

Derivation of the out-of-plane behaviour of masonry through homogenization strategies: micro-scale level

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Abstract

Two simple and reliable homogenized models are presented for the characterization of the masonry behaviour via a representative volume element (RVE) defined at a structural level. An FE micro-modelling approach within a plate formulation assumption (Kirchhoff-Love and Mindlin-Reissner theory) using Cauchy continuum hypotheses and first-order homogenization theory is adopted. Brick units are considered elastic and modelled through quadrilateral finite elements (FEs) with linear interpolation. Mortar joints are assumed to be inelastic and reduced to zero-thickness interface FEs. A multi-surface plasticity model governs the strength envelope of mortar joints. It can reproduce fracture, frictional slip and crushing along the interface elements, hence making possible the prediction of a stepped, toothed or de-bonding failure pattern of masonry.

Validation tests on the homogenized procedures are undertaken to conclude on the correct identification of the elastic stiffness properties, in the ability to reproduce the masonry orthotropic behaviour and the effect of potential pre-compressive states. Furthermore, the approaches are extended to characterize a case study of an English-bond masonry wall. Both the validation and application steps provide excellent results when compared with available experimental and numerical data from the literature. Conclusions on the influence of three-dimensional shear stresses and the effect of potential discontinuities along the thickness direction are also outlined.

The two homogenized approaches are, for the running- and English-bond masonry cases, integrated within a FE code. By providing reliable and low computational cost solutions, these are particularly suitable to be combined within multi-scale approaches.

36 **1 Introduction**

37 The analysis of the masonry behaviour in terms of strength and deformation modes is still a
38 challenge. Such complexity arises from: (i) the material heterogeneity, because of the
39 staggering between units and mortar joints; (ii) the non-linearity of the material components;
40 and (iii) the existence of planes of weakness which tend to govern the behaviour and damage,
41 because mortar joints are typically less stiff and less resistant than block units [1].

42 Advanced computational methodologies are being developed and constitute important tools for
43 the analysis of masonry structures [2]. Approaches such as the discrete element method are
44 quite accurate for the study of dry or weak mortar masonry structures and examples of its
45 application can be seen in [3,4]. These follow a large deformations formulation and with a
46 contact updating between block units, which can be rather rigid or deformable. Yet, conducting
47 a dynamic analysis within a 3D problem demands high processing times. Other advanced
48 numerical strategies, such the ones based on the finite element (FE) method are still receiving
49 more attention from the scientific community, being commonly designated as: (i) the direct
50 simulation or the micro-modelling approach, where units and joints are represented
51 individually; (ii) the macro-modelling approach, where masonry is represented as a
52 homogeneous material; and (iii) the multi-scale computational approach. The reader is referred
53 to [2] for a comprehensive overview of such strategies.

54 The approach proposed in this paper belongs to the so-called multi-scale methods based on the
55 homogenization theory. Homogenization is basically an averaging procedure performed at a
56 micro-scale upon a Representative Volume Element (RVE). On the RVE, a Boundary Value
57 Problem (BVP) is formulated allowing an estimation of the expected average response to be
58 used as constitutive relations at a macro-level. This framework has been used to investigate the
59 behaviour of composites with different natures [5–11] but is also useful for the study of
60 masonry structures [12–18]. Homogenization theory seems the most efficient compromise

61 between micro- and macro-modelling. The use of such an approach is appealing because it
62 allows deriving the macro-behaviour of masonry through the micro-scale characterization and
63 thus considering its texture, components properties and expected micro-failure modes. In this
64 way, the computational burden (in terms of CPU) is significantly reduced if compared with a
65 fully micro-mechanical description of the material, as demonstrated in [19].

66 The multi-scale finite element computational homogenization methods, see [5,7,10,20–23],
67 typically rely on a micro and macro transition of information and are thus designated as two-
68 scale or FE² approaches. The classical models are based on a first-order homogenization
69 scheme and, as its formulation relies on the first gradient of the kinematics field, two main
70 limitations may arise. The first is related to the principle of separation of scales, which enforces
71 the assumption of uniformity upon the macroscopic fields attributed to each RVE. It is known
72 that in macro-regions where high deformation gradients are present, the latter assumption is
73 not totally effective. The second limitation arises from the fact that the lengths of the two scales
74 are not intrinsically considered on this classical formulation and, therefore, mesh-sensitivity
75 issues and loss of ellipticity of the equilibrium [24] tend to appear when softening behaviour
76 of the material is present [25]. The latter demands a regularization process, for instance upon
77 the fracture energy terms [26,27], to guarantee the problem objectivity. In this scope, several
78 extensions of this method were developed trying to overcome these issues. Some authors
79 extended the classical method to a second-order homogenization [28,29], in which the
80 constitutive behaviour is derived from both the classic part and a higher gradient part and thus,
81 linking the length scales. Other researchers developed techniques that possibly permit the
82 enrichment of the kinematical constraints but still allowing for the use of classical constitutive
83 forms. This is achieved preferably through the use of Cosserat continuum models [30–32]. The
84 well-posedness of the macroscale solution is thus achieved independently of the used mesh,
85 even if the assumption of the separation of scales is lost.

86 The main advantages of the classical FE^2 approaches are twofold: (i) flexibility on the method
87 to be used at a micro-scale, which can be based on the FE-method [10], Fourier series [33,34],
88 on Voronoi method [20] among others; (ii) it does not require any macro-constitutive relation,
89 because the macro-behaviour is totally dependent on the homogenized response derived on the
90 foregoing scale. Nevertheless, the classical FE^2 approaches (in particular the full continuum-
91 FE methods) are still a challenge in the non-linear range [19,25]. The advantages are especially
92 obvious when linear elastic behaviour is assumed but obtaining a micro-scale solution at each
93 load step for each Gauss point may turn the problem prohibitive from a computational point of
94 view. These strategies still have a higher computational cost if compared with a macro-
95 modelling one. So, the authors believe that if one intends to use homogenization strategies for
96 the study of large or more complex structures, the development of techniques to speed up the
97 processing running times is critical.

98 Some assumptions may be undertaken which can significantly reduce the computational cost
99 of an FE^2 approach. The use of homogenization methods based on the unit-cell theory, first
100 proposed in the elastic range by Hashin & Rosen [35] and in the nonlinear range by Teply &
101 Dvorak [36] through the use of the so-called hexagonal array model, is a possibility. In these
102 methods (see [37]), closed-form expressions are derived at a micro-scale from both equilibrium
103 and compatibility conditions at the RVE. After being solved or formulated these can provide
104 the homogenized quantities or describe phenomenologically the constitutive equations at a
105 macro-scale, see [17,38,39]. The use of closed-form solutions is, however, not so feasible in
106 the non-linear range, in complex loading cases or in cases where geometrical and physical
107 changes can occur. Another strategy is the use of the so-called adaptive multi-scale methods
108 [40–42], which take advantage of the best of the first-order theory and micro-modelling
109 approach. A first-order homogenized model represents initially the masonry behaviour until a
110 threshold criterion is reached. Such criterion may be able to account for the onset of damage

111 propagation or another high-gradient source. After reaching the threshold, the area of interest
112 is replaced and kept by an explicit microstructural description able to represent the high
113 localized deformation without the ill-posedness of the first-order theory, see [42] for the
114 masonry field application. These numerical models could be a valuable tool due to its
115 computational attractiveness. Many current studies on unreinforced masonry focus on in-plane
116 cases and for quasi-static loading of running-bond masonry and, therefore, more research is
117 required on structural models with other masonry texture and loading conditions, as out-of-
118 plane loads or seismic excitations.

119 Besides the assumptions undertaken at a micro-scale, there is also the possibility of using
120 simplified but still accurate methods that can be implemented at a macro-scale. The integration
121 of these models within a micro- to macro- homogenized formulation, i.e. where the material
122 constitutive information is transferred in one step from the micro- to the macro-scale, can be
123 very promising especially for the dynamic study of masonry structures. In fact, some proposals
124 can be found in the literature, for instance, the use of limit analysis [43], or the use of
125 discontinuous or discrete FE-models instead of the classical macroscale continuum-FE
126 strategies. Several works demonstrate its accuracy and computational efficiency when applied
127 to in-plane [43] and out-of-plane loaded masonry [31,44–46] but, as well, for masonry
128 structures subjected to dynamic loads [27,47]. The application of these methods is questionable
129 in cases where multiphase couplings may occur, as when thermal or hydro-mechanical effects
130 may exist. Still, the latter can be disregarded to occur in structural oriented problems.

131 From the above considerations, the general aim of the present study is to formulate two unit-
132 cell homogenized models. For the sake of avoiding a full three-dimensional discretization of
133 the masonry, both homogenized strategies follow plate (but different) element formulations.
134 Its validation is conducted considering experimental and numerical data available in the
135 literature.

136 oriented for both in- and out-of-plane analysis of unreinforced periodic masonry structures
137 which may be linked with a proper macro-scale model.

138 The majority of the existing research on masonry deals with running-bond texture within a
139 single-wythe walls case [12,17,18,39,48–50], being the study of English-bond textures
140 somehow under-investigated [47,51]. The novelty of this work is to present two homogenized-
141 based models oriented for both in- and out-of-plane analysis of English-bond masonry
142 structures. Due to its formulation differences, conclusions on the influence of three-
143 dimensional shear stresses and the effect of discontinuities/transversal joints along the masonry
144 thickness can be drawn. In the analysis, both linear and non-linear ranges are accounted, in
145 which masonry orthotropy and full softening behaviour are reproduced (material nonlinearity
146 lumped on mortar joints).

