

This is the accepted manuscript of: Mubarak, Ahmad Ghassan, Jonathan Knappett, and Michael Brown. "Impact of tunnel alignment on local seismic lining actions." Géotechnique, 2025. <https://doi.org/10.1680/jgeot.24.01336>

This author accepted manuscript is deposited under a Creative Commons Attribution Non-commercial 4.0 International (CC BY-NC) licence. This means that anyone may distribute, adapt, and build upon the work for non-commercial purposes, subject to full attribution. If you wish to use this manuscript for commercial purposes, please contact permissions@emerald.com.

1 **Impact of tunnel alignment on local seismic lining actions**

2 **Ahmad Mubarak*¹, Jonathan Knappett² and Michael Brown³**

3 ***Corresponding Author 1:**

4 **Name:** Ahmad Mubarak, BSc MSc PhD

5 **Affiliation:** Research Associate of Civil Engineering, University of Dundee, UK and CMS Survey,
6 CERN, Switzerland

7 **(ORCID:** 0009-0002-9596-4824),

8 **Contact address:** Nethergate, Dundee DD1 4HN, United Kingdom,

9 **email address:** amubarak003@dundee.ac.uk

10 **Author 2:**

11 **Name:** Jonathan Knappett, MA MEng PhD CEng MICE

12 **Affiliation:** Professor of Civil Engineering, University of Dundee, UK

13 **(ORCID:** 0000-0003-1936-881X)

14 **Contact address:** Nethergate, Dundee DD1 4HN, United Kingdom,

15 **email address:** j.a.knappett@dundee.ac.uk

16 **Author 3:**

17 **Name:** Michael John Brown, BEng (Hons) PhD GMICE

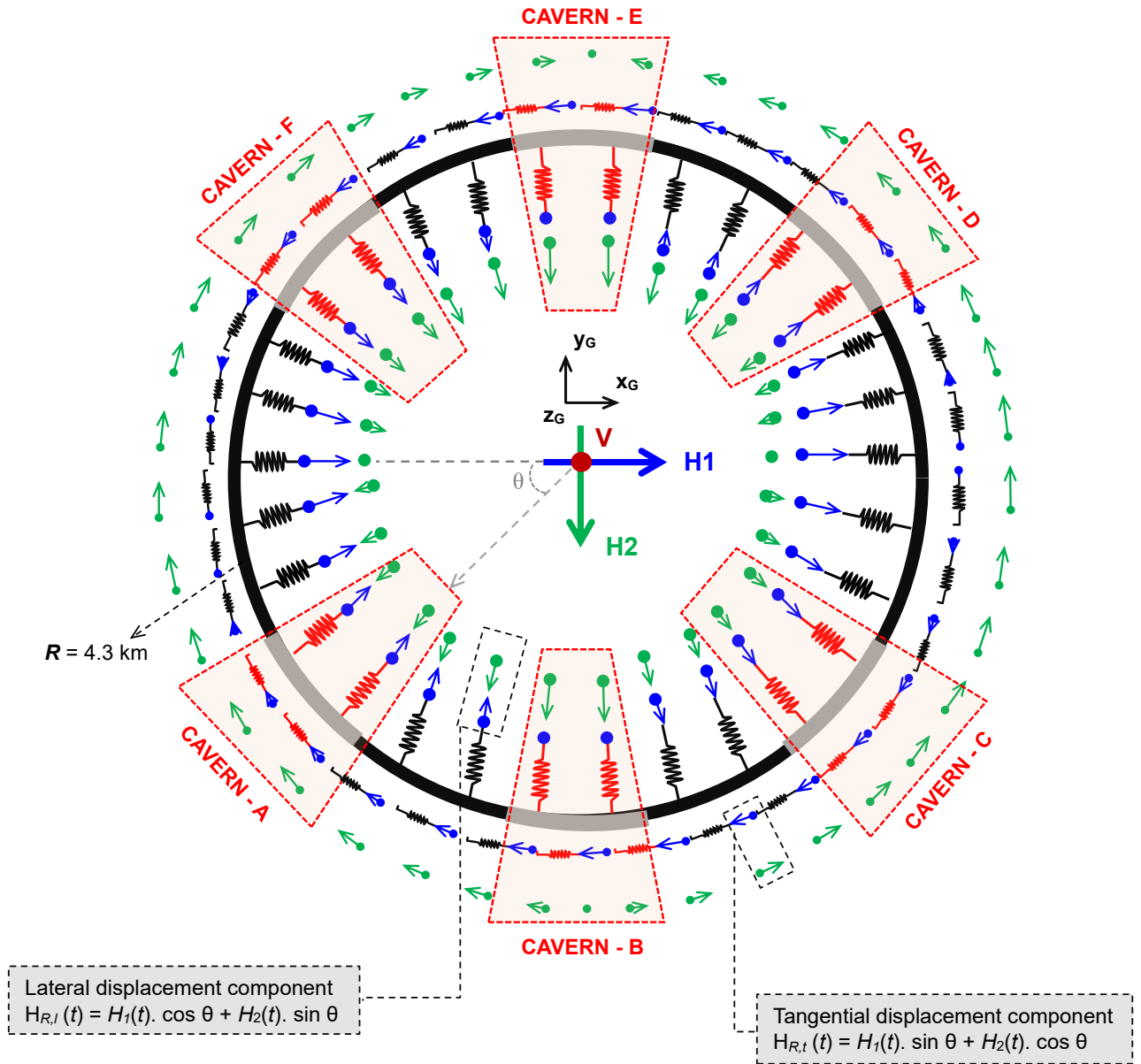
18 **Affiliation:** Professor of Geotechnical Engineering, University of Dundee, UK

19 **(ORCID:** 0000-0001-6770-4836)

20 **Contact address:** Nethergate, Dundee DD1 4HN, United Kingdom,

21 **email address:** m.j.z.brown@dundee.ac.uk

(a)



44 **Abstract**

45 The seismic performance of long, embedded tunnels can be significantly influenced by spatial
46 variation in ground motion, particularly when the tunnel length approaches the wavelength of
47 seismic waves. This study presents an integrated two-stage modelling approach to evaluate the
48 effect of global (alignment-scale) effects on local (lining-scale) seismic response of the 27 km
49 circular Large Hadron Collider (LHC) tunnel at CERN. A Beam-on-Nonlinear-Winkler-Foundation
50 (BNWF) model is first used to simulate the effects of asynchronous wave-passage and alignment
51 curvature under 3D seismic scenarios. The results reveal that asynchronous excitation induces
52 wave-like differential displacements and non-planar forces, particularly intensified at tunnel-
53 cavern interfaces due to stiffness contrasts. These global actions are then applied as dynamic
54 boundary conditions in high-fidelity 3D nonlinear finite element analyses (FEA) of a critical
55 tunnel section. The 3D FEA captures detailed local responses within the reinforced concrete
56 lining, revealing that conventional 2D plane-strain models underestimate hoop forces and
57 overlook alignment-induced amplifications of seismic actions. The results demonstrate the
58 necessity of accounting for alignment effects in seismic tunnel design and demonstrate the
59 effectiveness of the proposed BNWF-FEA hybrid methodology.

60

61 **Key-words:** Concrete Structures; Earthquakes; Finite Element Modelling; Numerical Modelling;
62 Seismic Engineering; Tunnels

63

64

65

66

67

1 **Impact of tunnel alignment on local seismic lining actions**

2 **Ahmad Mubarak*¹, Jonathan Knappett² and Michael Brown³**

3 ***Corresponding Author 1:**

4 **Name:** Ahmad Mubarak, BSc MSc PhD

5 **Affiliation:** Research Associate of Civil Engineering, University of Dundee, UK and CMS Survey,
6 CERN, Switzerland

7 **(ORCID:** 0009-0002-9596-4824),

8 **Contact address:** Nethergate, Dundee DD1 4HN, United Kingdom,

9 **email address:** amubarak003@dundee.ac.uk

10 **Author 2:**

11 **Name:** Jonathan Knappett, MA MEng PhD CEng MICE

12 **Affiliation:** Professor of Civil Engineering, University of Dundee, UK

13 **(ORCID:** 0000-0003-1936-881X)

14 **Contact address:** Nethergate, Dundee DD1 4HN, United Kingdom,

15 **email address:** j.a.knappett@dundee.ac.uk

16 **Author 3:**

17 **Name:** Michael John Brown, BEng (Hons) PhD GMICE

18 **Affiliation:** Professor of Geotechnical Engineering, University of Dundee, UK

19 **(ORCID:** 0000-0001-6770-4836)

20 **Contact address:** Nethergate, Dundee DD1 4HN, United Kingdom,

21 **email address:** m.j.z.brown@dundee.ac.uk

22 **Date of revision: 3rd June. 2025**

23 **Number of words in the main text (excluding Abstract and References): 7005**

24 **Number of Figures: 15**

25 **Number of Tables: 0**

26 ***Corresponding author:**

27 Ahmad Mubarak

28 School of Science & Engineering

29 University of Dundee

30 DUNDEE

31 DD1 4HN

32 UK

33 Email: amubarak003@dundee.ac.uk

34

35

36

37

38

39

40

41

42

43

44 **Abstract**

45 The seismic performance of long, embedded tunnels can be significantly influenced by spatial
46 variation in ground motion, particularly when the tunnel length approaches the wavelength of
47 seismic waves. This study presents an integrated two-stage modelling approach to evaluate the
48 effect of global (alignment-scale) effects on local (lining-scale) seismic response of the 27 km
49 circular Large Hadron Collider (LHC) tunnel at CERN. A Beam-on-Nonlinear-Winkler-Foundation
50 (BNWF) model is first used to simulate the effects of asynchronous wave-passage and alignment
51 curvature under 3D seismic scenarios. The results reveal that asynchronous excitation induces
52 wave-like differential displacements and non-planar forces, particularly intensified at tunnel-
53 cavern interfaces due to stiffness contrasts. These global actions are then applied as dynamic
54 boundary conditions in high-fidelity 3D nonlinear finite element analyses (FEA) of a critical
55 tunnel section. The 3D FEA captures detailed local responses within the reinforced concrete
56 lining, revealing that conventional 2D plane-strain models underestimate hoop forces and
57 overlook alignment-induced amplifications of seismic actions. The results demonstrate the
58 necessity of accounting for alignment effects in seismic tunnel design and demonstrate the
59 effectiveness of the proposed BNWF-FEA hybrid methodology.

60

61 **Key-words:** Concrete Structures; Earthquakes; Finite Element Modelling; Numerical Modelling;
62 Seismic Engineering; Tunnels

63

64

65

66

67

171 parallel dashpots were attached to the tunnel ring, shafts, and caverns with a tri-axial
172 configuration at a spacing of $l_s = 5\text{m}$. The Winkler-type spring representation idealises the
173 surrounding ground as a set of uncoupled springs and dashpots, which inherently neglects stress
174 redistribution between adjacent tunnel segments. However, the tunnel is long between adjacent
175 caverns in comparison to its diameter and is hence very slender. Under such circumstances it is
176 reasonable to assume independence between adjacent tunnel segments. Mubarak *et al.* (2025)
177 demonstrated that for a semi-circular alignment of similar size and mechanical properties and
178 synchronous loading, the behaviour of the tunnel rapidly reduces to a plane strain response with
179 distance away from the caverns. The nonlinear elastic stiffness and damping properties are
180 reported in the supplementary material (stiffness – Fig A1 and Fig A2; damping – Fig A3) and
181 were calibrated against a series of nonlinear 2D FE pseudo-static plane-strain analyses for the
182 cavern, tunnel and shaft sections (the latter at different depths) conducted using PLAXIS 2D 2022.
183 Further details of the calibration and validation procedures are outlined in Mubarak (2023) and
184 Mubarak *et al.* 2025.

185 A full three-dimensional (3D) analysis was conducted, with the in-plane components
186 (circumferential and radial) applied at each spring free boundary node having a trigonometric
187 multiplier applied depending on the spring orientation with respect to the global axes. The in-
188 plane resultant boundary amplitude vector ' $H_R(t)$ ' represents the vectorial sum of ' $H_1(t)$ ' and
189 ' $H_2(t)$ ' local components resolved into components in directions circumferential and radial to the
190 tunnel (i.e. in the direction of the springs) for each time step, as shown in Fig 2a. These
191 components were assigned with a time shift along the tunnel alignment to mimic an
192 asynchronous ground motion scenario, as discussed in the following section. The model does not
193 explicitly simulate seismic wave reflections or refractions due to tunnel geometry or ground
194 layering. Such effects can become significant for shallow tunnels at lower confining stresses $2z/D$
195 < 10 (where z is the running depth and D is the tunnel diameter; Yang *et al.*, 2023), but the tunnels
196 in this study are deep ($2z/D = 38$).

197 The tunnel ring was meshed into 27,000 elements such that the length of individual elements
198 was one-fifth the spacing between the adjacent springs. The general nonlinear dynamic analysis
199 with implicit time integration scheme was selected for the analysis. To ensure convergence of the
200 numerical solution, a quasi-static time stepping algorithm with a fixed increment size equal to the
201 earthquake input motion time increment of 0.005 sec was employed. Newton's solution
202 technique was selected to solve the set of nonlinear equilibrium equations and the displacement
203 was set to vary linearly over each step. The model contains approximately 64,848 different
204 features; Python scripts for generating different components are available online at [DOI:
205 10.20933/100001310](https://doi.org/10.20933/100001310).

206

207

208

209

210

211

212

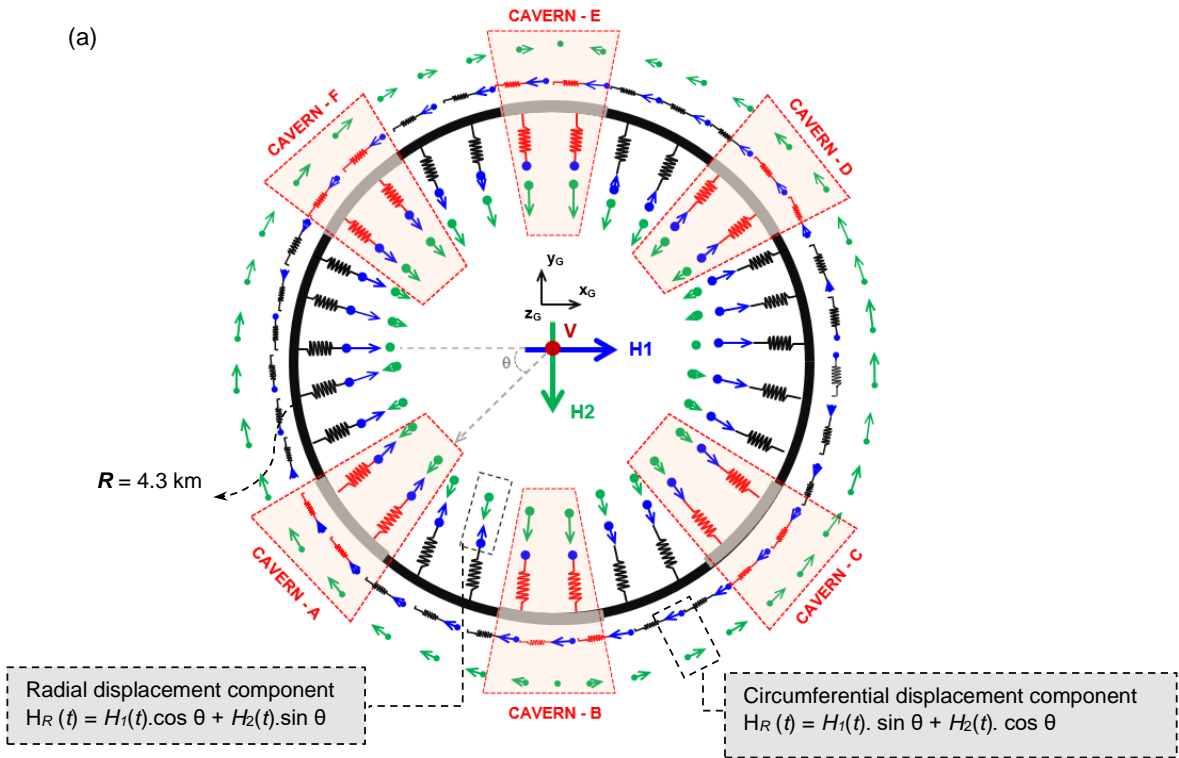
213

214

215

216

217



218

219

220

221

222

223

224

225

226

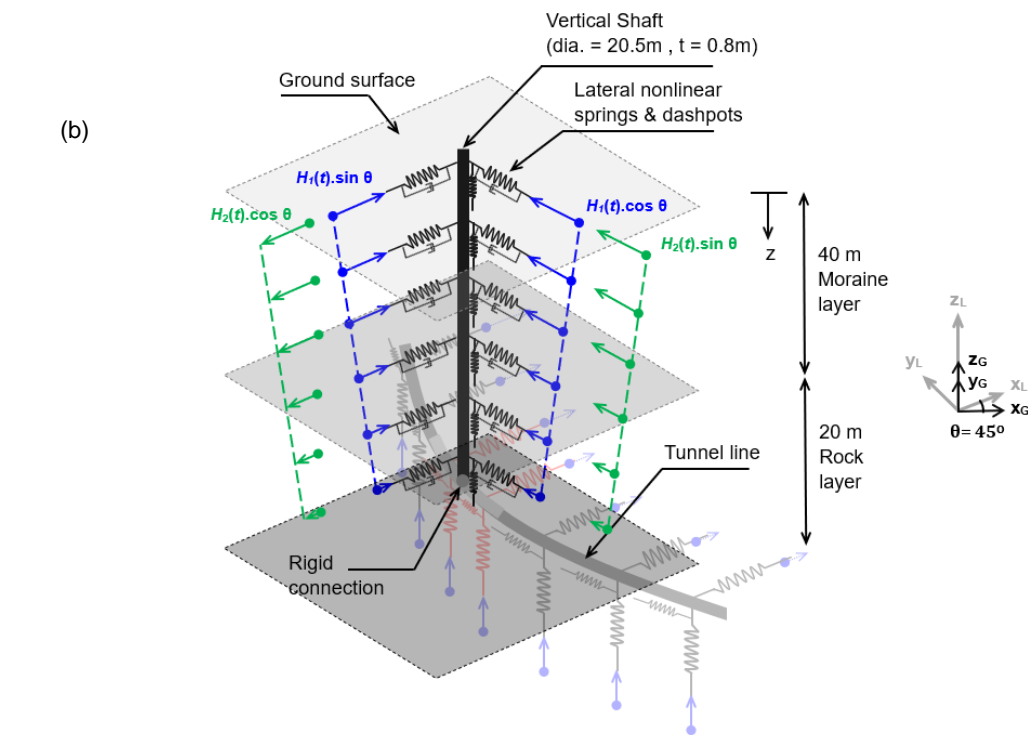


Fig 2 (a) Simplified sketch for the BNWF model of the circular LHC tunnel alignment and (b) vertical shafts; $H_R(t)$: are the resultant dynamic displacement component in the radial and circumferential directions

228 3.1 Asynchronicity

229 Few explicit guidelines are proposed in the literature for estimating the lag-time of an
 230 asynchronous ground motion. Eurocode 8 (EN 1998- 1:2004) recommends a simple approach
 231 using the apparent shear wave velocity of the ground at the level of the tunnel (V_a) and the travel
 232 distance (X_i) in the direction of the travelling wave, as expressed in Eq.1.

$$233 \quad t_{lag,i} = X_i/V_a \quad \text{Eq.1}$$

234 V_a is typically taken to be approximately equal to the shear wave velocity of the ground ($V_a \approx V_s \approx$
 235 1440 m/s, Fern *et al.* 2018) for underground structures embedded in deep rock rather than in
 236 shallow layers (Abrahamson *et al.* 1991; Power *et al.* 1996; Hashash *et al.* 2001).

