

1 **Lessons from structural analysis of a great Gothic cathedral:**
2 **Canterbury cathedral as a case study**

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10 **Lessons from structural analysis of a great Gothic cathedral:**

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12 Damage in Gothic cathedrals can occur due to single extreme events or long term
13 processes, often associated to large deformations and cracking. This paper,
14 presents the damage survey and structural assessment of a UNESCO world
15 heritage site and one of the oldest, most visited and most known Christian temples
16 in the UK: Canterbury Cathedral, in Kent. Inspection and damage survey showed
17 repetitive crack patterns on the vault's intrados, with more severity in the south
18 aisle, including namely outward rotating movement and cracking in the south
19 flying buttresses. Ambient vibration tests were carried out to identify the structure
20 modal properties. A FE model of a typical transversal section of the nave and
21 lateral aisles was prepared, and calibrated based on the tests. Nonlinear static
22 analyses were performed, considering the main parameters of influence to the
23 structure, as the construction process, the infill volume, the presence of lateral
24 thrusts from the nave's roof and differential settlements. A validated FE model,
25 presenting sufficient correlation with the existing damage was used to determine
26 the safety factors for lateral and vertical loading, which according to the local
27 hazard are considered adequate. A comparison with limit analysis, based in the
28 static approach, was also carried out.

29 **Keywords:** English Gothic Architecture; Nonlinear Structural Analysis; Damage
30 Survey; Safety Analysis; Phased Analysis; Graphic Statics.

31 **Research aims:**

- 32 • To identify the types of damage affecting the building through inspection and damage
33 survey;
- 34 • To provide basis for discussion on structural behaviour of Gothic cathedrals ;
- 35 • To understand the cause of the existing damage by analysing different hypothesis (self-
36 weight loading, construction process, soil settlements);
- 37 • To assess the safety of the structure.

38 **1 Introduction**

39 The evaluation of the structural performance and damage in cultural heritage buildings
40 requires a methodology that involves namely advanced numerical methods, monitoring,
41 historic research and inspection. Damage in Gothic cathedrals is mostly related to large
42 deformations and cracking due to tensile failure of masonry. As deformation increases,
43 the structure exhibits fragmentation and rotations in the arches and vaults, caused by
44 tensile damage. Cracks due to compressive stresses can also propagate in localized areas,
45 manifesting namely as vertical cracks in columns as well as spalling of ribs and capitals.
46 Creep phenomena are also relevant for crack propagation and can occur even under
47 moderate compressive stresses (Roca et al. 2008; Roca and Clemente 2005). Cyclic
48 environmental effects (e.g. due to temperature effects or water table level in the ground)
49 also contribute to damage progress.

50 Material deterioration can also affect the mechanical and physical properties of
51 structural elements, either from long term environmental influence (freeze-thaw cycles,
52 thermal effects, corrosive agents, moisture infiltration, salts efflorescence, etc.) or from
53 short term events (fires, floods, etc.). The magnitude of the actions and condition of the
54 building can determine if the structure is affected at a local or global scale (Roca and
55 Clemente 2005).

56 Other relevant influence factors are associated with the construction process, such
57 as alterations and reconstructions, as they cause extensive damage in historical
58 constructions. Overall instability and differential settlements can be caused by the
59 addition of new parts, many of which were not considered in the initial design. In general,
60 Gothic cathedrals had many construction periods, sometimes lasting decades, with
61 subsequent alterations and demolitions, during which many deformations occurred due
62 to the lack or early removal of supports, lateral confinements and bracing (Roca and

63 Clemente 2005). The most common additions were the erection of new towers and the
64 extension of existing ones, such as in the central crossing tower in Wells Cathedral, UK,
65 causing the tower's westward leaning (D'Ayala and Smars 2003). Moreover, many
66 structural interventions, such as reinforced concrete beams and ties, often introduced
67 excessive or eccentric loading, changing the past structural behaviour. These additions,
68 during extreme dynamic conditions, can even cause sudden failures (D'Ayala and Smars
69 2003).

70 Accidental actions were the cause of immense damage in many Gothic cathedrals,
71 especially from blast waves or even direct hits from shelling during the warfare combats,
72 such as Rheims Cathedral in France, struck by German shellfire in 1915
73 (Theodossopoulos and Sinha 2008). Recently, the case of Notre-Dame Cathedral (Paris)
74 showed how fire can be responsible for vast damage on heritage buildings. The fire,
75 located in the main roof, started on 15th April 2019 and triggered the collapse of the last
76 bay in the north transept, one bay in the nave, and likewise, the square vault at the crossing
77 as a collateral damage due to the collapse of the oak spire over it (Heyman 2019; Ferreira
78 2019).

79 Regarding seismic loading, failure modes in Gothic cathedrals typically consist of
80 separation of large rigid elements that experience out of plane rotation. This type of
81 kinematic mechanisms can involve the rotation of whole facades and towers, or parts of
82 them. But under specific ground excitations, the most critical failure modes can be
83 identified (Roca et al. 2010). Visual inspections and damage surveys can determine the
84 level of damage in masonry. The evaluation of deformations and cracks, and mainly their
85 evolution along time, is very important for diagnosis of the structure, since it can be used
86 to identify structural and non-structural damage, active and non-active damage, and
87 failure mechanisms in case of an extreme event (Ramos and Lourenço 2014). A Gothic

88 cross vault can experience cracks parallel to the direction of the side walls, known as
89 Sabouret's cracks, caused by high levels of stiffness in confined spans. In the case of an
90 outward movement of the supports, the failure mechanism consists of four hinges: one in
91 each springing (extrados), and two in the proximity of the crown (intrados)
92 (Theodossopoulos 2008). Due to the vulnerability and the relevance of such structural
93 systems, several studies on performance of cross vaults, based on lab scaled tests and
94 nonlinear numerical analyses (Carfagnini et al. 2018; Gaetani et al. 2017; Gaetani et al.
95 2016).

96 In situ measurements, such as dynamic identification tests, sonic tests and flat jack
97 tests, provide confidence in the simulation of the actual structural response (Roca et al.
98 2010; Roca and Clemente 2005). In particular, dynamic identification tests are considered
99 an efficient tool for the calibration of the mechanical and physical parameters of
100 numerical models in linear range, such as the linear stiffness (Ramos 2007).

101 The current study, started with the concern about cracks observed at the aisles of
102 the Canterbury cathedral. As a result, a multidisciplinary approach was followed in order
103 to assess the structural performance. Thus, the University of Minho, invited by the Morton
104 Partnership (company of Consulting Structural Engineers), carried out a research on the
105 damage and structural performance of the aisle. Through hypotheses defined from the
106 historic investigation and the in situ damage identification, FE models were built and
107 analysed with the initial aim of reproducing the actual state of the building.

108 The geometrical model of the transverse cross section with its corresponding bay,
109 was used for the 3D FE model. The discretized structural elements were composed of
110 homogeneous masonry materials, for which cracking and crushing were described with
111 nonlinear relationship incorporating softening, based on the fracture energy concept
112 (Lourenço 1998).

113 Assuming that the documented structural damage was mostly the result of
114 cumulative phenomena, various nonlinear numerical analyses assessed the building's
115 capacity to sustain self-loads, lateral effects, foundation settlements and excessive lateral
116 thrusts from the roof trusses and infill volumes. In the modelling process, various
117 assumptions were incorporated and the construction process was also simulated. The
118 adopted strategy of damage identification, structural assessment and understanding
119 obtained here is of value for Gothic cathedrals in general.

120 **2 History of Canterbury cathedral**

121 Canterbury cathedral is one the most prestigious and prominent ecclesiastic structures in
122 UK (**Erro! A origem da referência não foi encontrada.**). It is the seat of the Archbishop
123 of Canterbury, head of the Anglican Church and an established UNESCO World Heritage
124 site since 1988. After a long sequence of construction phases, the cathedral is a mixture
125 of Romanesque, Early Gothic, Decorated Gothic styles and following interventions, dated
126 from 1070 to 1834 (Collinson, Ramsay, and Sparks 1995).

127 St Augustine, arrived in Kent from Rome in 597, was consecrated the first
128 Archbishop of Canterbury and established the first cathedral, located in a north-east part
129 of the city. Until 1070 the cathedral evolves under four specific phases: (I) The original
130 church consisted of a simple nave and an apsidal altar, surrounded along the west, north
131 and south sides by porches; (II) The cathedral comprises partly additions on the previous
132 church and of a baptistery-church and mausoleum for the Archbishops, near the south-
133 east corner of the nave (740-760); (III) During the 9th or 10th century a massive
134 enlargement of the cathedral takes place, involving the widening of the foundations. The
135 porches were incorporated into side-aisles and the cathedral doubles in length (then to
136 49m by 23m). The whole process was a part a reorganization of the site to include

137 monastic buildings; (IV) The squared west front of the cathedral is demolished and
138 replaced with a major west polygonal apse, making the cathedral bipolar. Flanking
139 hexagonal stair towers were built in the west front, the arcade walls were strengthened
140 and two towers were added at the eastern corners. From the excavated remains of Phase
141 IV, as seen in **Erro! A origem da referência não foi encontrada.a**, the cathedral was
142 75m in length and 31m in width. The monastic complex, along with the church, was burnt
143 by a great fire in 1067 (Collinson, Ramsay, and Sparks 1995).

144 The successor Norman Cathedral in 1070 had one transept and a tower at its
145 crossing, with a steeple terminated by a golden angel. The nave was arranged in eight
146 bays and on the west front two twin towers were raised, terminated with gilded pinnacles
147 (the cathedral of Lanfranc, as seen in **Erro! A origem da referência não foi**
148 **encontrada.b**). In 1096, Archbishop Anselm, demolished the Choir and the underground
149 crypts. The new choir extended 58m from the crossing to the east and included an
150 ambulatory passage with chevette chapels, new altars in three levels and an attaching
151 chapel of the Holy Trinity (**Erro! A origem da referência não foi encontrada.c, Erro!**
152 **A origem da referência não foi encontrada.e**). The new Choir was destroyed in 1174
153 by fire and was reconstructed by William of Sens and increased in height by 3.7 m.
154 The implementation of the new Choir was taken over by William the Englishman, who
155 incorporated the transition from the Romanesque to the Gothic style (**Erro! A origem da**
156 **referência não foi encontrada.d, Erro! A origem da referência não foi encontrada.e**)
157 (Collinson, Ramsay, and Sparks 1995).

158 In 1378 Archbishop Sudbury started the demolition and total rebuilding of
159 Lanfranc's nave, accounting for its bad state, but the attempt was terminated because of
160 his death in 1381. An earthquake in 1382 damaged severely the Cathedral's bell tower
161 and cloister. The reconstruction of the nave and transepts in the Perpendicular English

162 Gothic style was later on assigned to Prior Thomas Chillenden (1391-1411). All piers
163 were replaced with slender ones, while the side walls in the aisles were demolished and
164 rebuilt. The vaults were constructed as lierne vaults with bosses and the nave roof was
165 raised, so as to align with the choir roof. The south-west tower was replaced in 1459. The
166 square tower at the crossing was demolished in 1430 and its supporting piers were
167 reinforced, so as to support the new bigger one, which was completed in 1504 at its
168 complete height of more than 70m. The north-west tower was demolished in 1834 due to
169 structural deficiencies and replaced with a twin of the south-west tower. The north-west
170 tower's spire was maintained until 1705 (Collinson, Ramsay, and Sparks 1995; Willis
171 1845).

172 **3 20th century's intervention & conservation works**

173 During World War II the city of Canterbury was severely bombarded, which led to the
174 bond weakening and separation of the outer masonry layer. In an attempt to re-establish
175 its former condition, the masonry exterior walls were grouted using a strong Portland
176 cement, which accelerated the stonework's decay and changed the moisture migration. In
177 repairing works at the central tower and pinnacles, Bath stone was used, which is
178 incompatible with the original Caen stone, as being more coarse and grainy in texture and
179 darker in colour (Foyle, Greshoff, and Newton 2013; Canterbury Cathedral 2014).

180 After 1970s, a good quality limestone from the south west of France, known as
181 Lepine, was chosen for repairing works, given that Caen stone was hard to find in the
182 desired quantity or quality. Several projects were carried out: (a) Reconstruction of the
183 gable at the south west transept, with a reinforced concrete cantilever beam, connecting
184 the gable with the rest of the building; (b) Conservation of the south window's glass
185 panels; (c) Large scale repairs in the cathedral's west end, rebuilding of the oculus and

186 gable and stone replacements at the twin towers of the west front (Foyle, Greshoff, and
187 Newton 2013; Canterbury Cathedral 2013; Filippoupolitis 2011).

188 After 1990s, the floor in the cathedral’s nave and south west transept was replaced
189 with a Portland concrete slab floor laid over a lime screed, together with an under-floor
190 heating system. As a fire resistance strategy, soon after the fire in the roof of York Minster
191 Cathedral in 1984, a concrete layer was added in the infill of the aisles and nave, serving
192 as an impermeable surface to drain more effectively the amount of water used to
193 extinguish a potential fire, through drilled holes in the lateral walls (Canterbury Cathedral
194 2013).

195 From 2009 to 2012 a conservation project of the South East Transept took place.
196 The stained glass panels from the South Oculus were removed and treated. The wrought
197 iron frame called ‘ferramenta’, which supports the stained glass window and dates from
198 1180, underwent mechanical cleaning for rust removal and wax coating, with rust
199 inhibitors applied. Additionally, the timber roof of the South East Transept, being the
200 oldest part of the Cathedral’s roof system, underwent timber repairs and replacement of
201 its lead tiles covering, while the exterior wall cladding was treated for black crust removal
202 and replacement of cement with lime mortar (Canterbury Cathedral 2011; ACNS 2007).
203 A monitoring system was installed in 2010, gathering information on temperature,
204 relative humidity and displacements in the roof spaces, ground floor, crypt, Bell’s Harry
205 interior, south west transept and flying buttresses on the south side of the nave. Crack-
206 meters and tilt-meters installed at some of the flying buttresses and at clerestory walls,
207 respectively, provided data on deformations occurred at zones considered in this work
208 **(Erro! A origem da referência não foi encontrada.)**. From 2006 to 2012, works in the
209 Corona Chapel accounted for the stone masonry and stained glass windows conservation
210 (Canterbury Cathedral 2012).

211 The Great South Window of the South West Transept tracery experienced cracks
212 and fracturing, due to embedded iron rusted bars and outward tilting. All the stained
213 window panels have been removed and the tracery was repaired in all its extent by stone
214 replacements (Canterbury Cathedral 2014).

215 In September 2016, a big project of conservation for Canterbury Cathedral was
216 successfully granted by the Heritage Lottery Fund (HLF 2018, 88). Concerning
217 conservation, three main objectives were defined: a) the repair and restoration of the
218 Christ Church Gate; b) the repair and restoration of the West Towers and Nave Roof;
219 c) the improvement of the access and Landscape South Precincts (Canterbury Cathedral
220 2017). The work continues until this moment, and it is expected to be finished by the end
221 of 2021 (Canterbury Cathedral 2019a). In the meanwhile, at the beginning of 2019,
222 founded by the Viridor Credits Environmental Company, repair works started to restore
223 the South Quire Tribune roof and the Quire gutters (Canterbury Cathedral 2019b).

224 **4 Geometrical survey**

225 The in situ geometrical survey, carried out by Downland Partnership Ltd and provided by
226 the Morton Partnership Ltd, focused on the central nave, the adjoining lateral aisles and
227 the attaching cloister in the north, as shown in **Erro! A origem da referência não foi**
228 **encontrada..** The collected information resulted in digitalized details, such as the section
229 of pillars, the cross section of the nave in the area of interest and the external elevation of
230 the typical bay.