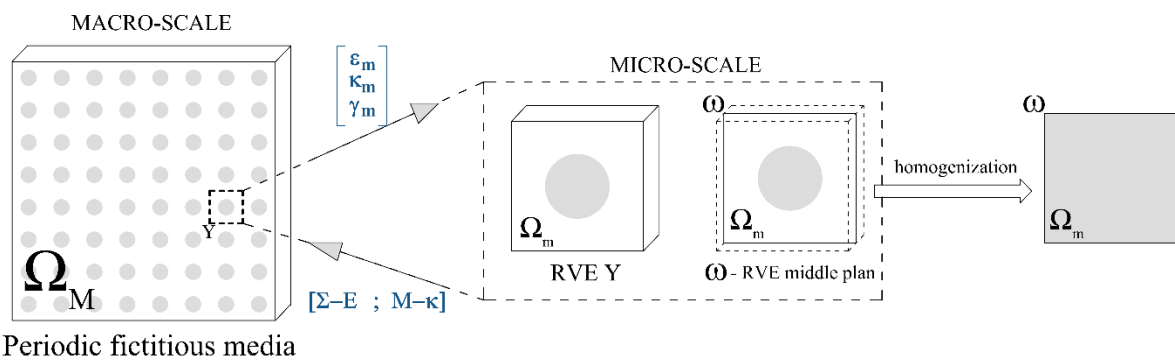
147 At last, it may be addressed that the procedures are fully integrated within the commercial
148 software DIANA [52] by exploiting its programming features. These are ready to be combined
149 with a FE² approach but, noticing the raised issues of full FE-continuum homogenized
150 strategies, especially suitable to be linked with a discrete-FE macro model aiming to obtain
151 reliable results with a quite attractive computational cost.

152 **2 Outline of the approach proposed**

153 Retrieving models at a micro-scale which are both accurate and implementable on simplified
154 two-step procedures is of most importance. On this behalf, two micro-scale homogenized
155 models based on the theory of plates are presented aiming at the characterization of the
156 behaviour of masonry at a cell level. The accuracy of the results is evaluated through the out-
157 of-plane quantities only. Since the in-plane behaviour of the elementary cell is intrinsically
158 considered to derive such quantities, these are not detailed to avoid redundancy.

159 Three main steps compose the classical procedure of a first-order homogenization scheme
160 [16,53]: (i) the definition and solution of the micro-scale problem; (ii) the micro-to-macro

161 transition; and (iii) the macro-scale problem solution. The present study focuses on the micro-
 162 level, being the formulation and solution of the microscopic problem herein presented. Thus,
 163 the macro-quantities which serve as input to solve the microscopic problem are considered as
 164 known in the theoretical formulation, as depicted in Figure 1. The general homogenization
 165 principles followed are exposed next. After the micro-mechanical model's presentation, their
 166 validation on linear and nonlinear ranges are discussed for running bond-masonry and extended
 167 to a case study of an English-bond masonry wall.



168 Periodic fictitious media

169 Figure 1 – Work-flow of the proposed unit-cell homogenized models.

170 3 Microscopic boundary value problem

171 The theoretical background for the development of the homogenized models is presented in
 172 what follows and directly applicable. The numerical models rely on a direct homogenization
 173 approach, which involves solving a micro-mechanical problem at a micro-scale and deriving
 174 average field variables. This information is then carried out to the macro-scale to constitutively
 175 describe the behaviour of the structure.

176 The definition of a proper RVE is essential, as it may be statistically representative of the body
 177 under study. It may accurately embody the heterogeneities of the material and be with a scale
 178 length sufficiently small to guarantee the validity of a first-order multi-step procedure. In the
 179 case of regular masonry, as running or English bond textures, periodicity is observed both at
 180 the micro- and macro-scales. When masonry components do not follow a random distribution

181 but instead a periodic one, it is possible to define only one RVE. The RVE will be discussed
 182 next for each considered texture and is herein denoted as Ω_m .

183 The kinematical description of the homogenized based-models for the in-plane case relies on
 184 the assumption that the macroscopic strain tensor \mathbf{E} is obtained as the volume average of the
 185 microscopic strain field $\boldsymbol{\varepsilon}_m = \boldsymbol{\varepsilon}_m(\mathbf{y})$ at each point over the associated RVE:

$$186 \quad \mathbf{E} = \frac{1}{V_m} \int_{\Omega_m} \boldsymbol{\varepsilon}_m dV \quad (1)$$

187 where V_m is the volume of the RVE. The microscopic strain field can be decomposed into a
 188 macro-scale and micro-scale contribution. The latter is referred as an additive decomposition
 189 of the microscopic strain tensor $\delta\boldsymbol{\varepsilon}_m = \delta\boldsymbol{\varepsilon}_m(\mathbf{y})$, given as reads:

$$190 \quad \delta\boldsymbol{\varepsilon}_m = \delta\mathbf{E} + \nabla^s u_m \quad (2)$$

191 where $\delta\mathbf{E}$ is the applied constant strain tensor over the RVE and $\nabla^s u_m$ is the gradient of the
 192 fluctuation displacement field. Bearing that $\boldsymbol{\sigma}_m$ is the microscopic stress field, upon RVE
 193 equilibrium, the homogenized generalized stress can be derived. The Hill-Mandell principle is
 194 based on an energetic equivalence between the macroscopic and microscopic work and allows
 195 to address the following relation:

$$196 \quad \boldsymbol{\Sigma} : \delta\mathbf{E} = \frac{1}{V_m} \int_{\Omega_m} \boldsymbol{\sigma}_m : \delta\boldsymbol{\varepsilon}_m d\Omega \quad (3)$$

197 which, according to the assumed additive decomposition of the microscopic strain tensor of
 198 Eq. (2), the macro-homogeneity principle reads as:

$$199 \quad \boldsymbol{\Sigma} : \delta\mathbf{E} = \frac{1}{V_m} \int_{\Omega_m} \boldsymbol{\sigma}_m : \delta\mathbf{E} d\Omega + \frac{1}{V_m} \int_{\Omega_m} \boldsymbol{\sigma}_m : \nabla^s \delta u_m d\Omega \quad (4)$$

200 for any kinematical admissible δu_m . Periodic boundary conditions are assumed to solve the
 201 BVP. Such consideration is extensively found in homogenization procedures [54], also for the
 202 particular case of masonry structures [19,55,56]. The periodic boundary conditions lead to a
 203 kinematical field that enforces anti-periodicity of the tractions to occur. The latter is depicted

204 in Figure 2a for the mode-I and horizontal bending mode, which can be mathematically
 205 described for any pair of $\{\partial Y_x^-, \partial Y_x^+\} \in d\Omega_m$ as:

$$\begin{aligned}
 206 \quad & \tilde{u}_{0,m}(\partial Y_x^+, t) = \tilde{u}_{0,m}(\partial Y_x^-, t), \text{ for the in-plane mode-I} \\
 207 \quad & \tilde{w}_{0,m}(\partial Y_x^+, t) = \tilde{w}_{0,m}(\partial Y_x^-, t), \text{ for the horizontal bending of a Kirchhoff-plate theory} \quad (5) \\
 208 \quad & \tilde{\theta}_m(\partial Y_x^+, t) = \tilde{\theta}_m(\partial Y_x^-, t), \text{ for the horizontal bending of a Mindlin-plate theory}
 \end{aligned}$$

209 Due to the periodicity of the displacement fluctuations on the boundaries, the minimal
 210 kinematic constraint required to obtain an admissible microscopic generalized displacement
 211 fluctuation is given by Eq. 6:

$$212 \quad \int_{\Omega_m} \nabla^s \delta u_m d\Omega = 0 \quad (6)$$

213 In this way, Eq. 4 can be simplified and expressed as:

$$214 \quad \Sigma : \delta E = \frac{1}{V_m} \int_{\Omega_m} \sigma_m : \delta E d\Omega, \quad \forall \delta \varepsilon \quad (7)$$

215 Thus, the corollary of the Hill-Mandell principle is that the homogeneous macroscopic stress
 216 tensor σ can be written as the volume average of the microscopic stress field $\sigma_m = \sigma_m(y)$ over
 217 the RVE:

$$218 \quad \Sigma = \frac{1}{V_m} \int_{\Omega_m} \sigma_m d\Omega \quad (8)$$

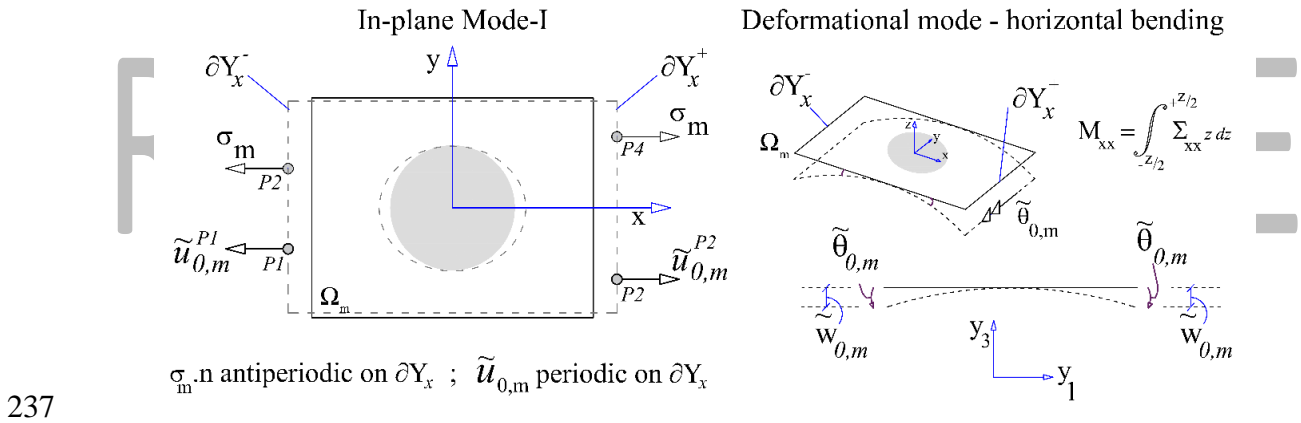
219 The variational principle and the use of periodic boundary conditions allow concluding that the
 220 external surface traction and body force field in the RVE are reactive terms over the imposed
 221 kinematical conditions. These kinematical boundary conditions are dependent on the
 222 deformational modes considered on the micro-mechanical level. Thus, the in-plane static
 223 equilibrium of the RVE is reached, for each kinematic constraint considered, without any
 224 external surface traction and body force terms. The variational principle holds when accounting
 225 for the out-of-plane quantities to assure the energy consistency between scales. The difference
 226 lies in the replacement of generalized stresses through moment and force terms, as seen in
 227 Eq.(9):

228
$$\mathbf{N}: \delta \mathbf{E} + \mathbf{M}: \delta \boldsymbol{\chi} = \frac{1}{V_m} \int_{V_m} \boldsymbol{\sigma}_m \delta \boldsymbol{\varepsilon}_m dV_m \quad (9)$$

229 Where \mathbf{N} , \mathbf{M} and $\boldsymbol{\chi}$ are the macroscopic membrane force, bending moment and curvature
 230 tensors, respectively and $\boldsymbol{\chi}$ is given by Eq. 10:

231
$$\boldsymbol{\chi} = -\frac{1}{V_m} \int_{\Omega_m} u_z dV \quad (10)$$

232 Note that u_z is the projection of the out-of-plane displacement vector defined by the periodic
 233 constraints applied to the RVE. Likewise, if one wants to consider the out-of-plane shear
 234 contribution, the term $\mathbf{T} \delta \boldsymbol{\gamma}$ may be added to the left-hand side of the variational principle of
 235 Eq. 8, where \mathbf{T} is the macroscopic transverse shear force tensor and $\boldsymbol{\gamma}$ the transverse shear strain
 236 vector.