237 Here, V_a was determined using available seismometer records for the selected earthquake
 238 motion from 10 seismic recording stations within the Geneva area. These stations were chosen at
 239 ground type-A locations (i.e. rock with $V_{s,30} \geq 800$ m/s according to Eurocode 8). The arrival time
 240 (t_0) was then obtained from the available wave record at each station. Knowing the surficial
 241 distance, depth of the seismic source and the arrival time at each station, the apparent average
 242 shear wave velocity for the travelling wave was estimated within the rock formation as $V_{a, avg.} \approx$
 243 1140 m/s (supplementary material [Table A1](#)). To further simplify computation for the BNWF
 244 spring's amplitude vectors, $V_{a, avg.} \approx 1000$ m/s was adopted. For this apparent velocity, the
 245 maximum total lag-time was estimated to be $t_{lag, total} = 8.6$ sec across the whole LHC (i.e. from $E_1 \rightarrow$
 246 E_2 with alignment diameter of 8.6 km; [Fig 3](#)) assuming that: (i) the seismic waves pass through
 247 homogenous ground and thus reflections, refractions and wave incoherency can be ignored; and
 248 (ii) that the arrival time of the recorded motion at the rock outcrop was assumed approximately
 249 equal to the travel time in deep rock. Asynchronous excitation was applied following the
 250 Eurocode 8 methodology, applying free-field displacement time histories at each connector free
 251 node 'i' with a time lag determined using Eq.1, as shown schematically in [Fig 3](#) for the bottom half
 252 of the circular alignment. The amplitudes were assigned from the left end ' E_1 ' towards the right
 253 end ' E_2 ' based on the assumption of an eastwards wave propagation.

254 The directionality of wave propagation was also investigated by assigning the amplitudes in
 255 three different directions to investigate the effect of directionality of wave propagation in relation
 256 to the locations of the caverns. These represented Eastwards propagation (from E_1 to E_2), North-
 257 eastwards (Cavern A to Cavern D) and Northwards (Cavern B to Cavern E). Due to the symmetry
 258 of the alignment and ground properties considered herein, these configurations represent the
 259 earthquake motion originating externally at 45-degree increments around the circumference of
 260 the LHC.

261

262

263

264

265

266

267

268

269

270

271

272

273

274

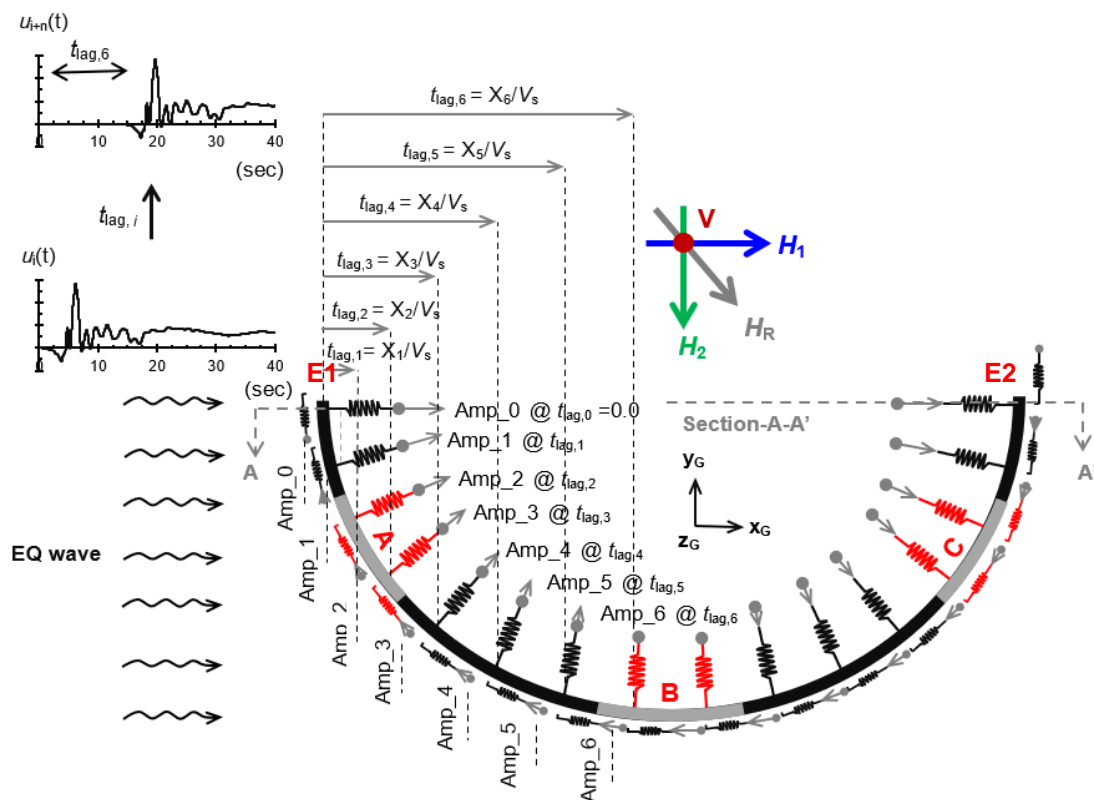


Fig 3 Assignment of the asynchronous amplitude vectors to the spring's boundaries showing Eastwards seismic wave propagation as an example

275 3.2 *Ground motion components*

276 A local outcrop earthquake was selected considering the local seismicity of the Geneva
277 region, with a moment magnitude of $M_w = 4.5$, that was recorded by the Swiss National
278 Seismological Service in 2005 at the Haute-Savoie province 55 km to the east of Geneva area. The
279 acceleration time history was scaled consistently across all components such that $a_g = 0.15 \text{ m/s}^2$
280 in the H_1 component according to the design peak ground acceleration (PGA) adopted for all CERN
281 underground structures (supplementary material [Fig A4](#)). A low-pass filter was applied to limit
282 the frequency content to $< 20\text{Hz}$. The waveform is available at the Engineering Strong Motion
283 (ESM) database by Luzi *et al.* (2016), ESM ID: IT-2005-0116.

284 Site-specific non-linear time history analyses were conducted separately using each of the
285 individual earthquake components as an input motion in PLAXIS 2D (model details in Mubarak *et*
286 *al.* 2023). Ground displacement amplitude time histories were then extracted from free-field points
287 at spring/dashpots elevations for the tunnel and vertical shafts (supplementary material [Fig. A5](#) and
288 [Fig. A6](#)) and used as the input displacements at each spring free boundary node in the BNWF
289 model.

290

291

292

293

294

295

296

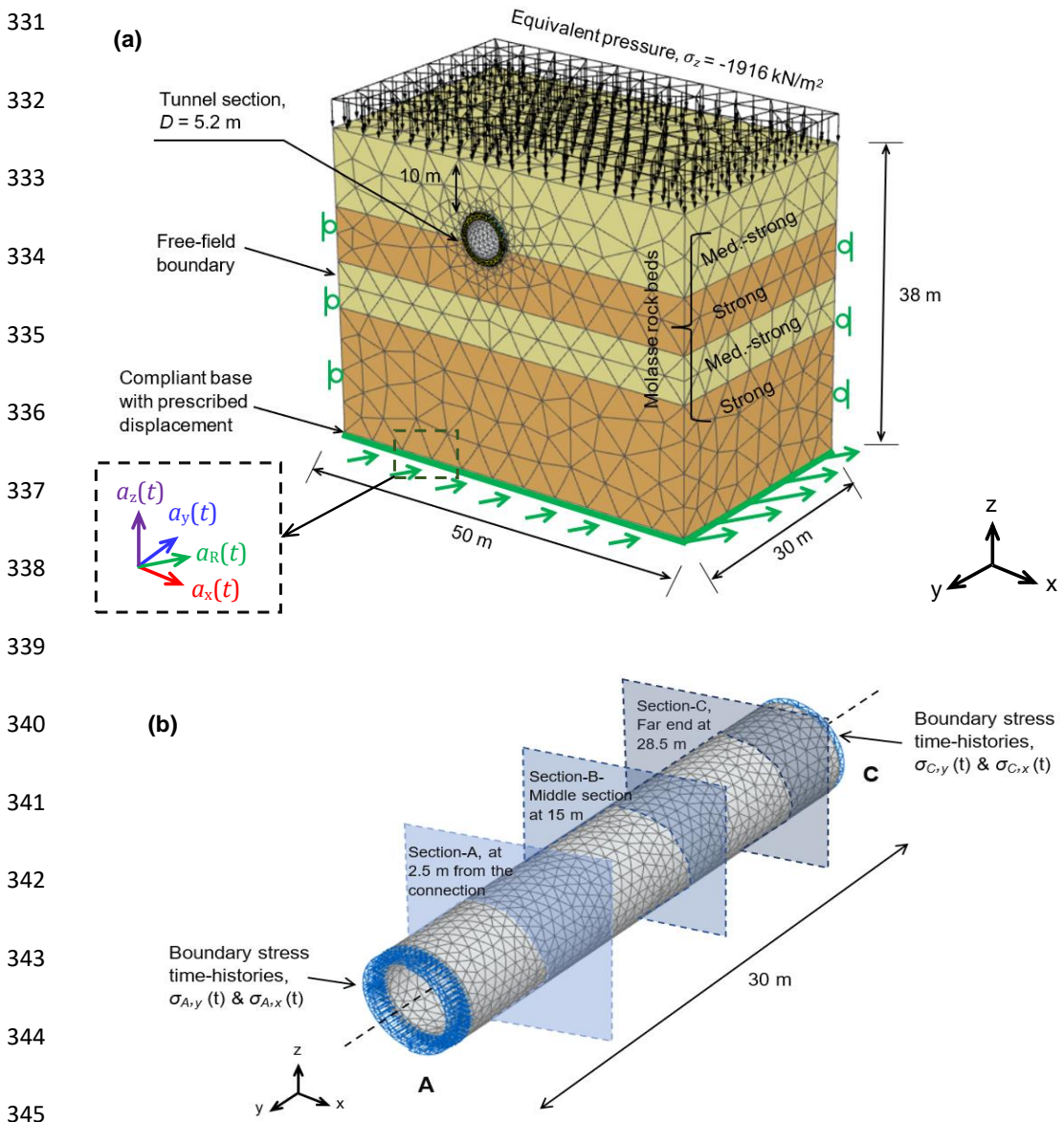
297

298 4. 3-D Finite element analysis (FEA; local scale)

299 The 3-D FEA considered a short length of the tunnel close to the tunnel-cavern A connection
300 which was identified to be the most heavily loaded at the alignment scale from the BNWF model.
301 Two cases were considered, representing different tunnel-end boundary conditions,
302 representing actions from synchronously- and asynchronously-excited global BNWF models. Due
303 to the small size of the time-steps required during calculation and the deep running depth of the
304 tunnel, the model was truncated vertically (Fig 4). The tunnel centreline is at a depth of 92 m
305 below the ground surface and the confining stress from the ground above the modelled domain
306 was incorporated as a constant applied vertical total stress of $\sigma_z = 1916$ kPa to ensure that the
307 stress states and corresponding constitutive behaviour in the tunnel lining and surrounding rock
308 were captured appropriately. The circular tunnel had a diameter of $D = 5.2$ m and the model
309 domain had a depth $z = 38$ m ($\approx 7D$) with rock cover of approximately 10m above the tunnel
310 (where a much weaker rock layer was located) and a length $y = 30$ m ($= L_{crit}$ at Cavern A). The
311 width of the model $x = 50$ m ($\approx 10D$) was selected based on the results of previous plane-strain
312 (2D) dynamic analyses for the tunnel section (Mubarak et al., 2024) such that the induced stresses
313 around the structure degraded to the free-field conditions prior to the boundaries. The model
314 domain was discretised into 32,273 10-noded tetrahedral elements (52,213 nodes). The mesh in
315 the ground around the tunnel in the middle portion was refined into elements with characteristic
316 length ' l_e ' less than approximately one-tenth to one-eighth of the minimum wavelength (λ_{min})
317 associated with the maximum frequency (f_{max}) of the input motion (Bathe, 2006).

318 The analyses were each conducted in eight phases. The first seven phases modelled the initial
319 conditions (deformations and stresses) associated with sequential excavation of the tunnel in the
320 axial direction (+y-axis; Fig 4a), where soil volumes were progressively deactivated to provide
321 stress relief, assuming full face excavation progresses in sections of 5 m followed by activating
322 the RC tunnel lining at the end of each 5 m excavation stage. This approach assumed ideal
323 conditions with no volume loss, which was considered reasonable as the tunnel is completely
324 embedded within competent rock and was constructed using a Tunnel Boring Machine (TBM)

325 with earth pressure balancing (Laughton, 1989). Earthquake ground motion was applied in the
 326 final (dynamic) phase, in which prescribed displacement time-histories were applied in three
 327 orthogonal directions at the bottom surface of the model based on those applied to the global
 328 BNWF model at the tunnel-cavern connection (i.e. considering the location of the modelled tunnel
 329 section with respect to the alignment geometry and direction of the applied seismic motion in
 330 relation to the alignment) and with free-field (tied node) side boundaries.



346 **Fig 4** (a) 3D FE model domain of the longitudinal section at the critical region near the tunnel-cavern-A connection, and (b) FE model of the modelled 3D longitudinal tunnel lining only, showing the location of key tunnel cross sections for result extraction.

347 For seismic analysis, free-field and compliant base boundary conditions were used at the
348 truncated lateral and bottom boundaries respectively, as proposed by Zienkiewicz *et al.* (1989),
349 with normal and tangential relaxation coefficients $C_1 = 1$ and $C_2=0.25$, respectively. The Newmark
350 numerical scheme was used for solving the equations of motion (Katona and Zienkiewicz, 1985),
351 with time integration parameters $\alpha_N = 0.25$ and $\beta_N = 0.5$ which ensured the stability of the
352 numerical solution by adding numerical damping to dissipate spurious higher-frequency
353 oscillations (e.g., Kontoe *et al.* 2008).

354

355 4.1 Longitudinal tunnel section

356 Volume elements were used to model the concrete lining with embedded elasto-plastic plates
357 for the reinforcing mesh, consistent with the approach described by and validated by Mubarak *et*
358 *al.* (2023, 2024). The concrete has a compressive strength of 28 MPa (Grade C25/30 according to
359 EN 1992-1-1: 2004) and was modelled using the nonlinear Concrete Model (Schweiger *et al.* 2014)
360 available in the PLAXIS materials library with input parameters summarised in supplementary
361 material [Table B1](#). This modelling approach for RC was previously validated against experimental
362 tests from the literature in Mubarak *et al.* (2023, 2024). [Table B2](#) summarises the equivalent
363 flexural (EI) and axial (EA) stiffnesses of the plate element used to model the longitudinal mesh
364 reinforcement above and below the neutral axis assuming an elasto-plastic behaviour. The model,
365 as calibrated, implicitly accounts for material damping in the range of 7%–10% (Mubarak *et al.*
366 2024), consistent with values for reinforced concrete recommended by Newmark and Hall
367 (1982). Section reinforcement had 6T22/m top and bottom bars (area of steel, $A_s = 2281\text{mm}^2/\text{m}$)
368 with modulus of elasticity $E_s=210$ GPa, a tensile yield stress of $f_y=460$ MPa (class B500 according to
369 BS 4449:2005) and tensile capacity $N_p=f_{ys}\cdot A_s$. A dummy plate element was embedded at the middle
370 of the tunnel section to extract the hoop forces which had elasto-plastic behaviour with a reduced
371 flexural (EI) and axial (EA) stiffnesses equal to the stiffness of the reinforced hoop scaled by
372 ($\times 10^{-6}$), such that it did not influence the structural stiffness of the RC lining.

373 Fig 5 shows the tunnel cross section (N - M) capacity interaction diagram and the moment-
 374 curvature (M - κ) diagram obtained from PLAXIS and also the nonlinear sectional analysis program
 375 Response-2000 (Bentz and Collins 2000). The moment-curvature behaviour shown in Fig 5b was
 376 consistent with the EI incorporated within the BNWF model.

