

ISRM Suggested Method

for Laboratory Acoustic Emission Monitoring

Tsuyoshi ISHIDA^{1,*}, Joseph F. Labuz², Gerd Manthei³, Philip G. Meredith⁴,
M.H.B. Nasser⁵, Koichi Shin⁶, Tatsuya Yokoyama⁷, Arno Zang⁸

¹Dept. of Civil and Earth Resources Engineering, Kyoto University, C-Cluster, Katsura Campus of
Kyoto University, Nishikyo-ku, Kyoto, 615-8540 JAPAN

²Department of Civil, Environmental, and Geo- Engineering, University of Minnesota,
Minneapolis USA

³THM University of Applied Sciences, Wiesenstraße 14, 35390 Gießen, Germany

⁴Department of Earth Sciences, University College London, Gower Street, London WC1E 6BT, UK

⁵Department of Civil Engineering, University of Toronto, 35 St. George Street, Toronto, Ontario, M5S
1A4, Canada

⁶Central Research Institute of Electric Power Industry, 1646 Abiko, Abiko-city, Chiba-prefecture, 270-
1194 Japan

⁷Energy Business Division, OYO Corporation, 2-2-19 Daitakubo, Minami-ku, Saitama, 336-0015,
Japan

⁸Section 2.6, Seismic Hazard and Stress Field, Helmholtz-Zentrum Potsdam, German Research Center
for Geosciences-GFZ, Telegrafenberg, 14473 Potsdam, Germany

Please send all written comments on these ISRM Suggested Methods to Prof. R. Ulusay, President of the ISRM Commission
on Testing Methods, Hacettepe University, Geological Engineering Department, 06800 Beytepe, Ankara, Turkey at
resat@hacettepe.edu.tr.

* T. Ishida (corresponding author) e-mail: ishida.tsuyoshi.2a@kyoto-u.ac.jp

1. Introduction

Acoustic emission (AE) is defined as high frequency elastic waves emitted from defects
such as small cracks (microcracks) within a material when stressed, typically in the
laboratory. AE is a similar phenomenon to microseismicity (MS), as MS is induced by
fracture of rock at an engineering scale (*e.g.* rockbursts in mines), that is, in the field. Thus,
seismic monitoring can be applied to a wide variety of rock engineering problems, and AE is
a powerful method to investigate processes of rock fracture by detecting microcracks prior

36 to macroscopic failure and by tracking crack propagation.

37 A basic approach involves the use of a single channel of data acquisition, such as with a
38 digital oscilloscope, and analyzing the number and rate of AE events. Perhaps the most
39 valuable information from AE is the source location, which requires recording the waveform
40 at several sensors and determining arrival times at each. Thus, investing in a multichannel
41 data acquisition system provides the means to monitor dynamics of the fracturing process.

42 The purpose of this suggested method is to describe the experimental setup and devices
43 used to monitor AE in laboratory testing of rock. The instrumentation includes the AE
44 sensor, pre-amplifier, frequency (noise) filter, main amplifier, AE rate counter, and A/D
45 (analog-to-digital) recorder, to provide fundamental knowledge on material and specimen
46 behavior in laboratory experiments. When considering in-situ seismic monitoring, the reader
47 is referred to the relevant ISRM Suggested Method specifically addressing that topic (Xiao
48 et al., 2016).

49

50 2. Brief Historical Review

51 2.1 Early Studies of AE Monitoring for Laboratory Testing

52 AE / MS monitoring of rock is generally credited to Obert and Duval (1945) in their seminal
53 work related to predicting rock failure in underground mines. Laboratory testing was later
54 used to understand better the failure process of rock (Mogi 1962a). For example, the nature
55 of crustal-scale earthquakes from observations of micro-scale fracture phenomena was a
56 popular topic. Mogi (1968) discussed the process of foreshocks, main shocks, and
57 aftershocks from AE activity monitored through failure of rock specimens. Scholz (1968b,
58 1968c) studied the fracturing process of rock and discussed the relation between
59 microcracking and inelastic deformation. Nishizawa et al. (1984) examined focal
60 mechanisms of microseismicity, and Kusunose and Nishizawa (1986) discussed the concept
61 of the seismic gap from AE data obtained in their laboratory experiments. Spetzler et al.
62 (1991) discussed stick slip events in pre-fractured rock with various surface roughness by
63 combining acoustic emission with holographic interferometry measurements. Compiling
64 years of study, Scholz (2002) and Mogi (2006) published books on rock failure processes
65 from a geophysics perspective. Hardy (1994, 2003) focused on geoenvironmental applications
66 of AE, while Grosse and Ohtsu (2008) edited topics on the use of AE as a health monitoring
67 method for civil engineering structures.

68

69 2.2 AE Monitoring in Novel Application

70 Many researchers have used AE in novel ways. Yanagidani et al. (1985) performed creep
71 experiments under constant uniaxial stress and used AE location data to elucidate a cluster
72 of microcracks prior to macro-scale faulting. His research group also developed the concept

73 of using AE rate to control compression experiments (Terada et al. 1984). Using this
74 method, Lockner et al. (1991) conducted laboratory experiments under controlled loading by
75 keeping the AE rate constant and discussed the relation between fault growth and shear
76 fracture by imaging AE nucleation and propagation.

77 Besides the research on rock fracturing, AE monitoring has been applied to stress
78 measurement using the Kaiser effect (Kaiser, 1953), that is the stress memory effect with
79 respect to AE occurrence in rock. This application was started by Kanagawa et al. (1976)
80 and patented by Kanagawa and Nakasa (1978). Lavrov (2003) presented a historical review
81 of the approach.

