

# Accepted Manuscript

Effects of source and cavity depths on wave-fields in layered media

Hua-You Chai, Siang-Huat Goh, Kok-Kwang Phoon, Chang-Fu Wei,  
Dian-Ji Zhang

PII: S0926-9851(14)00158-X  
DOI: doi: [10.1016/j.jappgeo.2014.05.017](https://doi.org/10.1016/j.jappgeo.2014.05.017)  
Reference: APPGEO 2511

To appear in: *Journal of Applied Geophysics*

Received date: 10 October 2013  
Revised date: 22 May 2014  
Accepted date: 23 May 2014



Please cite this article as: Chai, Hua-You, Goh, Siang-Huat, Phoon, Kok-Kwang, Wei, Chang-Fu, Zhang, Dian-Ji, Effects of source and cavity depths on wave-fields in layered media, *Journal of Applied Geophysics* (2014), doi: [10.1016/j.jappgeo.2014.05.017](https://doi.org/10.1016/j.jappgeo.2014.05.017)

This is a PDF file of an unedited manuscript that has been accepted for publication. As a service to our customers we are providing this early version of the manuscript. The manuscript will undergo copyediting, typesetting, and review of the resulting proof before it is published in its final form. Please note that during the production process errors may be discovered which could affect the content, and all legal disclaimers that apply to the journal pertain.



## 33 **Abstract**

34 The multiple modes of Rayleigh waves (R-waves) or leaky Lamb waves  
35 (L-waves) may be present in the activated and/or the back-scattered wave-fields. The  
36 presence of these waves in the wave-fields is related to the source and the cavity  
37 depths. Two types of layered media are used to investigate the influences of the source  
38 and the cavity depths. One is the layered half space where the half space is stiffer than  
39 all the overlying layers; the other is the pavement system where there is significant  
40 velocity contrast between layers and the shear velocity of layers decreases with the  
41 layer depth. The discrete displacement expressions developed for spherical point  
42 sources are used to study the effects of the source depth on the excitability and the  
43 propagation behavior of R-waves or leaky L-waves. In layered half spaces, the  
44 multiple modes of R-waves can be activated by the sources within a certain depth.  
45 The effective phase velocity of these activated modes is derived. In pavement systems,  
46 the leaky L-waves can be activated by the sources at any depth. The discrete  
47 displacement expressions of the scattered waves are derived and used to evaluate the  
48 effects of the cavity depth on the presence of R-waves or the leaky L-waves in the  
49 back-scattered wave-field.

## 50 **1. Introduction**

51 In horizontally layered half spaces, there are the multiple modes of R-waves  
52 covering a wide range of frequency (Foti, 2000; Lu and Zhang, 2004; Strobbia, 2003;  
53 Tokimatsu et al., 1992b). When the stiffness of layer increases with layer depth, the  
54 first (fundamental) mode of R-waves dominates the surface-wave field over the

55 majority of frequency range. However, when softer layers or stiffer layers are trapped  
56 in the shallow soil, the higher modes play an important role in the surface-wave field  
57 (Gucunski and Woods, 1992; Tokimatsu et al., 1992b).

58 R-waves activated by the surface sources dominate the surface wave-field (i.e.  
59 full wave field at the surface). The energy of R-waves is confined to a shallow depth.  
60 The extent of this depth depends on the frequency of R-waves. It increases with  
61 decreasing frequency. An anomalous feature that locates within the depth where  
62 R-waves pass through will scatter the R-waves. The surface-wave field will be  
63 disturbed by these scattered waves both in time and frequency domains (António and  
64 Tadeu, 2001; Boström and Kristensson, 1983; Chai et al., 2012a; Ganji et al., 1997;  
65 Gelis et al., 2005; Höllinger and Ziegler, 1979; Tadeu et al., 2002, 2006) and these  
66 disturbances can be used to characterize the anomalous feature (Vallamsundar, 2007;  
67 Vogelaar, 2001; Grandjean and Leparoux, 2004; Nasser-Moghaddam et al., 2007;  
68 Park et al., 1998, 1999; Xia et al., 2007). Although the detectable depth (depth in  
69 which the energy of the R-waves is confined) can be increased by decreasing the  
70 dominant frequency of sources, the generation of R-waves at very low frequencies is  
71 quite difficult using the active sources. Passive waves, which are induced by  
72 microtremors of the earth or vibrations of the background, comprise very low  
73 frequency components (<10 Hz) (Morikawa et al., 2004; Nasser-Moghaddam et al.,  
74 2007; Park et al., 2005; Tokimatsu et al., 1992a). However, the detection layout and  
75 the analysis methods are not well developed for these passive waves. It is more  
76 promising to detect deep anomalous features using the body waves. Since R-waves

77 activated by the surface sources are relatively strong in the surface wave-field, the  
78 presence of R-waves may severely mask the reflections of the body waves. Buried  
79 sources are often used to strengthen the reflections of the body waves and to suppress  
80 R-waves. Because the buried sources are important for detection of deep anomalous  
81 features, it is helpful to investigate effects of the buried sources and the anomalous  
82 features on the excitability of R-waves and the presence of R-waves in the  
83 back-scattered wave-field, respectively.

84 The surface response of a homogeneous, elastic half space to impulsive internal  
85 P-wave and S-wave point sources was investigated by Pinney (1954). The integral  
86 displacement equation for R-waves for point sources in simple structural models was  
87 presented by Anderson (2011). There is one non-dispersive normal mode of R-waves  
88 in homogenous half spaces. However, effects of the buried sources on the excitability  
89 of this mode are not easily analyzed from the implicit integral expressions presented  
90 by these studies. To simplify the analyses, effects of the source and the cavity depths  
91 on the wave-field in homogeneous half spaces are investigated using the discrete  
92 method (Chai et al., 2013). In comparison with R-waves in homogenous half spaces,  
93 there are multiple modes of R-waves and the leaky L-waves in the layered half spaces  
94 and the pavement systems, respectively. These modes are dispersive. The excitability  
95 and the propagation behavior of R-waves and the leaky L-waves generated by the  
96 surface sources were investigated by Gucunski and Woods (1992), Tokimatsu et al.  
97 (1992b) and Ryden and Lowe (2004), respectively. To our best knowledge,  
98 comparable work for the buried sources and the anomalous features has not been

99 conducted in layered media. The main contribution of this paper is to apply the thin  
100 layer method to analyze the excitability of R-waves or leaky L-waves and the  
101 presence of R-waves or leaky L-waves in the back-scattered wave-fields in layered  
102 media. Based on these analyses, the wave components in the activated and the  
103 back-scattered wave-fields can be effectively analyzed and an appropriate source  
104 depth can be found to suppress R-waves.

105 The objectives of this paper work are as follows: (i) investigate effects of the  
106 source depth on the excitability and the propagation behavior of R-waves or leaky  
107 L-waves in two types of layered media, and (ii) investigate effects of the cavity depth  
108 on the presence of R-waves or the leaky L-waves in the back-scattered wave-field. To  
109 achieve the above goals, the displacement expressions of the activated R-waves and  
110 the generalized body waves (including the leaky L-waves) are first presented based on  
111 the work proposed by Kausel (1999) for the spherical point source. The displacements  
112 of these waves are related to the variations of the modal amplitudes with depth. The  
113 excitability of R-waves or leaky L-waves is then investigated by analyzing the  
114 variations of modal amplitudes with depth. The effective phase velocity of the  
115 activated R-waves is derived from the displacement expression of R-waves. When a  
116 cavity is present in the layered media, the displacement of the waves scattered from  
117 one point is also proposed in the discrete form and divided into two terms  
118 corresponding to R-waves and the generalized body waves, respectively. By doing so,  
119 the method for the buried sources can be applied to analyze effects of the cavity depth

120 on the presence of R-waves or the leaky L-waves in the back-scattered wave-field.

121 Some numerical results are presented to verify these analyses.

## 122 **2. Wave-field activated by buried spherical point source**

### 123 *2.1 Discrete displacement expression*

124 Consider a horizontally homogeneous, elastic layered medium containing a small  
 125 spherical cavity of radius  $a$  with center located at  $(0,0,z_s)$  in the cylindrical  
 126 coordinates  $r$ ,  $\theta$  and  $z$ , and a harmonically oscillating pressure with amplitude  $p$   
 127 acting on the spherical inner surface, as shown in Fig. 1. When  $a \rightarrow 0$ , the vertical  
 128 discrete displacement can be approximately expressed as (Kausel, 1999)

$$129 \quad u_z(z, r, z_s, \omega) \approx -\frac{3(\lambda + 2\mu)}{4\mu} \bar{p} \left[ -\frac{1}{4i} \sum_{l=1}^{2N} \phi_z^l(z) \phi_x^l(z_s) k_l H_0^{(2)}(k_l r) + \frac{1}{4i} \sum_{l=1}^{2N} \frac{\partial \phi_z^l(z)}{\partial z} \phi_z^l(z_s) H_0^{(2)}(k_l r) \right], \quad (1)$$

130 where  $\bar{p} = \frac{4}{3} \pi a^3 p$  is the source strength;  $\lambda$  and  $\mu$  are Lamé's constants of the layer  
 131 containing the spherical source;  $\phi_x^l(z)$ ,  $\phi_z^l(z)$  and  $k_l$  are the functions of the  
 132 horizontal and the vertical shapes and the wavenumber of the  $l$ -th mode, respectively;  
 133  $H_0^{(2)}(k_l r)$  is the second kind Hankel functions of the zero order;  $N$  is the number of  
 134 thin layers. There are  $2N$  modes. These modes can be classified into two parts: one  
 135 part corresponds to R-waves; the second part corresponds to the generalized body  
 136 waves. By rearranging these modes according to the wave types, Eq. (1) can be  
 137 regrouped as

$$138 \quad u_z(z, r, z_s, \omega) = -\frac{3(\lambda + 2\mu)}{4\mu} \bar{p} \left[ -\frac{1}{4i} \sum_{l=1}^{L_a(\omega)} \phi_{z\alpha}^l(z) \phi_{x\alpha}^l(z_s) k_{\alpha l} H_0^{(2)}(k_{\alpha l} r) - \frac{1}{4i} \sum_{m=1}^{M_R(\omega)} \phi_{zR}^m(z) \phi_{xR}^m(z_s) k_{Rm} H_0^{(2)}(k_{Rm} r) \right. \\ 139 \quad \left. + \frac{1}{4i} \sum_{l=1}^{L_a(\omega)} \frac{\partial \phi_{z\alpha}^l(z)}{\partial z} \phi_{z\alpha}^l(z_s) H_0^{(2)}(k_{\alpha l} r) + \frac{1}{4i} \sum_{m=1}^{M_R(\omega)} \frac{\partial \phi_{zR}^m(z)}{\partial z} \phi_{zR}^m(z_s) H_0^{(2)}(k_{Rm} r) \right]. \quad (2)$$