377

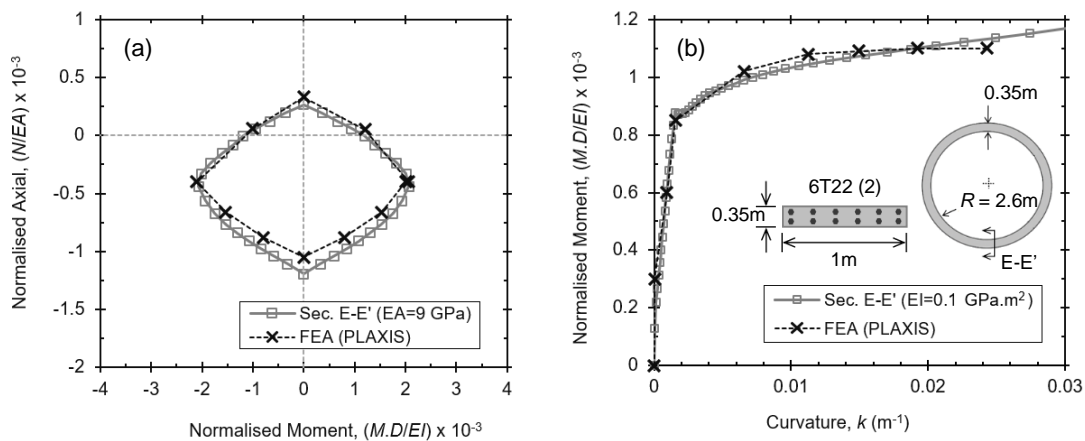
378

379

380

381

382



383

Fig 5 (a) Normalised Axial-Normalised Moment (N - M) interaction diagram, and (b) Normalised Moment-Curvature (M - κ) of the LHC tunnel section

384

385 4.2 Ground profile and constitutive modelling

386

387

388

389

390

391

392

393

394

395

396

The ground profile consisted of a complex and alternating sequence of horizontally bedded layers of Molasse rock with varying thicknesses, strength, and material properties (GADZ, 1996). Two types of rock units were identified at the running (centreline) depth of the tunnel with ‘medium’ to ‘strong’ rock strength and stiffness properties determined based on statistical analysis of a wide range of field data (e.g., GADZ 1996 a & b, GADZ 1998, Madinier *et al.* 2017, Fern *et al.* 2018). The constitutive behaviour was identical to that used in the 2D plane strain analyses used to calibrated the BNWF spring/dashpot properties (Mubarak *et al.* 2025). The Hardening Soil model with small strain stiffness (HS-small; Benz *et al.* 2009) was used with equivalent strength properties calibrated against the available Hoek-Brown failure envelopes of each rock unit over a stress range 0-6 MPa (Mubarak *et al.* 2024). Table B3 (supplementary material) summaries the constitutive parameters for each rock unit (see Fig 4 for layering), where reference stiffness

397 parameters were defined at a reference atmospheric pressure of $p'_{ref} = 100$ kPa. Inherent large-
398 strain-dependent damping was present within the HS-small model. To account for ground
399 damping at very small strains, Rayleigh (frequency-dependent) damping was set to a target
400 damping of $D^* = 1\%$, following the procedure defined by Amorosi *et al.* (2010), resulting in $\alpha_R =$
401 0.13 and $\beta_R = 0.00075$ for target frequencies $f_m = 1.8$ Hz and $f_n = 2.46$ Hz, based on a nonlinear 1D
402 site response analysis in PLAXIS considering the local ground motion characteristics (Mubarak
403 *et al.* 2024).

404

405 4.3 Boundary conditions

406 Due to the reduced size of the 3-D model, with the bottom boundary at approximately 23 m
407 below the tunnel level, the input base motions in the ground were obtained from separate 1D FE
408 non-linear site response analyses of the complete ground column in PLAXIS using the same
409 constitutive modelling approach as described above (total depth of 200m, and nearly 120m of
410 material below the tunnel level) with the input motion shifted in the time domain to represent
411 the time at which the motion reaches the modelled section of the alignment (as considered for
412 the BNWF model). The input motions at the bottom boundary of the 3-D FEA were extracted from
413 the free-field profile at a level of approximately 109 m below ground level (BGL) equivalent to the
414 bottom of the 3D FEA model. The components in the xy-plane had a directionality multiplier of
415 0.7 ($= \cos 45^\circ = \sin 45^\circ$), such that the resultant motion with respect to the global x-axis was
416 consistent with the location of the modelled segment with respect to the direction of the applied
417 ground motions (see Fig 6a, at Cavern A). The compliant base implemented the prescribed
418 displacement as an input dynamic load along with a viscous boundary. The lateral soil boundaries
419 combined non-reflecting viscous boundaries and the appropriate free-field dynamic
420 displacements (i.e. simulating tied nodes laterally) but did not capture dynamic variation in
421 horizontal stress due to wave-passage effects within the ground (e.g. due to surface waves). While

422 this provides a practical approximation, its limitations—particularly under asynchronous
 423 excitation—should be recognised.

424 On the tunnel boundaries (A and C, where end 'A' is at the tunnel-cavern A connection point
 425 and the far end 'C' is in the tunnel at $L_{crit} = 30\text{m}$ from the cavern; Fig 4b) the resultant global tunnel
 426 actions obtained from the BNWF model for both synchronous and asynchronous cases at the
 427 alignment scale were imposed as equivalent dynamic stresses (Fig 6 a and b). Six-component
 428 action time-histories at homologous points near cavern-A were extracted from the BNWF models,
 429 namely; Axial force ' $N_x(t)$ ', Moments ' $M_z(t)$ & ' $M_y(t)$ ', Shear forces ' $V_y(t)$ & ' $V_z(t)$ ' and Torque ' $T(t)$ '
 430 (Fig 6b). The action time-histories are shown in supplementary material Fig B1 and Fig B2 for
 431 synchronous and asynchronous ground motion conditions, respectively.

432

433

434

435

436

437

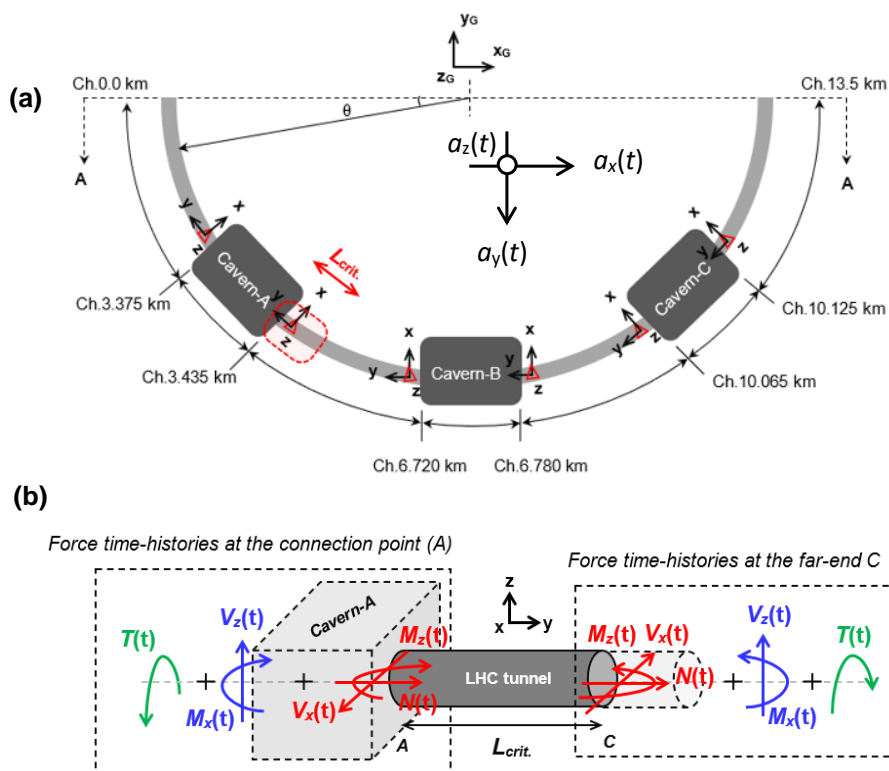
438

439

440

441

442



443 **Fig 6** (a) Schematic view of the location of the modelled longitudinal tunnel segment and (b) the different
 444 action components in the 'in-plane' and 'out-of-plane' directions that were obtained from the BNWF model
 of the circular LHC tunnel at the critical region near Cavern-A.

444

445 The actions out of the horizontal plane of the tunnel alignment ($V_z(t)$, $M_x(t)$ and $T(t)$) in Fig B1
446 (d-f) and Fig B2 (d-f) had very small amplitudes compared to the actions in the plane of the
447 alignment ($N_y(t)$, $M_z(t)$ and $V_x(t)$) in Fig B1 (a-c) and Fig B2 (a-c). The ratios of out-of-plane to in-
448 plane actions of the peak synchronous forces were $M_x/M_z \approx 0.03\%$, $V_z/V_x \approx 0.2\%$ and $T/M_z <$
449 0.0001% , and for the asynchronous forces were $M_x/M_z \approx 1\%$, $V_z/V_x \approx 3\%$ and $T/M_z < 0.003\%$. This
450 demonstrates that despite the 3-D excitation of the 3-D global alignment, the global actions out of the
451 horizontal plane of the tunnel alignment were negligibly small and were hence neglected.

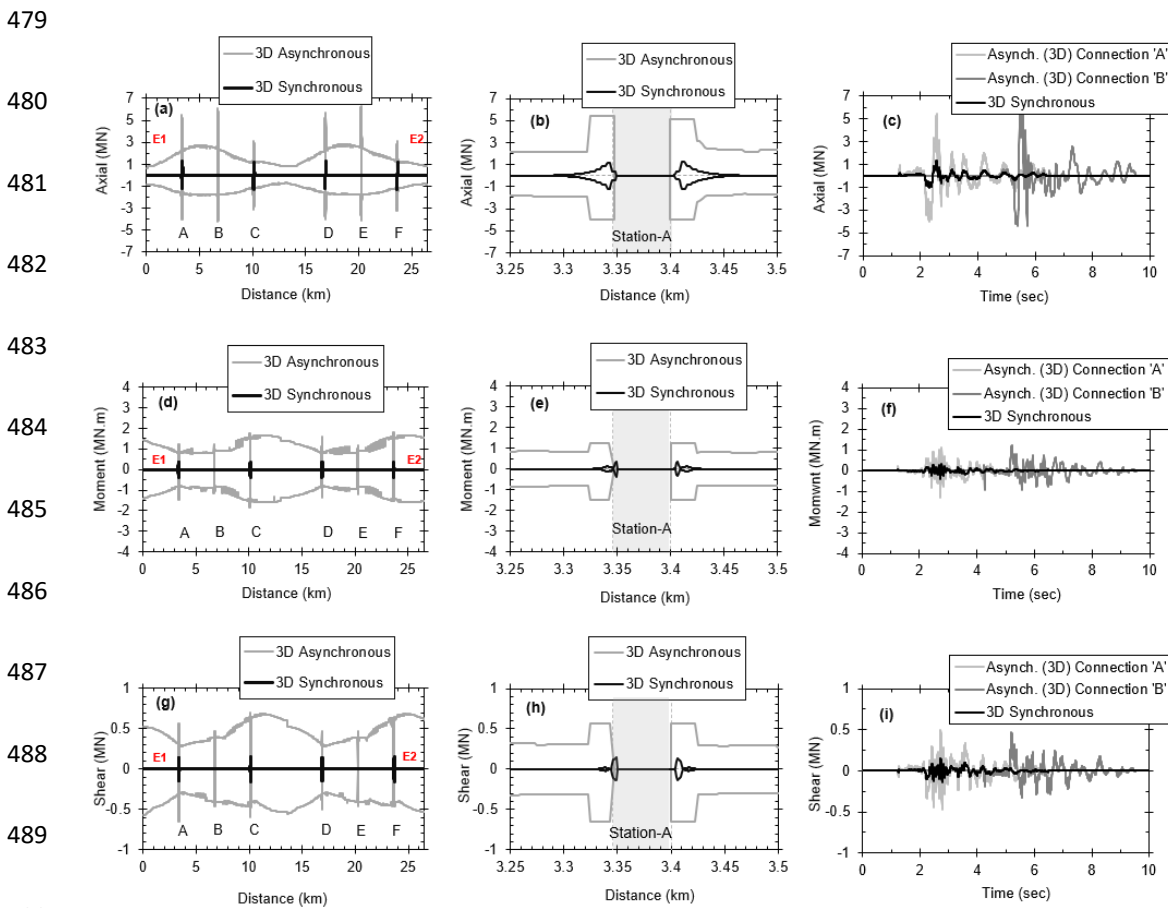
452 The dynamic stresses applied to the tunnel faces are illustrated schematically in
453 supplementary material Fig B3. The axial (N) and shear forces (V_x) were converted to uniform stress
454 distributions by dividing the force time-histories by the hoop cross sectional area ($A_{\text{hoop}} = 5.33 \text{ m}^2$).
455 These were applied normal to and in the plane of the tunnel cross-section, respectively. The in-plane
456 moment (M_z) was modelled as equivalent uniform stresses with equal positive and negative
457 values on the left and right side of the section (Fig B3a). The stresses were obtained by converting
458 the moment time-history into a couple by dividing by the lever arm ($\approx 2.2 \text{ m}$) between centroids
459 of each half of the tunnel and dividing by half the hoop area ($0.5A_{\text{hoop}} = 2.66 \text{ m}^2$; Fig B3c). A similar
460 approach could be applied to the out-of-plane moment and shear actions if they had not been
461 negligibly small. The resultant axial and planar stress components were obtained by algebraic
462 summation of the individual components in each quarter of the cross-section (Fig B3c).

463 The resultant stress time-histories considering synchronous and asynchronous motion
464 components at each end of the 3-D FE tunnel segment are shown in Fig B4. The time of application
465 of the asynchronous components (Fig B4 c & d) had only a very small differential time-lag (Δt -lag
466 = 0.03 sec) between ends 'A' and 'C' due to the length of the modelled segment. Hence, ground
467 motions were simultaneously applied to the lower rock surface of the 3D model in both
468 synchronous and asynchronous cases. It should be noted that the combined (normal) boundary
469 stress components are well below the compressive and tensile strength of the concrete (Table
470 B1).

471 **5. Results**

472 5.1 Effect of asynchronous wave propagation

473 Fig 7 shows the envelope of peak seismic actions due to the asynchronous ground motion in the
 474 Eastwards direction from the asynchronous BNWF analysis along with a synchronous
 475 comparator. It can be seen in Fig 7b, e & h that the seismic demand at the alignment level is
 476 amplified significantly in the region of the tunnel-cavern connection (of length $L_{crit} \approx 30\text{m}$ from
 477 the cavern) under all shaking scenarios but is also increased along the entire tunnel length in the
 478 3D asynchronous case (Fig 7a, d & g).



491 **Fig 7** Peak seismic force envelopes due to 3-D Synchronous and Asynchronous Eastwards wave
 492 propagation, where (a), (d) & (g) are force distributions along the circular alignment; (b), (e) & (h) show
 forces at the tunnel-cavern-A connection; (c), (f) & (i) are time histories obtained at the connections to
 caverns 'A' & 'B' respectively.

493 In both cases this effect is strongly linked to differential displacements due to the stiffness
494 contrast between the cavern and tunnel (Mubarak *et al.* 2025), hence why it is seen even under
495 synchronous conditions. In the asynchronous cases, bending deformations travelling along the
496 alignment due to the passage of seismic waves amplify differential displacements and strengthen
497 seismic demand at the tunnel-cavern connection. Neither effect can be observed in conventional
498 2-D plane-strain analyses of specific tunnel cross-sections and can only be observed at the
499 alignment scale that is facilitated by the BNWF model presented herein.

500

501 5.2 Effect of directionality of wave propagation

502 Fig 8 shows the effect of the wave propagation direction on the resultant force envelopes along
503 the tunnel alignment and at the tunnel-cavern connections. The force envelopes are effectively
504 translated along the longitudinal axis, such that the tunnel-cavern connection points are less
505 affected by the global actions when the propagation direction is transverse/perpendicular to the
506 cavern axis. The consequence of this is that a different cavern-tunnel connection point will be
507 most critical as the propagation direction changes, but the magnitude of the actions at the critical
508 point will be similar if the motion characteristics of the propagating wave are the similar (e.g.
509 Cavern B has the lowest global moment and shear actions for NE propagation, while Cavern C has
510 the lowest global moment and shear for N propagation). In the case that the ground motion

516 5.3 Maximum length of a synchronous tunnel model

517 While many researchers have highlighted the importance of considering asynchronicity on
 518 the global response of long structures (e.g. Kramer 1996; Hashash *et al.* 2001), the literature lacks
 519 explicit guidelines for defining the limiting length beyond which asynchronous effects should be
 520 considered. It is here assumed that that for a seismic wave with a travelling velocity $V_a (= V_s)$ with
 521 a range of low frequencies with sufficient strain energy to induce significant transverse
 522 deformations, the seismic wave will produce wave-like deformations (i.e. local bending in the
 523 tunnel alignment) if the tunnel is longer than the wavelength (λ).

524

525

526

527

528

529

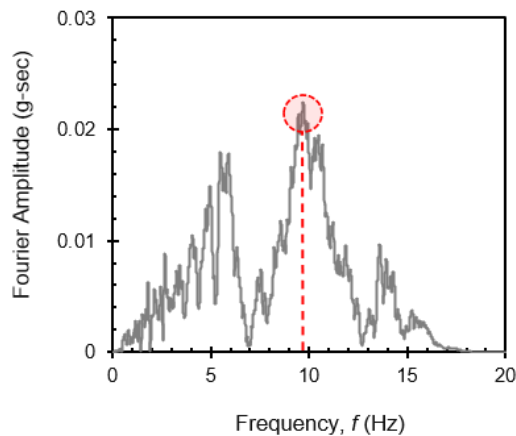


Fig 9 Fourier amplitude spectrum for dominant component of the local Swiss motion ($a_{H1}(t)$ with PGA = 0.15g)

530 In the case of the LHC, [Fig 9](#) shows the Fourier spectrum of the motion used ($a_{H1}(t)$). The
 531 maximum Fourier amplitude corresponds to $f \approx 10$ Hz and there is no input energy beyond $f =$
 532 20 Hz. Hence, for $V_a = 1000$ m/s, $\lambda = 50$ -100 m. This suggests that the largest size of a 3-D section
 533 of a tunnel system that can be modelled in continuum FEA with a synchronous/uniform input
 534 ground motion is of the order of 100 m (in this case). For shallower tunnels running in ground
 535 with lower V_s the maximum length would be considerably shorter. [Fig 7 \(b, e, h\)](#) demonstrated
 536 that a critical region of the tunnel where subsequent continuum FEA would be required was the
 537 zone within approximately 30 m of the tunnel-cavern connection. These findings justify the use
 538 of the 30 m domain length in the 3-D continuum FEA and the use of a synchronous input motion

539 across the base of the model for this section, so long as the dynamic boundary conditions at either
540 end of this section (e.g. Fig 7 c, f, i) are included to capture the alignment scale asynchronicity
541 effects.