82

83 2.3 AE Monitoring with Development of Digital Technology

84 With development of digital technology, AE instrumentation advanced through the use of
85 high speed and large capacity data acquisition systems. For example, using non-standard
86 asymmetric compression specimens, Zang et al. (1998, 2000) located AE sources, analyzed
87 the fracturing mechanism, and compared the results with images of X-ray CT scans. Studies
88 of the fracture process zone include Zietlow and Labuz (1998), Zang et al. (2000), and
89 Nasser et al. (2006), among others. Benson et al. (2008) conducted a laboratory experiment
90 to simulate volcano seismicity and observed low frequency AE events exhibiting a weak
91 component of shear (double-couple) slip, consistent with fluid-driven events occurring
92 beneath active volcanoes. Heap et al. (2009) conducted stress-stepping creep tests under
93 pore fluid pressure and discussed effects of stress corrosion using located AE data. Chen and
94 Labuz (2006) performed indentation tests of rock using wedge-shaped tools and compared
95 the damage zone shown with located AE sources to theoretical predictions.

96 Ishida et al. (2004, 2012) conducted hydraulic fracturing laboratory experiments using
97 various fluids, including supercritical carbon dioxide, and discussed differences in induced
98 cracks due to fluid viscosity using distributions of AE sources and fault plane solutions.
99 Using AE data from triaxial experiments, Goebel et al. (2012) studied stick-slip sequences to
100 get insight into fault processes, and Yoshimitsu et al. (2014) suggested that both millimeter
101 scale fractures and natural earthquakes of kilometer scale are highly similar as physical
102 processes. The similarity is also supported by Kwiatek et al. (2011) and Goodfellow and
103 Young (2014).

104 Moment tensor analysis of AE events has been applied to laboratory experiments. Shah
105 and Labuz (1995) and Sellers et al. (2003) analyzed source mechanisms of AE events under
106 uniaxial loading, while Graham et al. (2010) and Manthei (2005) analyzed them under
107 triaxial loading. Kao et al. (2011) explained the predominance of shear microcracking in
108 mode I fracture tests through a moment tensor representation of AE as displacement
109 discontinuities.

110

111

112 3. Devices for AE Monitoring

113 One of the simplest loading arrangements for AE monitoring in the laboratory is that for
114 uniaxial compression of a rock specimen; Figure 1 shows a typical arrangement. Since an
115 AE signal detected at a sensor is of very low amplitude, the signal is amplified through a
116 pre-amplifier and possibly a main amplifier. Typically the signal travels through a coaxial
117 cable (a conductor with a wire-mesh to shield the signal from electromagnetically induced
118 noise) with a BNC (Bayonet Neill Conelman) connector. It is usually necessary to further
119 eliminate noise, so a band pass filter, a device that passes frequencies within a certain range,
120 is used. In the most basic setup using one sensor only, the rate of AE events is counted by
121 processing the detected signals. In more advanced monitoring, for example, for source
122 location of AE events, more sensors are used and AE waveforms detected at the respective
123 sensors are recorded through an A/D converter. Figure 2a shows a twelve sensor array for a
124 core 50 mm in diameter and 100 mm in length (Zang et al. 2000); an AE-rate controlled
125 experiment was performed to map a fracture tip by AE locations, as shown in Figure 2b. To
126 locate AE, it is advantageous for the sensors to be mounted so as to surround the source, as
127 shown in Figure 2. The three lines indicate paths to monitor P-waves transmitted from
128 sensor No. 12 by using it as an emitter.

129

130 3.1 AE Sensor

131 AE sensors are typically ceramic piezoelectric elements. The absolute sensitivity is defined
132 as the ratio of an output electric voltage to velocity or pressure applied to a sensitive surface
133 of a sensor in units, V/(m/s) or V/kPa, and its order is 0.1 mV/kPa. However, the absolute
134 sensitivity often depends on the calibration method (McLaskey and Glaser 2012). From this
135 reason, a sensitivity of an AE sensor is usually stated as relative sensitivity in units of dB.

136 Figure 3 shows a typical sensor with a pre-amplifier. AE sensors can be classified into
137 two types, depending on frequency characteristics: resonance and broadband. Figure 4a
138 illustrates the frequency response of a resonance type sensor, while Figure 4b shows the
139 characteristics of a broadband type sensor. Both sensors have a cylindrical shape with the
140 same size of 18 mm in diameter and 17 mm in height. However, it can be seen that the
141 resonance type sensor (Figure 4 (a)) has a clear peak around 150 kHz while the broadband
142 type (Figure 4(b)) has a response without any clear peak from 200 to 800 kHz. Since the
143 resonance type detects an AE event at the most sensitive frequency, it tends to produce a
144 signal having large amplitude in a frequency band close to its resonance frequency,
145 independent of a dominant frequency of the actual AE waveform. As a result, the resonance
146 type sensor conceals the characteristic frequency of the “actual” AE signal and it may lose

147 important information about the source.

148 On the other hand, it is often claimed that the broadband type records a signal
149 corresponding to the original waveform. However, comparing Figure 4a and 4b illustrates
150 that the sensitivity of the broadband type is on average 10 dB less than that of the resonance
151 type. For this reason, the resonance type sensor is often employed for AE monitoring. In an
152 early study on rock fracturing (Zang et al. 1996), both sensor types, resonance and
153 broadband, were used to investigate fracture mechanisms in dry and wet sandstone. Further,
154 broadband sensors have been developed to provide high fidelity signals for source
155 characterization (Proctor 1982; Boler et al. 1984; Glaser et al. 1998; McLaskey and Glaser
156 2012; McLaskey et al. 2014). One additional item that should be noted is that sensor
157 selection should be dependent on rock type. For weak rock like mudstone having low
158 stiffness and high attenuation, an AE sensor having a lower resonance frequency is
159 recommended because it is difficult to monitor high frequency signals in a weak rock.

160 For counting AE events, two or more sensors should be used to check the effect of
161 sensor position and distinguish AE signals from noise. For 3D source locations of AE
162 events, at least five sensors (or four sensors and one other piece of information) are
163 necessary, because of the four unknowns (source coordinates x , y , z , and an occurrence time
164 t) and the quadratic nature of the distance equation. More than eight sensors are usually used
165 to improve the locations of the AE events through an optimization scheme (Salamon and
166 Wiebols 1974).