140 The subscripts  $\alpha$  and  $R$  denote parameters corresponding to the generalized body  
 141 waves and R-waves, respectively. The sum of the modes for generalized body waves  
 142 and R-waves is equal to  $2N$ , i.e.  $L_\alpha(\omega) + M_R(\omega) = 2N$ . The number of modes for each  
 143 wave type,  $L_\alpha(\omega)$  or  $M_R(\omega)$ , is related to the soil profile and frequency. The  
 144 vertical displacements of R-waves and the generalized body waves  $u_{zR}$  and  $u_{z\alpha}$  in  
 145 Eq. (2) can be rewritten as

$$\begin{aligned}
 146 \quad u_{zR}(z, r, z_s, \omega) &= -\frac{3(\lambda + 2\mu)i}{16\mu} \bar{p} \sum_{m=1}^{M_R(\omega)} \beta_m(z, z_s, \omega) H_0^{(2)}(k_{Rm} r), \\
 147 \quad u_{z\alpha}(z, r, z_s, \omega) &= -\frac{3(\lambda + 2\mu)i}{16\mu} \bar{p} \sum_{l=1}^{L_\alpha(\omega)} \gamma_l(z, z_s, \omega) H_0^{(2)}(k_{\alpha l} r), \quad (3)
 \end{aligned}$$

148 where

$$\begin{aligned}
 149 \quad \beta_m(z, z_s, \omega) &= [\phi_{zR}^m(z) \phi_{xR}^m(z_s) k_{Rm} - \phi_{zR}^m(z) \phi_{zR}^m(z_s)], \\
 150 \quad \gamma_l(z, z_s, \omega) &= [\phi_{z\alpha}^l(z) \phi_{x\alpha}^l(z_s) k_{\alpha l} - \phi_{z\alpha}^l(z) \phi_{z\alpha}^l(z_s)]. \quad (4)
 \end{aligned}$$

## 151 2.2 Propagation behavior of the activated R-waves

152 The mode in the natural state (i.e. no source) is often termed as “normal mode”  
 153 (Kausel, 1999; Ryden and Park, 2004) or “natural mode” (Chai et al., 2012a). The  
 154 term “activated mode” is here used to denote the mode activated by the sources. The  
 155 multiple activated modes constructively or destructively interfere with each other. The  
 156 superposed R-waves travel at so-called “effective” or “apparent” phase velocity (Chai  
 157 et al, 2011, 2012b; Foti, 2000; Strobbia, 2003; Tokimatsu et al., 1992b). If the material  
 158 damping can be ignored, the modal amplitudes and wavenumbers of R-waves are real.  
 159 Under such conditions, the effective phase velocity can be derived following the  
 160 method used by Chai et al. (2012b) as



$$161 \quad c_{zR}(r, z, z_s, \omega) = \frac{\omega}{\hat{k}_{zR}(r, z, z_s, \omega)} = \frac{\omega \sum_{m=1}^{M_R} \sum_{\hat{m}=1}^{M_R} \hat{B}_{m\hat{m}} [Y_0(k_{Rm}r)Y_0(k_{R\hat{m}}r) + J_0(k_{Rm}r)J_0(k_{R\hat{m}}r)]}{\sum_{m=1}^{M_R} \sum_{\hat{m}=1}^{M_R} \hat{B}_{m\hat{m}} k_{Rm} [Y_0(k_{Rm}r)J_1(k_{R\hat{m}}r) - J_0(k_{Rm}r)Y_1(k_{R\hat{m}}r)]}, \quad (5)$$

162 where  $\hat{B}_{m\hat{m}} = \beta_m(z, z_s, \omega)\beta_{\hat{m}}(z, z_s, \omega)$ ;  $J_n(k_{Rn}r)$  ( $n=0, 1$ ) and  $Y_n(k_{Rn}r)$  are the first and  
 163 the second kind Bessel functions of the  $n$ th order.

164 In the far field where the offset is large relative to the maximum wavelength of  
 165 R-waves, i.e.  $k_{Rn}r \gg 1$ , the expression in Eq. (5) can be simplified to

$$166 \quad c_{zR}(r, z, z_s, \omega) \approx \frac{\omega \sum_{m=1}^{M_R} \sum_{\hat{m}=1}^{M_R} B_{m\hat{m}} \cos[(k_{Rm} - k_{R\hat{m}})r]}{\sum_{m=1}^{M_R} \sum_{\hat{m}=1}^{M_R} B_{m\hat{m}} k_{Rm} \cos[(k_{Rm} - k_{R\hat{m}})r]} = \frac{\sum_{m=1}^{M_R} \sum_{\hat{m}=1}^{M_R} B_{m\hat{m}} \cos[(k_{Rm} - k_{R\hat{m}})r]}{\sum_{m=1}^{M_R} \sum_{\hat{m}=1}^{M_R} B_{m\hat{m}} c_{Rm}^{-1} \cos[(k_{Rm} - k_{R\hat{m}})r]}, \quad (6)$$

167 where  $B_{m\hat{m}} = (k_{Rm} k_{R\hat{m}})^{-1/2} \hat{B}_{m\hat{m}}$ ,  $c_{Rm}$  is the phase velocity of the  $m$ -th normal mode.

### 168 2.3 Propagation behavior of the leaky Lamb waves

169 There are symmetrical (S) and anti-symmetrical (A) L-waves in free plates. In a  
 170 plate overlying soft soils, the waves in the plate will radiate into the underlying soils.  
 171 These waves are not the real L-waves and often called as leaky L-waves (or  
 172 quasi-Lamb waves). The characteristics of the normal leaky modes, such as the  
 173 dispersion, the attenuation, the variation of modal amplitude with depth and the  
 174 excitability, were investigated by Ryden and Lowe (2004), Ryden and Park (2004) and  
 175 Ryden et al. (2004). For a given pavement, the number and the excitability of the  
 176 leaky modes are related to the frequency components and the depth of the sources.  
 177 The number of activated leaky modes increases with frequency. The excitability of the  
 178 mode increases with the modal amplitude at the source depth. The pavement profile  
 179 adopted by Ryden and Lowe (2004), as shown in Fig. 1(b) is used to investigate the  
 180 leaky L-waves. The densities and Poisson's ratios of layers and the half space base are

181 assumed to be  $2000 \text{ kg/m}^3$  and 0.35. The zero-phase wavelets of the source can  
 182 simplify resolution because traces containing zero-phase wavelets will have seismic  
 183 interfaces located in general at the centers of the peaks and troughs of the trace.  
 184 Ricker wavelet is one of the zero-phase wavelets, which is widely used in synthetic  
 185 seismograms (Kallweit and Wood, 1982). The expressions in the time and the  
 186 frequency domains are as follows:

$$187 \quad s(t) = (1 - 2\pi^2 f_M^2 t^2) e^{-\pi^2 f_M^2 t^2}, \quad S(f) = \frac{2}{\sqrt{\pi}} \frac{f^2}{f_M^3} e^{-\frac{f^2}{f_M^2}}, \quad (7)$$

188 where  $f_M$  is the peak (or center) frequency. The small radius and the peak frequency of  
 189 the spherical point source in the following axisymmetrical finite element simulations  
 190 are assumed to be 0.1 m and 100 Hz, respectively. The spectra contour of the surface  
 191 responses of the pavement system for the source at depth = 1.5 m is given in Fig. 2.  
 192 The effective phase velocities of the activated leaky modes can be obtained from the  
 193 amplitude peaks in the spectra (see the white dashed line). Comparing the effective  
 194 velocities and the dispersion curve of the first anti-symmetrical mode (A0) of Lamb  
 195 waves in the first free layer of the pavement, it can be found that the trend of the  
 196 effective phase velocity is similar to the dispersion of the A0 mode.

### 197 **3. Effects of source depth in layered media**

#### 198 *3.1 Layered half spaces*

199 It can be seen from Eq. (3) that the component of the  $m$ -th activated R-wave  
 200 mode in the surface wave-field at a given offset  $r$  is related to the modal  
 201 parameters  $\phi_{zR}^m(0)$ ,  $\phi_{xR}^m(z_s)$ ,  $\phi_{zR}^m(0)_{,z}$  and  $\phi_{zR}^m(z_s)$ . Thus, Eq. (3) can be used to analyze

202 effects of the source depth  $z_s$  on the surface-wave field. The layered half spaces where  
 203 a softer layer is sandwiched between two stiff layers, as shown in Fig. 1(a), are used  
 204 to study effects of source depth on the modal excitability of R-waves. The densities  
 205 and Poisson's ratios of the layers and the half space are assumed to be  $1800 \text{ kg/m}^3$  and  
 206 0.3 for two different layer thicknesses.