238 Figure 2 – Representation of the boundary conditions imposed at a micro-scale on a fictitious
 239 RVE with double-symmetry: (a) for the in-plane mode-I and (b) for the horizontal bending
 240 deformational mode.

241 4 Nonlinear unit-cell homogenized models

242 The classical first-order homogenization theory is extended to develop two micro-
 243 mechanical models within a strain-driven formulation. Both models have been developed in
 244 DIANA by exploiting the software programming capabilities [52] and making use of the
 245 available FE library and constitutive material models. A python script has been developed to

246 provide a fully automatic procedure for the modelling, processing and post-processing stages.
247 The proposed homogenized procedures try to cover three features: (i) be capable of studying a
248 representative volume element (RVE) of a given periodic masonry texture; (ii) be accurate on
249 estimating its microscopic linear and nonlinear behaviour, in terms of deformation, stresses
250 and damage propagation; (iii) be adaptable to a FE² approach with the aim of estimating the
251 macro-behaviour of a given structure.

252 The numerical strategies that adopt FE-homogenization schemes typically consider the use of
253 direct numerical simulations. The use of plate models based on a Plane-Stress theory for
254 membrane loading and within a Kirchhoff-Love or Mindlin-Reissner plate theory for out-of-
255 plane load cases may be very attractive [18,19,26,51,57]. These strategies allow reducing the
256 RVE three-dimensional problem to a two-dimensional one, in which the middle plane of the
257 plate ω is considered, and thus obtaining solutions with significant lower computational
258 processing times. However, assuming the media as an infinitely thin membrane may not be the
259 best procedure for problems where three-dimensional shear effects may play an important role.
260 Likewise, if discontinuities are present along the thickness direction (as it is the case of an
261 English masonry bond), considering the material to be homogeneous over the thickness is not
262 so representative. In this context, this study tries to give a contribution about the range of
263 validity of the latter framework and if these can replace a full component description of the
264 material.

265 To accomplish it, two homogenized-based approaches are presented in what follows for the
266 in- and out-of-plane behaviour characterization. One derives from the Kirchhoff-Love and the
267 other from the Mindlin-Reissner plate theory, see Figure 3. For the sake of conciseness, these
268 models will be designated hereafter as KP and MP model, respectively, and a brief exposition
269 of the key features will be presented only. For extended details on the theoretical background
270 regarding the plates kinematics and constitutive response, the reader is referred to [58–60].

271 Both KP and MP models are geometrical linear, meaning that the reference plane remains with
272 the initial relative configuration. Instead, material nonlinearity (and cracking) is considered.

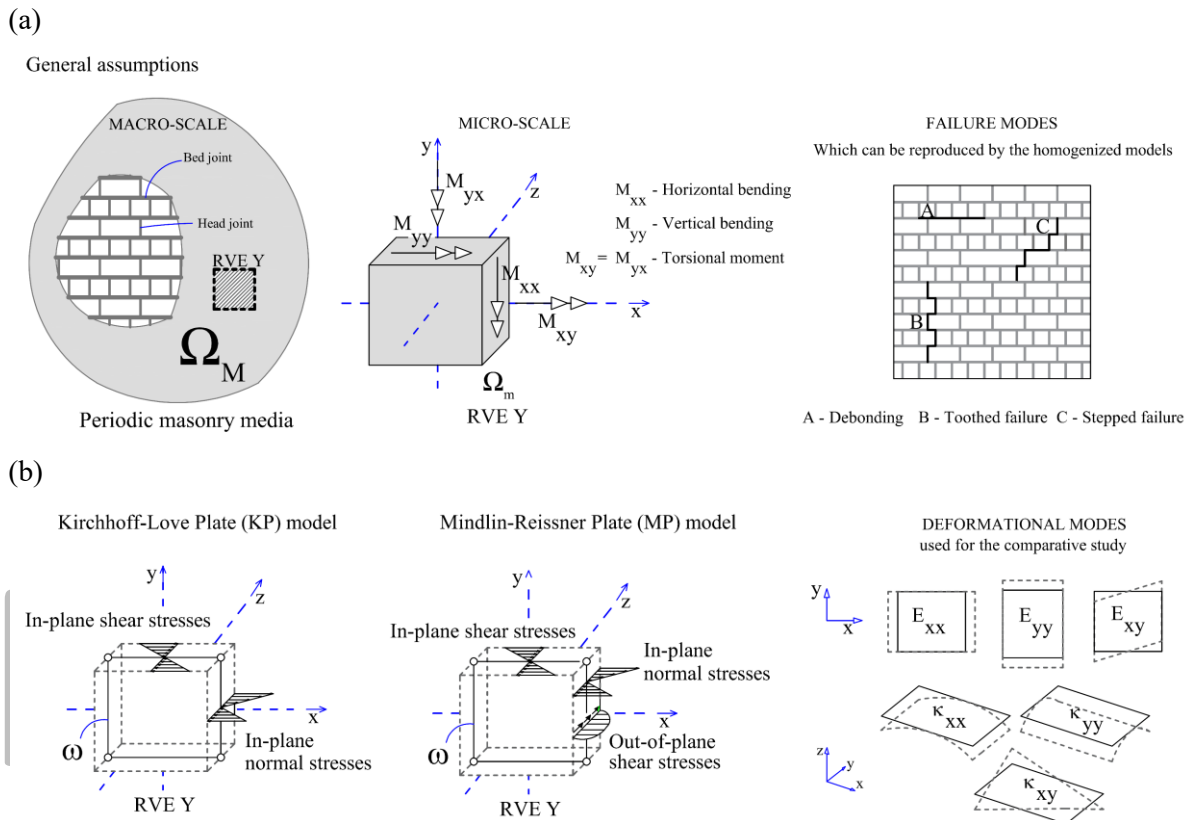
273 **4.1 The Kirchhoff-Love plate KP homogenized model**

274 The KP model assumes that at the micro-scale level masonry behaves as a planar 2D
275 continuum, according to a Kirchhoff-Love plate. This is driven by the assumption that the plane
276 section remains normal and straight in relation to the deformed reference plane. The out-of-
277 plane displacement does not vary in the thickness direction and it is assumed that the out-of-
278 plane direct stress component σ_{zz} is negligible. Such hypothesis follows the plane-stress
279 condition. The KP model is thus based on a decoupled characterization between the membrane
280 and bending behaviour, achieved respectively through a plane-stress coupled with a Kirchhoff
281 plate bending model.

282 The generalized displacement vector for a point of the plate is given as $u = [u_x \ u_y \ u_z]^T$,
283 where u_x, u_y are the in-plane and u_z the out-of-plane displacement quantity. The normal strains
284 ε_z are negligible and disregarded. The terms θ_x and θ_y are rotations about the global coordinate
285 system. Basically, according to the elasticity theory, the vector with the unknown quantities of
286 the associated strains is given by $\varepsilon = [\varepsilon_{xx} \ \varepsilon_{yy} \ \gamma_{xy} \ \kappa_{xx} \ \kappa_{yy} \ \kappa_{xy}]^T$. Here, the in-plane
287 strains are defined by $\varepsilon_{xx} = \frac{\partial u_x}{\partial x}$, $\varepsilon_{yy} = \frac{\partial u_y}{\partial y}$, $\gamma_{xy} = \frac{\partial u_x}{\partial y} + \frac{\partial u_y}{\partial x}$ and the curvature terms of the
288 deflected reference mid-plane as $\kappa_{xx} = \frac{\partial \theta_y}{\partial x}$, $\kappa_{yy} = \frac{\partial \theta_x}{\partial y}$, $\kappa_{xy} = \frac{\partial \theta_y}{\partial y} - \frac{\partial \theta_x}{\partial x}$, see Figure 3a. The
289 transverse shear strains are neglected being $\varepsilon_{zz}, \gamma_{xz}, \gamma_{yz} = 0$. The constitutive relation of the
290 homogeneous equivalent material of the RVE is obtained for each deformational in-plane mode
291 considered (Figure 3b), i.e. for the tension (mode-I), in-plane shear (mode-II) and compression
292 (mode IV).

293 The condition of null out-of-plane shear strains γ_{xz} and γ_{yz} imposed by the Kirchhoff plate
294 theory leads to disregarding their effect on the resultant moments. However, the out-of-plane

295 shear forces Q_x and Q_y are not totally omitted once their contribution is implicitly necessary to
 296 fulfil the equilibrium equation of the plate. This highlights why the comparison is performed
 297 in terms of coupled stresses-curvature relations.