167 For setting an AE sensor on a cylindrical specimen, it is recommended to machine a
168 small area of the curved surface to match the planar end of the sensor. To adhere the sensor
169 on the specimen, various kinds of adhesives can be used, such as a cyanoacrylate-based glue
170 or even wax, which allows easy removal. It is recommended to use a consistent but small
171 amount of adhesive so as to reduce the coupling effect (Shah and Labuz 1995). Many AE
172 sensors are designed to operate within a pressure vessel, so from the perspective of the AE
173 technique, the issues are the same for uniaxial and triaxial testing.

174

175 3.2 Amplifiers and Filters

176 When AE events generated in a specimen are detected by an AE sensor, the motion induces
177 an electric charge on the piezoelectric element. A pre-amplifier connected to the AE sensor
178 transfers the accumulated electric charge as a voltage signal with a gain setting from 10 to
179 1000 times. Thus, a pre-amplifier should be located within close proximity (less than one
180 meter) from an AE sensor, and some commercial AE sensors are equipped with integrated
181 pre-amplifiers. Since a pre-amplifier needs a power supply to amplify a signal, it should
182 be connected to a “clean” power unit so that the signal is not buried in noise.

183 A signal amplified by a pre-amplifier is often connected to another amplifier, and a

184 frequency filter is inserted to reduce noise. A high pass filter passes only a signal having
185 frequencies higher than a set frequency to eliminate the lower frequency noises; a low pass
186 filter eliminates the higher frequency noise. A filter that combines the two is called a band
187 pass filter and is often used as well. When the AE sensor shown in Figure 3, having a
188 resonance frequency of 150 kHz is employed, a band pass filter from 20 to 2000 kHz is
189 common. A band frequency of the filter should be selected depending on frequency of the
190 anticipated waves and on the frequency of the noise.

191

192 3.3 AE Count and Rate

193 The AE count means a number of AE occurrence, whereas the AE count rate means the AE
194 count per a certain time interval. Figure 5 shows a typical example of AE count rates
195 monitored in a uniaxial compression test on a rock core. It is possible to show a relation
196 between impending failure and AE occurrence, when AE count rates are shown with a load-
197 displacement curve. Noting that the AE count rate on the y-axis is plotted on a logarithmic
198 scale, a burst of AE is observed just before failure (peak axial stress) of the specimen. This
199 suggests that AE count rate is a sensitive parameter for observing failure.

200 Methods to determine AE counts are classified into ring-down count and event count. In
201 both cases, a certain voltage level called the threshold or discriminate level is set for AE
202 recording (Figure 6). The level is set slightly higher than the background noise level
203 regardless of rock properties and test conditions, and consequently the AE count and rate
204 depend on the threshold level. In a ring-down counting method, a TTL (Transistor-
205 Transistor-Logic) signal is produced every time a signal exceeds a threshold level. In the
206 case shown in Figure 6b, five TTL signals are produced for one AE event, and they are sent
207 to a counter as five counts. On the other hand, an event count records one count for each AE
208 event; a typical method generates a low frequency signal that envelopes the original signal
209 (Figure 6c). After that, when the low frequency signal exceeds a threshold level, one TTL
210 signal is produced and sent to a counter. The function to generate the TTL signals should be
211 mounted in a main amplifier or a rate counter as shown in Figure 1.

212 Whichever method is selected, AE counts and rates depend on the gain of the amplifiers
213 and the threshold level. Thus, the threshold level should be reported together with the
214 respective gains of the pre-amplifier and amplifier, along with the method selected for
215 counting. Nonetheless, comparison of AE counts and rates between two experiments should
216 be done cautiously, as the failure mechanism, or more importantly, coupling may differ.
217 Sensitivity of an AE sensor is strongly affected by the coupling condition between the
218 sensor and specimen. For example, the area and shape of the couplant (adhesive) can be
219 different, even if the couplant is applied in the same manner (Shah and Labuz 1995). For
220 these reasons, comparison of exact numbers of AE counts and rates between two

221 experiments is not recommended, although their changes within an experiment become very
222 good indices for identifying the accumulation of damage and extension of fracture.

223

224 3.4 Recording AE Waveforms

225 AE waveforms contain valuable information on the fracture process, including location of
226 the AE source. AE waveforms can be recorded by an A/D converter and stored in memory.

227

228 (1) Principle of A/D conversion

229 To record an AE waveform, as shown in Figure 7, an electric signal from an AE sensor
230 flows through an A/D converter. When the amplitude of the signal exceeds a threshold level,
231 which is set in advance, a certain “length” of the signal before and after the threshold is
232 stored in memory. While the voltage level set in advance is called the threshold level or
233 discriminate level, the time when a signal voltage exceeds the level is called the trigger time
234 or trigger point. Note that “trigger” can mean either to start a circuit or to change the state of
235 a circuit by a pulse, while, in some cases, “trigger” means the pulse itself. In actual
236 monitoring, the TTL signal for the AE rate counter is usually branched and connected into
237 an A/D converter as the trigger signal. Sometimes, to avoid recording waveforms that
238 cannot provide sufficient information to determine a source location, a logic of AND/OR for
239 triggering is used; e.g. triggering occurs only when signals of two sensors set in the opposite
240 position on the specimen exceed a threshold level at the same time. Indeed, it is possible to
241 use much more complex logic. Using an arrival time picking algorithm, automatic source
242 location of AE events can be realized.

243 When recording an AE waveform, a time period before the trigger time needs to be
244 specified and this time period is called the pre-trigger or delay time. In A/D conversion,
245 voltages of an analog signal are read with a certain time interval and the voltages are stored
246 in memory as digital numbers. The principle is illustrated in an enlarged view of an initial
247 motion of the waveform in the lower part of Figure 7. The time interval, Δt , is called the
248 sampling time. On the other hand, the recording time of a waveform is sometimes
249 designated as a memory length of an A/D converter.