207 The dispersions and the vertical surface amplitudes of the normal modes over the  
 208 frequency range of interest (less than 500 Hz) are given in Figs. 3(a) and 3(b) for the  
 209 case of thinner layers (Case I). The spectrum of the Ricker wavelet source with the  
 210 peak frequency of 100Hz is also plotted in Fig. 3(a). It can be seen that only the first  
 211 normal mode exists in the major part of the frequency range of the source. It implies  
 212 that the higher modes can be ignored in the activated wave-field. The modal shapes  
 213  $\phi_{xR}(z)$  and  $\phi_{zR}(z)$  are related to the soil profile and frequency. The first modal shape  
 214 at the peak frequency of 100 Hz is given in Fig. 3(c). In the soil with thicker layers  
 215 (Case II), there are 16 modes within the frequency range of interest. The dispersions  
 216 and the vertical surface amplitudes of the first four normal modes are presented in  
 217 Figs. 4(a) and 4(b) to illustrate the behavior of the higher modes. It can be found from  
 218 Fig. 4(a) that there are multiple modes within the frequency range of the source.  
 219 These modes may be activated by the source. The vertical shapes  $\phi_{zR}^m(z)$  ( $m = 1, \dots, 4$ )  
 220 of the first four modes at 100 Hz are given in Fig. 4(c). It can be seen that the modal  
 221 shapes  $\phi_{zR}^m(z)$  attenuate exponentially in the half space, but vary erratically within  
 222 the overlying layers. The similar characteristics can be found for the horizontal  
 223 shapes  $\phi_{xR}^m(z)$ . Thus, the energy of the activated R-waves will decay and can be

224 ignored if the source depth in the half space is sufficiently deep. When the source is  
225 located in the overlying layers, the energy may be strengthened or weakened  
226 according to the modal shapes. The depths over which energy concentrates are deeper  
227 for the higher normal modes at a given frequency. Thus, the source may be located  
228 beyond the depth where energy concentrates for low modes, but within the depths  
229 where concentrates for higher modes. In this scenario, the energy of the low modes is  
230 weak while energy of the higher modes may be relatively strong in the surface-wave  
231 field. When the source is located far beyond the depths where energy concentrates for  
232 the normal modes, R-waves can be ignored and the body waves will dominate the  
233 surface wave-field. Since the characteristics of modal shapes, such as attenuating  
234 exponentially in the half space, varying erratically within the overlying layers and  
235 deeper energy concentrating depths for higher modes, are same for all types of layered  
236 half spaces, the conclusions drawn also hold for other types of layered half spaces.

237 In the following, some finite element simulations are presented and the wave  
238 components are analyzed using the afore-mentioned method. The wave components  
239 activated by buried sources are illustrated in Fig. 5. We first pay attention to the  
240 activated wave-field. The wave scattering due to the presence of the cavities will be  
241 discussed in Section 4. The contour plot of the surface responses activated by the  
242 source at depth = 1.2 m is shown in Fig. 6(a). Since R-waves are confined in shallow  
243 depths, the activated R-waves can be easily identified in the snapshot of the particle  
244 velocity field given in Fig. 6(b), where the symbol P stands for P-waves radiated from  
245 the source;  $PP_0$  and  $PS_0$  denote the dilatational and transverse components of the

246 reflections of the P-waves at the free surface. It can be seen in Fig. 6(a) that R-waves  
247 travel in a dispersive way due to the dispersive behavior of the first normal mode. For  
248 Case II, the contour plot of the surface responses to the source at depth = 0.8 m is  
249 given in Fig. 7(a). The different types of waves are identified in the particle velocity  
250 contour presented in Fig. 7(b). The R-waves superposed by the multiple activated  
251 modes nearly travel at the effective velocity of 167 m/s, which is approximately equal  
252 to the phase velocity of R-waves in the half space with the properties of the first layer  
253 (Chai et al., 2012a). Since the activated modes in the surface-wave field are  
254 influenced by the source depth, the effective phase velocity of the activated R-waves  
255 is not only related to the frequency and soil stiffness profile, but also to the source  
256 depth [see Eq. (5)].

### 257 *3.2 Pavement systems*

258 Since R-waves are only present at very low frequencies in the pavement systems  
259 (Jones, 1962), the leaky L-waves play an important role in the surface wave-field over  
260 most frequencies. The pavement profile is given in Fig. 1(b). The contour plot of the  
261 surface responses is shown in Fig. 8 for the source at depth = 1.5 m. The waves  
262 travelling at average phase velocities of 390 m/s and 228 m/s correspond to the leaky  
263 L-waves (the dispersion is shown in Fig. 2) and the direct P-waves from the source,  
264 respectively. Increasing the source depth, the contour plot of the surface responses  
265 and a snapshot of particle velocity field for the source at depth = 6 m are given in Figs.  
266 9(a) and (b), respectively. The leakage of the leaky L-waves into the underlying soils  
267 can be identified in Fig. 9(b). The leaky L-waves are still strongly energetic in the

268 surface wave-field shown in Figs. 9(a) and 9(b) for such a deep source. This can be  
 269 explained from the fact that the modal shapes  $\phi_{x\alpha}^l(z_s)$  and  $\phi_{z\alpha}^l(z_s)$  related to the  
 270 leaky L-waves do not attenuate with depth in the half space base like those of  
 271 R-waves. The leaky L-waves can be activated by the buried source at any depth.

## 272 4. Effect of cavity depth on wave scattering

### 273 4.1 Scattered wave field

274 For layered media with anomalies acted by a source at the position vector  $\mathbf{x}_s$ ,  
 275 the  $i$ -th ( $i=1, 2, 3$ ) component of the full displacement  $u_i(\mathbf{x}, \mathbf{x}_s)$  at the position vector  
 276  $\mathbf{x}$  can be divided into two parts as (Campman, 2005; Riyanti, 2005)

$$277 \quad u_i(\mathbf{x}, \mathbf{x}_s) = u_i^{inc}(\mathbf{x}, \mathbf{x}_s) + u_i^{sc}(\mathbf{x}, \mathbf{x}_s) \quad , \quad (8)$$

278 where  $u_i^{inc}(\mathbf{x}, \mathbf{x}_s)$  denotes the displacement of the direct wave field generated by the  
 279 source at the position  $\mathbf{x}_s$  in the layered media without any anomaly and  $u_i^{sc}(\mathbf{x}, \mathbf{x}_s)$   
 280 represents the displacement of the scattered wave field in the presence of the  
 281 anomalies with volume =  $D$ .

$$282 \quad u_i^{inc}(\mathbf{x}, \mathbf{x}_s) = W(\omega) u_{ik}^G(\mathbf{x}, \mathbf{x}_s) \quad , \quad (9)$$

283 where  $\omega$  is angular frequency;  $W(\omega)$  denotes the source function in the frequency  
 284 domain;  $u_{ik}^G(\mathbf{x}, \mathbf{x}_s)$  is the  $i$ -th component of Green's functions at the position  $\mathbf{x}$  due  
 285 to a point pulse source directed in the  $k$ -th direction ( $k=1, 2, 3$ , corresponding to  $x, y$   
 286 and  $z$  coordinates, respectively) at the position  $\mathbf{x}_s$ . The displacements of the scattered  
 287 waves can be simplified as

$$288 \quad u_i^{sc}(\mathbf{x}, \mathbf{x}_s) \approx \int_{\mathbf{x}' \in D} \omega^2 \Delta\rho(\mathbf{x}') u_{ik}^G(\mathbf{x}, \mathbf{x}') u_k(\mathbf{x}', \mathbf{x}_s) dV \quad , \quad (10)$$

289 where  $\Delta\rho(\mathbf{x}')$  is the density changes due to the presence of anomalies. Using the

290 discrete Green's functions and rearranging the modes according to the wave types, the  
 291 integrand of Eq. (10) can be rewritten as (Chai et al., 2012a)

$$\begin{aligned}
 292 \quad \tilde{u}_3^{sc}(\mathbf{x}, \mathbf{x}', \mathbf{x}_s) = & \frac{i\omega^2 \Delta\rho(\mathbf{x}')}{4} \left\{ \left[ \sum_{l=1}^{L_\omega(\omega)} \phi_{z\alpha}^l(z) \phi_{z\alpha}^l(z') H_1^{(2)}(k_{cl} \hat{r}) + \sum_{m=1}^{M_R(\omega)} \phi_{zR}^m(z) \phi_{zR}^m(z') H_1^{(2)}(k_{Rm} \hat{r}) \right] \right. \\
 293 \quad & \left. \left[ \cos \hat{\theta} u_1(\mathbf{x}', \mathbf{x}_s) + \sin \hat{\theta} u_2(\mathbf{x}', \mathbf{x}_s) \right] - \left[ \sum_{l=1}^{L_\omega(\omega)} \phi_{z\alpha}^l(z) \phi_{z\alpha}^l(z') H_0^{(2)}(k_{cl} \hat{r}) + \sum_{m=1}^{M_R(\omega)} \phi_{zR}^m(z) \phi_{zR}^m(z') H_0^{(2)}(k_{Rm} \hat{r}) \right] u_3(\mathbf{x}', \mathbf{x}_s) \right\}, \\
 294 & \hspace{20em} (11)
 \end{aligned}$$

295 where  $H_1^{(2)}(k_l r)$  is the second kind Hankel functions of the first order;  $\hat{r}$  and  $\hat{\theta}$  as  
 296 shown in Fig. 10 are the local cylindrical coordinates. It can be seen from Eq. (11)  
 297 that the displacement of the R-waves or the leaky L-waves in the scattered wave-field  
 298 is related to both the vertical and the horizontal modal amplitudes at the scattering  
 299 position  $z'$ . Thus, the effect of the cavity depth on the presence of the R-waves or the  
 300 leaky L-waves in the back-scattered surface wave-field can be analyzed from Eq. (11).