298 Figure 3 – (a) General assumptions and deformational modes considered for the comparative
 299 study between the unit cell homogenization procedures. (b) A brief description of the
 300 Kirchhoff-Love and Mindlin-Reissner plate elements and the deformational modes assumed.
 301

302 4.2 The Mindlin-Reissner plate MP homogenized model

303 It is well known that in cases where the structure follows a planar behaviour or when the
 304 thickness is not relevant (usually referred as 1/10 of the structural dimension), analysing the
 305 problem within a two-dimensional approach as the thin plate theory is feasible. Nevertheless,
 306 for an out-of-plane loading and in presence of a thick or moderately thick structural element,
 307 an enrichment of the latter theory is necessary [58–61]. Such observations are drawn upon a
 308 macro-scale level, as for instance [51,61] for the behaviour of masonry structures.

309 Nevertheless, the investigation of the difference between a three-dimensional model and two-
310 dimensional one (as are the KP and MP models) is still lacking at a micro-scale. Even if the
311 analyses are performed at different scales, the physical behaviour is the same and thus identical
312 conclusions are expected. Still, the authors intend to carry such study to investigate the
313 difference between strategies due to the presence of three-dimensional effects.

314 In this scope, a strategy based on the first-order shear deformation theory is presented (MP
315 model) which allows including three-dimensional effects, even if in a simplified manner
316 through the out-of-plane shear components and, consequently, increasing both the results
317 accuracy for thick and moderately thick plates with less computational cost than a three-
318 dimensional approach.

319 Similarly, the membrane behaviour follows a plane-stress element formulation, yet the primary
320 stresses are derived through moments and forces rather than Cauchy stresses. The bending
321 behaviour is decoupled from the latter and follows here the Mindlin-Reissner theory. The in-
322 plane strain quantities ($\epsilon_{xx}, \epsilon_{yy}, \gamma_{xy}$) vary in a linear way through the masonry thickness and

323 the transverse shear strains are not disregarded and are derived as $\gamma_{xz} = \frac{\partial u_z}{\partial x} + \theta_y$; $\gamma_{yz} = \frac{\partial u_z}{\partial y} -$

324 θ_x . Such quantities vary in a parabolic way over the thickness but, for numerical convenience,

325 are assumed as constant within the classical adjustment approach [59]. A shear correction

326 factor equal to $S_r = 1.2$ affects these quantities, in which the equivalent constant shear stress

327 diagrams have an approximate shear strain energy with the actual parabolic behaviour on the

328 area under reference. So, the generalized strain vector is composed by eight unknown

329 parameters in which the microscopic generalized displacement fluctuation field is decomposed

330 in the membrane, bending and out-of-plane shear components.

331 For both KP and MP models, the aforementioned homogenization technique is followed and,

332 by solving the internal static RVE equilibrium using a classical FE-procedure, the homogenized

333 Σ and E quantities derived. Furthermore, the macro-stress couples are obtained by through-the-

334 thickness integration of the homogeneous macro-stresses according to Eq. (11). The numerical
335 integration is performed accounting only the mid-plane reference surface ω .
336 The obtained homogenized moment-curvature relations are defined per unit of length and so,
337 if one intends to proceed with the micro-macro transition, a regularization step is required
338 considering the macroscale mesh adopted.

$$339 \quad M_{xx} = \int_{-z/2}^{z/2} \sigma_{m,xx} z \, dz ; M_{yy} = \int_{-z/2}^{z/2} \sigma_{m,yy} z \, dz ; M_{xy} = \int_{-z/2}^{z/2} \sigma_{m,xy} z \, dz \quad (11)$$

340 **4.3 RVE definition and FE-modelling assumptions**

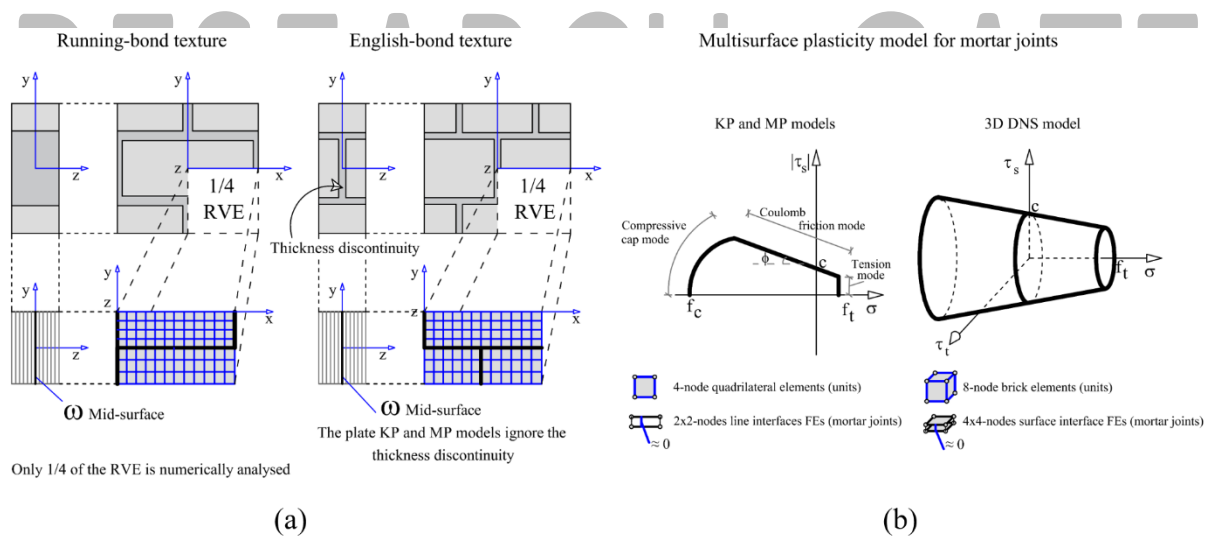
341 The definition of the RVE being analysed at a micro-scale (within a two-step procedure) is
342 required. It is generally accepted that the RVE may be statistically representative of the macro-
343 scale level. It may contain a sufficient number of heterogeneities which possibly reproduce
344 well the macro-behaviour [62] and are sufficiently small to respect the principle of scales
345 separation of a first-order-homogenization theory. In the particular case of running- and
346 English-bond masonry walls study, the choice of a proper RVE is somehow simplified due to
347 the regular and periodic disposal of the constituent's arrangement. Even so, there are several
348 RVE possibilities but, for both the analysed textures, the recommendation by Anthoine [14] is
349 followed and presented in Figure 4.

350 In the modelling process, bricks are considered elastic and discretized as quadrilateral FE-plate
351 elements with linear interpolation. A 2x2 Gauss-quadrature is adopted and three integration
352 points are used in the thickness direction. Regarding the mortar joints, these are modelled as
353 zero-thickness line interface elements which concentrate the material nonlinearity. Such a
354 hypothesis seems to increase the efficiency of the framework by avoiding convergence issues
355 related to distorted quadrilateral elements. However, the numerical consequences of using a
356 strain-softening constitutive model may not be avoided, as stated next in the application section
357 of the MP model.

358 A three-dimensional micro-model (direct numerical simulation, DNS model) is also developed.
 359 In order to allow a numerical comparison and draw consistent conclusions, the DNS model
 360 follows the same modelling assumptions, i.e. in terms of material properties, plasticity model
 361 for joints and mesh-size (in the plane).

362 5 Plasticity model for joint interfaces

363 Aiming at the decrease of the computational demand, material nonlinearity is assumed to be
 364 lumped on joints, as stated before. This assumption seems to be adequate for strong block
 365 masonry structures, once: (i) in absence or even in presence of small levels of any pre-
 366 compression state, cracking or crushing of bricks is unlikely to happen; (ii) the latter seems in
 367 agreement with experimental data, in which crack onset and propagation tend to follow a zigzag
 368 pattern along joints and between bricks [63,64].



369 Figure 4 – (a) The running- and English-bond masonry RVE considered for the KP, MP and
 370 DNS models; (b) Multi-surface plasticity model adopted for line [65] and surface interfaces
 371 [66].
 372 [66].

373 A multi-surface plasticity model from Lourenço et. al. [65] (the so-called composite interface
 374 model) is considered for the interface elements used for the KP strategy. For the MP and DNS
 375 strategies, the model from by Van Zijl [66] is adopted, which is an extension of the latter to
 376 allow its use in a three-dimensional media, see Figure 4b. The plasticity models can well

377 reproduce fracture, frictional slip and crushing along the interface elements. The constitutive
 378 interface model is defined by a convex composite yield criterion with three individual
 379 functions, i.e. a tension cut-off (Eq. 12) associated with a Mohr-Coulomb criterion (Eq. 13) is
 380 associated with and a cap in compression (Eq. 14). Softening behaviour is represented in all
 381 the modes. The tensile criterion (Figure 5a) reads:

$$382 \quad f_t(\boldsymbol{\sigma}, \kappa_t) = \boldsymbol{\sigma} - \bar{\sigma}_t(\kappa_t) , \text{ and } \bar{\sigma}_t = f_t \exp\left(-\frac{f_t}{G_f^I} \kappa_t\right) \quad (12)$$

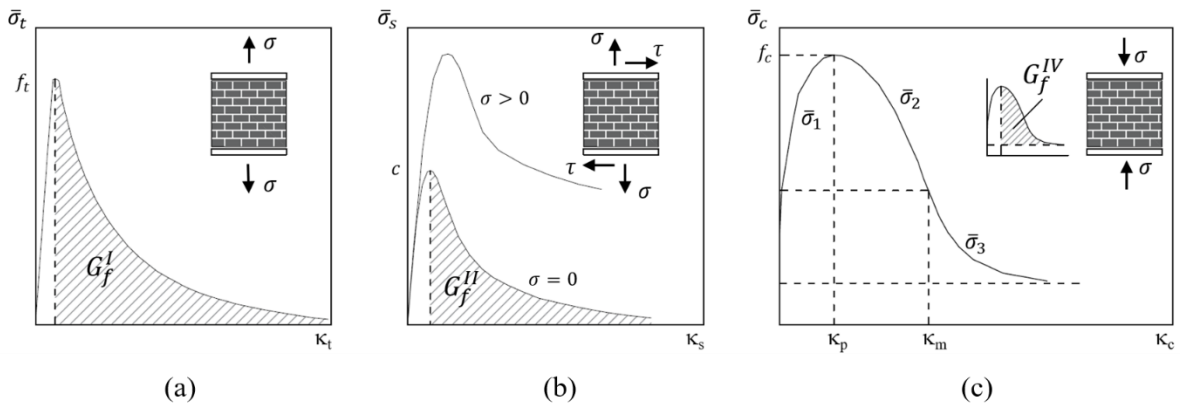
383 The shear criterion (Figure 5b) is given as:

$$384 \quad f_s(\boldsymbol{\sigma}, \kappa_s) = |\tau| + \sigma \tan \phi - \bar{\sigma}_s(\kappa_s) , \text{ and } \bar{\sigma}_s = c \exp\left(-\frac{c}{G_f^{II}} \kappa_s\right) \quad (13)$$

