



# BASIC ARRAY PROCESSING CONCEPTS (from "shift-and-sum" to "frequency wavenumber spectra") and related things...

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with contributions by Cécile Cornou, Marc Wathelet and the SESAME partners





# **OVERVIEW**

➢ Basic Array Method Principles (general)
 ➢ Array geometry → Limitations (general)
 ➢ Array Analysis of Microtremor Wavefields
 Applying basic principles (general) to
 a special problem domain
 ➢ Difficulties and attempts for solution



#### **Exercises**





## **OVERVIEW: Basic Array Method Principles (general)**

 $\succ$  Definition: what is a seismic array?  $\succ$  What are the benefits of seismic arrays? Seismic arrays: historical context and developments  $\triangleright$ Basic assumption for array processing: the need for a wave propagation model ➢Plane wave parameter determination Delay-and-sum beamforming Frequency-wavenumber spectrum





## OVERVIEW: Array Geometry $\rightarrow$ Limitations (general)

> Parameters used to describe array geometries Starting simple: 1D layouts > Relation of parameters with array behaviour Discrete sampling of wavefield and implications  $\succ$ Generalization to planar 2D-geometries Directional dependence of array behaviour  $\succ$  The quest for an optimal array geometry – an old and (maybe) endless story...





OVERVIEW: Array Analysis of Microtremor Wavefields Applying basic principles (general) to a special problem domain

What is special with microtremor wavefields?
What is to be changed from the viewpoint of analysis?
What is to be changed from the viewpoint of geometries?

→ Complications and attempts to deal with them





# **BASIC ARRAY METHOD PRINCIPLES**





**Basic Array Method Principles (general)** 

#### seismic network!

Definition: what is a ,seismic array' ?

set of seismograph stations with common time base **AND** 

sensors located closely enough in space so that arriving seismic signal waveforms can be correlated between adjacent sensors



to be defined later **4** 





**Basic Array Method Principles (general)** 

#### We can conclude from the definition:

set of seismograph stations with common time base

may act

**BOTH** as ,seismic array' **AND** ,seismic network'

depends on application / wavefield properties of interest





## German Regional Seismic Network: array AND network!



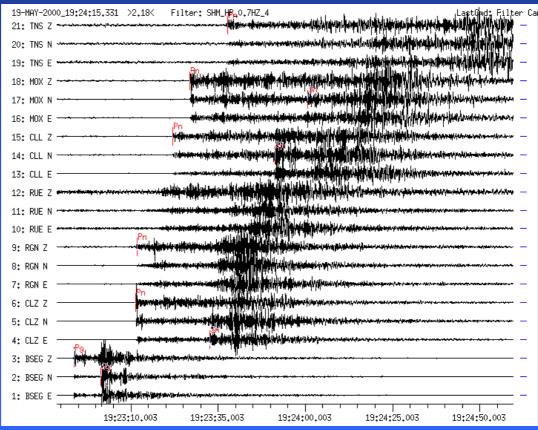




#### German Regional Seismic Network: network operation

2000-05-19 OT 19:22:40.8(UTC) 53.47N 11.10E MI 3.4

Wittenburg (W-Mecklenburg). Local earthquake recorded at 7 GRSN 3C-stations.



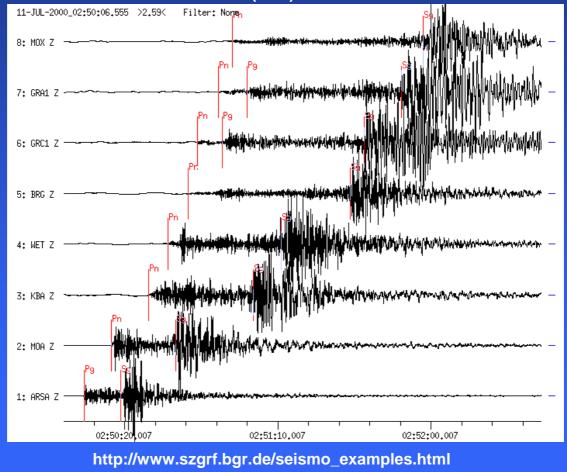
From http://www.szgrf.bgr.de/seismo\_examples.html





### German Regional Seismic Network: network operation

Regional earthquake south of Wien (MI 5.2) 2000-07-11 OT 2:49:51(UTC) 48.10 N 16.40 E MI 5.2

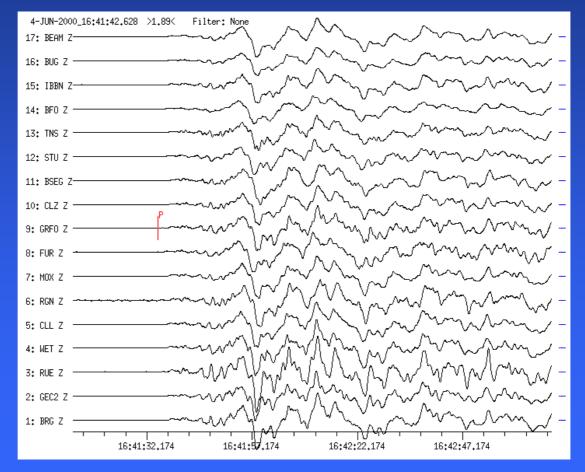






#### German Regional Seismic Network: array operation

Earthquake in Southern Sumatera Region (distance 94.1° to GRF site, az. 92.5°, depth 33km) USGS NEIC-data: 2000-06-04 OT 16:28:25.8 4.773 S 102.050 E depth 33km mb 6.8 Ms 8.0

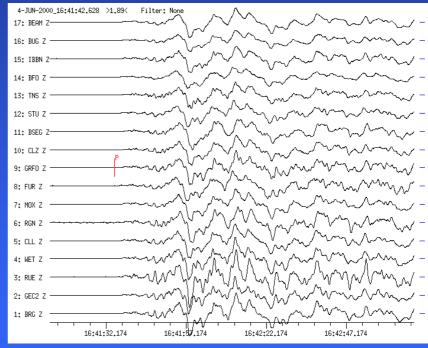






#### German Regional Seismic Network:

#### network operation



array operation

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#### Note the difference?





**Benefits of seismic arrays** 

The benefit of seismic arrays can be immediately recognized by considering the information content of seismic observations for various settings:

single station single component
single station three components
seismic network (1 or 3 components)
seismic array (1 or 3 components)





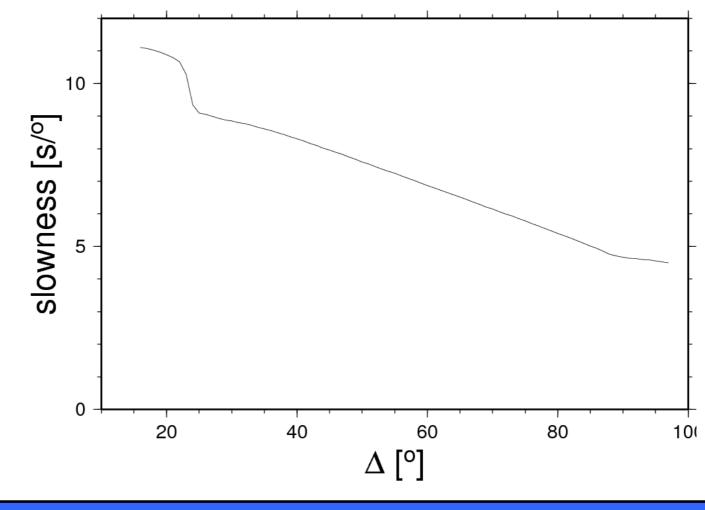
available information for:

- >single station single component:
   arrival times, amplitudes
- >single station three components
  arrival times, amplitudes, polarization
  (= particle motion at site)
- Seismic network (1 or 3 component) arrival times, amplitudes, (polarization), direction of wave (from location),
- Seismic array (1 or 3 component) arrival times, ampl., (polarization), direction of wave, apparent propagation velocity of wave, SNR improvment





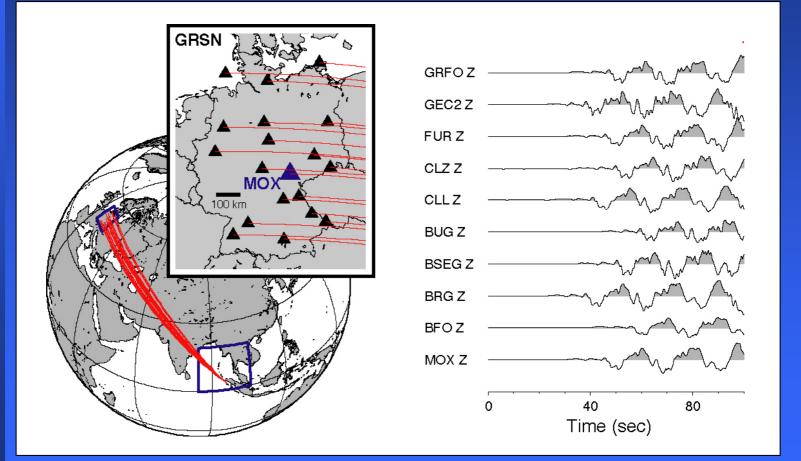
Apparent velocity  $\leftarrow \rightarrow$  horizontal slowness  $\leftarrow \rightarrow$  ray parameter Slowness - distance relation in teleseismic distance range





