390 analysis using measurement data from all four excavation stages. It is noted that, apart from
391 the E_{50}^{ref} value of the silt layer shown in Figure 3b, the posterior distributions differ quite
392 significantly for the two correlation schemes. The mean values of E of the fill layer, E_{50}^{ref} of the
393 sand layer and EI of the soldier pile wall differ by approximately 90%, 75% and 40%
394 respectively across the two correlation schemes. Figure 3 also shows the typical parameter
395 values estimated using empirical correlations with blow count data (N values) from standard
396 penetration tests (SPT). Two typical correlations, 1.5 times the SPT-N value and 2 times the
397 SPT-N value, are considered. Comparing the results of the Bayesian analysis with the
398 empirically estimated parameter values, the zero correlation assumption appears to yield values
399 that are better in line with the empirical estimates. In addition, parameter values identified with
400 the zero correlation scheme are also more consistent and in line with laboratory and field test
401 values reported by Leung et al²⁶; Moon et al²⁹; Zhang et al⁴⁷ on similar soil types.

402 Figure 4 shows, for the case of non-zero correlation, the mean and the 95% bounds of the
403 predicted wall deflection profiles of ID 09 and ID 04 at the final excavation stage, after each
404 round of identification. The bounds are calculated considering both the modelling and the
405 measurement uncertainties. From the upper row of subplots for wall ID 09, it is seen that the
406 mean predictions of wall ID 09 for each stage can capture the bulging wall profile quite
407 reasonably. While the first three rounds of identification tend to under-predict the maximum
408 wall deflection at the final excavation stage by about 20 to 30%, the 4th round of identification
409 leads to a good overall prediction with the maximum deflection under-estimated by about 10%.
410 Although the mean predictions tend to under-estimate the measurements, the 95% bounds of
411 the predicted wall deflection profiles reasonably enclose the measurements.

412 In contrast, the lower row subplots of Figure 4 show that the agreement between the predicted
413 and measured deflection responses of wall ID 04 are not as good. This could be due in part to

414 the 'composite' wall section at ID 04, which comprises a flexible soldier pile wall for the top
415 3m and a much stiffer diaphragm wall below, as delineated by the horizontal line at Reduced
416 Level 121 in subplots (e) to (h) of Figure 4. The presence of the more flexible soldier pile wall
417 results in larger measured deflections near the top of wall ID 04, so that the profile exhibits two
418 peaks, instead of the more typical bulging profile of ID 09. However, the Bayesian predictions
419 for ID 04 do not exhibit such a double peak profile. Furthermore, for both ID 04 and ID 09, the
420 upper bounds of the predicted peak deflections fall very close to the measurement data in the
421 2nd and 3rd round of identification. This trend persists for ID 04 even after the 4th round of
422 identification, despite incorporating measurement data from the final excavation stage itself.
423 While the Bayesian model updating results are generally reasonable in that the measured
424 deflections of IDs 04 and 09 as a whole fall within the two computed bounds, the proximity of
425 the ID 04 maximum measured deflections to the predicted upper bound suggests that the
426 predictions of ID 04 are less effectively updated as compared to those of ID 09.

427 An examination of the likelihood values computed by the Bayesian analysis reveal a possible
428 reason behind the observed issues related to wall ID 04 highlighted in the previous paragraph.
429 The process of Bayesian model updating involves the calculation of the likelihood function,
430 which is defined as the joint probability of the measurements with a given set of material
431 parameter values, modelling uncertainty and measurement uncertainty. In the current example,
432 measurement data from two separate inclinometers (ID 04 and ID 09) are lumped together and
433 considered simultaneously in the analysis, which resulted in some measurement points from
434 ID 09 exerting a stronger influence in the calculation of the joint likelihood. A total of 106
435 measurement points are considered in the 4th round of identification. Among these 106 points,
436 only 11 measurement points are associated with wall ID 04 at the final excavation stage. It
437 turned out that the calculated joint likelihood from the Bayesian analysis does not differ much
438 with and without the consideration of these 11 points, which suggest that they have weak

439 influence on the model updating calculations. In contrast, the differences in the joint likelihood
440 computed with and without consideration of the final excavation measurements of wall ID 09
441 are more significant.

442 An additional Bayesian analysis is performed for the same excavation, but this time using only
443 the measurements of wall ID 04. Figure 5 shows the comparison of the computed and measured
444 wall deflections for walls ID 04 and ID 09 after the 4th round of identification. Despite using
445 only measurement data of wall ID 04, the predicted mean wall deflections of ID 04 and ID 09
446 agree reasonably well with the measured profiles. In fact, the improvement is quite significant
447 for wall ID 04, in which the overall shape and magnitude of the deflection profile is quite well
448 captured (compared to Figure 4) by the mean predictions. Figure 5 also shows that the Bayesian
449 analysis is able to provide reasonable predictions of both the bounds and mean deflections at
450 wall ID 09, even though the measurement data at this location was not considered in the model
451 updating calculations.

452

453 4.2. Results of EDMF

454 The mathematical formulation of EDMF seeks to address the correlation-related issues
455 encountered in Bayesian model updating. As explained in Section 2.1, Šidák correction and the
456 rectangular acceptance region are implemented in EDMF analyses to circumvent the need for
457 correlations. The use of such techniques produces exact results under independent or
458 uncorrelated conditions, and conservative results when correlations exist (Farcomeni¹³; Goulet
459 et al¹⁵; Šidák⁴⁰). In the current study, 20,000 initial model instances corresponding to different
460 parameter combinations are generated, and the associated wall predictions are made using the
461 response surfaces generated from the 136 2D-finite element simulations discussed in Section
462 3.2. EDMF analyses are then performed to identify candidate models from these initial model
463 instances.

464 Figure 6 shows the parallel-axis plot of the identified parameter values after the 4th round of
465 identification. Such a plot provides a way to visualise the values and trends of the identified
466 parameters. The horizontal axis contains, at discrete spacing, four vertical axes corresponding
467 to the four parameters to be identified. Each vertical axis plots the values of the corresponding
468 parameter which it represents. A parameter combination set is represented by a line that
469 connects the parameter values across the four vertical axes. Figure 6 contains 20,000 grey lines
470 representing the 20,000 initial model instances, with the red dashed lines representing the 678
471 candidate models identified after the 4th round of identification.

472 As plotted on the 2nd vertical axis from the left, the identified E_{50}^{ref} values of the G(VI) silt layer
473 fall into two clusters. The first cluster contains parameter values ranging from about 14MPa to
474 30MPa, while the second cluster comprises a smaller range of values between 47MPa and
475 50MPa. There is thus a conspicuous gap in the E_{50}^{ref} values between 30MPa and 47MPa. To
476 check if this gap is due to inadequate sampling, the E_{50}^{ref} values between 30MPa and 45MPa are
477 sampled at smaller intervals for the EDMF analysis. Even with such sampling refinements, the
478 gap in the identified E_{50}^{ref} values still persists, indicating that its presence is not caused by
479 inadequate sampling. Among the two clusters, the identified E_{50}^{ref} values of about 47 to 50MPa
480 contained within the second cluster appear to be too high based on the average measured SPT-
481 N value of about 18 for this G(VI) silt layer. Furthermore, parameter values reported in the
482 literature (Leung et al²⁶; Moon et al²⁹; Wang et al⁴³; Zhang et al⁴⁷) suggest that this parameter
483 should not exceed 35MPa. The identified silt layer E_{50}^{ref} values of 47 to 50MPa in the second
484 cluster are thus likely to be erroneous. As discussed below, the parameter values in the second
485 cluster are examples of Type II errors in statistical hypothesis testing.