250 For example, in an hydraulic fracturing experiment on a 190 mm cubic granite specimen
251 (Ishida et al. 2004) and a uniaxial loading experiment on a 300 x 200 x 60 mm rectangular
252 tuff specimen (Nakayama et al. 1993), the researchers used a sensor having a resonance
253 frequency of 150 kHz, which is shown in Figure 3, and monitored AE signals by using a
254 sampling time of 0.2 μ s and a memory length of 2 k (2,048 words). In this case, the
255 recording time period was around 0.4 ms (0.2 μ s x 2,048). The pre-trigger was set at 1 k,
256 one-half of the recording time; the pre-trigger is often reported as memory length rather than
257 in real time.

258

259 (2) Sampling Time

260 To explain selection of a proper sampling time, consider the case where a sine curve is
261 converted at only four points from analog data to digital. If the sampling points meet the
262 maximum and the minimum points of the curve, as shown in Figure 8a, a signal reproduced
263 by linear interpolation from the converted digital data is similar to the original signal.
264 However, if the sampling points are moved 1/8 cycle along the time axis, as shown in Figure
265 8b, the reproduced signal is much distorted from the original one. These two examples
266 suggest that four sampling points for a cycle are not sufficient and at least ten points for a
267 cycle are needed to reproduce the waveform correctly from the converted digital data.

268 A specification of an A/D converter usually shows a reciprocal number of the minimum
269 sampling time. For example, if the minimum sampling time is 1 μ s, the specification shows
270 the reciprocal number, 1 MHz, as the maximum monitoring frequency. However, this does
271 not mean the frequency of a waveform that can be correctly reproduced. In this case, around
272 one-tenth of the frequency, or 100 kHz, can be recorded.

273

274 (3) Resolution of Amplitude

275 Whereas the sampling time corresponds to the resolution along the x-axis of an A/D
276 converter, the resolution capability along the y-axis (amplitude), usually called dynamic
277 range, is the range from the discriminable or the resolvable minimum voltage difference to
278 the recordable maximum voltage, and it depends on the bit length. When the length is 8 bits,
279 its full scale, for example, from -1 to +1 volt, is divided into $2^8 = 256$. Thus, in this case, any
280 differences smaller than $2/256$ volts in the amplitude are automatically ignored. If the bit
281 length is 16 bits, the full scale from -1 to +1 volt is divided into $2^{16} = 65,536$ and much
282 smaller differences can be discriminated. The dynamic range is from $7.8 \times 10^{-3} (= 2/256)$ to 2
283 V for 8 bits, whereas it is from $3.1 \times 10^{-5} (= 2/65,536)$ to 2 V for 16 bits.

284 When using amplitude data of the waveform in analysis, for example, to calculate the b-
285 value using Gutenberg-Richter relation (Gutenberg and Richter 1942), a large dynamic
286 range is essential. The unit “word” of a recording length is sometimes used, noting that one
287 word corresponds to 8 bits (1 byte) where the bit length is 8 bits, whereas it corresponds to
288 16 bits (2 bytes) for a case of 16 bits.

289

290 (4) Continuous AE acquisition

291 A conventional transient recording system has a certain dead-time, where AE data are not
292 recorded during this interval; this could result in loss of valuable information, especially in
293 the case of a high level of AE activity. Continuous AE acquisition systems record without AE
294 data loss, but the disadvantage of such systems is the huge dataset, requiring additional

295 software for processing. With the increase of installed memory, systems that can record all AE
296 events continuously through an experiment have become commercially available. Since some
297 researchers have already started to use this type of system, continuous monitoring (without
298 trigger) may become increasingly popular in the near future.

299 The following examples show the capability of continuous AE acquisition. A continuous
300 recorder was used to record 0.8 seconds at 10 MHz and 16 bits (Lei et al. 2003). A
301 continuous AE recorder was used to store 268 seconds of continuous AE data on 16 channels
302 at a sampling rate of 5 MHz and at 14-bit resolution (Thompson et al. 2005, 2006; Nasser et
303 al. 2006). A more advanced continuous AE acquisition system, which can record
304 continuously for hours at 10 MHz and 12 or 16 bits, was used within conventional triaxial
305 and true-triaxial geophysical imaging cells (Benson et al. 2008; Nasser et al. 2014). In
306 addition, there exists a combined system with the capability for conventional transient
307 recording where there is a low AE activity and for recording AE continuously in the case of
308 a high level of AE activity; this provides zero dead-time and avoids the loss of AE signals
309 (Stanchits et al. 2011). A disadvantages of such a system is that it costs more than a
310 conventional transient or a continuously recording system.

311

312

313 4. Analysis

314 AE data analysis could be classified into the four categories; (1) event rate analysis to
315 evaluate the damage accumulation and fracture extension, (2) source location, (3) energy
316 release and the Gutenberg-Richter relation, and (4) source mechanism. In this section, AE
317 data analysis is explained in this order.

318

319 4.1 Event counting

320 The most basic type of AE data analysis involves counting events as a function of time. As
321 shown in Figure 5, by comparing AE rates with change of stress, strain, or other measured
322 quantity characterizing the response, valuable insight on the accumulation of damage and
323 extension of fracture can be obtained. Various statistical modeling methods can be used to
324 extract additional information, including the Kaiser effect (Lockner 1993; Lavrov 2003).

325

326 4.2 Source location

327 If waveforms of an AE event are recorded at a number of sensors, the source can be located,
328 providing perhaps the most valuable information from AE. Different approaches can be
329 taken to determine source locations of AE events, but a common approach is to use a non-
330 linear least squares method to seek four unknowns, the source coordinates x , y , z , and an
331 occurrence time t , knowing the P-wave arrival time at each sensor and the P-wave velocity

332 measured before the experiment under the assumption that it does not change through the
333 experiment. A seminal contribution to the source location problem is the paper by Salamon
334 and Weibols (1974). Other valuable references include Section 7.2 of Stein and Wysession
335 (2003) and Section 5.7 of Shearer (2009). Source locations of AE events in laboratory
336 experiments are reported in many papers (Lei et al. 1992; Zang et al. 1998, 2000; Fakhimi et
337 al. 2002; Benson et al. 2008; Graham et al. 2010; Stanchits et al. 2011, 2014; Ishida et al.
338 2004, 2012; Yoshimitsu et al. 2014). In addition, the calculation of fractal dimension using
339 spatial distributions of AE sources can be quite valuable in identifying localization (Lockner
340 et al. 1991; Lei et al. 1992; Shah and Labuz 1995; Zang et al. 1998; Lei et al. 2003;
341 Stanchits et al. 2011).