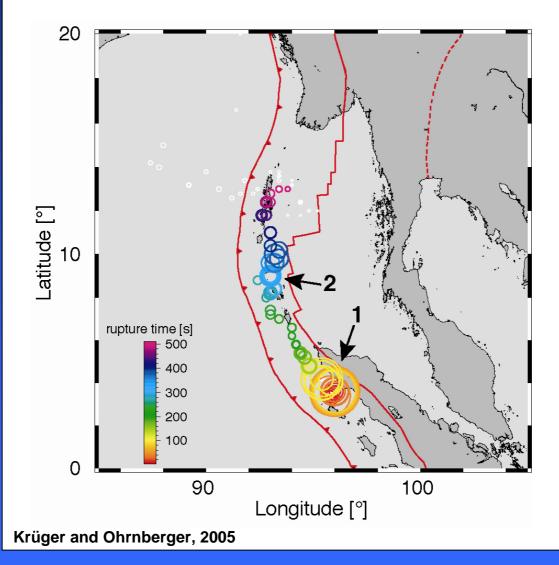


## German Regional Seismic Network: array operation













Seismic arrays: historical context and developments

(summary from Mykkeltveit et al., 1983, BSSA, Rost and Thomas, 2002, RG)

First ideas as early as 1920's in exploration geophysics! combining clusters of geophones for SNR improvement

In seismological context the development and use of array techniques is closely related to the start of nuclear test ban negotiations in Geneva 1958

Concept: a high number of small arrays to monitor nuclear underground test activities around the world (planned 170 small aperture arrays with 10 sensors)





Seismic arrays: historical context and developments

## First experimental arrays from 1960 to 1963 in U.S. and U.K. (VELA program)

But: small array concept could not be realized due to political reasons (array installations blocked)

Therefore: second best solution for detection and verification purposes of nuclear explosions:

Very large arrays at few spots → LASA (1965), NORSAR (1971)





Seismic arrays: historical context and developments

LASA (1965) & NORSAR (1971) facts:

LASA: 200 km aperture, initially 525 stations NORSAR: 100 km aperture, 198 stations

Huge number of stations → SNR-improvement for detection/discrimination formidable! Event location on global scale even for small magnitudes

**COST OF OPERATION AND MAINTENANCE!!!!!** 





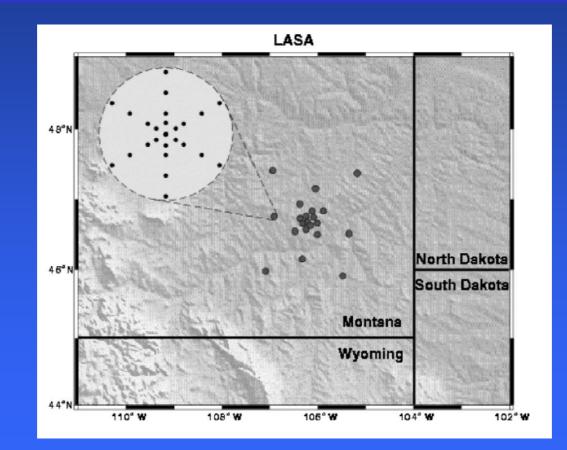
#### Seismic arrays: historical context and developments







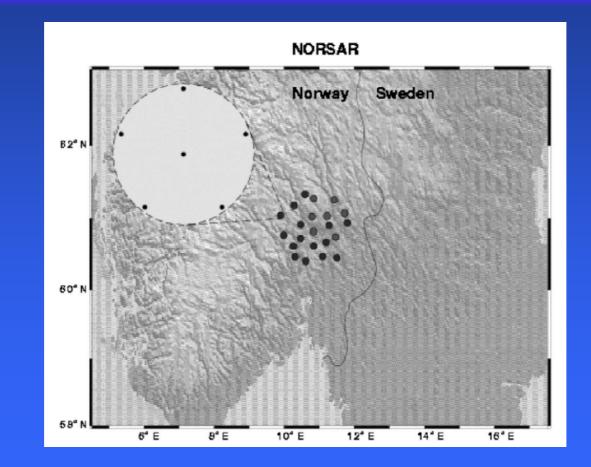
#### Seismic arrays: historical context and developments







#### Seismic arrays: historical context and developments







#### Seismic arrays: historical context and developments

**Further application domains:** 

- > structural investigations (global/regional/local)
   > seismic exploration
   > since relative early times a matter of interest
   → ,seismic noise'!
- (i.e. in the context of array design for monitoring arrays it has been recognized that noise is almost never incoherent and white, but rather colored and shows spatial coherence)





# What is noise ...?

" ... In order to record seismic signals it is desirable to know the spectrum of seismic noise since a priori knowledge of the expected signal-to-noise ratio as a function of frequency can best determine the frequency response characteristics of instrumentation. Also, since arrays are constructed for the purpose of enhancing the signal-to-noise ratio it is desirable to know beforehand the nature of the noise. Is it random or propagating ? How coherent is it ? Unfortunately these questions tend to require at least a skeleton array to answer them! ...."





What is noise ...?

" ... In order to record seismic signals it is desirable to know the spectrum of seismic noise since a priori knowledge of the expected signal-to-noise ratio as a function of frequency can best determine the frequency response characteristics of instrumentation. Also, since arrays are constructed for the purpose of enhancing the signal-to-noise ratio it is desirable to know beforehand the nature of the noise. Is it random or propagating ? How coherent is it ? Unfortunately these questions tend to require at least a skeleton array to answer them! ...."

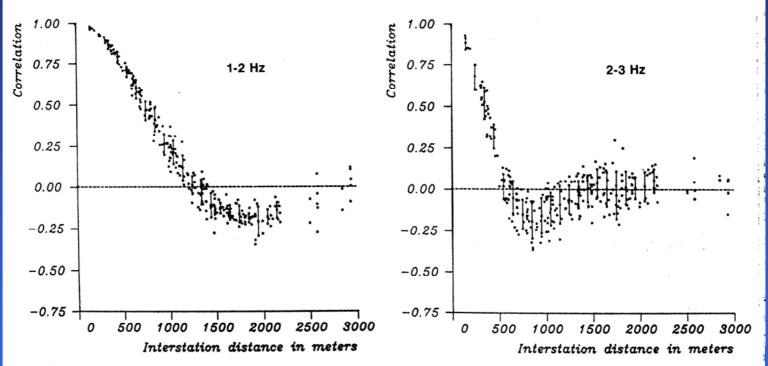
Davies, 1973

27





#### NORES noise correlation analysis $\Rightarrow$ coherence lengths



30 s long and taken at 05.15 h GMT on day 323 of 1985. Mean values and standard deviations within 100 m distance intervals are plotted on top of the population, except for short and long distances, where the number of correlation values is low.

Mykkeltveit, S., K. Åstebøl, D.J. Dornboos & E.S. Husebye (1983): Seismic array configuration optimization. Bull. Seism. Soc. Am., 73: 173-186.





Seismic arrays: historical context and developments

**Further application domains:** 

≻since relative early times a matter of interest: ,seismic noise' → ambient vibrations

K. Aki, 1957, 1965, Toksöz, 1964, Capon et al., 1967 Capon, 1969, Lacoss et al., 1969, Haubrich and Camy, 1969, Woods and Lintz, 1973, Henstridge, 1979, Asten and Henstridge, 1984, Horike, 1985, Tokimatsu et al., 1992, Tokimatsu, 1997





Basic assumption for array processing: the need for a wave propagation model

Simple model and therefore appealing:

Harmonic plane wave representation!

$$D(x,t) = A \exp(i\omega(t \pm x/c))$$
  $D(\vec{x},t) = A \exp(i(\omega t \pm \vec{k}\vec{x}))$ 

Particular solution to the homogeneous wave equation

$$\frac{\partial^2 D}{\partial x^2} = \frac{1}{c^2} \frac{\partial^2 D}{\partial t^2}$$





#### Harmonic plane wave representation

phase

$$D(\vec{x}, t) = A \exp(i(\omega t \pm \vec{k}\vec{x}))$$
$$D(\vec{x}, t) = A \exp(i\omega(t \pm \vec{u}\vec{x}))$$

# positions of constant phase at some time t are wavefronts $\rightarrow \vec{k}\vec{x} = const. \rightarrow$ wavefronts are planes in space orientation of plane is given by wavenumber vector (normal vector)

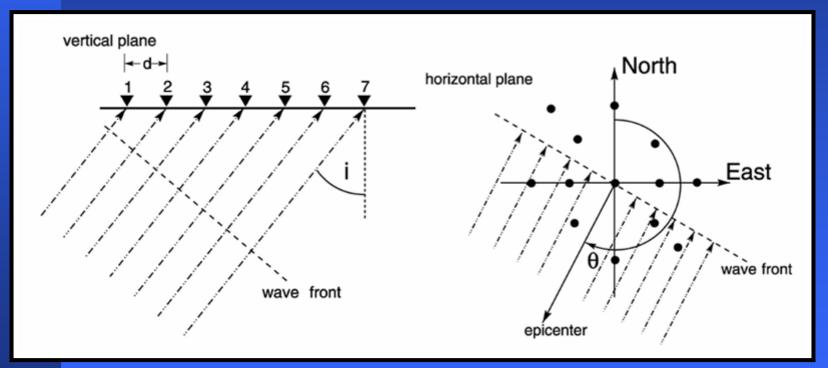
Parameters describing plane waves:

 $\begin{array}{ll} \text{wavenumber} & \vec{k} = \omega \vec{u} \quad \text{slowness} \\ k = \frac{2\pi}{\lambda} = \frac{2\pi f}{v} = \frac{\omega}{v} = \omega |\vec{u}| \end{array} \qquad \begin{array}{l} \text{Period +} \\ \text{frequency} \quad T = \frac{1}{f} = \frac{2\pi}{\omega} \\ v = \lambda f = \lambda \omega/2\pi \end{array}$ 





# Basic assumption for array processing: the need for a wave propagation model

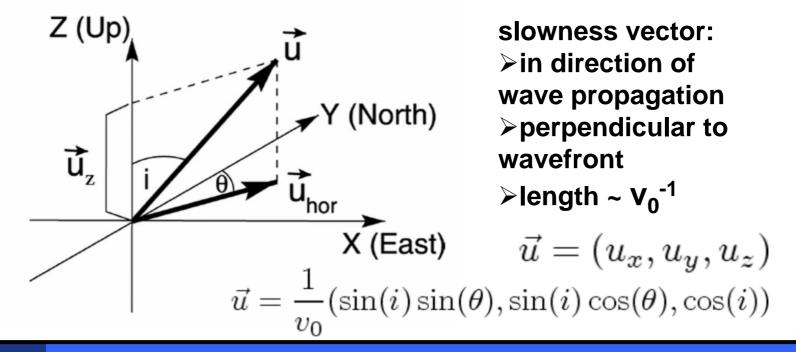


#### Geometry of plane waves – parameters of wave propagation





# Basic assumption for array processing: the need for a wave propagation model

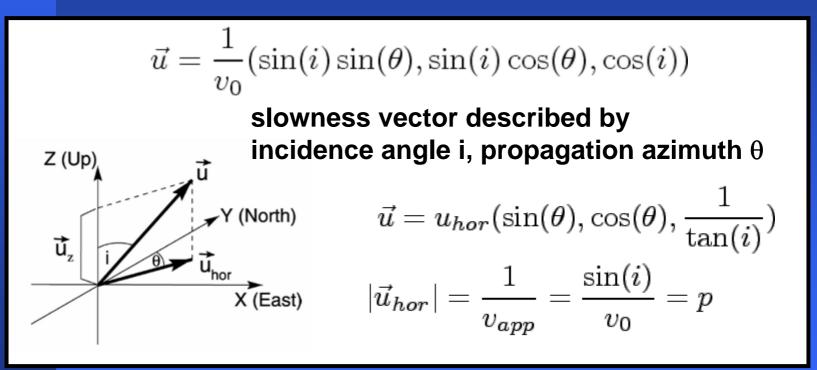


#### Geometry of plane waves – parameters of wave propagation





# Basic assumption for array processing: the need for a wave propagation model



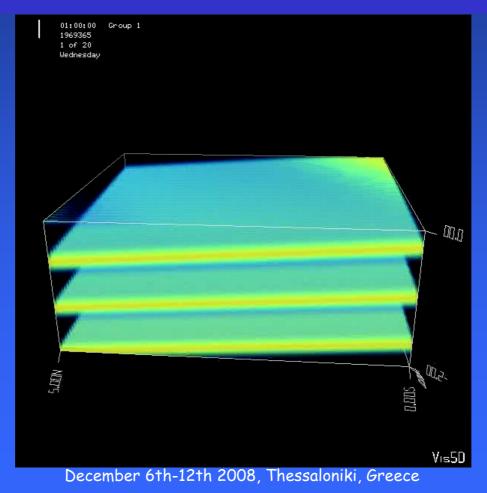
Geometry of plane waves – parameters of wave propagation

December 6th-12th 2008, Thessaloniki, Greece





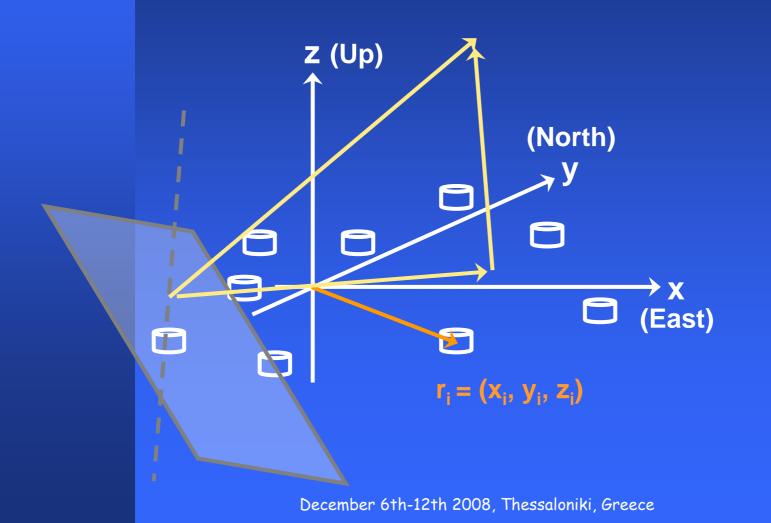
# Basic assumption for array processing: the need for a wave propagation model







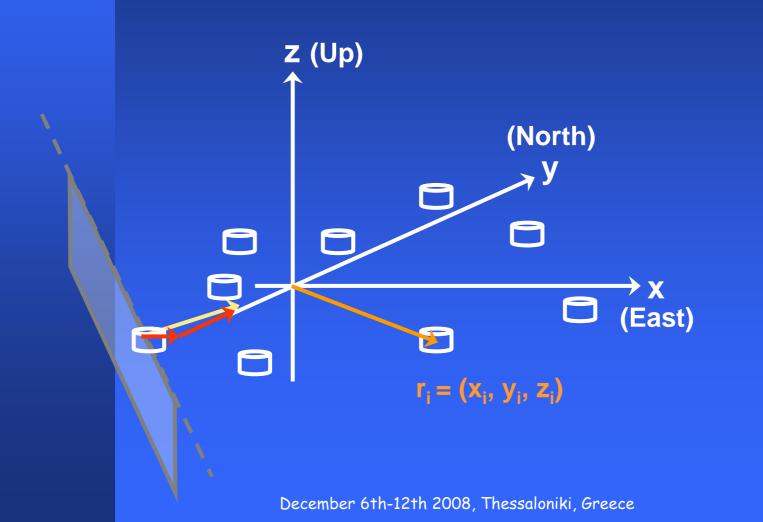
#### Plane wave propagation model: body wave type





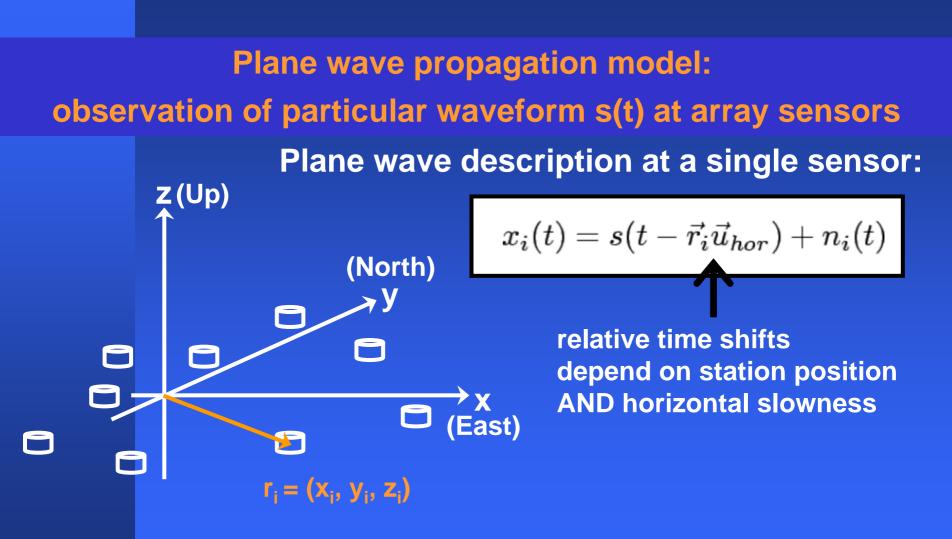


### Plane wave propagation model: surface wave type





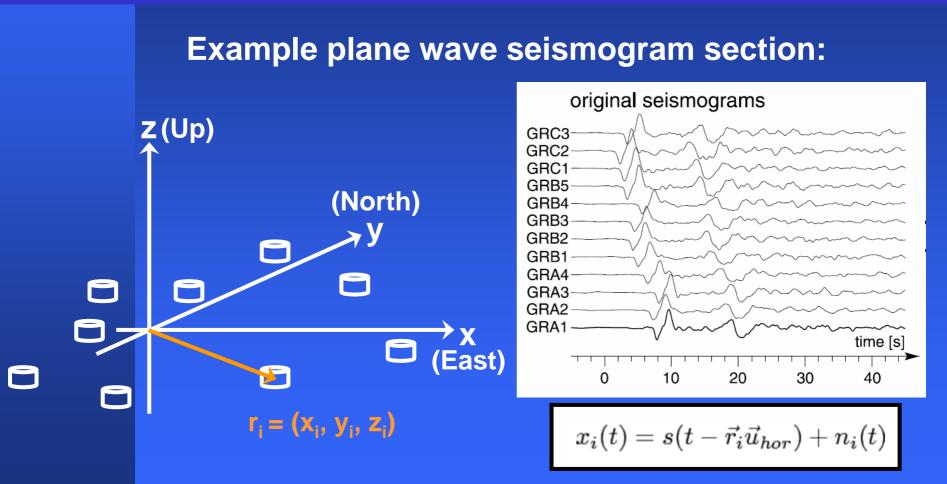








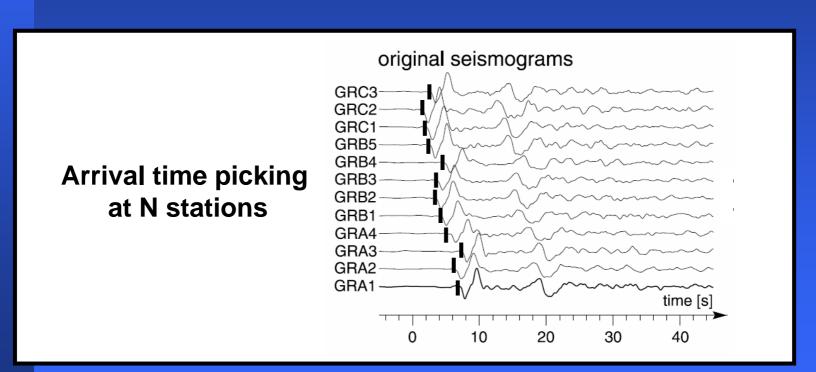
## Plane wave propagation model: array recordings