542

543 5.4 Effect of apparent wave velocity on the predicted alignment forces

544 The accuracy of the estimated seismic wave travelling velocity over a wide area which
545 extends to several square kilometres might incur a high level of uncertainty, given the numerous
546 factors that affect wave transmission and coherency. The LHC tunnel (circumference of 27 km)
547 passes through rock with varying properties and geological conditions with $1000 \text{ m/s} < V_s < 1500$
548 m/s (GADZ, 1998; GADZ, 1996). A parametric study was performed on the circular LHC alignment
549 using the BNWF model considering asynchronous boundary amplitude vectors derived for $V_a =$
550 $V_s = 800, 1000, 1500, 2000$ and 2500 m/s . The lowest value represents the lower limit specified
551 by Eurocode 8 for ground type-A (rock), while the upper limit of 2500 m/s was set to represent
552 a much more competent rock. True synchronous effects are only expected if ground had a very
553 high V_s (for the diameter of the LHC and smallest time step of the input motion, this would be V_a
554 $= 1.72 \times 10^6 \text{ m/s}$).

555 Fig 10 shows the variation of the tunnel alignment forces at three key locations with V_s ,
556 namely the tunnel-cavern 'A' & 'B' connections and at a point along the tunnel line (CH. 5 km)
557 midway between these caverns. In general, the induced alignment-scale seismic actions tend to
558 decrease with increased V_a and appear to stabilise beyond $V_a = 2500 \text{ m/s}$ at the tunnel-cavern 'A'
559 & 'B' connections. This is consistent with stiffer rock reducing the difference in relative ground-
560 structure interaction stiffness between the comparatively more flexible tunnel and the cavern.
561 The transverse bending actions (moment and shear) were relatively unaffected by V_a far from the
562 caverns (e.g. at CH. 5 km).

563

564

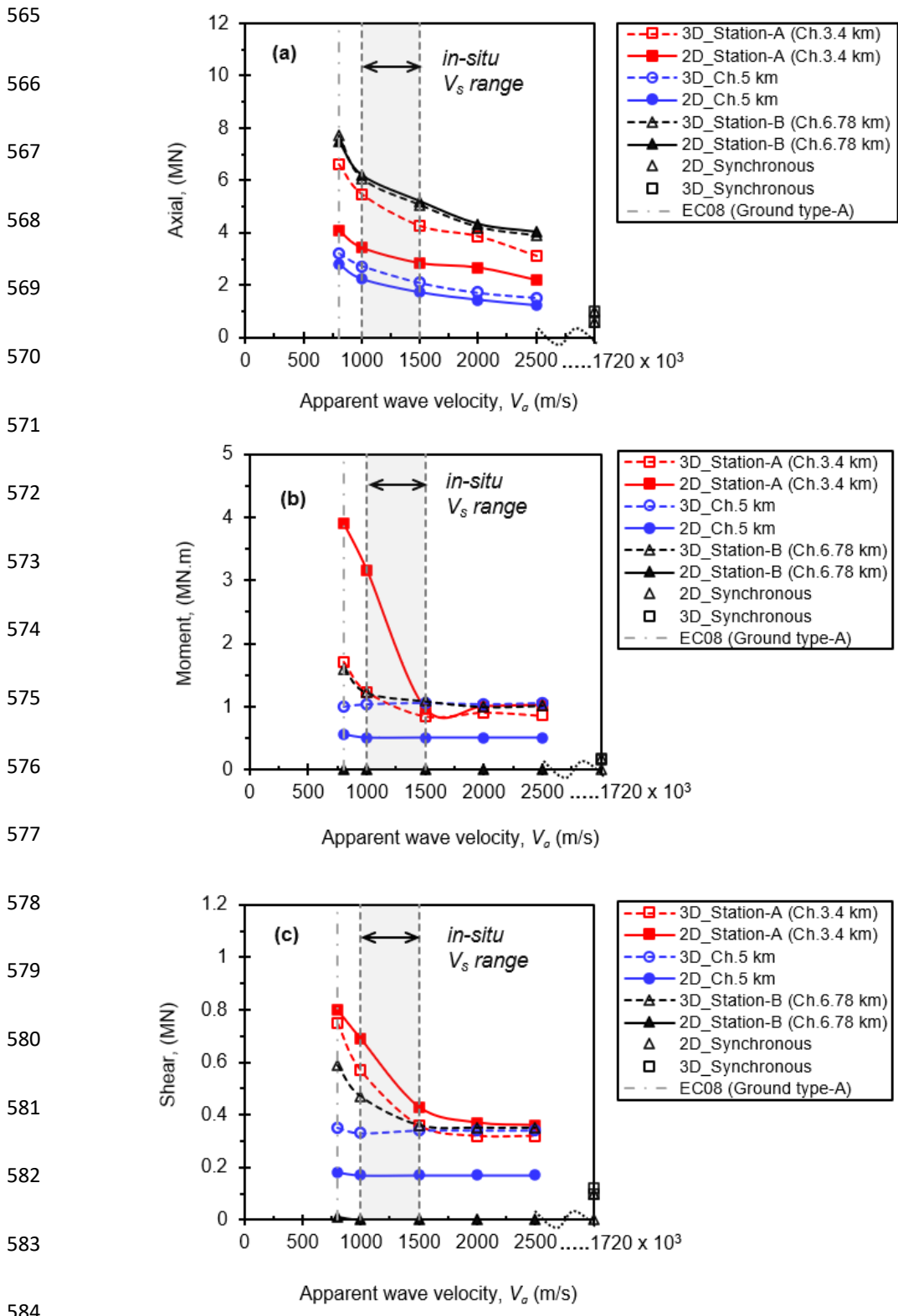


Fig 10 Effect of shear wave velocity (or wave travel time) on the tunnel alignment forces considering 2D and 3D wave combinations.

611 Mubarak *et al.* 2024). All responses were obtained at the time step at which the tunnel lining had
 612 maximum ovalisation, defined as the largest ratio of major to minor axis diameters of the
 613 deformed lining (see next section).

614

615

616

617

618

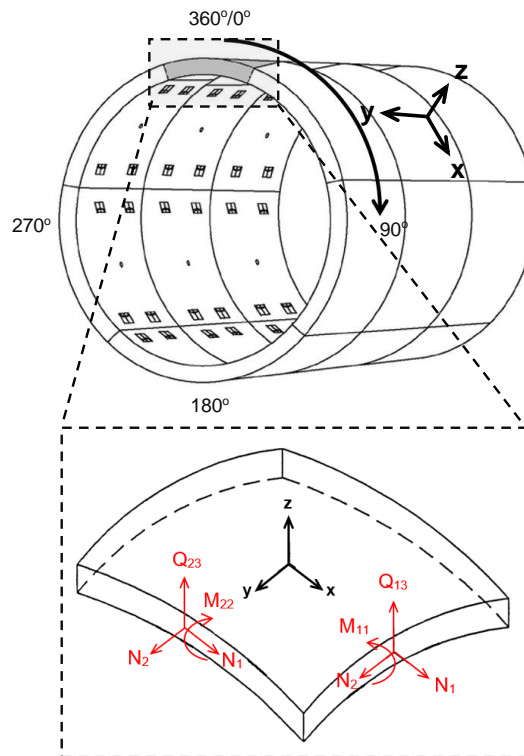
619

620

621

622

623



624

625

Fig 11 Sign convention for the obtained lining forces in the transverse (+ve x-axis) and the longitudinal/axial (+ve y-axis) directions. Note that (-ve) is compression.

626

627

628

629

630

631

632

633

[Fig 12](#) shows the tunnel lining peak forces from transverse sections-A, B & C considering synchronous and asynchronous boundary conditions. The in-plane forces ([Fig 12 a-c](#)) were compared with 2-D plane strain analysis. The hoop forces (N_1) at each section were significantly smaller in compressive magnitude considering the synchronous alignment effects in 3-D than the predicted 2-D lining forces meaning that the bending moment capacity was lower in 3-D ([Fig 5a](#)). Simultaneously, the induced moments (M_{11} and shear forces Q_{13}) were increased in 3-D, such that the utilisation of the section was increased, though the magnitude of the actions was small for synchronous conditions.

634 The induced lining forces were significantly higher in the asynchronous case which are
 635 consistent with the larger magnitude of the alignment-level actions from the BNWF model. This
 636 impact cannot be predicted using the conventional 2-D or even 3-D analyses of a critical length of
 637 tunnel without considering the influence of asynchronicity from the alignment scale on the local
 638 tunnel response. For the asynchronous case, lining forces in the out-of-plane direction in (Fig 12
 639 d-f) were significantly higher than those in-plane (Fig 12 a-c). In general, the largest actions
 640 around the circumference in all degrees of freedom were larger at section A which was closest to
 641 the tunnel-cavern connection where the stiffness contrast was highest.

642

643

644

645

646

647

648

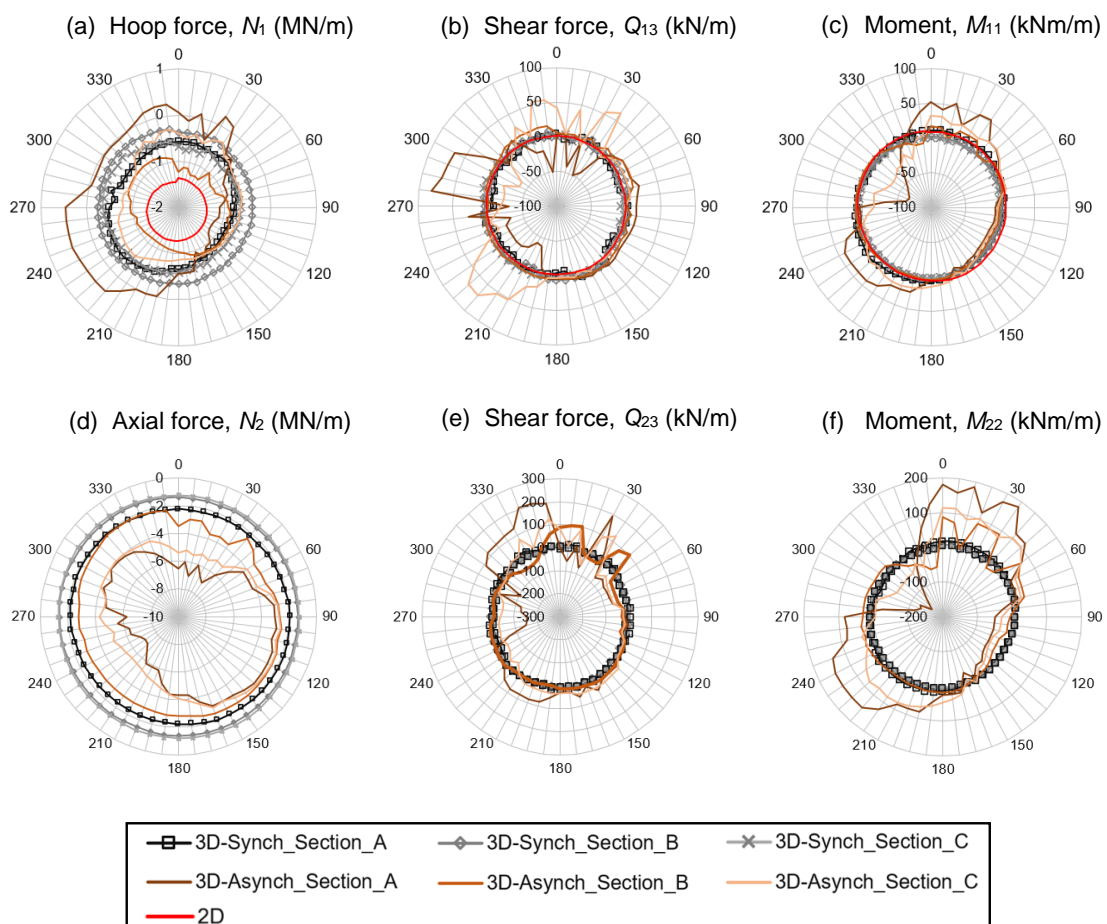
649

650

651

652

653



654

655

Fig 12 Peak seismic forces of the tunnel lining due to synchronous and asynchronous motion obtained at different cross-sections along the longitudinal section, where (a, b & c) are the in-plane hoop forces, and (d, e & f) are the out-of-plane forces. Note that (-ve) indicates compression.

656 The results demonstrate that while 2-D analyses may be able to reasonably capture in plane
657 seismic bending, the effect of hoop force on the seismic bending capacity of the lining will not
658 necessarily be well captured, even when using an advanced concrete modelling approach which
659 inherently couples axial and bending actions, due to the absence of global scale actions
660 (particularly axial force N_2) influencing the induced planar hoop forces (N_1).

661 Fig 13 shows the Axial-Moment capacity interaction diagram for a 1m lining segment at ω
662 $=10^\circ$ clockwise from the tunnel centre line at sections A-C (N_1 - M_{11} in plane; N_2 - M_{22} out of plane).
663 The induced actions in the asynchronous case, although larger than the synchronous actions,
664 remained within the structural capacity of the section; however, they approached the failure
665 surface at section-A where the largest global and local lining actions were induced. Based on the
666 residual (post-earthquake) actions, the resilience of the tunnel along the critical length modelled
667 would be significantly reduced for subsequent earthquakes. These residual actions are attributed
668 primarily to plastic deformation in the surrounding ground as the tunnel lining itself remained
669 within the elastic range for the motion considered.

670

671

672

673

674

675

676

677

678

679

680

681

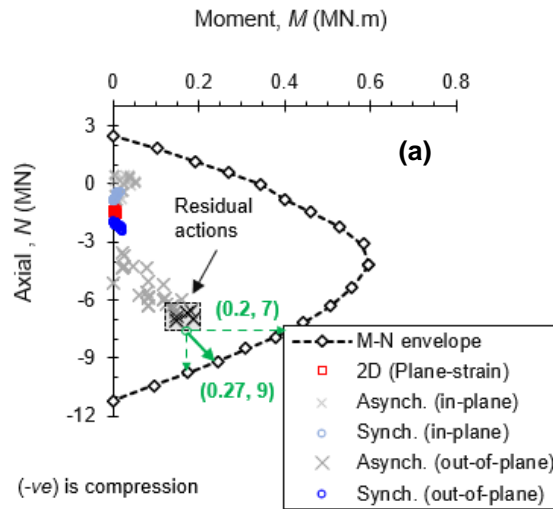
682

683

684

685

686



687

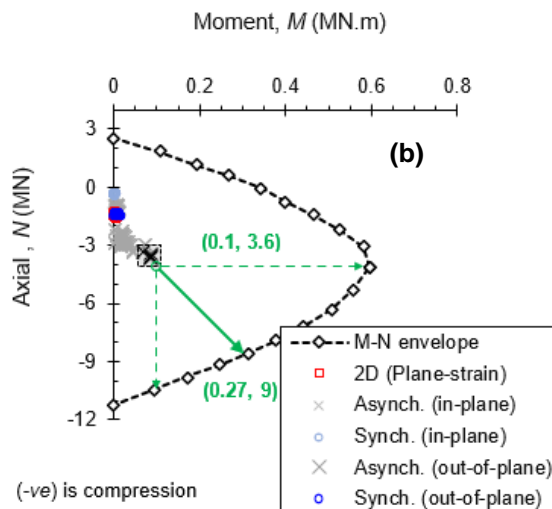
688

689

690

691

692



693

694

695

696

697

698

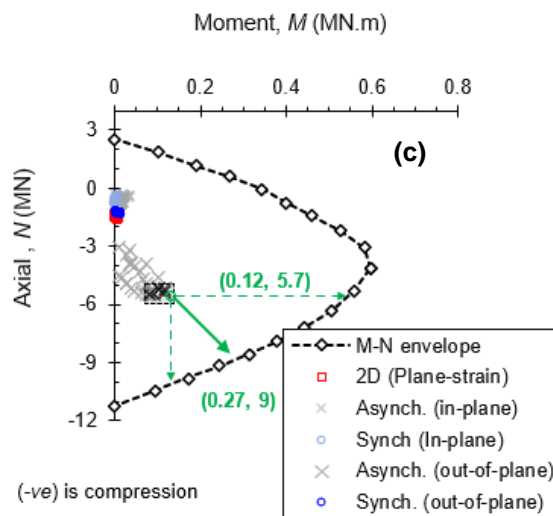


Fig 13 Axial-Moment (N - M) interaction diagrams to check the capacity of the tunnel lining at (a) section A, (b) section B and (c) section C. The green numbers indicate the coordinate values of the seismic demand point (current forces) used to evaluate the safety factor relative to the ultimate capacity envelope.