231 The nave, with overall dimensions of 48.6 m in length, 10.5 m in width and 24.6
232 m of inner height, is organised in 8 bays, covered with Gothic lierne quadripartite cross
233 vaults and equilateral pointed arches (**Erro! A origem da referência não foi**
234 **encontrada.a-c**). The vaults have a clear span of 9.4 m and 5.2 m in the transverse and

235 longitudinal direction and a rise of 6.3 m. The thickness of the nave vault, measured from
236 a cylindrical void in a boss, is 0.8 m, accounting the portion of the boss (protrusion of
237 stone) and the intersecting diagonal ribs that project below the web of the vault. Thus, the
238 design shell thickness of the vaults was accounted as 0.4m and considered constant. The
239 ribs are considered an essential part of the vault's structural system, providing safe
240 enclosure of the web masonry (Theodossopoulos 2006). Nevertheless, due to the limited
241 information on their size and configuration and aiming at simplifying the geometry of the
242 3D CAD and FE model, the diagonal and transversal ribs were not taken into account for
243 the model. Adjacent equilateral pointed nave arches of 4.0 m clear span, 5.4 m rise and
244 0.9 m width are the structural elements of the clerestory walls (**Erro! A origem da**
245 **referência não foi encontrada.d**).

246 The lateral aisles comprise 8 bays with dimensions 6.6 x 5.9 m and 15.1 m in height.
247 The cross vaults are Gothic lierne quadripartite, drawn from equilateral pointed arches.
248 The adjacent arcade arches have a clear span of 4.0 m, 3.5 m rise and 0.9 m width,
249 whereas the arches of the aisles windows have a clear span of 2.9 m, with 2.9 m rise and
250 1.4 m width. The thickness of the vaults in the lateral aisles was considered equal to the
251 thickness of the nave, i.e. 0.4 m (**Erro! A origem da referência não foi encontrada.e**).

252 The vertical abutments in the nave consist of a colonnade of 7 piers on both sides,
253 with the level of springings of the nave and lateral vaults at 18.3 m and 11 m respectively.
254 The piers section has an area of 1.8 m² and follows an ornamental pattern with engraved
255 shafts inscribed in a square. The piers slenderness ratio (height over circumscribed
256 diameter) is around 9.6, not much different from the typical ratio of 7 and 9 found in
257 (Roca et al. 2013). The equivalent section for piers and the lateral buttresses are shown
258 in **Erro! A origem da referência não foi encontrada..** A trench was made at the
259 southwest transept, exposing the foundations (Coronelli et al. 2014). From the survey of

260 this trench, the external walls present continuous foundations. The foundation is made of
261 coursed rubble stone masonry, exceeds out at 0.5 m from the footprint of the buttress and
262 is extended down at approximately 2.5 m from the ground level (**Erro! A origem da**
263 **referência não foi encontrada.**). There is no information available on the foundations of
264 the piers, the soil properties and the water table.

265 The nave roof is a classic high pitched Gothic roof of about 54°, with a covering
266 span of 11.1 m. The timber trusses, placed with a spacing of 3.5 m and fixed over timber
267 wall plates, form a rigid timber framing system with hinged joints of timber connections
268 and metallic-edged blades. They are configured of a queen post on the lower level and a
269 king post over the level of the straining beam, along with a series of struts (**Erro! A**
270 **origem da referência não foi encontrada.a**). The whole system appears structurally
271 independent from the nave vaults and extends over the extrados of the vaults by 0.8 m.
272 The roof of the lateral aisles is single pitched of about 8°, with a covering span of 5.0 m.
273 and a spacing of 2.7 m (centre axis) (**Erro! A origem da referência não foi**
274 **encontrada.b**). On the side of the buttresses, the tie beams rest on wall plates, along with
275 an adjoining post and curved brace timber elements, fixed on a small cantilever, that
276 counteract the bending and vertical forces. From the inner side, the tie beams and
277 principal rafters are attached separately to the walls of the triforium. The external roof
278 coatings in both the nave and lateral aisles are large size lead sheets, attached on a system
279 of timber roof battens.

280 Wrought iron ties, of 43 mm in diameter, with a coupling system at mid-span and
281 externally anchored to the clerestory walls, by cross shaped pattress plates, run along the
282 nave span, in the extrados of the vaults. The infill consists of a part of rubble masonry
283 and an exterior coating of concrete. The infill height, corresponds to the 84% and 95% of
284 the vault's rise in the central nave and lateral aisles respectively (**Erro! A origem da**

285 **referência não foi encontrada.**) Lastly, the nave of Canterbury Cathedral has 7 pairs of
286 flying buttresses, attached in between the nave's clerestory walls and the vertical
287 buttresses, with a thickness of 0.7 m (**Erro! A origem da referência não foi**
288 **encontrada.**).

289 **5 Material properties and inelastic behaviour**

290 The material properties were determined according to literature and the Italian standards
291 (NTC 2018), in which the mechanical characteristics of masonry structures are defined
292 by means of prescribed values and knowledge levels. In the current study, three types of
293 materials are defined: Caen limestone masonry, describing the entire skeleton of the
294 cathedral; irregular and inhomogeneous masonry, used as infill; and wrought iron for the
295 ties and anchor plates.

296 The walls consist of a three leaf masonry, with two external leaves from Caen
297 stone masonry and an infill of lime mortar and rubble small fragments. The connection is
298 ensured with long through stones, placed transversely (Foyle, Greshoff, and Newton
299 2013). Technical information of the Cintheaux quarry, reported by Kock et al. (2015),
300 characterize the compressive strength and mass density of Caen limestone, in which the
301 lower values of 25.9 MPa and 2.050 kg/m³ were adopted, respectively. The mortar joints
302 were assumed to be of pure lime mortar, of the weakest compressive strength f_m ,
303 according to the Italian code; M2.5 ($f_{mk}=2.5$ MPa). Thus, the characteristic compressive
304 strength of Caen masonry, composed by natural squared stone elements and mortar joints
305 of thickness 5-15 mm, validated by the average compressive strength of its components
306 is $f_{bk}=6.7$ MPa (NTC 2018 TABLE 11.10.VII; Magenes and Penna 2009; Foti,
307 Debernardis, and Paparella 2012). Due to the lack of material testing, the Knowledge

308 Level considered is LC1, corresponding to a Confidence Factor of 1.35 (NTC 2018).
309 Thus, the reduced compressive strength of Caen stone masonry is the following:

$$f_{\text{bk,red}} = \frac{f_{\text{bk}}}{\text{FC}} = 5.0 \text{ [MPa]}$$

310 Regarding the tensile strength of Caen stone masonry, a specific relation between
311 the tensile strength and the compressive strength is difficult to establish. Because of the
312 low tensile bond strength in the unit mortar interface, which is typically in the range of
313 0.1 to 0.2 MPa (Lourenço 2008), the chosen value for the tensile strength of Caen stone
314 masonry is considered equal to 0.2 MPa.

315 Given the lack of experimental testing on site and the uncertainty of the level of
316 regularity of the Caen stone masonry, values of modulus of elasticity for regular and
317 irregular stonework range between 4500 MPa and 1700 MPa (Lourenço 2008), so a value
318 of 3000 MPa is considered.

319 Regarding the infill and due to the high heterogeneity, the mechanical
320 characteristics were taken from reference values for irregular type of stone masonry
321 (Table C8.5.I. of Circolare n.7 2019). The level of knowledge is set to LC1 and the
322 minimum of the range values is chosen, as 1.0 MPa for the compressive strength,
323 690 MPa for the modulus of elasticity and 19 kN/m² for the mass density. The tensile
324 bond strength was chosen as 0.1 MPa (Lourenço 2008). Finally, the mechanical properties
325 of wrought iron ties and anchor plates were defined based on (Holický and Marková
326 2005) and they are presented in Table 1.

327 The objective of a simulation of masonry is to represent the transition from the
328 elastic to the quasi brittle behaviour that involves cracking, leading eventually to failure.
329 The inelastic behaviour evolves from the state of a diffused pattern of micro-cracks to
330 localized macro-cracks (Lourenço 1998) and is quantified by the fracture energy G_f for

331 tension and G_c for compression, quantities that are considered material properties
332 (Lourenço 1996). Tensile stresses diminish exponentially, while compression combines
333 a hardening and a softening phase (Lourenço 1998). The adopted mechanical properties
334 and the fracture energy values for all materials are presented in Table 1 (Lourenço 2014).

335 **6 Damage and deformation survey**

336 The final configuration of Gothic Cathedrals is often the result of a sequence of
337 construction phases, for which the structural elements might have undergone different
338 equilibrium conditions. In particular, the optimal state of thrust equilibrium can be
339 reached only when the structure is completed. Therefore, the construction sequence can
340 induce initial deformations and even structural damage (Roca et al. 2013).

341 A possible construction sequence for Gothic cathedrals consists first of the
342 erection of piers, buttresses and lateral aisles, along with their vaults and nave timber
343 roof. The next stage involves the construction of the nave vaults. During this intermediate
344 stage a system of horizontal pole fittings is implanted and wedged on the top and bottom
345 of the vertical elements. This system together with nave's roof trusses provides a
346 temporary support, centering and protection against tilting of the inner piers,
347 counteracting also the inward lateral thrust from the vaults. In case of early removal of the
348 centering or the temporary support system, significant large deformations were
349 introduced in the structure (Roca and Clemente 2005).

350 A damage survey was carried out in the central nave and lateral aisles of the
351 Canterbury Cathedral during May 2014, by the Civil Engineering Department of the
352 University of Minho, Portugal. In the intrados of the vault system, the main documented
353 damage was a distributed crack pattern in the webs, along with moisture stains and
354 discoloration areas. The cracks follow a repetitive pattern throughout the whole nave and

355 lateral aisles, but without resulting to continuing fragmentations. Still, a potential
356 fragmentation of large structural parts is evident. The number and size of the cracks
357 intensifies in sections 2 and 3 (**Erro! A origem da referência não foi encontrada.**).

358 A series of large cracks is observed, in the transition between the north and south
359 clerestory and side walls and the vaults of the nave and lateral aisles. It can be concluded
360 that the attaching spans are highly confined and undeformable, and eventually the vaults
361 got separated from the side walls, by forming Sabouret's cracks (**Erro! A origem da**
362 **referência não foi encontrada.**) (Theodossopoulos 2008).

363 Another set of cracks are observed above the springings of the inner adjacent span
364 in both the north and south aisle and follow a circular arrangement around each capital.
365 This type of cracks can be induced by several phenomena, such as excessive thrusts,
366 overloading or insufficient flying buttresses, triggering the spreading of the supports;
367 inwards at the aisles and outwards for the nave. As can be seen from the cross section in
368 **Erro! A origem da referência não foi encontrada.**a, the vault of the south aisle is
369 depicted deformed, which is important as an interpretation of the past behaviour. An
370 outward tilting of the vertical abutments, of around 1% in the level of the aisle vault, is a
371 direct indication of the presence of phenomena that have reset the structural system in a
372 new state of equilibrium (Theodossopoulos et al. 2002).

373 The flying buttresses 2 and 3 of the south aisle show significant deflection and
374 many joints close to the intrados of the middle span and the extrados, near the springing
375 with the clerestory walls, have failed under tensile and shear stresses (**Erro! A origem**
376 **da referência não foi encontrada.**b). Following the global deformation of the structure,
377 they appear to be rotating outwards, a phenomenon likely to have been induced by
378 differential settlements in the south part of the foundation soil. A possible reason is
379 explained by the presence of a large historic drain pipe that runs along the south wall of

380 the cathedral, since it was found to be leaking in other locations and it is probably leaking
381 in here as well. Thus, it increases the risk of washing away the fine particles of the
382 foundation soil and causes the settlements (Roca et al. 2013).

383 Furthermore, large parts of the stone units of the flying buttresses have evident
384 signs of crust formation with exfoliation (**Erro! A origem da referência não foi**
385 **encontrada.b**). During this process layers of the outer stone surface were subject to a
386 chemical material transformation, in the presence of pollutant gases SO₂ and NO_x, which
387 by reaction with air moisture produce a black crust, that later exfoliates and produces
388 flaking. The rate of deterioration of limestone blocks differs according to the local
389 environmental conditions and would have certainly been more intense in the coal burning
390 urban economy of the 19th century in UK (Blows, Carey, and Poole 2003).

391 Biological growth consists mainly of minute biological organisms such as mosses
392 and algae, which cover large surfaces of the upper part of the flying buttresses and of
393 higher plants, but only in small areas.

394 **7 Dynamic identification tests**

395 In May 2014 a dynamic identification campaign was performed by the University of
396 Minho. Ambient vibration tests were carried out in the nave and South Aisle of the
397 cathedral to obtain the natural frequencies and mode shapes in the area of interest. The
398 monitoring points were flying buttresses, interior and exterior claddings in the South aisle
399 and nave, as well as points on the extrados of vaults. The tests were carried out in five
400 setups, with one reference accelerometer and three accelerometers in each setup, except
401 setup 5, in which all the accelerometers were changed of position (**Erro! A origem da**
402 **referência não foi encontrada.**). The transducers correspond to piezoelectric
403 accelerometers with a frequency range of 0.15 to 1000 Hz, measurement range ± 0.5 g

404 and a sensitivity of 10 V/g. The signals were recorded by an acquisition system of 24-bit
405 resolution, with a frequency sampling rate equal to 200 Hz, a duration equal to 15 min
406 and processed by ARTeMIS software (SVS 2019), in which the Stochastic Subspace
407 Identification Method (SSI), namely the Unweighted Principal Components (UPC)
408 Method was used. Setups 1, 3 and 4 aim to obtain the mode shape configuration along
409 the y-y axis, while setup 2 was used for the vertical components along the z-z axis. Setup
410 5 used for the mode shapes of the nave's vault system in the y-y and z-z axis. Table 2
411 presents the natural frequencies and damping coefficients of the first 12 modes, ranging
412 between 1.29 Hz and 4.27 Hz and between 1.87% and 6.99%, respectively. The first three
413 modes have very close frequencies (1.29 Hz to 1.73 Hz) and MAC values between SSI
414 and UPC higher than 0.95. The 4th and 8th modes present similar mode shapes (2nd
415 curvature), in which the main differences are related with the inflection point, while the
416 9th, 11th and 12th modes are of a 3rd curvature with two inflection points (**Erro! A origem
417 da referência não foi encontrada.a**).

418 The Averaged Normalized Power Spectral Density (ANPSD) graph of the
419 horizontal accelerometers of the setup 5 presents clear peaks with frequencies equal to
420 1.25 Hz, 1.42 Hz, 1.71 Hz and 4.00 Hz, with the frequency of 1.42 Hz corresponding to
421 a high energy peak in all three accelerometers, which indicates a planar mode (**Erro! A
422 origem da referência não foi encontrada.b**). As for the frequencies of 1.25 Hz, 1.71 Hz
423 and 4.00 Hz the additional ANPSDs are different, specifying a 3D mode. Thus, from the
424 experimental tests, the 1st planar (transversal) mode of the structure is considered the one
425 of 1.42 Hz.

426 **8 FE model generation**

427 A finite element model was built in Midas FX+ Version 3.3.0 Customized Pre/Post-

428 processor for DIANA software, according to the generated 3D CAD model. The model
429 includes a typical transversal section of the nave, with the vertical abutments (piers,
430 buttresses), the corresponding vaults of the nave and the lateral aisles, the flying
431 buttresses, the resulting part of the adjoining cloister and the wrought iron tie over the
432 vaults, anchored on wrought iron plates (**Erro! A origem da referência não foi**
433 **encontrada.**).

434 The base connection of the vertical elements was modelled as clamped, as usual
435 for connections to foundations (note that cracking is allowed). As far as the interaction
436 with the adjacent bays, translations on the y-y (longitudinal) axis of the vaults, arches and
437 wall sections were restrained.