## Plane wave parameter determination I: transient signals with high SNR



#### Standard procedure





## Plane wave parameter determination I: transient signals with high SNR

Arrival time at station i $t_i = t_o + \vec{u}_{hor}\vec{r}$ + plane wave model  $\rightarrow$  set of linear equations $\begin{bmatrix} t_1 - t_o \\ t_2 - t_o \\ \vdots \\ t_N - t_o \end{bmatrix} = \begin{bmatrix} r_{1x} & r_{1y} \\ r_{2x} & r_{2y} \\ \vdots & \vdots \\ r_{Nx} & r_{Ny} \end{bmatrix} \begin{bmatrix} u_x \\ u_y \end{bmatrix}$ 





## Plane wave parameter determination I: transient signals with high SNR



formal solution:

$$\vec{u}_{hor} = \underline{R}^{-1} \bar{t}$$

we get (e.g. by LSQ)

$$p = |\vec{u}_{hor}|$$
  $\theta = atan(u_x/u_y)$ 

Inverse of app. velocity / propagation azimuth





## Plane wave parameter determination II: enhancing signals for specific parameters

#### Question: is there a signal with parameters $\theta_0$ , $p_0$

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## Plane wave parameter determination II: enhancing signals for specific parameters

#### Answer: let's try!

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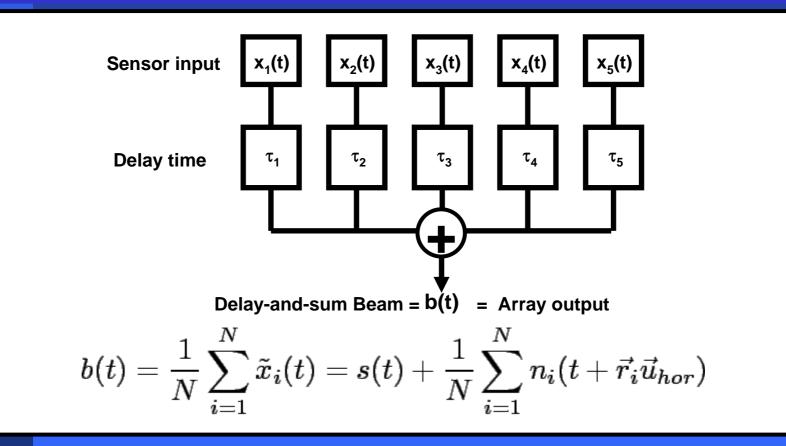
## Plane wave parameter determination II: enhancing signals for specific parameters

 $\vec{u} = u_{hor}(\sin(\theta), \cos(\theta), \frac{1}{\tan(i)})$ **Answer: let's try!**  $x_i(t) = s(t - \vec{r_i}\vec{u_{hor}}) + n_i(t)$ observation  $\tilde{x}_i(t) = x_i(t + \vec{r}_i \vec{u}_{hor})$ delay observation  $\tilde{x}_i(t) = s(t) + n_i(t + \vec{r}_i \vec{u}_{hor})$ and sum  $b(t) = \frac{1}{N} \sum_{i=1}^{N} \tilde{x}_i(t) = s(t) + \frac{1}{N} \sum_{i=1}^{N} n_i(t + \vec{r}_i \vec{u}_{hor})$ uncorrelated noise is suppressed by  $\sqrt{N}$  (at best)





## Plane wave parameter determination II: enhancing signals for specific parameters





## Plane wave parameter determination II: enhancing signals for specific parameters

#### with some p, $\boldsymbol{\theta}$

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## with $p_0, \theta_0$

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## Plane wave parameter determination II: enhancing signals for specific parameters

Delay and sum beamformer – how well did it work?

Quantify by power measure...  $\rightarrow$  beam energy  $E(beam) = \sum_{k=1}^{N} |b(k\Delta t)|^2$ 

Quantify by coherence measure...  $\rightarrow$  semblance

$$Semblance = \frac{\left|\sum_{i=1}^{N} \tilde{x}_{i}(t)\right|^{2}}{N \sum_{i=1}^{N} \left|\tilde{x}_{i}(t)\right|^{2}}$$

semblance = filter output / filter input energy ratio





## Plane wave parameter determination II: enhancing signals for specific parameters

Delay and sum beamformer – how well did it work?

Quantify by power measure...  $\rightarrow$  beam energy  $E(beam) = \sum_{k=1}^{N} |b(k\Delta t)|^2$ 

Quantify by coherence measure...  $\rightarrow$  semblance

$$S = \frac{\sum_{j=-M/2}^{j=M/2} \left| \sum_{i=1}^{N} \tilde{x}_i(t_j) \right|^2}{N \sum_{j=-M/2}^{j=M/2} \sum_{i=1}^{N} \left| \tilde{x}_i(t_j) \right|^2}$$

semblance = filter output / filter input energy ratio





## Plane wave parameter determination III: any signal arriving with any possible parameter

Question: is there some signal with arbitrary parameter  $\theta$ , p which we might be interested in (e.g. Rayleigh waves...)?

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Plane wave parameter determination III: any signal arriving with any possible parameter

Answer: let's do the same procedure as before – now we just have to search for different values of  $\theta$ , p

#### **GRIDSEARCH** technique!

As quantitative measure of goodness of fit, we can use: Beampower (or Semblance)

Delay and sum beamforming  $\rightarrow$  Slowness power spectrum Slowness power spectrum: Beampower as function of p and  $\theta$ Other standard tool in array analysis: Vespagram: Beampower as function of p for constant  $\theta$ 





## Plane wave parameter determination IV: Beamforming ... a different view

Noisefree signal at station i:  $x_i(t) = s(t - \vec{r_i}\vec{u_0})$ Signal propagates with true (horizontal) slowness vector  $\vec{u_0}$ 

Beamforming according to test slowness vector  $\vec{u} \rightarrow$  time shifted traces:  $\tilde{r}_{i}(t) = r_{i}(t + \vec{r}_{i}(t))$ 

Beam:

$$ilde{x}_i(t) = x_i(t + \vec{r}_i(\vec{u} - \vec{u}_0))$$
 $ilde{b}(t) = rac{1}{N} \sum_{i=1}^N x_i(t + \vec{r}_i(\vec{u} - \vec{u}_0))$ 

Parseval theorem:

$$E(beam) = \int_{-\infty}^{\infty} b^2(t) dt = \int_{-\infty}^{\infty} \left| B(\omega) \right|^2 d\omega$$





## Plane wave parameter determination IV: Beamforming ... a different view

Time domain  $\leftarrow \rightarrow$  frequency domain: Fourier transform

Shifting theorem of FT:  $x(t-t_0) \Leftrightarrow X(f) \exp(2\pi j f t_0)$ 

Then we get for the beam energy in frequency domain:

$$\begin{split} E(beam) &= \int_{-\infty}^{\infty} \left| B(\omega) \right|^2 d\omega \\ E(beam) &= \int_{-\infty}^{\infty} \left| \frac{1}{N} \sum_{i=1}^{N} \tilde{X}_i(\omega) \right|^2 d\omega \\ E(beam) &= \int_{-\infty}^{\infty} \left| \frac{1}{N} \sum_{i=1}^{N} X_i(\omega) \exp(j\omega \vec{r}_i(\vec{u} - \vec{u}_0)) \right|^2 d\omega \end{split}$$





## Plane wave parameter determination IV: Beamforming ... a different view

$$\begin{split} E(beam) &= \int_{-\infty}^{\infty} |X_i(\omega)|^2 \left| \frac{1}{N} \sum_{i=1}^{N} \exp(j\omega \vec{r_i}(\vec{u} - \vec{u_0})) \right|^2 d\omega \\ E(\vec{u} - \vec{u_0}) &= \int_{-\infty}^{\infty} |X_i(\omega)|^2 |A(\vec{u} - \vec{u_0}, \omega)|^2 d\omega \end{split}$$

Array response function:

$$A(\vec{u}-\vec{u}_0,\omega) = \left|rac{1}{N}\sum_{i=1}^N \exp(j\omega \vec{r}_i(\vec{u}-\vec{u}_0))
ight|$$





## Plane wave parameter determination IV: Beamforming ... a different view → ARRAY RESPONSE

Array response function:

in slowness:

$$A(\vec{u} - \vec{u}_0, \omega) = \left| \frac{1}{N} \sum_{i=1}^{N} \exp(j\omega \vec{r}_i (\vec{u} - \vec{u}_0)) \right|$$

in wavenumber:

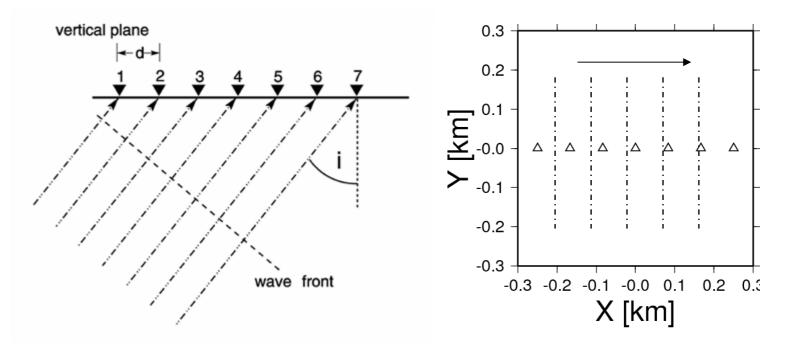
$$A(\vec{k} - \vec{k}_0) = \left| \frac{1}{N} \sum_{i=1}^{N} \exp(j\vec{r}_i(\vec{k} - \vec{k}_0)) \right|$$





## Estimating the quality of an array ARRAY RESPONSE

#### Array response function, starting with simplest layout ....







## Array response – parametrization of array geometry Starting simple – 1D line of receivers, spaced equidistantly

For the linear array example, we need only 2 parameters to describe the array geometry:

$$d_{min}$$
 = interstation distance  
 $N$  = number of sensors  
 $(N-1)d_{min} = D_{max}$  = Aperture

Station positions are then uniquely defined by  $\vec{r_i} \rightarrow id_{min}$ In this linear problem the wavenumber vector reduces to its x-component:  $\vec{k} - \vec{k_0} \rightarrow k_x - k_0$ 

and therefore the wavenumber response:

$$\left| A(\vec{k} - \vec{k}_0) \right| = \left| A(k_x - k_0) \right|$$





## Array response – parametrization of array geometry Starting simple – 1D line of receivers, spaced equidistantly

The 1D array response is then written as:

$$|A(k_x - k_0)| = \left| \frac{1}{N} \sum_{i=1}^{N} \exp(jid_{min}(k_x - k_0)) \right|$$

Note: expression is periodic in x-component

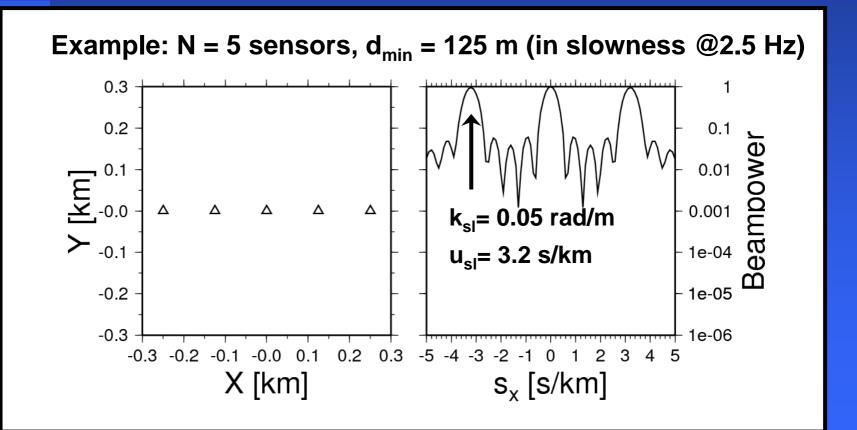
#### **Periodicity at:**

$$k_{sidelobe} = 2\pi/d_{min} \Rightarrow u_{sidelobe} = 1/(fd_{min})$$
  
width of main lobe:  $2\pi/((N-1)d_{min}) \rightarrow 2\pi/D_{max}$ 





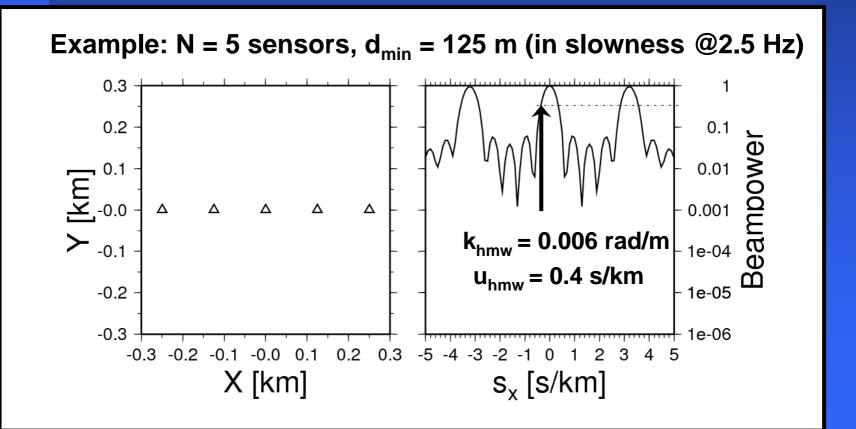
## Array response – parametrization of array geometry Starting simple – 1D line of receivers, spaced equidistantly







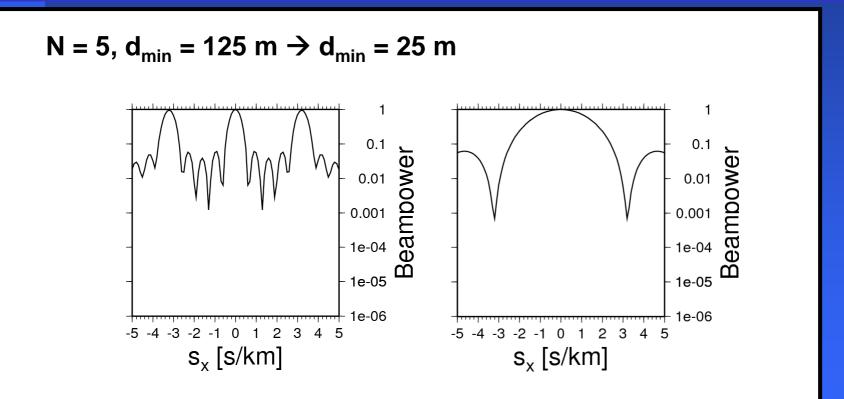
## Array response – parametrization of array geometry Starting simple – 1D line of receivers, spaced equidistantly







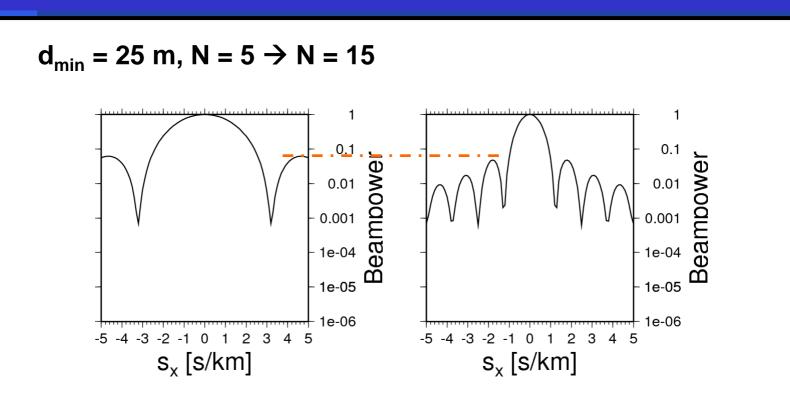
## Array response – parametrization of array geometry 1D layout – parameter influence – interstation distance d<sub>min</sub>







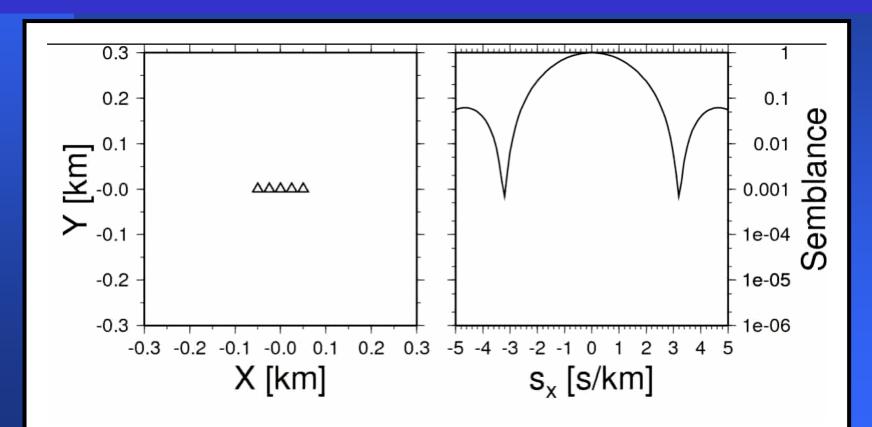
## Array response – parametrization of array geometry 1D layout – parameter influence – number of stations N







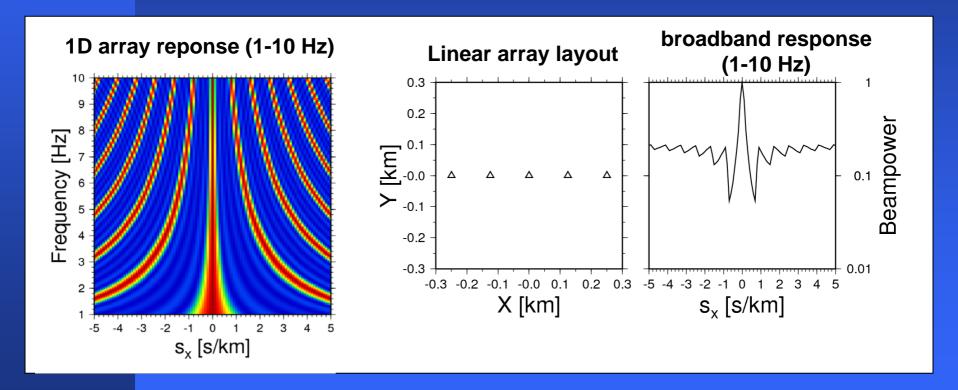
## Array response – parametrization of array geometry 1D layout – parameter influence...