699 5.6 Lining deformations

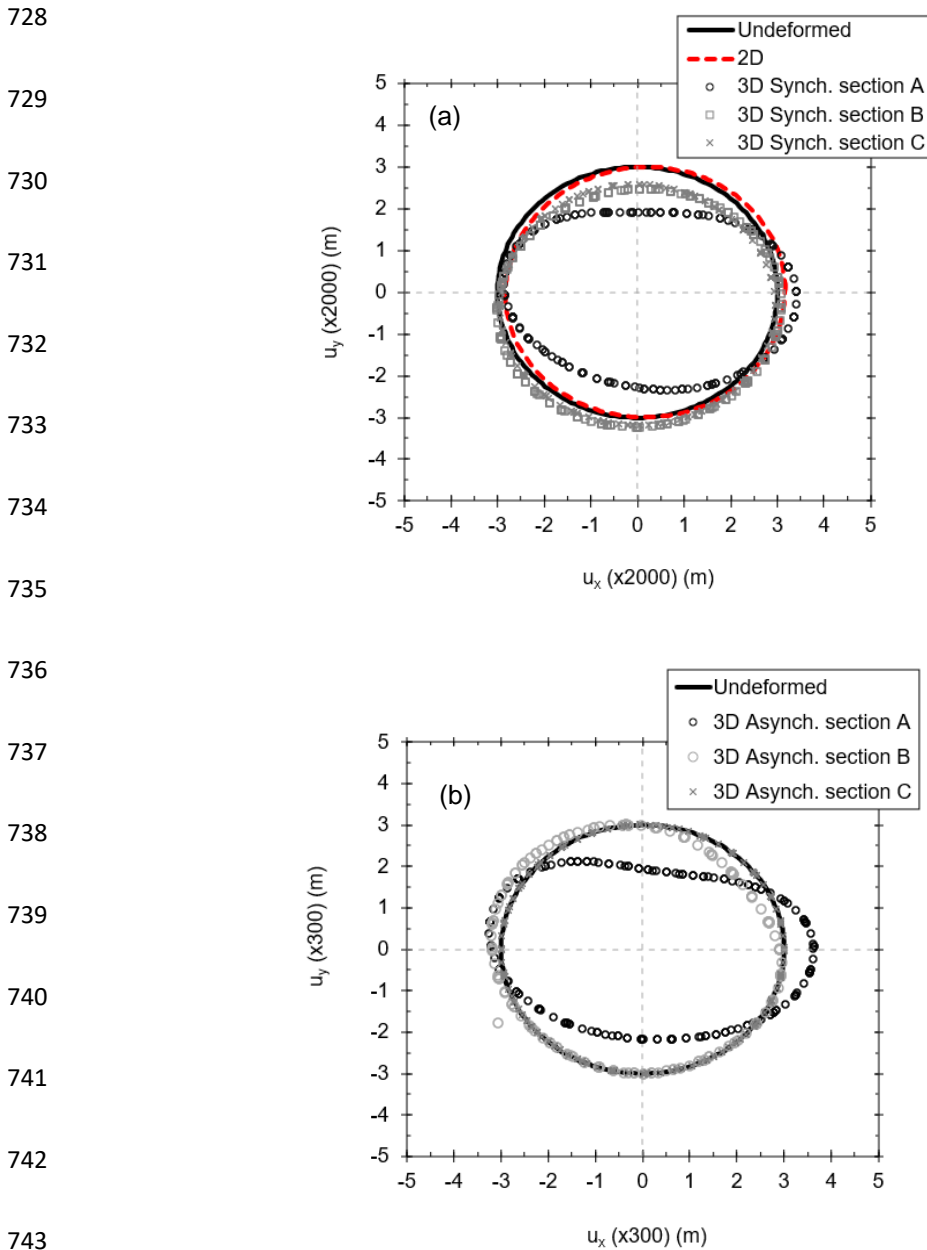
700 The maximum ovalised shape at sections A, B and C along the longitudinal tunnel axis was
 701 defined at the time-step at which the resultant extension/contraction of a specific tunnel
 702 diameter $|\Delta e_{i-j}|$ was a maximum. This was determined by extracting the vertical and horizontal
 703 displacement time-histories ' $u_x(t)$ & $u_y(t)$ ' from several closely spaced points around the
 704 circumference of the tunnel (supplementary material; Fig B5). Each diametrical line had a point
 705 at each end (d_{i-j}) where i was the first point and j was the corresponding second point. The
 706 resultant diametric deformation between each pair of points was calculated $|\Delta e_{i-j}(t)|$ using:

$$707 \quad |\Delta e_{i-j}(t)| = \left| \sqrt{[u_{x,i}(t) - u_{x,j}(t)]^2 + [u_{y,i}(t) - u_{y,j}(t)]^2} \right| \quad \text{Eq.2}$$

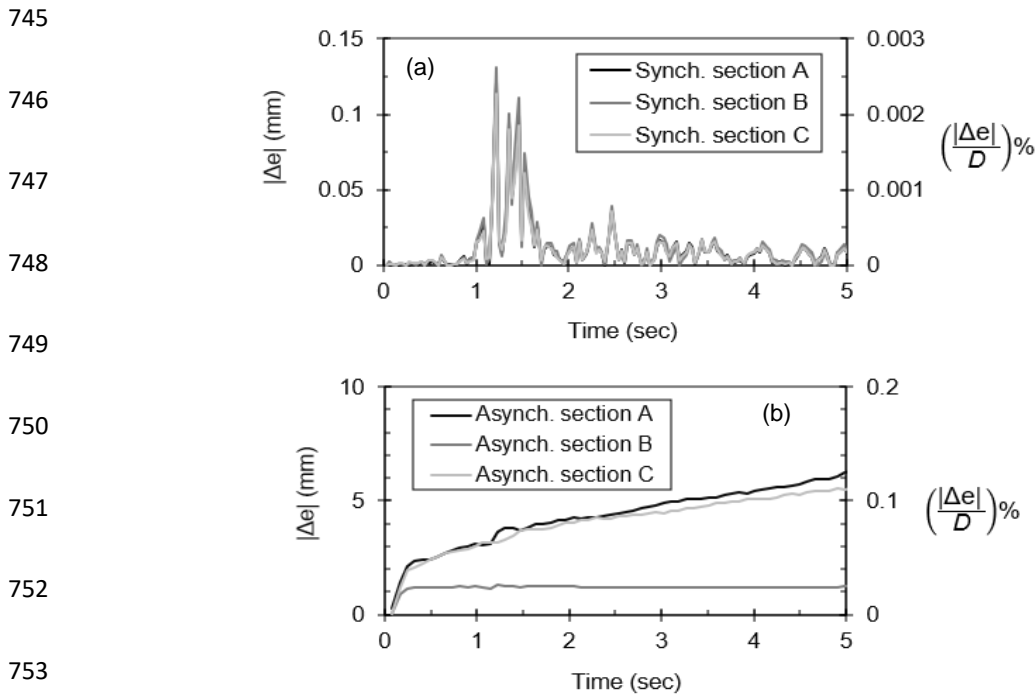
708 Fig 14 shows the maximum ovalised shape of the tunnel at sections A, B and C under
 709 synchronous and asynchronous boundary conditions. In all cases, the deformation had the shape
 710 of a semi-horizontal ellipse, where the deformation near the connection point at section-A was
 711 more pronounced compared to sections-B & C where the response was closer to the 2D plane-
 712 strain case. The same was true in the asynchronous case (Fig 14b), though the ovalisation was
 713 significantly larger in magnitude than for the synchronous case (note different scale of
 714 deformation). This further demonstrates the necessity of 3-D analysis over 2-D analysis for large
 715 tunnel alignments where asynchronicity may be pronounced.

716 Fig 15 a & b shows the time varying change in the tunnel diameter at sections A, B and C due
 717 to synchronous and asynchronous boundary conditions. For clarity, only the time-histories that
 718 correspond to the diameter with the maximum variation of Δe_{i-j} at each section are shown. In the
 719 synchronous case (Fig 15a), the tunnel returns to the original undeformed position by the end of
 720 the earthquake (elastic response). In Fig 15b, the maximum ovalisation in the asynchronous case
 721 occurs by the end of the applied motion (along diameter d_{4-10} approximately) and remains post-
 722 earthquake. In the asynchronous case, the magnitudes of the structural and ground-structure
 723 relative deformations are larger by more than one (nearly two) orders of magnitude compared to

724 the asynchronous case. This results in irreversible response within the surrounding ground which
 725 is 'locked-in' once the earthquake finishes. This information can be useful for assessing the post-
 726 earthquake serviceability of the tunnel, and cannot be captured by conventional 2D plane strain
 727 analyses of tunnel cross-sections.



744 **Fig 14** Seismic induced ovalisation of different sections along the longitudinal tunnel due to (a) synchronous and (b) asynchronous boundary conditions



754 **Fig 15** Variation of the tunnel diameters with time at different tunnel sections due to (a) synchronous and (b)
 755 asynchronous boundary conditions, where $|\Delta e|$ is the difference in tunnel diameter and D is the tunnel
 diameter ($D = 5200$ mm).

757 6. Conclusions

758 The global seismic response of the circular, deeply-embedded LHC tunnel alignment along
 759 its full 27 km length, considering 2-D and 3-D asynchronous ground motion components, was
 760 presented in this paper. The dynamic analyses were conducted using the BNWF approach where
 761 the ground-structure interaction was modelled using parallel springs and dashpots calibrated
 762 against 2-D nonlinear FE analyses, with input motions that represent the local seismicity of the
 763 Geneva area and assuming a coherent and steady wave travelling velocity through the
 764 surrounding rock. The analyses demonstrated that long tunnel alignments can be highly
 765 susceptible to strong asynchronous ground motion effects. These are manifested as global actions
 766 (axial, moment, and shear) generated along the alignment that are not captured in conventional 2-
 767 D plane-strain analyses of particular tunnel cross-sections. Such conventional local analyses

768 (ignoring these global effects) may therefore under-predict the lining forces and lead to under-
769 designed sections.

770 The global actions are induced mainly due to differential displacement arising from either (i)
771 differential ground-structure stiffnesses or (ii) local bending. The former appears primarily at the
772 tunnel-cavern connection points where the transverse stiffness of the cavern is significantly larger
773 than the transverse stiffness of the tunnel given their relative sizes. These findings would be similarly
774 applicable to other large tunnel systems, e.g. underground mass transit systems with intermediate
775 station boxes ('caverns') distributed along their length. A similar response might be anticipated for
776 a case where a uniform alignment passes through ground with highly contrasting stiffnesses. The
777 BNWF model can indicate the size of the region(s) that are most significantly affected, identifying
778 critical locations for more detailed subsequent analyses. Local bending is induced due to
779 asynchronous motion which travels wave-like through the alignment. The magnitude of the induced
780 alignment actions is affected by the level of asynchronicity, with the effect becoming larger as the
781 shear wave velocity of the surrounding ground reduces. Tunnel alignments that pass through
782 softer/shallower ground may therefore see more significant effects of asynchronicity compared
783 to those demonstrated herein for the LHC alignment.

784 These actions induced globally at tunnel alignment scale from the BNWF model were used
785 as time-varying equivalent boundary multi-axial stresses on the local section of the tunnel lining,
786 considering synchronous and asynchronous scenarios. This was demonstrated by performing a
787 local 3-D continuum dynamic FE analysis of a critical longitudinal tunnel section ($L_{crit.} = 30\text{m}$)
788 near the tunnel-cavern 'A' of the circular LHC tunnel alignment at CERN. The value of L_{crit} defining
789 the size of the 3-D model was defined from the BNWF results. This second analysis stage
790 demonstrated that:

- 791 1. Conventional 2-D plane strain dynamic FE analyses did not provide accurate representations
792 of internal lining actions due to the influence of the global tunnel alignment geometry
793 (including changes of stiffness at tunnel-cavern connections) and motion asynchronicity

794 effects at the alignment scale. Proximity to a tunnel-cavern connection and asynchronicity at
795 the alignment scale resulted in significant increases in lining actions.

796 2. Axial compression induced along the tunnel at the global scale resulted in a reduction of
797 compressive hoop stress, reducing the capacity of the reinforced concrete tunnel lining to
798 resist co-seismically induced bending moments. Despite increased actions and reduced
799 capacity, the LHC tunnel lining has sufficient capacity to sustain the applied design seismic
800 actions under synchronous and asynchronous conditions at the critical location considered.
801 However, asynchronous conditions resulted in significant residual actions at the end of the
802 event, which would reduce resilience to future earthquakes.

803 3. Conventional 2-D analyses could not capture the out-of-plane tunnel lining response which
804 appeared to exhibit higher seismic actions than the in-plane response. This demonstrates the
805 necessity for 3-D analysis at local scale to capture this effect.

806 4. Ovalisation was observed in all cases. Away from the tunnel-cavern connection, the deformed
807 shape in the 3-D case was similar to plane-strain 2-D analyses. The magnitudes of deformation
808 were generally much larger for asynchronous loading and appeared also to be permanent,
809 potentially affecting tunnel serviceability; the deformed shape was also significantly different
810 in shape and magnitude at the tunnel-cavern connection.

811 These findings highlight that the conventional approach of decoupling transverse and
812 longitudinal seismic analyses may not be conservative for long or curved underground structures,
813 as alignment-scale effects can amplify local demands in ways that are not captured by isolated
814 cross-sectional analyses.

815

816

817

818 **Credit statement**

819 **Ahmad Mubarak:** Methodology, Investigation, Numerical modelling, Visualisation, Writing –
820 original draft. **Jonathan Knappett:** Conceptualization, Methodology, Writing - review & editing,
821 Supervision, Funding acquisition. **Michael Brown:** Writing - review & editing, Supervision, Funding
822 acquisition.

823

824 **Data availability**

825 All data created during this research are openly available from the University of Dundee Institutional
826 Repository, Discovery at DOI: <https://doi.org/10.15132/10000270>

827

828 **Acknowledgements**

829 The first author is grateful for funding received from the European Organization for Nuclear
830 Research (CERN), supporting PhD study, and for their invaluable support in providing the
831 necessary drawings, ground investigation reports and monitoring data which were a key to
832 achieve this work.

833

834 **Declaration of competing interest**

835 The authors declare that they have no known competing financial interests or personal relationships
836 that could have appeared to influence the work reported in this paper.

837

838

839 **References:**

840 Abrahamson, N.A., Schneider, J.F. and Stepp, J.C., 1991. Empirical spatial coherency functions for
841 application to soil-structure interaction analyses. *Earthquake spectra*, 7(1), pp.1-27.

842 Amorosi, A. and Boldini, D., 2009. Numerical modelling of the transverse dynamic behaviour of
843 circular tunnels in clayey soils. *Soil Dynamics and Earthquake Engineering*, 29(6), pp.1059-1072.

844 Amorosi, A., Boldini, D. and Elia, G., 2010. Parametric study on seismic ground response by finite
845 element modelling. *Computers and Geotechnics*, 37(4), pp.515-528.

846 Anastasopoulos, I., Gerolymos, N., Drosos, V., Kourkoulis, R., Georgarakos, T. and Gazetas, G., 2007.
847 Nonlinear response of deep immersed tunnel to strong seismic shaking. *Journal of Geotechnical
848 and Geoenvironmental Engineering*, 133(9), pp.1067-1090.

849 Bathe, K.J., 2006. *Finite element procedures*. Klaus-Jurgen Bathe.

850 Bentz, E.C. and Collins, M.P., 2000. Response – 2000. *Software Program for reinforced concrete
851 sectional analysis using the modified compression field theory*, Toronto. [https://response-
852 2000.software.informer.com/1.0/](https://response-2000.software.informer.com/1.0/)

853 Benz, T., Vermeer, P.A. and Schwab, R., 2009. A small-strain overlay model. *International journal
854 for numerical and analytical methods in geomechanics*, 33(1), pp.25-44.

855 Bilotta, E., Maiorano, R.M.S., Viglione, A. and Aversa, S., 2015, May. Three-dimensional numerical
856 modelling of circular tunnels under seismic actions. In *COMPDYN 20155th ECCOMAS Thematic
857 Conference on Computational Methods in Structural Dynamics and Earthquake Engineering* (pp.
858 25-27). Crete Island, Greece.

859 BS 4449:2005. Steel for the reinforcement of concrete

860 Calvi, M., and Pinto, P. 1996. "Experimental and numerical investigations on the seismic response
861 of bridges and recommendations for code provisions." *Prenormative Research in Support of
862 Eurocode 8, Rep. 4*, European Consortium of Earthquake Shaking Tables.

- 863 CEN. 1998. EN 1998- 1:2004. Eurocode 8: Design of structures for earthquake resistance-part 1:
864 general rules, seismic actions and rules for buildings. *Brussels: European Committee for*
865 *Standardization.*
- 866 Chen, W. and Huang, G., 2010. Seismic wave passage effect on dynamic response of submerged
867 floating tunnels. *Procedia Engineering, 4*, pp.217-224.
- 868 Chen, Z.Y., Liang, S.B. and He, C., 2019. Influence of incoherence and wave passage effects on
869 seismic performances of long immersed tunnel. *International Journal of Computational*
870 *Methods, 16(05)*, p.1840012.
- 871 Datta, T.K. and Mashaly, E.A., 1990. Transverse response of offshore pipelines to random ground
872 motion. *Earthquake engineering & structural dynamics, 19(2)*, pp.217-228.
- 873 Fabozzi, S., Bilotta, E., Yu, H. and Yuan, Y., 2018. Effects of the asynchronism of ground motion on
874 the longitudinal behaviour of a circular tunnel. *Tunnelling and Underground Space*
875 *Technology, 82*, pp.529-541.
- 876 Fern, E.J., Di Murro, V., Soga, K., Li, Z., Scibile, L. and Osborne, J.A., 2018. Geotechnical
877 characterisation of a weak sedimentary rock mass at CERN, Geneva. *Tunnelling and Underground*
878 *Space Technology, 77*, pp.249-260.
- 879 GADZ, 1996a. Reconnaissances Géologiques et Géotechniques, GADZ, 28th March 1996, doc.
880 Ref.3545/82.
- 881 GADZ, 1996b, Geological and Geotechnical Interpretive Review, LHC Civil Engineering
882 Consultancy Services, Package 02, Technical report, ref. S067-ST, Geneva.
- 883 GADZ, 1998. *Additional Laboratory tests, LHC Civil Engineering Consultancy Services, Package 02.*
884 Technical report, ref. 11/rev. 3, Geneva.
- 885 Harichandran, R.S., Hawwari, A. and Sweidan, B.N., 1996. Response of long-span bridges to
886 spatially varying ground motion. *Journal of Structural Engineering, 122(5)*, pp.476-484.

- 887 Haroun, M.A. and Abdel-Hafiz, E.A., 1987. Seismic response analysis of earth dams under
888 differential ground motion. *Bulletin of the seismological society of America*, 77(5), pp.1514-1529.
- 889 Hashash, Y.M., Hook, J.J., Schmidt, B., John, I. and Yao, C., 2001. Seismic design and analysis of
890 underground structures. *Tunnelling and underground space technology*, 16(4), pp.247-293.
- 891 Hashash, Y.M., Tseng, W.S. and Krimotat, A., 1998. Seismic soil-structure interaction analysis for
892 immersed tube tunnels retrofit. *Geotechnical Special Publication*, (75 II), pp.1380-1391.
- 893 Hatzigeorgiou, G.D. and Beskos, D.E., 2010. Soil-structure interaction effects on seismic inelastic
894 analysis of 3-D tunnels. *Soil Dynamics and Earthquake Engineering*, 30(9), pp.851-861.
- 895 Hindy, A. and Novak, M., 1980. Pipeline response to random ground motion. *Journal of the*
896 *Engineering Mechanics Division*, 106(2), pp.339-360.
- 897 Hwang, R.N. and Lysmer, J., 1981. Response of buried structures to traveling waves. *Journal of the*
898 *Geotechnical Engineering Division*, 107(2), pp.183-200.
- 899 Kampas, G., Knappett, J.A., Brown, M.J., Anastasopoulos, I., Nikitas, N. and Fuentes, R., 2020.
900 Implications of volume loss on the seismic response of tunnels in coarse-grained soils. *Tunnelling*
901 *and Underground Space Technology*, 95, p.103127.
- 902 Kampas, G., Knappett, J.A., Brown, M.J., Anastasopoulos, I., Nikitas, N. and Fuentes, R., 2019. The
903 effect of tunnel lining modelling approaches on the seismic response of sprayed concrete tunnels
904 in coarse-grained soils. *Soil Dynamics and Earthquake Engineering*, 117, pp.122-137.
- 905 Katona, M.C. and Zienkiewicz, O.C., 1985. A unified set of single step algorithms part 3: The beta-
906 m method, a generalization of the Newmark scheme. *International Journal for Numerical Methods*
907 *in Engineering*, 21(7), pp.1345-1359.
- 908 Kiureghian, A.D., 1996. A coherency model for spatially varying ground motions. *Earthquake*
909 *engineering & structural dynamics*, 25(1), pp.99-111.