#### 301 4.2 Rectangular cavities in layered half spaces

302 The descriptions of a rectangular cavity are given in Fig. 5. As mentioned above,  
 303 R-waves can be activated by a shallow source. The activated R-waves are scattered at  
 304 a shallow cavity (Chai et al., 2012a). The scattered R-waves may obscure the  
 305 scattering of P-waves radiated from the source. A deep source is set at depth of 6 m so  
 306 that the source is far beyond the depth over which energy concentrates for the first  
 307 normal mode. Thus, the components of the incident waves  $u_i(\mathbf{x}', \mathbf{x}_s)$  ( $i=1, 2, 3$ ) are  
 308 mainly the body waves. The presence of R-waves in the back-scattered wave-field due  
 309 to the direct R-waves can be excluded. For Case I, a shallow rectangular cavity is set  
 310 at:  $r_n=15$  m,  $r_f=19$  m,  $h_r=0.8$  m and  $h_b=1.8$  m. The cavity is located within the depth

311 over which energy concentrates for the first normal mode (see Fig. 3), i.e. the modal  
 312 amplitudes within that depth are relatively large. When the direct waves encounter the  
 313 cavity, each scattering point at the cavity can be regarded as a new source. R-waves  
 314 are obviously observed in the back-scattered surface wave-field, as shown in Fig. 11,  
 315 where P-P and P-S waves denote the dilatational and transverse components of  
 316 P-waves scattered at the cavity, respectively. This phenomenon is consistent with the  
 317 prediction from Eq. (11). The same cavity is set in Case II and the source is located at  
 318 depth = 7 m. A similar phenomenon can be observed in the back-scattered surface  
 319 wave-field, as shown in Fig. 12. To examine the influence of the deep cavity, two  
 320 cavities are set at locations where the modal amplitudes are small [see the modal  
 321 shapes in Figs. 3(c) and 4 (c)]. One cavity is set at locations of  $r_n=15$  m,  $r_f=19$  m,  $h_r=$   
 322 4 m,  $h_b=5$  m for Case I; the other is located at  $r_n=15$  m,  $r_f=19$  m,  $h_r=7$  m,  $h_b=8$  m for  
 323 Case II. It can be inferred from Eq. (11) that R-waves in the back-scattered wave-field  
 324 are weak and can be ignored, as shown in Figs. 6 and 7. The above analyses show that  
 325 the component of R-waves in the back-scattered wave-field is strengthened or  
 326 weakened when the cavity is located within the depth over which energy concentrates  
 327 for the normal modes; when the cavity is located far beyond this depth, R-waves in  
 328 the back-scattered wave-field can be ignored.

### 329 4.3 Rectangular cavities in pavement systems

330 Since the modal shapes  $\phi'_{x\alpha}(z)$  and  $\phi'_{z\alpha}(z)$  corresponding to the leaky L-waves  
 331 do not attenuate with depth, it is not surprising that the leaky L-waves may be present  
 332 in the back-scattered wave-field for cavities at any depth [see Eq. (11)]. This can be



333 verified by numerical results. The contour plot of the surface responses is given in Fig.  
334 13 for the shallow cavity at locations of  $r_n=15$  m,  $r_f=19$  m,  $h_t=1$  m and  $h_b=2$  m and  
335 the source at depth = 6 m. It can be seen that the back scattered wave-field is  
336 dominated by the back leaky L-waves. When a deep cavity is located at  $r_n=15$  m,  
337  $r_f=19$  m,  $h_t=4$  m and  $h_b=5$  m, the leaky L-waves is still obvious in the back-scattered  
338 wave-field, as shown in Fig. 9(a).

## 339 5. Conclusions

340 The effects of the source and the cavity depths on the presence of R-waves or the  
341 leaky L-waves can be analyzed from variations of the modal amplitudes with depth.  
342 The discrete displacement expressions are derived for this purpose.

343 In the layered half spaces, the number and the excitability of R-wave modes  
344 depend on the frequency components and the depth of sources. The activated modes  
345 interfere with each other. For a given soil profile, the effective (or apparent) phase  
346 velocity of the superposed R-waves is frequency and source depth dependent. Since  
347 the modal amplitudes attenuate exponentially with the depth in the half spaces, the  
348 activated R-waves will correspondingly decay with the depth of sources located in the  
349 half spaces. Thus, from the soil profile and the frequency components of the source,  
350 an appropriate depth can be estimated for the buried sources to suppress the activated  
351 R-waves.

352 When a cavity is present in the layered half spaces, the presence of R-waves in  
353 the back-scattered wave-field is mainly controlled by the ratio of the cavity depth to  
354 the energy concentrating depth of R-waves. The conclusions drawn for the source

355 depth hold for the cavity depth.

356 In pavement systems, the number and the excitability of the leaky modes are also  
357 related to the frequency components and the depth of sources. Since the modal shapes  
358 oscillate with depth, some modes of the leaky L-waves with low attenuation can  
359 appear in the activated and/or the back-scattered wave-fields for deep sources and/or  
360 deep cavities.

### 361 **Acknowledgements**

362 This work is funded by Defence Science and Technology Agency, Singapore  
363 under project agreement No. POD1014347.

### 364 **References**

365 Anderson, J. 2011. Source effects on surface wavefields.

366 <http://www.ees.nmt.edu/outside/Geop/Classes/GEOP523/Docs/JAnderson.pdf>.

367 António, J., Tadeu, A., 2001. 3D scattering by multiple cylindrical cavities buried in  
368 an elastic formation. *European Journal of Mechanics - A/Solids* 20(3), 367-383.

369 Boström, A., Kristensson, G., 1983. Scattering of a pulsed Rayleigh wave by a  
370 spherical cavity in an elastic half space. *Wave Motion* 5, 137-143.

371 Campman, X.H., 2005. Imaging and suppressing near-receiver scattered seismic  
372 waves. Ph. D Thesis, Delft Institute of Applied Mathematics, Delft University of  
373 Technology, The Netherlands.

374 Chai, H.Y., Cui, Y.J., Wei, C.F., 2012b. A Parametric Study of Effective Phase

- 375 Velocity of Surface Waves in Layered Media. *Computers and Geotechnics* 44,  
376 176-184.
- 377 Chai, H.Y., Goh, S.H., Phoon, K.K., Wei, C.F., 2013. Effects of source and cavity  
378 depths on wave-fields in homogeneous half spaces. *Journal of Applied*  
379 *Geophysics* 93, 52-59.
- 380 Chai, H.Y., Phoon, K.K., Goh, S.H., Wei, C.F., 2012a. Some theoretical and numerical  
381 observations on scattering of Rayleigh waves in media containing shallow  
382 rectangular cavities. *Journal of Applied Geophysics* 83, 2012, 107-119.
- 383 Chai, H.Y., Phoon, K.K., Wei, C.F., Lu, Y.F., 2011. Analysis of effects of active  
384 sources on observed phase velocity based on the thin-layer method. *Journal of*  
385 *Applied Geophysics* 73(1), 49-58.
- 386 Foti, S., 2000. Multistation methods for geotechnical characterization using surface  
387 waves. Ph.D. thesis, Politecnico di Torino, Italy.
- 388 Ganji, V., Gucunski, N., Maher, A., 1997. Detection of underground obstacles by  
389 SASW method—Numerical aspects. *Journal of Geotechnical and*  
390 *Geoenvironmental Engineering* 123(3), 212-219.
- 391 Gelis, C., Leparoux, D., Virieux, J., Bitri, A., Operto, S., Grandjean, G., 2005.  
392 Numerical modeling of surface waves over shallow cavities. *Journal of*  
393 *Environmental and Engineering Geophysics* 10 (2), 111–121.
- 394 Grandjean, G., Leparoux, D., 2004. The potential of seismic methods for detecting  
395 cavities and buried objects: experimentation at a test site. *Journal of Applied*  
396 *Geophysics* 56 (2), 93– 106.

- 397 Gucunski, N., Woods, R.D., 1992. Numerical simulation of the SASW test. *Soil*  
398 *Dynamics and Earthquake Engineering* 11 (4), 213–227.
- 399 Höllinger, F., Ziegler, F. 1979. Scattering of pulsed Rayleigh surface waves by a  
400 cylindrical cavity. *Wave Motion* 1, 225-238.
- 401 Jones, R., 1962. Surface wave technique for measuring the elastic properties and  
402 thickness of pavements: Theoretical development. *British Journal of Applied*  
403 *Physics* 13, 21-29.
- 404 Kallweit, R. S., Wood, L. C., 1982. The limits of resolution of zero-phase wavelets.  
405 *Geophysics* 47(7), 1035-1046.
- 406 Kausel, E., 1999. Dynamic point sources in laminated media via the thin-layer method.  
407 *International Journal of Solids and Structures* 36 (31), 4725-4742.
- 408 Lu, L.Y., Zhang, B.X., 2004. Analysis of dispersion curves of Rayleigh waves in the  
409 frequency — wavenumber domain. *Canadian Geotechnical Journal* 41(4),  
410 583-598.
- 411 Morikawa, H., Sawada, S., Akamatsu, J., 2004. A method to estimate phase velocities  
412 of Rayleigh waves using microseisms simultaneously observed at two sites.  
413 *Bulletin of the Seismological Society of America* 94(3), 961-976.
- 414 Nasser-Moghaddam, A., Cascante, G., Phillips, C., Hutchinson, D.J., 2007. Effects of  
415 underground cavities on Rayleigh waves—field and numerical experiments. *Soil*  
416 *Dynamics and Earthquake Engineering* 27 (4), 300–313.
- 417 Park, C.B., Miller, R.D., Ryden, N., Xia, J., Ivanov, J., 2005. Combined use of active  
418 and passive surface waves. *Journal of Environmental and Engineering*  
419 *Geophysics* 10(3), 323-334.

- 420 Park, C.B., Miller, R. D., Xia, J.H., 1998. Ground roll as a tool to image near-surface  
421 anomaly, SEG Expanded Abstract, 874-877.
- 422 Park, C.B., Miller, R.D., Xia, J.H., 1999. Detection of near-surface voids using  
423 surface waves. SAGEEP 99, Oakland, Calif., 281-286.
- 424 Pinney, E., 1954. Surface motion due to a point source in a semi-infinite elastic  
425 medium. Bulletin of the Seismological Society of America 44(1), 571-596.
- 426 Riyanti, C.D., 2005. Modeling and inversion of scattered surface waves. Ph. D Thesis,  
427 Delft Institute of Applied Mathematics, Delft University of Technology, The  
428 Netherlands.
- 429 Ryden, N., and Lowe, M.J.S, 2004. Guided wave propagation in three-layer pavement  
430 structures, Journal of the Acoustical Society of America 116 (5), 2902-2913.
- 431 Ryden, N., and Park, C. B., 2004. Surface waves in inversely dispersive media. Near  
432 Surface Geophysics 2(4), 187–197.
- 433 Ryden, N., Park, C.B., Ulriksen, P., Miller, R.D., 2004. Multimodal Approach to  
434 Seismic Pavement Testing. Journal of Geotechnical and Geoenvironmental  
435 Engineering 130(6), 636-645.
- 436 Strobbia, C., 2003. Surface wave methods —Acquisition, processing and inversion.  
437 Ph.D. thesis, Politecnico di Torino, Italy.
- 438 Tadeu, A.J.B., António, J.M.P., Kausel, E., 2002. 3D scattering of waves by a  
439 cylindrical irregular cavity of infinite length in a homogeneous elastic medium.  
440 Computer Methods in Applied Mechanics and Engineering 191 (27-28),  
441 3015-3033.