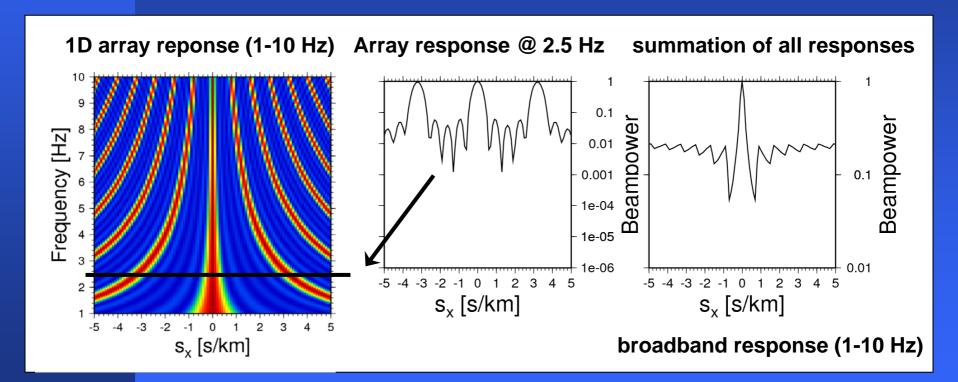
## Array response – 1D layout – parameter influence broadband frequency wavenumber approach







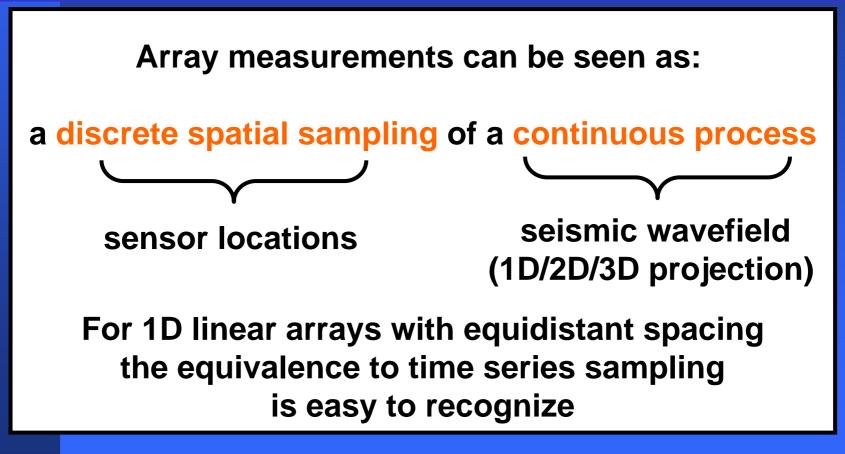
## Array response – 1D layout – parameter influence broadband frequency wavenumber approach







# Array geometry and discrete spatial sampling of a continuous wavefield







# Array geometry and discrete spatial sampling of a continuous wavefield

## discrete spatial sampling of a continuous process consequences: aliasing (sampling theorem)

at least 3 samples per period, wavelength

time domain  $\Delta T < T_{min}/2$ spatial domain  $\Delta x < \lambda_{min}^{\star}/2$ 

 $\Delta T < T_{min}/2$  $\Delta x < \lambda^{\star}_{min}/2$  \* apparent

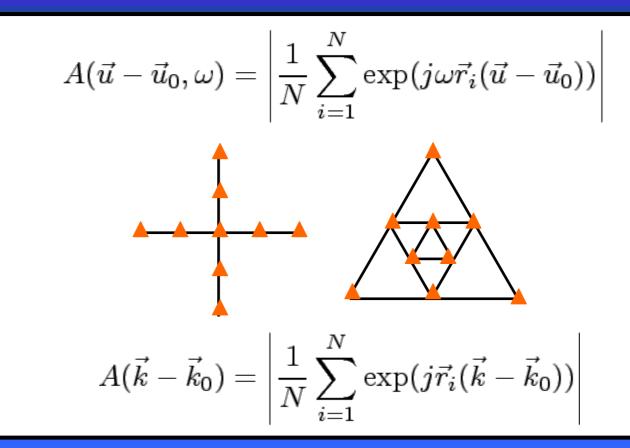
## spectral resolution limit

time domain  $\Delta \omega = 2\pi/((N-1)\Delta T)$ spatial domain  $\Delta k = 2\pi/((N-1)d_{min}) = 2\pi/D_{max}$ 





## Array response Extension to 2D situation – planar arrays

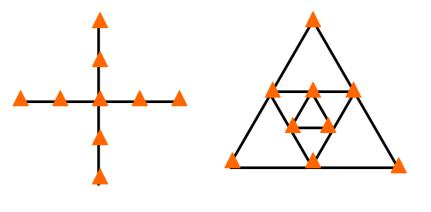






## Array response Extension to 2D situation – planar arrays

## similar story as for 1D-layouts, BUT parametrization more difficult

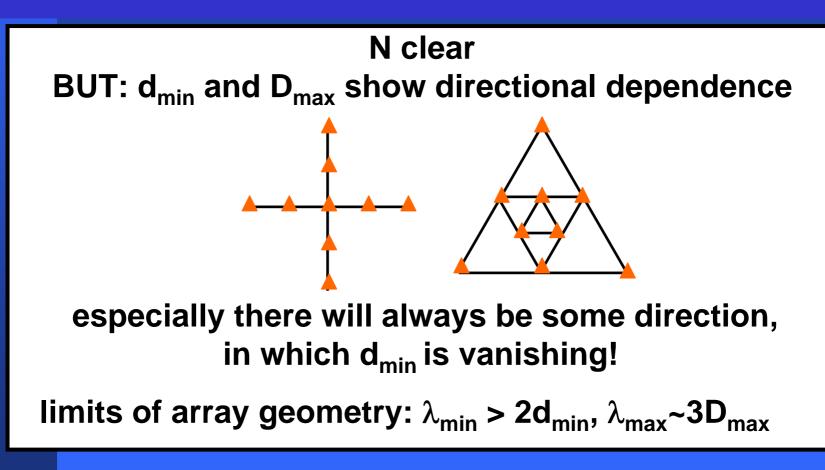


d<sub>min</sub>, N, D<sub>max</sub> (aperture)





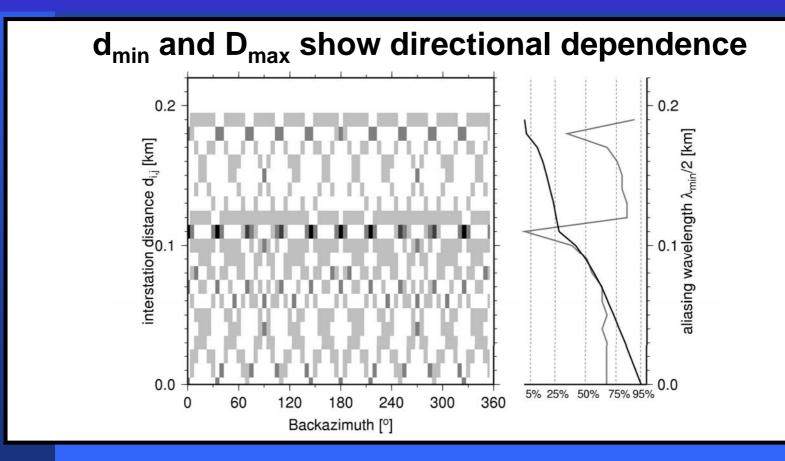
## Array response Extension to 2D situation – planar arrays







## Array response Extension to 2D situation – planar arrays

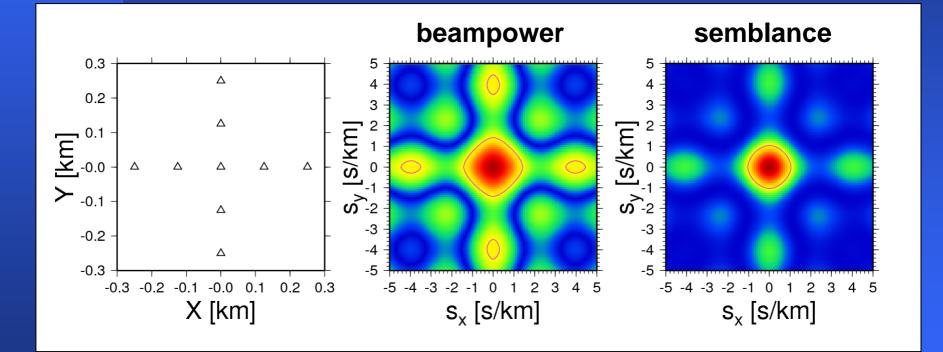


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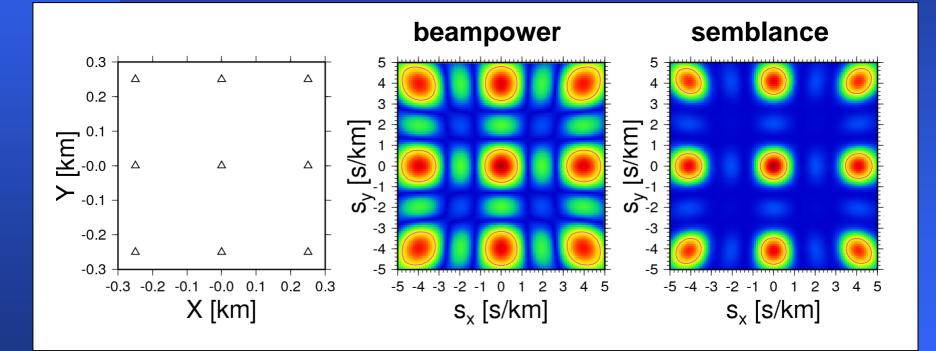
## Some examples for typical symmetric array geometries