- 910 Kontoe, S., Zdravkovic, L. and Potts, D.M., 2008. An assessment of time integration schemes for
911 dynamic geotechnical problems. *Computers and geotechnics*, 35(2), pp.253-264.
- 912 Kontoe, S., Zdravkovic, L., Potts, D.M. and Menkiti, C.O., 2011. On the relative merits of simple and
913 advanced constitutive models in dynamic analysis of tunnels. *Géotechnique*, 61(10), pp.815-829.
- 914 Kramer, S.L., 1996. *Geotechnical Earthquake Engineering*. Prentice-Hall, New Jersey, pp.100-102.
- 915 Kwok, A.O., Stewart, J.P., Hashash, Y., Matasovic, N., Pyke, R., Wang, Z. and Yang, Z., 2007. Use of
916 exact solutions of wave propagation problems to guide implementation of nonlinear seismic
917 ground response analysis procedures. *J. Geotech. & Geoenv. Engrg.*, 133(11), pp.1385-1398.
- 918 Laughton, C., 1989. Construction Techniques used at Cern for the Lep Project. In *Supercollider*
919 *1* (pp. 111-124). Springer, Boston, MA.
- 920 Li, P. and Song, E.X., 2015. Three-dimensional numerical analysis for the longitudinal seismic
921 response of tunnels under an asynchronous wave input. *Computers and Geotechnics*, 63, pp.229-
922 243.
- 923 Loh, C.H. and Lee, S.Z., 1990. Aseismic displacement analysis of multi-supported bridge to
924 multiple excitations. *Soil Dynamics and Earthquake Engineering*, 9(1), pp.25-33.
- 925 Luzi L, Puglia R, Russo E & ORFEUS WG5 (2016). Engineering Strong Motion Database. Istituto
926 Nazionale di Geofisica e Vulcanologia, Observatories & Research Facilities for European
927 Seismology. doi: 10.13127/ESM. See <https://esm.mi.ingv.it/>
- 928 Madinier, B., Canzoneri, A. and Amiot, J.B., 2017. *K3100 / Underground structures: Geotechnical*
929 *Assumptions for Phase 2*. Technical Report, Geneva, Switzerland: Origin, CERN.
- 930 Mubarak, A., 2021. Python Scripts for BNWF models in ABAQUS_REV00 (DOI:
931 [10.20933/100001310](https://doi.org/10.20933/100001310))

- 932 Mubarak, A., 2023. Numerical simulation of large tunnel systems under seismic loading
933 conditions: CERN infrastructure as a case study, *Doctoral dissertation*, University of Dundee
934 (UoD), UK.
- 935 Mubarak, A., Knappett, J. and Brown, M., 2023, June. Evaluation of continuum modelling
936 approaches for reinforced concrete in geotechnical applications. In *10th European Conference on*
937 *Numerical Methods in Geotechnical Engineering* (p. 216). International Society for Soil Mechanics
938 and Geotechnical Engineering.
- 939 Mubarak, A.G., Knappett, J.A. and Brown, M.J., 2024. Influence of modelling approach for
940 reinforced concrete underground structures, with application to the CMS cavern at CERN. *Soil*
941 *Dynamics and Earthquake Engineering*, 182, p.108725.
- 942 Mubarak, A.G., Knappett, J.A. and Brown, M.J., 2025. Numerical simulation of large tunnel
943 alignments under seismic loading: The Large Hadron Collider as a case study. *Tunnelling and*
944 *Underground Space Technology*, 157, p.106315.
- 945 Mwafy, A.M., Kwon, O.S., Elnashai, A. and Hashash, Y.M., 2011. Wave passage and ground motion
946 incoherency effects on seismic response of an extended bridge. *Journal of Bridge*
947 *Engineering*, 16(3), pp.364-374.
- 948 Novak, M. and Suen, E., 1987. Dam-foundation interaction under spatially correlated random
949 ground motion. In *3rd Int. Conf. on Soil Dynamics and Earthquake Engineering*, Elsevier, Oxford (pp.
950 25-39).
- 951 Owen, G.N., Scholl, R.E., 1981. Earthquake engineering of large underground structures. Report
952 No. FHWA/RD-80/195, Federal Highway Administration and National Science Foundation, p.279
- 953 Park, D., Sagong, M., Kwak, D.Y. and Jeong, C.G., 2009. Simulation of tunnel response under
954 spatially varying ground motion. *Soil Dynamics and Earthquake Engineering*, 29(11-12), pp.1417-
955 1424.

- 956 Park, D.H., Shin, J.H. and Yun, S.U., 2010. Seismic analysis of tunnel in transverse direction part II:
957 Evaluation of seismic tunnel response via dynamic analysis. *Journal of the Korean Geotechnical*
958 *Society*, 26(6), pp.71-85.
- 959 Pitilakis, K. and Tsinidis, G., 2014. Performance and seismic design of underground structures.
960 In *Earthquake geotechnical engineering design* (pp. 279-340). Cham: Springer International
961 Publishing.
- 962 PLAXIS 3D, (2021) Plaxis 3D, Reference Manual, pp 1–611.
963 [https://communities.bentley.com/products/geotech-analysis/w/plaxissoilvision-](https://communities.bentley.com/products/geotech-analysis/w/plaxissoilvision-wiki/46137/manuals---plaxis)
964 [wiki/46137/manuals---plaxis](https://communities.bentley.com/products/geotech-analysis/w/plaxissoilvision-wiki/46137/manuals---plaxis)
- 965 Power, M. S., Rosidi, D., and Kaneshiro, J. 1996. "Vol. III: Screening, evaluation, and retrofit design
966 of tunnels." *Research Rep.*, National Center for Earthquake Engineering Research, State Univ. of
967 New York, Buffalo.
- 968 Roy, N. and Sarkar, R., 2017. A review of seismic damage of mountain tunnels and probable failure
969 mechanisms. *Geotechnical and Geological Engineering*, 35(1), pp.1-28.
- 970 Schweiger, H. F., Marcher, T., & Schädlich, B. (2014). Application of a novel constitutive shotcrete
971 model to tunneling. In *Rock Engineering and Rock Mechanics: Structures in and on Rock Masses:*
972 *EUROCK 2014*; CRC Press Taylor & Francis Group: Leiden, The Netherlands; pp. 799–804.
- 973 Sextos, A., Kappos, A., and Pitilakis, K. 2003a. "Inelastic dynamic analysis of RC bridges accounting
974 for spatial variability of ground motion, site effects, and soil-structure interaction phenomena.
975 Part 2: Parametric study." *Earthquake Eng. Struct. Dyn.*, 32, 629–652.
- 976 Sextos, A., Pitilakis, K., and Kappos, A. 2003b. "Inelastic dynamic analysis of RC bridges accounting
977 for spatial variability of ground motion, site effects, and soil-structure interaction phenomena.
978 Part 1: Methodology and analytical tools." *Earthquake Eng. Struct. Dyn.*, 32, 607–627
- 979 Vanmarcke, E.H., Heredia-Zavoni, E. and Fenton, G.A., 1993. Conditional simulation of spatially
980 correlated earthquake ground motion. *Journal of Engineering Mechanics*, 119(11), pp.2333-2352.

- 981 Wilson, J.C. and Jennings, P.C., 1985. Spatial variation of ground motion determined from
982 accelerograms recorded on a highway bridge. *Bulletin of the Seismological Society of*
983 *America*, 75(6), pp.1515-1533.
- 984 Yan, X., Yuan, J., Yu, H., Bobet, A. and Yuan, Y., 2016. Multi-point shaking table test design for long
985 tunnels under non-uniform seismic loading. *Tunnelling and Underground Space Technology*, 59,
986 pp.114-126.
- 987 Yang, Y., Wang, X., Zhou, Z., Zhang, X. and Li, Z. 2023. Seismic analysis of underground tunnels
988 subjected to 3D oblique incident P and SV waves by 2.5D approach. *Underground Space*, 12,
989 pp.271-286.
- 990 Yashiro, K., Kojima, Y. and Shimizu, M., 2007. Historical earthquake damage to tunnels in Japan
991 and case studies of railway tunnels in the 2004 Niigataken-Chuetsu earthquake. *Quarterly Report*
992 *of RTRI*, 48(3), pp.136-141.
- 993 Yu, H., Yang, Y. and Yuan, Y., 2018a. Analytical solution for a finite Euler–Bernoulli beam with
994 single discontinuity in section under arbitrary dynamic loads. *Applied Mathematical Modelling*,
995 60, pp.571-580.
- 996 Yu, H., Yuan, Y., Qiao, Z., Gu, Y., Yang, Z. and Li, X., 2013. Seismic analysis of a long tunnel based on
997 multi-scale method. *Engineering structures*, 49, pp. 572-587.
- 998 Yu, H., Yuan, Y., Xu, G., Su, Q., Yan, X. and Li, C., 2018b. Multi-point shaking table test for long
999 tunnels subjected to non-uniform seismic loadings-part II: Application to the HZM immersed
1000 tunnel. *Soil Dynamics and Earthquake Engineering*, 108, pp.187-195.
- 1001 Yuan, Y., Yu, H., Li, C., Yan, X. and Yuan, J., 2018. Multi-point shaking table test for long tunnels
1002 subjected to non-uniform seismic loadings–Part I: Theory and validation. *Soil Dynamics and*
1003 *Earthquake Engineering*, 108, pp.177-186.
- 1004 Zerva, A., 1990. Response of multi-span beams to spatially incoherent seismic ground
1005 motions. *Earthquake Engineering & Structural Dynamics*, 19(6), pp.819-832.

- 1006 Zhang, L. and Chopra, A.K., 1991. *Computation of spatially varying ground motion and foundation-*
1007 *rock impedance matrices for seismic analysis of arch dams* (Vol. 91, No. 6). Earthquake Engineering
1008 Research Center, University of California.
- 1009 Zhang, S., Yuan, Y., Li, C., Chen, H. and Chen, Z., 2021. Seismic responses of long segmental
1010 immersed tunnel under unfavorable loads combination. *Transportation Geotechnics*, 30,
1011 p.100621.
- 1012 Zienkiewicz, O.C., Bicanic, N. and Shen, F.Q., 1989. Earthquake input definition and the
1013 transmitting boundary conditions. In *Advances in computational nonlinear mechanics* (pp. 109-
1014 138). Springer, Vienna.
- 1015

1016 **Figure captions:**

1017 **Figure 1:** (a) Overview of the existing LHC underground complex © CERN, and (b) simplified
1018 plane-view of the circular LHC tunnel alignment adopted for the ground-structure interaction
1019 model.

1020 **Figure 2:** (a) Simplified sketch for the BNWF model of the circular LHC tunnel alignment and (b)
1021 vertical shafts; $H_R(t)$: are the resultant dynamic displacement component in the radial and
1022 circumferential directions.

1023 **Figure 3:** Assignment of the asynchronous amplitude vectors to the spring's boundaries
1024 assuming Eastwards seismic wave propagation

1025 **Figure 4:** (a) 3D FE model of the longitudinal section at the critical region near the tunnel-cavern-
1026 A connection, and (b) FE model of the modelled 3D longitudinal tunnel section showing the
1027 location of key tunnel cross sections for result extraction.

1028 **Figure 5:** (a) Normalised Axial-Normalised Moment ($N-M$) interaction diagram, and (b)
1029 Normalised Moment-Curvature ($M-\kappa$) of the LHC tunnel section

1030 **Figure 6:** (a) Schematic view of the location of the modelled longitudinal tunnel segment and (b)
1031 the different action components in the 'in-plane' and 'out-of-plane' directions that were obtained
1032 from the BNWF model of the circular LHC tunnel at the critical region near Cavern-A.

1033 **Figure 7:** Peak seismic force envelopes due to 3-D Synchronous and Asynchronous Eastwards
1034 wave propagation, where (a), (d) & (g) are forces distribution along the circular alignment; (b),
1035 (e) & (h) show forces at the tunnel-cavern-A connection; (c), (f) & (i) are time histories obtained
1036 at the connections to caverns 'A' & 'B' respectively.

1037 **Figure 8:** Directionality effect of propagated seismic wave on the peak seismic force envelopes
1038 along the circular alignment, where (a), (b) & (c) are forces distribution due to North-eastwards

1039 propagation; (d), (e) & (f) are forces distribution due to Northwards propagation, both compared
1040 with the Eastwards propagation.

1041 **Figure 9:** Fourier amplitude spectrum for dominant component of the local Swiss motion ($a_{H1}(t)$
1042 with PGA = 0.15g)

1043 **Figure 10:** Effect of shear wave velocity (or wave travel time) on the tunnel alignment forces
1044 considering 2D and 3D wave combinations.

1045 **Figure 11:** Sign convention for the obtained lining forces in the transverse (x-axis) and the
1046 longitudinal/axial (y-axis) directions. Note that (-ve) is compression.

1047 **Figure 12:** Peak seismic forces of the tunnel lining due to synchronous and asynchronous motion
1048 obtained at different cross-sections along the longitudinal section, where (a, b & c) are the in-
1049 plane hoop forces, and (d, e & f) are the out-of-plane forces. Note that (-ve) indicates compression.

1050 **Figure 13:** Axial-Moment ($N-M$) interaction diagrams to check the capacity of the tunnel lining at
1051 (a) section A, (b) section B and (c) section C.

1052 **Figure 14:** Seismic induced ovalisation of different sections along the longitudinal tunnel due to
1053 (a) synchronous and (b) asynchronous boundary conditions

1054 **Figure 15** Variation of the tunnel diameters with time at different tunnel sections due to (a)
1055 synchronous and (b) asynchronous boundary conditions, where " $|\Delta e|$ " is the difference in tunnel
1056 diameter and D is the tunnel diameter ($D = 5200$ mm)

1057

1058

1059

1060

1061

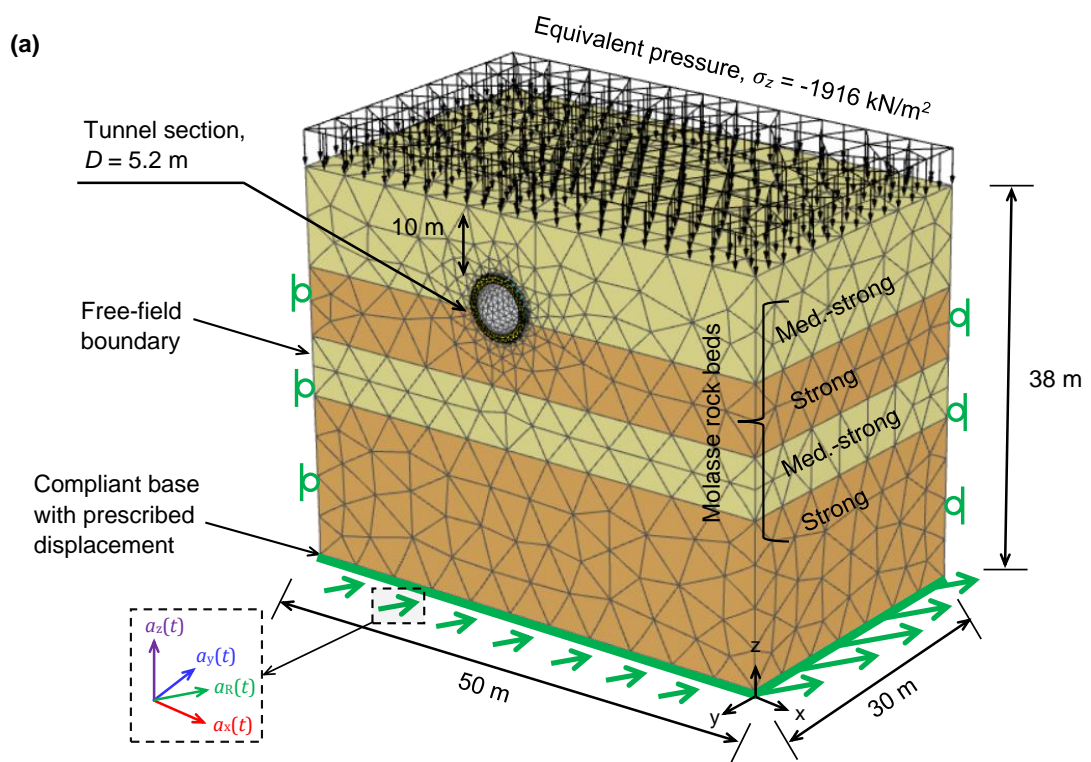
1062 Notations list

Symbol	Unit	Description
LHC		Large Hadron Collider
CMS		Compact Muon Solenoid
ATLAS		A Toroidal LHC Apparatus
BNWF		Beam-on-Nonlinear-Winkler Foundation
FEA		Finite Element Analysis
RC		Reinforced Concrete
ESM		Engineering Strong Motion
BGL	[m]	Below Ground Level
PGA	[g or m/s ²]	Peak ground acceleration, where g = 9.81 m/s ²
P	[GN]	Load
δ	[mm]	Displacement
G_0	[MPa]	Initial shear stiffness at small strains
$\gamma_{0.7}$	[-]	Shear strain when the secant shear stiffness G degrades to 70% of the initial shear stiffness, G_0
$D\%$	[-]	Damping ratio`
p^{ref}	[kPa]	Reference atmospheric pressure = 100 kPa
γ_{sat}	[kN/m ³]	Saturated soil/rock unit weight
V_a	[m/s]	Apparent shear wave velocity
V_s	[m/s]	Shear wave velocity
X_i	[m]	Wave travel distance
θ	[°]	In-plane angle between the tunnel alignment and the direction of the travelling wave
$L_{crit.}$	[m]	Critical tunnel length
l_s	[m]	Spacing between Winkler springs
l_e	-	Mesh element characteristic length
c'	[MPa]	Cohesive strength
φ'	[°]	Friction angle
ψ	[°]	Dilatancy angle
ϕ_{max}	[°]	Maximum friction angle
E_{28}	[MPa]	28 days Young's modulus
E_{ur}	[MPa]	Unloading-reloading stiffness
$E_{oed.}$	[MPa]	Oedometer 'tangent' stiffness
E_{50}	[MPa]	Secant stiffness 'drained triaxial'
E_s	[MPa]	Modulus of elasticity of steel
m	[-]	Power for stress-level dependency of stiffness
ν	[-]	Poisson's ratio
$f_{c,28}$	[MPa]	Uniaxial compressive strength
$f_{t,28}$	[MPa]	Uniaxial tensile strength
$f_{c0,n}$	[-]	Normalised initially mobilised strength
$f_{cf,n}$	[-]	Normalised failure strength
$f_{cu,n}$	[-]	Normalised residual strength