- 442 Tadeu, A.J.B., Mendes, P.A., António, J., 2006. The simulation of 3D elastic  
443 scattering produced by thin rigid inclusions using the traction boundary element  
444 method. *Computers and Structures* 84 (31-32), 2242-2253.
- 445 Tokimatsu, K., Shinzawa, K., Kuwayama, K.S., 1992a. Use of short period  
446 microtremors for Vs profiling. *Journal of Geotechnical Engineering* 118 (10),  
447 1544–1558.
- 448 Tokimatsu, K., Tamura, S., Kojima, H., 1992b. Effects of multiple modes on Rayleigh  
449 wave dispersion characteristic. *Journal of Geotechnical Engineering* 118 (10),  
450 1529–1543.
- 451 Vallamsundar, S., 2007. Numerical evaluation of classification techniques for flaw  
452 detection. Masters Thesis. University of Waterloo, Waterloo, Ontario, Canada.
- 453 Vogelaar, B.B.S.A., 2001. Cavity detection—a feasibility study towards the  
454 application of seismic surface wave stack methods for the identification and  
455 localization of underground voids. Master These, OYO Center of Applied  
456 Geosciences, Archimedesbaan 16, Nieuwegein & University of Utrecht,  
457 Department of Earth Sciences, Budapestlaan 4, Utrecht, The Netherlands.
- 458 Xia, J.H., Nyquist, J.E., Xu, Y.X., Roth, M.J.S., Miller, R.D., 2007. Feasibility of  
459 detecting near-surface feature with Rayleigh-wave diffraction. *Journal of*  
460 *Applied Geophysics* 62 (3), 244–253.
- 461 Stokoe, II. K. H, Joh, S. H., Woods, R. D., 2004. Some contributions of in situ  
462 geophysical measurements to solving geotechnical engineering problems.  
463 International Conference on Site Characterization (ISC-2), Porto, Portugal, September

464 19-22, 15-50.

465

466

467

### LIST OF FIGURES

468 Fig. 1 Illustration of layer media, source and coordinate system: (a) layered half space;  
469 and (b) pavement.

470 Fig. 2. Comparison of velocities of A0 mode and the leaky L-waves.

471 Fig. 3. Behavior of the normal R-wave modes in Case I: (a) dispersions; (b) surface  
472 modal amplitude  $\phi_{zR}(0)$ ; and (c) horizontal and vertical modal shapes  $\phi_{xR}(z)$  and  
473  $\phi_{zR}(z)$  at frequency of 100Hz.

474 Fig. 4. Behavior of the first four normal modes of R-waves in Case II: (a) dispersions;  
475 (b) surface modal amplitude  $\phi_{zR}(0)$ ; and (c) vertical modal shape  $\phi_{zR}(z)$  at frequency  
476 of 100Hz.

477 Fig. 5. Illustration of the wave types activated by a buried source and description of a  
478 rectangular cavity.

479 Fig. 6. Wave-field in Case I for the source at depth of 1.2 m: (a) contour plot of the  
480 surface responses; and (b) snapshot of particle velocity field.

481 Fig. 7. Wave-field in Case II for the source at depth of 0.8 m: (a) contour plot of the  
482 surface responses; and (b) snapshot of particle velocity field.

483 Fig. 8. Contour plot of the surface responses of the pavement system for the source at  
484 depth of 1.5 m.

485 Fig. 9. Wave-field in the pavement system for the source at depth of 6 m: (a) contour

486 plot of the surface responses; and (b) snapshot of particle velocity field.

487 Fig. 10. Global and local coordinate systems (S: scattering point; P: observation  
488 point).

489 Fig. 11. Contour plot of the surface responses of Case I for the source at depth of 6 m  
490 and the rectangular cavity at  $r_n=15$  m,  $r_f=19$  m,  $h_t=0.8$  m and  $h_b=1.8$  m.

491 Fig. 12. Contour plot of the surface responses of Case II for the source at depth of 7 m  
492 and the rectangular cavity at  $r_n=15$  m,  $r_f=19$  m,  $h_t=0.8$  m and  $h_b=1.8$  m.

493 Fig. 13. Contour plot of the surface responses of the pavement system for the source  
494 at depth of 6 m and the rectangular cavity at  $r_n=15$  m,  $r_f=19$  m,  $h_t=1$  m and  $h_b=2$  m.

495

496

497

498

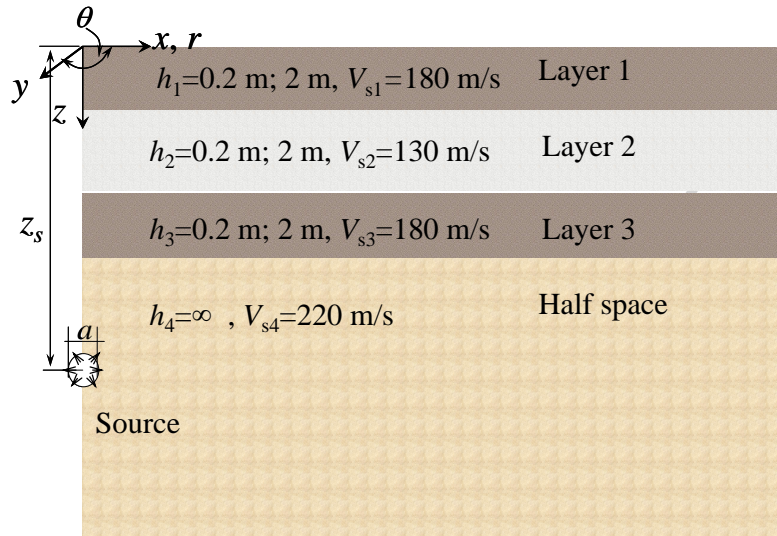
499

500

501

502

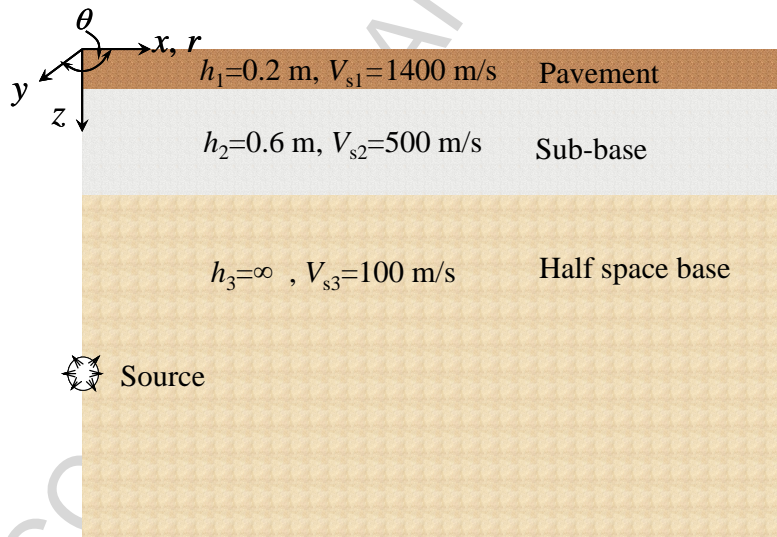




503

504

(a)



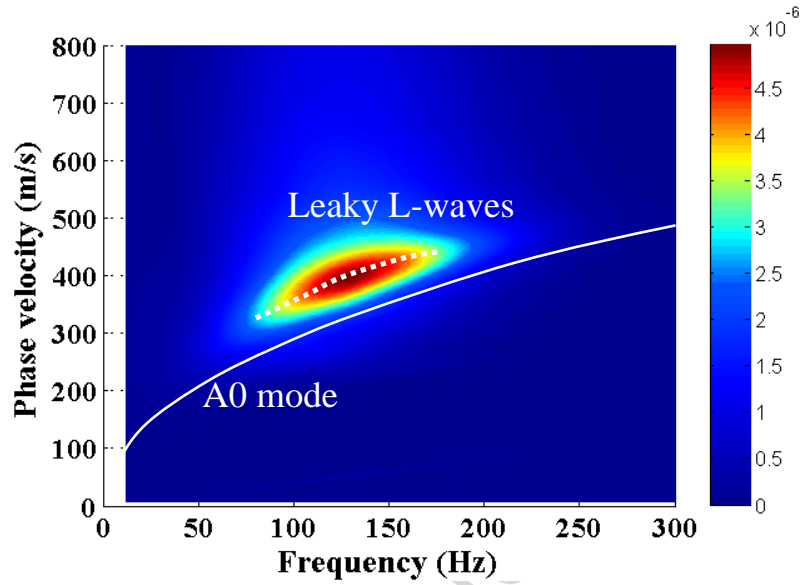
505

506

(b)

507 Fig. 1 Illustration of layer media, source and coordinate system: (a) layered half space;

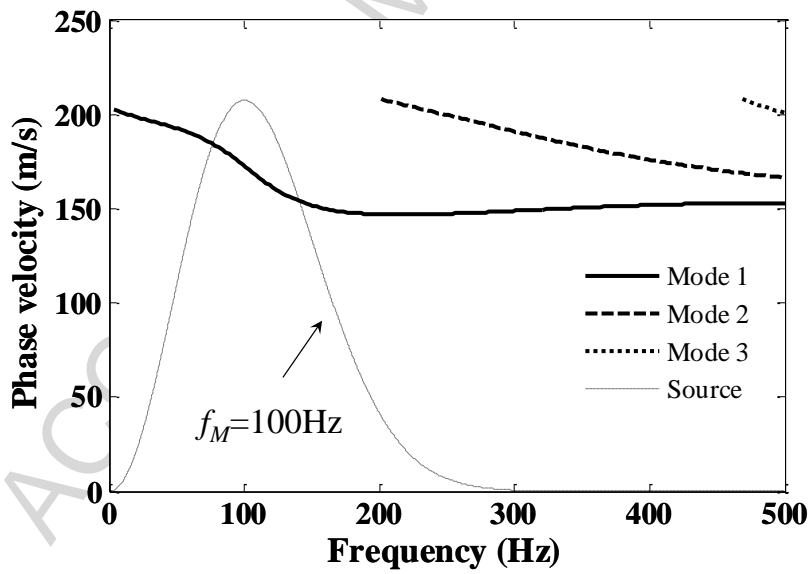
508 and (b) pavement.