342

343 4.3 Energy release and the Gutenberg-Richter relation

344 A signal recorded at only one sensor should not be used to estimate energy released due to
345 geometric attenuation of the signal. However, for a large number of sensors with sufficient
346 coverage, an average root-mean-square (RMS) value from all the sensors will be
347 representative of the AE energy. The RMS value is obtained by taking the actual voltage $g(t)$
348 at each point along the AE waveform and averaging the square of $g(t)$ over the time period
349 T ; the square root of the average value gives the RMS value.

350 The Gutenberg-Richter relationship, originally proposed as a relation between
351 magnitudes of earthquakes and their numbers, can also be applied to AE data. Mogi (1962a
352 and 1962b) indicated through his laboratory experiments that the relation depends on the
353 degree of heterogeneity of the material. Scholz (1968a) found in uniaxial and triaxial
354 compression tests that the state of stress, rather than the heterogeneity of the material, plays
355 the most important role in determining the relation. These findings have been applied in
356 order to understand the phenomena of real earthquakes and the Gutenberg-Richter
357 relationship is often used as an index value for fracturing in rock specimens (e.g. Lei et al.
358 1992, 2003; Lockner 1993; Zang et al. 1998; Stanchits et al. 2011).

359

360 4.4 Source mechanism

361 If the polarity of the initial P-wave motion at several sensors is identified, the source
362 mechanism can be analyzed using a fault plane solution. The polarity of a waveform is
363 defined as positive if the first motion is compressive or outward and negative if it is tensile
364 or inward. Microcrack opening and volumetric expansion mechanisms cause positive first
365 motions in all the directions around the source, whereas microcrack closing and pore
366 collapse mechanisms cause all negative first motions. A pure sliding mechanism causes
367 equal distributions of positive and negative polarities. The distribution of polarities for a
368 mixed-mode mechanism (e.g. sliding with dilation) is more complex. Since the theory

369 applied to seismology can be directly applied to AE owing to the same physical mechanism
370 of fracturing, the approach is described in several seismology texts, including Chapter 3 of
371 Kasahara (1981), Section 4.2 of Stein and Wysession (2003), and Chapter 9 of Shearer
372 (2009). The fault plane solutions of AE events in laboratory experiments are reported in Lei
373 et al. (1992), Zang et al. (1998), and Benson et al. (2008).

374 With proper sensor calibration and simplifying assumptions (Davi et al. 2013; Kwiatek
375 et al. 2014; Stierle et al. 2016), a detailed analysis of the source mechanism using the
376 concept of the moment tensor can be performed. The AE source is characterized as a
377 discontinuity in displacement, a microcrack, and represented by force dipoles that form the
378 moment tensor. An inverse problem is solved for the six components of the moment tensor,
379 which are then related to the physical quantities of microcrack displacement and orientation.
380 In general, the directions of the displacement vector and the normal vector of the microcrack
381 can be interchanged, but an angle 2α between the two vectors indicate opening when $\alpha = 0^\circ$,
382 sliding when $\alpha = 45^\circ$, and anything in between is mixed-mode. The theory is reviewed in
383 seismology texts e.g. Section 4.4 of Stein and Wysession (2003) and Chapter 9 of Shearer
384 (2009), as well as in papers by Ohtsu and Ono (1986), Shah and Labuz (1995), and Manthei
385 (2005). Applications of the moment tensor analysis to model AE events as microcracks are
386 found in Kao et al. (2011), Davi et al. (2013), Kwiatek et al. (2014) and Stierle et al. (2016).

387

388

389 5. Reporting of Results

390 A report on AE laboratory monitoring should include the following:

- 391 (1) Size, shape, and rock type of the specimen.
- 392 (2) Size and frequency of the sensor and type (resonance or broadband).
- 393 (3) Number of AE sensors used and sensor arrangement.
- 394 (4) Block diagram of AE monitoring system or explanation of its outline.
- 395 (5) Gain of pre- and main-amplifier of each channel.
- 396 (6) Setting frequencies of high pass and low pass filter of each channel.
- 397 (7) Threshold level of each channel for count rate and/or trigger for waveform recording.
- 398 (8) If a triggering system is used, how to select AE sensors and how to use logical AND/OR
399 for triggering. Dead time or continuous AE acquisition should be stated as well.
- 400 (9) Sampling time, memory length (recording time period of each waveform), pre-trigger
401 time and resolution of amplitude, if waveform is recorded.
- 402 (10) Analysis of results, for example, AE count rate as a function of time, location of AE
403 events, mechanisms of AE events including fault plane, moment tensor, or other solutions.
- 404 (11) Other measured quantities related to the purpose of the experiment, for example, stress,
405 strain, pressure and temperature, should be reported in comparison with the AE data.