438 The discretized structural elements were composed of homogeneous masonry
439 materials. The created FE mesh, as shown in **Erro! A origem da referência não foi**
440 **encontrada.**, is composed by 448061 four-node and three-side isoparametric tetrahedron
441 element; two-node truss elements (for the ties); and 94366 nodes in total (DIANA FEA
442 BV 2019). The cracking and crushing behaviour of the material are described with a
443 nonlinear relationship, through a Total Strain Rotating crack model. A default value of
444 the crack band width is assigned, equal to $\sqrt[3]{V}$, with V the volume of the solid element
445 (DIANA 2019).

446 The FE model was updated, by correlating the 1st mode shape of the experimental
447 tests (1.42 Hz) and the analytical model, with the modulus of elasticity as the updating
448 parameter. For the other mode shapes, a full model of the cathedral would be required.
449 The updated value of modulus of elasticity is 3535 MPa and the obtained mode shapes
450 are shown in **Erro! A origem da referência não foi encontrada.** The 1st, 3rd and 5th
451 modes are in phase, whereas the 2nd, 4th and 6th modes are configured in a symmetric (out
452 of phase) pattern. The 7th to 12th modes are local modes of in plane and out of plane

453 movement of pinnacles. The 13th and 14th modes are first order local modes of the
454 columns, whereas the 15th and 16th are second order local modes of the columns,
455 involving also partly the pinnacles and side naves. As shown in Table 3, the 1st mode has
456 the highest modal participation mass towards the horizontal direction (67%), whereas for
457 the vertical direction, mode 6 has the highest modal participation mass (40%).

458 **9 Understanding existing damage**

459 Various static nonlinear analyses were carried out, taking into account different
460 hypotheses, in order to differentiate the existing damage and to investigate the level of
461 safety of the cathedral's nave, subjected to self-weight, lateral forces and foundation
462 settlements. Uncertainty was also considered, regarding the infill volume at the aisles and
463 nave's vault pockets, the lateral thrust component from the nave roof, construction
464 process and lastly soil settlements of the south part of the typical section (as a water
465 drainage is present and some signs of possible settlement are visible).

466 **9.1 Self-weight**

467 The built FE model depicts the current state of the typical bay, with the current infill
468 height. A truss with hinge joints and no lateral thrust was considered for the structure of
469 the nave roof. Thus, an equivalent vertical distributed load was applied on the top of the
470 clerestory walls of the model (12.7 kN/m²).

471 As seen in Figure 16, the bay appears to deform in a symmetric way, with the
472 upper part of the piers and the clerestory walls spreading and bending outwards,
473 counteracting the thrust from the main vault, which does not appear to be taken by the
474 system of flying buttresses. At the springing of the aisle vaults, the lateral thrust pushes
475 the piers inwards, whereas the vertical buttresses deform by rotating outwards, as
476 observed in many Gothic cathedrals. The cloister appears to restrain and stiffen the lower

477 level of the north buttress. The maximum horizontal displacement (0.86 cm) is located at
478 the outer north pinnacle and the maximum vertical displacement (1.0 cm) is at the nave
479 crown. Due to the inward deformation of the clerestory walls, the tie is under compression
480 which is not expected for this type of element. In order to better understand this
481 behaviour, a self-weight analysis was also performed without the tie. A comparison for
482 the opening of the span at the level of the tie shows: a) with the tie beam, it reduces
483 1.17mm; b) without the tie beam, it reduces 1.33mm. A difference of 0.16mm indicates
484 that the presence of the tie has a low contribution for the response of the numerical model.

485 From the load displacement diagrams, depicting the spreading at the cross section
486 of the nave and lateral aisles vaults, it is evident that at around 40% of self-weight there
487 is a significant loss of stiffness, which amounts to 26% for the nave vault and 52% for
488 the lateral vaults. The above loss of stiffness corresponds to damage in the lateral vaults,
489 with cracking at the intrados, surrounding the columns and located at the level of the
490 infill, which agrees well with the documented cracks. In the extrados of the vault, close
491 to the level of infill there is also cracking, while at the transition between the vaults and
492 the aisle windows, cracks are formed, which match the existing Sabouret's cracks (Figure
493 16 and **Erro! A origem da referência não foi encontrada.**).

494 The north and south flying buttresses crack at the extrados, close to the outer
495 pinnacles, when the dead load reaches 80%, while the nave vault remains with no cracks.
496 It is also noted that the crack width is quite small, reaching values about 0.5 to 1 mm in
497 the inner part of the south and north aisle vaults.

498 In order to account for the possibility of horizontal thrust from the nave roof
499 trusses in case of roof excessive deformation, adjustments in the timber joints or other
500 effects, two nonlinear static analyses were performed, with a lateral distributed load
501 applied on top of the south clerestory wall, equal to 1/3 and 1/2 of the vertical component.

502 The difference found in terms of load-displacement diagrams is marginal, which is
503 justified by the fact that the weight of the roof is relatively small compared to the heavy
504 stonework and does not affect the structural behaviour of the cathedral's bay.

505 Next, three different infill depths were considered as possible past depths that
506 were altered with respect to the current one (5.8 m in the nave and 3.8 m in the lateral
507 aisles). Through the correlation with the damage maps, the concrete layer was estimated
508 at around 0.40 m depth and placed above the past infill level. A third infill depth,
509 corresponds to a rule of practice for the design of Gothic cathedrals, equal to the 1/3 of
510 the free rise of the vault and is 2.1 m and 1.8 m for the nave and the vaults respectively
511 (Huerta 2004).

512 In the current state of the cathedral's bay, the maximum vertical displacement of
513 the crown at the nave vault is 9% and 23% larger than the one corresponding to the "past
514 estimated infill" and the "reference height" respectively, which is logical, considering the
515 grater counteracting thrust (**Erro! A origem da referência não foi encontrada.**). For all
516 three types of infill, a significant loss of stiffness is obtained with 40-50% of self-weight,
517 which can be interpreted as tensile failure in the webs of the lateral aisles. From then on,
518 the deformations in nave and aisle vaults engage in a linear estimated function.

519 The crack pattern is related to the spreading and deformation of the aisle vaults
520 and to the additional level of infill, as shown in **Erro! A origem da referência não foi**
521 **encontrada.a-c**. The total displacements in all three cases are very low but it is interesting
522 to observe that the reference height of traditional Gothic provides the stiffer (i.e. less
523 cracked) condition. The cracks produced from the inward spreading of the piers, in both
524 lateral vaults, appear close to the longitudinal vertex and their exact position is associated
525 with the level of infill, except in the case of the reference infill height. The tensile damage
526 of the current infill state is magnified, with a wider distribution along the thickness of the

527 vault, compared with the other two cases. This difference is related to the additional
528 stiffness from the infill, which suppresses the vault from deforming and thus it cracks at
529 the less stiff part, close to the longitudinal vertex. Nevertheless, all three models are not
530 able to reproduce the crack pattern in the intrados of the south flying buttress, near the
531 springing line with the clerestory walls, which indicates that the typical bay, besides the
532 dead load, is subject to additional effects that compromise its structural stability.

533 *9.2 Phased analysis*

534 In this section, the influence of the construction process on the structural damage and
535 deformation is investigated with a phased nonlinear analysis. Different structural
536 elements are activated in each phase and initial boundary conditions of the stress and
537 deformation field of the previous phases are considered. Since no specific knowledge on
538 the construction sequence was retrieved for this particular cathedral, an assumed
539 construction sequence, related to the vertical progression of structural elements, was
540 accounted based on Roca and Clemente (2005). This considers the possibility of
541 construction of the vaults without the use of temporary stabilizing devices such as braces
542 or ties. According to this hypothesis, the stability of the structure during the intermediate
543 construction stages would rely on the self-capacity of the vaults to remain stable during
544 a limited period of time. The FE model of the critical section is partly activated: the
545 cloister and the piers until the springing level of the lateral vaults, at the 1st phase; the
546 construction of the lateral vaults with the infill, at the 2nd phase; the inner piers rise until
547 the level of the springing of the nave vault at the 3rd phase; at the 4th phase, the rest of the
548 structural elements are activated, including the external buttresses, the clerestory walls,
549 the flying buttresses and the nave vaults with the infill; at the last phase, the wrought iron
550 ties and anchor plates are incorporated (**Erro! A origem da referência não foi**

551 **encontrada.**)

552 As shown from the load-displacement diagram of the span opening (in the south
553 lateral vault), a large inward thrust, at the very early stage of the activation of the aisles
554 in phase 2 and the triforium in phase 3, results in significant tensile damage in the intrados
555 of both the lateral vaults. This is consistent with the observed damage (**Erro! A origem
556 da referência não foi encontrada., Erro! A origem da referência não foi
557 encontrada.**). The resulting final deformation is more than twice than the one
558 corresponding to a conventional self-weight analysis (static nonlinear analysis). This fact
559 stresses the significant damage and deformation during the construction process, where
560 the final configuration is not yet established. The amount of structural damage at phases
561 2 and 3 is higher, than in the actual structure, given the lack of supporting provisions,
562 however is indicative of the actual triggering mechanism and deformation initiated at an
563 intermediate structural equilibrium stage. Lastly, at the very last stage, the axial force in
564 the tie is 0.1kN, which stresses the fact that only with the application of prestressing (or
565 with the consideration of long term effects) the tie is effectively activated.

566 The phased analysis justifies clearly some of the damage detected but is still
567 unable to reproduce all the crack pattern observed, indicating that a complementary origin
568 of damage is likely.

569 **9.3 Soil settlements**

570 In order to incorporate the hypothesis of a non-uniform displacement field in the final
571 configuration of the typical bay, more in agreement with the existing crack pattern,
572 vertical displacements were applied at the base of the south buttress, right after the self-
573 weight. The vertical displacement increases until the numerical damage correlates best
574 with the observed damage: i.e. an initiated crack width of 1 mm in the centre point of the

575 thickness, in the middle span of the south flying buttress.

576 After the application of the self-weight, the translation of the south buttress
577 imposes tensile strains in the area of the observed crack at the inner part of the south aisle
578 vault, but in an inversed way with the hinge at the intrados (**Erro! A origem da**
579 **referência não foi encontrada.**). The first tensile cracks at the extrados of the south
580 flying buttress near the left spring line reaches 1 mm width for 2 cm of displacement at
581 the base. For a settlement of 5 cm, such damage propagates and cracks larger than 1 mm
582 appear at the intrados of the middle span. At the same time, 0.5 mm cracks are visible at
583 the extrados, in a better agreement with the observed damage. The nave vault suffers a
584 longitudinal crack at the intrados, near the vertex and the outer part of the south aisle vault
585 experiences a crack at the intrados at 2.5 cm displacement. Due to the high values of
586 lateral thrust of the nave vault, the clerestory walls move outwards but their upper part
587 moves inwards. This makes the iron tie non-functional as it is subject to compressive
588 stresses in all the analyses steps.

589 From the current analysis, soil settlements imposed in the proximity of the south
590 part of the foundations (**Erro! A origem da referência não foi encontrada.**b) are likely
591 to be the most relevant mechanism for the observed damage.

592 **10 Safety assessment**

593 UK is located far from the boundaries of tectonic plates. As an intraplane area, the levels
594 of seismicity are low (Musson and Sargeant 2007). Nevertheless, explaining the seismic
595 activity of the country has been a topic of interest since 1884. The first contour maps of
596 hazard, based on probabilistic assessment, were developed only in 1996 (Musson and
597 Winter 1996). Regarding the design of structures for earthquake resistance, the UK
598 National Annex to Eurocode 8 (NA to BS EN 1998-1:2004 2008) refers to the

599 recommendations given in (PD 6698 2009), where two seismic hazard maps for return
600 periods (T_{NCR}) of 475 and 2500 years are reported. Canterbury is located in a zone with
601 Peak Ground Acceleration (PGA) ranges of 0.00-0.02g ($T_{NCR} = 475$) and 0.02-0.04g
602 ($T_{NCR} = 2500$).

603 A safety assessment allows to understand the behaviour of the structure in order
604 to predict its future performance. The information provided by this type of evaluation can
605 be generalised and help defining the behaviour and the needs of similar structures under
606 seismic actions, mainly regarding: typical collapse mechanisms, areas of concentration
607 of damage, specific structural requirements, repairing or retrofitting for preservation.

608 This section presents an analysis of the case study under vertical and lateral
609 actions. In order to monitor the progression of tensile cracking and crushing zones until
610 the global failure of the typical bay and evaluate the present safety of the cathedral, the
611 dead load in the model, with the current level of infill, was increased to obtain the vertical
612 capacity using nonlinear static analysis, both in a conventional approach and considering
613 a phased analysis. The latter allows to evaluate the influence of the constructive process.
614 Both analyses were performed including the imposition of differential settlements.
615 Therefore, 4 load cases are considered: 1) gravity loading increase (NonL-Z); 2) gravity
616 loading plus settlements plus gravity load increase (Settle_NonL-Z); 3) phased analysis
617 of gravity loading, followed by gravity load increase (Phased_NonL-Z); and 4) phased
618 analysis of gravity loading, followed by settlements, followed by gravity load increase
619 (Phased_Settle_NonL-Z). Here, it is noted that the increase of gravity loading does not
620 increase settlements, which seems reasonable if the source of settlements is removed
621 (drainage) or the soil has consolidated.

622 A comparison of the results is presented in **Erro! A origem da referência não**
623 **foi encontrada.**: the maximum vertical capacity is not significantly affected ($\approx 3\%$) by

624 the construction process. Nevertheless, it is evident the increment ($\approx 25\%$) in the stiffness
625 for the initial segment of the curve under self-weight. The phased analysis confirms that,
626 considering the construction process, the structure gains, initially, stability due to the
627 increasing vertical load before the presence of the vault inducing lateral thrust. In the
628 conventional nonlinear analysis, instead, the thrust of the vault affects the building from
629 the very beginning of the process. However, differences are not significant and phased
630 analysis is more computationally expensive. Without loss of generality, in the following
631 only the results of the conventional nonlinear analysis are discussed.

632 The maximum applied vertical load was 2.8 times the self-weight (NonL-Z in
633 **Erro! A origem da referência não foi encontrada.**). At that point, areas in the
634 springings of the nave and lateral vaults are close to crushing, as shown in **Erro! A**
635 **origem da referência não foi encontrada.**a, b. The failure mechanism consists of large
636 outward rotations for the clerestory walls. The piers follow a second order deformation,
637 as they are partially constrained by the system of lateral vaults and counteract with the
638 large thrust from the nave vault. The lateral aisles are pressed inwards. At all points of
639 high curvature, tensile damage zones form, reaching deep in the structural parts. The nave
640 vault, cracks along the vertex and crushing zones are evident at the last stage of analysis,
641 close to failure at the springing of the nave vault and in the spring line of the lateral vaults
642 with the piers (**Erro! A origem da referência não foi encontrada.**a, b).

643 The safety margin, under the presence of vertical loading and soil settlements in
644 the south buttress, is assessed. The displacement field applied at the base of the south
645 buttress is the chosen reference point of 5 cm displacement. The maximum vertical load
646 is 2.6 times the dead load, decreased by 7% from the vertical capacity without settlements
647 (Settle_NonL-Z in **Erro! A origem da referência não foi encontrada.**). A decrease in
648 stiffness is evident, accounting for imposed tensile damage zones by the displacement

649 field at base. The propagating failure mechanism is the failure of the inner springing of
650 the south lateral vault, which is accompanied with large rotations and results to a brittle
651 failure and possibly collapse of the south part of the section as seen in **Erro! A origem**
652 **da referência não foi encontrada**.c, d and **Erro! A origem da referência não foi**
653 **encontrada**.. In conclusion, all studied scenarios provide an acceptable safety margin
654 with respect to the self-weight of the structure.

655 In a second stage of the assessment, the 4 aforementioned combinations of loads
656 are followed by a further nonlinear analysis under a mass proportional lateral load, to
657 understand the seismic performance (not relevant for Canterbury). The lateral load was
658 applied in the x-x direction, following the outward movement of the south buttress. For
659 the sake of clarity, case 1 to 4 became Pushover+X, Settle_Pushover+X,
660 Phased_Pushover+X, Phased_Settle_Pushover+X, respectively. **Erro! A origem da**
661 **referência não foi encontrada**. shows no significant differences between the curves by
662 comparing the maximum capacity in terms of force. Generally, the responses are ductile
663 and settlements induce a reduction of the stiffness in the initial part of the curve.