486 In the current study, measurement data at multiple depths along the wall are utilized for
487 parameter identification, the process of which involves performing multiple hypothesis testing.

488 Table 6 summarizes all possible outcomes of a multiple hypothesis test. While the null

489 hypothesis can be either true or false, the outcome of the hypothesis testing can indicate the
490 null hypothesis to be false even though it is actually true. When this happens, a Type I error is
491 committed, which is denoted as $N_{1|0}$ in Table 6. Conversely, the outcome of the hypothesis
492 testing can indicate the null hypothesis to be true even though it is actually false. This results
493 in Type II errors, which is denoted as $N_{0|1}$ in Table 6. In this respect, the Šidák correction
494 conservatively limits the probability of committing a Type I error by reducing the significance
495 level of each individual test (Farcomeni¹³). However, type II errors are more likely to be
496 committed. To improve the quality of predictions, it is important to minimize the population
497 of Type II errors. In this study, an improved EDMF implementation that aims to reduce the
498 number of Type II errors being committed is proposed and described in Section 5.

499 Figure 7 shows the parameter values identified by EDMF analysis, together with the posterior
500 distributions obtained by Bayesian model updating. In general, the ranges of parameter values
501 identified with EDMF are larger than the corresponding posterior distributions identified with
502 the Bayesian approach. In fact, the EDMF analysis identifies parameter bounds that span the
503 two posterior distributions calculated by the Bayesian analysis. This is not unreasonable given
504 that the EDMF approach adopts a rectangular acceptance region, which implicitly allows all
505 possible correlation configurations.

506 Figure 8 shows the the mean and the 95% bounds of predicted wall deflections at the final
507 excavation stage after each round of identification. Compared to the predicted wall deflections
508 shown in Figure 4 using the Bayesian technique, the EDMF analyses produce improved
509 agreement between the predicted and measured wall deflections, especially for wall ID 04. This
510 is reflected in the EDMF predicted mean deflection profile of ID 04, which shows reasonably
511 good agreement with the measurement data. This is in contrast to the trend shown in Figure 4,
512 wherein the measured maximum deflections fall closer to the predicted upper bound from the
513 Bayesian analysis. The EDMF methodology requiring that the falsification check be

514 individually performed on each and every measurement point ensures that the measurement
515 data at all measurement locations are accorded equal weightage. This is different from the
516 Bayesian approach which evaluates a joint likelihood value for all measurement data. Such a
517 function may be insensitive to the contributions of certain sets of measurement data, as was
518 noted in Section 4.1 in which the effect of the ID 04 data was overshadowed by that of ID 09
519 when both sets of measurements were considered simultaneously. The comparison of
520 predictions and bounds shown in Figure 4 and 8 indicate that EDMF produced improved results
521 when measurement data of two inclinometers at different locations are simultaneously utilised
522 for interpretation.

523 Figures 8e, 8f and 8g show that, after the first three rounds of identification, the mean
524 predictions of the ID 04 wall deflections for the final excavation stage exhibit wall movements
525 near the ground level that are larger than the measured values. These discrepancies indicate
526 that the identified material parameters after the 3rd round of identification, which are based only
527 on wall measurements taken from stages 1 to 3, are not sufficiently accurate to produce good
528 predictions of the wall behaviour at this zone. With the additional deflection measurements
529 from the final excavation stage included in the analysis, Figure 8h shows that the predictions
530 near the top of wall ID 04 are improved.

531 In addition, the slightly wider bounds in Figure 8 as compared to those in Figure 4 indicate that
532 EDMF predicts slightly larger variations in wall deflections. This is consistent with the larger
533 variations in parameter values among the EDMF candidate models compared with the posterior
534 distributions of Bayesian analyses, as shown in Figure 7.

535

536 4.3. Results of the residual minimisation approach

537 Using the residual minimization approach, the parameter values identified after 4th round of
538 identification are shown by the dotted lines in Figure 9. Being a deterministic approach, the

539 residual minimisation method identifies a specific and unique combination of material
540 parameter values, and therefore information on the variations in the parameter values are not
541 available. Figure 9 shows that the E_{50}^{ref} values of silt layers and E_{50}^{ref} values of sand layers are
542 reasonably compatible across the three data-interpretation methodologies. However, there are
543 differences in the E values of fill layer and EI values of soldier pile wall. Such differences
544 could be caused by inclinometer errors, which accumulate upward from the toe of the wall to
545 the ground level. Deflection measurements taken near to the fill layer and the upper soldier pile
546 wall are therefore subjected to larger measurement uncertainties, which, according to Equation
547 9, will be weighted less than the deeper measurements, which have smaller errors. Therefore,
548 the E values of the fill layer and EI values of the soldier pile wall, which are both located in
549 the shallower zones where measurement errors are likely higher, may not be effectively
550 identified. In contrast, population-based approaches such as EDMF and Bayesian model
551 updating can account explicitly for the mean and standard deviation of the uncertainties, and
552 hence are better able to identify reasonable ranges of the material parameters.

553 Figure 10 shows the predicted wall deflections at the final stage of excavation after each round
554 of identification using the residual minimization approach. After the 3rd and 4th round of
555 identification, the predicted deflection profiles of wall ID 09 agree quite well with
556 measurements, and are also quite similar to the Bayesian mean predicted deflections shown in
557 Figure 4. However, the residual minimization predictions for wall ID 04 are not as good,
558 especially near the top where the soldier pile wall is present. This observation is similar to the
559 Bayesian results shown in Figure 4. As the residual minimization objective function evaluates
560 the sum of the squared residuals of all measurement points, it is also likely that some data, in
561 this case the 11 measurements of wall ID 04 at the final excavation stage, exerts a much smaller
562 influence on the objective function compared to ID 09. This accounts for the discrepancies
563 between the predictions and measurements for wall ID 04.

564 5. A MODIFIED EDMF IMPLEMENTATION

565 A modified EDMF implementation is proposed in this section. It addresses the issue
566 encountered in Section 4.2, where two clusters of E_{50}^{ref} values are identified for the silt layer
567 using the conventional EDMF approach. The higher E_{50}^{ref} values contained in the smaller cluster
568 are postulated as being Type II errors arising from the use of the Šidák correction technique
569 when performing multiple hypothesis testing.

570 The work of De et al.¹¹ is perhaps the first to propose the use of the Benjamini-Hochberg (BH)
571 correction technique (Benjamini and Hochberg³) as an alternative to Šidák correction in EDMF
572 analysis. However, their validations were performed on conceptual problems under idealized
573 problem settings and known values of the parameters to be identified. In contrast, full-scale
574 engineering challenges are seldom so well-defined. In the following section, both traditional
575 Benjamini-Hochberg correction (Benjamini and Hochberg³) and adaptive Benjamini-
576 Hochberg correction (Benjamini and Hochberg⁴; Benjamini et al.⁵) will be implemented for the
577 EDMF analysis of the present excavation case study. A comparison of identification results
578 with these three correction techniques are also presented.

579

580 5.1. Challenge of multiple measurements

581 The Šidák correction, which is conventionally adopted in the EDMF implementation, keeps
582 the probability of committing a Type I error at an acceptable level (e.g. 5%) by adjusting the
583 bounds of the individual test when there is more than one measurement. The increasing number
584 of measurements reduces the significance level of the individual tests, and hence the bounds of
585 the individual tests are pushed farther back along the tails of the null hypothesis distribution.
586 While this maintains the overall reliability of identification at 5%, it may also result in the
587 occurrence of more Type II errors. To address this limitation, Benjamini and Hochberg^{3, 4}
588 proposed a correction technique that restrains the false discovery rate, defined as the expected

589 ratio of erroneous rejections to the number of rejected hypotheses. The use of the BH correction
590 technique results in an improved restraints on the Type II errors, without adversely affecting
591 the avoidance of a Type I error. In other words, the BH correction allows for a stronger
592 rejection power than the Šidák correction and hence, its use will result in a smaller candidate
593 model set because fewer Type II errors are committed.