406

407

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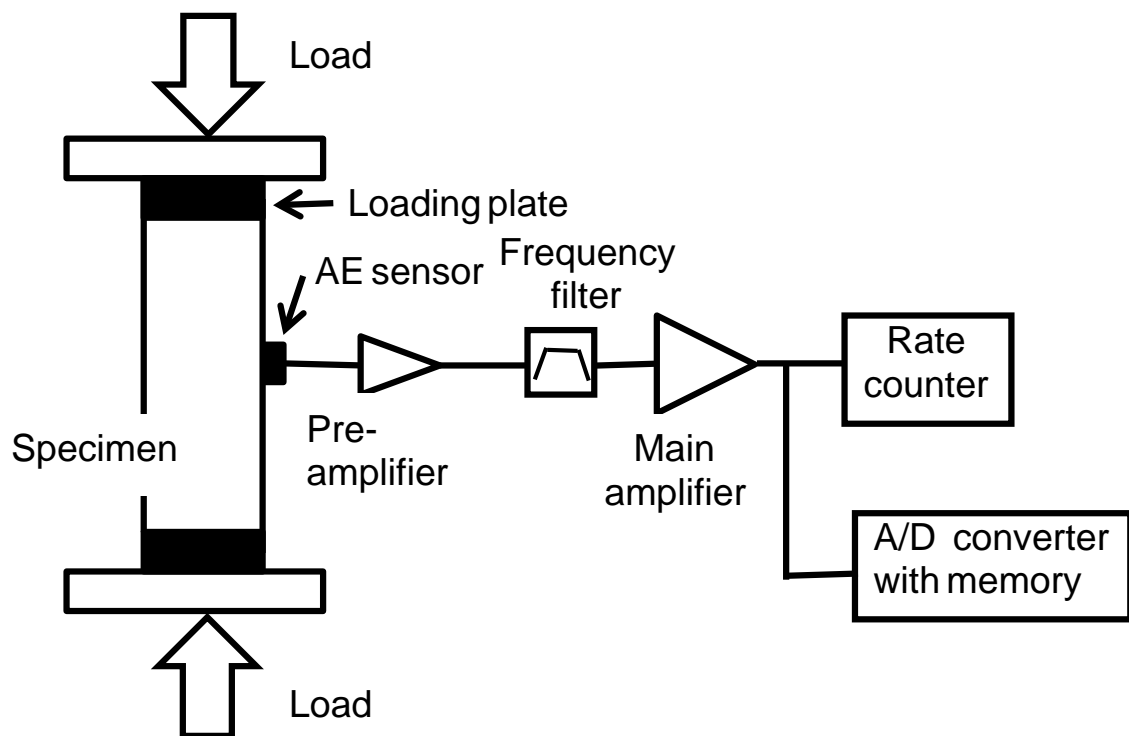
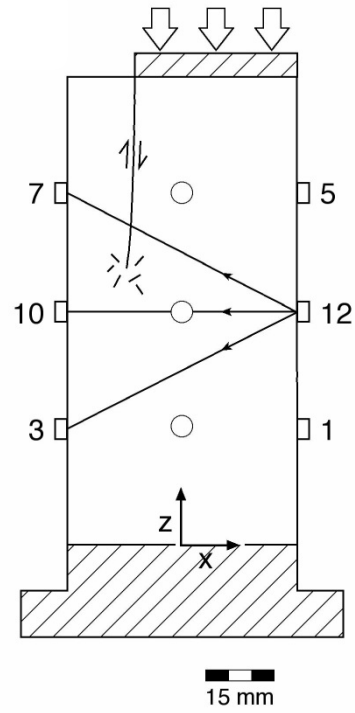


Figure 1. Typical AE monitoring system for a laboratory uniaxial compression test.



(a) Photograph



(b) Illustration

Figure 2. Example of the twelve sensor array for a core measuring 5 cm in diameter and 10 cm in length after Zang et al. (2000).



Figure 3. Typical AE sensor and pre-amplifier for a laboratory experiment. Coin is 24.26 mm in diameter (a quarter of US dollar) for scale.

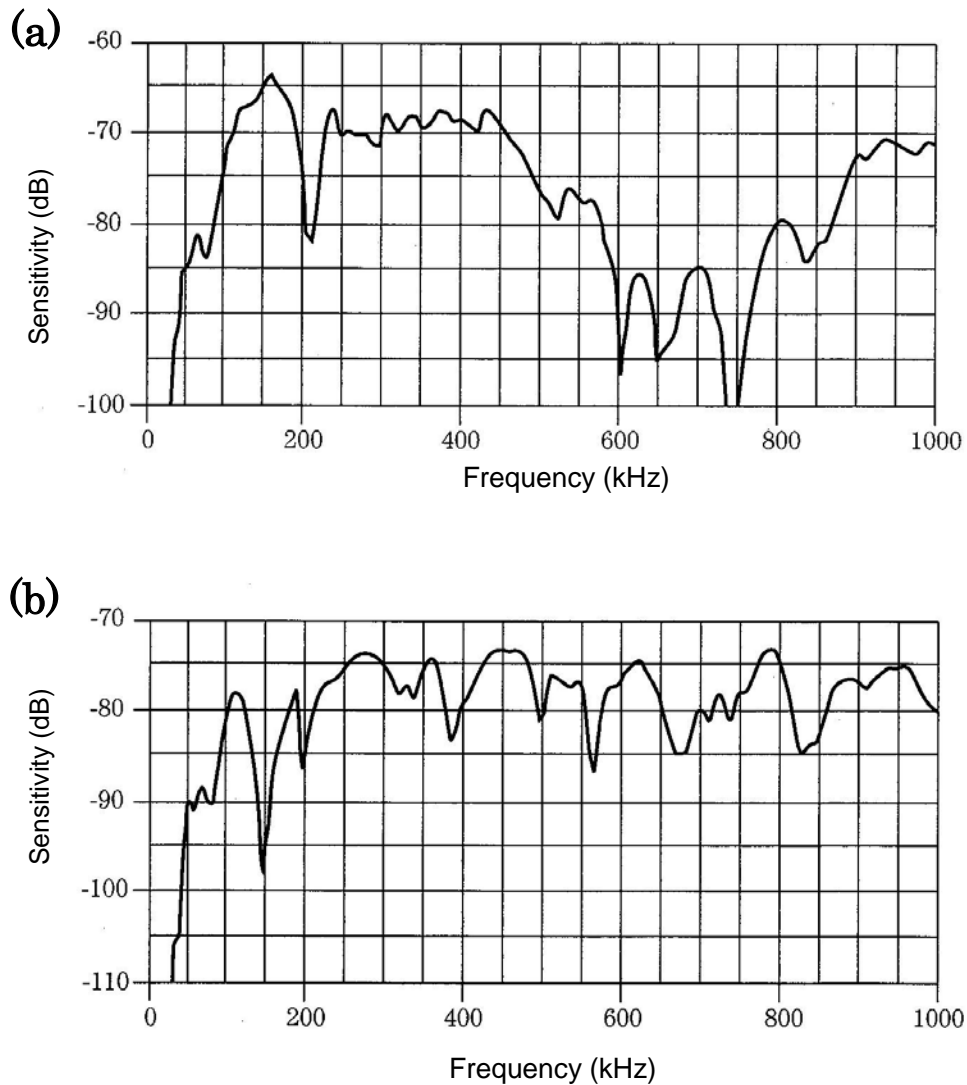


Figure 4. Examples of frequency response characteristics of AE sensors. (a) Resonance type sensor, PAC Type R15 with a resonance frequency 150 kHz. (b) Broadband type sensor, PAC Type UT1000. Both sensor models from Physical Acoustics Corporation, Princeton, NJ, USA.