664 As before, in the following, only the results of the Pushover+X curve are
665 discussed. The structure's capacity under horizontal loads is 0.09g (**Erro! A origem da**
666 **referência não foi encontrada**.), more than double the higher PGA value reported in the
667 hazard maps (PD 6698 2009). After peak load, the horizontal displacement at the nave
668 crown increases, reaching over 0.1m. For the lateral loading, the failure mechanism
669 consists of large deformations of high curvature for the lateral aisles, clerestory walls and
670 the nave vault, with fully formed plastic hinges in several structural elements, where the
671 tensile failure zones have reached deep in the structural parts, mainly in the extrados of
672 the north flying buttress and the south lateral vault, while large vertical and horizontal
673 cracks divide the south buttress near the base (**Erro! A origem da referência não foi**

674 **encontrada**.a, b). Through the assessment of the lateral capacity, accounting for the
675 effect of settlements, the structure has a lower overall stiffness, which results in larger
676 deformations at an early stage. The failure mechanism consists of a fully formed hinge in
677 the middle span of the south flying buttress, a group of progressive horizontal cracks in
678 the intrados of the south buttress and several hinge lines along the longitudinal vertex of
679 all the vaults (**Erro! A origem da referência não foi encontrada**.c, d). In conclusion,
680 all studied scenarios provide a similar and rather low seismic capacity for this structure,
681 indicating the need of studies in case of Gothic cathedrals in seismic regions.

682 **11 Comparison with graphic statics**

683 A graphic statics analysis was performed in the transverse cross section of the nave, in
684 order to investigate graphically the global stability of the nave and the level of stresses at
685 the base of the vertical elements. The nave's cross section is discretized in macroelements
686 and the analysis was conducted under self-weight forces, applied at the centre of mass of
687 each voussoir.

688 An arch is considered stable if any possible thrust line is contained between its
689 boundaries, defined by a maximum and a minimum thrust line (**Erro! A origem da**
690 **referência não foi encontrada**.a) (Pela and Roca 2014). During the in situ inspection in
691 the nave of Canterbury Cathedral, no cracks were identified in the arcade arches, the
692 clerestory arches of the nave and the arches in the windows of the aisles that could
693 indicate the formation of hinges. Given the fact that the load in the arches is considered
694 mostly uniform and symmetric, the maximum thrust line will be used next in the graphic
695 statics analysis.

696 The flying buttresses in sections 2 and 3 of the south aisle (see **Erro! A origem**
697 **da referência não foi encontrada**.), and according to the damage survey, experience

698 significant joint failure in the intrados of the free span, initiated by the spreading of the
699 abutments. Thus, the corresponding thrust line should be close to the state of minimum
700 thrust, which is tangent to a hinge formed at the extrados (Block 2005). For the purpose
701 of conducting the thrust analysis, the minimum thrust line will be assumed with a hinge
702 at the extrados, between two voussoirs (**Erro! A origem da referência não foi**
703 **encontrada.b**).

704 As far as the force trajectories, considered in the case of a Gothic quadripartite
705 lierne cross vault under dead load, they follow the steepest descent towards the supports
706 and depending on the curvature of the shells they can either be targeted directly to the
707 supports, coinciding with the principal ribs configuration or through shortest paths,
708 towards the diagonal ribs or even under a superposition of both. The most appropriate
709 force path is dependent on the loading conditions and the geometry of the Gothic vault
710 (**Erro! A origem da referência não foi encontrada.c**) (Block 2009).

711 The slicing technique, discussed by Karl Mohrmann (Ungewitter 1890) and
712 applied schematically by Wittmann (1879) and Planat (1887), suggests that any three-
713 dimensional vault can be analysed using the 2D thrust line analysis technique, by
714 decomposing the vault into two-dimensional strips. Thus, the web of the vaults is
715 analysed as several 2D arches, which transfer the forces to the diagonal ribs in the form
716 of increments. The ribs later transferred those forces, as diagonal thrusts, to the abutments
717 (Block 2009). In order to obtain the resultant thrust at each quarter of the Gothic cross
718 vaults, with the corresponding infill volume, the resultant force is applied at the centre of
719 mass, which graphically corresponds with sufficient approximation to the plane of the
720 diagonal ribs. Due to the symmetry, an identical thrust component will be applied from
721 the adjoining quarter of the next cross vault. Thus, the two opposite thrust components in
722 a plane vertical to the transversal rib are exempted and the resultant thrust of the Gothic

723 cross vault system in each abutment will be in the plane of the transverse rib. Lastly, in
724 the resultant thrust of the vaults the part from the transversal rib is added (**Erro! A origem**
725 **da referência não foi encontrada.d**).

726 The additional forces and points of application from the discretized blocks in the
727 longitudinal and transversal direction, are depicted in force vectors, as shown in **Erro! A**
728 **origem da referência não foi encontrada.a**. The designed thrust line and the values of
729 the horizontal and vertical components at base are depicted in **Erro! A origem da**
730 **referência não foi encontrada.b**, where regarding the thrust line in the cross section of
731 the vaults, it corresponds to that of the diagonal ribs. It can be concluded that the structural
732 section of the nave under self-weight, is stable, since a possible line of thrust is contained
733 within its boundaries (Pela and Roca 2014). Regarding the current thrust line, the points
734 of tangency in the extrados of the lateral vaults and the flying buttresses, which
735 correspond to potential hinges, can be matched with the identified cracks on site (**Erro!**
736 **A origem da referência não foi encontrada.**).

737 The current equilibrium analysis stands as one of numerous alternative solutions,
738 regarding the force trajectories in the structural elements of the nave. Nevertheless, it is
739 accepted as a sufficient complementary approach, superposed with the results of the FE
740 analyses, as shown in Table 4, which provides excellent agreement.

741 **12 Conclusions**

742 In the current study, the structural assessment and vulnerability of Canterbury Cathedral
743 was conducted, accounting for different hypotheses on causes that could trigger structural
744 damage and can be correlated with existing damage patterns, as defined from the historic
745 research and the in situ damage identification. The current work provides also a basis for
746 discussion on the Gothic cathedrals structural behaviour and damage.

747 From the existing configuration of the typical bay of Canterbury cathedral, it is
748 evident that the structure can sustain the dead loads and is in good condition, except from
749 minor cracks in the vaults and the south buttresses. A repetitive diffused crack pattern in
750 the intrados at the level of infill of the aisle vaults, surrounding the capitals and the cracks
751 forming in the transition line between the vaults and the side walls, known as Sabouret's
752 cracks, are caused due to self-weight, at an early stage of application. The corresponding
753 cracks are located over tension zones created from the inward pressure of the lateral vaults
754 and the outward bending of the clerestory walls, which counteract the lateral thrusts and
755 result in deflections and 2nd order curvatures in the piers, a common phenomenon found
756 in Gothic cathedrals. According to the results of the phased analysis, the structural
757 damage in the aisle vaults may be induced at an early construction stage. From the
758 deformed configuration it can also be concluded that the flying buttresses, due to their
759 position, do not counteract the thrust from the nave vault. Instead, they force the
760 clerestory walls to bend outwards and they are more likely to work under lateral loads
761 from the roof system itself, which are proven to be not much relevant. The infill volume
762 over the columns appears to correlate with the intensity of the damage and the propagation
763 of tensile failure zones in the body of structural elements, being recommended to adopt
764 the traditional Gothic practice (filling 1/3 of the rise).

765 The nonlinear static analysis under dead loading and stiff foundations cannot
766 reproduce the existing damage pattern, in particular the cracks and spreading of the south
767 flying buttress in the central sections of the nave. The presence of soil settlements at the
768 south part of the typical bay, at some point during the lifetime of the structure, provides
769 better correlation with the existing crack pattern in the south flying buttress. It seems
770 therefore that foundation settlements were an important triggering mechanism of the

771 documented damage. The different analyses do not significantly alter the maximum
772 capacity of the structure in terms of ultimate vertical loading capacity.

773 Regarding the vulnerability assessment under vertical and lateral direction, it
774 appears that the structure performs well under vertical loads, as the self-weight can be
775 increased about 2.8 times. The typical bay's capacity under mass proportional lateral load,
776 replicating a seismic scenario, of 0.09g is low (indicate of low seismicity areas) and
777 indicates that the structure cannot withstand large lateral actions, which accounts for the
778 fact that Gothic structural members, such as thin aisle vaults and flying buttresses, have
779 limited capacity to withstand lateral actions, because of tensile damage, under inversion
780 of curvature (Roca 2001). Therefore, studies are highly recommended in case of Gothic
781 cathedrals located in seismic areas. Still, given the local hazard, this capacity can be
782 considered adequate, both for vertical and horizontal loading under current conditions. It
783 is also recommended to perform a parametric analysis, taking into account the
784 uncertainties on the material and geometric properties, aiming at evaluating their
785 influence on response of the structure and improve the knowledge on the structural
786 performance of Gothic cathedrals.

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948

949 Table 1. Mechanical properties of Caen stone masonry, infill masonry, wrought iron ties
 950 and anchor plates.

Mechanical properties		Caen stone masonry	Infill loose stone masonry	Wrought iron
Compression strength	f_c (MPa)	5.00	1.0	207
Modulus of elasticity	E (MPa)	3000	690	100000
Poisson's ratio	ν (-)	0.2	0.2	0.2
Tensile strength	f_t (MPa)	0.2	0.1	207
Fracture energy Mode I (tension)	G_f (N/mm)	0.012	0.012	-
Fracture energy Mode I (compression)	G_{fc} (N/mm)	8	1.6	-
Specific weight	ρ (kN/m ³)	21	19	76

951

952 Table 2 Frequencies and damping ratios of the first 12 modes.

MODE	FREQUENCY [Hz]	STD. FREQUENCY [Hz]	DAMPING RATIO [%]	STD. DAMPING RATIO [%]
1	1.29	0.13	2.04	0.90
2	1.43	0.01	2.47	1.04
3	1.73	0.02	2.14	0.28
4	2.27	0.14	3.42	1.51
5	2.43	0.01	2.56	1.33
6	2.68	0.04	3.81	2.75
7	2.70	0.01	3.62	2.91
8	3.11	0.04	2.18	0.52
9	3.38	0.02	6.99	7.06
10	3.58	0.03	5.42	4.88
11	4.00	0.04	2.02	1.00
12	4.27	0.03	1.87	1.39

953

954 Table 3. Modal participation mass for the first 20 modes at each direction.

MODE	FREQUENCY [Hz]	MODAL PARTICIPATION MASS x-x [%]	MODAL PARTICIPATION MASS y-y [%]	MODAL PARTICIPATION MASS z-z [%]
1	1.42	67.05	0.00	0.00
2	3.30	0.04	0.00	0.96
3	5.29	4.58	0.00	0.05
4	6.43	0.04	0.00	4.24
5	7.20	0.36	0.00	0.00
6	7.81	0.00	0.00	39.64
7	8.38	0.09	0.00	0.05
8	8.84	0.06	0.00	0.55
9	9.19	0.02	0.25	0.00
10	9.29	1.76	0.00	0.11
11	9.30	0.02	0.24	0.00
12	9.40	0.18	0.00	0.64
13	11.16	0.00	3.50	0.00
14	11.17	0.00	2.44	0.00
15	11.40	10.55	0.00	0.03
16	12.19	1.50	0.00	1.05
17	13.61	0.00	9.80	0.00
18	14.42	0.03	0.00	0.00
19	14.50	0.06	0.00	11.23
20	14.75	0.46	0.00	0.59
TOTAL CUM.PERCENT.		86.79	16.23	59.14

955

956 Table 4. Comparison between resultant force vectors from the Graphic Statics and
 957 Linear Static analysis, in various sections.

Force vectors (kN)	Graphic Statics	Linear Static	Difference
Cloister (base)	633	700	10%
North Buttress (base)	2994	3343	10%
North Pier (base)	2385	2419	1%
South Pier (base)	2385	2437	2%
South Buttress (base)	3402	3596	5%
Left Springing South Flying Buttress	45	39	13%
Right Springing South Flying Buttress	144	130	10%

958

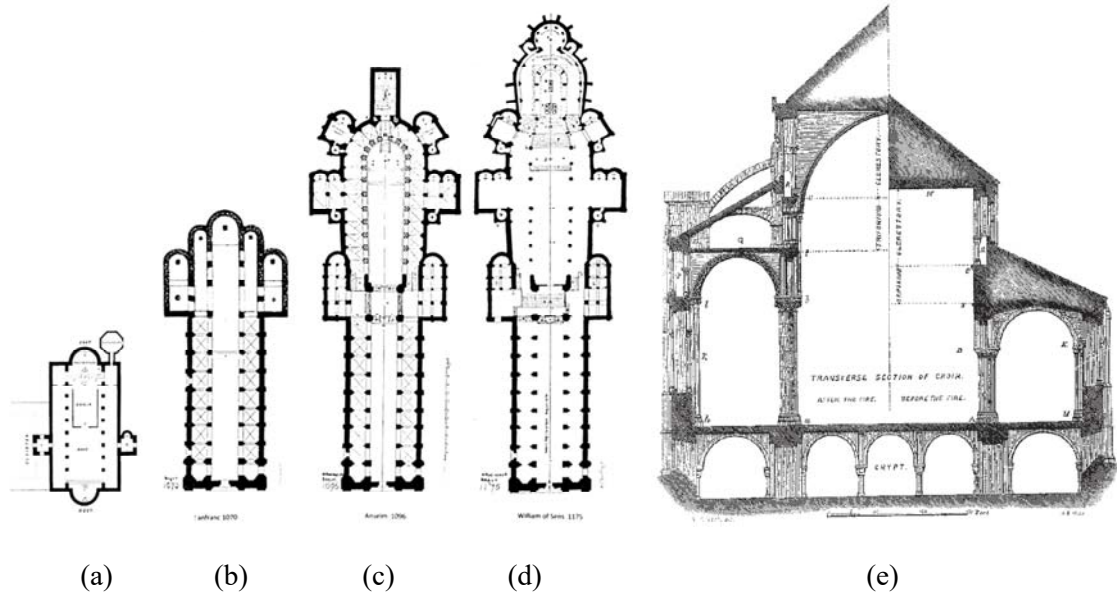


(a)

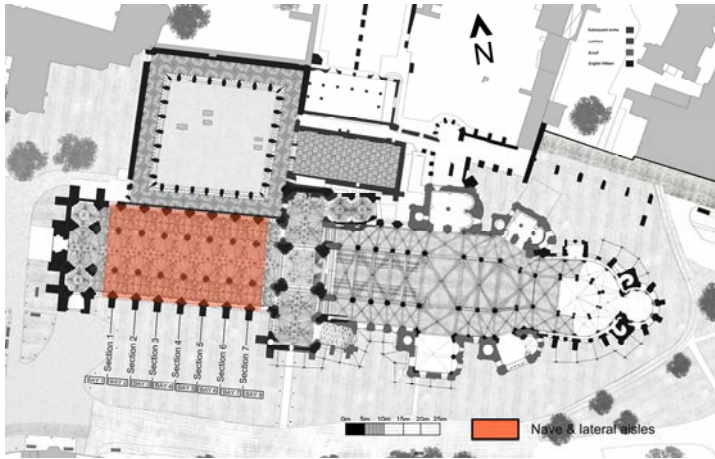


(b)

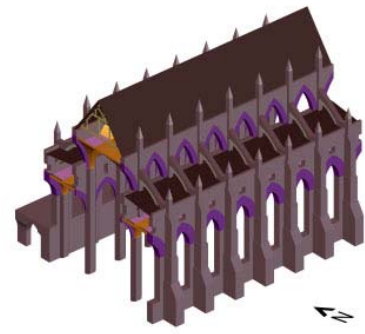
- 1 Figure 1. (a) Aerial view of Canterbury Cathedral from southeast (photo by John
- 2 Fielding 2013). (b) The west front aspect of the cathedral in 1821 before the completion
- 3 of the north-west tower (Collinson, Ramsay, and Sparks 1995).