385 For the compressive yield function (Figure 5a):

$$386 \quad f_c(\boldsymbol{\sigma}, \kappa_c) = 1/2 (\boldsymbol{\sigma}^T \mathbf{P} \boldsymbol{\sigma}) + \mathbf{p}^T \boldsymbol{\sigma} - \bar{\sigma}_c^2(\kappa_c) \quad (14)$$

387 Here, $\boldsymbol{\sigma}$ is the generalized stress, ϕ is the friction angle; \mathbf{P} is a projection diagonal matrix and
 388 \mathbf{p} a projection vector based on material parameters; G_f^I , G_f^{II} and G_f^{IV} are the mode-I, mode-II
 389 and the compressive fracture energy terms, respectively; $\bar{\sigma}_t$, $\bar{\sigma}_s$ and $\bar{\sigma}_c$ are the effective stresses
 390 of each of the adopted yield functions, governed by the internal scalar variables κ_t , κ_s and κ_c ,
 391 respectively. Note that the typical compressive hardening/softening law $\bar{\sigma}_c(\kappa_c)$ is composed
 392 by three branches as observed in Figure 5c. The model follows the laws $\bar{\sigma}_1(\kappa_c)$, $\bar{\sigma}_2(\kappa_c)$ and
 393 $\bar{\sigma}_3(\kappa_c)$ defined by Lourenço et. al. [65,66] which, for the sake of conciseness, are not exposed
 394 here and being the reader referred to [52,65,66] for further details.



395

396 Figure 5 – Behaviour of quasi-brittle materials under: (a) tensile loading (mode-I, f_t is the
 397 tensile strength); (b) shear loading (mode-II, c is the cohesion) accounting with a potential pre-
 398 compression level; and (c) compressive load (f_c is the compressive strength; p and m are the
 399 peak and medium values, respectively).

400 6 Micro-mechanical validation: out-of-plane behaviour of 401 masonry

402 The ability of the homogenization models to represent the out-of-plane behaviour of
 403 masonry is addressed next. Three main constitutive key features for numerical models aiming
 404 at the analysis of masonry are herein approached: (1) the correct representation of the elastic
 405 stiffness properties; (2) the masonry orthotropic behaviour due to the arrangement of the units;
 406 and (3) the role of vertical membrane pre-compression states, typically due to masonry self-
 407 weight and gravity loads in general.

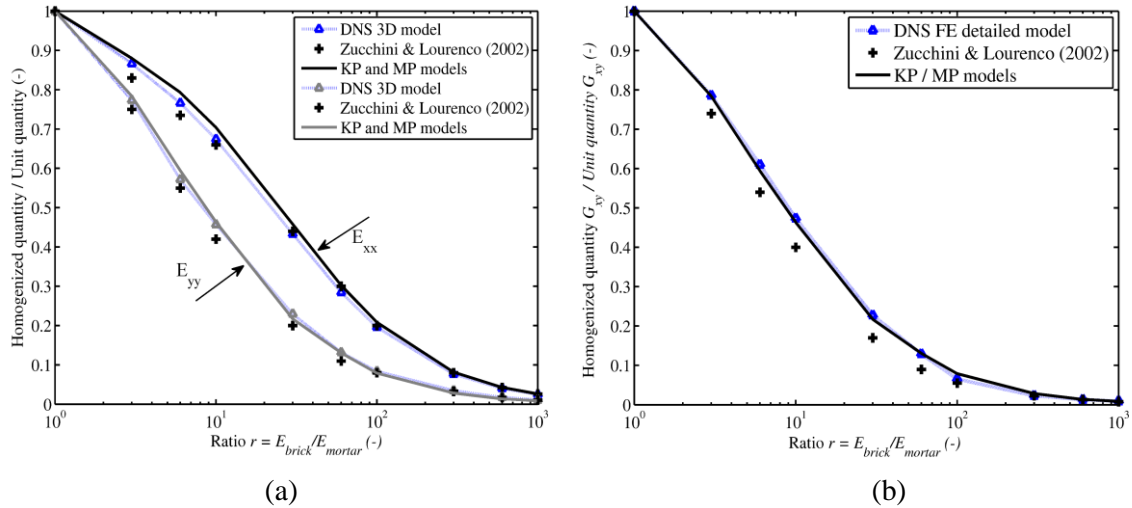
408 6.1 Masonry homogenized elastic stiffness

409 The homogenized quantities of a running-bond masonry RVE, in terms of elastic stiffness
 410 components, are derived. The evaluation of the proposed KP and MP approaches is set through
 411 the results of a detailed FE micro-model and data from a simple closed-form solution by
 412 Zucchini and Lourenço [17]. A running bond RVE with dimensions equal to $210 \times 100 \times 52$
 413 mm^3 and mortar joints of 10 mm of thickness is studied. The considered material elastic

414 properties are the following ones: $E_{brick}=20,000$ MPa; $\nu_{brick}= 0.15$; $E_{joints}=E_{brick}/r$ and $\nu_{joints}=$
415 0.15 . The elastic homogenized stiffness parameters (Young and shear modulus) are assessed
416 for several $r = E_{brick}/E_{mortar}$ ratios, ranging from 1 to 1000. Such broad range allows to
417 represent the potential different stiffness ratios both in the elastic and in the inelastic range, in
418 which the tangent and secant stiffness degradation of mortar joints occur.

419 An accurate detailed (interfaces explicitly modelled) FE micro-model (DNS model) is set as a
420 reference. The use of this numerical model as a validation tool is clear, in fact, the elastic
421 homogenized masonry stiffness calculation does not offer a complex problem nor novelty from
422 a numerical standpoint. Such procedure is also convenient because a numerical study
423 encompassing a wide range of components stiffness ratios is easily carried out. Reproducing
424 the same data experimentally would require a thorough and expensive campaign. The obtained
425 results are reported in Figure 6 and it can be observed how both the Kirchhoff-Love and
426 Mindlin-Reissner plate models estimate well the elastic homogenized stiffness parameters. The
427 agreement is, in general, very good according to the DNS model being the error less than 5%.

428 Some differences may be found with the model proposed by Zucchini and Lourenço [17]
429 especially for the shear modulus (see Figure 6b), but still, a good agreement is achieved with a
430 micro-mechanical procedure based on a closed-form solution.



431

432 Figure 6 – Comparison between the homogenized in-plane elastic properties obtained with a
 433 detailed FE micro-model (DNS 3D model), the KP and MP models and from the closed-form
 434 solution by Zucchini and Lourenço [17]: (a) Elastic Young modulus; (b) Shear modulus.

435 6.2 The masonry orthotropic behaviour: uni- and bi-axial bending

436 Masonry is known to present a well-marked anisotropic behaviour. The complexity
 437 increases because joints constitute planes of weakness which, depending on the stiffness ratio
 438 between mortar and brick constituents, may have a strong effect. Accounting for the non-linear
 439 behaviour of masonry is of prime importance as it can have an impact on the structural overall
 440 behaviour, energetic dissipation and mechanisms creation.

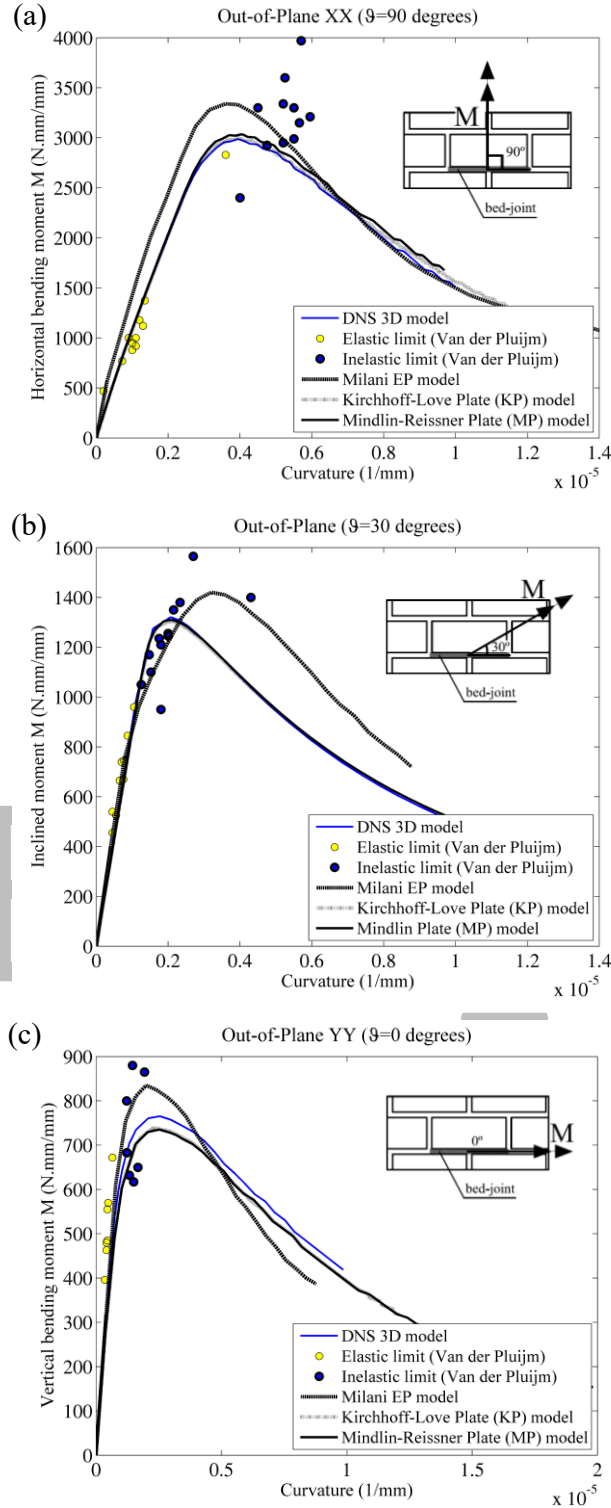
441 Two experimental campaign datasets are considered to validate the proposed homogenized
 442 models, i.e. the studies from van der Pluijm et al. [67] and Gazzola and Drysdale [68]. The
 443 former is herein firstly addressed and focus on the experimental test of several small panels in
 444 four-point bending, in which the bed joint angle with the normal assumes the values of 0, 30
 445 and 90 degrees (defined as vertical, inclined and horizontal bending respectively). No pre-
 446 compression states are considered neither the post-peak information is available. Yet, both
 447 elastic limit and peak strength values are accessible within a curvature-bending moment
 448 diagram, which still constitutes a good source of information.