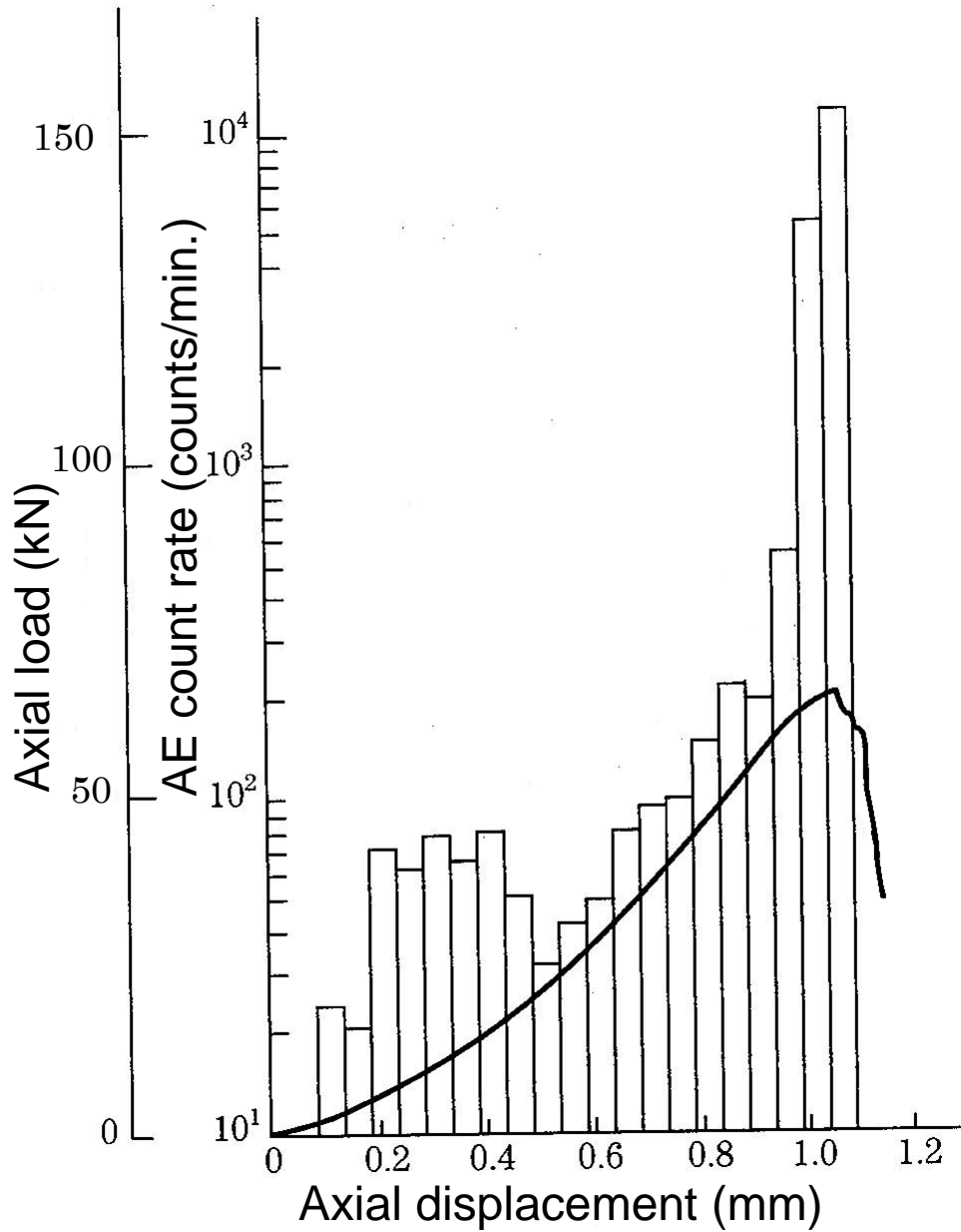


Figure 5. Typical AE count rate monitored in a uniaxial compression test under a constant axial displacement rate. The bar graph and the bold line indicate AE count rates and the load-displacement curve, respectively.

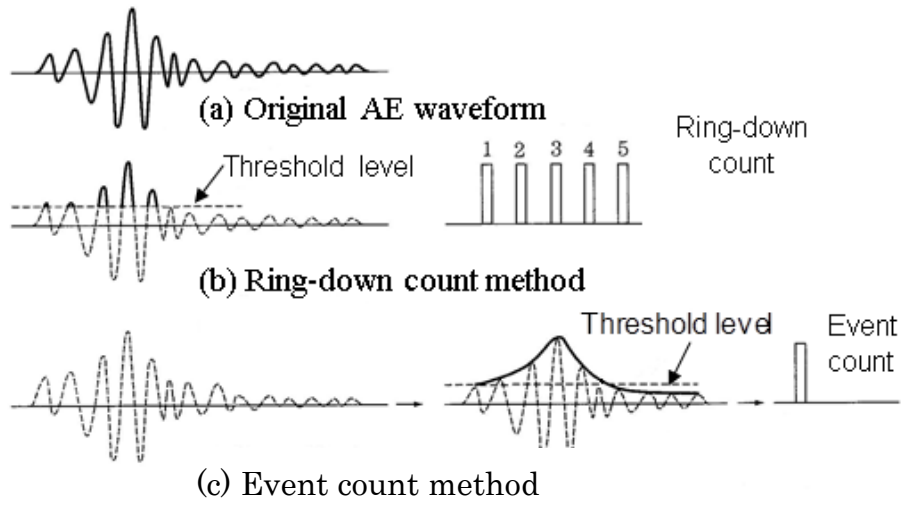


Figure 6. Two methods to count AE events. (a) The original AE waveform. (b) The ring-down count. (c) The event count.