4 Figure 2. Ground plans and sections of the cathedral as it evolved over time, from 1025
 5 to 1175. (a) The Anglo-Saxon Cathedral, as believed during the phase IV, (b) the
 6 Cathedral of Lanfranc, (c) the Cathedral of Anselm, (d) the Cathedral of William of
 7 Sens, (e) transverse section of the choir, with the left part the new Gothic Choir of
 8 William of Sens and on the right part the Archbishop Anselm's Choir (Dudley 2010;
 9 Collinson, Ramsay, and Sparks 1995).



(a)



(b)



(c)



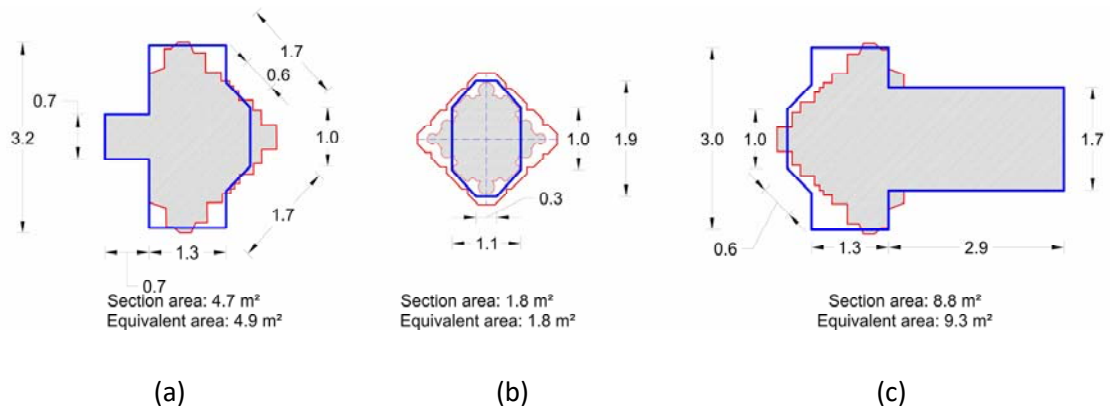
(d)

10 Figure 3. (a) Top plan of Canterbury Cathedral in present time, depicting the nave and
 11 lateral aisles area (Wright 2011), (b) geometrical model of the nave, lateral aisles and
 12 the adjoining part of the cloister, (c) view of the south aisle, presenting the system of
 13 vertical and flying buttresses, (d) view of the cloister arcade, attached to the north aisle.

14

15

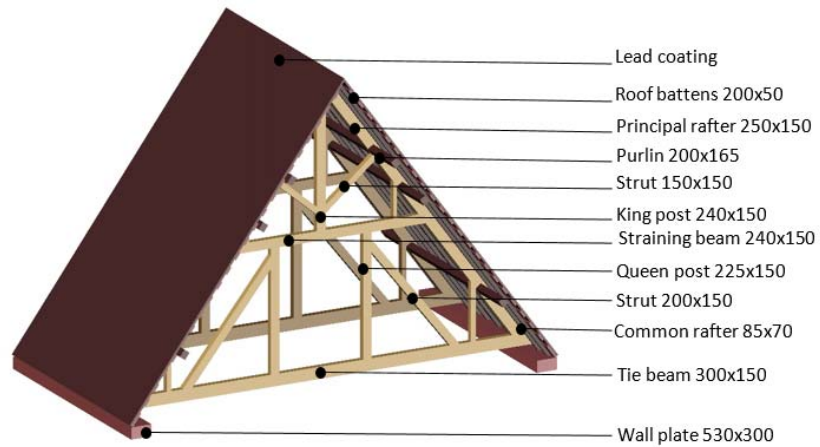
16



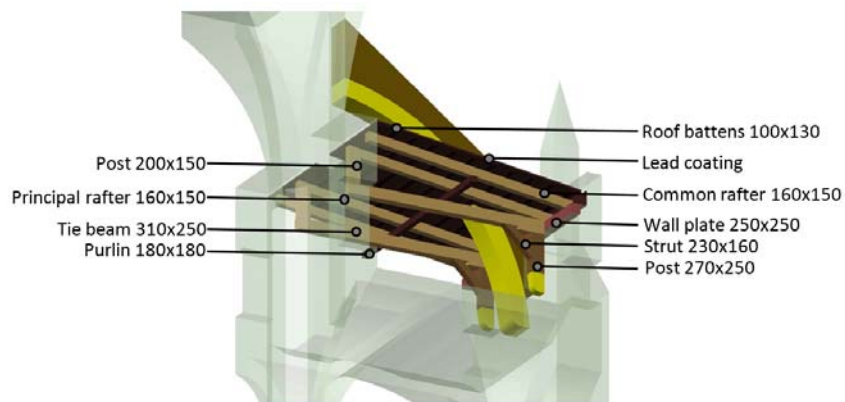
23 Figure 5. Sections depicting the actual (red) and chosen (blue) equivalent dimensions
 24 (meters) and area of the piers and buttresses, for (a) the north buttress, (b) the pier and
 25 (c) the south buttress.



26 Figure 6. Part of the exposed foundation at the west corner of the southwest transept.

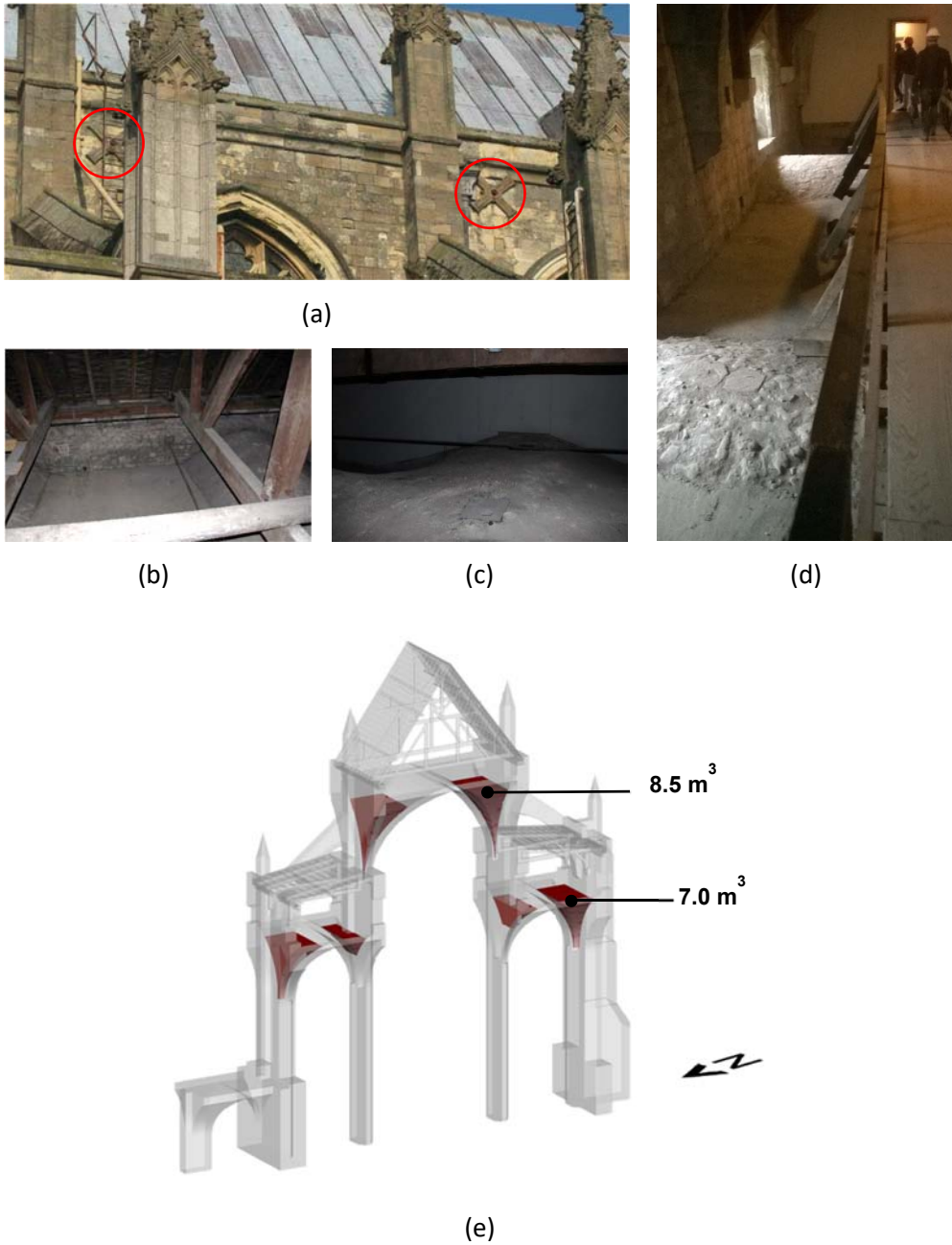


(a)

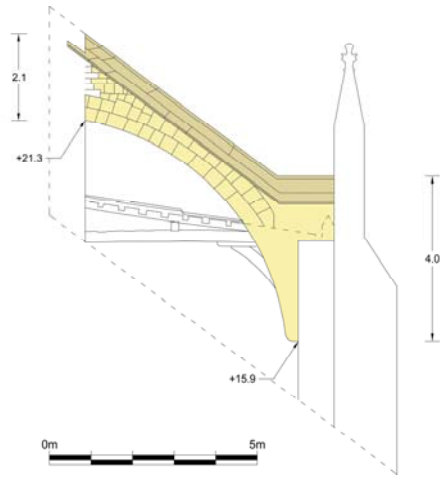


(b)

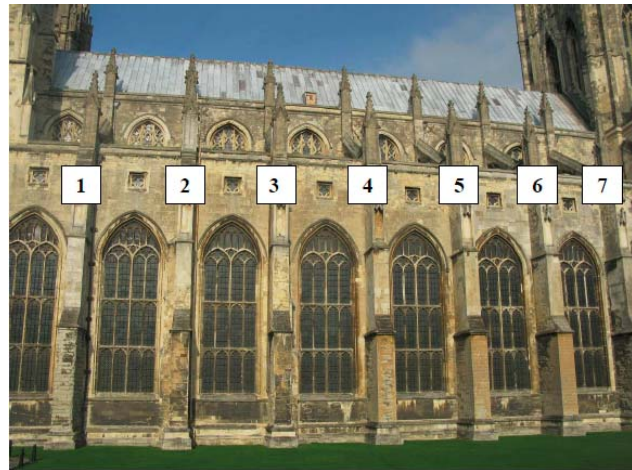
27 Figure 7. The roof system of the cathedral: (a) Structural parts of the roof framing in the
 28 nave and section areas (millimetres); (b) structural parts of the roof framing in the south
 29 aisle of the cathedral and section areas (millimetres).



30 Figure 8. (a) External view of the nave clerestory walls of the cathedral, depicting the
 31 two anchor cross shaped plates on the right side of each transverse section; (b, c) infill,
 32 cross vault system and roof frame at south aisle roof void; (d) inside views of the roof
 33 void in the nave, depicting the iron tie in the clerestory walls above the vaults, with the
 34 coupling system at mid-span; (e) infill volumes in 3D representation of the south half
 35 nave section of the cathedral.

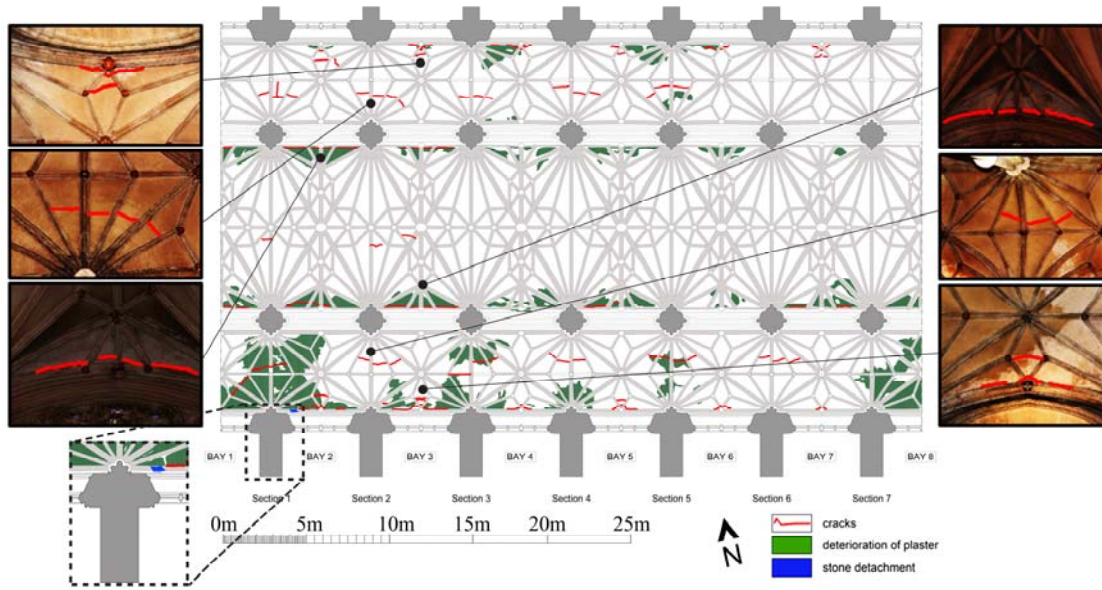


(a)

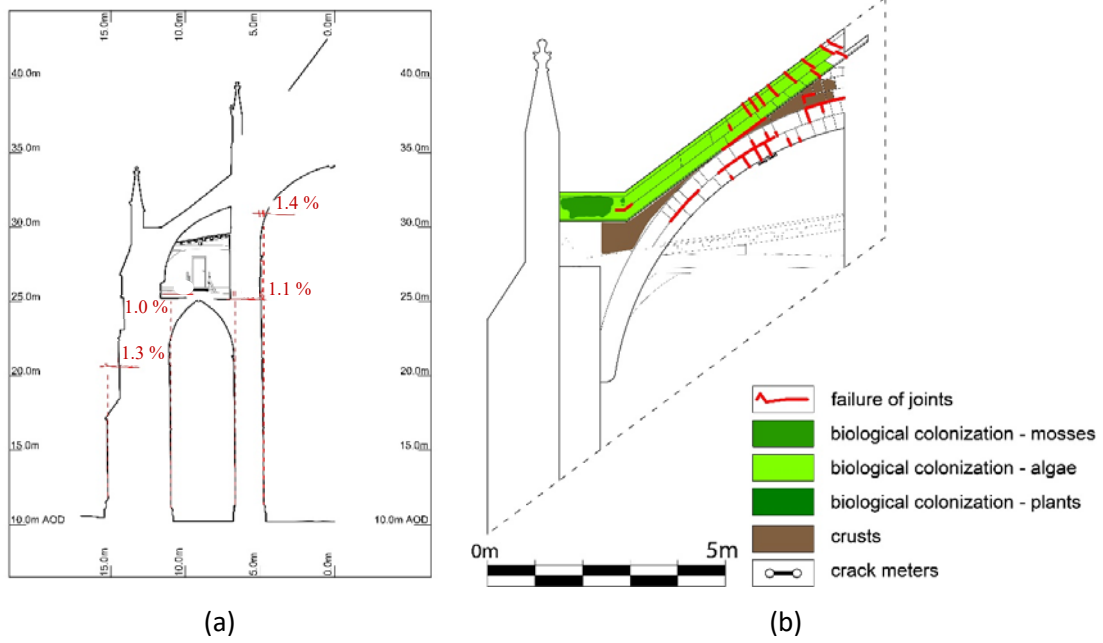


(b)