449 The panels were built with standard Dutch bricks, with dimensions $200 \times 52 \times 100 \text{ mm}^3$, and
450 mortar joints with 10 mm of thickness. The elastic material properties assumed are the
451 following ones: $E_{\text{brick}}=11,000 \text{ MPa}$; $\nu_{\text{brick}}= 0.20$; $E_{\text{joints}}=4,000 \text{ MPa}$ and $\nu_{\text{joints}}= 0.25$. The
452 inelastic mechanical parameters for mortar joint interfaces are given by $f_t=0.25 \text{ MPa}$, $G_f^I=0.006$
453 N/mm , $c=0.60 \text{ MPa}$, $G_f^{II}=0.035 \text{ N/mm}$, $\phi=30 \text{ degrees}$, $f_c=20.0 \text{ MPa}$ and $G_f^{IV}=4.00 \text{ N/mm}$. The
454 latter values follow the average experimental values [67], and include missing parameters by
455 inverse fitting.

456 The comparison between numerical and experimental results are summarized in Figure 7 in
457 terms of curvature-bending moment curves. Data available from an elastic-plastic model for
458 mortar joints by Milani and Tralli [44] is also used for comparison purposes. The different
459 proposed homogenized procedures derive similar results. Thus, the three-dimensional shear
460 effects seem to be negligible in this case, because the maximum relative difference found is
461 about 3% (for the vertical bending moment peaks) between the DNS model and MP or KP
462 models. One may also conclude that, despite the existent experimental data dispersion, the
463 models reproduce well the orthotropy of masonry and its elastic bending stiffness. Still and
464 regarding the latter, small differences are identified with the model proposed by Milani and
465 Tralli [44] for the horizontal bending case. In fact, an elastic-plastic behaviour with softening
466 for mortar joints is not so accurate in cases where a loss of the initial linear elastic stiffness
467 occurs, as the one observed in the xx direction. In this way and in some cases, the initial
468 calculated elastic bending stiffness may be not much representative. No further comparisons
469 are addressed concerning the peak-bending moments because the authors adopted different
470 fracture energies in tension, compression and shear regimes.

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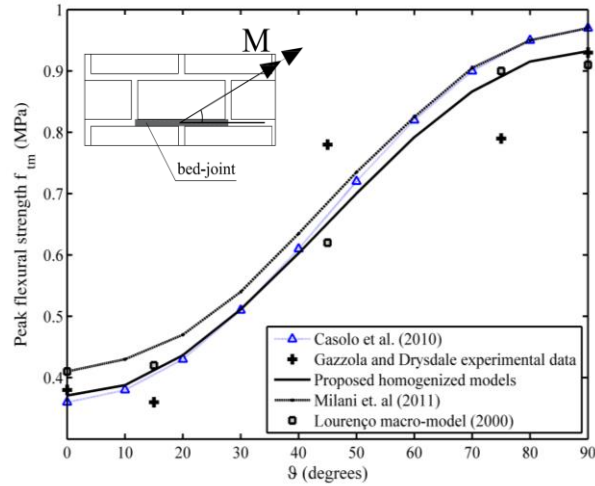
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475

Figure 7 – Comparison between the experimental data from Van der Pluijm [67], the model from Milani and Tralli [44] and the numerical results obtained from the homogenized procedures proposed: (a) moment with a $\vartheta=90$ degrees; (b) moment with a $\vartheta=0$ degrees; and (c) moment with a $\vartheta=30$ degrees.

476 The second set of experimental data used to study the material orthotropy behaviour derives
477 from the Gazzola and Drysdale research [68,69]. This will be achieved by comparing the
478 experimental set of peak flexural strength values, which represents a good indicator to analyse
479 the orthotropic behaviour of masonry when subjected to out-of-plane loading and within a
480 stepped or toothed failure pattern of masonry. The authors tested 25 wallets of hollow concrete
481 block masonry, with different dimensions, within a running-bond texture in four-point bending.
482 The bed joints angle with the loading direction ϑ were considered to vary between 0,15,45,75
483 and 90 degrees. The units' dimensions are $390 \times 190 \times 150 \text{ mm}^3$ and the mortar joints have a
484 thickness equal to 10 mm. The elastic material properties assumed are the following:
485 $E_{\text{brick}}=10,000 \text{ MPa}$, $\nu_{\text{brick}}= 0.20$, $E_{\text{joints}}=4,000 \text{ MPa}$, $\nu_{\text{joints}}= 0.25$; and the inelastic mechanical
486 parameters for mortar joint interfaces are given by: $f_t=0.20 \text{ MPa}$, $G_f^I=0.018 \text{ N/mm}$, $c=0.60 \text{ MPa}$,
487 $G_f^{II}=0.022 \text{ N/mm}$, $\phi=30 \text{ degrees}$, $f_c=20.0 \text{ MPa}$ and $G_f^{IV}=4.00 \text{ N/mm}$. Only flexural strength
488 peaks are at disposal and so the latter nonlinear material properties of mortar joints were tuned
489 to fit the values of the horizontal ($\vartheta = 90 \text{ degrees}$) and vertical ($\vartheta = 0 \text{ degrees}$) flexural
490 strengths, given by 0.92 MPa and 0.37 MPa respectively. The elastic material properties, even
491 if assumed, are not relevant once these have a minor influence upon the moment capacity. The
492 peak flexural strength is computed for each bed joint angle ϑ and the comparison between
493 numerical and experimental data is showed in Figure 8.

494 No significant differences can be reported among the proposed homogenization approaches
495 and, therefore, these are merged in Figure 8 as one dataset and labelled as *proposed*
496 *homogenized models*. Additionally, information regarding the anisotropic macro-model by
497 Lourenço [70], a simple elastic-plastic homogenized model by Casolo and Milani [44] and a
498 kinematic-based homogenized model by Casolo and Milani [71] are also presented. It is
499 possible to see that all the homogenized models seem capable to reproduce well the masonry
500 orthotropy and provide accurate results.



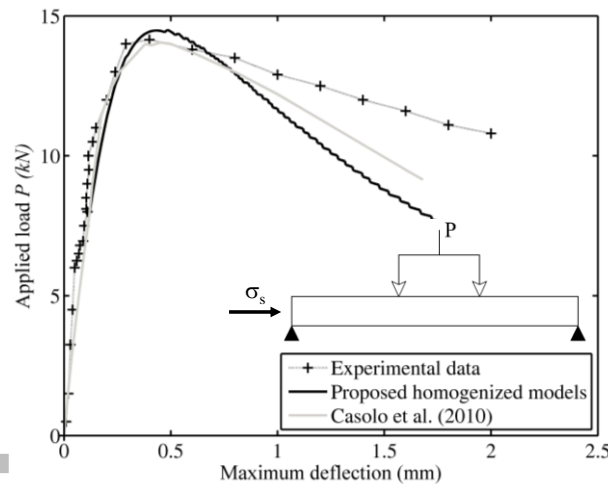
501
 502 Figure 8 – Comparison between the experimental data from Gazzola and Drysdale [68] and the
 503 numerical results obtained from the proposed homogenized procedures.

504 6.3 The pre-compression state condition

505 The experimental program performed by Willis et al. [72] is herein used for a third and last
 506 validation key point, i.e. the ability to represent the effect of a vertical pre-compression state
 507 which is expected to increase both masonry moment capacity and ductility. A sample of
 508 twenty-five brickwork panels was subjected to horizontal bending, in which the load-deflection
 509 behaviour was collected for four levels of compressive stress σ_s (0.0075, 0.15 and 0.25
 510 N/mm²). The clay brick units have nominal dimensions of 230×65×114 mm³ (length × height
 511 × thickness) and the mortar joints has 10 mm of thickness. The reader is referred to [72] for
 512 details about the experimental setup.

513 The experimental flexural tensile strengths are equal to 0.61-0.71 N/mm² (considered 0.70
 514 N/mm²) and 0.65 N/mm² for horizontal f_{th} and vertical f_{tv} bending, respectively. The adopted
 515 material properties were tuned to respect the latter values. The elastic properties are given as
 516 $E_{brick}=10,000$ MPa, $\nu_{brick}= 0.20$, $E_{joints}=2,000$ MPa, $\nu_{joints}= 0.25$; and the inelastic mechanical
 517 parameters for mortar joint interfaces given by: $f_t=0.10$ MPa, $G_f^I=0.005$ N/mm, $c=0.18$ MPa,
 518 $G_f^{II}=0.02$ N/mm, $\phi=30$ degrees, $f_c=20.0$ MPa and $G_f^{IV}=4.00$ N/mm.

519 From the experimental data, it was possible to derive the full bending moment-curvature curve
 520 for a $\sigma_s=0.15$ N/mm². Figure 9 gathers the latter curve which allows the comparison with the
 521 derived numerical output. In any case, it is worth mentioning that the model is again able to
 522 reproduce quite well the orthotropic behaviour of masonry at failure in presence of weak mortar
 523 joints and toothed failure mechanisms.