594

595 5.2. Adaptive Benjamini-Hochberg correction

596 In contrast with the traditional Benjamini-Hochberg correction which adopts a fixed correction
597 procedure, the adaptive Benjamini-Hochberg correction involves the estimation of the
598 proportion of the null hypotheses that are actually true. These hypotheses are labelled as M_0 .
599 The estimation can be visualized through a graphical approach. The procedures are summarised
600 by Benjamini and Hochberg⁴ as follows:

- 601 a) Calculate the p-values, which defines the probability that the null hypothesis is true,
602 of all residuals given the combined uncertainties, and arrange the p-values from
603 smallest to the largest. In this study, they are annotated as $p_i, p_{(i+1)}, \dots, p_{(m)}$.
- 604 b) Calculate $S_i = (1 - p_i)/(m+1-i)$, the i-th slope estimate.
- 605 c) Starting with $i = 1$, loop through $i = i + 1$ as long as $S_i \geq S_{i-1}$; stop at the first
606 occurrence of $S_j \geq S_{j-1}$, and evaluate $\hat{m}_0 = \min[(1/S_j + 1), m]$.
- 607 d) Compare each $p_{(i)}$ to $0.05i/\hat{m}_0$ and reject the p-values for which $p_{(i)} \leq 0.05i/\hat{m}_0$.

608 This procedure is based on the observation that the plot of p_i versus i (the quantile plot of the
609 p-values) should exhibit a linear relationship, wherein the slope $S = 1/(m+1)$ passes through (a)
610 the origin and (b) the point $(m+1, 1)$ when $m = M_0$. When $M_0 < m$, the p-values corresponding
611 to the false null hypotheses tend to be smaller than the p-values of the true null hypotheses, so
612 they are concentrated on the left side of the plot. The relationship on the right side of the plot
613 remains approximately linear. In this way, the adaptive BH procedure seeks to customise the

614 correction procedure based on the estimated M_0 , which differs from the traditional BH
615 correction, which provides a universal correction procedure that does not involve the estimation
616 of M_0 .

617

618 5.3. Results of adaptive Benjamini-Hochberg correction

619 The techniques of Šidák correction, traditional BH correction and adaptive BH correction are
620 applied to the EDMF back-analyses of the excavation case history. The size of the candidate
621 model set (CMS) is one of the criterion to evaluate the performance of the correction techniques.
622 A smaller CMS is expected to contain fewer Type II errors. Therefore, the size of the CMS
623 reflects the restraints on Type II errors. Figure 11 shows the sizes of the candidate model sets
624 obtained using the three techniques after each round of identification. For the first two rounds
625 of identification, Šidák correction still produces a slightly smaller candidate model set, which
626 is likely due to the smaller number of measurement data involved during these early rounds of
627 identification. However, as more measurement data is included and processed during the 3rd
628 and the 4th round of identification, the adaptive BH correction outperforms both the traditional
629 BH and Šidák correction by yielding the smallest candidate model set.

630 Figure 12 shows the parallel-axis plot of the identified parameter values using the adaptive BH
631 correction after the 4th round of identification. In contrast to Figure 6, wherein two distinct
632 clusters are observed for the E_{50}^{ref} values of the G(VI) silt layer, the adaptive BH correction
633 produces only one cluster of candidate models. The absence of the second cluster in this case
634 lends support to the earlier postulate that the candidate models in this cluster are erroneous,
635 which are eliminated through the tighter restraint on Type II errors provided by the adaptive
636 BH correction.

637 The performance of these three correction techniques can be further assessed using the concept
638 of ‘statistical power’, which is defined as the probability of rejecting a model when it is invalid.

639 With reference to Table 6, statistical power is calculated as the ratio $N_{1|1}/(N_{1|1} + N_{0|1})$ (De et al¹¹;
640 Farcomeni¹³). Figure 13 shows the normalised statistical power of all three correction
641 techniques across all four rounds of identification. The statistical power of the Šidák correction
642 is adopted as the base for normalisation and therefore, the y-coordinate of the Šidák correction
643 results in Figure 13 is always 1.0. It is noted that the adaptive BH correction produces the
644 highest statistical power, thus demonstrating its improved falsification ability. This is also
645 reflected in its ability to yield the smallest candidate model set shown in Figures 11 and 12.
646 The effects of these correction techniques on the wall deflection predictions are shown in
647 Figure 14. The two subplots in this figure show, for all measurement depths along wall ID 09
648 and 04 respectively, the wall deflection range between the computed upper and lower bounds
649 at the final excavation stage, normalized by the corresponding range predicted using Šidák
650 correction. The effect of choosing an alternative correction technique is more profound for
651 wall ID 09. The predicted deflection ranges obtained with the adaptive BH correction are, on
652 average, 40% and 10% smaller than the ranges obtained using the Šidák correction and the
653 traditional BH correction respectively. However, its influence is not so obvious for wall ID 04.
654 This is likely because the deflection magnitudes of wall ID 04 are less sensitive to changes in
655 parameter values.

656 The primary goal in adopting the BH correction technique is to reduce Type II errors. A closer
657 examination of the candidate model sets obtained using all three correction technics reveals a
658 significant degree of overlap. This means that almost all candidate models obtained with
659 adaptive BH correction are also candidate models obtained using the Šidák correction.
660 Therefore, the overall information on soil parameter values remain consistent across the three
661 correction techniques. The falsification of more model instances by the adaptive BH correction
662 technique, which results in a smaller candidate model set and smaller bounds in the predicted
663 wall deflection, is due to its improved restraint on Type II errors.

664 6. CONCLUSIONS

665 This paper examines in detail the performance of three data-interpretation methodologies
666 (EDMF, Bayesian Model Updating and Residual Minimization) applied to an excavation case
667 history. The enhanced understanding and appreciation on the strengths and limitations of each
668 methodology allow engineers and researchers to choose the most appropriate methodology to
669 obtain reliable and good quality back analysis results. The main conclusions are summarised
670 as follows:

- 671 i) The identified parameter values from the three data-interpretation methodologies
672 can differ significantly, based on the current case study. The discrepancies in the
673 identified parameter values and the resulting wall deflection predictions are related
674 to the specific implementation details and assumptions adopted in the data-
675 interpretation methodologies.
- 676 ii) In the Bayesian model updating approach implemented in the current study, the
677 choice of correlation matrix significantly affects the values of the parameters that
678 are identified. In the current study, the difference in parameter values between the
679 two correlation schemes can be as high as 90%.
- 680 iii) In the Bayesian and residual minimisation analyses performed in the current study,
681 the contributions of some measurement data are not effectively recognised, which
682 adversely affects the accuracy of the predictions. This issue is especially significant
683 when measurement data of inclinometers at two locations are utilised
684 simultaneously.
- 685 iv) The residual minimisation method, which indirectly accounts for uncertainties in
686 the form of deterministic weighting terms without considering their distributions,
687 does not perform as well as Bayesian model updating and EDMF in handling

688 measurement data near the ground surface, where the uncertainty errors can be
689 twice those present at deeper depths.

690 v) EDMF, as compared to Bayesian model updating and residual minimisation, yields
691 improved predictions and identified parameter values, especially when
692 measurement data of inclinometers at several locations are simultaneously utilised.