509

510 Fig. 2. Comparison of velocities of A0 mode and the leaky L-waves.

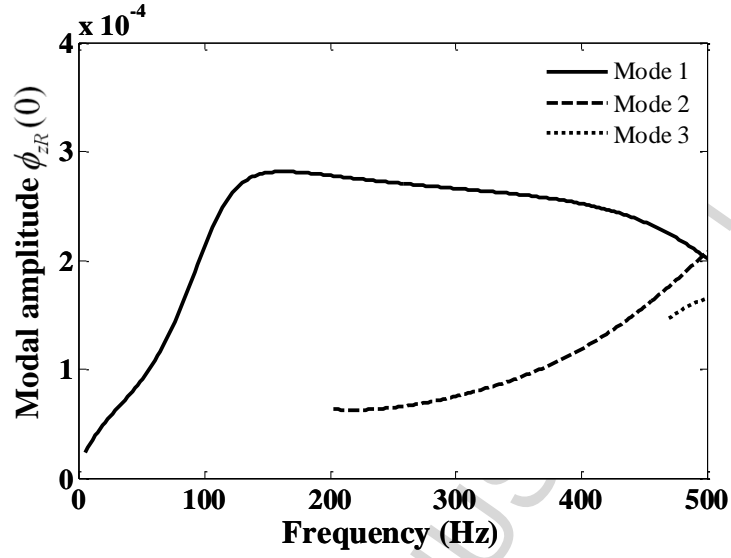
511



512

513

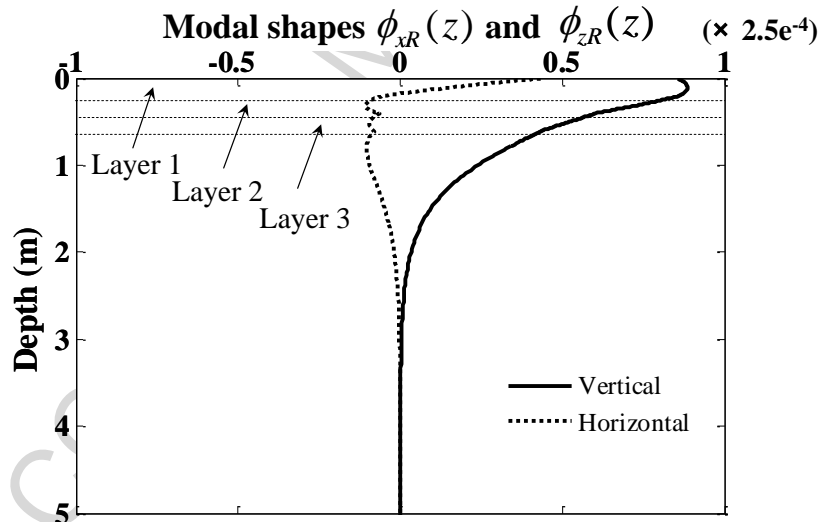
(a)



514

515

(b)



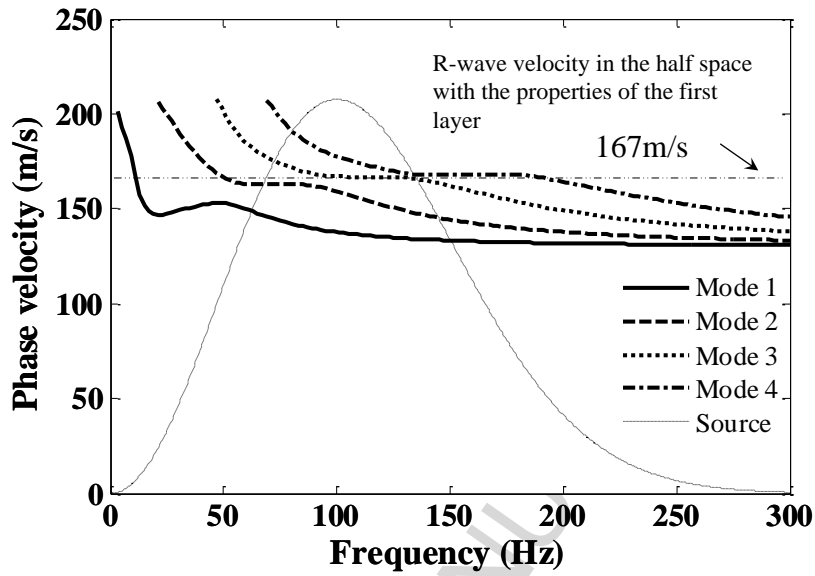
516

517

(c)

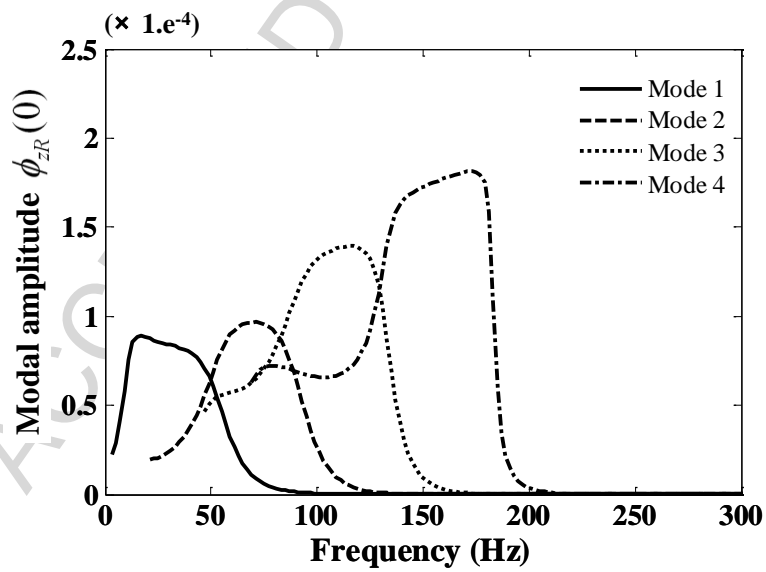
518 Fig. 3. Behavior of the normal R-wave modes in Case I: (a) dispersions; (b) surface

519 modal amplitude  $\phi_{zR}(0)$ ; and (c) horizontal and vertical modal shapes  $\phi_{xR}(z)$  and520  $\phi_{zR}(z)$  at frequency of 100Hz.



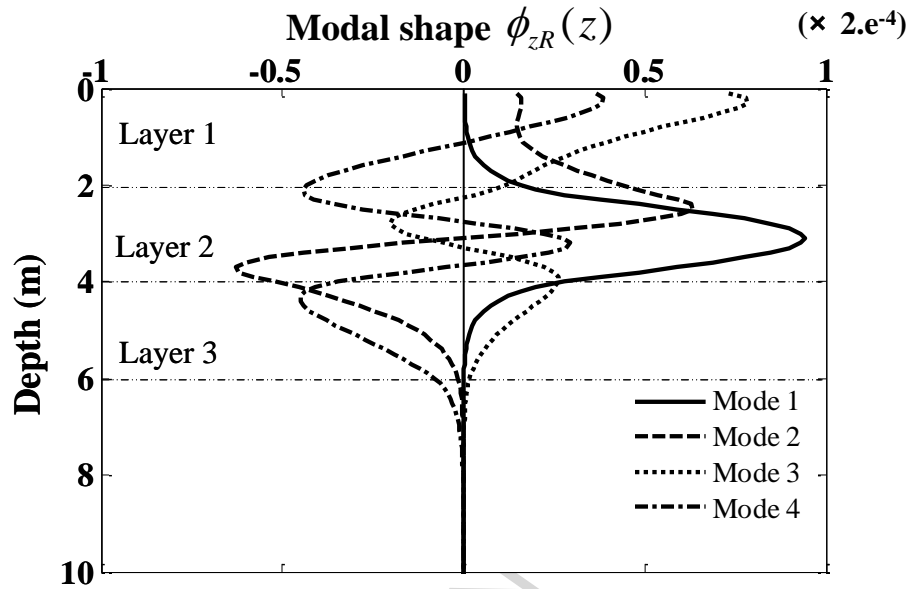
521  
522  
523  
524

(a)



525  
526

(b)



527

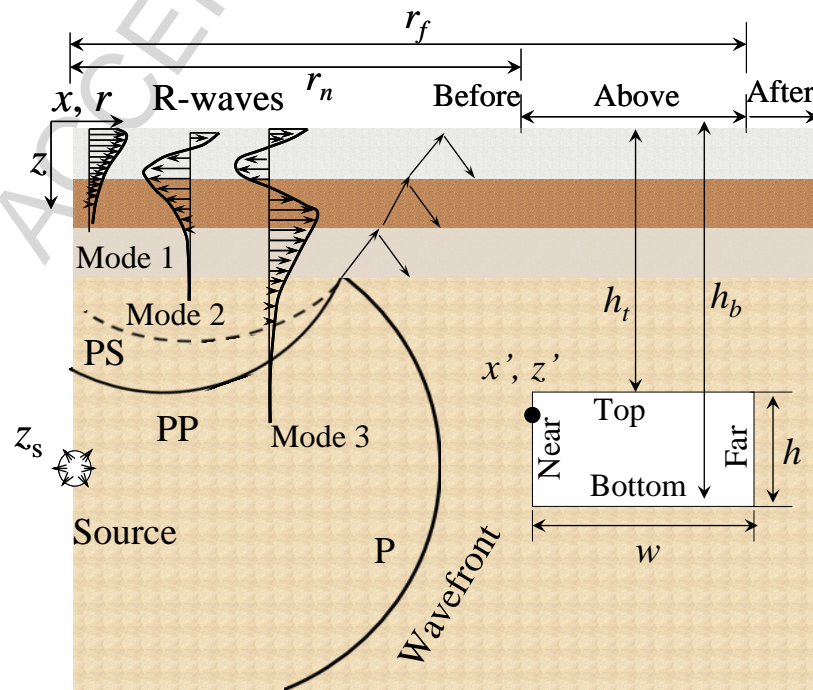
528

(c)

529 Fig. 4. Behavior of the first four normal modes of R-waves in Case II: (a) dispersions;

530 (b) surface modal amplitude  $\phi_{zR}(0)$ ; and (c) vertical modal shape  $\phi_{zR}(z)$  at frequency

531 of 100Hz.