524
 525 Figure 9 – Comparison between the experimental results from Willis et al. [72] and the
 526 numerical obtained with the proposed homogenized models and by the simplified model of
 527 Casolo and Milani [71].

528 6.4 Application: English-bond pattern

529 After the validation tests, the proposed homogenized models are extended to characterize
 530 the out-of-plane behaviour of an English bond masonry structure. The English-bond masonry
 531 benchmark was experimentally tested by Candeias et al. [73]. Here, only the geometry and the
 532 material properties of the masonry components are required and described.

533 The majority of the existing research on masonry deal with running-bond texture within a
 534 single-wythe walls case [12,17,18,39,48]. The analysis of the effect of potential discontinuities
 535 on the masonry thickness, when two- or three-wythes of masonry are present, the effect of
 536 three-dimensional shear stresses and the study of other periodic textures, as the English-bond,
 537 are somehow under-investigated.

538 Still, some studies can be reported. In the particular level of simplified multi-scale methods,
539 Casolo and Milani [47] studied the behaviour of three-leaf masonry walls and proposed, at a
540 micro-scale, two simple unit cell homogenization models to compute the out-of-plane
541 homogenized quantities. One is an FE-based procedure, where bricks are assumed to be elastic
542 and joints are reduced to interface elements, and the other is based on an analytical approach.
543 Even if both are accurate and relatively fast, it is found that the former does not consider the
544 softening behaviour of interfaces and the latter to be an ad-hoc procedure thus demanding its
545 extension to other components arrangements. Moreover, Cecchi and Milani [51] characterized
546 the micro-scale behaviour of an English-bond masonry wall through a simple homogenization
547 model. Masonry units are considered as rigid blocks and joints modelled as 2D Reissner-
548 Mindlin plate elements to conceive the model the ability to explicitly reproduce the out-of-
549 plane shear effects. Still, conclusions upon its influence are drawn at a structural level only
550 through the comparison with a full-FE micro-model. It may also be noteworthy to mention the
551 research from Massart et al. [74] in the field of full-FE homogenization approaches. Even if
552 applied to a running-bond masonry and within in-plane loading case, three-dimensional effects
553 are reproduced through the implementation of a two-dimensional generalised plane state
554 formulation.

555 In this context, the experimental study upon an English-bond masonry structure benchmark
556 [73] constitutes an important step. The data may encourage and drive the studies of different
557 numerical strategies towards the better understanding of the latter effects. Accordingly, the
558 current analysis tries to conclude about the effect of three-dimensional shear stresses and the
559 role played by joints discontinuities along the thickness direction.

560 An English-bond masonry RVE is analysed, see Figure 4a. The brick units have in-plane
561 dimensions of $235 \times 70 \times 115 \text{ mm}^3$ (length x height x thickness) and the bed and head mortar
562 joints have a thickness $t_{joint} = 15 \text{ mm}$. When laid and bound together in an English-bond

563 texture the wall yields a thickness of 235 mm. The mechanical properties adopted are collected
 564 in Table 1 and follow the values available both from experimental data and literature studies
 565 which adopted the same benchmark [73]. Note that the linear elastic relation between the
 566 generalized stresses and strains of the interface FEs is given by the classical constitutive
 567 equation $\boldsymbol{\sigma} = \mathbf{D}\boldsymbol{\varepsilon}$. Considering a line FE interface (for the adopted plate theories KP and MP
 568 models), the elastic stiffness matrix \mathbf{D} is given as $D = \text{diag}\{k_n, k_s\}$. The values of the normal
 569 (k_n) and shear (k_s) mortar joints stiffness terms can be easily computed. One possibility is to
 570 neglect the contribution of the brick-mortar interface and to compute these parameters as $k_n =$
 571 E_{mortar}/t_{joint} and $k_s = G_{mortar}/t_{joint}$, where G_{mortar} is the mortar shear modulus. Another
 572 possibility is to follow the suggestions given in [75] in which, under the assumption of a stack
 573 bond where a serial chain connection represents the masonry components (with uniform stress
 574 distributions in both unit and mortar joints), the latter stiffnesses' values read:

$$575 \quad k_n = \frac{E_{brick}E_{mortar}}{t_{joint}(E_{brick}+E_{mortar})} \quad (15)$$

$$576 \quad k_s = \frac{G_{brick}G_{mortar}}{t_{joint}(G_{brick}+G_{mortar})} \quad (16)$$

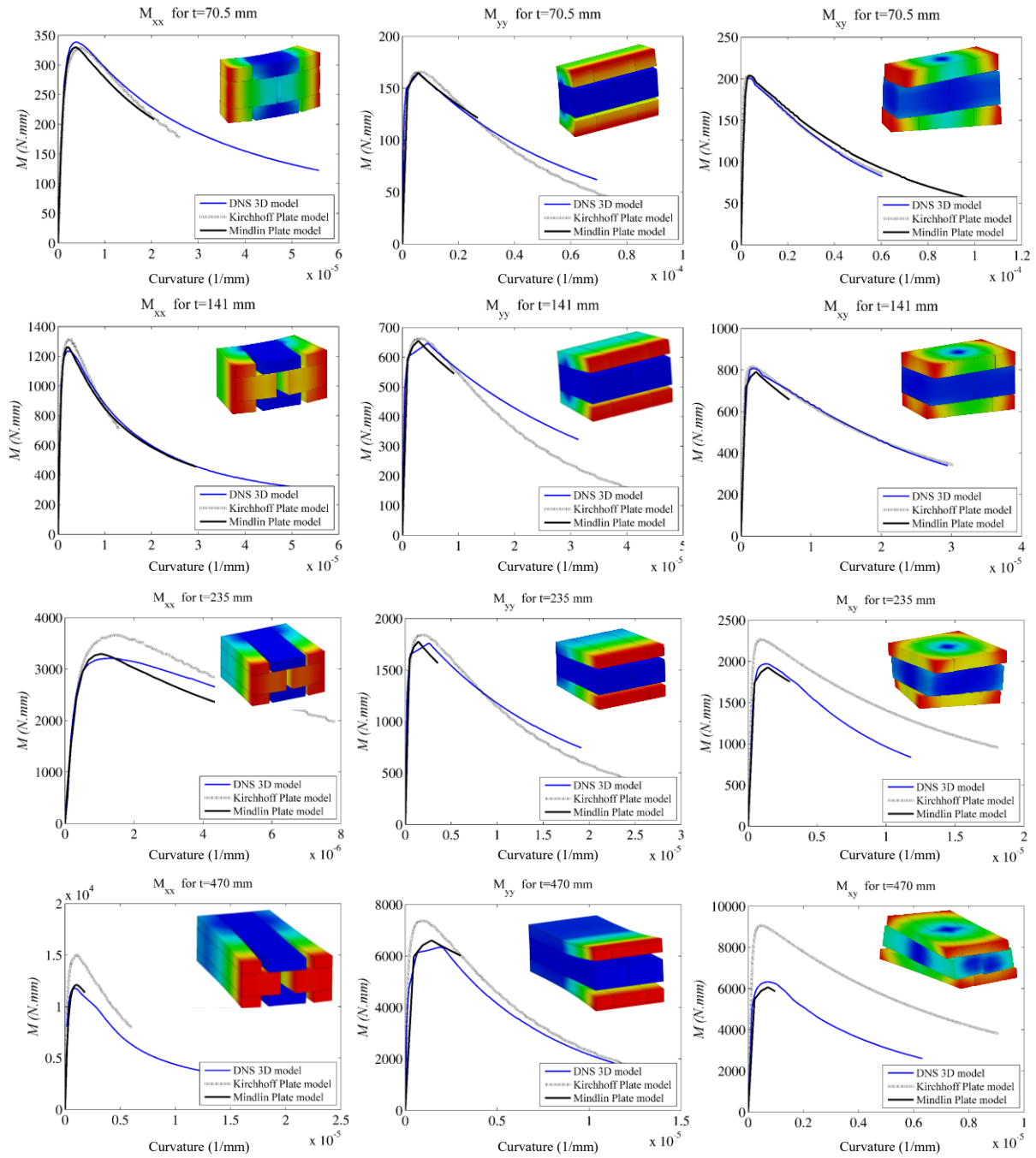
577 Equations (15) and (16) are typically considered [76] and are employed in this study (see Table
 578 1). It may be highlighted that a penalty approach is not followed by the adopted interface FEs
 579 [76] to phenomenologically represent the behaviour of masonry crushing. Such strategy is
 580 usually adopted in discrete element models [3,4], or advanced FE software's able to model
 581 discrete rigid bodies (e.g. [77]), to guarantee an appropriate physical contact between units.
 582 Here, penetration and overlapping between neighbouring brick units can occur which does not
 583 blur the accuracy of the in- and out-of-plane quantities derived; particularly if addressed that a
 584 weak mortar masonry is being studied and so low compressive levels of stress are expected.
 585 Four values are considered for the RVE thickness, namely $t=470 \text{ mm}$, $t=235 \text{ mm}$, $t=141 \text{ mm}$
 586 and $t=70.5 \text{ mm}$. The results obtained with the simulations from the KP and MP models are

587 compared with the ones derived with a three-dimensional micro-model (DNS model), as done
 588 for the previous validation steps, and depicted in Figure 10. Several conclusions can be put
 589 together. Firstly, and as expected, no considerable differences regarding the peak moments
 590 (M_{xx} , M_{yy} , M_{xy}) are found, between the MP and the DNS models, for all the studied thicknesses.
 591 The MP model is able to capture well the out-of-plane shear effects. Yet, it is important to
 592 recall that for the MP model, with the increase of the thickness value, the post-peak curves are
 593 not so well developed due to convergence issues as demonstrated in Figure 10.

594 Table 1 – Material properties adopted for the English bond masonry [73].

Elastic Properties		Elastic and Inelastic Properties									
Brick units		Mortar joints									
E_{units}	ν	E_{mortar}	k_n	k_s	f_t	f_c	c	G_f^I	G_f^{II}	G_f^{IV}	φ
11,000 N/mm^2	0.25 (-)	2,200 N/mm^2	183 N/mm	72.6 N/mm	0.105 N/mm^2	2.84 N/mm^2	0.20 N/mm^2	0.012 N/mm	0.05 N/mm	3.97 N/mm	30°

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595

596 Figure 10 – Numerical results obtained with the proposed numerical strategies for the English-
 597 bond masonry texture for the four RVE thickness values defined.