693 vi) The use of adaptive BH correction in EDMF analysis improves the restraint on Type
694 II errors, as compared to the use of Šidák and the traditional BH correction
695 techniques, which leads to smaller prediction ranges.

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856 Table 1 Properties of structural elements involved in the excavation case history.

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	Diaphragm Walls	Toe Pins	Soldier Pile Walls	Concrete Waler Beams Type 1/2/3	Steel Waler Beams Type 1/2	Struts
Thickness (m)	0.8	-	-	-	-	-
EA(kN)	2.0E7	18E6	-	1.7E7/3.2E7/2.48E7	4.0E6/1.3E7	8.0E6
EI(kNm ²)	1.1E6	11E3	(3000-10000)	7.0E5/2.1E6/1.3E6	2.6E5/8.8E5	-
L _{spacing} (m)	-	-	-	-	-	10

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860 Table 2 Properties of geological materials involved in the excavation case history.

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	Fill	Gravel	Sandy Silt Residual Soil	Coarse Sand	Rock
E (MPa)	(3-20)	40	-	-	2.5E3
E_{50}^{ref} (MPa)	-	-	(5-50)	(5-50)	-
E_{oed}^{ref} (MPa)	-	-	$1.0 * E_{50}^{ref}$	$1.0 * E_{50}^{ref}$	-
E_{ur}^{ref} (MPa)	-	-	$3.0 * E_{50}^{ref}$	$3.0 * E_{50}^{ref}$	-
m	-	-	0.6	0.6	-
c' (kPa)	0	0	10	0	-
ϕ' (°)	25	30	28	35	-
ψ (°)	0	0	0	0	-
$\Upsilon_{0.7}$	-	-	0.0001	0.0001	-
G_0^{ref} (MPa)	-	-	$2 * E_{ur}^{ref}$	$2 * E_{ur}^{ref}$	-
p^{ref} (MPa)	-	-	100	100	-
σ_{ci} (MPa)	-	-	-	-	80
m_i	-	-	-	-	32.7
GSI	-	-	-	-	65
D	-	-	-	-	0.7
R_{inter}	0.7	0.5	0.7	0.7	0.75
k (m/s)	2E-6	2E-5	5E-7	2E-6	2E-6

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868 Table 3 Simplified excavation activities and remarks.

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Stage	Simplified Excavation Activities	Duration (days)	Calculation Type
0A	Initial Condition	-	Gravity Loading
0B	Wall Installation	-	Plastic
1	Excavate below Strut layer 1	20	Fully coupled flow-deformation
2	Install Strut layer 1	45	Fully coupled flow-deformation
3	Excavate below Strut layer 2	20	Fully coupled flow-deformation
4	Install Strut layer 2 and Excavate to formation level	30	Fully coupled flow-deformation

877 Table 4 Examples of uncertainties used in the study.

Uncertainty sources	Magnitudes	Remarks
Inclinometer uncertainties	e.g. $\pm 3.5\text{mm}$	Finno and Calvelo ¹²
2D-model simplification	e.g. $0.9\text{mm} - 2.3\text{mm}$	Wang et al ⁴³
Response surface	e.g. $\pm 2.5\text{mm}$	-
FEM	$\pm 5\%$	Goulet et al ¹⁵
Others	$\pm 5\%$	Goulet et al ¹⁵

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879 Table 5 Correlation coefficient at selected depth.

Reduced Level (m)	Partial matrix of correlation coefficient computed from Equation 6 (Qi and Zhou ³⁶ and Ledesma et al ²⁵)						
122	1.00	0.98	0.90	0.78	0.65	0.46	0.23
120	0.98	1.00	0.97	0.90	0.80	0.63	0.40
118	0.90	0.97	1.00	0.98	0.91	0.78	0.56
116	0.78	0.90	0.98	1.00	0.98	0.89	0.70
114	0.65	0.80	0.91	0.98	1.00	0.97	0.83
112	0.46	0.63	0.78	0.89	0.97	1.00	0.94
110	0.23	0.40	0.56	0.70	0.83	0.94	1.00

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881 Table 6 Possible outcomes of a multiple hypothesis testing exercise.

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	H_0 is accepted	H_0 is rejected	Total
H_0 is true	N_{00}	N_{10} (Type I)	M_0
H_0 is false	N_{01} (Type II)	N_{11}	M_1
Total	m-R	R	m

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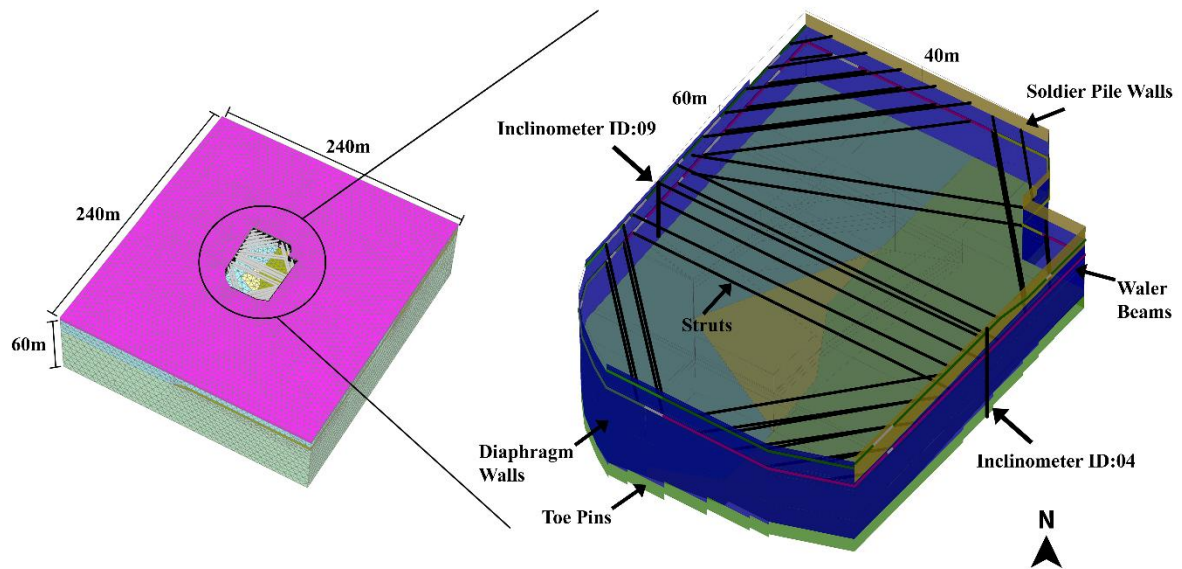


Figure 1 Three-dimensional FEM model of the excavation case history. With zoom-in view of the excavation pit and support system.

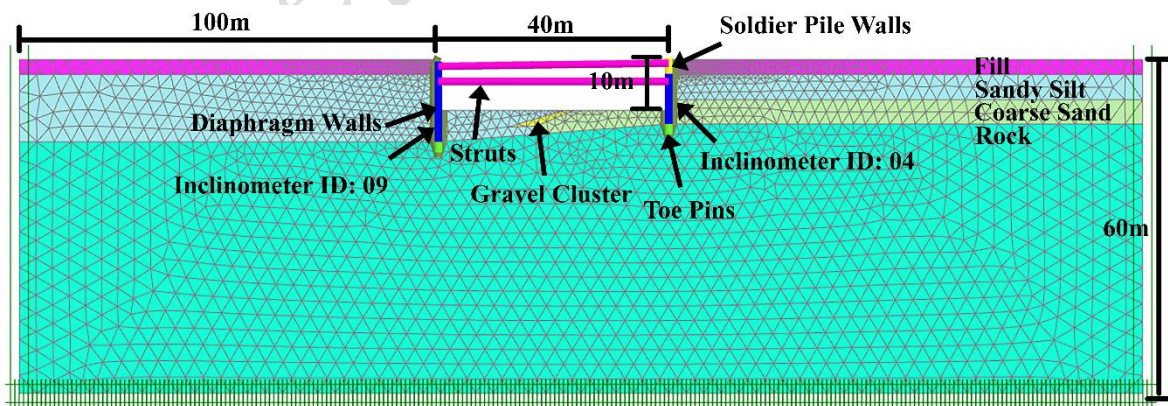


Figure 2 Two-dimensional FEM model of the west-to-east section of the excavation case history.