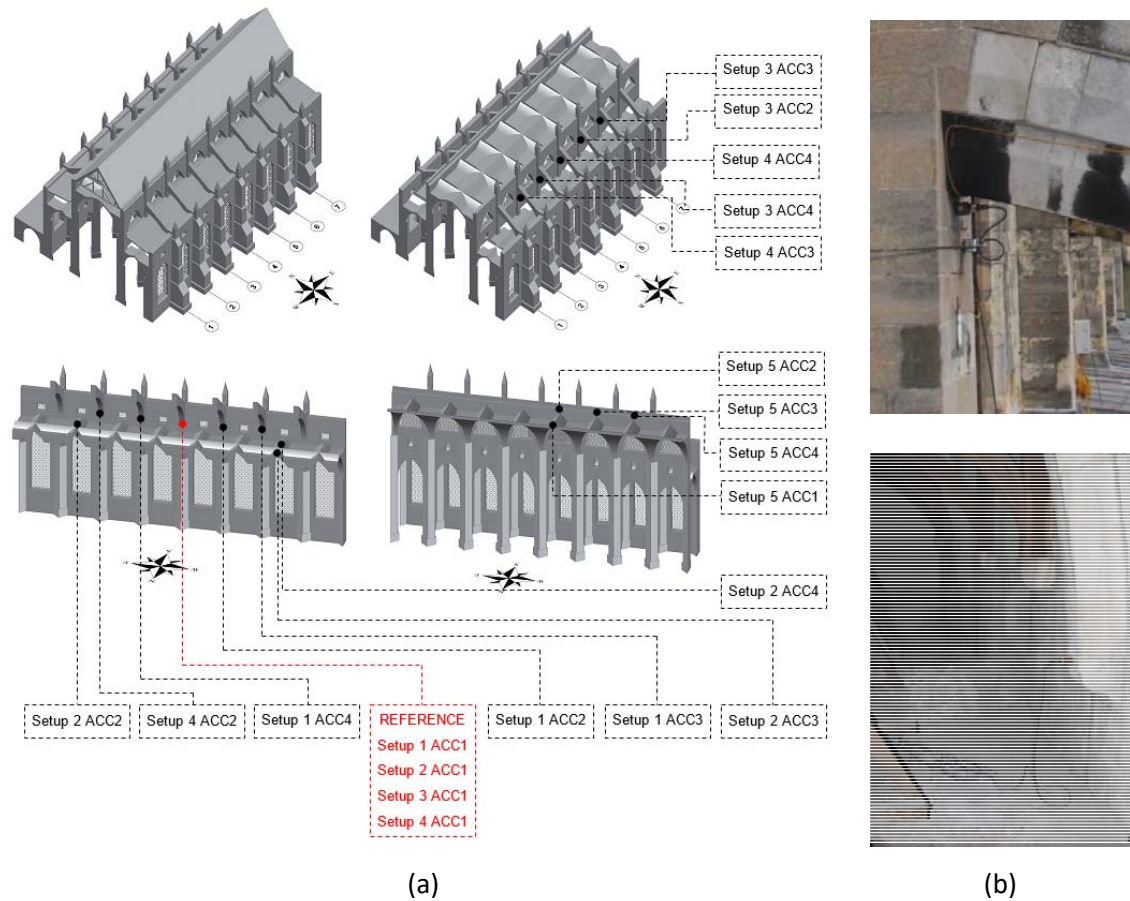
36 Figure 9. (a) East view of flying buttress 2 in the south aisle of the cathedral, depicting
 37 the connection between the clerestory wall and vertical buttress, as well as elevation
 38 levels from the base; (b) view of the South aisle of the cathedral, presenting the
 39 numbering of the seven transverse sections.



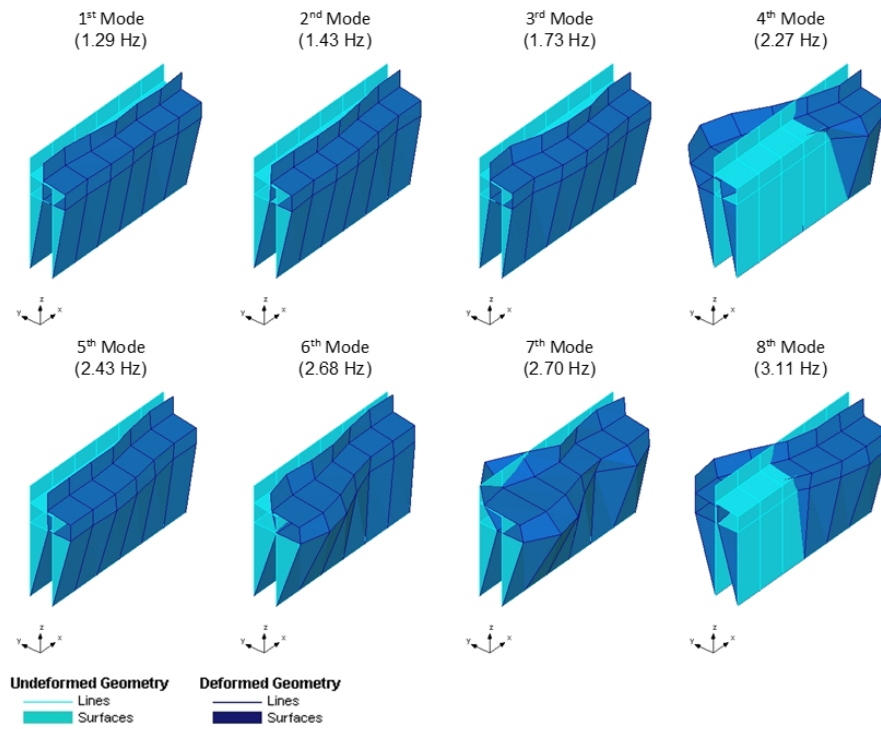
40 Figure 10. Damage map of the intrados of the vault system in the nave and lateral aisles
 41 of the cathedral.



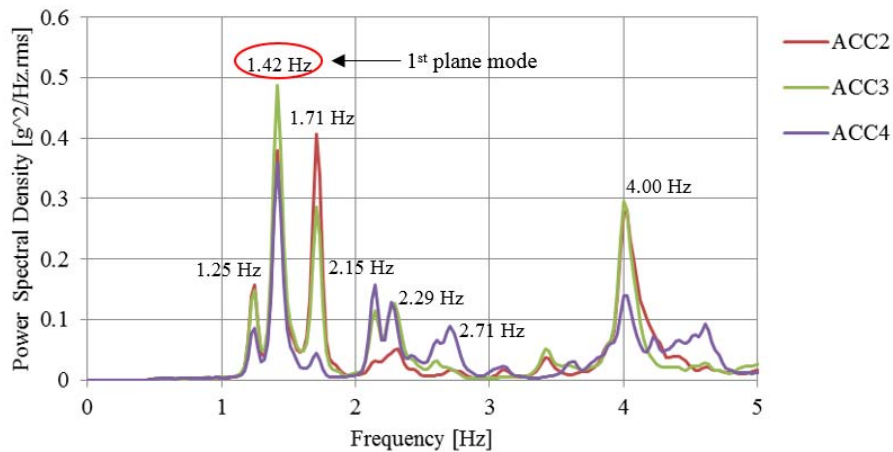
42 Figure 11. (a) 3rd from the east cross section, depicting the south aisle and half of the
 43 nave, including horizontal deformations with respect to the height, (b) damage map
 44 from the west view of the 3rd from the east flying buttress.



45 Figure 12. (a) Disposition of accelerometers in performed setups of the dynamic
 46 identification tests (Reference sensors depict in red colour); (b) Measuring equipment:
 47 (top) accelerometer on the intrados springing of the flying buttress, (bottom):
 48 accelerometer on the exterior cladding of the nave wall.

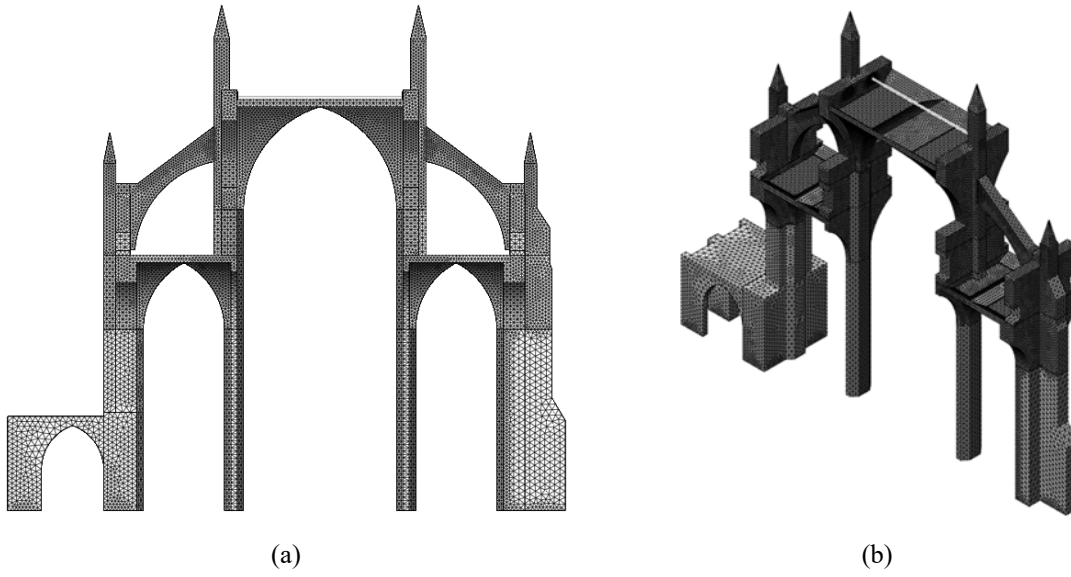


(a)

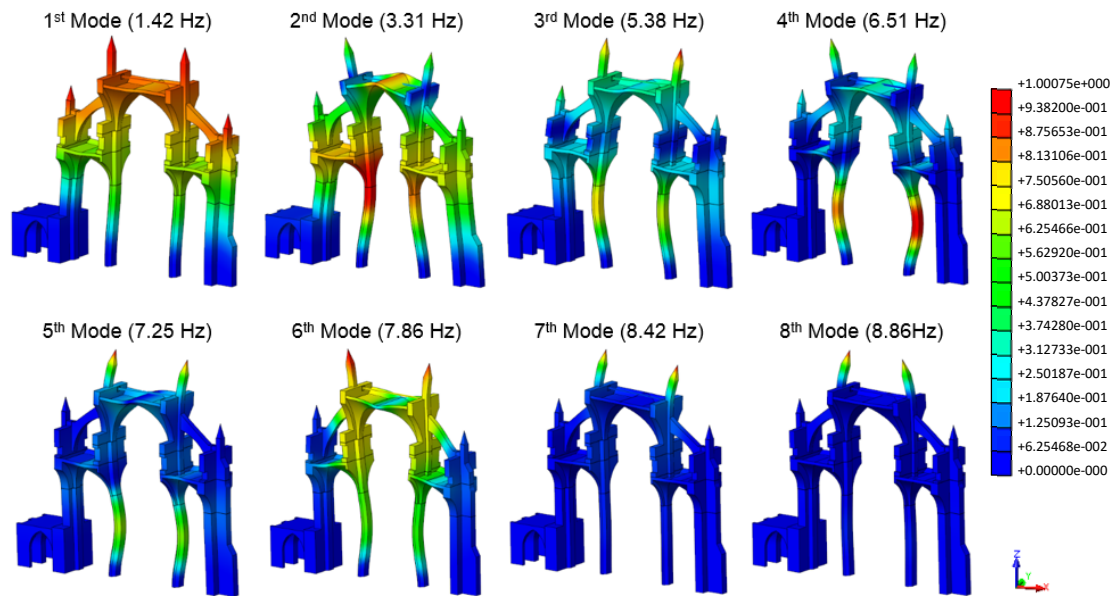


(b)

49 Figure 13. Dynamic identification tests in the South Aisle: (a) first eight mode shapes
 50 obtained from the Setups 1, 3 and 4; (b) averaged Normalized Power Spectral Density
 51 for the horizontal accelerometers of setup 5.

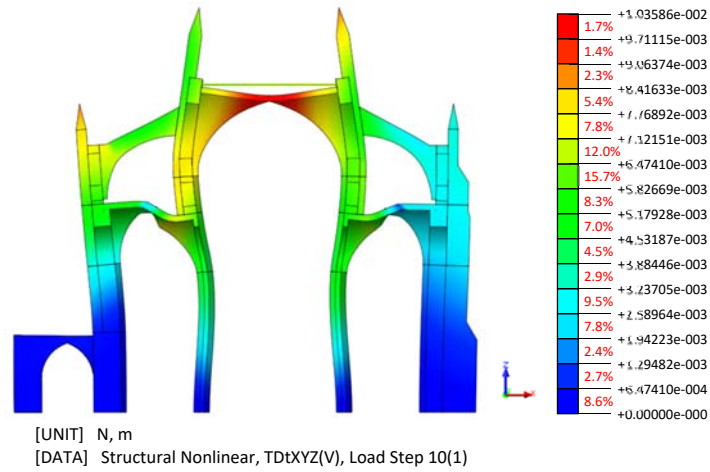


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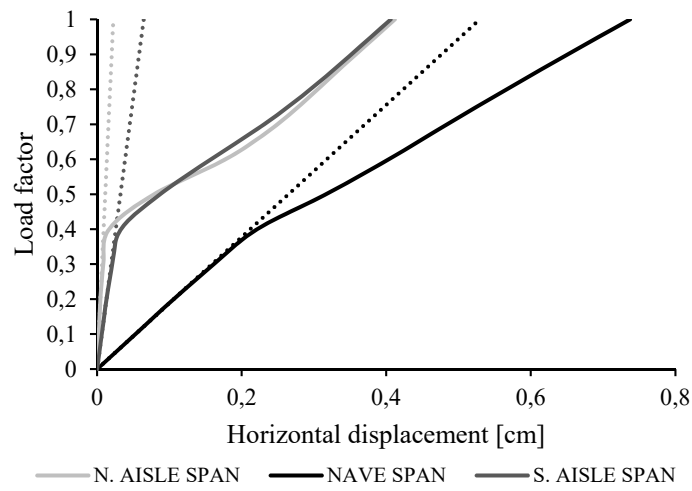


54 Figure 15. Mode shape configuration of modes 1 to 8, with the natural frequencies.

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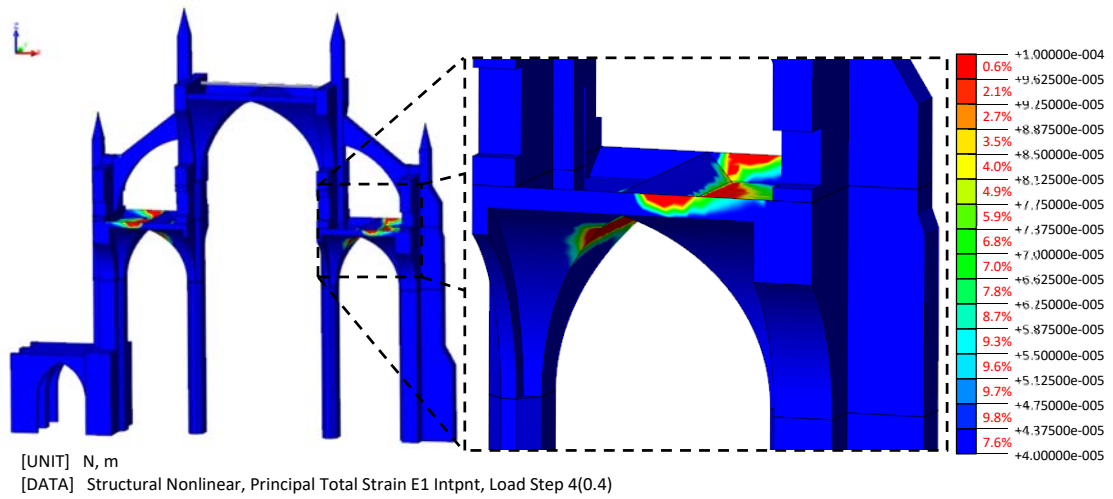