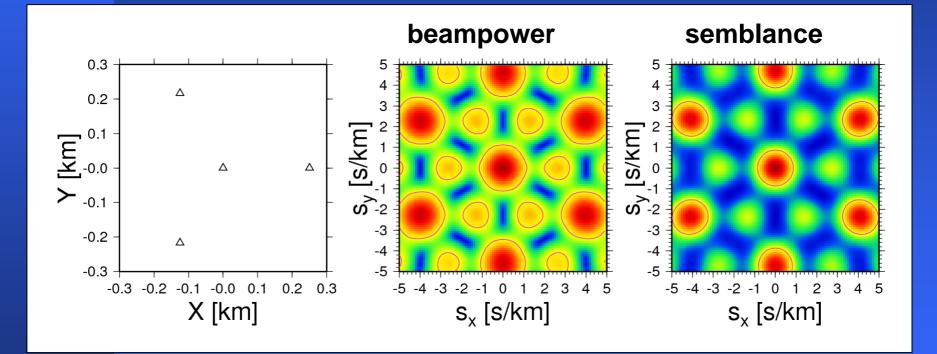
## Some examples for typical symmetric array geometries







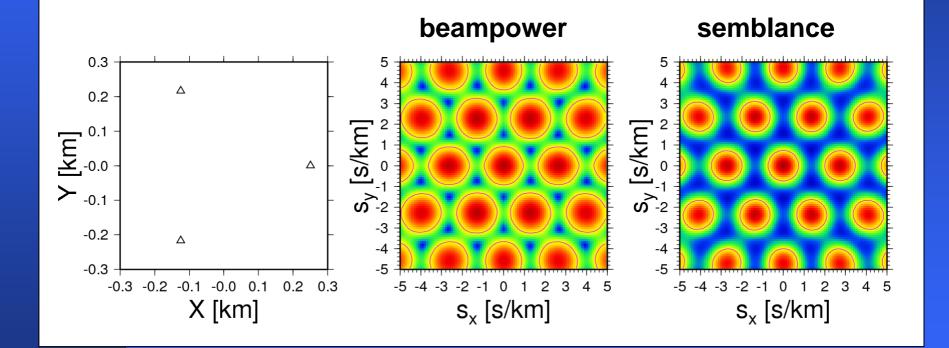
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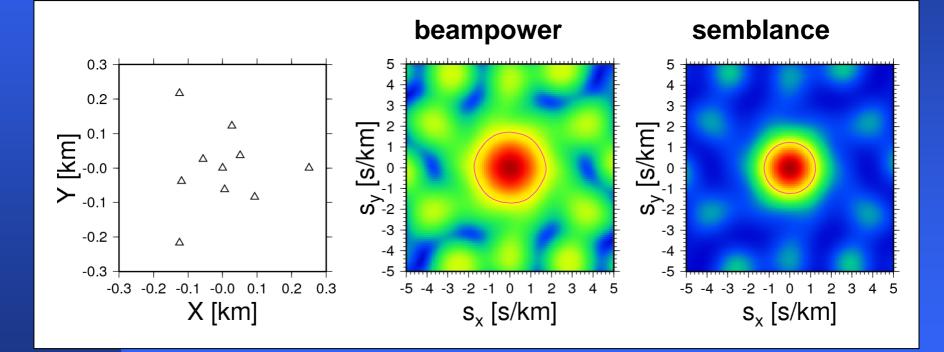
## Some examples for typical symmetric array geometries







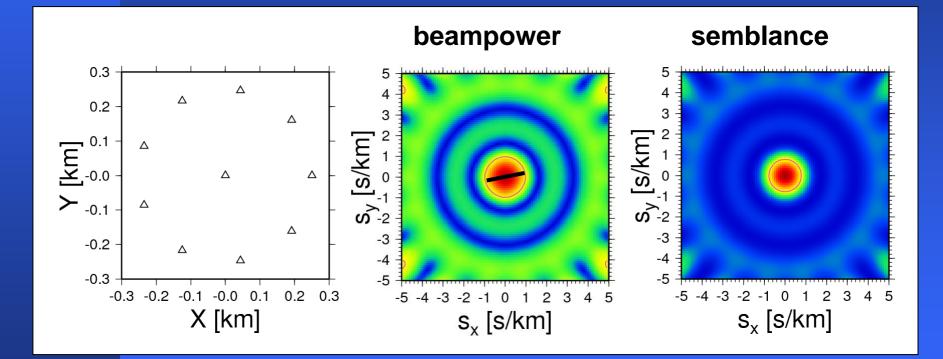
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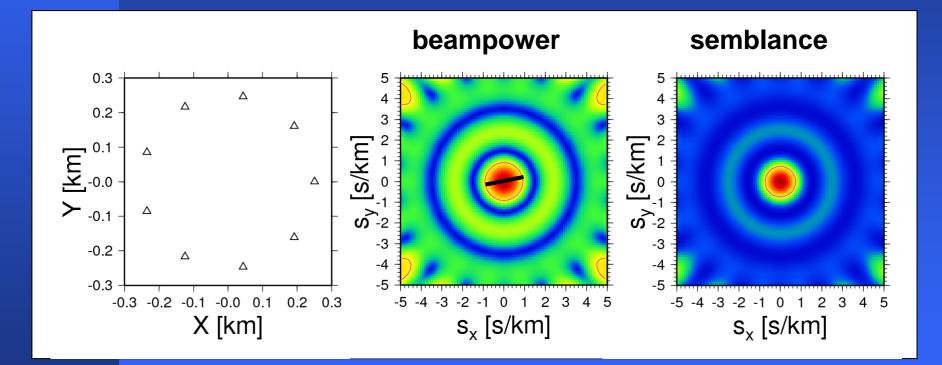
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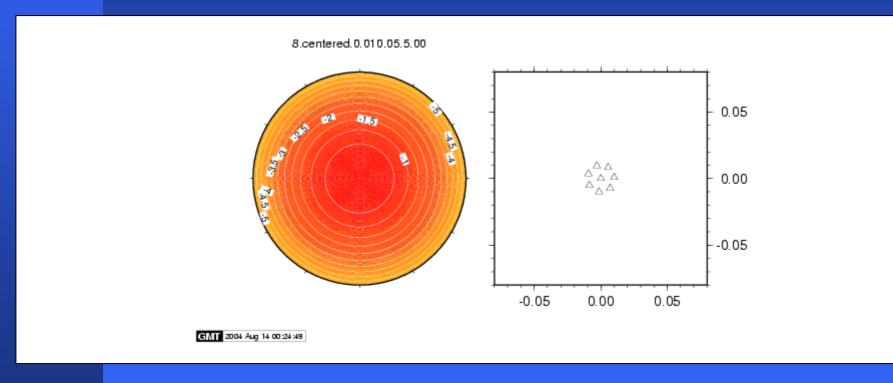
## Some examples for typical symmetric array geometries







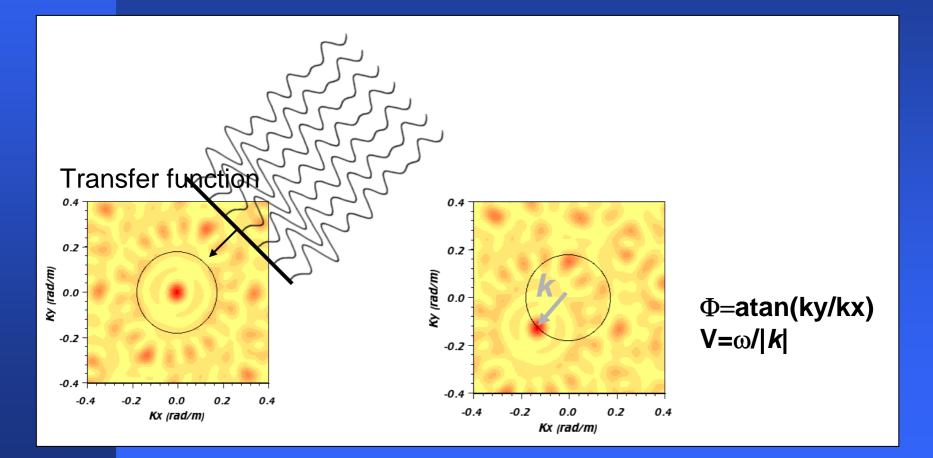
## Some examples for typical symmetric array geometries