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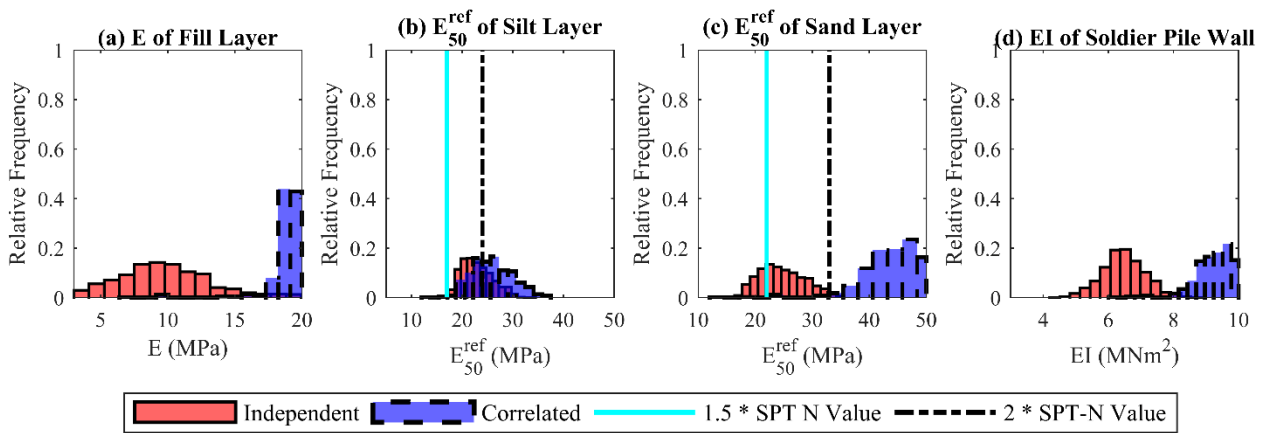


Figure 3 Posterior distributions of the four parameters after the 4th round of identification, from Bayesian model updating analysis.

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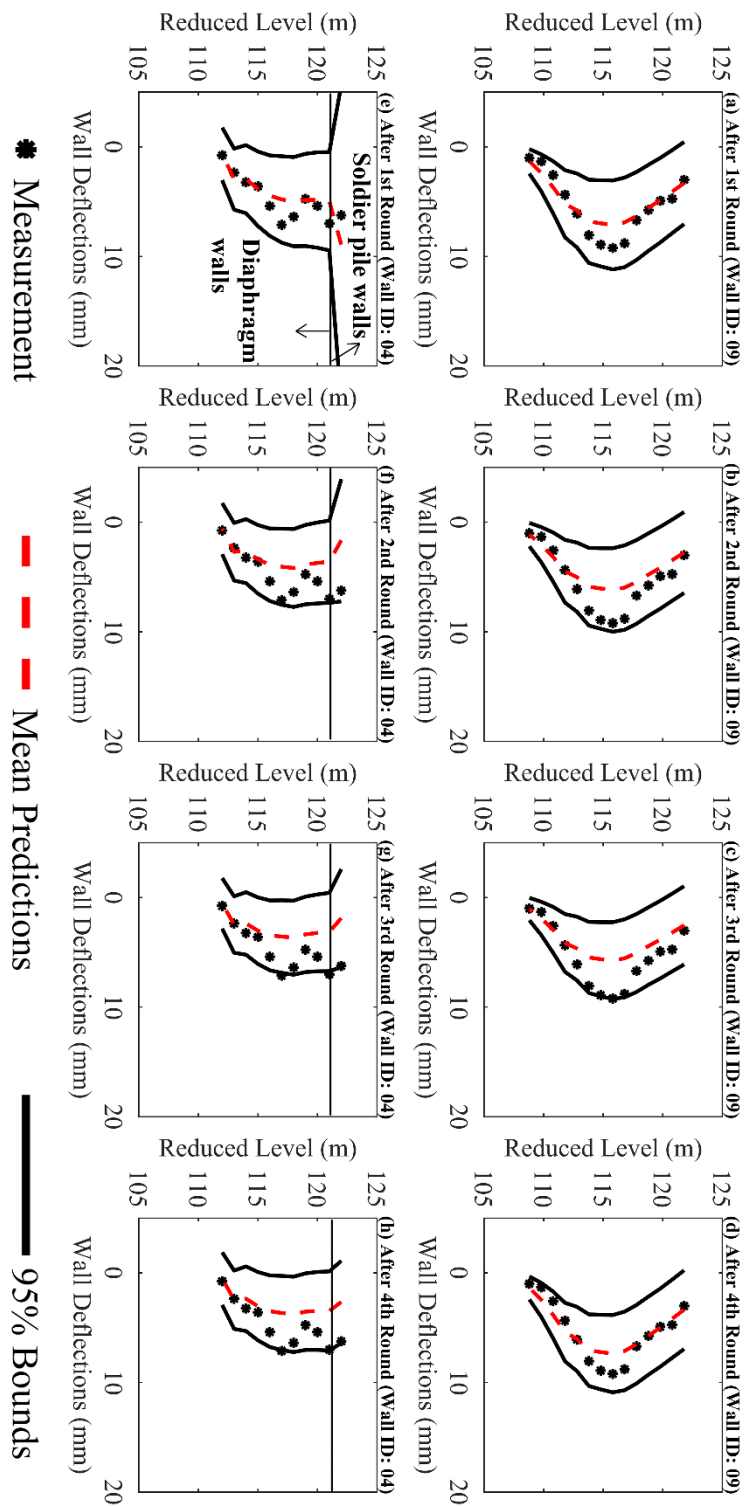


Figure 4 Measured vs predicted (mean and 95% bounds) wall deflections of the final excavation stage after each round of identification, using Bayesian model updating with non-zero correlation scheme. (Top row: ID 09 and bottom row: ID 04)

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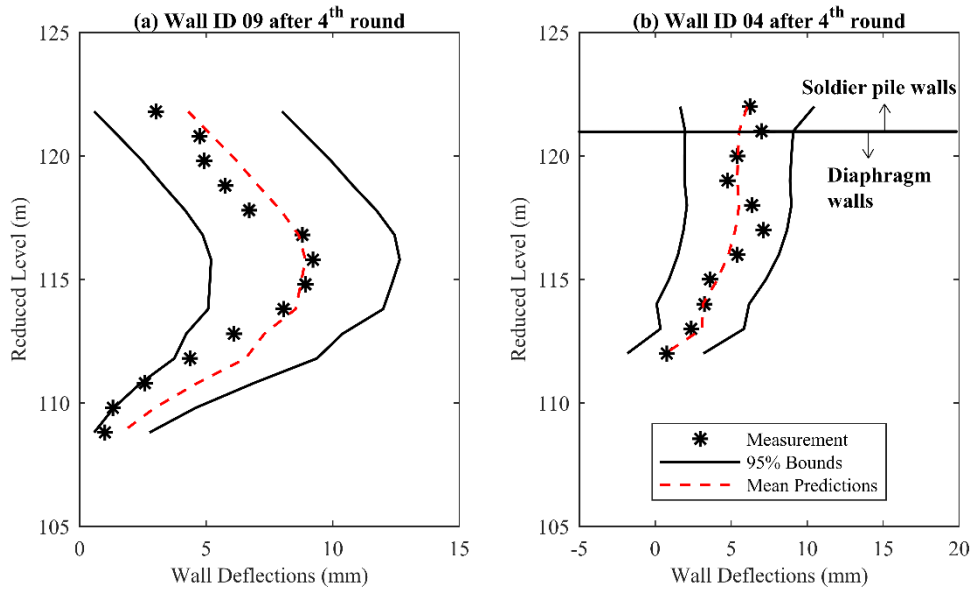


Figure 5 Measured vs predicted (mean and 95% bounds) wall deflections of the final excavation stage after the 4th round of identification, using Bayesian model updating with non-zero correlation scheme (with measurements of ID 04 only).