ε_{cp}^p	[-]	Uniaxial plastic failure strain
$G_{c,28}$	[kN/m]	Compressive fracture energy
$G_{t,28}$	[kN/m]	Tensile fracture energy
$f_{tu,n}$	[-]	Ratio of residual vs. peak tensile strength
f_y	[MPa]	Tensile yield strength of steel
EI	[GN.m ²]	Flexural stiffness
EA	[GN/m]	Axial stiffness
N_p	[kN/m]	Tensile yield strength
r	[m]	Tunnel radius
D	[m]	Tunnel diameter
z	[m]	Tunnel running depth
κ	[rad/km]	Curvature
c	[GN.s/m]	Dashpot coefficient
t_0	[seconds]	Wave arrival time
$t\text{-lag}$	[seconds]	Total wave lag time
$u_x(t)$ and $u_y(t)$	[m]	Horizontal and vertical tunnel displacement vector, respectively
a_g	[m/s ²]	Ground acceleration
M_w	-	Earthquake Moment Magnitude
$a_{H1}(t)$	[m/s ²]	Dominant (in-plane) horizontal acceleration component
$a_{H2}(t)$	[m/s ²]	Secondary (in-plane) horizontal acceleration component
$a_v(t)$	[m/s ²]	Vertical (out-of-plane) acceleration component
$H_1(t)$	[m]	Dominant displacement amplitude vector
$H_2(t)$	[m]	Secondary displacement amplitude vector
$H_R(t)$	[m]	Resultant displacement amplitude vector
λ	[m]	Seismic wave length
f	[Hz]	Seismic wave frequency
f_m and f_n	[Hz]	Target frequency(ies)
D^*	%	Target damping
C_1 and C_2	-	Normal and tangential relaxation coefficients, respectively.
α_N and β_N	-	Time integration parameters
M_z	[MN.m]	In-plane bending in the tunnel alignment
V_x	[MN]	In-plane shear in the tunnel alignment
N_y	[MN]	In-plane axial force in the tunnel alignment
A_{hoop}	[m ²]	Tunnel hoop area
A_s	[mm ²]	Area of steel
N_1	[MN]	In-plane hoop axial force
Q_{13}	[MN]	In-plane hoop shear force
M_{11}	[MN.m]	In-plane hoop moment force
N_2	[MN]	Out-of-plane hoop axial force
Q_{23}	[MN]	Out-of-plane hoop shear force
M_{22}	[MN.m]	Out-of-plane hoop moment force
T	[MN.m]	Torque
$ \Delta e_{i-j}(t) $	[m]	Resultant time-varying change in tunnel diameter
σ_n	[kN/m ²]	Axial stress

σ_n	[kN/m ²]	Shear stress
σ'_{ci}	[MPa]	Unconfined compressive strength of intact rock
σ_z	[MPa]	Vertical total stress

1063



1

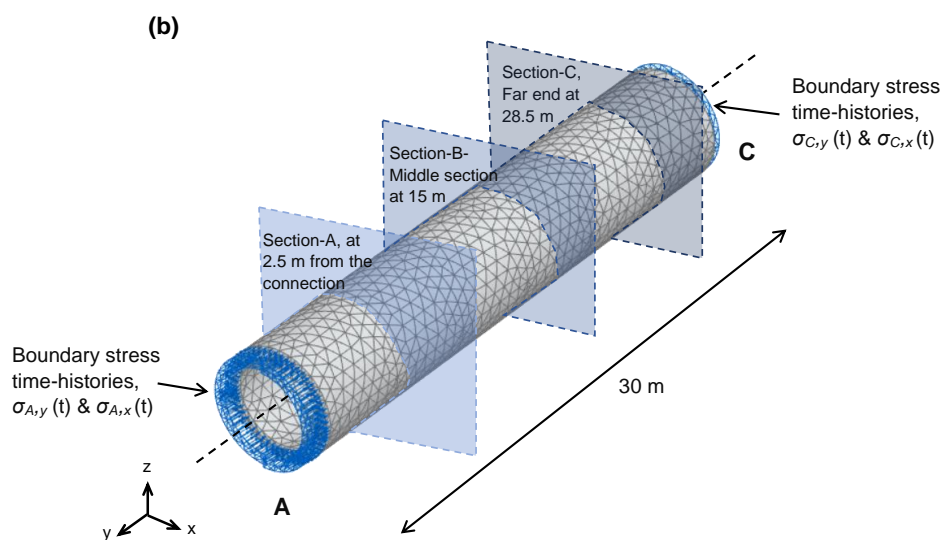


Fig 4 (a) 3D FE model domain of the longitudinal section at the critical region near the tunnel-cavern-A connection, and (b) FE model of the modelled 3D longitudinal tunnel lining only, showing the location of key tunnel cross sections for result extraction.

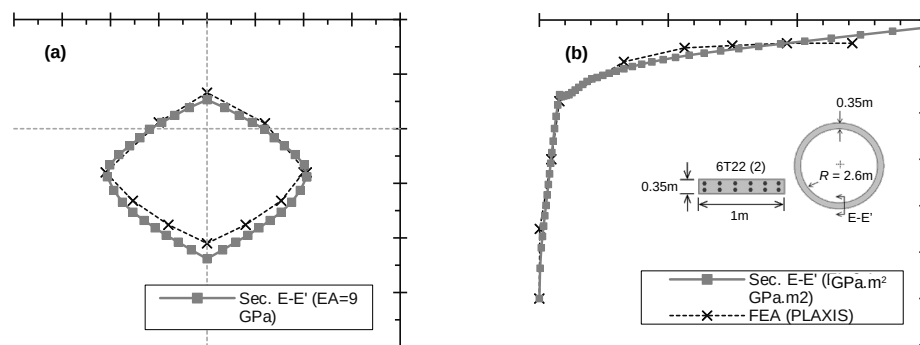
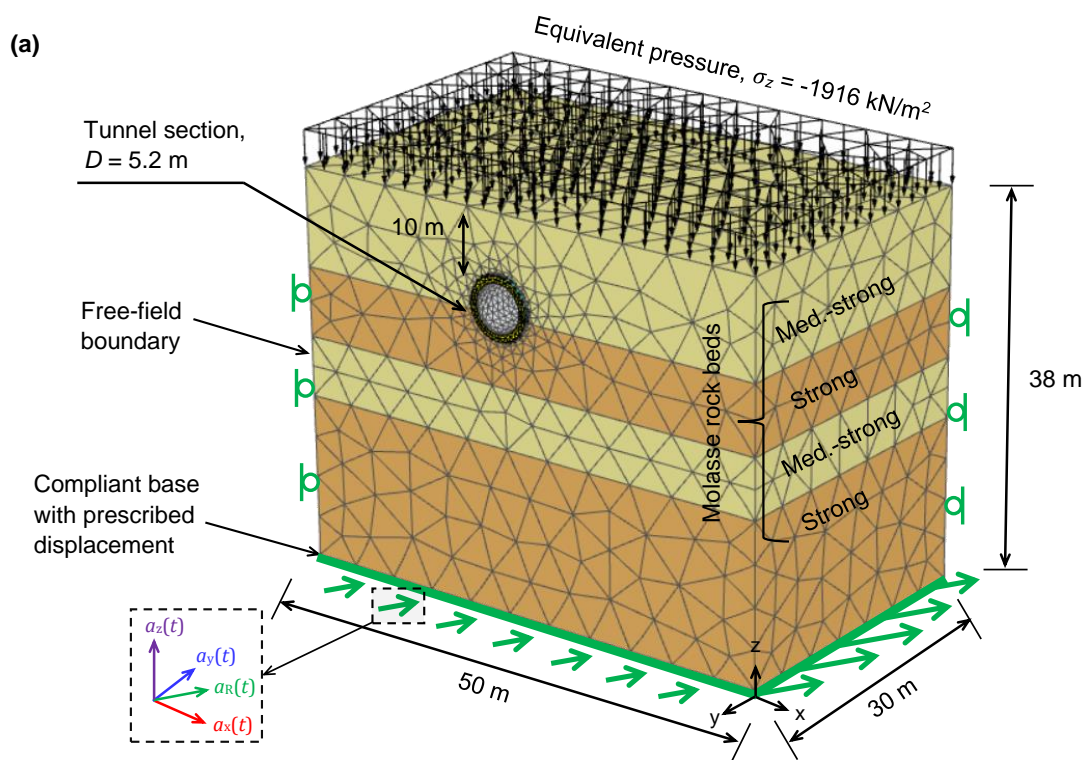


Fig 5 (a) Normalised Axial-Normalised Moment ($N-M$) interaction diagram, and (b) Normalised Moment-Curvature ($M-\kappa$) of the LHC tunnel section

σ_n	[kN/m ²]	Shear stress
σ'_{ci}	[MPa]	Unconfined compressive strength of intact rock
σ_z	[MPa]	Vertical total stress

1063



1

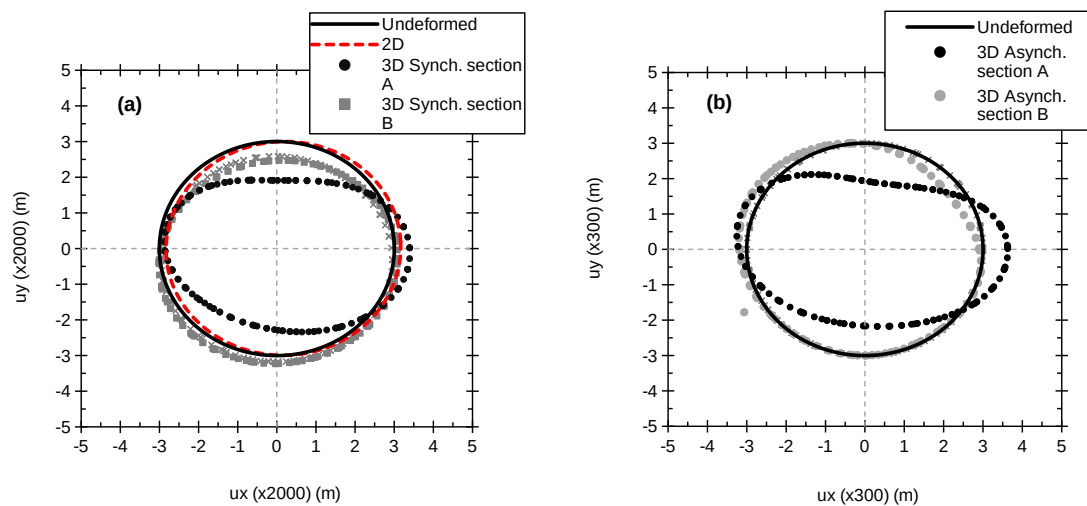
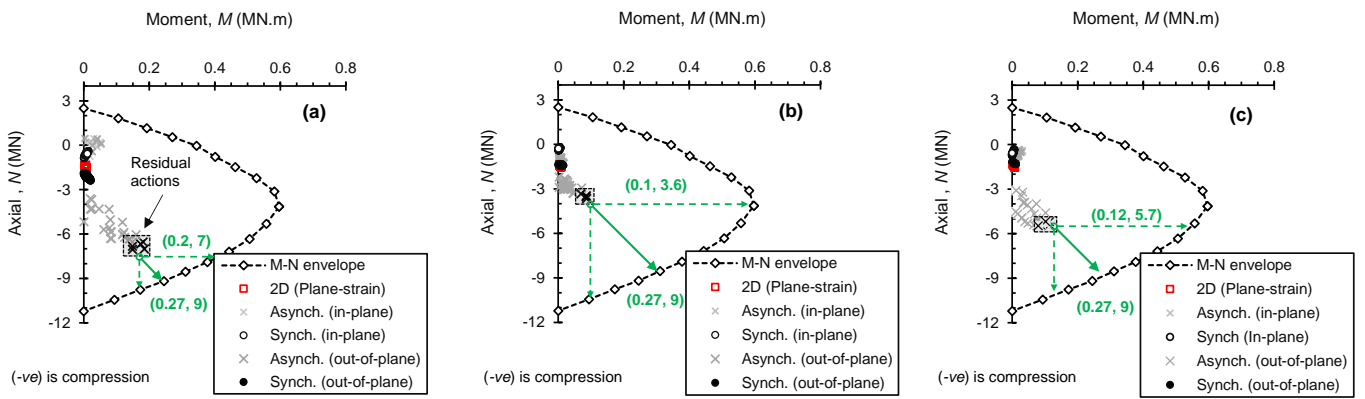
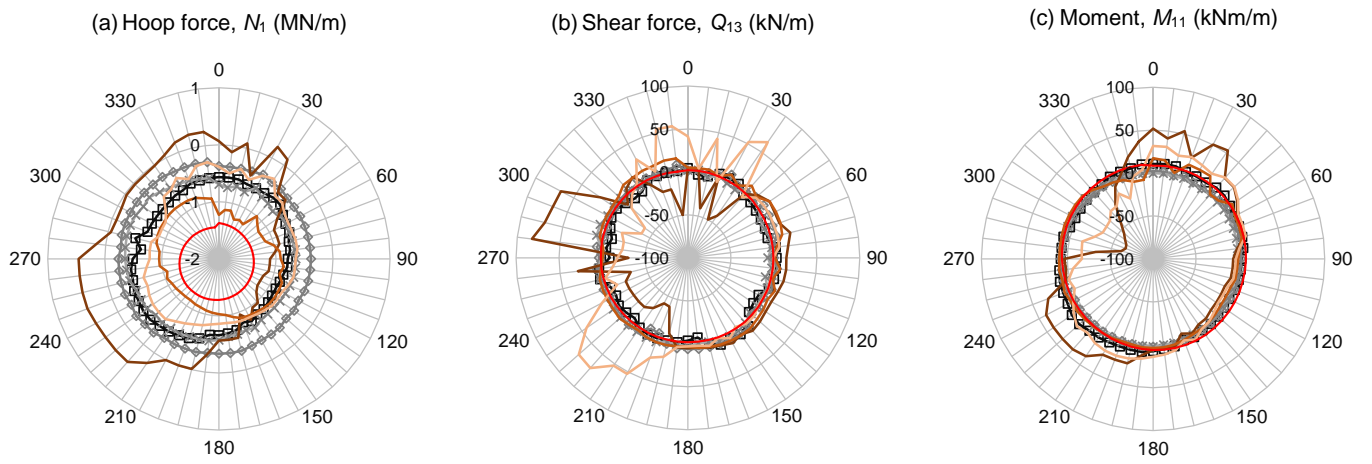
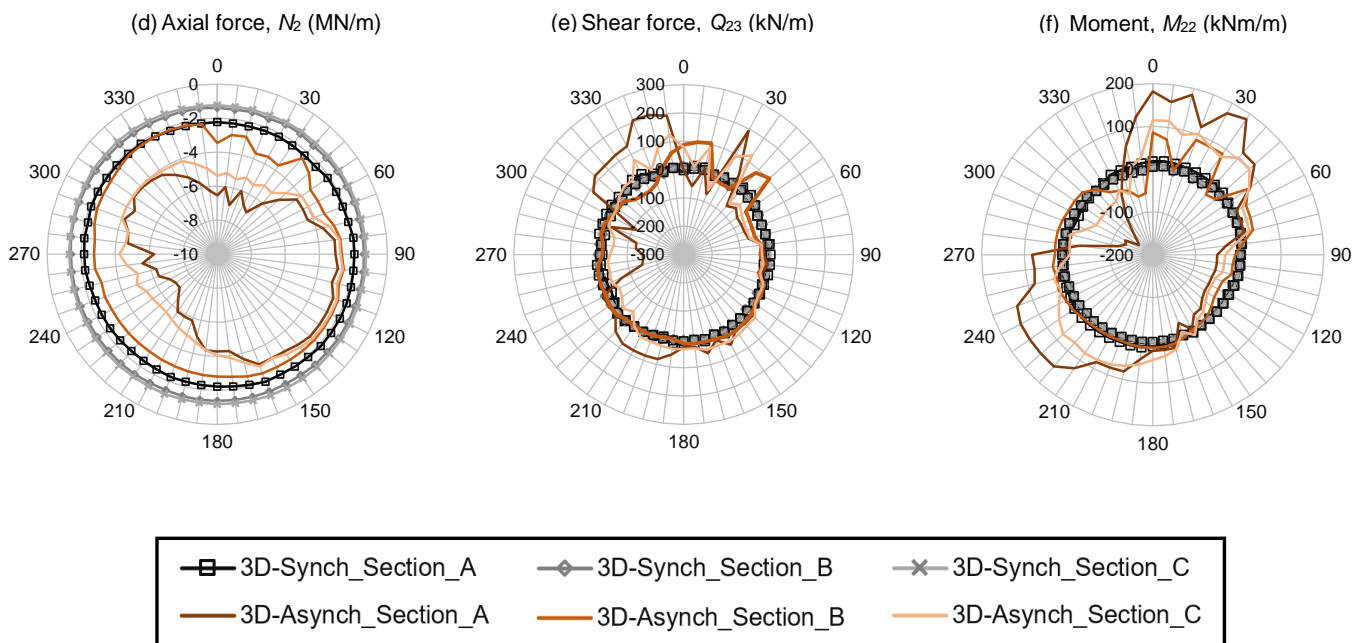
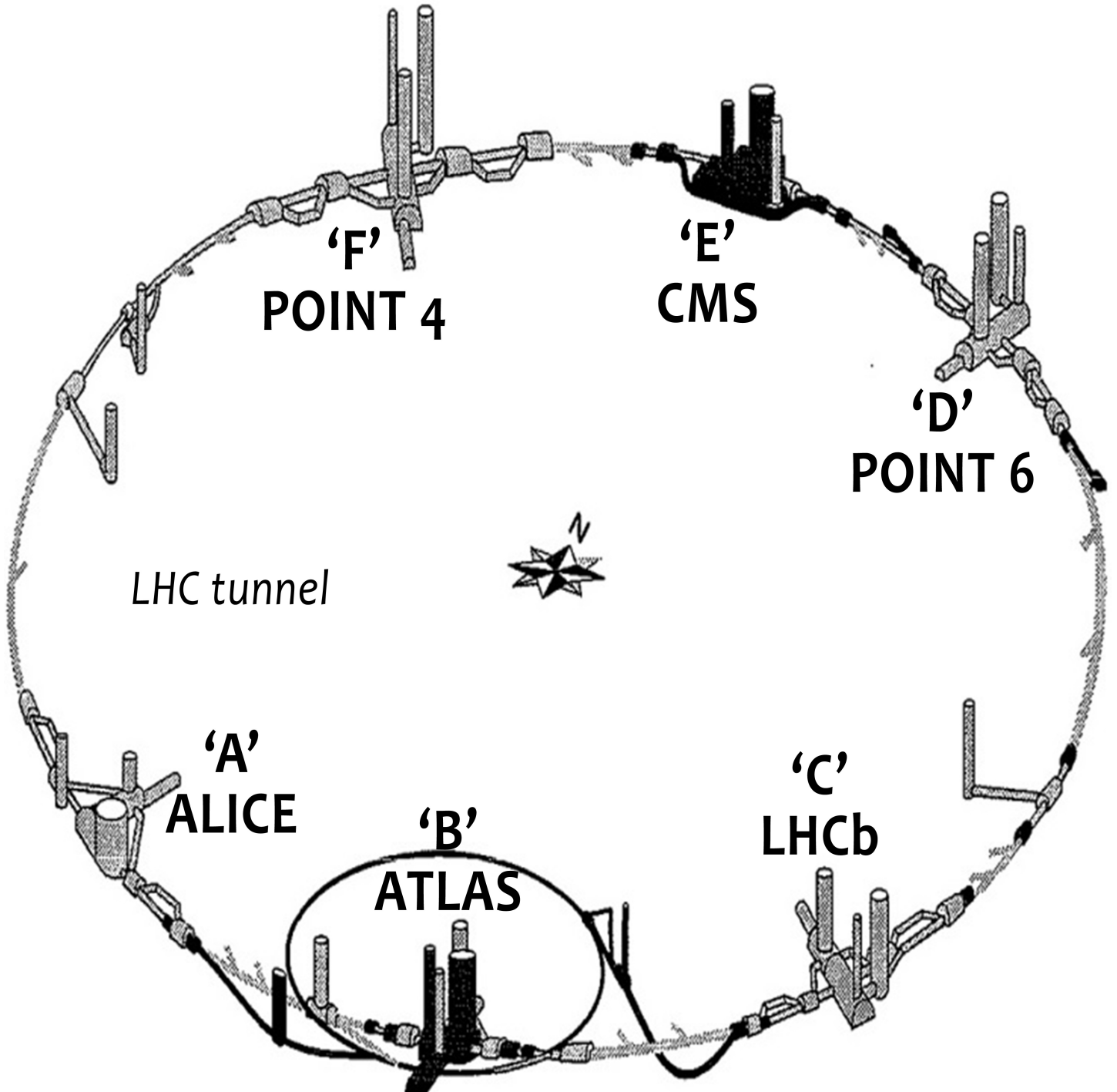