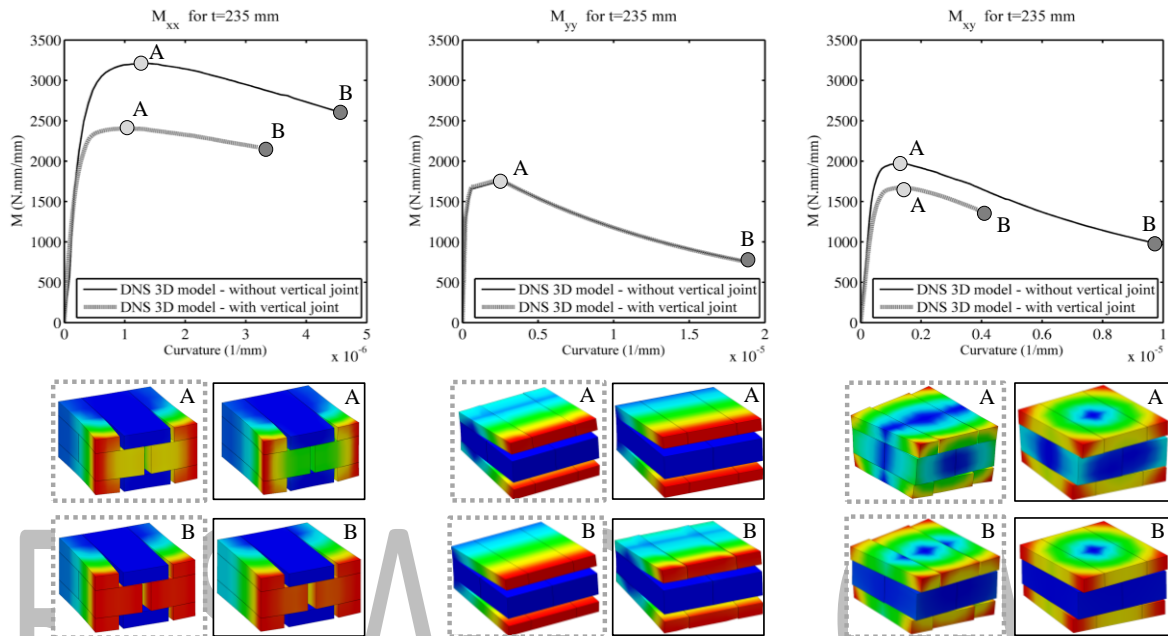
598 The authors experienced some convergence problems in developing the post-peak branch due
 599 to snap-back issues. It is known that when interface elements employ a softening type of
 600 damage model convergence problems can be experienced after the cracking onset and
 601 propagation [78,79]. Even if a cylindrical arc-length procedure including a line search

602 algorithm is active the solution fails which, in theory, leads to the requirement of improved
603 arc-length techniques, see [80], or the imposition of constraints equations upon the interface
604 nodes [79].

605 Conversely, no convergence issues are reported for the KP model. This is based on an in-plane
606 identification within a plane-stress formulation, from which the out-of-plane quantities are
607 simply obtained through on-thickness integration. The computational time required by the KP
608 model to derive all the in- and out-of-plane homogenized quantities (Σ_{xx} , Σ_{xy} , Σ_{yy} , M_{xx} , M_{xy} ,
609 M_{yy}) is around 81 seconds, which is significantly less than the three-dimensional DNS (246
610 seconds) and MP (154 seconds) models. So, the KP model seems the most suitable procedure
611 to be integrated within a full automatic FE² procedure, albeit its inability to reproduce the out-
612 of-plane shear stresses can lead to considerable errors depending on the thickness of the RVE
613 being analysed. Figure 10 clearly shows the latter where, for a thickness of 235 mm (real
614 dimensions) and 470 mm, an error of 14% and 23% is found, respectively. Another important
615 feature is that the observed differences in the peak moment values are especially critical for
616 both M_{xx} and M_{xy} and not relevant for the vertical bending M_{yy} . This exception is easily
617 understandable from a physical standpoint. Bearing that for M_{yy} a typical de-bonding failure is
618 achieved, see Figure 3a, this is mainly dependent on the tensile strength value of the horizontal
619 joints being the shear effect of the vertical interfaces irrelevant.

620 To what concerns the effect of the mid-thickness vertical joint existing on the English-bond
621 masonry walls, two DNS models are considered. One does not take into account the
622 discontinuity along the thickness; the other considers it, explicitly modelled and with a
623 thickness of 17 mm. Figure 11 shows the obtained results. Due to the aforementioned stated
624 reasons, the presence of the discontinuity has a marginal effect on the vertical bending
625 behaviour M_{yy} of the RVE. In opposition, the model with the discontinuity manifests a lower
626 capacity for both horizontal M_{xx} and torsional M_{xy} moments, with differences ranging 33% and

627 17%, respectively. Additionally, if the KP model results are considered, an error of 52% is
 628 expected for the horizontal bending moment case. Such results prove how important is to
 629 address the existence of masonry discontinuities along the thickness and the need that may be
 630 required when choosing the modelling strategy for a given study case.



631
 632 Figure 11 – Comparison between the results obtained for the three bending components via a
 633 3D DNS model considering and non-considering the existent vertical joint on the mid-thickness
 634 of the English-bond masonry.

635 7 Conclusions

636 Two microscopic FE-models based on a first-order homogenization theory and within a
 637 strain-driven formulation were formulated to characterize the behaviour of masonry. A
 638 Kirchhoff-Love and Mindlin-Reissner plate theory were adopted. These have been designated
 639 in the paper as KP and MP models, respectively. In both strategies, a representative volume
 640 element (RVE), aimed at representing masonry by repetition, was modelled through the
 641 assemblage of quadrilateral elements with linear interpolation for bricks and line interface
 642 elements with zero-thickness for mortar joints. By solving a BVP upon the defined RVE, both
 643 the in-plane stresses and out-of-plane stress-couples were derived from the microscopic level.

644 With bricks assumed to be elastic and with interface elements carrying the inelastic material
645 information within a multi-surface plasticity model [65] (an assumption plausible for strong
646 blocks), a stepped, toothed and a de-bonding masonry failure patterns were suitably
647 reproduced.

648 The validation of the KP and MP models was performed first at a micro-level. Available
649 experimental data together with the results obtained via a three-dimensional micro-mechanical
650 model (DNS model) were used as reference. Three main constitutive key features were
651 addressed: (1) the correct representation of the elastic stiffness properties [17]; (2) the masonry
652 orthotropic behaviour due to the arrangement of the units [67,68]; and (3) the role of vertical
653 membrane pre-compression states [72]. The validation proved to work well for all the three
654 steps, with homogenized results fitting with excellent accuracy the reference data.

655 The application of the microscopic FE-homogenized based models was carried out for a real
656 case study of an English-bond masonry mock-up tested by Candeias et al. [81]. The analyses
657 were performed using data derived numerically, namely the homogenized out-of-plane
658 quantities M_{xx} , M_{xy} and M_{yy} , which clearly depend on the in-plane behaviour of the masonry.
659 Four values for the RVE thickness were adopted aiming at studying the out-of-plane shear
660 stresses effect. The MP model follows an out-of-plane shear deformation theory and thus was
661 able to provide similar results to the ones from the DNS model. The simplified KP model
662 proved good accuracy for the cases where the thickness has a value which is similar or lower
663 than the RVE dimensions (i.e. its height or length). It is worth noting that the KP strategy
664 allows faster computations with no-convergence issues reported. Insomuch, in order to test the
665 effect of the presence of a mortar layer on the RVE thickness (present in an English-bond
666 texture) two micro-models were further analysed. The conclusions demonstrate that the
667 discontinuity plays an important role in the decrease of the horizontal bending (around 33%)

668 and torsional moment capacities (around 17%), whereas the influence on vertical bending is
669 minimal.

670 The above micro-mechanical homogenized-based models are characterized by several
671 advantages, mainly related with their versatility. By exploiting the use of plate theory
672 assumptions, the strategies allow replacing the three-dimensional microscopic continuum into
673 a two-dimensional one. Such procedures are thus quite convenient, due to the simplicity of
674 application, accuracy and low computational effort required. Moreover, these are suitable to be
675 integrated within a FE² approach, especially with simplified discrete methods at a macro-scale
676 as [44,46,82]. Still, two issues can be raised. At a micro-scale the damage evolution is restricted
677 to the mortar joints and so a regularization is not needed. However, the use of the previous
678 macro-models based on rigid plates lead to an intrinsic mesh dependence, specifically to what
679 concerns with the localization of the inelastic strains. This is a consequence of the simplicity
680 and robustness of these approaches (see [44] for a more detailed insight). It is certainly possible
681 to embed more discontinuities or regularization strategies in the macroscopic model, for
682 instance using a non-local model implementable, in practice, by connecting non-adjointing
683 elements with additional springs. Nevertheless, this is not the primary objective when selecting
684 such type of simplified procedures, instead these are meant to largely decrease the processing
685 running times at a structural level. It is the authors' opinion that if the homogenised models are
686 implemented within the latter macro-discrete FE models (see [43,44,46,82]) or a related
687 strategy, the feasibility of its application for the study of large-scale structures and in the scope
688 of dynamic problems is well assured.

689 As further developments to this study, the authors outline four possibilities: (1) to draw more
690 general conclusions, additional analyses can be carried out with different geometric dimensions
691 for both the RVE components (bricks and mortar joints) and the wall thickness; (2) unit-unit
692 interface FEs can be modelled to allow reproducing the splitting failure of bricks; (3) the

693 homogenized models can also extended to other periodic masonry arrangements or even
694 adapted to study irregular textures; and (4) if a proper kinematical map is developed to deal
695 with the transition between the two-scales, these may also be used within a nested full-FE-
696 continuous approach.

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