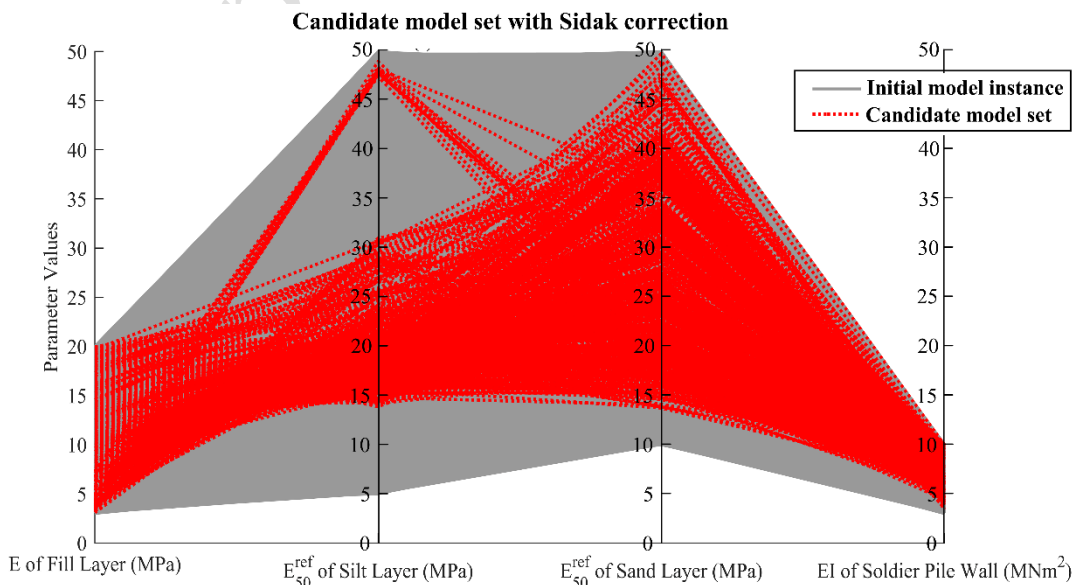


Figure 6 Parallel-axis plot of the identified parameter values from EDMF analysis with Sidak correction after the 4th round of identification. Each red dashed line connects the identified parameter corresponding to a candidate model.

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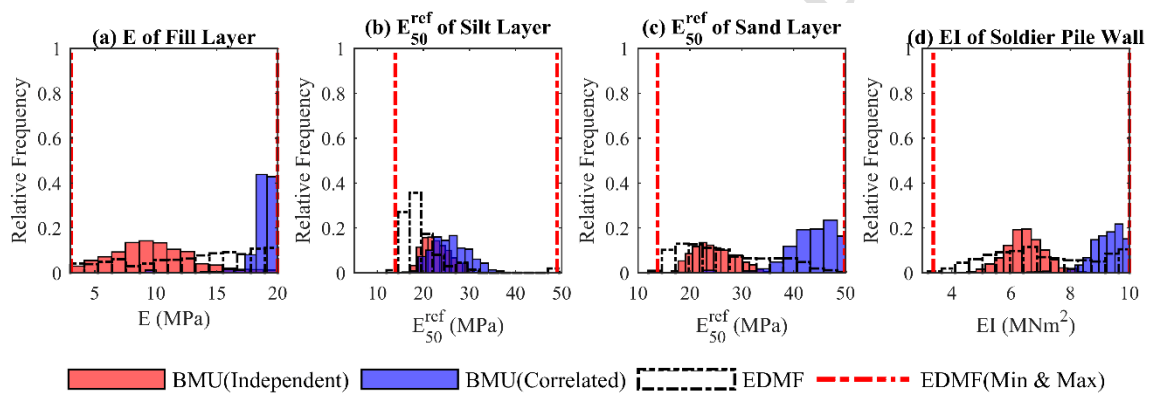


Figure 7 Comparison of the distribution of parameter values identified using BMU and EDMF after the 4th round of identification. (BMU: Bayesian model updating. EDMF: error-domain model falsification).

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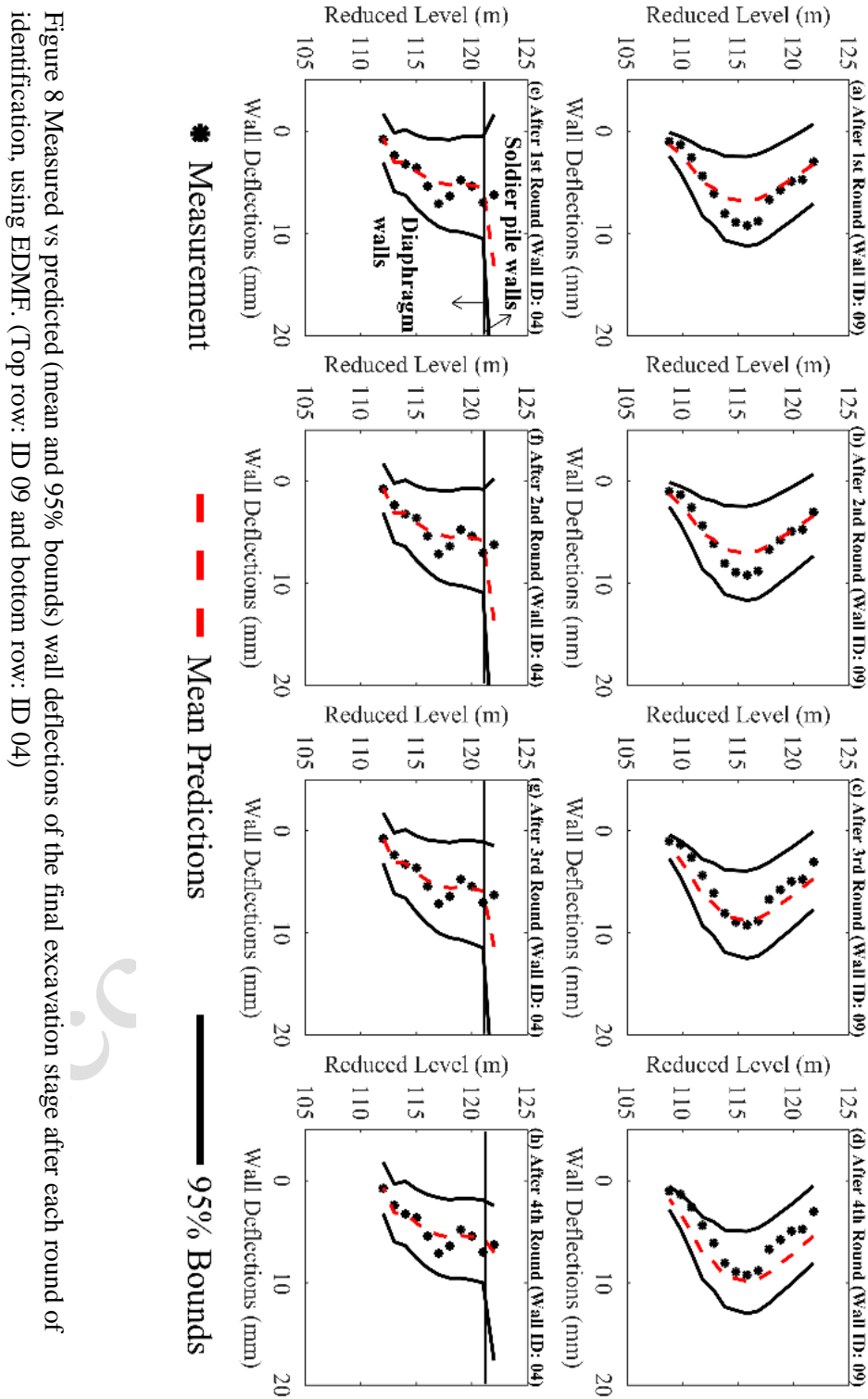