Fig 14 Seismic induced ovalisation of different sections along the longitudinal tunnel due to (a) synchronous and (b) asynchronous boundary conditions









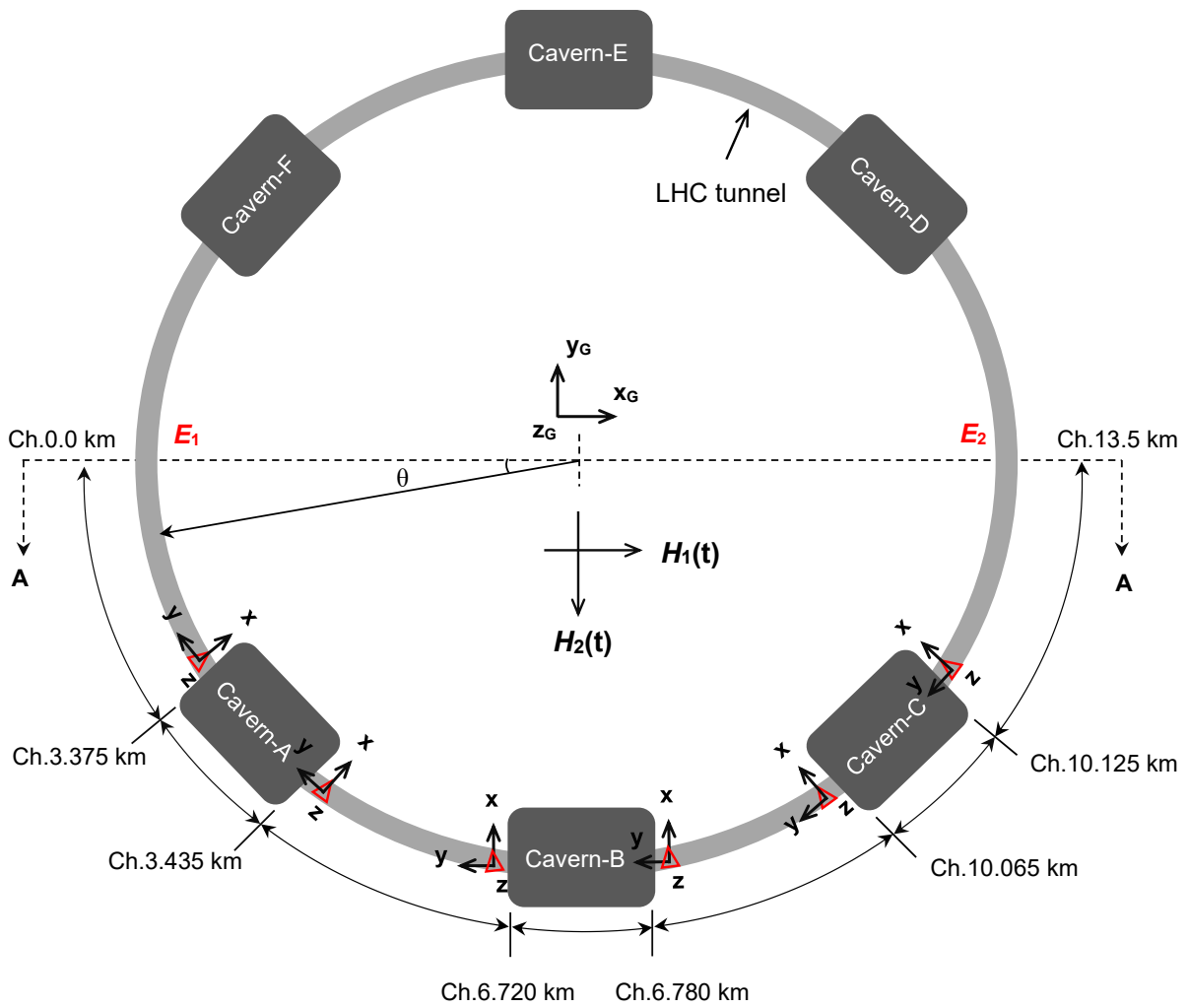
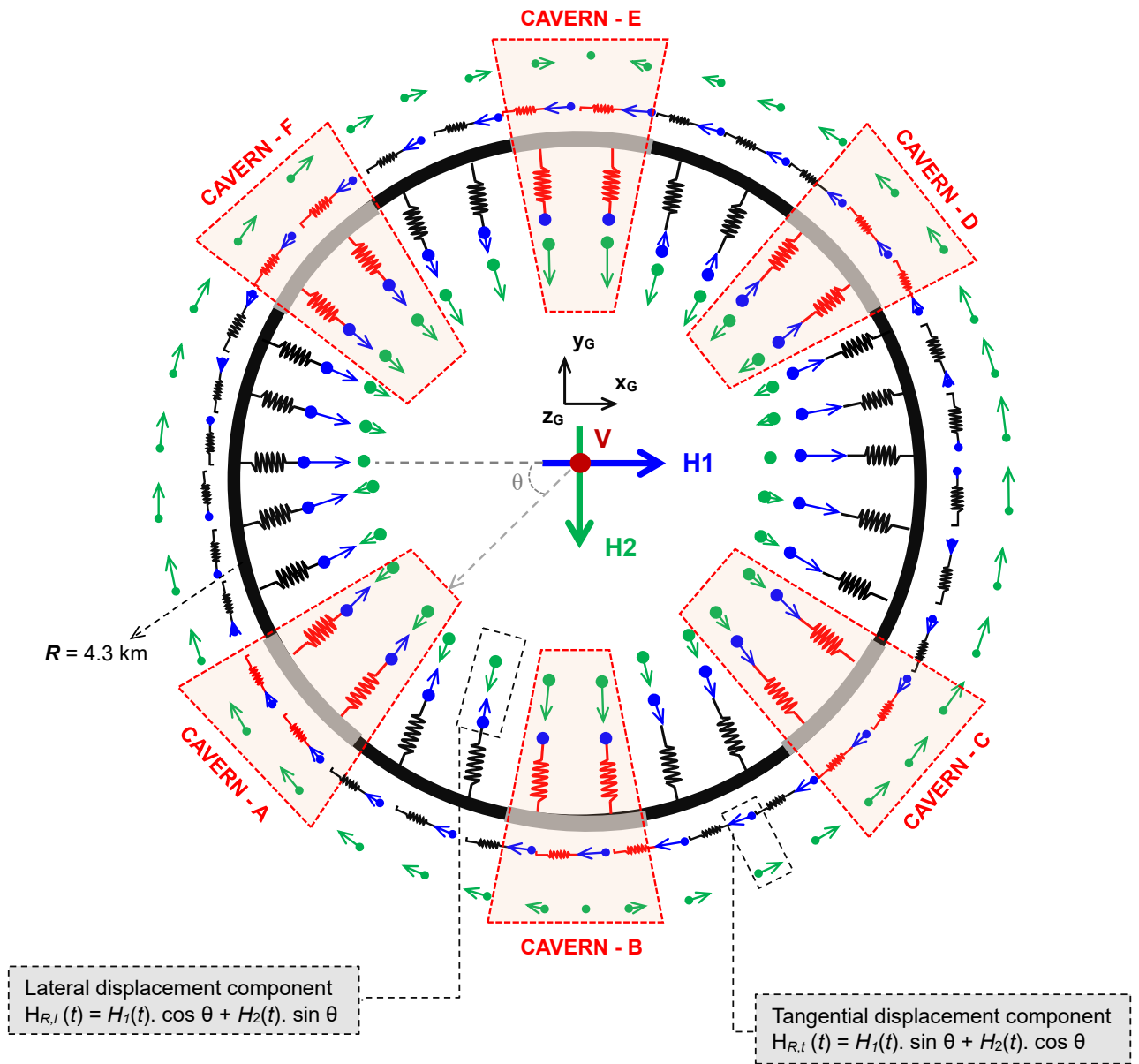


Figure 1: (b) simplified plane-view of the circular LHC tunnel alignment adopted for the ground-structure interaction model.

(a)



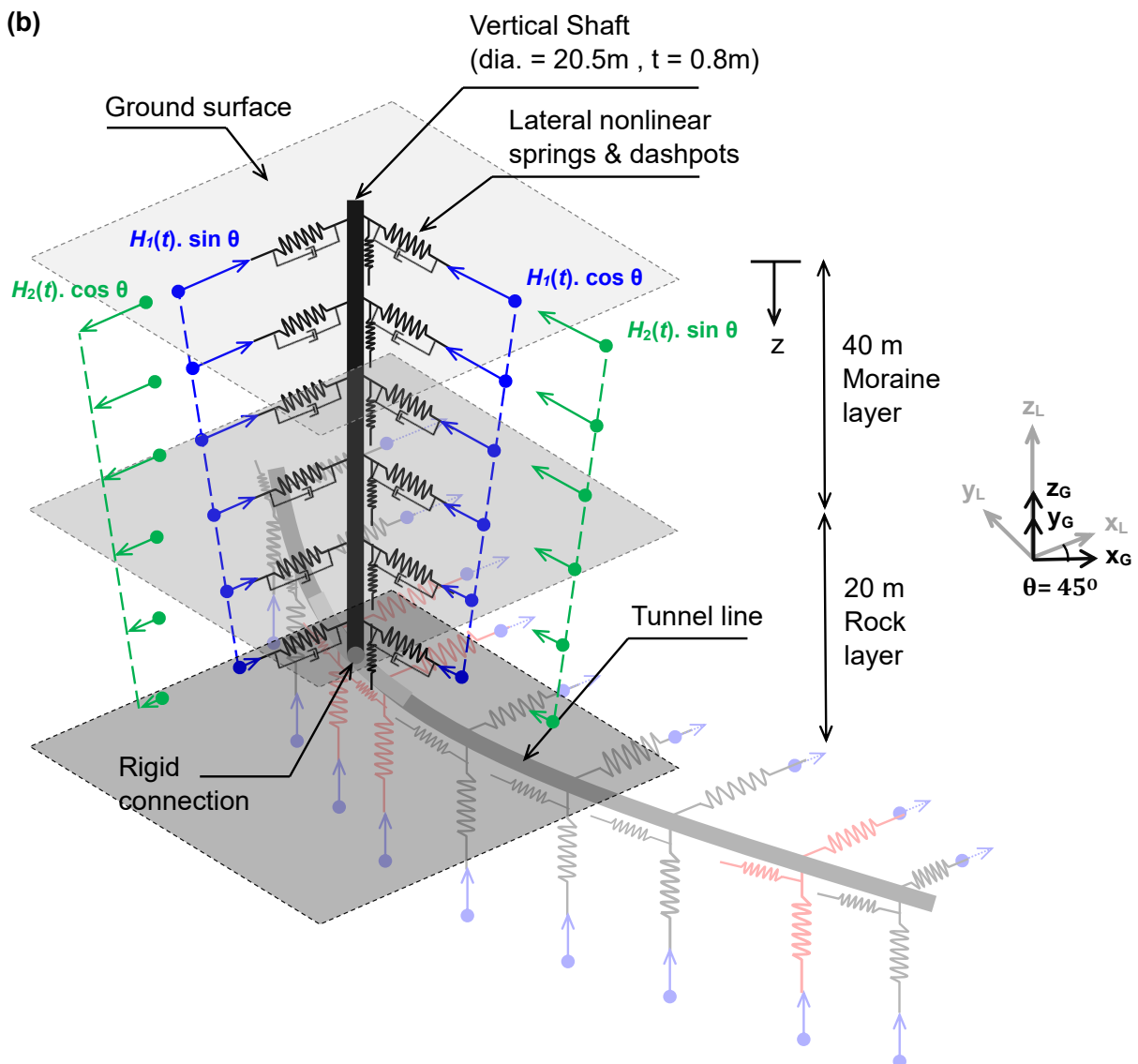


Figure 2 (a) Simplified sketch for the BNWF model of the circular LHC tunnel alignment and (b) vertical shafts; $H_R(t)$: are the resultant dynamic displacement component in the lateral and tangential directions

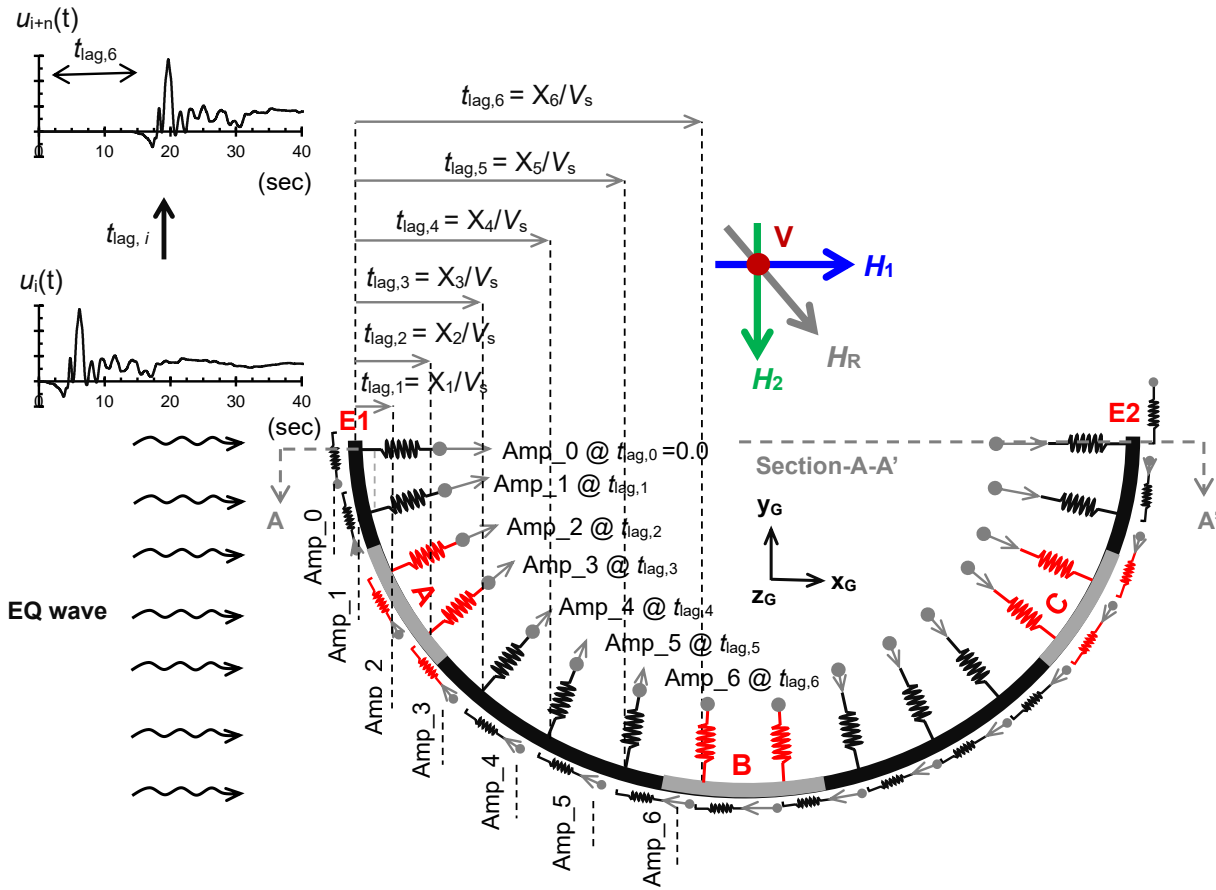


Figure 3 Assignment of the asynchronous amplitude vectors to the spring's boundaries