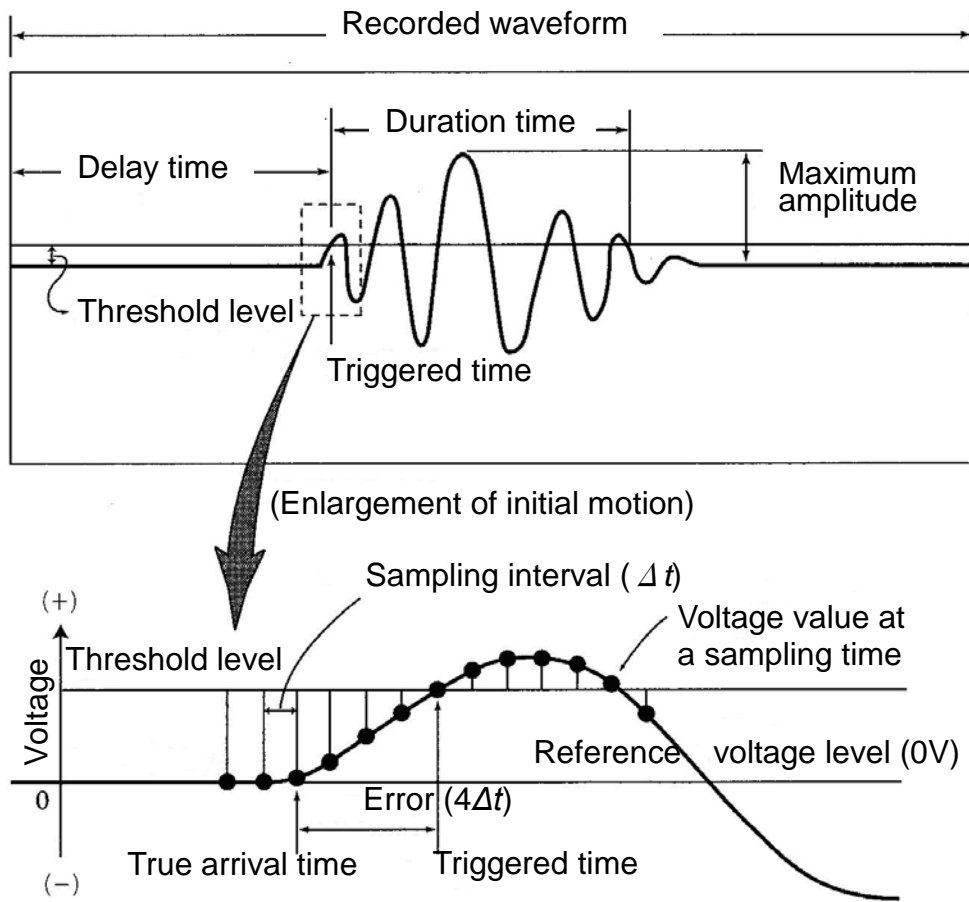


Figure 7. Example of recorded AE waveform and illustration of its Analog/Digital conversion.

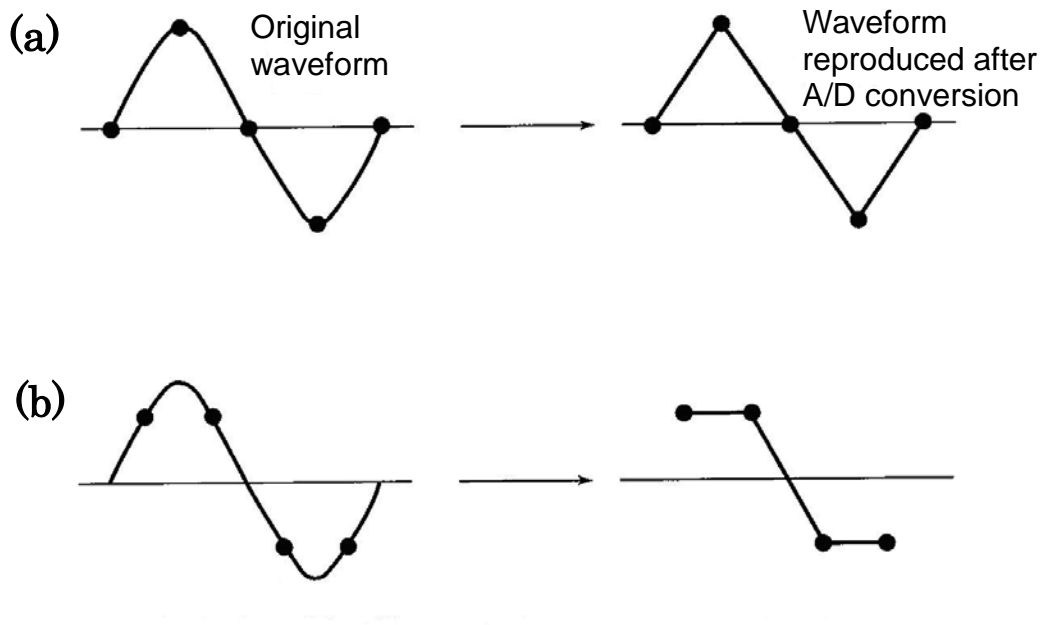


Figure 8. Relationship between an original waveform and a waveform reproduced after A/D conversion. (a) Ideal case where sampling points meet the maximum and the minimum points of the original waveform. (b) Actual case where the sampling points are displaced $1/8$ cycle along the time axis.