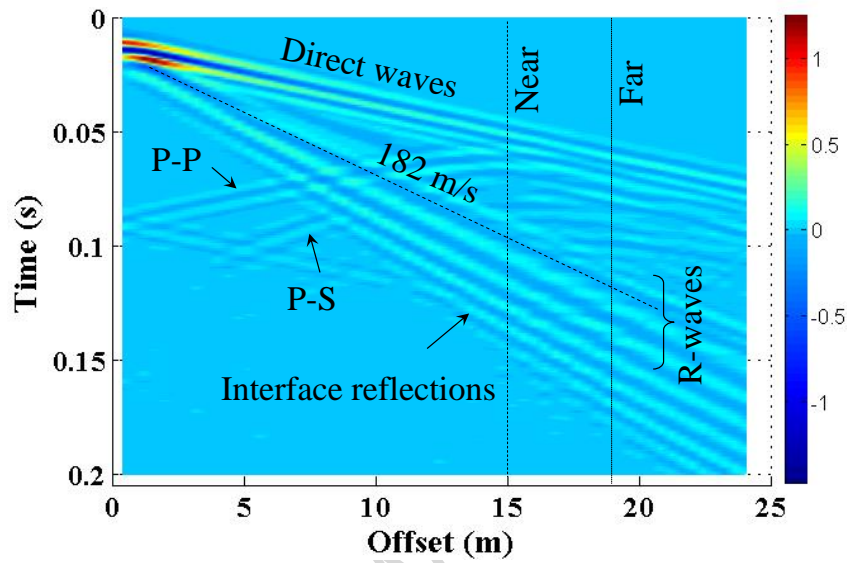


532

533 Fig. 5. Illustration of the wave types activated by a buried source and description of a

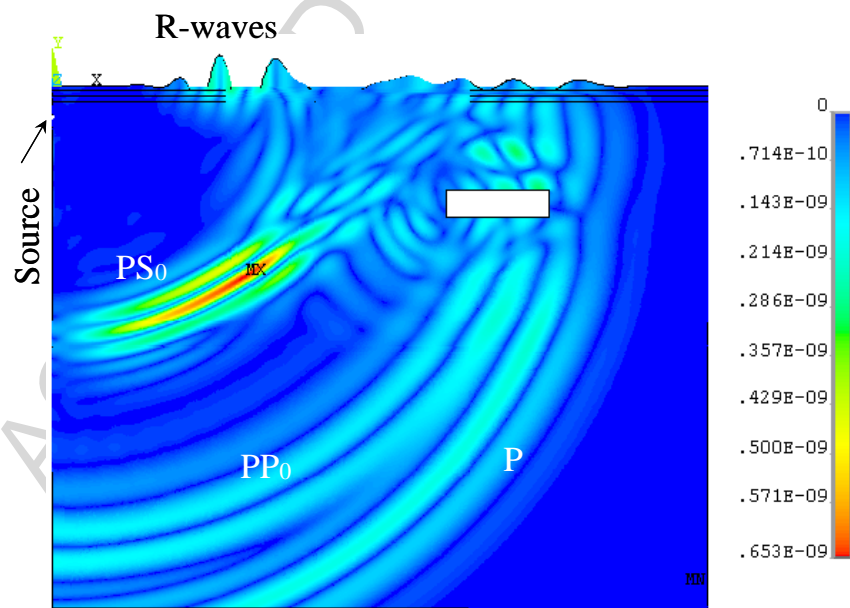
534 rectangular cavity.

535



536

537



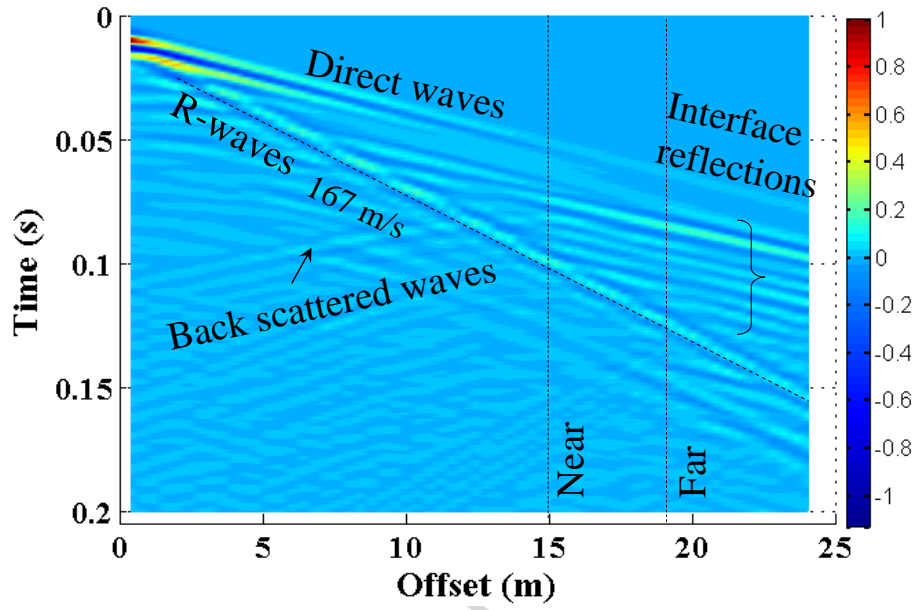
538

539

(b)

540 Fig. 6. Wave-field in Case I for the source at depth of 1.2 m: (a) contour plot of the

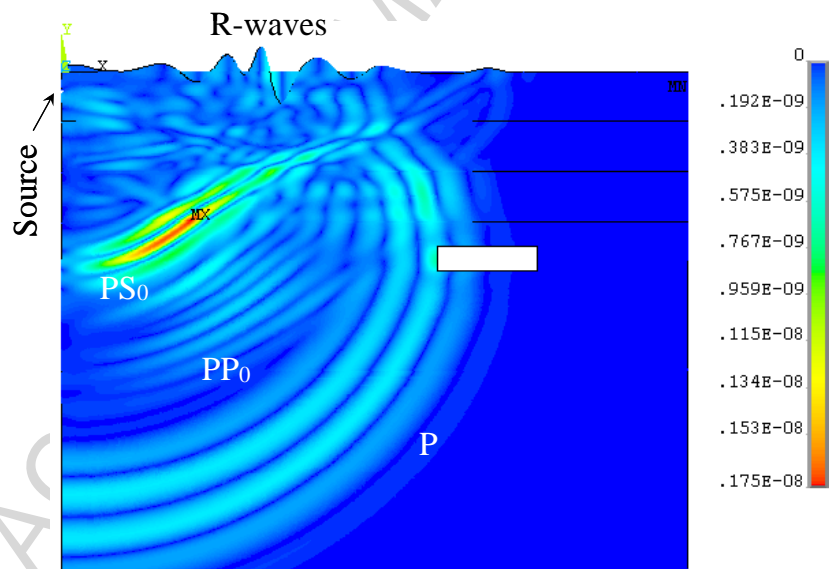
541 surface responses; and (b) snapshot of particle velocity field.



542

543

(a)



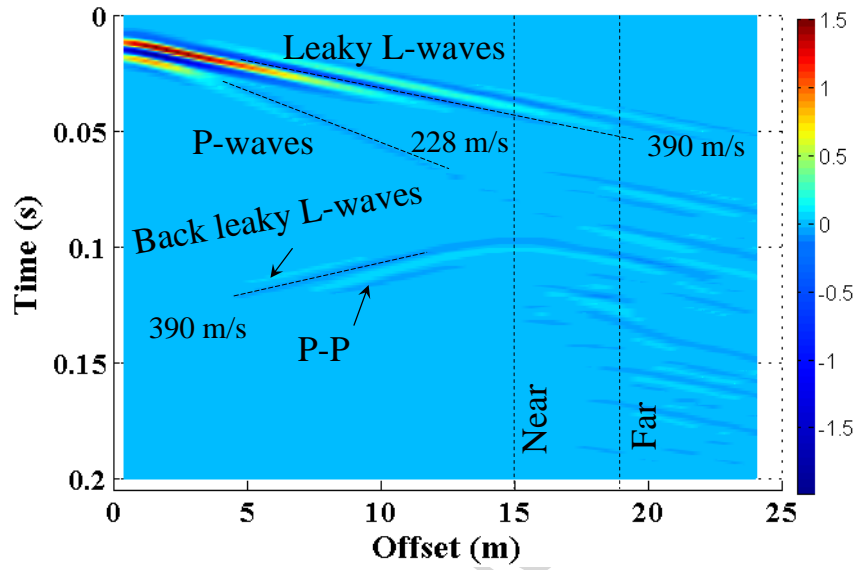
544

545

(b)