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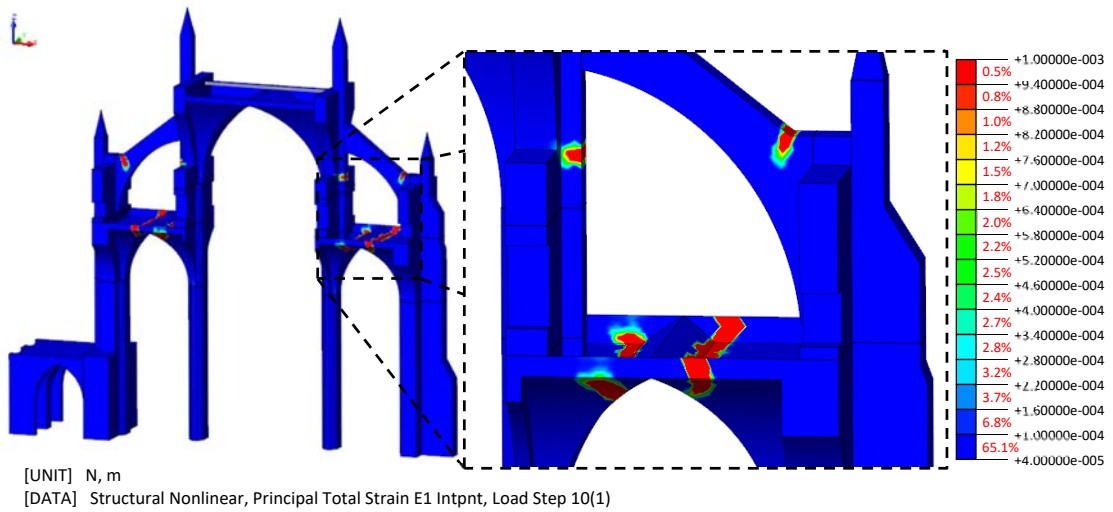


(b)

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 57 of the span opening in the nave and lateral aisles versus the load factor of the self-
 58 weight, superposed with the linear response in dashed lines.

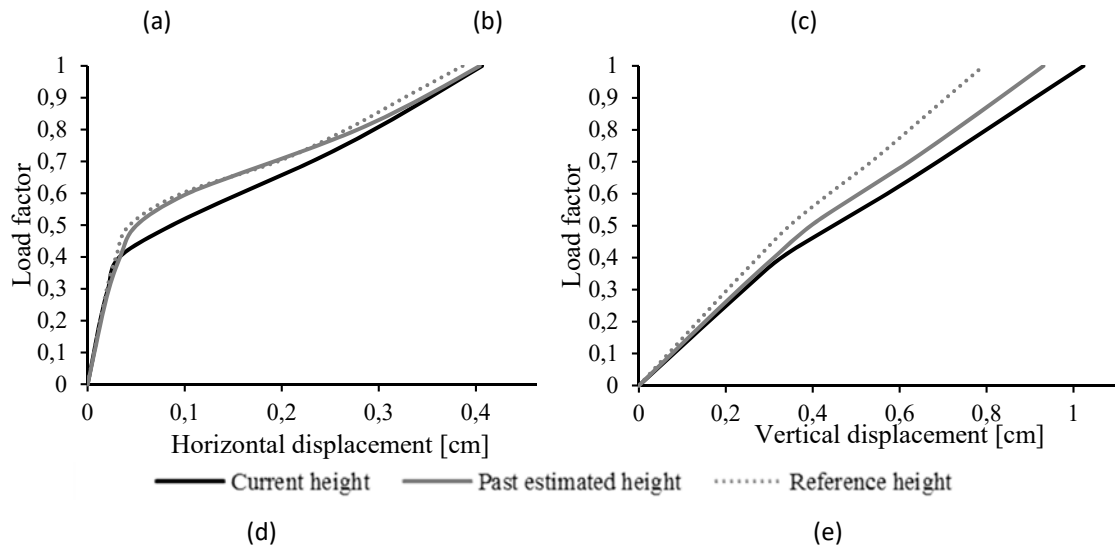
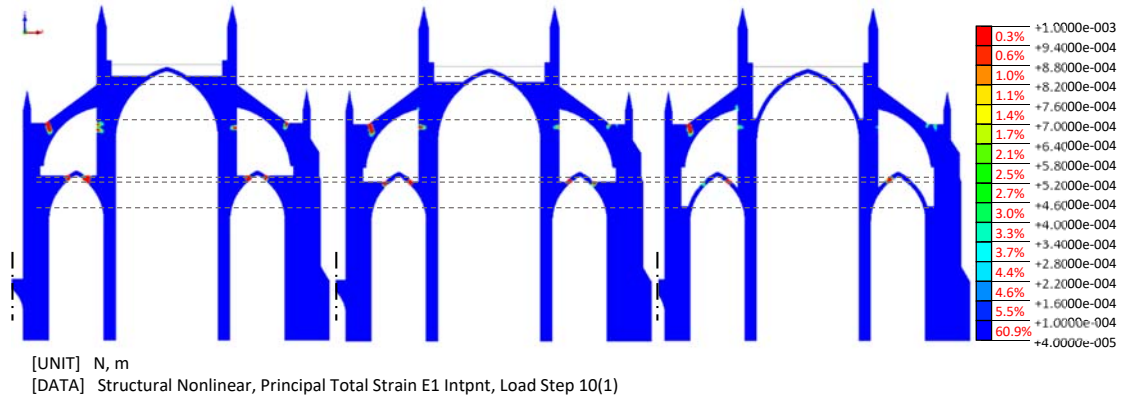


(a)

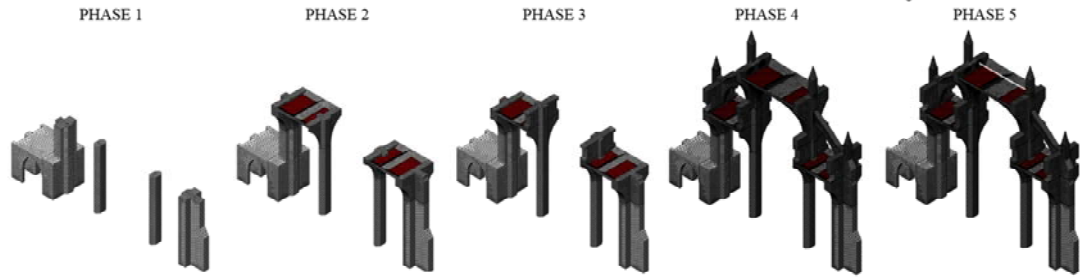


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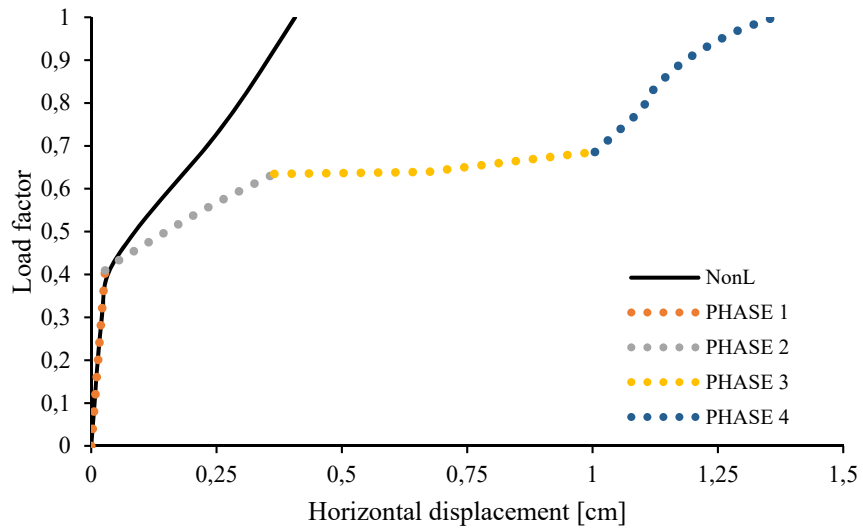
59 Figure 17. Nonlinear static analysis under dead-loads: (a) distribution of maximum
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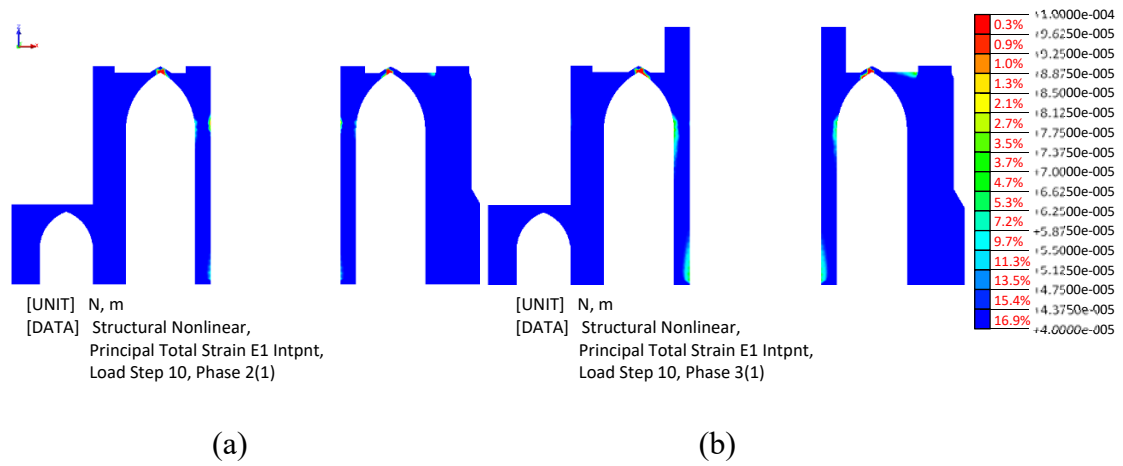
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66 Figure 19. Construction phases of a typical cross section.



67 Figure 20. Load factor versus horizontal displacement diagram of the south aisle span
 68 opening, for the nonlinear static analysis (NonL) and the phased nonlinear analyses
 69 (phase 1 to 4).



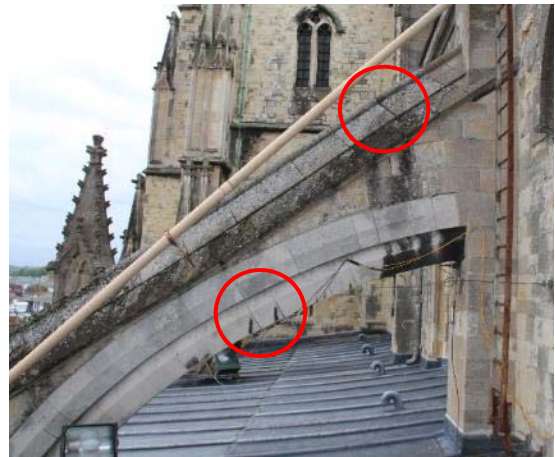
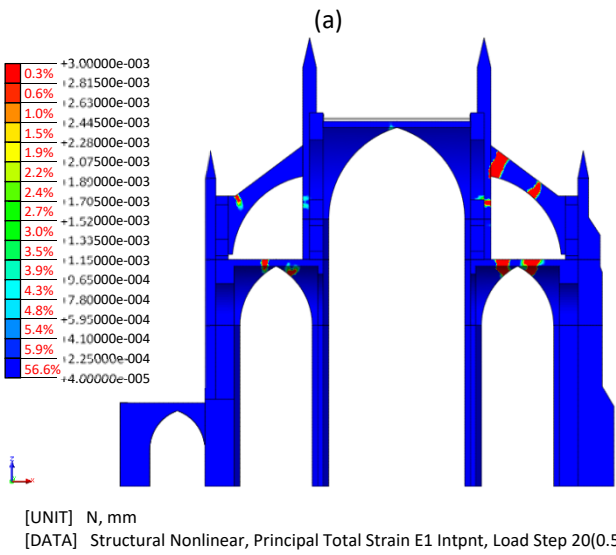
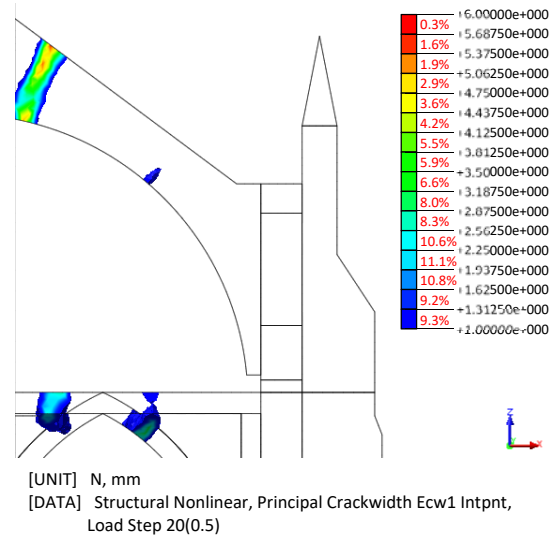
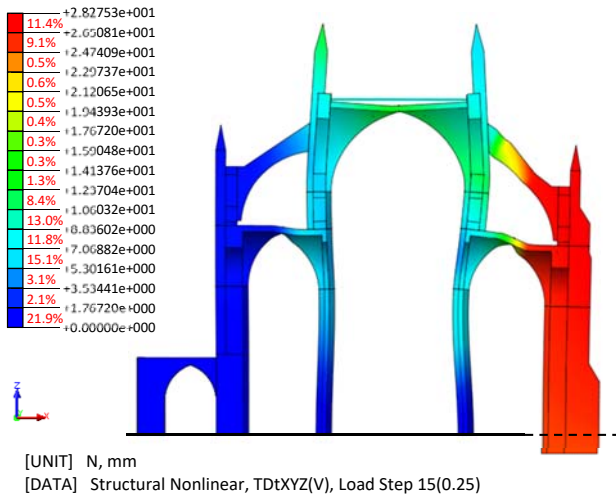
70 Figure 21. Distribution of maximum principal strains at last load step of phase 2 (a) and
 71 phase 3 (b), in a slicing plane, at the symmetry axis.

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(c)

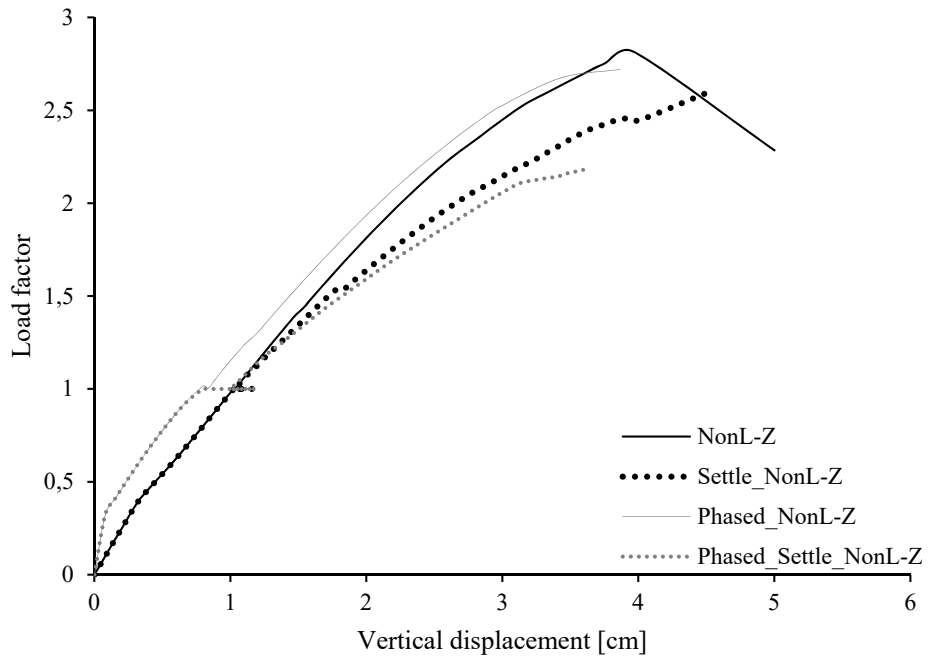
(d)

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 80 and the middle span of the south flying buttress, in section 3.