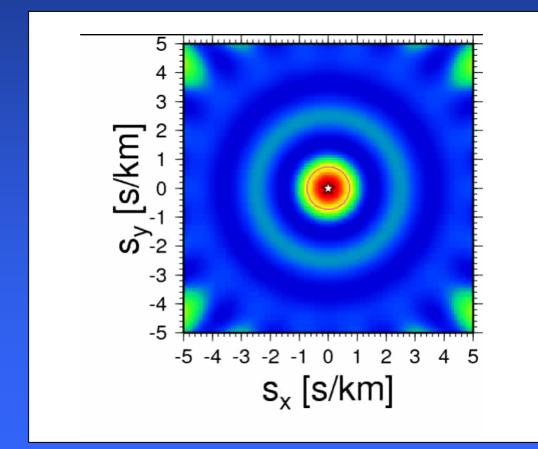
#### Array response moves with true slowness







#### Array response moves with true slowness

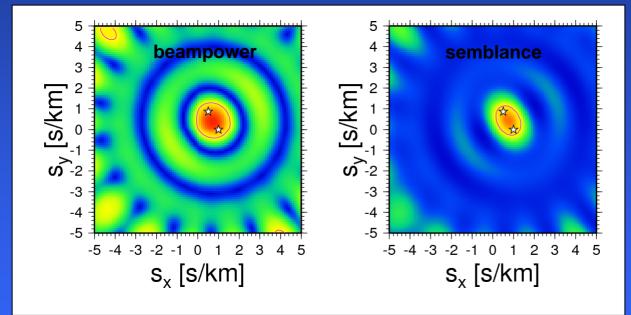






## **2D Array response – resolution limit?**

#### 2 sources, pure harmonic waves for [flow, fhigh] = [0.9,1.1] Hz



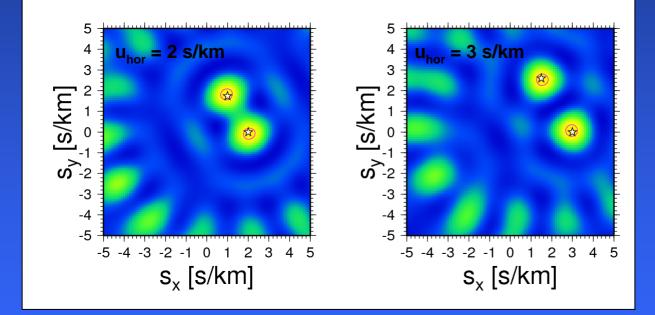
Waveparameter source A:  $u_{hor} = 1 \text{ s/km}, \theta = 90^{\circ}$ Waveparameter source B:  $u_{hor} = 1 \text{ s/km}, \theta = 30^{\circ}$ 





## **2D Array response – resolution limit?**

#### 2 sources, pure harmonic waves for [flow, fhigh] = [0.9,1.1] Hz



Waveparameter source A:  $\theta = 90^{\circ}$ Waveparameter source B:  $\theta = 30^{\circ}$ 





## So far – so good – and now?

## Now let's go finally to real life!

## **PURPOSE:**

## Using array techniques to analyze ambient vibration wavefields with the aim to derive shallow structural velocity models!

## **Background: Dispersion curve analysis**





## OVERVIEW: Array Analysis of Microtremor Wavefields Applying basic principles (general) to a special problem domain

What is special with microtremor wavefields?
What is to be changed from the viewpoint of analysis?
What is to be changed from the viewpoint of geometries?

→ Complications and attempts to deal with them





What is special with microtremor wavefields?

>low energetic wavefield

>multiple sources

>unknown spatiotemporal structure of sources

>unknown composition of wavefield, strong assumptions necessary





#### What is to be changed from the viewpoint of analysis?

Adapt processing scheme for narrowband analysis of continuous data streams: processing of analysis windows with constant time-bandwidth product

> >uncertainty estimate required: critical review of assumptions

>critical interpretation of results





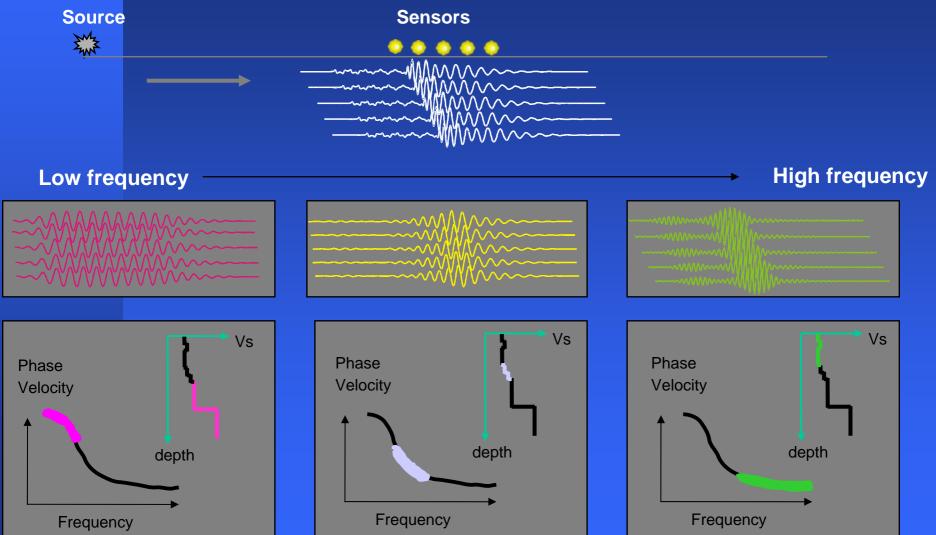
What is to be changed from the viewpoint of geometries?

 $\succ$  temporal experiments  $\rightarrow$  N relatively low

>usually urban environment  $\rightarrow$  logistical constraints

>no optimal single array configuration possible due to trade-off between number of stations, aperture and interstation distance

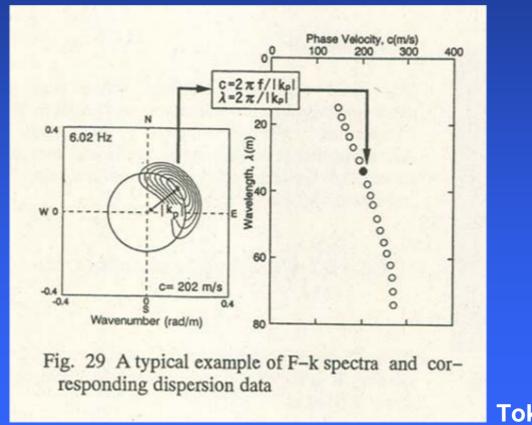
> existence of (very) local sources which violates the plane wave assumption  $\rightarrow$  avoid wherever possible!







#### **Derivation of dispersion curve - howto**

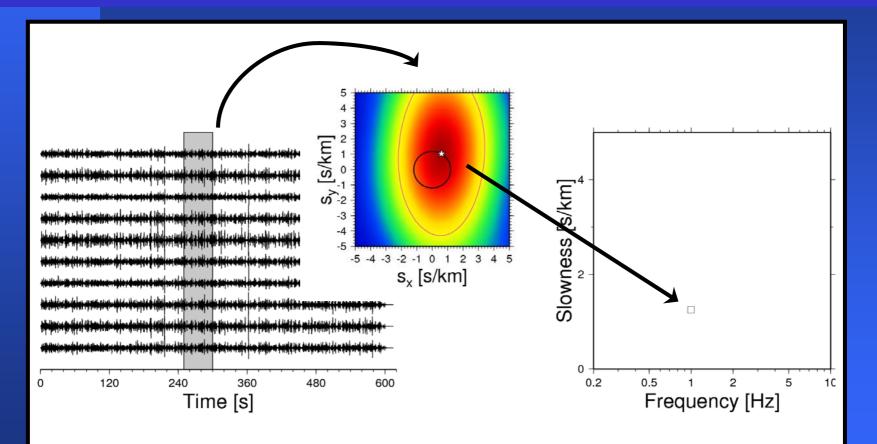


from Tokimatsu, 1997



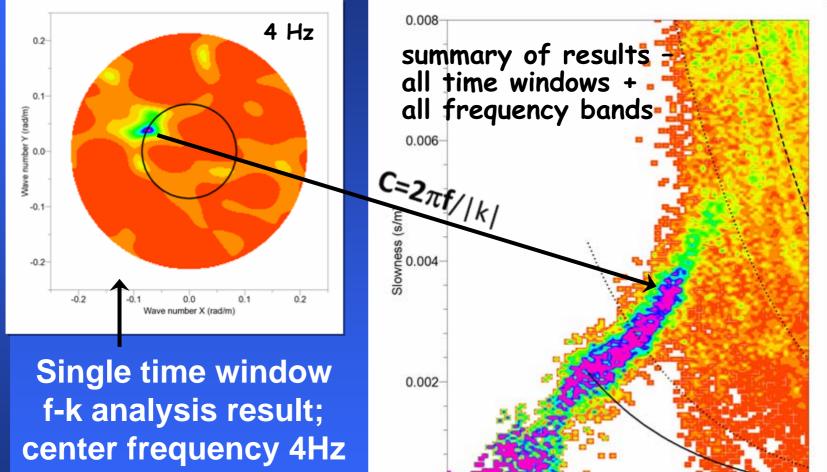


#### **Derivation of dispersion curve - howto**









0.6 0.8

bandwidth as fraction of center frequency

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10 8

Frequency (Hz)