546 Fig. 7. Wave-field in Case II for the source at depth of 0.8 m: (a) contour plot of the

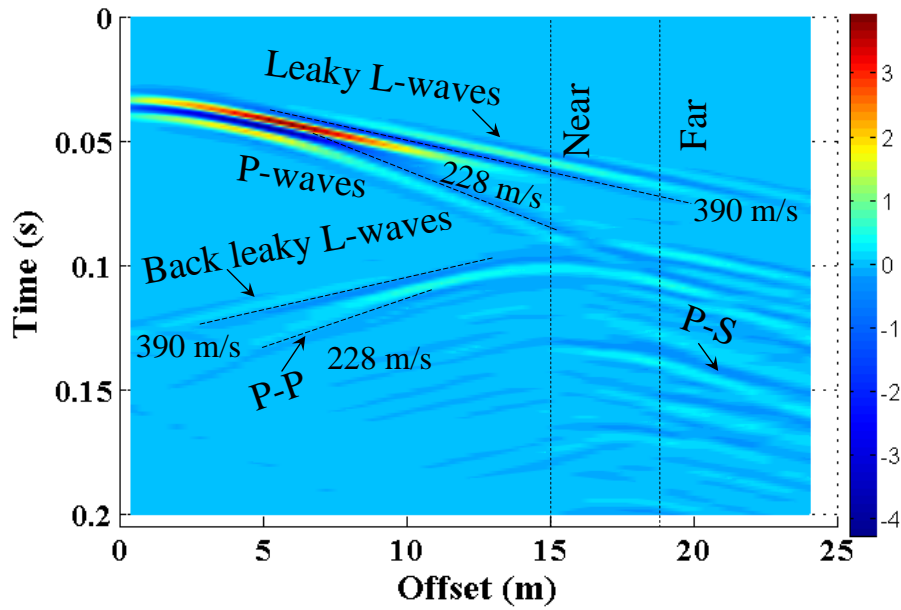
547 surface responses; and (b) snapshot of particle velocity field.



548

549 Fig. 8. Contour plot of the surface responses of the pavement system for the source at

550 depth of 1.5 m.

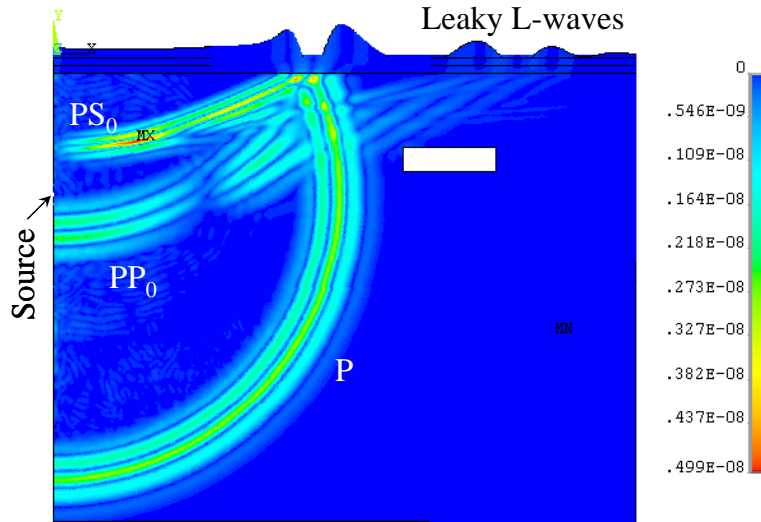


551

552

(a)





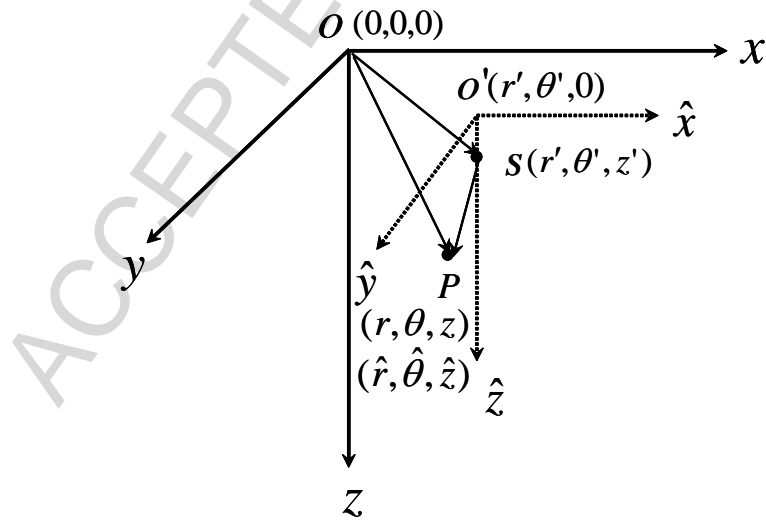
553

554

(b)

555 Fig. 9. Wave-field in the pavement system for the source at depth of 6 m: (a) contour  
 556 plot of the surface responses; and (b) snapshot of particle velocity field.

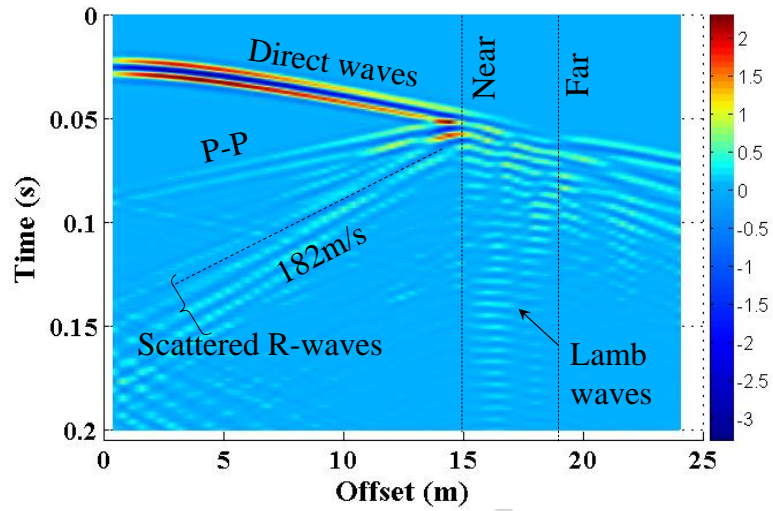
557



558

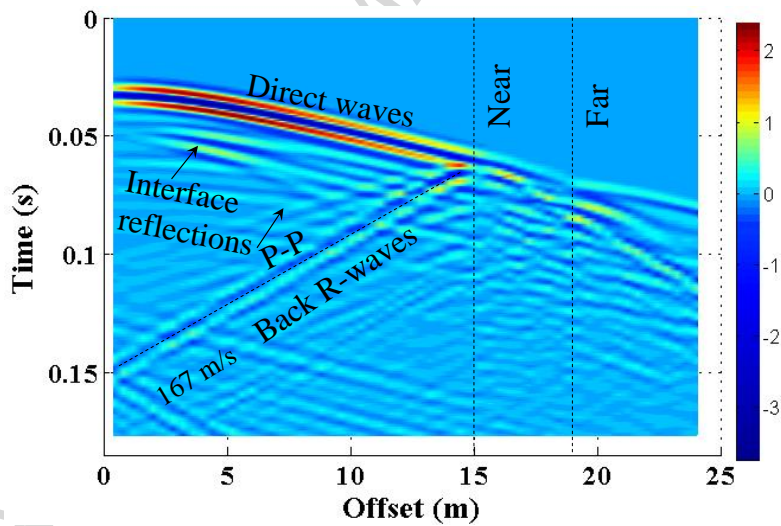
559 Fig. 10. Global and local coordinate systems (S: scattering point; P: observation  
 560 point).

561



562

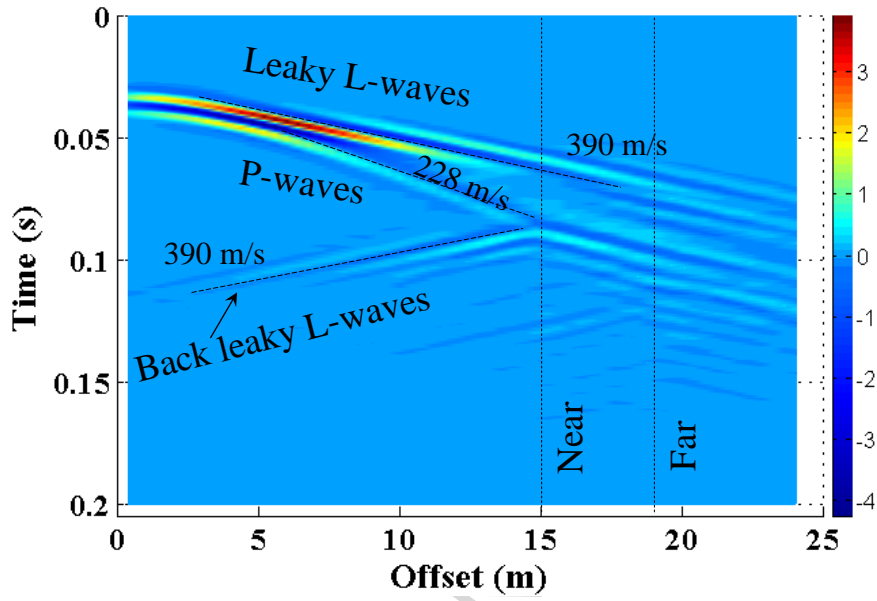
563 Fig. 11. Contour plot of the surface responses of Case I for the source at depth of 6 m

564 and the rectangular cavity at  $r_n=15$  m,  $r_f=19$  m,  $h_t=0.8$  m and  $h_b=1.8$  m.

565

566 Fig. 12. Contour plot of the surface responses of Case II for the source at depth of 7 m

567 and the rectangular cavity at  $r_n=15$  m,  $r_f=19$  m,  $h_t=0.8$  m and  $h_b=1.8$  m.



568

569 Fig. 13. Contour plot of the surface responses of the pavement system for the source

570 at depth of 6 m and the rectangular cavity at  $r_n=15$  m,  $r_f=19$  m,  $h_t=1$  m and  $h_b=2$  m.