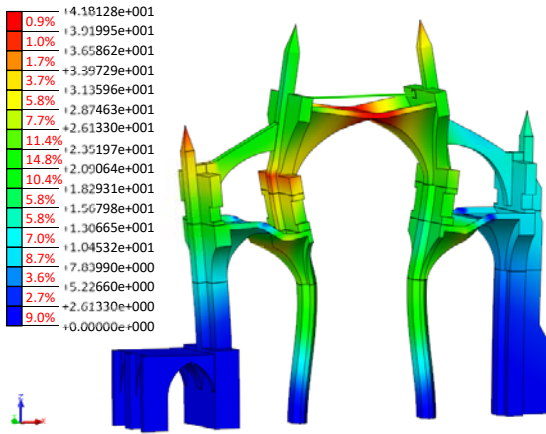
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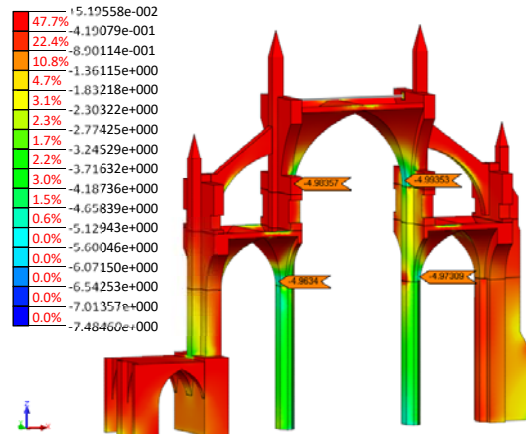


84 Figure 23. Load displacement diagram, depicting the vertical capacity in terms of
 85 vertical displacements of the nave crown: 1) conventional nonlinear analysis in vertical
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 87 followed by nonlinear analysis in vertical direction (Phased_NonL-Z); and 4) case 3)
 88 with settlements (Phased_Settle_NonL-Z).



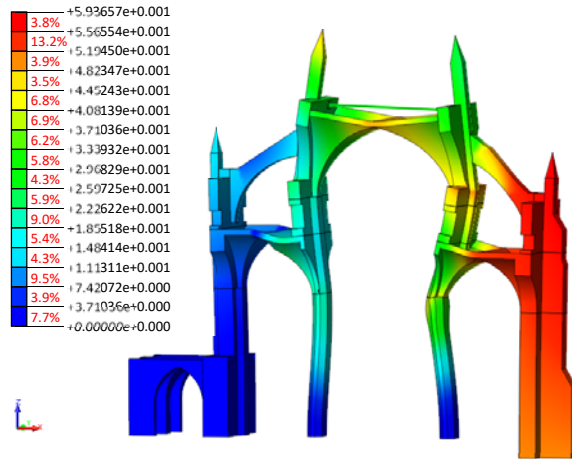
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(a)



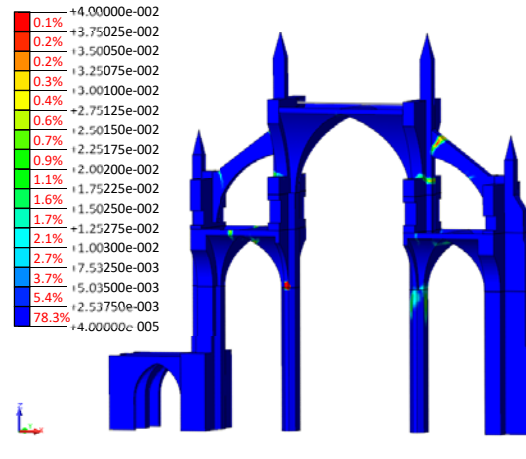
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(b)



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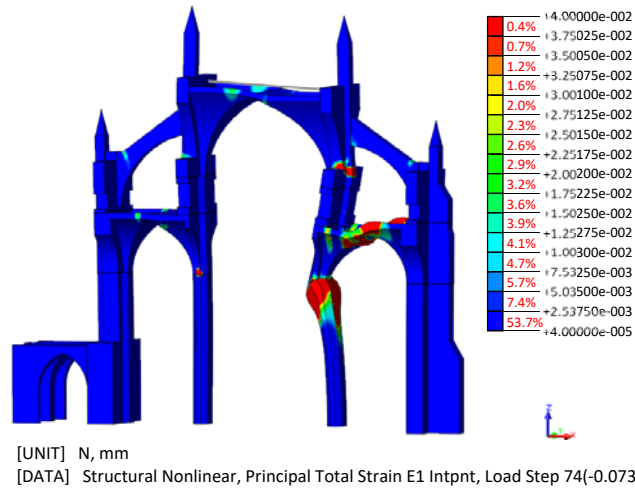
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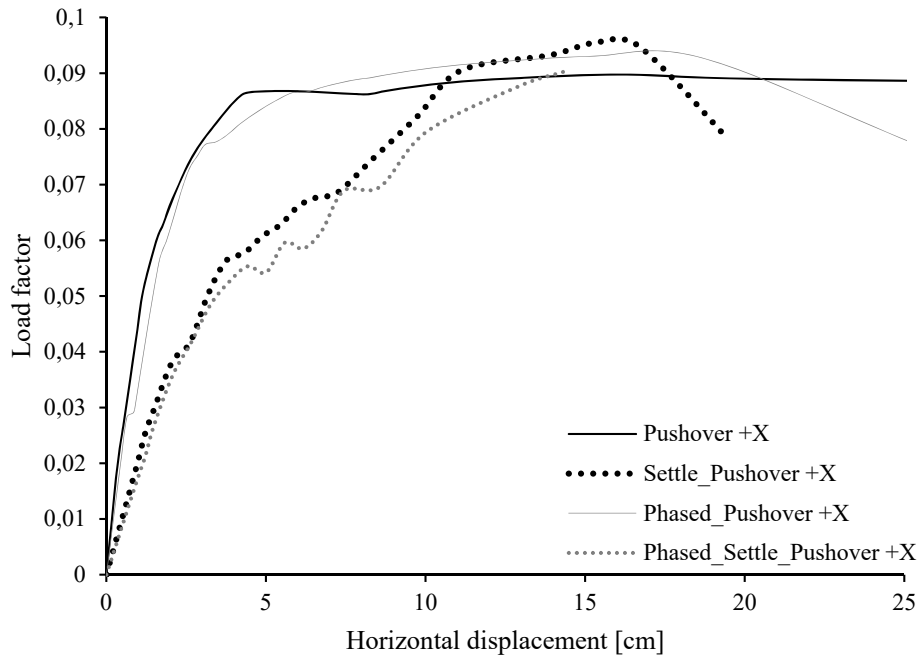
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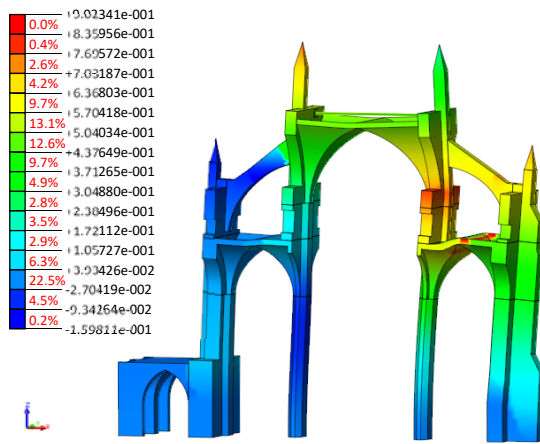
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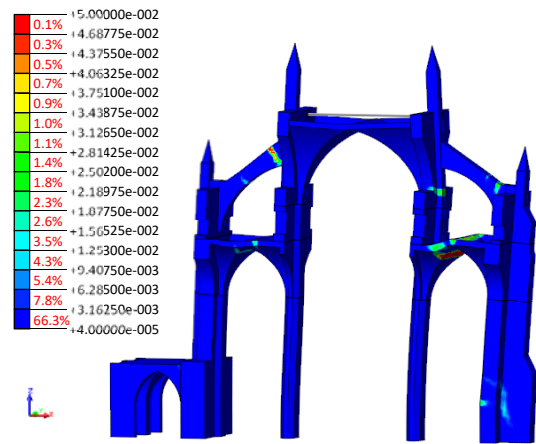


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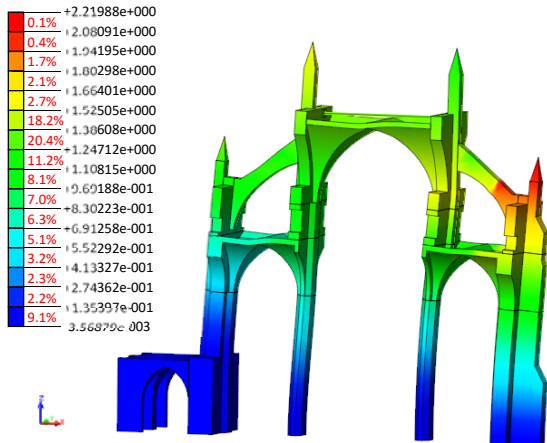
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(a)



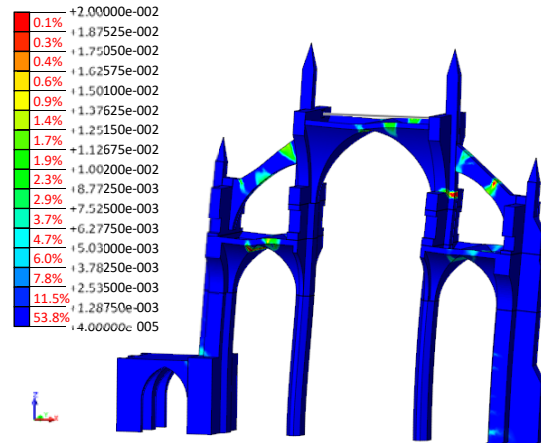
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(b)



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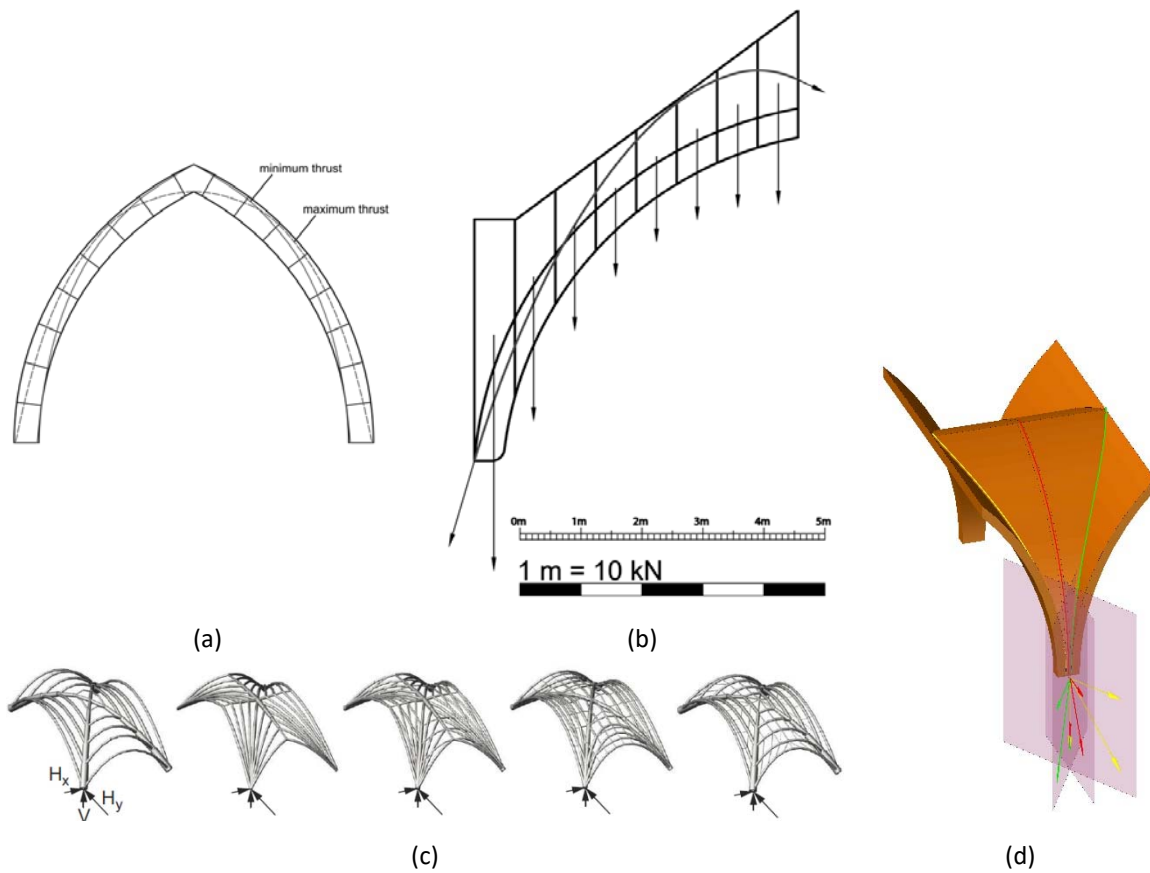
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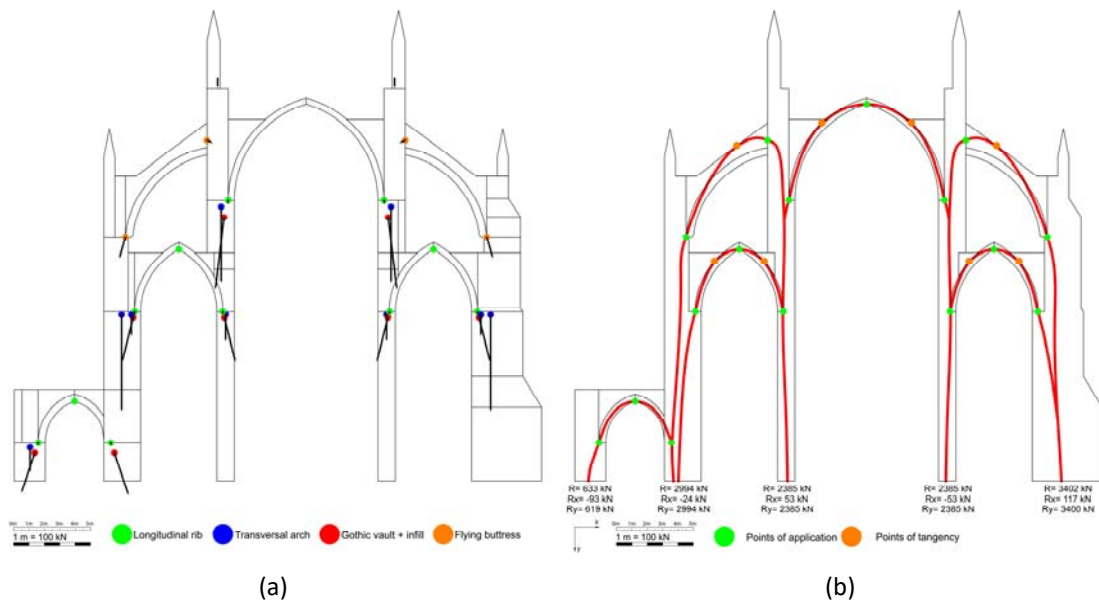
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(d)

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