Figure 8 Measured vs predicted (mean and 95% bounds) wall deflections of the final excavation stage after each round of identification, using EDMF. (Top row: ID 09 and bottom row: ID 04)

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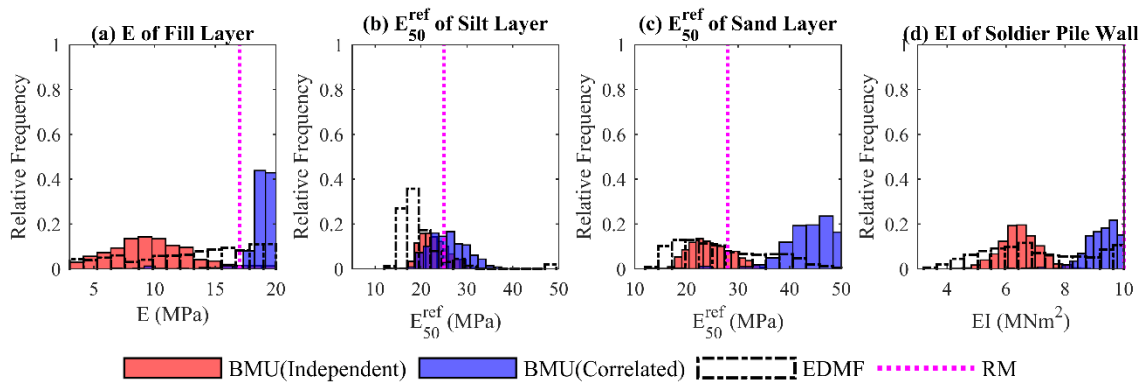


Figure 8 Comparison of distribution of parameter values identified using BMU, EDMF and RM after the 4th round of identification. (BMU: Bayesian model updating. EDMF: error-domain model falsification. RM: residual minimisation). The RM result is a single value shown by the purple dashed line.

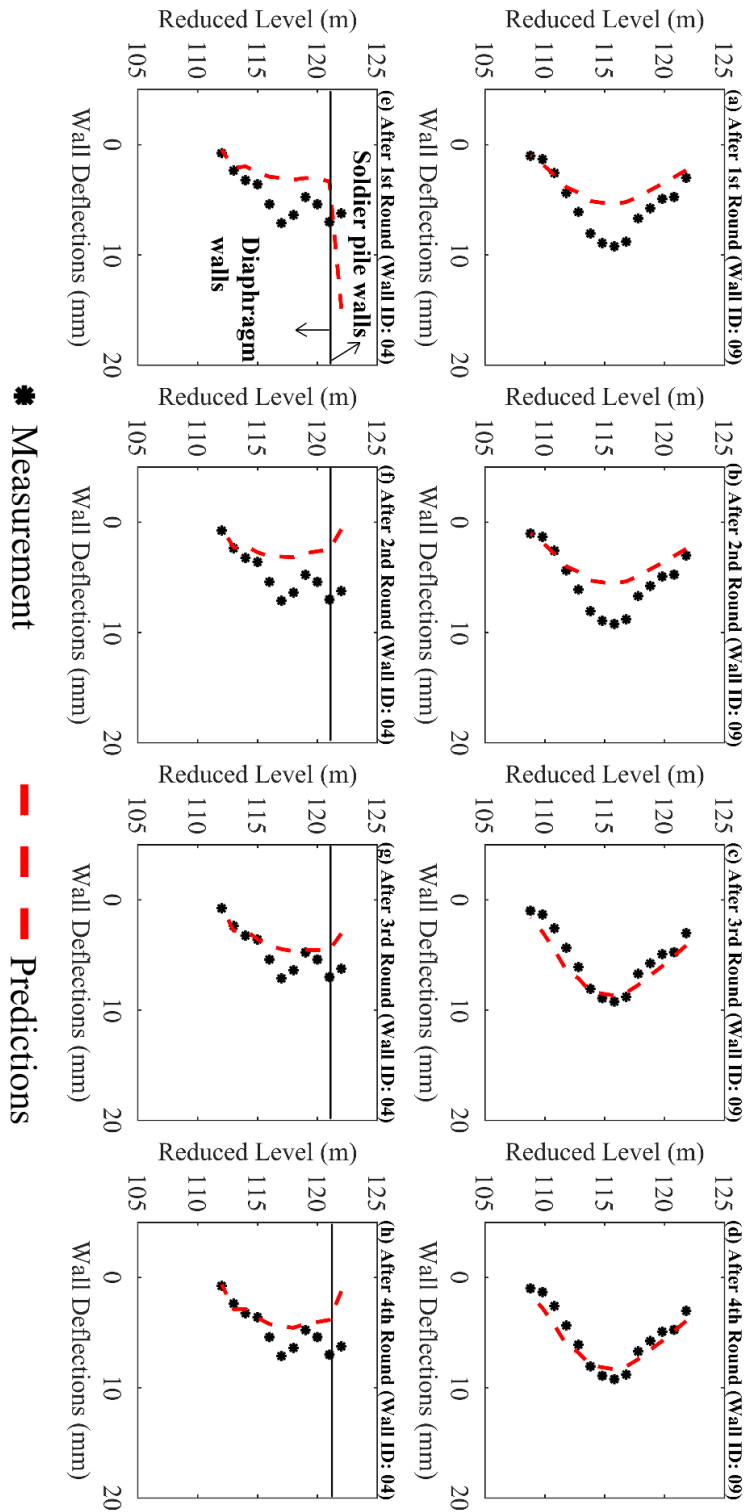


Figure 10 Measured vs predicted wall deflections of the final excavation stage after each round of identification, using residual minimisation. (Top row: ID 09 and bottom row: ID 04)

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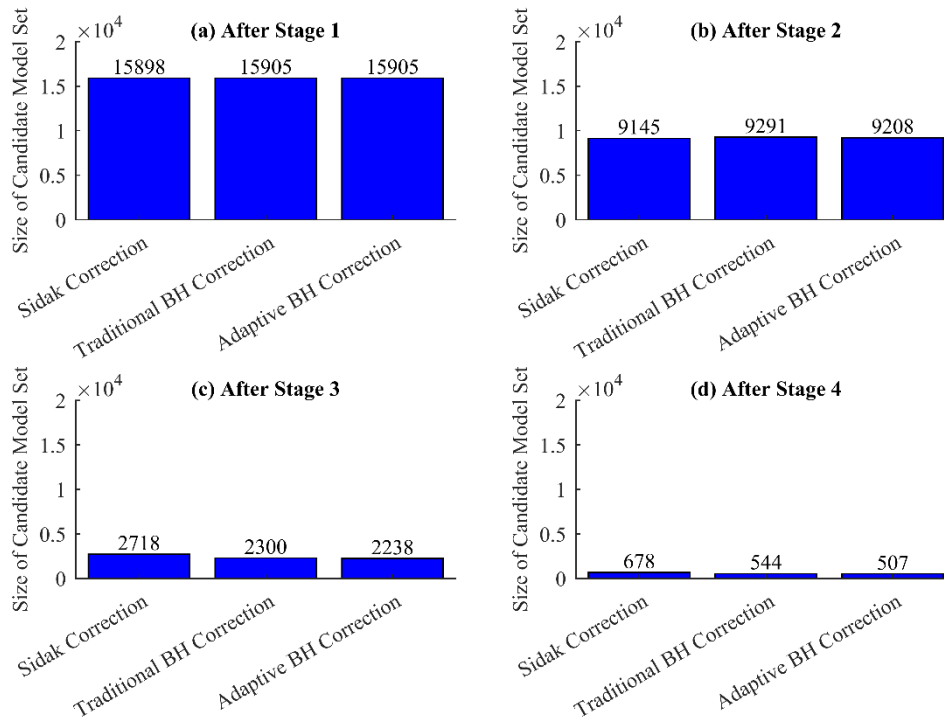


Figure 9 Comparisons of the size of the candidate model set obtained using three correction techniques, after each round of identification.

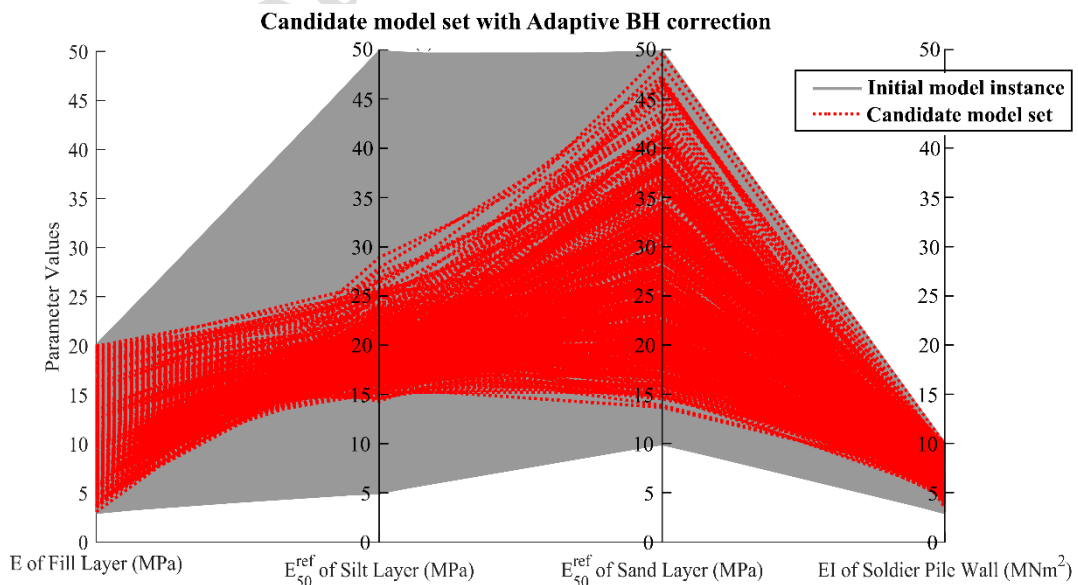


Figure 10 Parallel-axis plot of the identified parameter values from EDMF analysis with adaptive BH correction after the 4th round of identification.

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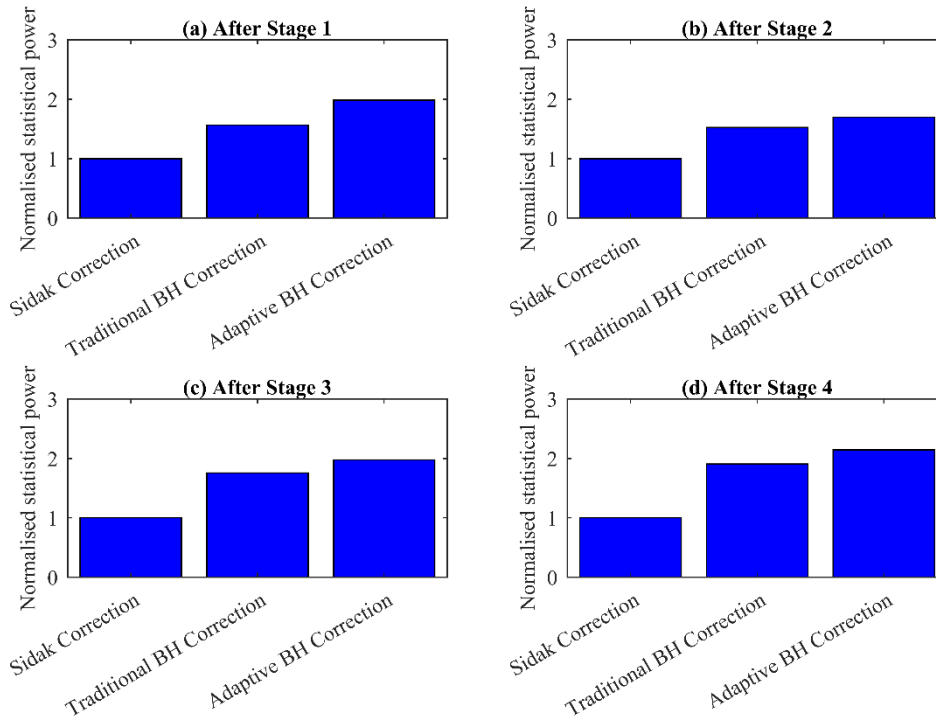


Figure 11 Comparison of the statistical power associated with the three correction techniques, after each round of identification.

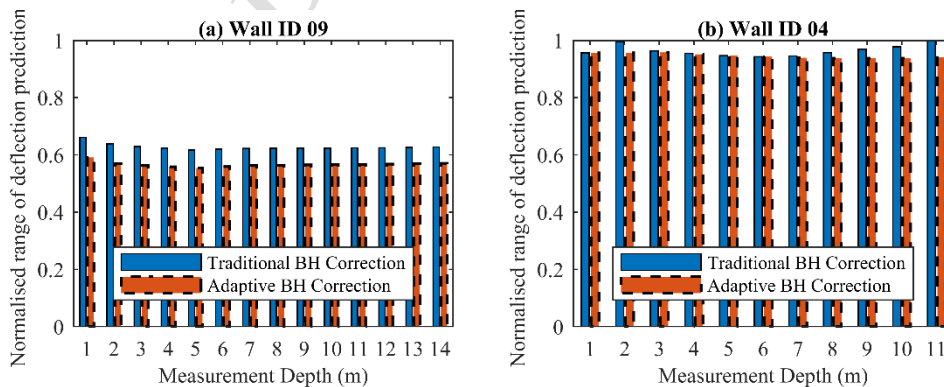


Figure 12 Comparison of the normalized wall deflection range between 95% bounds after the 4th round of identification, obtained using the three correction techniques. The results are normalised with respect to those obtained using Sidak correction.